## Edgar Filing: TRUSCOTT WILLIAM F - Form 4

TRUSCOT Form 4	T WILLIAM F											
July 09, 20	18											
FOR	<b>M 4</b>		GEGI	DIFIER					OMB APF	ROVAL		
UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549								OMB Number:	3235-0287			
if no lo	onger STATE	ГСЦА	NCES I	N RENEFIC	ТАТ	OWNED	DCUID OF	Expires:	January 31, 2005			
subject to Section 16. Form 4 or					RITIES	IAL	Shir Of	Estimated ave burden hours response	•			
Form 5 obligat may cc <i>See</i> Ins 1(b).	ions Section 17	(a) of the l	Public	Utility Ho	the Securities olding Company nt Company	any A	ct of 193		·			
(Print or Type	e Responses)											
TRUSCOTT WILLIAM F Symbol												
				[AMP]					(Check all applicable)			
							Director 10% Owner COfficer (give title Other (specify w) below)					
OFFICE,	L COUNSEL'S 1098 AMERIPRIS AL CENTER	SE	07/05/	/2018			belo	· ·	l Asset Manager	nent		
				(Month/Day/Year) App				ndividual or Joint/Group Filing(Check licable Line) Form filed by One Reporting Person				
MINNEA	POLIS, MN 5547	4					Pers		ore than One Repo	rting		
(City)	(State)	(Zip)	Та	ble I - Non	-Derivative Sec	curitie	s Acquired	l, Disposed of,	or Beneficially	Owned		
1.Title of Security2. Transaction Date (Month/Day/Year)2A. Deemed Execution Date, if any (Month/Day/Year)			3. 4. Securities Acquired (A) or TransactionDisposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)				5. Amount of Securities Beneficially Owned Following Reported	Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)			
					<b>A</b> <i>i</i>	or	D :	Transaction(s (Instr. 3 and 4				
Common Stock	07/05/2018			Code V M	Amount 1,494.3998	(D) A	Price ( <u>1)</u>	13,084.399	98 D			
Common Stock	07/05/2018			F	636.3998	D	\$ 140.97	11,590 <u>(2)</u>	D			
Common Stock								40,029 (2)	Ι	By LLC		
Common Stock								275.5693 <u>(</u>	<u>3)</u> I	By 401(k) Plan		

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

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 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. Transactio Code (Instr. 8)	5. Number of orDerivative 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)	
	Security			Code V	(Inst (A)	(D)	Date Exercisable	Expiration Date	Title	Amount of Number of Shares
Phantom Stock	<u>(1)</u>	07/05/2018		М		1,494.3998	(4)	(4)	Common Stock	1,494.39

## **Reporting Owners**

<b>Reporting Owner Name / Address</b>	Relationships						
	Director	10% Owner	Officer	Other			
TRUSCOTT WILLIAM F GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474			CEO, Global Asset Management				
Signatures							
/s/ Thomas R. Moore for William Fredrick Truscott	07/0	9/2018					

**\*\***Signature of Reporting Person

**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) Each share of phantom stock represents the right to receive one share of Ameriprise Financial, Inc. common stock.
- (2) The balances reflect the transfer of the shares remaining following the forfeiture of shares to satisfy tax withholding upon vesting to the reporting person's indirect LLC holdings.

Date

Estimate of the number of shares held in the reporting person's account in the Ameriprise Financial Stock Fund under the Ameriprise(3) Financial 401(k) plan as of July 5, 2018. This plan uses unit accounting and the number of shares that a participant is deemed to hold varies with the price of Ameriprise stock.

(4) 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.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.