

AMERIPRISE FINANCIAL INC
Form 8-K
August 08, 2017

**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**

Washington, D.C. 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) **August 7, 2017**

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**

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):

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

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§ 230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§ 240.12b-2 of this chapter).

Emerging growth company ☐

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act. ☐

Item 5.04 Temporary Suspension of Trading Under Registrant's Employee Benefit Plans.

Ameriprise Financial, Inc. (the Company) is changing the recordkeeper for the Ameriprise Financial 401(k) Plan (the Plan), effective October 4, 2017. As a result of the change, there will be a blackout period beginning September 27, 2017 and expected to end on October 10, 2017 (the Blackout Period), during which participants in the Plan will be temporarily unable to make changes to their individual accounts, direct or diversify investments in their individual accounts, including accounts holding common stock of the Company, or obtain a loan or distribution from the Plan. The Company was notified of the Blackout Period on August 7, 2017 and participants were also notified on or about this date.

A participant in the Plan, a security holder, or other interested person may obtain, without charge, information regarding the Blackout Period, including confirmation of the dates of the Blackout Period, by contacting Thomas R. Moore, Vice President, Corporate Secretary and Chief Governance Officer, at 1098 Ameriprise Financial Center, Minneapolis, MN 55474 or 612-678-0106.

In connection with the foregoing, the Company sent a blackout trading restriction notice by e-mail (the BTR Notice) to its executive officers and directors on August 8, 2017 informing them of the trading restrictions that apply to them during the Blackout Period. A copy of the BTR Notice is attached as Exhibit 99.1 to this Current Report on Form 8-K and incorporated herein by reference.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits.

Exhibit No.	Description
Exhibit 99.1	BTR Notice provided to executive officers and directors of Ameriprise Financial, Inc.

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, hereunto duly authorized.

AMERIPRISE FINANCIAL, INC.
(Registrant)

Date: August 8, 2017

By /s Thomas R. Moore
 Thomas R. Moore
 Vice President, Corporate Secretary and
 Chief Governance Officer