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## Harter Secrest &amp; Emery LLP

ATTORNEYS AND COUNSELORS AT LAW  
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June 15, 2009

VIA: CERTIFIED MAIL RETURN RECEIPT REQUESTED

Top Hat Plan Exemption  
Employee Benefits Security Administration  
Room N-1513  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210

Re: Ameriprise Financial, Inc.  
Top Hat Plan Exemption

Dear Sir or Madam:

On behalf of our client, we are filing this statement pursuant to the provisions of the Department of Labor Regulations at 29 C.F.R. § 2520.104-23(b) to notify you that Ameriprise Financial, Inc. maintains seven plans primarily for the purpose of providing deferred compensation to a select group of management or highly compensated employees. The approximate number of participants in each plan and the participating companies in each plan as of the date of this letter are set forth below.

## 1. Name and Address of Employer:

Ameriprise Financial, Inc.  
1099 Ameriprise Financial Center  
Minneapolis, MN 55474

## 2. Employer EIN: 13-3180631

## 3. Ameriprise Financial, Inc. maintains the following plans for a select group of management or highly compensated employees of Ameriprise Financial, Inc. and its participant subsidiaries:

- (i) Name of Plan: Ameriprise Advisor Group Deferred Compensation Plan  
Number of Participants: 957  
Participating Companies:

Ameriprise Financial, Inc.  
Ameriprise Advisor Services, Inc. (formerly known as H&R Block Financial  
Advisors, Inc.)

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Ameriprise Bank, FSB  
Ameriprise Enterprise Investment Services, Inc.  
Ameriprise Financial Services, Inc.  
Ameriprise Trust Company  
IDS Property Casualty Insurance Company  
J. & W. Seligman & Co. Incorporated  
RiverSource Distributors, Inc.  
RiverSource Investments, LLC  
RiverSource Service Corporation  
RiverSource Life Insurance Company  
RiverSource Life Insurance Co. of New York  
Seligman Advisors, Inc.  
Seligman Services, Inc.

(ii) Name of Plan: Ameriprise Financial Deferred Compensation Plan

Number of Participants: 184

Participating Companies:

Ameriprise Financial, Inc.  
Ameriprise Bank, FSB  
Ameriprise Enterprise Investment Services, Inc.  
Ameriprise Financial Services Inc.  
Ameriprise Trust Company  
IDS Property Casualty Insurance Company  
RiverSource Distributors, Inc.  
RiverSource Investments, LLC  
RiverSource Service Corporation  
RiverSource Life Insurance Company  
RiverSource Life Insurance Co. of New York

(iii) Name of Plan: Ameriprise Financial Deferred Equity Program for Independent Financial Advisors

Number of Participants: 2951

Participating Companies:

Ameriprise Financial, Inc.  
Ameriprise Bank, FSB  
Ameriprise Enterprise Investment Services, Inc.  
Ameriprise Financial Services Inc.  
Ameriprise Trust Company  
IDS Property Casualty Insurance Company  
RiverSource Distributors, Inc.  
RiverSource Investments, LLC

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RiverSource Service Corporation  
RiverSource Life Insurance Company  
RiverSource Life Insurance Co. of New York

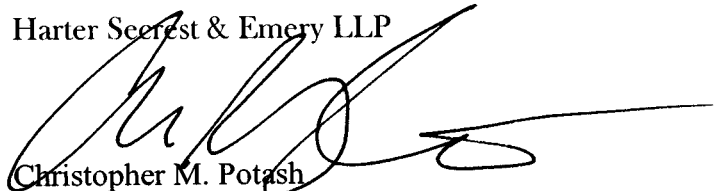
- (iv) Name of Plan: Ameriprise Financial Deferred Share Plan for Outside Directors  
Number of Participants: 9  
Participating Companies:  
Ameriprise Financial, Inc.
- (v) Name of Plan: Ameriprise Financial Supplemental Retirement Plan  
Number of Participants: 550  
Participating Companies:  
Ameriprise Financial, Inc.
- (vi) Name of Plan: Ameriprise Financial Voluntary Income Deferral Plan  
Number of Participants: 45  
Participating Companies:  
Ameriprise Financial, Inc.
- (vii) Name of Plan: H&R Block Financial Advisors, Inc. Deferred Compensation Plan  
Number of Participants: 246  
Participating Companies:  
Ameriprise Advisor Services, Inc. (formerly known as H&R Block Financial Advisors, Inc.)

Upon request, Ameriprise Financial, Inc. will provide a copy of the relevant plan document(s). Please acknowledge your receipt of this statement by time-stamping the enclosed copy of this letter and returning it to us in the envelope provided.

Please contact me if you require additional information.

Very truly yours,

Harter Secrest & Emery LLP



Christopher M. Potash

DIRECT DIAL: 585.231.1278  
E-MAIL: CPOTASH@HSELAW.COM

**CERTIFIED MAIL™**



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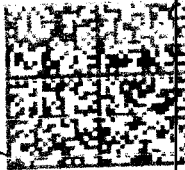
**Harter Secrest & Emery LLP**

ATTORNEYS AND COUNSELORS

1600 BAUSCH & LOMB PLACE ROCHESTER, NY 14604-27

CHRISTOPHER M. POTASH

*[Handwritten signature]*



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