

Form 5500 Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Annual Return/Report of Employee Benefit Plan This form is required to be filed for employee benefit plans under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code). ▶ Complete all entries in accordance with the instructions to the Form 5500.	OMB Nos. 1210-0110 1210-0089 2023 This Form is Open to Public Inspection
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Part I	Annual Report Identification Information
For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023	
A	This return/report is for: ☐ a multiemployer plan ☒ a single-employer plan ☐ a multiple-employer plan (Filers checking this box must provide participating employer information in accordance with the form instructions.) ☐ a DFE (specify) _____
B	This return/report is: ☐ the first return/report ☐ the final return/report ☐ an amended return/report ☐ a short plan year return/report (less than 12 months)
C	If the plan is a collectively-bargained plan, check here. ▶ ☐
D	Check box if filing under: ☐ Form 5558 ☐ automatic extension ☐ the DFVC program ☐ special extension (enter description)
E	If this is a retroactively adopted plan permitted by SECURE Act section 201, check here. ▶ ☐

Part II	Basic Plan Information—enter all requested information
1a	Name of plan AMERIPRISE FINANCIAL 401(K) PLAN
1b	Three-digit plan number (PN) ▶ 001
1c	Effective date of plan 10/01/2005
2a	Plan sponsor's name (employer, if for a single-employer plan) Mailing address (include room, apt., suite no. and street, or P.O. Box) City or town, state or province, country, and ZIP or foreign postal code (if foreign, see instructions) AMERIPRISE FINANCIAL, INC. 360 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474
2b	Employer Identification Number (EIN) 13-3180631
2c	Plan Sponsor's telephone number 612-671-3131
2d	Business code (see instructions) 523900

Caution: A penalty for the late or incomplete filing of this return/report will be assessed unless reasonable cause is established.

Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as the electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct, and complete.

SIGN HERE	Filed with authorized/valid electronic signature.	07/22/2024	MICHELLE RUDLONG
	Signature of plan administrator	Date	Enter name of individual signing as plan administrator
SIGN HERE	Filed with authorized/valid electronic signature.	07/22/2024	BRENT SABIN
	Signature of employer/plan sponsor	Date	Enter name of individual signing as employer or plan sponsor
SIGN HERE			
	Signature of DFE	Date	Enter name of individual signing as DFE

3a Plan administrator's name and address ☐ Same as Plan Sponsor AMERIPRISE FINANCIAL, INC. EMPLOYEE BENEFITS ADMINISTRATION COMMITTEE 360 AMERIPRISE FINANCIAL CENTER MINNEAPOLIS, MN 55474	3b Administrator's EIN 20-5069670 3c Administrator's telephone number 612-671-8617 																				
4 If the name and/or EIN of the plan sponsor or the plan name has changed since the last return/report filed for this plan, enter the plan sponsor's name, EIN, the plan name and the plan number from the last return/report: a Sponsor's name c Plan Name	4b EIN 4d PN																				
5 Total number of participants at the beginning of the plan year	5 12709																				
6 Number of participants as of the end of the plan year unless otherwise stated (welfare plans complete only lines 6a(1) , 6a(2) , 6b , 6c , and 6d). a(1) Total number of active participants at the beginning of the plan year a(2) Total number of active participants at the end of the plan year b Retired or separated participants receiving benefits c Other retired or separated participants entitled to future benefits d Subtotal. Add lines 6a(2) , 6b , and 6c e Deceased participants whose beneficiaries are receiving or are entitled to receive benefits. f Total. Add lines 6d and 6e g(1) Number of participants with account balances as of the beginning of the plan year (only defined contribution plans complete this item) g(2) Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item) h Number of participants who terminated employment during the plan year with accrued benefits that were less than 100% vested.....	<table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 10%;">6a(1)</td><td style="text-align: right;">9312</td></tr> <tr><td>6a(2)</td><td style="text-align: right;">9298</td></tr> <tr><td>6b</td><td style="text-align: right;">0</td></tr> <tr><td>6c</td><td style="text-align: right;">3329</td></tr> <tr><td>6d</td><td style="text-align: right;">12627</td></tr> <tr><td>6e</td><td style="text-align: right;">46</td></tr> <tr><td>6f</td><td style="text-align: right;">12673</td></tr> <tr><td>6g(1)</td><td style="text-align: right;">12021</td></tr> <tr><td>6g(2)</td><td style="text-align: right;">12134</td></tr> <tr><td>6h</td><td style="text-align: right;">503</td></tr> </table>	6a(1)	9312	6a(2)	9298	6b	0	6c	3329	6d	12627	6e	46	6f	12673	6g(1)	12021	6g(2)	12134	6h	503
6a(1)	9312																				
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6c	3329																				
6d	12627																				
6e	46																				
6f	12673																				
6g(1)	12021																				
6g(2)	12134																				
6h	503																				
7 Enter the total number of employers obligated to contribute to the plan (only multiemployer plans complete this item).....	7																				

8a If the plan provides pension benefits, enter the applicable pension feature codes from the List of Plan Characteristics Codes in the instructions:
2F 2G 2J 2K 2O 2R 2T 3F 3H

b If the plan provides welfare benefits, enter the applicable welfare feature codes from the List of Plan Characteristics Codes in the instructions:

9a Plan funding arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor	9b Plan benefit arrangement (check all that apply) (1) ☐ Insurance (2) ☐ Code section 412(e)(3) insurance contracts (3) ☒ Trust (4) ☐ General assets of the sponsor
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10 Check all applicable boxes in 10a and 10b to indicate which schedules are attached, and, where indicated, enter the number attached. (See instructions)

a Pension Schedules

- (1)** ☒ **R** (Retirement Plan Information)
- (2)** ☐ **MB** (Multiemployer Defined Benefit Plan and Certain Money Purchase Plan Actuarial Information) - signed by the plan actuary
- (3)** ☐ **SB** (Single-Employer Defined Benefit Plan Actuarial Information) - signed by the plan actuary
- (4)** ☐ **DCG** (Individual Plan Information) – Number Attached _____
- (5)** ☐ **MEP** (Multiple-Employer Retirement Plan Information)

b General Schedules

- (1)** ☒ **H** (Financial Information)
- (2)** ☐ **I** (Financial Information – Small Plan)
- (3)** ☐ **A** (Insurance Information) – Number Attached 0
- (4)** ☒ **C** (Service Provider Information)
- (5)** ☒ **D** (DFE/Participating Plan Information)
- (6)** ☐ **G** (Financial Transaction Schedules)

Part III Form M-1 Compliance Information (to be completed by welfare benefit plans)

11a If the plan provides welfare benefits, was the plan subject to the Form M-1 filing requirements during the plan year? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

If "Yes" is checked, complete lines 11b and 11c.

11b Is the plan currently in compliance with the Form M-1 filing requirements? (See instructions and 29 CFR 2520.101-2.) ☐ Yes ☐ No

11c Enter the Receipt Confirmation Code for the 2023 Form M-1 annual report. If the plan was not required to file the 2023 Form M-1 annual report, enter the Receipt Confirmation Code for the most recent Form M-1 that was required to be filed under the Form M-1 filing requirements. (Failure to enter a valid Receipt Confirmation Code will subject the Form 5500 filing to rejection as incomplete.)

Receipt Confirmation Code _____

SCHEDULE C (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Service Provider Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110
		2023
		This Form is Open to Public Inspection.

For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023		
A Name of plan AMERIPRISE FINANCIAL 401(K) PLAN	B Three-digit plan number (PN) ▶	001
C Plan sponsor's name as shown on line 2a of Form 5500 AMERIPRISE FINANCIAL, INC.	D Employer Identification Number (EIN) 13-3180631	

Part I

Service Provider Information (see instructions)

You must complete this Part, in accordance with the instructions, to report the information required for **each person** who received, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of monetary value) in connection with services rendered to the plan or the person's position with the plan during the plan year. If a person received **only** eligible indirect compensation for which the plan received the required disclosures, you are required to answer line 1 but are not required to include that person when completing the remainder of this Part.

1

Information on Persons Receiving Only Eligible Indirect Compensation

- a

 Check "Yes" or "No" to indicate whether you are excluding a person from the remainder of this Part because they received only eligible indirect compensation for which the plan received the required disclosures (see instructions for definitions and conditions).. ☒ Yes ☐ No
- b

 If you answered line 1a "Yes," enter the name and EIN or address of each person providing the required disclosures for the service providers who received only eligible indirect compensation. Complete as many entries as needed (see instructions).

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
AMERIPRISE TRUST CO.
41-6219335

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
WELLINGTON TRUST CO. NA
04-2755549

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
BOSTON PARTNERS TRUST CO
26-4550044

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation
VOYA INVESTMENT TRUST CO.
06-1440627

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

SEI TRUST CO.

06-1271230

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

GOLDMAN SACHS GROUP

13-4019460

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

ROYAL BANK OF CANADA

13-5357855

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

AMERICAN UNITED LIFE

35-0145825

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

AMERICAN GENERAL (AIG)

13-3389410

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

LINCOLN NATIONAL LIFE

35-1472300

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

JP MORGAN CHASE

13-4994650

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

METROPOLITAN LIFE INSURANCE COMPANY

13-5581829

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

TRANSAMERICA

52-0419790

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

PACIFIC LIFE INSURANCE COMPANY

95-1079000

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

PRUDENTIAL LIFE

22-1211670

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

GLOBAL TRUST CO

26-3761443

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

PEREGRINE CAPITAL MANAGEMENT

81-2218785

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

ALLSPRING MANAGEMENT LLC

94-3382001

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

BLACKROCK INST TRUST COMPANY, N.A

94-3112180

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

JOHN HANCOCK

16-1611843

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

GQG PARTNERS

82-6253445

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

RELIANCE TRUST COMPANY

58-1428634

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

BANK OF NEW YORK MELLON

13-5160382

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

WELLINGTON MANAGEMENT LLP

04-2755549

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

BOSTON PARTNERS TRUST CO.

61-1603964

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

BOSTON PARTNERS GLOBAL INVESTMENTS

98-0202744

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

(b) Enter name and EIN or address of person who provided you disclosures on eligible indirect compensation

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

ALIGHT SOLUTIONS LLC

82-1061233

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
15 38 50	RECORDKEEPER	736285	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

(a) Enter name and EIN or address (see instructions)

CONGRESS ASSET MANAGEMENT

04-2848965

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
28 51 52 72	INVESTMENT MANAGER	473341	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

(a) Enter name and EIN or address (see instructions)

PERSHING LLC

13-2741729

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
59 61 71 99	WINDOW CLEARING AGENT	0	Yes ☒ No ☐	Yes ☒ No ☐	423584	Yes ☐ No ☒

2. Information on Other Service Providers Receiving Direct or Indirect Compensation. Except for those persons for whom you answered "Yes" to line 1a above, complete as many entries as needed to list each person receiving, directly or indirectly, \$5,000 or more in total compensation (i.e., money or anything else of value) in connection with services rendered to the plan or their position with the plan during the plan year. (See instructions).

(a) Enter name and EIN or address (see instructions)

ALIGHT FINANCIAL SOLUTIONS, LLC

82-1061233

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
33 61 63	BROKER	63480	Yes ☒ No ☐	Yes ☒ No ☐	156540	Yes ☐ No ☒

(a) Enter name and EIN or address (see instructions)

PRINCIPAL TRUST CO

51-0099493

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
18 19 21 25 50	TRUSTEE CUSTODIAN	149459	Yes ☒ No ☐	Yes ☒ No ☐	0	Yes ☐ No ☒

(a) Enter name and EIN or address (see instructions)

TOWERS WATSON INVESTMENT SERVICES

52-1868818

(b) Service Code(s)	(c) Relationship to employer, employee organization, or person known to be a party-in-interest	(d) Enter direct compensation paid by the plan. If none, enter -0-.	(e) Did service provider receive indirect compensation? (sources other than plan or plan sponsor)	(f) Did indirect compensation include eligible indirect compensation, for which the plan received the required disclosures?	(g) Enter total indirect compensation received by service provider excluding eligible indirect compensation for which you answered "Yes" to element (f). If none, enter -0-.	(h) Did the service provider give you a formula instead of an amount or estimated amount?
27 50	INVESTMENT CONSULTANT	117925	Yes ☐ No ☒	Yes ☐ No ☐		Yes ☐ No ☐

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
ALIGHT FINANCIAL SOLUTIONS, LLC	61	32478

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
PERSHING LLC 13-2741729	FINDER'S FEES

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
ALIGHT FINANCIAL SOLUTIONS, LLC	63	124062

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MULTIPLE MUTUAL FUND COMPANIES 82-1061233	AGGREGATED INVESTMENT MANAGER FUNDFEES

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PERSHING LLC	59	43140

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MULTIPLE MUTUAL FUND COMPANIES 13-2741729	SHAREHOLDER SERVICING FEES

Part I Service Provider Information (continued)

3. If you reported on line 2 receipt of indirect compensation, other than eligible indirect compensation, by a service provider, and the service provider is a fiduciary or provides contract administrator, consulting, custodial, investment advisory, investment management, broker, or recordkeeping services, answer the following questions for (a) each source from whom the service provider received \$1,000 or more in indirect compensation and (b) each source for whom the service provider gave you a formula used to determine the indirect compensation instead of an amount or estimated amount of the indirect compensation. Complete as many entries as needed to report the required information for each source.

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PERSHING LLC	61	302571

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MULTIPLE MUTUAL FUND COMPANIES 13-2741729	FINDER'S FEES

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PERSHING LLC	71	59506

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MULTIPLE MUTUAL FUND COMPANIES 13-2741729	SECURITIES BROKERAGE COMMISSIONS AND FEES

(a) Enter service provider name as it appears on line 2	(b) Service Codes (see instructions)	(c) Enter amount of indirect compensation
PERSHING LLC	99	18367

(d) Enter name and EIN (address) of source of indirect compensation	(e) Describe the indirect compensation, including any formula used to determine the service provider's eligibility for or the amount of the indirect compensation.
MULTIPLE MUTUAL FUND COMPANIES 13-2741729	OTHER FEES

Part II Service Providers Who Fail or Refuse to Provide Information

4 Provide, to the extent possible, the following information for each service provider who failed or refused to provide the information necessary to complete this Schedule.

(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide
(a) Enter name and EIN or address of service provider (see instructions)	(b) Nature of Service Code(s)	(c) Describe the information that the service provider failed or refused to provide

Part III Termination Information on Accountants and Enrolled Actuaries (see instructions)
(complete as many entries as needed)

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

a Name:	b EIN:
c Position:	
d Address:	e Telephone:

Explanation:

SCHEDULE D (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration	DFE/Participating Plan Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2023 This Form is Open to Public Inspection.
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For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023

A Name of plan AMERIPRISE FINANCIAL 401(K) PLAN	B Three-digit plan number (PN) ▶	001
C Plan or DFE sponsor's name as shown on line 2a of Form 5500 AMERIPRISE FINANCIAL, INC.	D Employer Identification Number (EIN) 13-3180631	

Part I	Information on interests in MTIAs, CCTs, PSAs, and 103-12 IEs (to be completed by plans and DFEs) (Complete as many entries as needed to report all interests in DFEs)
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a Name of MTIA, CCT, PSA, or 103-12 IE: COLUMBIA TRUST GOVT MONEY MARKET FD

b Name of sponsor of entity listed in (a): AMERIPRISE TRUST COMPANY

c EIN-PN 41-0007957-109	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 9881122
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a Name of MTIA, CCT, PSA, or 103-12 IE: WELLINGTON TRUST LARGE CAP GROWTH

b Name of sponsor of entity listed in (a): WELLINGTON TRUST CO., NA

c EIN-PN 04-6913417-027	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 190055433
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a Name of MTIA, CCT, PSA, or 103-12 IE: PEREGRINE COMMINGLED INVESTMENT TRU

b Name of sponsor of entity listed in (a): SEI TRUST COMPANY

c EIN-PN 82-4380120-113	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 78265845
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a Name of MTIA, CCT, PSA, or 103-12 IE: CT CONTRARIAN CORE FUND 1

b Name of sponsor of entity listed in (a): AMERIPRISE TRUST COMPANY

c EIN-PN 41-6219335-111	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 223799616
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a Name of MTIA, CCT, PSA, or 103-12 IE: CT TOTAL RETURN BOND FUND

b Name of sponsor of entity listed in (a): AMERIPRISE TRUST COMPANY

c EIN-PN 41-6219335-099	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 109499314
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a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST INCOME

b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.

c EIN-PN 06-1440627-051	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 43841187
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a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2025

b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.

c EIN-PN 06-1440627-054	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 62328673
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a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2030		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-055	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 101004698
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2035		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-056	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 96490975
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2040		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-057	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 90750677
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2045		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-058	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 83180895
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2050		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-059	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 51491022
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2055		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO.		
c EIN-PN 06-1440627-060	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 32005023
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION 2060		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO		
c EIN-PN 06-1440627-086	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 18872965
a Name of MTIA, CCT, PSA, or 103-12 IE: VOYA TARGET SOLUTION TRUST 2065		
b Name of sponsor of entity listed in (a): VOYA INVESTMENT TRUST CO		
c EIN-PN 06-1440627-097	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 6920651
a Name of MTIA, CCT, PSA, or 103-12 IE: BOSTON PRTNRS LRG CAP VAL EQUITY FD		
b Name of sponsor of entity listed in (a): BOSTON PARTNERS TRUST COMPANY		
c EIN-PN 61-1603964-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 127272720
a Name of MTIA, CCT, PSA, or 103-12 IE: VICTORY SMALL CAP VALUE		
b Name of sponsor of entity listed in (a): VICTORY CAPITAL COLLECTIVE INV TRST		
c EIN-PN 80-6249702-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 89217259

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK EQUITY INDEX FUND		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 45-4365907-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 287015433

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK RUSSELL 2500 INDEX FUND		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 46-1431095-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 37130214

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK MSCI ACWI EX-US INDEX FUN		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 45-4431087-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 34992401

a Name of MTIA, CCT, PSA, or 103-12 IE: BLACKROCK US DEBT INDEX FUND		
b Name of sponsor of entity listed in (a): BLACKROCK INSTITUTIONAL TRUST COMPANY, N.A.		
c EIN-PN 94-3385892-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 23549541

a Name of MTIA, CCT, PSA, or 103-12 IE: PRINCIPAL/BLACKROCK STIF		
b Name of sponsor of entity listed in (a): PRINCIPAL		
c EIN-PN 41-6292499-001	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 11053284

a Name of MTIA, CCT, PSA, or 103-12 IE: GQG PARTNERS INTERNATIONAL EQUITY		
b Name of sponsor of entity listed in (a): RELIANCE TRUST COMPANY		
c EIN-PN 82-6253445-011	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 131423726

a Name of MTIA, CCT, PSA, or 103-12 IE: EB US MID CAP OPPORTUNISTIC VALUE		
b Name of sponsor of entity listed in (a): THE BANK OF NEW YORK MELLON		
c EIN-PN 25-6078093-264	d Entity code C	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions) 0

a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

a Name of MTIA, CCT, PSA, or 103-12 IE:		
b Name of sponsor of entity listed in (a):		
c EIN-PN	d Entity code	e Dollar value of interest in MTIA, CCT, PSA, or 103-12 IE at end of year (see instructions)

Part II Information on Participating Plans (to be completed by DFEs, other than DCGs)

(Complete as many entries as needed to report all participating plans. DCGs must report each participating plan using Schedule DCG.)

a Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
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plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN**a** Plan name**b** Name of
plan sponsor**c** EIN-PN

SCHEDULE H (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Financial Information This schedule is required to be filed under section 104 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code). ► File as an attachment to Form 5500.	OMB No. 1210-0110
		2023
		This Form is Open to Public Inspection

For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023		
A Name of plan AMERIPRISE FINANCIAL 401(K) PLAN	B Three-digit plan number (PN) ►	001
C Plan sponsor's name as shown on line 2a of Form 5500 AMERIPRISE FINANCIAL, INC.	D Employer Identification Number (EIN) 13-3180631	

Part I	Asset and Liability Statement
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1 Current value of plan assets and liabilities at the beginning and end of the plan year. Combine the value of plan assets held in more than one trust. Report the value of the plan's interest in a commingled fund containing the assets of more than one plan on a line-by-line basis unless the value is reportable on lines 1c(9) through 1c(14). Do not enter the value of that portion of an insurance contract which guarantees, during this plan year, to pay a specific dollar benefit at a future date. **Round off amounts to the nearest dollar.** MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 1b(1), 1b(2), 1c(8), 1g, 1h, and 1i. CCTs, PSAs, and 103-12 IEs also do not complete lines 1d and 1e. See instructions.

Assets		(a) Beginning of Year	(b) End of Year
a Total noninterest-bearing cash	1a	948646	2687001
b Receivables (less allowance for doubtful accounts):			
(1) Employer contributions	1b(1)	5264099	4941089
(2) Participant contributions	1b(2)		
(3) Other	1b(3)	1586905	3314723
c General investments:			
(1) Interest-bearing cash (include money market accounts & certificates of deposit)	1c(1)	81977135	77906509
(2) U.S. Government securities	1c(2)		
(3) Corporate debt instruments (other than employer securities):			
(A) Preferred	1c(3)(A)		
(B) All other	1c(3)(B)		
(4) Corporate stocks (other than employer securities):			
(A) Preferred	1c(4)(A)		
(B) Common	1c(4)(B)	119408653	140199605
(5) Partnership/joint venture interests	1c(5)		
(6) Real estate (other than employer real property)	1c(6)		
(7) Loans (other than to participants)	1c(7)		
(8) Participant loans	1c(8)	27402335	29759238
(9) Value of interest in common/collective trusts	1c(9)	1503977297	1940042674
(10) Value of interest in pooled separate accounts	1c(10)		
(11) Value of interest in master trust investment accounts	1c(11)		
(12) Value of interest in 103-12 investment entities	1c(12)		
(13) Value of interest in registered investment companies (e.g., mutual funds)	1c(13)	462752086	456450225
(14) Value of funds held in insurance company general account (unallocated contracts)	1c(14)		
(15) Other	1c(15)	114837592	100588954

1d Employer-related investments:		(a) Beginning of Year	(b) End of Year
(1) Employer securities	1d(1)	351762162	412794686
(2) Employer real property	1d(2)		
e Buildings and other property used in plan operation	1e		
f Total assets (add all amounts in lines 1a through 1e)	1f	2669916910	3168684704
Liabilities			
g Benefit claims payable	1g		
h Operating payables	1h	1678912	5213476
i Acquisition indebtedness	1i		
j Other liabilities	1j		
k Total liabilities (add all amounts in lines 1g through 1j)	1k	1678912	5213476
Net Assets			
l Net assets (subtract line 1k from line 1f)	1l	2668237998	3163471228

Part II Income and Expense Statement

2 Plan income, expenses, and changes in net assets for the year. Include all income and expenses of the plan, including any trust(s) or separately maintained fund(s) and any payments/receipts to/from insurance carriers. Round off amounts to the nearest dollar. MTIAs, CCTs, PSAs, and 103-12 IEs do not complete lines 2a, 2b(1)(E), 2e, 2f, and 2g.

Income		(a) Amount	(b) Total
a Contributions:			
(1) Received or receivable in cash from: (A) Employers	2a(1)(A)	65539012	
(B) Participants	2a(1)(B)	129188950	
(C) Others (including rollovers)	2a(1)(C)	9278010	
(2) Noncash contributions	2a(2)		
(3) Total contributions. Add lines 2a(1)(A) , (B) , (C) , and line 2a(2)	2a(3)		204005972
b Earnings on investments:			
(1) Interest:			
(A) Interest-bearing cash (including money market accounts and certificates of deposit)	2b(1)(A)	2287524	
(B) U.S. Government securities	2b(1)(B)		
(C) Corporate debt instruments	2b(1)(C)		
(D) Loans (other than to participants)	2b(1)(D)		
(E) Participant loans	2b(1)(E)	1325844	
(F) Other	2b(1)(F)	2968077	
(G) Total interest. Add lines 2b(1)(A) through (F)	2b(1)(G)		6581445
(2) Dividends: (A) Preferred stock	2b(2)(A)		
(B) Common stock	2b(2)(B)	7687197	
(C) Registered investment company shares (e.g. mutual funds)	2b(2)(C)	11337664	
(D) Total dividends. Add lines 2b(2)(A) , (B) , and (C)	2b(2)(D)		19024861
(3) Rents	2b(3)		
(4) Net gain (loss) on sale of assets: (A) Aggregate proceeds	2b(4)(A)	51104359	
(B) Aggregate carrying amount (see instructions)	2b(4)(B)	49810761	
(C) Subtract line 2b(4)(B) from line 2b(4)(A) and enter result	2b(4)(C)		1293598
(5) Unrealized appreciation (depreciation) of assets: (A) Real estate	2b(5)(A)		
(B) Other	2b(5)(B)	96550063	
(C) Total unrealized appreciation of assets. Add lines 2b(5)(A) and (B)	2b(5)(C)		

		(a) Amount	(b) Total
(6) Net investment gain (loss) from common/collective trusts.....	2b(6)		305011687
(7) Net investment gain (loss) from pooled separate accounts.....	2b(7)		
(8) Net investment gain (loss) from master trust investment accounts.....	2b(8)		
(9) Net investment gain (loss) from 103-12 investment entities.....	2b(9)		
(10) Net investment gain (loss) from registered investment companies (e.g., mutual funds)	2b(10)		89896130
c Other income	2c		2224594
d Total income. Add all income amounts in column (b) and enter total	2d		724588350

Expenses

e Benefit payment and payments to provide benefits:			
(1) Directly to participants or beneficiaries, including direct rollovers	2e(1)	227855106	
(2) To insurance carriers for the provision of benefits.....	2e(2)		
(3) Other	2e(3)		
(4) Total benefit payments. Add lines 2e(1) through (3)	2e(4)		227855106
f Corrective distributions (see instructions)	2f		
g Certain deemed distributions of participant loans (see instructions)	2g		
h Interest expense	2h		
i Administrative expenses:			
(1) Salaries and allowances	2i(1)		
(2) Contract administrator fees.....	2i(2)	1030451	
(3) Recordkeeping fees.....	2i(3)		
(4) IQPA audit fees.....	2i(4)		
(5) Investment advisory and investment management fees	2i(5)	469563	
(6) Bank or trust company trustee/custodial fees	2i(6)		
(7) Actuarial fees	2i(7)		
(8) Legal fees	2i(8)		
(9) Valuation/appraisal fees	2i(9)		
(10) Other trustee fees and expenses	2i(10)		
(11) Other expenses	2i(11)		
(12) Total administrative expenses. Add lines 2i(1) through (11)	2i(12)		1500014
j Total expenses. Add all expense amounts in column (b) and enter total	2j		229355120

Net Income and Reconciliation

k Net income (loss). Subtract line 2j from line 2d	2k		495233230
l Transfers of assets:			
(1) To this plan	2l(1)		
(2) From this plan	2l(2)		

Part III Accountant's Opinion

3 Complete lines 3a through 3c if the opinion of an independent qualified public accountant is attached to this Form 5500. Complete line 3d if an opinion is not attached.

a The attached opinion of an independent qualified public accountant for this plan is (see instructions):

(1) ☒ Unmodified (2) ☐ Qualified (3) ☐ Disclaimer (4) ☐ Adverse

b Check the appropriate box(es) to indicate whether the IQPA performed an ERISA section 103(a)(3)(C) audit. Check both boxes (1) and (2) if the audit was performed pursuant to both 29 CFR 2520.103-8 and 29 CFR 2520.103-12(d). Check box (3) if pursuant to neither.

(1) ☐ DOL Regulation 2520.103-8 (2) ☐ DOL Regulation 2520.103-12(d) (3) ☒ neither DOL Regulation 2520.103-8 nor DOL Regulation 2520.103-12(d).

c Enter the name and EIN of the accountant (or accounting firm) below:

(1) Name: **PRICEWATERHOUSECOOPERS**

(2) EIN: **13-4008324**

d The opinion of an independent qualified public accountant is **not attached** as part of Schedule H because:

(1) ☐ This form is filed for a CCT, PSA, DCG or MTIA. (2) ☐ It will be attached to the next Form 5500 pursuant to 29 CFR 2520.104-50.

Part IV Compliance Questions

4 CCTs and PSAs do not complete Part IV. MTIAs, 103-12 IEs, and GIAs do not complete lines 4a, 4e, 4f, 4g, 4h, 4k, 4m, 4n, or 5. 103-12 IEs also do not complete lines 4j and 4l. MTIAs also do not complete line 4l. DCGs do not complete lines 4e, 4f, 4k, 4l, and 5, and DCGs generally complete the rest of Part IV collectively for all plans in the DCG, except as otherwise provided (see instructions).

During the plan year:

	Yes	No	Amount
a Was there a failure to transmit to the plan any participant contributions within the time period described in 29 CFR 2510.3-102? Continue to answer "Yes" for any prior year failures until fully corrected. (See instructions and DOL's Voluntary Fiduciary Correction Program.)	☒	☐	85
b Were any loans by the plan or fixed income obligations due the plan in default as of the close of the plan year or classified during the year as uncollectible? Disregard participant loans secured by participant's account balance. (Attach Schedule G (Form 5500) Part I if "Yes" is checked.)	☐	☒	
c Were any leases to which the plan was a party in default or classified during the year as uncollectible? (Attach Schedule G (Form 5500) Part II if "Yes" is checked.)	☐	☒	
d Were there any nonexempt transactions with any party-in-interest? (Do not include transactions reported on line 4a. Attach Schedule G (Form 5500) Part III if "Yes" is checked.)	☐	☒	
e Was this plan covered by a fidelity bond?	☒	☐	410000000
f Did the plan have a loss, whether or not reimbursed by the plan's fidelity bond, that was caused by fraud or dishonesty?	☐	☒	
g Did the plan hold any assets whose current value was neither readily determinable on an established market nor set by an independent third party appraiser?	☐	☒	
h Did the plan receive any noncash contributions whose value was neither readily determinable on an established market nor set by an independent third party appraiser?	☐	☒	
i Did the plan have assets held for investment? (Attach schedule(s) of assets if "Yes" is checked, and see instructions for format requirements.)	☒	☐	
j Were any plan transactions or series of transactions in excess of 5% of the current value of plan assets? (Attach schedule of transactions if "Yes" is checked and see instructions for format requirements.)	☐	☒	
k Were all the plan assets either distributed to participants or beneficiaries, transferred to another plan, or brought under the control of the PBGC?	☐	☒	
l Has the plan failed to provide any benefit when due under the plan?	☐	☒	
m If this is an individual account plan, was there a blackout period? (See instructions and 29 CFR 2520.101-3.)	☐	☒	
n If 4m was answered "Yes," check the "Yes" box if you either provided the required notice or one of the exceptions to providing the notice applied under 29 CFR 2520.101-3.	☐	☐	

5a Has a resolution to terminate the plan been adopted during the plan year or any prior plan year? ☐ Yes ☒ No
If "Yes," enter the amount of any plan assets that reverted to the employer this year _____.

5b If, during this plan year, any assets or liabilities were transferred from this plan to another plan(s), identify the plan(s) to which assets or liabilities were transferred. (See instructions.)

5b(1) Name of plan(s)	5b(2) EIN(s)	5b(3) PN(s)

5c Was the plan a defined benefit plan covered under the PBGC insurance program at any time during this plan year? (See ERISA section 4021 and instructions.) ☐ Yes ☐ No ☐ Not determined

If "Yes" is checked, enter the My PAA confirmation number from the PBGC premium filing for this plan year _____.

SCHEDULE R (Form 5500) Department of the Treasury Internal Revenue Service Department of Labor Employee Benefits Security Administration Pension Benefit Guaranty Corporation	Retirement Plan Information This schedule is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA) and section 6058(a) of the Internal Revenue Code (the Code). ▶ File as an attachment to Form 5500.	OMB No. 1210-0110 2023 This Form is Open to Public Inspection.
For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023		
A Name of plan AMERIPRISE FINANCIAL 401(K) PLAN		B Three-digit plan number (PN) ▶ 001
C Plan sponsor's name as shown on line 2a of Form 5500 AMERIPRISE FINANCIAL, INC.		D Employer Identification Number (EIN) 13-3180631
Part I	Distributions	
All references to distributions relate only to payments of benefits during the plan year.		
1 Total value of distributions paid in property other than in cash or the forms of property specified in the instructions.....		1 0
2 Enter the EIN(s) of payor(s) who paid benefits on behalf of the plan to participants or beneficiaries during the year (if more than two, enter EINs of the two payors who paid the greatest dollar amounts of benefits): EIN(s): 51-0099493		
Profit-sharing plans, ESOPs, and stock bonus plans, skip line 3.		
3 Number of participants (living or deceased) whose benefits were distributed in a single sum, during the plan year		3
Part II	Funding Information (If the plan is not subject to the minimum funding requirements of section 412 of the Internal Revenue Code or ERISA section 302, skip this Part.)	
4 Is the plan administrator making an election under Code section 412(d)(2) or ERISA section 302(d)(2)? ☐ Yes ☐ No ☐ N/A If the plan is a defined benefit plan, go to line 8.		
5 If a waiver of the minimum funding standard for a prior year is being amortized in this plan year, see instructions and enter the date of the ruling letter granting the waiver. Date: Month _____ Day _____ Year _____ If you completed line 5, complete lines 3, 9, and 10 of Schedule MB and do not complete the remainder of this schedule.		
6 a Enter the minimum required contribution for this plan year (include any prior year accumulated funding deficiency not waived)		6a
b Enter the amount contributed by the employer to the plan for this plan year		6b
c Subtract the amount in line 6b from the amount in line 6a. Enter the result (enter a minus sign to the left of a negative amount)		6c
If you completed line 6c, skip lines 8 and 9.		
7 Will the minimum funding amount reported on line 6c be met by the funding deadline? ☐ Yes ☐ No ☐ N/A		
8 If a change in actuarial cost method was made for this plan year pursuant to a revenue procedure or other authority providing automatic approval for the change or a class ruling letter, does the plan sponsor or plan administrator agree with the change? ☐ Yes ☐ No ☐ N/A		
Part III	Amendments	
9 If this is a defined benefit pension plan, were any amendments adopted during this plan year that increased or decreased the value of benefits? If yes, check the appropriate box. If no, check the "No" box. ☐ Increase ☐ Decrease ☐ Both ☐ No		
Part IV	ESOPs (see instructions). If this is not a plan described under section 409(a) or 4975(e)(7) of the Internal Revenue Code, skip this Part.	
10 Were unallocated employer securities or proceeds from the sale of unallocated securities used to repay any exempt loan?		☐ Yes ☒ No
11 a Does the ESOP hold any preferred stock?		☐ Yes ☒ No
b If the ESOP has an outstanding exempt loan with the employer as lender, is such loan part of a "back-to-back" loan? (See instructions for definition of "back-to-back" loan.)		☐ Yes ☒ No
12 Does the ESOP hold any stock that is not readily tradable on an established securities market?		☐ Yes ☒ No
For Paperwork Reduction Act Notice, see the Instructions for Form 5500.		
Schedule R (Form 5500) 2023 v. 230707		

Part V Additional Information for Multiemployer Defined Benefit Pension Plans

13 Enter the following information for each employer that (1) contributed more than 5% of total contributions to the plan during the plan year or (2) was one of the top-ten highest contributors (measured in dollars). See instructions. *Complete as many entries as needed to report all applicable employers.*

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

a Name of contributing employer

b EIN

c Dollar amount contributed by employer

d Date collective bargaining agreement expires (If employer contributes under more than one collective bargaining agreement, check box ☐ and see instructions regarding required attachment. Otherwise, enter the applicable date.) Month _____ Day _____ Year _____

e Contribution rate information (If more than one rate applies, check this box ☐ and see instructions regarding required attachment. Otherwise, complete lines 13e(1) and 13e(2).)

(1) Contribution rate (in dollars and cents) _____

(2) Base unit measure: ☐ Hourly ☐ Weekly ☐ Unit of production ☐ Other (specify): _____

- 14** Enter the number of deferred vested and retired participants (inactive participants), as of the beginning of the plan year, whose contributing employer is no longer making contributions to the plan for:

a The current plan year. Check the box to indicate the counting method used to determine the number of inactive participants: ☐ last contributing employer ☐ alternative ☐ reasonable approximation (see instructions for required attachment)

b The plan year immediately preceding the current plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)

c The second preceding plan year. ☐ Check the box if the number reported is a change from what was previously reported (see instructions for required attachment)

14a**14b****14c**

- 15** Enter the ratio of the number of participants under the plan on whose behalf no employer had an obligation to make an employer contribution during the current plan year to:

a The corresponding number for the plan year immediately preceding the current plan year

b The corresponding number for the second preceding plan year

15a**15b**

- 16** Information with respect to any employers who withdrew from the plan during the preceding plan year:

a Enter the number of employers who withdrew during the preceding plan year

b If line 16a is greater than 0, enter the aggregate amount of withdrawal liability assessed or estimated to be assessed against such withdrawn employers

16a**16b**

- 17** If assets and liabilities from another plan have been transferred to or merged with this plan during the plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

Part VI Additional Information for Single-Employer and Multiemployer Defined Benefit Pension Plans

- 18** If any liabilities to participants or their beneficiaries under the plan as of the end of the plan year consist (in whole or in part) of liabilities to such participants and beneficiaries under two or more pension plans as of immediately before such plan year, check box and see instructions regarding supplemental information to be included as an attachment..... ☐

- 19** If the total number of participants is 1,000 or more, complete lines (a) and (b):

a Enter the percentage of plan assets held as:
Public Equity: _____% Private Equity: _____% Investment-Grade Debt and Interest Rate Hedging Assets: _____%
High-Yield Debt: _____% Real Assets: _____% Cash or Cash Equivalents: _____% Other: _____%

b Provide the average duration of the Investment-Grade Debt and Interest Rate Hedging Assets:
☐ 0-5 years ☐ 5-10 years ☐ 10-15 years ☐ 15 years or more

- 20 PBGC missed contribution reporting requirements.** If this is a multiemployer plan or a single-employer plan that is not covered by PBGC, skip line 20.

a Is the amount of unpaid minimum required contributions for all years from Schedule SB (Form 5500) line 40 greater than zero? ☐ Yes ☐ No

b If line 20a is "Yes," has PBGC been notified as required by ERISA sections 4043(c)(5) and/or 303(k)(4)? Check the applicable box:
☐ Yes.
☐ No. Reporting was waived under 29 CFR 4043.25(c)(2) because contributions equal to or exceeding the unpaid minimum required contribution were made by the 30th day after the due date.
☐ No. The 30-day period referenced in 29 CFR 4043.25(c)(2) has not yet ended, and the sponsor intends to make a contribution equal to or exceeding the unpaid minimum required contribution by the 30th day after the due date.
☐ No. Other. Provide explanation. _____

Part VII IRS Compliance Questions

- 21a** Does the plan satisfy the coverage and nondiscrimination tests of Code sections 410(b) and 401(a)(4) by combining this plan with any other plans under the permissive aggregation rules? ☐ Yes ☒ No

- 21b** If this is a Code section 401(k) plan, check all boxes that apply to indicate how the plan is intended to satisfy the nondiscrimination requirements for employee deferrals and employer matching contributions (as applicable) under Code sections 401(k)(3) and 401(m)(2).

☐ Design-based safe harbor method
☐ "Prior year" ADP test
☒ "Current year" ADP test
☐ N/A

- 22** If the plan sponsor is an adopter of a pre-approved plan that received a favorable IRS Opinion Letter, enter the date of the Opinion Letter ____/____/____ (MM/DD/YYYY) and the Opinion Letter serial number _____.

**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549**

FORM 11-K

☒ **ANNUAL REPORT PURSUANT TO SECTION 15(d) OF THE
SECURITIES EXCHANGE ACT OF 1934**

For the year ended December 31, 2023

Or

☐ **TRANSITION REPORT PURSUANT TO SECTION 15 (d) OF THE
SECURITIES EXCHANGE ACT OF 1934**

For the Transition Period from _____ to _____

Commission file number 1-32525

A. Full title of the plan and the address of the plan, if different from that of the issuer
named below:

AMERIPRISE FINANCIAL 401(k) PLAN

B. Name of issuer of the securities held pursuant to the plan and the address of its principal
executive office:

**AMERIPRISE FINANCIAL, INC.
360 Ameriprise Financial Center
Minneapolis, MN 55474**

**Ameriprise Financial 401(k) Plan
Financial Statements and Supplemental Schedule**

December 31, 2023 and 2022

with Report of Independent Registered Public Accounting Firm

Ameriprise Financial 401(k) Plan Form 11-K

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Report of Independent Auditors

To the Administrator of Ameriprise Financial 401(k) Plan

Opinion

We have audited the accompanying financial statements of Ameriprise Financial 401(k) Plan (the "Plan"), an employee benefit plan subject to the Employee Retirement Income Security Act of 1974 (ERISA), which comprise the statements of net assets available for benefits as of December 31, 2023 and 2022, and the related statement of changes in net assets available for benefits for the years then ended, including the related notes (collectively referred to as the "financial statements").

In our opinion, the accompanying financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2023 and 2022, and the changes in its net assets available for benefits for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (US GAAS). Our responsibilities under those standards are further described in the Auditors' Responsibilities for the Audit of the Financial Statements section of our report. We are required to be independent of the Plan and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America, and for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for one year after the date the financial statements are available to be issued.

Management is also responsible for maintaining a current plan instrument, including all plan amendments, administering the plan, and determining that the plan's transactions that are presented and disclosed in the financial statements are in conformity with the plan's provisions, including maintaining sufficient records with respect to each of the participants, to determine the benefits due or which may become due to such participants.

Auditors' Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with US GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material

if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with US GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Plan's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

Supplemental Schedules Required by ERISA

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. Schedule H, Line 4i — Schedule of Assets (Held at End of Year) as of December 31, 2023 and Schedule H, Line 4a — Schedule of Delinquent Participant Contributions as of and for the year ended December 31, 2023 ("supplemental schedules"), are presented for purposes of additional analysis and are not a required part of the financial statements but are supplementary information required by the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with US GAAS.

In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, including their form and content, are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.

In our opinion, the information in the accompanying supplemental schedules is fairly stated, in all material respects, in relation to the financial statements as a whole, and the form and content are presented in conformity with the Department of Labor's Rules and Regulations for Reporting and Disclosure under ERISA.



Minneapolis, Minnesota
June 20, 2024

Ameriprise Financial 401(k) Plan

Statements of Net Assets Available for Benefits

	December 31,	
	2023	2022
Assets		
Cash	\$ 77,081	\$ 77,157
Investments at fair value	2,997,677,026	2,479,440,517
Investments at contract value	143,799,501	169,191,423
Receivables:		
Accrued income	70,281	72,981
Due from broker	3,244,442	1,513,924
Employer contributions	4,941,089	5,264,099
Participant loans	29,980,596	27,590,582
Total assets	3,179,790,016	2,683,150,683
Liabilities		
Due to broker	5,213,476	1,678,912
Net assets available for benefits at end of year	<u>\$ 3,174,576,540</u>	<u>\$ 2,681,471,771</u>
<i>See Notes to Financial Statements.</i>		

Ameriprise Financial 401(k) Plan

Statements of Changes in Net Assets Available for Benefits

	Years Ended December 31,	
	2023	2022
Additions:		
Contributions:		
Employer, net of forfeitures	\$ 65,539,012	\$ 63,306,817
Participant	129,188,950	124,145,197
Participant rollovers	9,278,010	9,047,985
Total contributions	204,005,972	196,499,999
Investment income:		
Interest	5,255,602	2,332,311
Dividends	19,024,861	20,091,957
Net realized/unrealized appreciation (depreciation)	492,751,477	(477,127,245)
Total investment income (loss)	517,031,940	(454,702,977)
Other income	63,022	73,421
Interest on participant loans	1,325,844	1,020,379
Total additions	722,426,778	(257,109,178)
Deductions:		
Administrative expenses	1,500,014	1,514,054
Withdrawal payments	227,821,995	211,257,555
Total deductions	229,322,009	212,771,609
Net increase (decrease) in net assets available for benefits	493,104,769	(469,880,787)
Net assets available for benefits at beginning of year	2,681,471,771	3,151,352,558
Net assets available for benefits at end of year	<u>\$ 3,174,576,540</u>	<u>\$ 2,681,471,771</u>

See Notes to Financial Statements.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements
December 31, 2023

1. Description of the Plan

General

The Ameriprise Financial 401(k) Plan (the “Plan”), which became effective October 1, 2005, is a defined contribution plan. Under the terms of the Plan, certain regular full-time and part-time employees of Ameriprise Financial, Inc. and its participating subsidiaries (the “Company”) can make contributions to the Plan and are eligible to receive Company contributions beginning with the pay period in which they complete 60 days of service.

The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”). The following is not a comprehensive description of the Plan, and therefore, does not include all situations and limitations covered by the Plan. Participants should refer to the Plan document for more complete information.

Recordkeeping and Trustee of Plan Assets

Alight Solutions is the Plan’s recordkeeper, including the self-directed brokerage account. Principal Custody Solutions is the Plan’s trustee. The Plan is administered by the Ameriprise Financial Employee Benefits Administration Committee (“EBAC”). The Ameriprise Financial 401(k) Investment Committee (“KIC”) selects and monitors the investment options offered to participants under the Plan and oversees matters related to Plan investments (excluding the Ameriprise Financial Stock Fund and investments selected by participants under the self-directed brokerage account). Members of the EBAC and KIC are appointed by fiduciaries as specified in the Plan.

Contributions

Elective Contributions

Each pay period, eligible participants may make pretax and/or Roth 401(k) contributions (up to 80% of eligible compensation), and after-tax contributions (up to 10% of eligible compensation) or a combination of any of the three, not to exceed 80% of their eligible compensation to the Plan through payroll deductions. The Internal Revenue Code of 1986, as amended (the “Code”), imposes a limitation on participants’ pretax and Roth contributions to plans that are qualified under Code Section 401(k) and other specified tax favored plans. This limit was \$22,500 and \$20,500 for 2023 and 2022, respectively for employees under age 50. For employees age 50 and older the limit was \$30,000 and \$27,000 for 2023 and 2022, respectively. The Plan complied with nondiscrimination requirements under the Code for both 2023 and 2022.

Fixed Match Contributions

The Company matches 100% of the first 5% of eligible compensation an employee contributes on a pretax and/or Roth 401(k) basis for each pay period. At the end of each year, the Company completes a fixed match true-up for qualifying participants to ensure the fixed match contribution provided by the Company is equal to the lesser of 5% of eligible compensation or the participants’ annual deferral rate average. Participants must be employed on the last business day of the Plan year or have terminated employment, generally due to retirement (at or after age 65), disability (as defined in the Plan), transfer to Franchise Advisor role or death to receive a true-up contribution.

The Company provides a Company Base Contribution of 2% of eligible compensation each pay period for certain employees not eligible to participate in the Ameriprise Financial Retirement Plan. The Company Base Contribution is invested based on the employee’s elections or a default fund if no elections are made and eligible employees are not required to elect to save their own money to receive this contribution.

Limit on Contributions

For purposes of the Plan, eligible compensation is a participant’s regular cash compensation up to \$330,000 and \$305,000 for 2023 and 2022, respectively, before tax deductions and certain other withholdings. Eligible compensation for all employees includes performance related cash bonuses, overtime, commissions and certain other amounts in addition to regular earnings.

Rollover Contributions

A rollover is a transfer to the Plan of a qualified distribution in accordance with the provisions of the Plan. Rollovers into the Plan are not eligible for Company match contributions.

Vesting

Participants are immediately vested in their pretax, Roth 401(k), after-tax, and rollover contributions and any income and appreciation on such contributions. Company contributions are vested on a five-year graded schedule of 20% per year of service with the Company or if the participant attains age 65 as an active employee, becomes disabled or deceased while employed.

Forfeitures

Forfeitures are transferred to a forfeiture account, which is maintained for the benefit of the Plan as a whole and is not attributable to any given participant. The balance of the forfeiture account may be used to pay plan expenses, offset the Company’s obligation to fund Company contributions to the plan or restore previously forfeited balances for rehires. At December 31, 2023 and 2022, the

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

forfeiture account totaled \$33,722 and \$118,115, respectively. Forfeitures used totaled \$2,297,555 and \$2,074,206 for 2023 and 2022, respectively. Forfeitures generated for the plan years ended December 31, 2023 and 2022 were \$2,213,162 and \$2,074,091, respectively.

Tax Status

As long as the Plan remains qualified and tax exempt, amounts invested in the Plan through participant and Company contributions and rollovers, as well as any income and appreciation on such amounts, are not subject to federal income tax until distributed to the participant. See Note 8 for additional information on the Plan's tax status.

Distributions and Withdrawals

If employment ends, participants are eligible to receive a distribution of their vested account balance. Participants (or their beneficiaries) may elect to receive their accounts as a single lump-sum distribution in cash, whole shares of common stock, mutual fund shares held under the self-directed brokerage account, or a combination of cash and shares. Partial payments may be available to participants who meet certain requirements set forth in the Plan document. The Plan will pay out vested balances of \$5,000 or less as a lump sum payment within 60 days of termination of employment. Balances of less than \$1,000 will be paid directly to the participant and balances of \$1,000 to \$5,000 will be rolled over to a safe harbor IRA. Terminated participants with balances greater than \$5,000 can defer payment until age 72. Effective March 2024, the de minimus force-out threshold increased and vested balances up to \$7,000 will be distributed as a lump sum payment within 60 days of termination of employment. Balances up to \$1,000 will be paid directly to the participant and balances of \$1,000 to \$7,000 will be rolled over to a safe harbor individual retirement account. Terminated participants with balances greater than \$7,000 can defer payment until age 73.

Participants may be eligible to request an in-service withdrawal of all or a portion of their vested account balance subject to limitations under the terms of the Plan and certain tax penalties imposed by the Code. Participants may elect to receive their withdrawal in cash, whole shares of common stock, mutual fund shares held under the self-directed brokerage account, or a combination of cash and shares.

Loan Program

Participants may borrow from their fund accounts a minimum of \$500 and up to a maximum of the lesser of \$50,000 or 50% of their vested account balance. The administrative loan origination fee of \$75 per loan is paid by the participant and is deducted from the proceeds of the loan. Loan terms range up to 59 months unless the loan is used towards the purchase of a primary residence in which case the loan terms can range up to 359 months. The loans are secured by the balance in the participant's account and bear a fixed interest rate of the prime rate as reported in the Wall Street Journal on the 15th of the month before the date the loan is originated. Principal and interest payments are deducted automatically from the participant's pay each period.

If the participant's employment with the Company ends for any reason, and their Plan loan is current, the Plan allows the participant to make repayment arrangements with the Plan's Administrative Delegate before their loan would otherwise default. If so requested, upon the participant's termination, the participant's loan will be re-amortized to a monthly repayment schedule.

If the participant's employment with the Company ends for any reason, and they have a Plan loan, they have the option to continue to make loan payments or pay off the loan in full within 90 days in order to prevent a default and acceleration due to non-payment. If the outstanding loan is not paid in full within 90 days from separation from service or an alternative arrangement is not made, the loan will automatically be foreclosed and the amount outstanding will be immediately deducted from the benefit payable to the plan participant from the Plan. The amount deducted will be treated as a distribution to that participant regardless of whether they elected to receive a distribution of their vested Plan account. Unless the outstanding loan amount was previously taxed as a "deemed distribution," the participant will then be responsible for any income taxes on the amount of the outstanding loan balance and possibly a 10% additional Internal Revenue Service ("IRS") penalty tax that applies to early distributions.

Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts.

2. Significant Accounting Policies

Basis of Accounting

The accompanying financial statements have been prepared on the accrual basis of accounting.

Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles ("GAAP") requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

Plan Fees and Expenses

Administrative expenses, which may include recordkeeping, participant servicing, legal fees, trustee fees, loan origination fees, fees incurred within the self-directed brokerage account and investment consulting fees, among other expenses, are paid by Plan participants and recorded as incurred, unless paid by the Company. The Company currently pays a portion of the administrative expenses, including fees of the auditors, legal fees and certain investment managers.

Fees paid to investment managers are paid from the fees associated with the investment options offered by the Plan, unless paid by the Company. In addition, expenses related to the investment of the Plan funds, for example, brokerage commissions, stock transfer or other taxes and charges incurred for the purchase or sale of the funds' investments, as opposed to administrative expenses, are generally paid by the Plan participants out of the applicable investment. Fees paid out of an investment reduce the return of that investment.

A flat fee of \$21 per quarter is charged to participant accounts with a balance of \$5,000 or more (including loan balances). It is deducted proportionately from the participant's investment options on a quarterly basis. The fee is deposited in the dedicated expense account and may be used to pay eligible administrative expenses of the Plan. As permitted under U.S. Securities and Exchange Commission rule 12b-1, mutual funds or share classes are assessed a fee to help cover the costs associated with marketing and selling the fund ("12b-1 fees"). The 12b-1 fees may also be used to cover shareholder servicing expenses. The only 12b-1 fees incurred are on certain self-directed brokerage funds.

Other Income

Other income includes a rebate of a portion of revenue sharing payments made to the Plan from a portion of the 12b-1 fees incurred from certain funds within the self-directed brokerage account. These payments are deposited in the dedicated expense account and may be used to pay eligible administrative expenses of the Plan. Other income is recorded when earned.

Valuation of Investments and Income Recognition

Investments are reported at fair value, with the exception of fully benefit-responsive investment contracts which are reported at contract value. See Note 4 and Note 5 for the Plan's accounting policies related to the fully benefit-responsive investment contracts and the valuation of investments, respectively.

Purchases and sales of securities are reflected on a trade-date basis. The cost of securities sold is determined using the average cost method. Dividend income is recorded on the ex-dividend date. Interest income is recorded as earned. As required by the Plan, all dividend and interest income is reinvested into the same investment funds in which the dividends and interest arose. Net appreciation (depreciation) includes the Plan's gains and losses on investments bought and sold as well as the change in fair value of assets.

Participant Loans

Participant loans are measured at their unpaid principal balance plus any accrued but unpaid interest, which is a reasonable estimate of fair value due to restrictions on the transfers of these loans. Interest income on participant loans is recorded when it is earned.

Withdrawal Payments

Withdrawal payments are recorded when paid.

3. Investments

Investment Elections

A participant may currently elect to invest contributions in any combination of investment funds in increments of 1% and change investment elections for future contributions or transfer existing account balances on any business day the New York Stock Exchange is open. Investment funds may impose redemption restrictions.

Investment Options

A summary of investment options as of December 31, 2023 and 2022 is set forth below.

Mutual Funds

As of December 31, 2023, the John Hancock Disciplined Value Mid Cap Fund R6 is the only mutual fund in the plan. As of December 31, 2022, mutual funds included the John Hancock Disciplined Value Mid Cap Fund R6 and the Allspring Small Company Growth R6 fund.

Collective Investment Funds

The Collective Investment Funds include various investment options as follows: VOYA Target Solution Trust Funds, Victory Small Cap Value Collective Fund (75), Boston Partners Large Cap Value Equity CIT (Class F), Wellington Trust NA CIF II Growth 2, GQG Partners International Equity CIT Fund (Class C), Columbia Trust Contrarian Core Fund, Columbia Trust Total Return Bond A Fund, BlackRock Equity Index Fund, BlackRock Russell 2500 Index Fund, BlackRock MSCI ACWI ex-US Index Fund, BlackRock US Debt Index Fund and Peregrine Small Cap Growth CIT Fund.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

Collective investment funds allow for daily redemptions but may require advance notice in certain circumstances. There were no unfunded commitments for the Collective Investment Funds as of December 31, 2023 and 2022.

Separate Managed Account

The Congress Mid Cap Growth Fund is a separate account managed by Congress Asset Management Company. The fund invests at least 80% of its net assets in equity securities of mid-capitalization companies. The remaining 20% of its net assets can be invested in equity securities of small-capitalization and large-capitalization companies.

Ameriprise Financial Stock Fund

The Ameriprise Financial Stock Fund is an Employee Stock Ownership Plan ("ESOP") that invests primarily in the Company's common stock, purchased in either the open market or directly from the Company, and in cash or short-term cash equivalents.

Self-Directed Brokerage Account

The Plan's self-directed brokerage option gives participants the choice to invest in more than 14,000 mutual funds including exchange-traded funds and closed-ended mutual funds. Ameriprise Financial, Inc. was formerly a wholly owned subsidiary of American Express Company ("American Express"). On September 30, 2005, Ameriprise Financial, Inc. spun-off from American Express. As a result, American Express common stock was an investment option as specified by the Plan. Employees had the option to transfer the value of the American Express common stock to another investment in the Plan or transfer it to the self-directed brokerage option. American Express common stock may be held in the self-directed brokerage account on a hold or sell basis only and, with the exception of reinvestment of dividends, new purchases are not allowed.

Income Fund

The Income Fund is a stable value separately managed account which invests primarily in various book value wrap contracts with varying maturities, sizes and yields, offered by insurance companies, banks or financial institutions, which are backed by fixed income securities issued by the U.S. government and its agencies. See Note 4 for a more comprehensive discussion of book value wrap contracts. Ameriprise Trust Company is the investment manager for the Income Fund. The Income Fund also invests in the Columbia Trust Government Money Market Fund (which invests primarily in short-term debt instruments issued by the U.S. government and its agencies). The investment objective of the Income Fund is to preserve principal and income, while maximizing current income. There is no assurance that the Income Fund will meet its objective.

4. Book Value Wrap Contracts

Book value wrap contracts are fully benefit-responsive synthetic guaranteed investment contracts and comprised of both an investment and a contractual component. The investment component consists of a portfolio of actively managed fixed income securities and of units of a money market collective investment fund, referred to as the Covered Assets, which may be owned by the Income Fund. The Covered Assets include U.S. government and agency bonds and mortgage backed securities issued or guaranteed by the U.S. government. The Income Fund enters into book value wrap contracts (the contractual component) with third parties, generally insurance companies, banks or financial institutions, to underwrite the performance of the Covered Assets from the risk of adverse interest rate movements. Under these contracts, the third party is obligated to provide sufficient funds to cover participant benefit withdrawals and certain types of investment transfers regardless of the market value of the Covered Assets. While the contracts are designed to protect the Income Fund against interest rate risk, the Income Fund is still exposed to risk if issuers of Covered Assets default on payment of interest or principal or upon the occurrence of certain events, described below, involving the Income Fund, its plan sponsor or its investment manager.

Fully benefit-responsive book value wrap contracts held by a separately managed account created for a defined contribution plan are reported at contract value. Contract value is the relevant measurement attribute for that portion of the net assets available for benefits of a defined contribution plan attributable to fully benefit-responsive book value wrap contracts because contract value is the amount participants would receive if they were to initiate permitted transactions under the terms of the Plan. Contract value represents the face amount of the contract plus accrued interest at the contract rate.

Certain events may limit the ability of the Income Fund to transact at contract value with the book value wrap contract issuers for participant benefit payments or investment transfers. Possible events include a transfer from the Income Fund in violation of the equity wash required by the book value wrap contracts. An equity wash restriction prohibits money from being moved directly from the Income Fund to the self-directed brokerage account, without first being invested in another investment fund for 90 days. After the 90 days, the assets may be transferred from the other investment fund to the self-directed brokerage account. Other possible events include participant-directed withdrawals that occur due to a plan sponsor-initiated event, such as the implementation of an early retirement program or facility closing, of which the book value wrap contract issuer has not been made aware, or a request by the trustee to terminate a contract at market value. While these events are not probable, it is possible that they could occur.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

Certain events may allow the book value wrap contract issuer to terminate a book value wrap contract and settle at the market value of the Covered Assets, as opposed to contract value. These events may include the termination of the Plan or the Trust holding the Income Fund assets, the replacement of the trustee of the Income Fund without the consent of the book value wrap contract issuer, a change in the investment guidelines, administration or policies of the Income Fund that may cause a material adverse effect on the book value wrap contract issuer, a breach of the contract terms by a counterparty, a legal or regulatory event such as a ruling by a regulatory agency governing the Income Fund, its investment manager or the book value wrap contract issuer that may cause material adverse effect to a party under the book value wrap contract, or the failure of the Trust to be tax-exempt under the Internal Revenue Code.

5. Fair Value Measurements

GAAP defines fair value as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date; that is, an exit price. The exit price assumes the asset or liability is not exchanged subject to a forced liquidation or distressed sale.

Valuation Hierarchy

The Plan categorizes its fair value measurements according to a three-level hierarchy. The hierarchy prioritizes the inputs used by the Plan's valuation techniques. A level is assigned to each fair value measurement based on the lowest level input that is significant to the fair value measurement in its entirety. The three levels of the fair value hierarchy are defined as follows:

Level 1 Unadjusted quoted prices for identical assets or liabilities in active markets that are accessible at the measurement date.

Level 2 Prices or valuations based on observable inputs other than quoted prices in active markets for identical assets and liabilities.

Level 3 Prices or valuations that require inputs that are both significant to the fair value measurement and unobservable.

The following tables present the balances of assets measured at fair value on a recurring basis:

	December 31, 2023			
	Level 1	Level 2	Level 3	Total
Investments				
Mutual funds	\$ 77,565,528	\$ —	\$ —	\$ 77,565,528
Ameriprise Financial common shares	412,794,686	—	—	412,794,686
Self-directed brokerage account	447,832,133	—	—	447,832,133
Common stock	110,344,415	9,097,590	—	119,442,005
Collective investment funds measured at net asset value ("NAV") ⁽¹⁾				1,940,042,674
Total investments at fair value	<u>\$ 1,048,536,762</u>	<u>\$ 9,097,590</u>	<u>\$ —</u>	<u>\$ 2,997,677,026</u>
	December 31, 2022			
	Level 1	Level 2	Level 3	Total
Investments				
Mutual funds	\$ 130,266,946	\$ —	\$ —	\$ 130,266,946
Ameriprise Financial common shares	351,762,162	—	—	351,762,162
Self-directed brokerage account	391,101,202	—	—	391,101,202
Common stock	96,333,250	5,999,660	—	102,332,910
Collective investment funds measured at NAV ⁽¹⁾				1,503,977,297
Total investments at fair value	<u>\$ 969,463,560</u>	<u>\$ 5,999,660</u>	<u>\$ —</u>	<u>\$ 2,479,440,517</u>

⁽¹⁾ Amounts are comprised of investments measured at fair value using NAV (or its equivalent) as a practical expedient and have not been classified within the fair value hierarchy.

Determination of Fair Value

The Plan uses valuation techniques consistent with the market approach to measure the fair value of its assets. The Plan's market approach uses prices and other relevant information generated by market transactions involving identical or comparable assets. The Plan maximizes the use of observable inputs and minimizes the use of unobservable inputs. All other assets of the Plan are valued using NAV.

The following is a description of the valuation techniques used to measure fair value and the general classification of these instruments pursuant to the fair value hierarchy.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

Investments

Mutual Funds

The fair value of the John Hancock Disciplined Value Mid Cap Fund R6 and the Allspring Small Company Growth R6 fund is determined by the NAV which represents the exit price. The fair value is classified as Level 1 as the funds are traded in active markets and quoted prices are available.

Ameriprise Financial Common Shares

The fair value of Ameriprise Financial, Inc. common shares is determined using quoted prices in active markets and is classified as Level 1.

Self-Directed Brokerage Account

Actively traded money market funds are measured at NAV and classified as Level 1. The fair value of common stock and exchange-traded funds are determined using quoted prices in active markets and are classified as Level 1. The fair value of mutual funds is determined by the NAV which represents the exit price. Mutual funds are classified as Level 1 as they are traded in active markets and quoted prices are available.

Common Stock

The fair value of common stock classified as Level 1 is determined using quoted prices in active markets and the fair value of common stock classified as Level 2 is determined based on a market approach using observable inputs.

Collective Investment Funds

The fair value of collective investment funds is determined by the NAV of the funds. The NAV is used as a practical expedient and represents the exit price for the funds. These funds are excluded from classification in the fair value hierarchy. Collective investment funds are traded in principal-to-principal markets with little publicly released pricing information.

6. Transactions with Parties-in-Interest

The Plan allows for transactions with certain parties who may perform services or have fiduciary responsibilities to the Plan. Parties-in-interest include the Company, the trustee of the Plan assets (Principal Custody Solutions) and the Plan's recordkeeper (Alight Solutions). Transactions involving funds managed by the Company, trustee and recordkeeper are considered party-in-interest transactions. These transactions, based on customary and reasonable rates, are not, however, considered prohibited transactions under Section 408(b) of ERISA and the regulations promulgated thereunder.

The Columbia Trust collective funds are maintained by Ameriprise Trust Company, a Minnesota-chartered trust company, and distributed by Columbia Management Investment Distributors, Inc., member FINRA. Ameriprise Trust Company serves as trustee and offers investment management and related services to these collective funds. Columbia Management Investment Advisers, LLC provides investment advice for certain of these funds in a subadvisory capacity. These companies are wholly-owned subsidiaries of Ameriprise Financial, Inc.

The total fair value of Ameriprise Financial, Inc.'s common stock held by plan participants was \$412,794,686 and \$351,762,162 as of December 31, 2023 and 2022, respectively. The total fair value of the investment options, excluding the self-directed brokerage account, managed by subsidiaries of Ameriprise Financial, Inc. was \$343,180,052 and \$271,837,529 as of December 31, 2023 and 2022, respectively. The investments at contract value managed by subsidiaries of Ameriprise Financial, Inc. was \$143,799,501 and \$169,191,423 as of December 31, 2023 and 2022, respectively. As investment manager, these subsidiaries earn annual management fees ranging from 0.15% to 0.33% of the amounts invested in the collective investment funds. Fees incurred for investment management services for the Income Fund, excluding fees associated with wrap contracts which are paid by the Plan, are paid directly by the Company. Fees paid by the Plan for investment management services are included as a reduction of the return earned on each collective investment fund. Participant loans also qualify as party-in-interest transactions and are secured by the vested balances in participant accounts.

See Note 2 for more information on Plan fees and expenses.

7. Risks and Uncertainties

The Plan invests in various investment securities, which are exposed to various risks such as interest rate, market and credit risks. Due to the level of risk associated with certain investments, it is at least reasonably possible that changes in the values of investment securities will occur in the near term and that such changes could materially affect participants' account balances and the amounts reported in the Statements of Net Assets Available for Benefits.

Ameriprise Financial 401(k) Plan
Notes to Financial Statements (continued)
December 31, 2023

8. Income Tax Status

The Plan received a favorable determination letter from the IRS dated September 7, 2017 indicating that the Plan is qualified under the Code, the related trust established under the Plan is tax-exempt and the Plan satisfies the requirement of Code Section 4975(e)(7). The Plan has been amended after the period covered by the determination letter. Once qualified, the Plan is required to operate in conformity with the Code to maintain its qualification. The Company believes the Plan, as amended, is currently designed and operated in compliance with the applicable requirements of the Code, and therefore the Plan and the related trust are intended to be qualified and tax-exempt, and the Plan is intended to satisfy the requirements of Code Section 4975(e)(7). The IRS no longer issues determination letters to qualified plans on a five-year cycle to evidence compliance with IRS rules.

There are no uncertain tax positions taken or expected to be taken that would require recognition of a liability (or asset) or disclosure in the Plan's financial statements. The Plan is subject to routine audits by tax jurisdictions; however, there are currently no audits for any tax periods in progress. The Plan believes it is no longer subject to income tax examinations for years prior to 2020.

9. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of amounts reported in the financial statements to amounts reported on Form 5500:

	December 31,	
	2023	2022
Net assets available for benefits per the financial statements	\$ 3,174,576,540	\$ 2,681,471,771
Deemed distributions of participant loans	(221,358)	(188,247)
Difference between contract value and fair value of fully benefit-responsive investment contracts	(10,883,954)	(13,045,526)
Net assets available for benefits per Form 5500	<u>\$ 3,163,471,228</u>	<u>\$ 2,668,237,998</u>
	Years Ended December 31,	
	2023	2022
Net increase (decrease) in net assets available for benefits per the financial statements	\$ 493,104,769	\$ (469,880,787)
Change in deemed distributions of participant loans	(33,111)	5,552
Change in difference between contract value and fair value of fully benefit-responsive investment contracts	2,161,572	(13,066,284)
Net income (loss) per Form 5500	<u>\$ 495,233,230</u>	<u>\$ (482,941,519)</u>

10. Subsequent Events

The Company evaluated events or transactions that occurred after the statement of net assets available for benefits date for potential recognition or disclosure through the date the financial statements were issued. The annual fixed match true-up contribution of \$4,941,089 for the 2023 plan year, which is recorded as an Employer contributions receivable as of December 31, 2023, was posted to participant accounts on January 20, 2024.

As of March 25, 2024, the Income Fund separately managed account was transferred in-kind to the Columbia Trust Stable High Quality Income Fund which is a collective investment fund managed by the Ameriprise Trust Company. The new investment has the same objective and is structured and managed in a similar way to the separate account.

Ameriprise Financial 401(k) Plan
SUPPLEMENTAL SCHEDULES

Ameriprise Financial 401(k) Plan
Schedule H, Line 4a — Schedule of Delinquent Participant Contributions
As Of And For The Year Ended December 31, 2023

Participant Contributions Transferred Late to Plan	Total that Constitute Nonexempt Prohibited Transactions			Total Fully Corrected Under VFCP and PTE 2002-51
\$ 85	\$ —			
Check Here If Late Participant Loan Payments Included	Contributions Not Corrected	Contributions Corrected Outside VFCP	Contributions Pending Correction in VFCP	
☐	\$ —	\$ —	\$ —	\$ 85

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	Mutual Funds —			
	John Hancock Disciplined Value Mid Cap Fund R6	2,834,997		77,565,528
	Total Mutual Funds			77,565,528
	Collective Investment Funds —			
	GQG Partners International Equity (Class C)	8,790,885		131,423,726
*	Columbia Trust Contrarian Core Fund	20,513,255		223,799,616
*	Columbia Trust Gov Money Market Fund	9,881,122		9,881,122
*	Columbia Trust Total Return Fund I	9,538,268		109,499,314
	Peregrine Commingled Invt Trust	5,650,964		78,265,845
	Boston Partners Large Cap Value Equity CIT (Class D)	3,655,161		127,272,720
	Victory Small Cap Value Collective Fund (75)	1,823,503		89,217,259
	VOYA Target Solution Trust Income (Class 4)	2,481,163		43,841,187
	VOYA Target Solution Trust 2025 (Class 4)	2,736,218		62,328,673
	VOYA Target Solution Trust 2030 (Class 4)	4,063,194		101,004,698
	VOYA Target Solution Trust 2035 (Class 4)	3,608,047		96,490,975
	VOYA Target Solution Trust 2040 (Class 4)	3,144,228		90,750,677
	VOYA Target Solution Trust 2045 (Class 4)	2,757,071		83,180,895
	VOYA Target Solution Trust 2050 (Class 4)	1,703,247		51,491,022
	VOYA Target Solution Trust 2055 (Class 4)	1,054,516		32,005,023
	VOYA Target Solution Trust 2060 (Class 4)	873,793		18,872,965
	VOYA Target Solution Trust 2065 (Class 4)	512,669		6,920,651
	Wellington Trust NA CIF II Growth 2	6,886,066		190,055,433
	BlackRock US Equity Index Fund	12,641,958		287,015,433
	BlackRock Russell 2500 Index Fund	1,282,971		37,130,214
	BlackRock MSCI ACWI ex-US Index Fund	2,377,040		34,992,401
	BlackRock US Debt Index Fund	1,987,840		23,549,541
*	Principal/BlackRock Short-Term Investment Fund	11,053,284		11,053,284
	Total Collective Investment Funds			1,940,042,674
	Common Stock —			
	Avery Dennison Corp	15,000		3,032,400
	Booz Allen Hamilton Holding Co	25,000		3,197,750
	Bruker Corporation	35,000		2,571,800
	Brown & Brown Inc.	30,000		2,133,300
	BJ's Wholesale Club Holdings, Inc.	35,000		2,333,100
	Charles River Laboratories	11,000		2,600,400
	Church & Dwight Inc	32,500		3,073,200
	Championx Corp	100,000		2,921,000
	Cooper Cos Inc Com New	7,500		2,838,300
	Copart Inc Com	89,000		4,361,000
	Crane Holdings Co	35,000		4,134,900
	Deckers Outdoor Corp	5,000		3,342,150
	Diodes Inc	35,000		2,818,200

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	Darden Restaurants Inc	20,000		3,286,000
	Emcor Group Inc Com	17,500		3,770,025
	Entegris Inc	25,000		2,995,500
	Fabrinet	13,000		2,474,290
	Factset Resh Sys Inc Com	7,000		3,339,350
	Hologic Inc Com	32,500		2,322,125
	Keysight Technologies Inc	17,500		2,784,075
	Mettler-Toledo International Inc	2,000		2,425,920
	Monolithic Pwr Sys Inc Com	7,000		4,415,460
	Nvent Electric PLC	60,000		3,545,400
	Paycom Software Inc	12,500		2,584,000
	Perficient Inc	37,500		2,468,250
	Pool Corporation	7,500		2,990,325
	Qualys Inc	17,500		3,434,900
	Raymond James Financial Inc	20,000		2,230,000
	Resmed Inc	14,000		2,408,280
	Saia Inc Com	9,000		3,943,980
	SPS Commerce Inc	15,000		2,907,600
	Steris Plc	14,000		3,077,900
	Sun Cmntys Inc Com	17,500		2,338,875
	Take-Two Interactive Software	17,500		2,816,625
	Teledyne Technologies Inc	7,000		3,124,030
	Ulta Beauty, Inc	6,500		3,184,935
	Valvoline Inc	65,000		2,442,700
	Watts Water Technologies Inc	16,000		3,333,440
	West Pharmaceutical Services Inc	8,500		2,993,020
	Willscot Mobile Mini Holdings	55,000		2,447,500
	Total Common Stock			119,442,005
	Ameriprise Financial Stock Fund —			
*	Ameriprise Financial, Inc. Common Shares	1,086,788		412,794,686
	Total Ameriprise Financial Stock Fund			412,794,686
***	Self-Directed Brokerage Account			447,832,133

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
*	Columbia Trust Gov Money Market Fund	32,326,593		32,326,593
	U.S. Government and Agency Securities —			
	FFCB 4.750% 05/28/2026	2,350,000		2,377,003
	FGOLD 15YR 4.000% 02/01/2025	283		280
	FGOLD 15YR 4.000% 02/01/2025	1,918		1,894
	FGOLD 15YR 4.000% 03/01/2025	484		479
	FGOLD 15YR 4.000% 06/01/2025	833		824
	FGOLD 15YR 4.000% 07/01/2025	1,004		992
	FGOLD 15YR 3.500% 08/01/2025	5,877		5,720
	FGOLD 15YR 4.000% 08/01/2025	6,206		6,128
	FGOLD 15YR 3.500% 09/01/2025	3,805		3,749
	FGOLD 15YR 3.500% 10/01/2025	415		409
	FGOLD 15YR 3.500% 10/01/2025	16,938		16,683
	FGOLD 15YR 3.500% 10/01/2025	3,093		3,046
	FGOLD 15YR 4.000% 10/01/2025	144		141
	FGOLD 15YR 4.000% 10/01/2025	713		704
	FGOLD 15YR 3.000% 11/01/2025	1,069		1,048
	FGOLD 15YR 3.000% 11/01/2025	376		368
	FGOLD 15YR 3.500% 11/01/2025	2,822		2,777
	FGOLD 15YR 3.500% 11/01/2025	13,523		13,310
	FGOLD 15YR 3.500% 12/01/2025	2,632		2,590
	FGOLD 15YR 3.500% 12/01/2025	35,478		34,917
	FGOLD 15YR 3.500% 12/01/2025	47		47
	FGOLD 15YR 3.500% 12/01/2025	1,013		997
	FGOLD 15YR 3.500% 12/01/2025	3,491		3,435
	FGOLD 15YR 3.500% 02/01/2026	1,509		1,485
	FGOLD 15YR 3.500% 03/01/2026	1,934		1,902
	FGOLD 15YR 3.500% 03/01/2026	4,255		4,147
	FGOLD 15YR 4.000% 03/01/2026	360		356
	FGOLD 15YR 3.500% 04/01/2026	5,744		5,646
	FGOLD 15YR 3.500% 05/01/2026	242		238
	FGOLD 15YR 4.000% 05/01/2026	7,197		7,110
	FGOLD 15YR 3.500% 06/01/2026	17,754		17,458
	FGOLD 15YR 4.000% 06/01/2026	5,746		5,672
	FGOLD 15YR 3.500% 07/01/2026	2,542		2,488
	FGOLD 15YR 3.500% 07/01/2026	3,149		3,092
	FGOLD 15YR 3.500% 07/01/2026	27,381		26,875
	FGOLD 15YR 3.500% 07/01/2026	1,880		1,849
	FGOLD 15YR 3.000% 08/01/2026	2,430		2,372
	FGOLD 15YR 3.500% 08/01/2026	904		887
	FGOLD 15YR 3.500% 08/01/2026	13,923		13,661
	FGOLD 15YR 3.500% 08/01/2026	6,730		6,610
	FGOLD 15YR 3.000% 09/01/2026	16,988		16,580

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FGOLD 15YR 3.500% 09/01/2026	612		595
	FGOLD 15YR 3.500% 09/01/2026	717		703
	FGOLD 15YR 3.500% 09/01/2026	1,695		1,663
	FGOLD 15YR 3.000% 10/01/2026	848		827
	FGOLD 15YR 3.000% 10/01/2026	1,937		1,888
	FGOLD 15YR 3.000% 11/01/2026	13,652		13,317
	FGOLD 15YR 3.000% 12/01/2026	50,552		49,266
	FGOLD 15YR 3.000% 01/01/2027	28,933		28,184
	FGOLD 15YR 3.000% 02/01/2027	8,592		8,369
	FGOLD 15YR 3.000% 03/01/2027	1,054		1,026
	FGOLD 15YR 3.000% 01/01/2032	60,503		57,974
	FGOLD 15YR 3.000% 01/01/2032	78,293		75,154
	FGOLD 15YR 3.000% 04/01/2032	235,416		225,509
	FGOLD 15YR 3.500% 05/01/2032	132,474		129,039
	FGOLD 15YR 3.000% 01/01/2033	110,436		105,297
	FGOLD 15YR 3.000% 03/01/2033	225,589		215,649
	FGOLD 15YR GIANT 5.000% 03/01/2025	2,189		2,204
	FGOLD 15YR GIANT 4.000% 05/01/2025	5,901		5,827
	FGOLD 15YR GIANT 4.000% 07/01/2025	1,882		1,859
	FGOLD 15YR GIANT 3.500% 11/01/2025	3,918		3,827
	FGOLD 15YR GIANT 3.500% 12/01/2025	457		450
	FGOLD 15YR GIANT 4.000% 12/01/2025	2,993		2,957
	FGOLD 15YR GIANT 3.500% 04/01/2026	4,131		4,063
	FGOLD 15YR GIANT 4.000% 05/01/2026	511		502
	FGOLD 15YR GIANT 3.500% 07/01/2026	4,543		4,460
	FGOLD 15YR GIANT 3.500% 07/01/2026	5,324		5,227
	FGOLD 15YR GIANT 4.000% 07/01/2026	5,963		5,865
	FGOLD 15YR GIANT 4.000% 07/01/2026	13,871		13,694
	FGOLD 15YR GIANT 3.500% 08/01/2026	2,940		2,886
	FGOLD 15YR GIANT 3.500% 09/01/2026	5,388		5,298
	FGOLD 15YR GIANT 3.000% 11/01/2026	42,271		41,216
	FGOLD 15YR GIANT 3.000% 12/01/2026	15,502		15,130
	FGOLD 15YR GIANT 4.000% 12/01/2026	13,904		13,735
	FGOLD 15YR GIANT 4.000% 12/01/2026	2,176		2,148
	FGOLD 15YR GIANT 3.000% 01/01/2027	1,118		1,089
	FGOLD 15YR GIANT 3.500% 01/01/2027	29,708		28,934
	FGOLD 15YR GIANT 3.000% 09/01/2027	4,267		4,157
	FGOLD 15YR GIANT 3.500% 06/01/2029	19,479		18,994
	FGOLD 15YR GIANT 3.500% 07/01/2029	58,880		57,403
	FGOLD 15YR GIANT 3.500% 08/01/2029	4,083		3,980
	FGOLD 15YR GIANT 3.500% 11/01/2029	6,330		6,168
	FGOLD 15YR GIANT 3.500% 11/01/2029	90,510		88,194
	FGOLD 15YR GIANT 3.500% 12/01/2029	128,066		124,805

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FGOLD 15YR GIANT 3.500% 03/01/2030	16,220		15,803
	FGOLD 15YR GIANT 3.500% 04/01/2030	43,797		42,755
	FGOLD 15YR GIANT 3.000% 07/01/2030	108,599		104,531
	FGOLD 15YR GIANT 3.000% 09/01/2030	96,133		92,493
	FGOLD 15YR GIANT 3.000% 10/01/2030	52,602		50,566
	FGOLD 15YR GIANT 3.000% 12/01/2030	197,530		189,868
	FGOLD 15YR GIANT 3.000% 02/01/2031	144,398		138,602
	FGOLD 15YR GIANT 3.000% 03/01/2031	97,902		93,911
	FGOLD 15YR GIANT 3.000% 05/01/2031	230,920		221,663
	FGOLD 15YR GIANT 3.000% 09/01/2031	144,000		138,231
	FGOLD 15YR GIANT 3.000% 01/01/2032	256,523		245,796
	FGOLD 15YR GIANT 3.000% 03/01/2032	432,928		415,579
	FGOLD 15YR GIANT 3.500% 08/01/2032	234,365		228,725
	FGOLD 15YR GIANT 3.000% 04/01/2033	6,775		6,433
	FGOLD 15YR GIANT 3.500% 08/01/2033	72,583		71,356
	FGOLD 15YR GIANT 3.500% 11/01/2033	7,749		7,618
	FGOLD 15YR GIANT 3.500% 12/01/2033	56,092		55,143
	FGOLD 15YR GIANT 3.500% 02/01/2034	76,085		75,170
	FHLB 2.750% 12/13/2024	2,625,000		2,574,924
	FHLB 2.375% 03/14/2025	2,325,000		2,261,896
	FHLB 2.125% 12/11/2026	3,525,000		3,325,702
	FHLMC 0.375% 09/23/2025	4,825,000		4,504,922
	FHLMC 15YR UMBS 3.000% 12/01/2034	300,159		284,674
	FHLMC 15YR UMBS 3.000% 12/01/2034	402,625		380,491
	FHLMC 15YR UMBS 2.000% 08/01/2035	1,363,919		1,230,387
	FHLMC 15YR UMBS 2.000% 08/01/2035	1,486,769		1,341,215
	FHLMC 15YR UMBS MIRROR 3.000% 03/01/2031	210,217		201,429
	FHLMC 15YR UMBS MIRROR 2.500% 07/01/2032	95,266		89,567
	FHLMC 15YR UMBS MIRROR 2.500% 11/01/2032	205,631		192,904
	FHLMC 15YR UMBS MIRROR 2.500% 05/01/2033	217,801		202,686
	FHLMC 15YR UMBS MIRROR 3.000% 04/01/2034	61,931		58,738
	FHLMC 15YR UMBS SUPER 3.000% 01/01/2034	132,366		126,033
	FHLMC 15YR UMBS SUPER 2.500% 08/01/2034	339,184		315,620
	FHLMC 15YR UMBS SUPER 2.500% 10/01/2034	53,707		49,975
	FHLMC 15YR UMBS SUPER 2.500% 12/01/2034	261,932		243,730
	FHLMC 15YR UMBS SUPER 2.000% 06/01/2035	314,507		282,762
	FHLMC 15YR UMBS SUPER 2.000% 09/01/2035	1,118,946		1,009,404
	FHLMC 15YR UMBS SUPER 2.000% 10/01/2035	1,191,188		1,074,563
	FHLMC 15YR UMBS SUPER 3.500% 06/01/2037	772,439		743,364
	FHLMC 15YR UMBS SUPER 4.000% 08/01/2037	32,528		31,909
	FHLMC 15YR UMBS SUPER 4.500% 11/01/2037	391,257		389,086
	FHLMC 15YR UMBS SUPER 5.000% 12/01/2037	1,021,671		1,027,590
	FHLMC 15YR UMBS SUPER 5.000% 07/01/2038	439,345		441,828

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FHLMC 15YR UMBS SUPER 5.500% 11/01/2038	667,234		676,765
	FHLMC 5/1 HYBRID ARM 5.890% 12/01/2036 VARIABLE	15,601		15,902
	FHLMC REFERENCE NOTE 1.500% 02/12/2025	5,325,000		5,141,375
	FHLMC_K038 3.389% 03/25/2024	977,602		972,865
	FHLMC_K040 2.768% 04/25/2024	60,343		59,848
	FHLMC_K040 3.241% 09/25/2024	320,000		315,174
	FHLMC_K041 3.171% 10/25/2024	1,088,251		1,069,826
	FHLMC_K044 2.811% 01/25/2025	782,369		764,473
	FHLMC_K045 3.023% 01/25/2025	1,030,733		1,008,197
	FHLMC_K047 3.329% 05/25/2025	795,000		778,355
	FHLMC_K048 3.284% 06/25/2025	435,313		425,751
	FHLMC_K050 2.802% 01/25/2025	316,826		311,970
	FHLMC_K050 3.334% 08/25/2025	40,000		39,058
	FHLMC_K052 3.151% 11/25/2025	700,000		680,997
	FHLMC_K053 2.995% 12/25/2025	555,000		537,521
	FHLMC_K056 2.525% 05/25/2026	2,675,000		2,556,264
	FHLMC_K078 3.854% 06/25/2028	750,000		734,148
	FHLMC_K092 3.125% 10/25/2028	333,279		322,787
	FHLMC_K728 3.064% 08/25/2024	33,935		33,411
	FHLMC_K729 3.136% 10/25/2024	55,000		54,087
	FHLMC_K730 3.590% 01/25/2025	380,397		374,514
	FHLMC_K736 1.895% 06/25/2025	243,059		238,934
	FHLMC_T-13 6.085% 09/25/2029	26		25
	FHMS_17-K066 2.797% 12/25/2026	419,960		407,293
	FNMA 0.625% 04/22/2025	7,825,000		7,433,466
	FNMA 15YR 5.000% 02/01/2024	266		265
	FNMA 15YR 4.500% 05/01/2024	19		19
	FNMA 15YR 4.500% 05/01/2024	392		390
	FNMA 15YR 4.000% 09/01/2024	2,540		2,505
	FNMA 15YR 4.500% 10/01/2024	2,507		2,493
	FNMA 15YR 4.500% 12/01/2024	1,736		1,727
	FNMA 15YR 4.000% 02/01/2025	20		19
	FNMA 15YR 4.500% 02/01/2025	4,779		4,752
	FNMA 15YR 4.000% 04/01/2025	817		806
	FNMA 15YR 4.000% 04/01/2025	960		948
	FNMA 15YR 4.500% 04/01/2025	911		906
	FNMA 15YR 4.000% 05/01/2025	4,933		4,875
	FNMA 15YR 4.000% 06/01/2025	9,447		9,333
	FNMA 15YR 4.000% 06/01/2025	874		862
	FNMA 15YR 4.000% 07/01/2025	875		864
	FNMA 15YR 4.500% 07/01/2025	119		118
	FNMA 15YR 5.000% 07/01/2025	1,516		1,525

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Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FNMA 15YR 3.500% 09/01/2025	4,788		4,711
	FNMA 15YR 4.000% 09/01/2025	2,901		2,864
	FNMA 15YR 4.000% 09/01/2025	219		216
	FNMA 15YR 3.500% 10/01/2025	13,399		13,175
	FNMA 15YR 3.500% 10/01/2025	2,335		2,296
	FNMA 15YR 3.500% 10/01/2025	127		125
	FNMA 15YR 3.500% 10/01/2025	7,756		7,626
	FNMA 15YR 3.500% 10/01/2025	26,119		25,689
	FNMA 15YR 3.500% 10/01/2025	16,997		16,724
	FNMA 15YR 3.500% 10/01/2025	24,035		23,649
	FNMA 15YR 3.500% 11/01/2025	214		210
	FNMA 15YR 3.500% 11/01/2025	13,360		13,130
	FNMA 15YR 3.500% 11/01/2025	1,495		1,457
	FNMA 15YR 3.500% 11/01/2025	1,336		1,313
	FNMA 15YR 3.500% 11/01/2025	13,208		12,981
	FNMA 15YR 3.500% 12/01/2025	3,189		3,135
	FNMA 15YR 3.500% 12/01/2025	3,572		3,509
	FNMA 15YR 3.500% 12/01/2025	7,038		6,917
	FNMA 15YR 3.500% 01/01/2026	7,600		7,465
	FNMA 15YR 3.500% 01/01/2026	544		535
	FNMA 15YR 3.500% 01/01/2026	6,755		6,637
	FNMA 15YR 3.500% 01/01/2026	844		829
	FNMA 15YR 3.500% 01/01/2026	12,971		12,744
	FNMA 15YR 3.500% 02/01/2026	150		147
	FNMA 15YR 3.500% 02/01/2026	19,417		19,072
	FNMA 15YR 3.500% 02/01/2026	3,383		3,324
	FNMA 15YR 3.500% 02/01/2026	7,885		7,745
	FNMA 15YR 3.500% 02/01/2026	1,983		1,948
	FNMA 15YR 3.500% 02/01/2026	27,189		26,706
	FNMA 15YR 4.000% 02/01/2026	2,394		2,362
	FNMA 15YR 3.500% 03/01/2026	44,672		43,878
	FNMA 15YR 3.500% 03/01/2026	2,279		2,237
	FNMA 15YR 3.500% 03/01/2026	52		51
	FNMA 15YR 3.500% 04/01/2026	134		131
	FNMA 15YR 3.500% 04/01/2026	2,768		2,717
	FNMA 15YR 3.500% 04/01/2026	12,027		11,806
	FNMA 15YR 3.500% 05/01/2026	1,743		1,710
	FNMA 15YR 3.500% 06/01/2026	499		486
	FNMA 15YR 3.500% 07/01/2026	863		846
	FNMA 15YR 3.500% 08/01/2026	5,782		5,669
	FNMA 15YR 3.500% 08/01/2026	665		652
	FNMA 15YR 3.500% 08/01/2026	4,669		4,592
	FNMA 15YR 4.000% 08/01/2026	1,330		1,313

* Indicates Party-in-interest

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Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FNMA 15YR 3.500% 09/01/2026	2,592		2,541
	FNMA 15YR 3.500% 09/01/2026	3,243		3,177
	FNMA 15YR 3.500% 09/01/2026	22,030		21,581
	FNMA 15YR 3.500% 10/01/2026	85,565		83,867
	FNMA 15YR 3.500% 10/01/2026	5,973		5,812
	FNMA 15YR 3.500% 10/01/2026	31,033		30,407
	FNMA 15YR 3.500% 10/01/2026	198		194
	FNMA 15YR 3.500% 11/01/2026	181		177
	FNMA 15YR 3.500% 11/01/2026	4,359		4,267
	FNMA 15YR 3.500% 11/01/2026	49,773		48,754
	FNMA 15YR 4.000% 11/01/2026	11,091		10,941
	FNMA 15YR 3.500% 01/01/2027	25,312		24,779
	FNMA 15YR 3.500% 01/01/2027	6,305		6,189
	FNMA 15YR 3.500% 04/01/2027	5,131		5,018
	FNMA 15YR 3.500% 06/01/2027	80		79
	FNMA 15YR 3.500% 06/01/2027	11,038		10,844
	FNMA 15YR 3.500% 08/01/2027	16,713		16,330
	FNMA 15YR 4.000% 09/01/2027	4,810		4,740
	FNMA 15YR 3.500% 09/01/2028	3,348		3,282
	FNMA 15YR 3.500% 10/01/2028	44,628		43,555
	FNMA 15YR 3.500% 11/01/2028	45,078		44,035
	FNMA 15YR 3.500% 12/01/2028	31,298		30,568
	FNMA 15YR 3.500% 12/01/2028	4,110		4,010
	FNMA 15YR 3.500% 01/01/2029	1,706		1,665
	FNMA 15YR 4.000% 01/01/2029	10,739		10,534
	FNMA 15YR 4.000% 01/01/2029	10,739		10,534
	FNMA 15YR 4.000% 01/01/2029	10,739		10,534
	FNMA 15YR 4.000% 01/01/2029	10,739		10,534
	FNMA 15YR 3.000% 02/01/2029	128,621		124,088
	FNMA 15YR 3.500% 02/01/2029	3,699		3,605
	FNMA 15YR 3.500% 02/01/2029	74,496		72,611
	FNMA 15YR 3.500% 06/01/2029	41,156		40,074
	FNMA 15YR 3.500% 07/01/2029	40,459		39,474
	FNMA 15YR 3.500% 07/01/2029	14,629		14,256
	FNMA 15YR 3.500% 08/01/2029	88,222		85,892
	FNMA 15YR 3.500% 08/01/2029	108,931		106,082
	FNMA 15YR 3.000% 09/01/2029	43,366		41,833
	FNMA 15YR 3.500% 09/01/2029	182,475		177,654
	FNMA 15YR 3.500% 09/01/2029	55,871		54,552
	FNMA 15YR 3.500% 10/01/2029	20,213		19,791
	FNMA 15YR 3.500% 12/01/2029	10,268		9,992
	FNMA 15YR 3.000% 01/01/2030	34,492		33,224
	FNMA 15YR 3.500% 01/01/2030	78,337		76,228

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*** The Self-Directed Brokerage Account includes Party-in-interest investment options

Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FNMA 15YR 3.000% 02/01/2030	85,459		82,124
	FNMA 15YR 3.500% 02/01/2030	45,379		43,671
	FNMA 15YR 3.500% 04/01/2030	29,370		28,640
	FNMA 15YR 3.500% 04/01/2030	28,412		27,700
	FNMA 15YR 3.000% 06/01/2030	128,800		123,780
	FNMA 15YR 3.500% 06/01/2030	50,008		48,784
	FNMA 15YR 3.000% 07/01/2030	24,973		24,005
	FNMA 15YR 3.000% 10/01/2030	94,962		91,242
	FNMA 15YR 3.000% 10/01/2030	115,949		111,363
	FNMA 15YR 3.000% 10/01/2030	115,541		111,012
	FNMA 15YR 3.000% 11/01/2030	65,992		63,324
	FNMA 15YR 3.000% 01/01/2031	71,374		68,529
	FNMA 15YR 3.000% 02/01/2031	11,917		11,423
	FNMA 15YR 3.000% 02/01/2031	172,825		165,663
	FNMA 15YR 3.000% 02/01/2031	163,028		156,753
	FNMA 15YR 3.500% 02/01/2031	68,963		67,234
	FNMA 15YR 3.000% 03/01/2031	321,519		308,818
	FNMA 15YR 3.000% 03/01/2031	23,936		23,011
	FNMA 15YR 3.000% 04/01/2031	54,433		52,179
	FNMA 15YR 3.000% 04/01/2031	7,809		7,483
	FNMA 15YR 3.000% 04/01/2031	114,559		109,814
	FNMA 15YR 3.000% 05/01/2031	97,474		93,437
	FNMA 15YR 3.000% 08/01/2031	4,579		4,389
	FNMA 15YR 3.000% 09/01/2031	215,052		206,235
	FNMA 15YR 3.000% 10/01/2031	62,998		60,391
	FNMA 15YR 3.000% 11/01/2031	264,032		252,790
	FNMA 15YR 3.000% 11/01/2031	142,575		136,504
	FNMA 15YR 3.000% 01/01/2032	164,794		157,691
	FNMA 15YR 3.500% 02/01/2032	102,198		99,598
	FNMA 15YR 3.000% 04/01/2032	123,934		118,344
	FNMA 15YR 3.000% 06/01/2032	69,734		66,551
	FNMA 15YR 3.000% 07/01/2032	139,480		133,036
	FNMA 15YR 3.000% 07/01/2032	144,433		137,931
	FNMA 15YR 3.500% 08/01/2032	117,547		114,544
	FNMA 15YR 3.000% 09/01/2032	541,043		516,689
	FNMA 15YR 3.500% 12/01/2032	177,927		173,087
	FNMA 15YR 3.000% 01/01/2033	294,689		281,316
	FNMA 15YR 2.500% 02/01/2033	421,591		396,492
	FNMA 15YR 3.000% 03/01/2033	84,495		80,557
	FNMA 15YR 3.500% 08/01/2033	44,290		43,481
	FNMA 15YR 3.000% 09/01/2033	192,836		183,605
	FNMA 15YR 3.500% 09/01/2033	304,530		298,972
	FNMA 15YR 3.000% 11/01/2033	240,112		228,615

* Indicates Party-in-interest

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Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FNMA 15YR 3.000% 11/01/2033	148,276		141,177
	FNMA 15YR 3.000% 01/01/2034	297,081		282,855
	FNMA 15YR 3.500% 01/01/2034	162,197		159,236
	FNMA 15YR 3.000% 02/01/2034	110,591		104,890
	FNMA 15YR 3.500% 02/01/2034	13,854		13,601
	FNMA 15YR 3.500% 04/01/2034	161,621		158,273
	FNMA 15YR 3.000% 06/01/2034	132,127		125,315
	FNMA 30YR 7.000% 07/01/2028	2,777		2,865
	FNMA 30YR 6.000% 11/01/2028	3,913		3,975
	FNMA 30YR 6.500% 04/01/2032	5,624		5,859
	FNMA 30YR 6.500% 04/01/2032	2,851		2,978
	FNMA 10/1 HYBRID ARM 6.069% 12/01/2033 VARIABLE	312		315
	FNMA 10/1 HYBRID ARM 5.795% 10/01/2034 VARIABLE	573		579
	FNMA 15YR UMBS 3.000% 07/01/2034	190,850		181,009
	FNMA 15YR UMBS 2.500% 08/01/2034	238,746		221,924
	FNMA 15YR UMBS 3.000% 08/01/2034	15,610		14,805
	FNMA 15YR UMBS 2.500% 09/01/2034	83,694		77,879
	FNMA 15YR UMBS 2.500% 10/01/2034	465,151		432,833
	FNMA 15YR UMBS 2.500% 12/01/2034	164,771		153,321
	FNMA 15YR UMBS 3.000% 12/01/2034	352,133		333,969
	FNMA 15YR UMBS 2.500% 02/01/2035	237,023		219,828
	FNMA 15YR UMBS 2.000% 05/01/2035	962,815		868,582
	FNMA 15YR UMBS 2.500% 05/01/2035	858,289		798,636
	FNMA 15YR UMBS 2.000% 07/01/2035	902,079		811,023
	FNMA 15YR UMBS 2.000% 08/01/2035	1,228,289		1,108,035
	FNMA 15YR UMBS 4.000% 08/01/2037	835,531		823,612
	FNMA 15YR UMBS 3.500% 09/01/2037	693,624		667,516
	FNMA 15YR UMBS 4.500% 11/01/2037	397,845		395,647
	FNMA 15YR UMBS 5.000% 11/01/2037	3,488,634		3,508,348
	FNMA 15YR UMBS 4.500% 12/01/2037	405,415		403,165
	FNMA 15YR UMBS 5.000% 12/01/2037	430,924		433,803
	FNMA 15YR UMBS 5.000% 12/01/2037	1,005,495		1,011,177
	FNMA 15YR UMBS 4.500% 04/01/2038	2,875,792		2,859,833
	FNMA 15YR UMBS 5.000% 07/01/2038	678,647		682,482
	FNMA 15YR UMBS SUPER 4.000% 03/01/2035	634,271		626,582
	FNMA 15YR UMBS SUPER 2.000% 09/01/2035	1,385,991		1,250,308
	FNMA 15YR UMBS SUPER 2.500% 04/01/2037	1,441,219		1,326,737
	FNMA 15YR UMBS SUPER 4.000% 09/01/2037	607,003		595,733
	FNMA 6M LIBOR ARM 5.165% 11/01/2032 VARIABLE	4,148		4,110
	FNMA 6M LIBOR ARM 5.665% 12/01/2032 VARIABLE	8,663		8,536
	FNMA 6M LIBOR ARM 5.831% 03/01/2034 VARIABLE	13,216		13,244
	FNMA 6M LIBOR ARM 5.919% 09/01/2035 VARIABLE	16,082		16,201
	FNMA 7/1 HYBRID ARM 5.918% 01/01/2034 VARIABLE	5,562		5,533

* Indicates Party-in-interest

** Cost information not required for participant-directed investments

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Ameriprise Financial 401(k) Plan
Schedule H, Line 4i — Schedule of Assets (Held at End of Year) (continued)
December 31, 2023

(a)	(b) Identity of Issue, Borrower, Lessor, or Similar Party	(c) Shares/Units or Face Amount	(d) Cost**	(e) Current Value
	FNMA 7/1 HYBRID ARM 6.245% 03/01/2036 VARIABLE	2,250		2,294
	FNMA MEGA 15YR REMIC-BACKED 3.500% 11/01/2025	22,745		22,354
	FNMA_03-W11 6.720% 06/25/2033 VARIABLE	92		92
	U.S. TREASURY NOTE 2.875% 04/30/2029	19,700,000		18,747,320
	UMBS 15YR TBA (REG B) 2.000% 01/18/2039	1,925,000		1,725,582
	UMBS 15YR TBA (REG B) 2.500% 01/18/2039	1,350,000		1,243,582
	UMBS 15YR TBA (REG B) 3.000% 01/18/2039	12,575,000		11,855,376
	UMBS 15YR TBA (REG B) 3.500% 01/18/2039	9,050,000		8,711,686
	UMBS 15YR TBA (REG B) 4.000% 01/18/2039	3,100,000		3,041,391
	UMBS 15YR TBA (REG B) 4.500% 01/18/2039	2,450,000		2,437,750
	UMBS 15YR TBA (REG B) 5.000% 01/18/2039	1,450,000		1,458,609
	UMBS 15YR TBA (REG B) 6.000% 01/18/2039	675,000		690,161
	Total underlying investments supporting synthetic guaranteed investment contracts			163,824,115
*	Loans to Participants —			
	Various Loans, 3.25% — 9.5% due through 2053			29,980,596
	Less: Deemed distributions			(221,358)
	Net participant loans			29,759,238
	Assets Held at End of Year			\$ 3,191,260,379

* Indicates Party-in-interest

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the Employee Benefits Administration Committee has duly caused this annual report to be signed on its behalf by the undersigned hereunto duly authorized.

AMERIPRISE FINANCIAL, INC.

(Registrant)

Date: June 20, 2024

By /s/ Michelle Rudlong
Michelle Rudlong
Delegate
Employee Benefits Administration Committee

EXHIBIT INDEX

Exhibit	Description
23	Consent of PricewaterhouseCoopers LLP, Independent Registered Public Accounting Firm.

CONSENT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

We hereby consent to the incorporation by reference in the Registration Statements on Form S-8 (No. 333-128790, No. 333-156074 and No. 333-238913) of Ameriprise Financial, Inc. of our report dated June 20, 2024 relating to the financial statements and supplemental schedule of Ameriprise Financial 401(k) Plan, which appears in this Form 11-K.

/s/ PricewaterhouseCoopers LLP
Minneapolis, Minnesota
June 20, 2024

Plan Name	AMERIPRISE FINANCIAL 401(K) PLAN
Plan Sponsor EIN	13-3180631
ERISA Plan No.	001
Plan Year End	12/31/2023

The required attachment noted below is included within the Accountant's Opinion attachment to the Form 5500 Schedule H, Part III, which consists of the entire Audit report issued by the Plan's Independent Qualified Public Accountant (IQPA).

Form/Schedule	Line Item	Description
5500 Schedule H	Line 4i	Schedule of Assets (Held at End of Year)