

AMERIPRISE FINANCIAL INC  
Form 8-K  
October 27, 2010

**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) **October 27, 2010**

**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):

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

- 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))
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**Item 2.02 Results of Operations and Financial Conditions.**

On October 27, 2010, Ameriprise Financial, Inc. (the Company) issued a press release announcing its financial results for the third quarter of 2010. A copy of the press release is attached as Exhibit 99.1 to this Current Report on Form 8-K and is incorporated herein by reference and furnished herewith. In addition, the Company furnishes herewith, as Exhibit 99.2, its Statistical Supplement for the quarterly period ended September 30, 2010.

We follow accounting principles generally accepted in the United States (GAAP). The press release furnished as Exhibit 99.1 and the financial information furnished as Exhibit 99.2 include information on both a GAAP and non-GAAP adjusted basis.

Certain non-GAAP measures in these exhibits exclude the impact of consolidating certain investment entities (CIEs), as well as certain integration charges and realized gains (losses). Our non-GAAP financial measures, which our management views as important indicators of financial performance, include the following: Ameriprise Financial shareholders' equity excluding AOCI; Ameriprise Financial shareholders' equity excluding CIEs; Ameriprise Financial shareholders' equity excluding CIEs and AOCI; basic operating earnings per share; debt to total capital excluding non-recourse debt and equity of CIEs; debt to total capital excluding non-recourse debt and equity of CIEs and 75% equity credit; integration charges, after-tax; net realized gains (losses), after-tax; operating earnings (loss); operating earnings per diluted share; operating margin; operating return on allocated equity; operating return on equity excluding CIEs and AOCI; operating total net revenues; pretax earnings (loss) excluding CIEs; pretax operating earnings (loss); pretax operating margin; return on allocated equity; return on equity excluding AOCI; total capital excluding non-recourse debt and equity of CIEs; total equity excluding CIEs; total long-term debt excluding non-recourse debt; and total long-term debt excluding non-recourse debt and 75% equity credit. Management believes that the presentation of these non-GAAP financial measures better reflects the underlying performance of our 2010 and 2009 core operations and facilitates a more meaningful trend analysis. Management uses certain of these non-GAAP measures to evaluate our financial performance on a basis comparable to that used by some securities analysts and investors. Also, certain of these non-GAAP measures are taken into consideration, to varying degrees, for purposes of business planning and analysis and for certain compensation-related matters.

We also present in Exhibits 99.1 and 99.2 certain non-GAAP debt, capital and shareholders' equity measures, along with financial ratios incorporating such measures, that exclude amounts related to one or more of the following: accumulated other comprehensive income (loss), non-recourse debt, the impact of consolidating the assets of certain CIEs, property funds and hedge funds, and the recognition of an equity credit on our junior subordinated notes issued on May 26, 2006, which receive at least a 75% equity credit by the majority of the rating agencies. Management believes that the debt, capital and shareholders' equity measures, and the corresponding ratios, better represent our capital structure.

**Item 9.01 Financial Statements and Exhibits.**

(d) Exhibits.

Exhibit No.	Description
Exhibit 99.1	Press Release dated October 27, 2010 announcing financial results for the third quarter of 2010
Exhibit 99.2	Statistical Supplement for the quarterly period ended September 30, 2010



**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: October 27, 2010

By                    /s/ Walter S. Berman  
                          Walter S. Berman  
                          Executive Vice President and  
                          Chief Financial Officer