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## Section 1: 8-K/A (FORM 8-K/A)

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# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## FORM 8-K/A (Amendment No. 1)

### CURRENT REPORT

Pursuant to Section 13 OR 15(d) of The Securities Exchange Act of 1934

Date of Report (Date of earliest event reported)

June 1, 2019

## 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):

- 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))

Securities registered pursuant to Section 12(b) of the Act:

Title of each class:

Common Stock (par value \$.01 per share)

Trading Symbol(s)

AMP

Name of each exchange on which registered:

The New York Stock Exchange, Inc.

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.

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### **Explanatory Note**

On June 3, 2019, Ameriprise Financial, Inc. (the "Company") filed a Current Report on Form 8-K ("Original Report") to report the appointment of Brian T. Shea to the Board of Directors ("Board") of the Company. This Amendment on Form 8-K/A is being filed for the sole purpose of disclosing Mr. Shea's appointment to the Board's Audit Committee.

#### **Item 5.02(b) Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

As previously reported, on June 1, 2019, Brian T. Shea was appointed as a director of the Company effective as of June 1, 2019. On August 15, 2019, the Board appointed Mr. Shea to serve on the Audit Committee effective as of October 1, 2019.

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## 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 20, 2019

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

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