Edgar Filing: NEAL BLIXT DIANNE - Form 4

NEAL BLIXT DL	ANNE										
Form 4											
April 26, 2019											
FORM 4	UNITED	STATES	SECU	RITIES A	ND FX	сна	NGE	COMMISSION	т	PPROVAL	
CITIED STATES SECONTIES					S AND EXCHANGE COMMISSION ton, D.C. 20549			OMB Number:	3235-0287		
if no longer subject to Section 16. Form 4 or Form 5	suant to S a) of the F	F CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Section 16(a) of the Securities Exchange Act of 1934, Public Utility Holding Company Act of 1935 or Section of the Investment Company Act of 1940						Expires: Estimated burden hou response	urs per		
<i>See</i> Instruction 1(b).		30(h) (of the Ir	ivestment	Compar	iy Ac	tor	940			
(Print or Type Respon	ses)										
NEAL BLIXT DIANNE Sy A [A			2. Issuer Name and Ticker or Trading Symbol AMERIPRISE FINANCIAL INC [AMP]				-	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) (F GENERAL COU OFFICE, 1098 AI FINANCIAL CE	NSEL'S MERIPRIS			of Earliest T Day/Year) 2019	ransaction			X Director Officer (give below)	e title Oth below)	% Owner her (specify	
				If Amendment, Date Original led(Month/Day/Year)			 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 				
MINNEAPOLIS,	MN 55474							Person	More than One K	eporting	
(City) (S	State)	(Zip)	Tab	le I - Non-l	Derivative	Secur	ities A	cquired, Disposed o	of, or Beneficia	lly Owned	
1.Title of Security (Instr. 3)2. Transaction Date (Month/Day/Year)2A. Deemed Execution D any (Month/Day)		Date, if TransactionAcquired (A) or Code Disposed of (D) H y/Year) (Instr. 8) (Instr. 3, 4 and 5) G (A) H (A) Or			Securities Deneficially Covned	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Indirect				
				Code V	Amount		Price	(Instr. 3 and 4)			
Reminder: Report on a	a separate line	for each cla	uss of secu	urities bene	ficially ow	ned dii	rectly o	r 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)

Reporting Owners

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1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5. Number of		6. Date Exer	cisable and	7. Title and A	Amount of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	TransactionDerivative		Expiration Date		Underlying Securities		
Security	or Exercise		any		Securities Acquired		(Month/Day/Year)		(Instr. 3 and 4)	
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	(A) or Disposed of	of				
	Derivative				(D)					
	Security			(Instr. 3, 4, and 5)						
				Code V	(A) ((D)	Date Exercisable	Expiration Date	Title	Amount o Number o Shares
Phantom Stock (Annual)	<u>(1)</u>	04/24/2019		А	1,041.6667		(2)	(2)	Common Stock	1,041.60

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
NEAL BLIXT DIANNE GENERAL COUNSEL'S OFFICE 1098 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	Х						
Signatures							
/s/ Thomas R. Moore for Dianne Neal Blixt	04/26	/2019					
**Signature of Reporting Person	Da	te					

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.

Upon ceasing to be a non-employee director of Ameriprise Financial, Inc., the reporting director will receive common stock of (2) Ameriprise Financial, Inc. in settlement of the reporting director's deferred share units on a one-for-one basis in a lump sum at the end of

the quarter immediately following the quarter in which the reporting director's termination of service on the Board of Directors occurs.

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. 2,000 ⁽⁴⁾01/24/2011 Common Stock 2,000 \$ 0 36,500 D

Reporting Owners

Reporting Owner Name / Address

Director 10% Owner

Relationships Officer

Other

Gibbs Samuel C III C/O EHEALTH, INC. 440 EAST MIDDLEFIELD RD MOUNTAIN VIEW, CA 94043

Senior Vice President

2

Signatures

/s/ Jennifer Thompson, as attorney-in-fact for Samuel C. Gibbs III

08/10/2007

**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) All of the transactions reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan.
- (2) Shares are held by Samuel C Gibbs & Cynthia B Gibbs, TTEEs u/a DTD 4/27/1995 Gibbs Revocable Trust.
- (3) Immediately exercisable for all option shares. The option shares become vested as to 20% of the shares 1 year after December 14, 2005 and 1/60th of the shares upon completion of each month of continuous service thereafter.
- (4) This option became fully vested and exercisable on 1/24/2005.

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Item 1(b) - Address of Issuer's Principal Executive Offices:

251 O'Connor Ridge Blvd.

Suite 300

Irving, TX 75038

Item 2(a) - Name of Person Filing:

The Vanguard Group - 23-1945930

Item 2(b) - Address of Principal Business Office or, if none, residence:

100 Vanguard Blvd.

Malvern, PA 19355

<u>Item 2(c) – Citizenship:</u>

Pennsylvania

Item 2(d) - Title of Class of Securities:

Common Stock

Item 2(e) - CUSIP Number

237266101

Item 3 - Type of Filing:

This statement is being filed pursuant to Rule 13d-1. An investment adviser in accordance with 240.13d-1(b)(1)(ii)(E).

Item 4 - Ownership:

(a) Amount Beneficially Owned:

16,590,870

(b) Percent of Class:

10.07%

Explanation of Responses:

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- (c) Number of shares as to which such person has:
- (i) sole power to vote or direct to vote: 161,464
- (ii) shared power to vote or direct to vote: 22,071
- (iii) sole power to dispose of or to direct the disposition of: 16,423,368
- (iv) shared power to dispose or to direct the disposition of: 167,502

Comments:

Item 5 - Ownership of Five Percent or Less of a Class:

Not Applicable

Item 6 - Ownership of More Than Five Percent on Behalf of Another Person:

Not applicable

Item 7 - Identification and Classification of the Subsidiary Which Acquired The Security Being Reported on by the Parent Holding Company:

See Attached Appendix A

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Item 8 - Identification and Classification of Members of Group:

Not applicable

Item 9 - Notice of Dissolution of Group:

Not applicable

Item 10 - Certification:

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired in the ordinary course of business and were not acquired for the purpose of and do not have the effect of changing or influencing the control of the issuer of such securities and were not acquired in connection with or as a participant in any transaction having such purpose or effect.

Signature

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

Date: 07/09/2018

By /s/ Christine M. Buchanan

Name: Christine M. Buchanan

Title: Principal

Appendix A

Vanguard Fiduciary Trust Company ("VFTC"), a wholly-owned subsidiary of The Vanguard Group, Inc., is the beneficial owner of 145,431 shares or .08% of the Common Stock outstanding of the Company as a result of its serving as investment manager of collective trust accounts.

Vanguard Investments Australia, Ltd. ("VIA"), a wholly-owned subsidiary of The Vanguard Group, Inc., is the beneficial owner of 38,104 shares or .02% of the Common Stock outstanding of the Company as a result of its serving as investment manager of Australian investment offerings.