

AMERIPRISE FINANCIAL INC  
Form 8-K  
November 13, 2013

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, DC 20549

**FORM 8-K**

**CURRENT REPORT**

**Pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934**

Date of Report (Date of earliest event reported): **November 7, 2013**

**AMERIPRISE FINANCIAL, INC.**

(Exact name of registrant as specified in its charter)

**Delaware**  
(State or other jurisdiction

of incorporation)

**001-32525**  
(Commission File Number)

**13-3180631**  
(IRS Employer

Identification No.)

**55 Ameriprise Financial Center**

**Minneapolis, Minnesota**  
(Address of principal executive offices)

**55474**  
(Zip Code)

Registrant's telephone number, including area code: **(612) 671-3131**

## Edgar Filing: AMERIPRISE FINANCIAL INC - Form 8-K

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
  
  - Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
  
  - Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
  
  - Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))
-



*(d) Exhibits*

- 1.1 Underwriting Agreement, dated November 7, 2013, among the Company and Credit Suisse Securities (USA) LLC, Goldman, Sachs & Co., J.P. Morgan Securities LLC and Wells Fargo Securities, LLC, as representatives of the several underwriters.
- 4.1 Form of 4.00% Senior Note due 2023.
- 5.1 Opinion of John C. Junek, Esq.
- 12.1 Computation of Ratio of Earnings.
- 23.1 Consent of John C. Junek, Esq. (included as part of Exhibit 5.1).

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

AMERIPRISE FINANCIAL, INC.  
(REGISTRANT)

DATE: November 13, 2013

By:	/s/ David K. Stewart
Name:	David K. Stewart
Title:	Senior Vice President and Controller

**Index to Exhibits**

<b>Exhibit No.</b>	<b>Description</b>	<b>Method of Filing</b>
1.1	Underwriting Agreement, dated November 7, 2013, among the Company and Credit Suisse Securities (USA) LLC, Goldman, Sachs & Co., J.P. Morgan Securities LLC and Wells Fargo Securities, LLC, as representatives of the several underwriters.	Electronic Transmission
4.1	Form of 4.00% Senior Note due 2023.	Electronic Transmission
5.1	Opinion of John C. Junek, Esq.	Electronic Transmission
12.1	Computation of Ratio of Earnings.	Electronic Transmission
23.1	Consent of John C. Junek, Esq. (included as part of Exhibit 5.1).	Electronic Transmission