

AMERIPRISE FINANCIAL INC  
Form 4  
October 04, 2005

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

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 \*  
CRACCHIOLO JAMES M

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)  
707 SECOND AVENUE SOUTH  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
09/30/2005

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman and CEO

MINNEAPOLIS MN 55474

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

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| Common Stock <sup>(1)</sup>     | 10/03/2005                           |  | A                              |   | 99,901  | A  | \$ 0                              |
| Common Stock                    | 10/03/2005                           |  | P                              |   | 100   | A  | \$ 35.3                           |
| Common Stock                    |                                      |  |                                |   | 955   | I  |                                   |

By ISP Trust <sup>(2)</sup>

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

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SEC 1474 (9-02)

number.

**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 Number Shares |
| Employee Stock Option (Right to Buy) <sup>(3)</sup> | \$ 27.216  | 09/30/2005                           |  | A                              |   | 32,089   |   | <sup>(4)</sup>   | 02/27/2010      | Common Stock | 32,089               |
| Employee Stock Option (Right to Buy) <sup>(3)</sup> | \$ 20.819  | 09/30/2005                           |  | A                              |   | 144,402  |   | <sup>(5)</sup>   | 01/26/2013      | Common Stock | 144,402              |
| Employee Stock Option (Right to Buy) <sup>(3)</sup> | \$ 31.313  | 09/30/2005                           |  | A                              |   | 216,603  |   | <sup>(6)</sup>   | 01/25/2014      | Common Stock | 216,603              |
| Employee Stock Option (Right to Buy) <sup>(3)</sup> | \$ 32.587  | 09/30/2005                           |  | A                              |   | 232,648  |   | <sup>(7)</sup>   | 01/23/2015      | Common Stock | 232,648              |
| Employee Stock Option (Right to Buy) <sup>(8)</sup> | \$ 35.035  | 10/03/2005                           |  | A                              |   | 878,186  |   | <sup>(8)</sup>   | 10/02/2015      | Common Stock | 878,186              |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |                  |       |
|---|---------------|-----------|------------------|-------|
|   | Director      | 10% Owner | Officer          | Other |
| CRACCHIOLO JAMES M<br>707 SECOND AVENUE SOUTH<br>MINNEAPOLIS MN 55474 | X             |           | Chairman and CEO |       |

## Signatures

/s/ Julie E. Ramacher for James M.  
Cracchiolo

10/04/2005

\_\_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) Restricted stock award , granted under the Ameriprise Financial 2005 Incentive Compensation Plan, will vest in four equal installments on October 3, 2006, 2007, 2008 and 2009.  
Estimate of the number of shares held in reporting person's account in the Ameriprise Financial Stock Fund under the American Express Company Incentive Savings Plan as a result of the distribution with respect to such reporting person's holdings in the American Express Company pooled stock fund as of September 19, 2005. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the unit price of the Ameriprise Financial Stock Fund.
  - (2) Employee stock option granted under Ameriprise Financial 2005 Incentive Compensation Plan in substitution of employee stock option originally granted to the reporting person under the American Express Company 1998 Incentive Compensation Plan, adjusted to reflect the distribution of Ameriprise Financial, Inc. on September 30, 2005.
  - (3) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in total on February 28, 2006.
  - (4) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in two equal installments on January 27, 2006 and 2007.
  - (5) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in three equal installments January 26, 2006, 2007 and 2008.
  - (6) The reported employee stock option will become exercisable on the same schedule as the American Express Company stock option it replaced; in four equal installments on January 24, 2006, 2007, 2008 and 2009.
  - (7) The reported options, granted under the Ameriprise Financial Incentive Compensation Plan, will vest in four equal installments on October 3, 2006, 2007, 2008 and 2009.
  - (8)

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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