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AMERIPRISE FINANCIAL INC

Form 10-Q

May 01, 2019

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**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
WASHINGTON, D.C. 20549  
FORM 10-Q**

**QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
<sup>x</sup> SECURITIES EXCHANGE ACT OF 1934**

**For the Quarterly Period Ended March 31, 2019**

**OR**

**TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
<sup>o</sup> SECURITIES EXCHANGE ACT OF 1934**

**For the Transition Period from \_\_\_\_\_ to \_\_\_\_\_  
Commission File No. 1-32525**

**AMERIPRISE FINANCIAL INC**

(Exact name of registrant as specified in its charter)

**Delaware**

(State or other jurisdiction of incorporation or organization)

**13-3180631**

(I.R.S. Employer Identification No.)

**1099 Ameriprise Financial Center, Minneapolis, Minnesota 55474**

(Address of principal executive offices)

(Zip Code)

Registrant's telephone number, including area code: **(612) 671-3131**

Former name, former address and former fiscal year, if changed since last report: **Not Applicable**

Indicate by check mark whether the registrant (1) has filed all reports required to be filed by Section 13 or 15(d) of the Securities Exchange Act of 1934 during the preceding 12 months (or for such shorter period that the registrant was required to file such reports), and (2) has been subject to such filing requirements for the past 90 days. Yes  No

Indicate by check mark whether the registrant has submitted electronically every Interactive Data File required to be submitted pursuant to Rule 405 of Regulation S-T (§ 232.405 of this chapter) during the preceding 12 months (or for such shorter period that the registrant was required to submit such files). Yes  No

Indicate by check mark whether the registrant is a large accelerated filer, an accelerated filer, a non-accelerated filer, smaller reporting company, or an emerging growth company. See the definitions of "large accelerated filer," "accelerated filer," "smaller reporting company," and "emerging growth company" in Rule 12b-2 of the Exchange

Act.  
Large  
Accelerated Filer   
Filer   
~~Small reporting~~ company   
Filer   
Emerging growth company

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

Indicate by check mark whether the registrant is a shell company (as defined in Rule 12b-2 of the Exchange Act).  
Yes  No

Indicate the number of shares outstanding of each of the issuer's classes of common stock, as of the latest practicable date.

| <b>Class</b>                             | <b>Outstanding at April 19, 2019</b> |
|--|--------------------------------------|
| Common Stock (par value \$.01 per share) | 133,904,298 shares                   |

**AMERIPRISE FINANCIAL, INC.**

**FORM 10-Q**

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**AMERIPRISE FINANCIAL, INC.****PART I. FINANCIAL INFORMATION****ITEM 1. FINANCIAL STATEMENTS (UNAUDITED)****CONSOLIDATED STATEMENTS OF OPERATIONS (UNAUDITED)**

|  | <b>Three Months Ended<br/>March 31,</b>            |             |
|--|--|-------------|
|  | <b>2019</b>  | <b>2018</b> |
|  | <b>(in millions, except<br/>per share amounts)</b> |             |
| <b>Revenues</b>                                  |  |             |
| Management and financial advice fees             | \$1,627  | \$1,669     |
| Distribution fees                                | 480  | 468         |
| Net investment income                            | 397  | 396         |
| Premiums   | 371  | 343         |
| Other revenues                                   | 278  | 308         |
| Total revenues                                   | 3,153  | 3,184       |
| Banking and deposit interest expense             | 35   | 16          |
| Total net revenues                               | 3,118  | 3,168       |
| <b>Expenses</b>                                  |  |             |
| Distribution expenses                            | 900  | 905         |
| Interest credited to fixed accounts              | 204  | 141         |
| Benefits, claims, losses and settlement expenses | 670  | 494         |
| Amortization of deferred acquisition costs       | 16   | 92          |
| Interest and debt expense                        | 53   | 51          |
| General and administrative expense               | 805  | 789         |
| Total expenses                                   | 2,648  | 2,472       |
| Pretax income                                    | 470  | 696         |
| Income tax provision                             | 75   | 102         |
| Net income                                       | \$395  | \$594       |
| <b>Earnings per share</b>                        |  |             |
| Basic  | \$2.85   | \$3.97      |
| Diluted  | \$2.82   | \$3.91      |

**Supplemental Disclosures:**

|   |         |     |
|---|---------|-----|
| Total other-than-temporary impairment losses on securities              | \$(12 ) | \$— |
| Portion of loss recognized in other comprehensive income (before taxes) | 7       | —   |
| Net impairment losses recognized in net investment income               | \$(5 )  | \$— |

*See Notes to Consolidated Financial Statements.*



**AMERIPRISE FINANCIAL, INC.****CONSOLIDATED STATEMENTS OF COMPREHENSIVE INCOME (UNAUDITED)**

|   | <b>Three Months<br/>Ended March 31,</b> |             |
|---|---|-------------|
|   | <b>2019</b>                             | <b>2018</b> |
|   | <b>(in millions)</b>                    |             |
| Net income  | \$395                                   | \$594       |
| Other comprehensive income (loss), net of tax:      |   |             |
| Foreign currency translation adjustment             | 5                                       | 29          |
| Net unrealized gains (losses) on securities         | 322                                     | (262 )      |
| Net unrealized gains (losses) on derivatives        | (1 )                                    | —           |
| Total other comprehensive income (loss), net of tax | 326                                     | (233 )      |
| Total comprehensive income                          | \$721                                   | \$361       |

*See Notes to Consolidated Financial Statements.*

**AMERIPRISE FINANCIAL, INC.****CONSOLIDATED BALANCE SHEETS (UNAUDITED)**

|  | <b>March 31,<br/>2019</b>                      | <b>December 31,<br/>2018</b> |
|--|--|------------------------------|
|  | <b>(in millions, except share<br/>amounts)</b> |                              |
| <b>Assets</b>  |  |                              |
| Cash and cash equivalents  | \$3,259  | \$2,931                      |
| Cash of consolidated investment entities (“CIEs”)  | 88   | 166                          |
| Investments  | 33,463   | 35,825                       |
| Investments of consolidated investment entities, at fair value   | 1,740  | 1,706                        |
| Separate account assets  | 83,571   | 77,925                       |
| Receivables  | 7,434  | 6,173                        |
| Receivables of consolidated investment entities, at fair value   | 28   | 12                           |
| Deferred acquisition costs   | 2,757  | 2,776                        |
| Restricted and segregated cash, cash equivalents and investments   | 2,564  | 2,910                        |
| Other assets   | 7,472  | 6,792                        |
| Assets held for sale   | 2,027  | —                            |
| Total assets   | \$144,403                                      | \$137,216                    |
| <b>Liabilities and Equity</b>  |  |                              |
| <b>Liabilities:</b>  |  |                              |
| Policyholder account balances, future policy benefits and claims   | \$29,463                                       | \$30,124                     |
| Separate account liabilities   | 83,571   | 77,925                       |
| Customer deposits  | 11,520   | 11,545                       |
| Short-term borrowings  | 201  | 201                          |
| Long-term debt   | 3,394  | 2,867                        |
| Debt of consolidated investment entities, at fair value  | 1,731  | 1,743                        |
| Accounts payable and accrued expenses  | 1,596  | 1,862                        |
| Other liabilities  | 5,808  | 5,239                        |
| Other liabilities of consolidated investment entities, at fair value   | 105  | 122                          |
| Liabilities held for sale  | 1,171  | —                            |
| Total liabilities  | 138,560  | 131,628                      |
| <b>Equity:</b>   |  |                              |
| Ameriprise Financial, Inc.:  |  |                              |
| Common shares (\$.01 par value; shares authorized, 1,250,000,000; shares issued, 328,900,292 and 328,537,214 respectively) | 3  | 3                            |
| Additional paid-in capital   | 8,270  | 8,260                        |
| Retained earnings  | 13,172   | 12,909                       |
| Treasury shares, at cost (194,716,785 and 192,206,467 shares, respectively)  | (15,637 )                                      | (15,293 )                    |
| Accumulated other comprehensive income (loss), net of tax  | 35   | (291 )                       |
| Total equity   | 5,843  | 5,588                        |
| Total liabilities and equity   | \$144,403                                      | \$137,216                    |

*See Notes to Consolidated Financial Statements.*

## AMERIPRISE FINANCIAL, INC.

## CONSOLIDATED STATEMENTS OF EQUITY (UNAUDITED)

|   | Number<br>of Common<br>Outstanding<br>Shares | Additional<br>Paid-In<br>Capital | Retained<br>Earnings | Treasury<br>Shares | Accumulated<br>Other<br>Comprehensive<br>(Loss) | Total<br>Income |
|---|--|----------------------------------|----------------------|--------------------|---|-----------------|
| <b>Balances at January 1, 2018</b>                          |  |                                  |                      |                    |   |                 |
|   | 186,634                                      | \$648,085                        | \$ 11,326            | \$ (13,648)        | \$ 229  | \$5,995         |
| Cumulative effect of adoption of equity securities guidance | —  | —                                | 1                    | —                  | (1 )  | —               |
| Comprehensive income:                                       |  |                                  |                      |                    |   |                 |
| Net income  | —  | —                                | 594                  | —                  | —   | 594             |
| Other comprehensive loss, net of tax                        | —  | —                                | —                    | —                  | (233 )  | (233 )          |
| Total comprehensive income                                  |  |                                  |                      |                    |   | 361             |
| Dividends to shareholders                                   | —  | —                                | (125 )               | —                  | —   | (125 )          |
| Repurchase of common shares                                 | (3,003,729)                                  | —                                | —                    | (482 )             | —   | (482 )          |
| Share-based compensation plans                              | 1,387,422                                    | 21                               | —                    | 60                 | —   | 91              |
| <b>Balances at March 31, 2018</b>                           | <b>185,018</b>                               | <b>\$578,116</b>                 | <b>\$ 11,796</b>     | <b>\$ (14,070)</b> | <b>\$ (5 )</b>                                  | <b>\$5,840</b>  |
| <b>Balances at January 1, 2019</b>                          |  |                                  |                      |                    |   |                 |
|   | 186,330                                      | \$748,260                        | \$ 12,909            | \$ (15,293)        | \$ (291)  | \$5,588         |
| Cumulative effect of change in accounting policy            | —  | —                                | (5 )                 | —                  | —   | (5 )            |
| Comprehensive income:                                       |  |                                  |                      |                    |   |                 |
| Net income  | —  | —                                | 395                  | —                  | —   | 395             |
| Other comprehensive income, net of tax                      | —  | —                                | —                    | —                  | 326   | 326             |
| Total comprehensive income                                  |  |                                  |                      |                    |   | 721             |
| Dividends to shareholders                                   | —  | —                                | (127 )               | —                  | —   | (127 )          |
| Repurchase of common shares                                 | (3,199,907)                                  | —                                | —                    | (399 )             | —   | (399 )          |
| Share-based compensation plans                              | 1,052,667                                    | 70                               | —                    | 55                 | —   | 65              |
| <b>Balances at March 31, 2019</b>                           | <b>184,183</b>                               | <b>\$507,270</b>                 | <b>\$ 13,172</b>     | <b>\$ (15,637)</b> | <b>\$ 35</b>                                    | <b>\$5,843</b>  |

See Notes to Consolidated Financial Statements.

**AMERIPRISE FINANCIAL, INC.****CONSOLIDATED STATEMENTS OF CASH FLOWS (UNAUDITED)**

|   | <b>Three Months<br/>Ended March 31,<br/>2019      2018<sup>(1)</sup></b> |         |
|---|--|---------|
|   | <b>(in millions)</b>   |         |
| <b>Cash Flows from Operating Activities</b>   |  |         |
| Net income  | \$395  | \$594   |
| Adjustments to reconcile net income to net cash provided by (used in) operating activities:       |  |         |
| Depreciation, amortization and accretion, net   | 46   | 56      |
| Deferred income tax expense (benefit)   | (2)  | ) 104   |
| Share-based compensation  | 30   | 32      |
| Net realized investment (gains) losses  | (10)   | ) (6)   |
| Net trading (gains) losses  | (4)  | ) (3)   |
| Loss from equity method investments   | 12   | 12      |
| Other-than-temporary impairments and provision for loan losses                                    | 5  | —       |
| Net (gains) losses of consolidated investment entities  | 4  | 1       |
| Changes in operating assets and liabilities:  |  |         |
| Restricted and segregated investments   | (25)   | ) 75    |
| Deferred acquisition costs  | (55)   | ) 13    |
| Policyholder account balances, future policy benefits and claims, net                             | (201)  | ) (325) |
| Derivatives, net of collateral  | 316  | 29      |
| Receivables   | 125  | (78)    |
| Brokerage deposits  | (264)  | ) (207) |
| Accounts payable and accrued expenses   | (177)  | ) (373) |
| Other operating assets and liabilities of consolidated investment entities, net                   | 1  | 3       |
| Other, net  | (24)   | ) (115) |
| Net cash provided by (used in) operating activities   | 172  | (188)   |
| <b>Cash Flows from Investing Activities</b>   |  |         |
| Available-for-Sale securities:  |  |         |
| Proceeds from sales   | 92   | 361     |
| Maturities, sinking fund payments and calls   | 1,986  | 1,195   |
| Purchases   | (2,085)  | (1,456) |
| Proceeds from sales, maturities and repayments of mortgage loans                                  | 64   | 75      |
| Funding of mortgage loans   | (43)   | ) (40)  |
| Proceeds from sales, maturities and collections of other investments                              | 51   | 224     |
| Purchase of other investments   | (93)   | ) (272) |
| Purchase of investments by consolidated investment entities                                       | (203)  | ) (116) |
| Proceeds from sales, maturities and repayments of investments by consolidated investment entities | 132  | 130     |
| Purchase of land, buildings, equipment and software   | (31)   | ) (33)  |
| Cash paid for written options with deferred premiums  | (42)   | ) (57)  |
| Cash received from written options with deferred premiums   | 35   | 53      |
| Change in reinsurance deposit, net  | (345)  | ) —     |
| Other, net  | 1  | 3       |
| Net cash provided by (used in) investing activities   | \$(481)  | \$67    |

*See Notes to Consolidated Financial Statements.*



**AMERIPRISE FINANCIAL, INC.****CONSOLIDATED STATEMENTS OF CASH FLOWS (UNAUDITED) (Continued)**

|   | <b>Three Months Ended</b> |                           |
|---|---------------------------|---------------------------|
|   | <b>March 31,</b>          |                           |
|   | <b>2019</b>               | <b>2018<sup>(1)</sup></b> |
|   | <b>(in millions)</b>      |                           |
| <b>Cash Flows from Financing Activities</b>   |                           |                           |
| Investment certificates:  |                           |                           |
| Proceeds from additions   | \$1,618                   | \$ 1,336                  |
| Maturities, withdrawals and cash surrenders   | (1,377 )                  | (1,192 )                  |
| Policyholder account balances:  |                           |                           |
| Deposits and other additions  | 585                       | 444                       |
| Net transfers from (to) separate accounts   | (1 )                      | (28 )                     |
| Surrenders and other benefits   | (476 )                    | (501 )                    |
| Cash paid for purchased options with deferred premiums  | (44 )                     | (45 )                     |
| Cash received from purchased options with deferred premiums   | 12                        | 24                        |
| Issuance of long-term debt  | 497                       | —                         |
| Repayments of long-term debt  | (3 )                      | (3 )                      |
| Dividends paid to shareholders  | (124 )                    | (122 )                    |
| Repurchase of common shares   | (385 )                    | (425 )                    |
| Exercise of stock options   | 1                         | 2                         |
| Repayments of debt by consolidated investment entities  | (12 )                     | (52 )                     |
| Other, net  | —                         | (2 )                      |
| Net cash provided by (used in) financing activities   | 291                       | (564 )                    |
| Effect of exchange rate changes on cash   | 7                         | 12                        |
| Net increase (decrease) in cash and cash equivalents, including amounts restricted and cash balances classified as assets held-for-sale | (11 )                     | (673 )                    |
| Less: Net change in cash balances classified as assets held for sale  | 111                       | —                         |
| Net increase (decrease) in cash and cash equivalents, including amounts restricted  | (122 )                    | (673 )                    |
| Cash and cash equivalents, including amounts restricted at beginning of period  | 5,883                     | 5,144                     |
| Cash and cash equivalents, including amounts restricted at end of period  | \$5,761                   | \$ 4,471                  |
| <b>Supplemental Disclosures:</b>  |                           |                           |
| Interest paid excluding consolidated investment entities  | \$68                      | \$ 44                     |
| Interest paid by consolidated investment entities   | 14                        | 21                        |
| Income taxes paid, net  | 18                        | 118                       |
| Leased assets obtained in exchange for operating lease liabilities  | 4                         | —                         |
| Non-cash investing activity:  |                           |                           |
| Investments transferred in connection with reinsurance transaction  | 1,265                     | —                         |
| <b>March 31, December 31,</b>   |                           |                           |
| <b>2019 2018</b>  |                           |                           |
| <b>(in millions)</b>  |                           |                           |
| Reconciliation of cash and cash equivalents, including amounts restricted:  |                           |                           |
| Cash and cash equivalents   | \$3,259                   | \$ 2,931                  |
| Cash of consolidated investment entities  | 88                        | 166                       |
| Restricted and segregated cash, cash equivalents and investments  | 2,564                     | 2,910                     |
| Less: Restricted and segregated investments   | (150 )                    | (124 )                    |
| Total cash and cash equivalents including amounts restricted per consolidated statements of cash flows                                  | \$5,761                   | \$ 5,883                  |

<sup>(1)</sup> Certain prior period amounts have been restated. See Note 1 for more information.  
*See Notes to Consolidated Financial Statements.*

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**AMERIPRISE FINANCIAL, INC.**

**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED)**

**1. Basis of Presentation**

Ameriprise Financial, Inc. is a holding company, which primarily conducts business through its subsidiaries to provide financial planning, products and services that are designed to be utilized as solutions for clients' cash and liquidity, asset accumulation, income, protection and estate and wealth transfer needs. The foreign operations of Ameriprise Financial, Inc. are conducted primarily through Threadneedle Asset Management Holdings Sàrl and Ameriprise Asset Management Holdings GmbH (collectively, "Threadneedle").

The accompanying Consolidated Financial Statements include the accounts of Ameriprise Financial, Inc., companies in which it directly or indirectly has a controlling financial interest and variable interest entities ("VIEs") in which it is the primary beneficiary (collectively, the "Company"). All intercompany transactions and balances have been eliminated in consolidation.

The interim financial information in this report has not been audited. In the opinion of management, all adjustments necessary for fair statement of the consolidated results of operations and financial position for the interim periods have been made. All adjustments made were of a normal recurring nature.

The accompanying Consolidated Financial Statements are prepared in accordance with U.S. generally accepted accounting principles ("GAAP"). Certain reclassifications of prior period amounts have been made to conform to the current presentation. Results of operations reported for interim periods are not necessarily indicative of results for the entire year. These Consolidated Financial Statements and Notes should be read in conjunction with the Consolidated Financial Statements and Notes in the Company's Annual Report on Form 10-K for the year ended December 31, 2018, filed with the Securities and Exchange Commission ("SEC") on February 27, 2019 ("2018 10-K"). The Company corrected prior period errors related to the classification of certain changes in other investments in the Consolidated Statements of Cash Flows. For the three months ended March 31, 2018, cash used in operating activities was overstated by \$20 million and cash provided by investing activities was overstated by \$20 million. The impact of these corrections was not material to the prior period Consolidated Statement of Cash Flows.

The Company evaluated events or transactions that may have occurred after the balance sheet date for potential recognition or disclosure through the date the financial statements were issued. No subsequent events or transactions were identified. See Note 15 for information on the sale of Ameriprise Auto & Home ("AAH").

**2. Recent Accounting Pronouncements**

**Adoption of New Accounting Standards**

*Leases – Recognition of Lease Assets and Liabilities on Balance Sheet*

In February 2016, the Financial Accounting Standards Board ("FASB") updated the accounting standards for leases. The update was issued to increase transparency and comparability for the accounting of lease transactions. The standard requires most lease transactions for lessees to be recorded on the balance sheet as lease assets and lease liabilities and both quantitative and qualitative disclosures about leasing arrangements. The standard was effective for interim and annual periods beginning after December 15, 2018. Entities had the option to adopt the standard using a modified retrospective approach at either the beginning of the earliest period presented or as of the date of adoption. The Company adopted the standard using a modified retrospective approach as of January 1, 2019. The Company also elected the package of practical expedients permitted under the transition guidance within the accounting standard that allows entities to carryforward their historical lease classification and to not reassess contracts for embedded leases among other things. The Company recorded a right-of-use asset of \$274 million and a corresponding lease liability of \$295 million substantially related to real estate leases. The amount the lease liability exceeds the right-of-use asset primarily reflects lease incentives recorded as a reduction of the right-of-use asset that were previously recorded as a liability. The adoption of the standard did not have other material impacts on the Company's consolidated results of operations and financial condition. See Note 14 for new disclosures on leases.

*Income Statement – Reporting Comprehensive Income – Reclassification of Certain Tax Effects from Accumulated Other Comprehensive Income*



In February 2018, the FASB updated the accounting standards related to the presentation of tax effects stranded in accumulated other comprehensive income (“AOCI”). The update allows a reclassification from AOCI to retained earnings for tax effects stranded in AOCI resulting from the legislation commonly referred to as the Tax Cuts and Jobs Act (“Tax Act”). The election of the update was optional. The update was effective for fiscal years beginning after December 15, 2018. Entities could record the impacts either in the period of adoption or retrospectively to each period (or periods) in which the effect of the change in the U.S. federal corporate income tax rate in the Tax Act is recognized. The Company adopted the standard on January 1, 2019 and elected not to reclassify the stranded tax effects in AOCI.

*Derivatives and Hedging – Targeted Improvements to Accounting for Hedging Activities*

In August 2017, the FASB updated the accounting standards to amend the hedge accounting recognition and presentation requirements. The objectives of the update are to better align the financial reporting of hedging relationships to the economic results of

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

an entity's risk management activities and simplify the application of the hedge accounting guidance. The update also adds new disclosures and amends existing disclosure requirements. The standard was effective for interim and annual periods beginning after December 15, 2018, and was required to be applied on a modified retrospective basis. The Company adopted the standard on January 1, 2019. The adoption did not have a material impact on the Company's consolidated results of operations and financial condition.

*Receivables – Nonrefundable Fees and Other Costs – Premium Amortization on Purchased Callable Debt Securities*

In March 2017, the FASB updated the accounting standards to shorten the amortization period for certain purchased callable debt securities held at a premium. Under previous guidance, premiums were generally amortized over the contractual life of the security. The amendments require the premium to be amortized to the earliest call date. The update applies to securities with explicit, non-contingent call features that are callable at fixed prices and on preset dates. The standard was effective for interim and annual periods beginning after December 15, 2018, and was required to be applied on a modified retrospective basis through a cumulative-effect adjustment directly to retained earnings as of the beginning of the period of adoption. The Company adopted the standard on January 1, 2019. The adoption did not have a material impact on the Company's consolidated results of operations or financial condition.

*Fair Value Measurement – Disclosure Framework – Changes to the Disclosure Requirements for Fair Value Measurement*

In August 2018, the FASB updated the accounting standards related to disclosures for fair value measurements. The update eliminates the following disclosures: 1) the amount of and reasons for transfers between Level 1 and Level 2 of the fair value hierarchy, 2) the policy of timing of transfers between levels of the fair value hierarchy, and 3) the valuation processes for Level 3 fair value measurements. The new disclosures include changes in unrealized gains and losses for the period included in other comprehensive income ("OCI") for recurring Level 3 fair value measurements of instruments held at the end of the reporting period and the range and weighted average used to develop significant unobservable inputs and how the weighted average was calculated. The new disclosures are required on a prospective basis; all other provisions should be applied retrospectively. The update is effective for interim and annual periods beginning after December 15, 2019. Early adoption is permitted for the entire standard or only the provisions to eliminate or modify disclosure requirements. The Company early adopted the provisions of the standard to eliminate or modify disclosure requirements in the fourth quarter of 2018. The update does not have an impact on the Company's consolidated results of operations or financial condition.

*Financial Instruments – Recognition and Measurement of Financial Assets and Financial Liabilities*

In January 2016, the FASB updated the accounting standards on the recognition and measurement of financial instruments. The update requires entities to carry marketable equity securities, excluding investments in securities that qualify for the equity method of accounting, at fair value with changes in fair value reflected in net income each reporting period. The update affects other aspects of accounting for equity instruments, as well as the accounting for financial liabilities utilizing the fair value option. The update eliminates the requirement to disclose the methods and assumptions used to estimate the fair value of financial assets or liabilities held at cost on the balance sheet and requires entities to use the exit price notion when measuring the fair value of these financial instruments. The standard was effective for interim and annual periods beginning after December 15, 2017. The Company adopted the standard on January 1, 2018 using a modified retrospective approach. The adoption of the standard did not have a material impact on the Company's consolidated results of operations or financial condition.

**Future Adoption of New Accounting Standards***Financial Services – Insurance – Targeted Improvements to the Accounting for Long-Duration Contracts*

In August 2018, the FASB updated the accounting standard related to long-duration insurance contracts. The guidance revises key elements of the measurement models and disclosure requirements for long-duration insurance contracts issued by insurers and reinsurers.

The guidance establishes a significant new category of benefit features called market risk benefits that protect the contract holder from other-than-nominal capital market risk and expose the insurer to that risk. Insurers will have to

measure market risk benefits at fair value. Market risk benefits include variable annuity guaranteed benefits (i.e. guaranteed minimum death, withdrawal, withdrawal for life, accumulation and income benefits). The portion of the change in fair value attributable to a change in the instrument-specific credit risk of market risk benefits in a liability position will be recorded in OCI.

Significant changes also relate to the measurement of the liability for future policy benefits for nonparticipating traditional long-duration insurance contracts and immediate annuities with a life contingent feature include the following:

Insurers will be required to review and update the cash flow assumptions used to measure the liability for future policy benefits rather than using assumptions locked in at contract inception. The review of assumptions to measure the liability for all future policy benefits will be required annually at the same time each year, or more frequently if suggested by experience. The effect of updating assumptions will be measured on a retrospective catch-up basis and presented separate from the ongoing policyholder benefit expense in the statement of operations in the period the update is made. This new unlocking process will be required for the Company's term and whole life insurance, disability income, long term care insurance and immediate annuities with a life contingent feature.

**AMERIPRISE FINANCIAL, INC.**

**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

The discount rate used to measure the liability for future policy benefits will be standardized. The current requirement to use a discount rate reflecting expected investment yields will change to an upper-medium grade (low credit risk) fixed income corporate instrument yield (generally interpreted as an “A” rating) reflecting the duration characteristics of the liability. Entities will be required to update the discount rate at each reporting date with the effect of discount rate changes reflected in OCI.

The current premium deficiency test is being replaced with a net premium ratio cap of 100%. If the net premium ratio (i.e. the ratio of the present value of total expected benefits and related expenses to the present value of total expected premiums) exceeds 100%, insurers are required to recognize a loss in the statement of operations in the period. Contracts from different issue years will no longer be permitted to be grouped to determine contracts in a loss position.

In addition, the update requires deferred acquisition costs (“DAC”) and deferred sales inducement costs (“DSIC”) relating to all long-duration contracts and most investment contracts to be amortized on a straight-line basis over the expected life of the contract independent of profit emergence. Under the new guidance, interest will not accrue to the deferred balance and DAC and DSIC will not be subject to an impairment test.

The update requires significant additional disclosures, including disaggregated rollforwards of the liability for future policy benefits, policyholder account balances, market risk benefits, DAC and DSIC, as well as qualitative and quantitative information about expected cash flows, estimates and assumptions. The update is effective for interim and annual periods beginning after December 15, 2020. The standard should be applied to the liability for future policy benefits and DAC and DSIC on a modified retrospective basis and applied to market risk benefits on a retrospective basis with the option to apply full retrospective transition if certain criteria are met. Early adoption is permitted. The Company is currently evaluating the impact of the standard on its consolidated results of operations, financial condition and disclosures.

*Intangibles – Goodwill and Other – Internal-Use Software – Customer’s Accounting for Implementation Costs Incurred in a Cloud Computing Arrangement That Is a Service Contract*

In August 2018, the FASB updated the accounting standards related to customer’s accounting for implementation costs incurred in a cloud computing arrangement (“CCA”) that is a service contract. The update requires implementation costs for a CCA to be evaluated for capitalization using the same approach as implementation costs associated with internal-use software. The update also addresses presentation, measurement and impairment of capitalized implementation costs in a CCA that is a service contract. The update requires new disclosures on the nature of hosting arrangements that are service contracts, significant judgements made when applying the guidance and quantitative disclosures, including amounts capitalized, amortized and impaired. The update is effective for interim and annual periods beginning after December 15, 2019, and can be applied either prospectively or retrospectively. Early adoption is permitted. The update is not expected to have a material impact on the Company’s consolidated results of operations or financial condition.

*Intangibles – Goodwill and Other – Simplifying the Test for Goodwill Impairment*

In January 2017, the FASB updated the accounting standards to simplify the accounting for goodwill impairment. The update removes the hypothetical purchase price allocation (Step 2) of the goodwill impairment test. Goodwill impairment will now be the amount by which a reporting unit’s carrying value exceeds its fair value. The standard is effective for interim and annual periods beginning after December 15, 2019, and should be applied prospectively with early adoption permitted for any impairment tests performed after January 1, 2017. The update is not expected to have a material impact on the Company’s consolidated results of operations or financial condition.

*Financial Instruments – Credit Losses – Measurement of Credit Losses on Financial Instruments*

In June 2016, the FASB updated the accounting standards related to accounting for credit losses on certain types of financial instruments. The update replaces the current incurred loss model for estimating credit losses with a new model that requires an entity to estimate the credit losses expected over the life of the asset. Generally, the initial estimate of the expected credit losses and subsequent changes in the estimate will be reported in current period

earnings and recorded through an allowance for credit losses on the balance sheet. The current credit loss model for Available-for-Sale debt securities does not change; however, the credit loss calculation and subsequent recoveries are required to be recorded through an allowance. The standard is effective for interim and annual periods beginning after December 15, 2019. Early adoption will be permitted for interim and annual periods beginning after December 15, 2018. A modified retrospective cumulative adjustment to retained earnings should be recorded as of the first reporting period in which the guidance is effective for loans, receivables, and other financial instruments subject to the new expected credit loss model. Prospective adoption is required for establishing an allowance related to Available-for-Sale debt securities, certain beneficial interests, and financial assets purchased with a more-than-insignificant amount of credit deterioration since origination. The Company is currently evaluating the impact of the standard on its consolidated results of operations and financial condition.

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)****3. Revenue from Contracts with Customers**

The following tables present revenue disaggregated by segment on an adjusted operating basis with a reconciliation of segment revenues to those reported on the Consolidated Statements of Operations:

|  | Three Months Ended March 31, 2019           |                  |           |            |                   | Total Segments | Non-operating Revenue | Total        |
|--|---|------------------|-----------|------------|-------------------|----------------|-----------------------|--------------|
|  | Advice & Wealth Management<br>(in millions) | Asset Management | Annuities | Protection | Corporate & Other |                |                       |              |
| Management and financial advice fees:              |   |                  |           |            |                   |                |                       |              |
| Asset management fees:                             |   |                  |           |            |                   |                |                       |              |
| Retail   | \$—   | \$ 429           | \$ —      | \$ —       | \$ —              | \$ 429         | \$ —                  | —\$429       |
| Institutional                                      | —   | 104              | —         | —          | —                 | 104            | —                     | 104          |
| Advisory fees                                      | 725   | —                | —         | —          | —                 | 725            | —                     | 725          |
| Financial planning fees                            | 69  | —                | —         | —          | —                 | 69             | —                     | 69           |
| Transaction and other fees                         | 84  | 46               | 13        | 2          | —                 | 145            | —                     | 145          |
| Total management and financial advice fees         | 878   | 579              | 13        | 2          | —                 | 1,472          | —                     | 1,472        |
| Distribution fees:                                 |   |                  |           |            |                   |                |                       |              |
| Mutual funds                                       | 171   | 57               | —         | —          | —                 | 228            | —                     | 228          |
| Insurance and annuity                              | 205   | 41               | 79        | 7          | 2                 | 334            | —                     | 334          |
| Other products                                     | 185   | —                | —         | —          | —                 | 185            | —                     | 185          |
| Total distribution fees                            | 561   | 98               | 79        | 7          | 2                 | 747            | —                     | 747          |
| Other revenues                                     | 45  | 1                | 2         | —          | —                 | 48             | —                     | 48           |
| <b>Total revenue from contracts with customers</b> | <b>1,484</b>                                | <b>678</b>       | <b>94</b> | <b>9</b>   | <b>2</b>          | <b>2,267</b>   | <b>—</b>              | <b>2,267</b> |
| Revenue from other sources <sup>(1)</sup>          | 105   | 11               | 510       | 253        | 342               | 1,221          | 3                     | 1,224        |
| Total segment gross revenues                       | 1,589                                       | 689              | 604       | 262        | 344               | 3,488          | 3                     | 3,491        |
| Less: Banking and deposit interest expense         | 35  | —                | —         | —          | 2                 | 37             | —                     | 37           |
| Total segment net revenues                         | 1,554                                       | 689              | 604       | 262        | 342               | 3,451          | 3                     | 3,454        |
| Less: Intersegment revenues                        | 219   | 13               | 88        | 15         | (2 )              | 333            | 3                     | 336          |
| Total net revenues                                 | \$1,335                                     | \$ 676           | \$ 516    | \$ 247     | \$ 344            | \$ 3,118       | \$ —                  | —\$3,118     |

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

|  | Three Months Ended March 31, 2018                 |                     |           |            |                         | Total<br>Segments | Non-operating<br>Revenue | Total        |
|--|---|---------------------|-----------|------------|-------------------------|-------------------|--------------------------|--------------|
|  | Advice &<br>Wealth<br>Management<br>(in millions) | Asset<br>Management | Annuities | Protection | Corporate<br>&<br>Other |                   |                          |              |
| Management and financial advice fees:              |   |                     |           |            |                         |                   |                          |              |
| Asset management fees:                             |   |                     |           |            |                         |                   |                          |              |
| Retail   | \$—   | \$ 480              | \$ —      | \$ —       | \$ —                    | \$ 480            | \$ —                     | \$ 480       |
| Institutional                                      | —   | 111                 | —         | —          | —                       | 111               | —                        | 111          |
| Advisory fees                                      | 691   | —                   | —         | —          | —                       | 691               | —                        | 691          |
| Financial planning fees                            | 68  | —                   | —         | —          | —                       | 68                | —                        | 68           |
| Transaction and other fees                         | 89  | 48                  | 14        | 1          | 1                       | 153               | —                        | 153          |
| Total management and financial advice fees         | 848   | 639                 | 14        | 1          | 1                       | 1,503             | —                        | 1,503        |
| Distribution fees:                                 |   |                     |           |            |                         |                   |                          |              |
| Mutual funds                                       | 190   | 69                  | —         | —          | —                       | 259               | —                        | 259          |
| Insurance and annuity                              | 222   | 45                  | 84        | 7          | 1                       | 359               | —                        | 359          |
| Other products                                     | 145   | —                   | —         | —          | —                       | 145               | —                        | 145          |
| Total distribution fees                            | 557   | 114                 | 84        | 7          | 1                       | 763               | —                        | 763          |
| Other revenues                                     | 41  | 1                   | —         | —          | —                       | 42                | —                        | 42           |
| <b>Total revenue from contracts with customers</b> | <b>1,446</b>                                      | <b>754</b>          | <b>98</b> | <b>8</b>   | <b>2</b>                | <b>2,308</b>      | <b>—</b>                 | <b>2,308</b> |
| Revenue from other sources <sup>(1)</sup>          | 71  | 24                  | 515       | 245        | 322                     | 1,177             | 61                       | 1,238        |
| Total segment gross revenues                       | 1,517   | 778                 | 613       | 253        | 324                     | 3,485             | 61                       | 3,546        |
| Less: Banking and deposit interest expense         | 16  | —                   | —         | —          | 1                       | 17                | —                        | 17           |
| Total segment net revenues                         | 1,501   | 778                 | 613       | 253        | 323                     | 3,468             | 61                       | 3,529        |
| Less: Intersegment revenues                        | 240   | 12                  | 90        | 16         | (1 )                    | 357               | 4                        | 361          |
| Total net revenues                                 | \$ 1,261  | \$ 766              | \$ 523    | \$ 237     | \$ 324                  | \$ 3,111          | \$ 57                    | \$ 3,168     |

<sup>(1)</sup> Revenues not included in the scope of the revenue from contracts with customers standard. The amounts primarily consist of revenue associated with insurance and annuity products or financial instruments.

Prior period revenues for the Protection and Corporate segments in the table above have been restated to reflect the transfer of Ameriprise Auto & Home (“AAH”) results to the Corporate segment in the first quarter of 2019. See Note 15 for additional information on the sale of AAH.

The following discussion describes the nature, timing, and uncertainty of revenues and cash flows arising from the Company’s contracts with customers on a consolidated basis.

**Management and Financial Advice Fees***Asset Management Fees*

The Company earns revenue for performing asset management services for retail and institutional clients. The revenue is earned based on a fixed or tiered rate applied, as a percentage, to assets under management. Assets under management vary with market fluctuations and client behavior. The asset management performance obligation is considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. Asset management fees are accrued, invoiced and collected on a monthly or quarterly basis.

The Company's asset management contracts for Open Ended Investment Companies ("OEICs") in the UK and Société d'Investissement à Capital Variable ("SICAVs") in Europe include performance obligations for asset management and fund distribution services. The amounts received for these services are reported as management and financial advice fees. The revenue recognition pattern is the same for both performance obligations as the fund distribution services revenue is variably constrained due

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**AMERIPRISE FINANCIAL, INC.**

**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

to factors outside the Company's control including market volatility and client behavior (such as how long clients hold their investment) and not recognized until assets under management are known.

The Company may also earn performance-based management fees on institutional accounts, hedge funds, collateralized loan obligations ("CLOs"), OEICs, SICAVs and property funds based on a percentage of account returns in excess of either a benchmark index or a contractually specified level. This revenue is variable and impacted primarily by the performance of the assets being managed compared to the benchmark index or contractually specified level. The revenue is not recognized until it is probable that a significant reversal will not occur. Performance-based management fees are invoiced on a quarterly or annual basis.

*Advisory Fees*

The Company earns revenue for performing investment advisory services for certain brokerage customer's discretionary and non-discretionary managed accounts. The revenue is earned based on a contractual fixed rate applied, as a percentage, to the market value of assets held in the account. The investment advisory performance obligation is considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. Advisory fees are accrued daily and invoiced or charged on a monthly or quarterly basis.

*Financial Planning Fees*

The Company earns revenue for providing financial plans to its clients. The revenue earned for each financial plan is either a fixed fee (received monthly, quarterly or annually) or a variable fee (received monthly or quarterly) based on a contractual fixed rate applied, as a percentage, to assets held in a client's investment advisory account. The financial planning fee is based on the complexity of a client's financial and life situation and his or her advisor's experience. The performance obligation is satisfied at the time the financial plan is delivered to the customer. The Company records a contract liability for the unearned revenue when cash is received before the plan is delivered. The financial plan contracts with clients are annual contracts. Amounts recorded as a contract liability are recognized as revenue when the financial plan is delivered, which occurs within the annual contract period.

For fixed fee arrangements, revenue is recognized when the financial plan is delivered. The Company accrues revenue for any amounts that have not been received at the time the financial plan is delivered.

For variable fee arrangements, revenue is recognized for cash that has been received when the financial plan is delivered. The amount received after the plan is delivered is variably constrained due to factors outside the Company's control including market volatility and client behavior. The revenue is recognized when it is probable that a significant reversal will not occur that is generally each month or quarter end as the advisory account balance uncertainty is resolved.

Contract liabilities for financial planning fees, which are included in other liabilities in the Consolidated Balance Sheets, were \$136 million and \$138 million as of March 31, 2019 and December 31, 2018, respectively.

The Company pays sales commissions to advisors when a new financial planning contract is obtained or when an existing contract is renewed. The sales commissions paid to the advisors prior to financial plan delivery are considered costs to obtain a contract with a customer and are initially capitalized. When the performance obligation to deliver the financial plan is satisfied, the commission is recognized as distribution expense. Capitalized costs to obtain these contracts are reported in other assets in the Consolidated Balance Sheets, and were \$110 million and \$112 million as of March 31, 2019 and December 31, 2018, respectively.

*Transaction and Other Fees*

The Company earns revenue for providing customer support, shareholder and administrative services (including transfer agent services) for affiliated mutual funds and networking, sub-accounting and administrative services for unaffiliated mutual funds. The Company also receives revenue for providing custodial services and account maintenance services on brokerage and retirement accounts that are not included in an advisory relationship. Transfer agent and administrative revenue is earned based on either a fixed rate applied, as a percentage, to assets under management or an annual fixed fee for each fund position. Networking and sub-accounting revenue is earned based on either an annual fixed fee for each account or an annual fixed fee for each fund position. Custodial and account

maintenance revenue is generally earned based on a quarterly or annual fixed fee for each account. Each of the customer support and administrative services performance obligations are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. Transaction and other fees (other than custodial service fees) are invoiced or charged to brokerage accounts on a monthly or quarterly basis. Custodial service fees are invoiced or charged to brokerage accounts on an annual basis. Contract liabilities for custodial service fees, which are included in other liabilities in the Consolidated Balance Sheets, were \$47 million and nil as of March 31, 2019 and December 31, 2018, respectively.

The Company earns revenue for providing trade execution services to franchise advisors. The trade execution performance obligation is satisfied at the time of each trade and the revenue is primarily earned based on a fixed fee per trade. These fees are invoiced and collected on a semi-monthly basis.

**AMERIPRISE FINANCIAL, INC.**

**NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

**Distribution Fees**

*Mutual Funds and Insurance and Annuity Products*

The Company earns revenue for selling affiliated and unaffiliated mutual funds, fixed and variable annuities and insurance products. The performance obligation is satisfied at the time of each individual sale. A portion of the revenue is based on a fixed rate applied, as a percentage, to amounts invested at the time of sale. The remaining revenue is recognized over the time the client owns the investment or holds the contract and is generally earned based on a fixed rate applied, as a percentage, to the net asset value of the fund, or the value of the insurance policy or annuity contract. The ongoing revenue is not recognized at the time of sale because it is variably constrained due to factors outside the Company's control including market volatility and client behavior (such as how long clients hold their investment, insurance policy or annuity contract). This ongoing revenue may be recognized for many years after the initial sale. The revenue will not be recognized until it is probable that a significant reversal will not occur.

The Company earns revenue for providing unaffiliated partners an opportunity to educate the Company's advisors or to support availability and distribution of their products on the Company's platforms. These payments allow the outside parties to train and support the advisors, explain the features of their products and distribute marketing and educational materials, and support trading and operational systems necessary to enable the Company's client servicing and production distribution efforts. The Company earns revenue for placing and maintaining unaffiliated fund partners and insurance companies' products on the Company's sales platform (subject to the Company's due diligence standards). The revenue is primarily earned based on a fixed fee or a fixed rate applied, as a percentage, to the market value of assets invested. These performance obligations are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. These fees are invoiced and collected on monthly basis.

*Other Products*

The Company earns revenue for selling unaffiliated alternative products. The performance obligation is satisfied at the time of each individual sale. A portion of the revenue is based on a fixed rate applied, as a percentage, to amounts invested at the time of sale. The remaining revenue is recognized over the time the client owns the investment and is earned generally based on a fixed rate applied, as a percentage, to the market value of the investment. The ongoing revenue is not recognized at the time of sale because it is variably constrained due to factors outside the Company's control including market volatility and client behavior (such as how long clients hold their investment). The revenue will not be recognized until it is probable that a significant reversal will not occur.

The Company earns revenue from brokerage clients for the execution of requested trades. The performance obligation is satisfied at the time of trade execution and amounts are received on the settlement date. The revenue varies for each trade based on various factors that include the type of investment, dollar amount of the trade and how the trade is executed (online or broker assisted).

The Company earns revenue for placing clients' deposits in its brokerage sweep program with third-party banks. The amount received from the third-party banks is impacted by short-term interest rates. The performance obligation with the financial institutions that participate in the sweep program is considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. The revenue is earned daily and settled monthly based on a rate applied, as a percentage, to the deposits placed.

**Other Revenues**

The Company earns revenue from fees charged to franchise advisors for providing various services the advisors need to manage and grow their practices. The primary services include: licensing of intellectual property and software, compliance supervision, insurance coverage, technology services and support, consulting and other services. The services are either provided by the Company or third-party providers. The Company controls the services provided by third parties as it has the right to direct the third parties to perform the services, is primarily responsible for performing the services and sets the prices the advisors are charged. The Company recognizes revenue for the gross amount of the fees received from the advisors. The fees are primarily collected monthly as a reduction of commission payments.

Intellectual property and software licenses, along with compliance supervision, insurance coverage, and technology services and support are primarily earned based on a monthly fixed fee. These services are considered a series of distinct services that are substantially the same and are satisfied each day over the contract term. The consulting and other services performance obligations are satisfied as the services are delivered and revenue is earned based upon the level of service requested.

**Receivables**

Receivables for revenue from contracts with customers are recognized when the performance obligation is satisfied and the Company has an unconditional right to the revenue. Receivables related to revenues from contracts with customers were \$656 million and \$644 million as of March 31, 2019 and December 31, 2018, respectively.

**4. Variable Interest Entities**

The Company provides asset management services to investment entities which are considered to be VIEs, such as CLOs, hedge funds, property funds and certain non-U.S. series funds (OEICs and SICAVs) (collectively, “investment entities”), which are sponsored by the Company. In addition, the Company invests in structured investments other than CLOs and certain affordable housing partnerships which are considered VIEs. The Company consolidates certain investment entities (collectively, “consolidated

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

investment entities”) if the Company is deemed to be the primary beneficiary. The Company has no obligation to provide financial or other support to the non-consolidated VIEs beyond its investment nor has the Company provided any support to these entities.

*CLOs*

CLOs are asset backed financing entities collateralized by a pool of assets, primarily syndicated loans and, to a lesser extent, high-yield bonds. Multiple tranches of debt securities are issued by a CLO, offering investors various maturity and credit risk characteristics. The debt securities issued by the CLOs are non-recourse to the Company. The CLO’s debt holders have recourse only to the assets of the CLO. The assets of the CLOs cannot be used by the Company. Scheduled debt payments are based on the performance of the CLO’s collateral pool. The Company earns management fees from the CLOs based on the CLO’s collateral pool and, in certain instances, may also receive incentive fees. The fee arrangement is at market and commensurate with the level of effort required to provide those services. The Company has invested in a portion of the unrated, junior subordinated notes of certain CLOs. The Company consolidates certain CLOs where it is the primary beneficiary and has the power to direct the activities that most significantly impact the economic performance of the CLO.

The Company’s maximum exposure to loss with respect to non-consolidated CLOs is limited to its amortized cost, which was \$4 million and \$5 million as of March 31, 2019 and December 31, 2018, respectively. The Company classifies these investments as Available-for-Sale securities. See Note 5 for additional information on these investments.

*Property Funds*

The Company provides investment advice and related services to property funds some of which are considered VIEs. For investment management services, the Company generally earns management fees based on the market value of assets under management, and in certain instances may also receive performance-based fees. The fee arrangement is at market and commensurate with the level of effort required to provide those services. The Company does not have a significant economic interest and is not required to consolidate any of the property funds. The Company’s maximum exposure to loss with respect to its investment in these entities is limited to its carrying value. The carrying value of the Company’s investment in property funds is reflected in other investments and was \$14 million and \$18 million as of March 31, 2019 and December 31, 2018, respectively.

*Hedge Funds and other Private Funds*

The Company does not consolidate hedge funds and other private funds which are sponsored by the Company and considered VIEs. For investment management services, the Company earns management fees based on the market value of assets under management, and in certain instances may also receive performance-based fees. The fee arrangement is at market and commensurate with the level of effort required to provide those services and the Company does not have a significant economic interest in any fund. The Company’s maximum exposure to loss with respect to its investment in these entities is limited to its carrying value. The carrying value of the Company’s investment in these entities is reflected in other investments and was \$7 million as of both March 31, 2019 and December 31, 2018.

*Non-U.S. Series Funds*

The Company manages non-U.S. series funds, which are considered VIEs. For investment management services, the Company earns management fees based on the market value of assets under management, and in certain instances may also receive performance-based fees. The fee arrangement is at market and commensurate with the level of effort required to provide those services. The Company does not consolidate these funds and its maximum exposure to loss is limited to its carrying value. The carrying value of the Company’s investment in these funds is reflected in other investments and was \$27 million and \$30 million as of March 31, 2019 and December 31, 2018, respectively.

*Affordable Housing Partnerships and Other Real Estate Partnerships*

The Company is a limited partner in affordable housing partnerships that qualify for government-sponsored low income housing tax credit programs and partnerships that invest in multi-family residential properties that were

originally developed with an affordable housing component. The Company has determined it is not the primary beneficiary and therefore does not consolidate these partnerships.

A majority of the limited partnerships are VIEs. The Company's maximum exposure to loss as a result of its investment in the VIEs is limited to the carrying value. The carrying value is reflected in other investments and was \$339 million and \$352 million as of March 31, 2019 and December 31, 2018, respectively. The Company had a \$30 million and a \$43 million liability recorded as of March 31, 2019 and December 31, 2018, respectively, related to original purchase commitments not yet remitted to the VIEs. The Company has not provided any additional support and is not contractually obligated to provide additional support to the VIEs beyond the above mentioned funding commitments.

*Structured Investments*

The Company invests in structured investments which are considered VIEs for which it is not the sponsor. These structured investments typically invest in fixed income instruments and are managed by third parties and include asset backed securities, commercial and residential mortgage backed securities. The Company classifies these investments as Available-for-Sale securities.

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

The Company has determined that it is not the primary beneficiary of these structures due to the size of the Company's investment in the entities and position in the capital structure of these entities. The Company's maximum exposure to loss as a result of its investment in these structured investments is limited to its amortized cost. See Note 5 for additional information on these structured investments.

**Fair Value of Assets and Liabilities**

The Company categorizes its fair value measurements according to a three-level hierarchy. See Note 11 for the definition of the three levels of the fair value hierarchy.

The following tables present the balances of assets and liabilities held by consolidated investment entities measured at fair value on a recurring basis:

|                                 | March 31, 2019 |         |         |         |
|---------------------------------|----------------|---------|---------|---------|
|                                 | Level 1        | Level 2 | Level 3 | Total   |
|                                 | (in millions)  |         |         |         |
| <b>Assets</b>                   |                |         |         |         |
| Investments:                    |                |         |         |         |
| Corporate debt securities       | \$—            | \$9     | \$—     | \$9     |
| Common stocks                   | 1              | —       | —       | 1       |
| Other investments               | 4              | —       | —       | 4       |
| Syndicated loans                | —              | 1,609   | 117     | 1,726   |
| Total investments               | 5              | 1,618   | 117     | 1,740   |
| Receivables                     | —              | 28      | —       | 28      |
| Total assets at fair value      | \$5            | \$1,646 | \$117   | \$1,768 |
| <b>Liabilities</b>              |                |         |         |         |
| Debt <sup>(1)</sup>             | \$—            | \$1,731 | \$—     | \$1,731 |
| Other liabilities               | —              | 105     | —       | 105     |
| Total liabilities at fair value | \$—            | \$1,836 | \$—     | \$1,836 |

|                                 | December 31, 2018 |         |         |         |
|---------------------------------|-------------------|---------|---------|---------|
|                                 | Level 1           | Level 2 | Level 3 | Total   |
|                                 | (in millions)     |         |         |         |
| <b>Assets</b>                   |                   |         |         |         |
| Investments:                    |                   |         |         |         |
| Corporate debt securities       | \$—               | \$9     | \$—     | \$9     |
| Common stocks                   | 1                 | 1       | —       | 2       |
| Other investments               | 4                 | —       | —       | 4       |
| Syndicated loans                | —                 | 1,465   | 226     | 1,691   |
| Total investments               | 5                 | 1,475   | 226     | 1,706   |
| Receivables                     | —                 | 12      | —       | 12      |
| Total assets at fair value      | \$5               | \$1,487 | \$226   | \$1,718 |
| <b>Liabilities</b>              |                   |         |         |         |
| Debt <sup>(1)</sup>             | \$—               | \$1,743 | \$—     | \$1,743 |
| Other liabilities               | —                 | 122     | —       | 122     |
| Total liabilities at fair value | \$—               | \$1,865 | \$—     | \$1,865 |

(1)

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The carrying value of the CLOs' debt is set equal to the fair value of the CLOs' assets. The estimated fair value of the CLOs' debt was \$1.7 billion as of both March 31, 2019 and December 31, 2018.



**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

The following tables provide a summary of changes in Level 3 assets held by consolidated investment entities measured at fair value on a recurring basis:

|   | <b>Syndicated<br/>Loans<br/>(in millions)</b> |
|---|---|
| Balance, January 1, 2019  | \$ 226  |
| Purchases   | 22  |
| Sales   | (1 )  |
| Settlements   | (7 )  |
| Transfers into Level 3  | 25  |
| Transfers out of Level 3  | (148 )  |
| Balance, March 31, 2019   | \$ 117  |
| Changes in unrealized gains (losses) included in income relating to assets held at March 31, 2019 | \$ —  |

|   | <b>Common<br/>Stocks<br/>(in millions)</b> | <b>Syndicated<br/>Loans<br/>(in millions)</b> |
|---|--|---|
| Balance, January 1, 2018  | \$4  | \$ 180  |
| Total gains (losses) included in:   |  |   |
| Net income  | 4  | (1) 2 (1)                                     |
| Purchases   | —  | 18  |
| Sales   | —  | (1 )  |
| Settlements   | —  | (11 )   |
| Transfers into Level 3  | 4  | 61  |
| Transfers out of Level 3  | (1 )                                       | (49 )   |
| Balance, March 31, 2018   | \$11                                       | \$ 200  |
| Changes in unrealized gains (losses) included in income relating to assets held at March 31, 2018 | \$4  | (1) \$ 2 (1)                                  |

<sup>(1)</sup> Included in net investment income in the Consolidated Statements of Operations.

Securities and loans transferred from Level 3 primarily represent assets with fair values that are now obtained from a third-party pricing service with observable inputs or priced in active markets. Securities and loans transferred to Level 3 represent assets with fair values that are now based on a single non-binding broker quote.

All Level 3 measurements as of March 31, 2019 and December 31, 2018 were obtained from non-binding broker quotes where unobservable inputs utilized in the fair value calculation are not reasonably available to the Company.

**Determination of Fair Value****Assets***Investments*

The fair value of syndicated loans obtained from third-party pricing services using a market approach with observable inputs is classified as Level 2. The fair value of syndicated loans obtained from third-party pricing services with a single non-binding broker quote as the underlying valuation source is classified as Level 3. The underlying inputs used in non-binding broker quotes are not readily available to the Company.

See Note 11 for a description of the Company's determination of the fair value of corporate debt securities, common stocks and other investments.

*Receivables*

For receivables of the consolidated CLOs, the carrying value approximates fair value as the nature of these assets has historically been short term and the receivables have been collectible. The fair value of these receivables is classified as Level 2.

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)****Liabilities***Debt*

The fair value of the CLOs' assets, typically syndicated bank loans, is more observable than the fair value of the CLOs' debt tranches for which market activity is limited and less transparent. As a result, the fair value of the CLOs' debt is set equal to the fair value of the CLOs' assets and is classified as Level 2.

*Other Liabilities*

Other liabilities consist primarily of securities purchased but not yet settled held by consolidated CLOs. The carrying value approximates fair value as the nature of these liabilities has historically been short term. The fair value of these liabilities is classified as Level 2.

**Fair Value Option**

The Company has elected the fair value option for the financial assets and liabilities of the consolidated CLOs. Management believes that the use of the fair value option better matches the changes in fair value of assets and liabilities related to the CLOs.

The following table presents the fair value and unpaid principal balance of loans and debt for which the fair value option has been elected:

|  | March 31,<br>2019 | December 31,<br>2018 |
|--|-------------------|----------------------|
|  | (in millions)     |                      |
| <b>Syndicated loans</b>  |                   |                      |
| Unpaid principal balance   | \$1,780           | \$ 1,743             |
| Excess unpaid principal over fair value  | (54 )             | (52 )                |
| Fair value   | \$1,726           | \$ 1,691             |
| Fair value of loans more than 90 days past due   | \$8               | \$ —                 |
| Fair value of loans in nonaccrual status   | 8                 | —                    |
| Difference between fair value and unpaid principal of loans more than 90 days past due, loans in nonaccrual status or both | —                 | —                    |
| <b>Debt</b>  |                   |                      |
| Unpaid principal balance   | \$1,885           | \$ 1,951             |
| Excess unpaid principal over fair value  | (154 )            | (208 )               |
| Carrying value <sup>(1)</sup>  | \$1,731           | \$ 1,743             |

<sup>(1)</sup> The carrying value of the CLOs' debt is set equal to the fair value of the CLOs' assets. The estimated fair value of the CLOs' debt was \$1.7 billion as of both March 31, 2019 and December 31, 2018.

Interest income from syndicated loans, bonds and structured investments is recorded based on contractual rates in net investment income. Gains and losses related to changes in the fair value of investments and gains and losses on sales of investments are also recorded in net investment income. Interest expense on debt is recorded in interest and debt expense with gains and losses related to changes in the fair value of debt recorded in net investment income.

Total net gains (losses) recognized in net investment income related to changes in the fair value of financial assets and liabilities for which the fair value option was elected were \$(4) million and \$(1) million for the three months ended March 31, 2019 and 2018, respectively.

Debt of the consolidated investment entities and the stated interest rates were as follows:

|   | Carrying Value    |                      | Weighted Average Interest Rate |                      |
|---|-------------------|----------------------|--------------------------------|----------------------|
|   | March 31,<br>2019 | December 31,<br>2018 | March 31,<br>2019              | December 31,<br>2018 |
|   | (in millions)     |                      |                                |                      |
| Debt of consolidated CLOs due 2025-2030 | \$1,731           | \$ 1,743             | 4.0%                           | 3.7 %                |

The debt of the consolidated CLOs has both fixed and floating interest rates, which range from 0% to 11.4%. The interest rates on the debt of CLOs are weighted average rates based on the outstanding principal and contractual interest rates.

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)****5. Investments**

The following is a summary of Ameriprise Financial investments:

|  | March 31,<br>2019 | December 31,<br>2018 |
|--|-------------------|----------------------|
|  | (in millions)     |                      |
| Available-for-Sale securities, at fair value | \$28,764          | \$ 31,058            |
| Mortgage loans, net                          | 2,644             | 2,696                |
| Policy and certificate loans                 | 854               | 861                  |
| Other investments                            | 1,201             | 1,210                |
| Total  | \$33,463          | \$ 35,825            |

Other investments primarily reflect the Company's interests in affordable housing partnerships, trading securities, seed money investments, syndicated loans and held-to-maturity certificates of deposit with original or remaining maturities at the time of purchase of more than 90 days. The carrying value of held-to-maturity certificates of deposit was \$26 million and \$7 million as of March 31, 2019 and December 31, 2018, respectively, which approximates fair value due to the short time between the purchase of the instrument and its expected realization.

The following is a summary of net investment income:

|  | Three Months<br>Ended March 31, |       |
|--|---------------------------------|-------|
|  | 2019                            | 2018  |
|  | (in millions)                   |       |
| Investment income on fixed maturities      | \$353                           | \$329 |
| Net realized gains (losses) <sup>(1)</sup> | 4                               | 6     |
| Affordable housing partnerships            | (15 )                           | (11 ) |
| Other                                      | 32                              | 46    |
| Consolidated investment entities           | 23                              | 26    |
| Total                                      | \$397                           | \$396 |

<sup>(1)</sup> Net realized gains for the three months ended March 31, 2019 included other-than-temporary impairments ("OTTI") on investments held by AAH, which were classified as held for sale on the Consolidated Balance Sheet as of March 31, 2019. See Note 15 for additional information.

Available-for-Sale securities distributed by type were as follows:

March 31, 2019

| Description of Securities              | Gross<br>Unrealized<br>Gains | Gross<br>Unrealized<br>Losses | Fair Value | Noncredit<br>OTTI <sup>(1)</sup> |
|--|------------------------------|-------------------------------|------------|----------------------------------|
|  | (in millions)                |                               |            |                                  |
| Corporate securities                   | \$12,185                     | \$ 813                        | \$ (60 )   | \$12,938                         |
| Residential mortgage backed securities | 6,291                        | 53                            | (43 )      | 6,301                            |
| Commercial mortgage backed securities  | 4,810                        | 32                            | (41 )      | 4,801                            |
| Asset backed securities                | 1,368                        | 39                            | (4 )       | 1,303                            |

|             |          |        |            |         |
|-------------|----------|--------|------------|---------|
| securities  |          |        |            |         |
| State       |          |        |            |         |
| and         |          |        |            |         |
| 1,228       | 201      | (5     | ) 1,424    | —       |
| municipal   |          |        |            |         |
| obligations |          |        |            |         |
| U.S.        |          |        |            |         |
| government  |          |        |            |         |
| 1,709       | 1        | —      | 1,710      | —       |
| agencies    |          |        |            |         |
| obligations |          |        |            |         |
| Foreign     |          |        |            |         |
| government  |          |        |            |         |
| 280         | 13       | (6     | ) 287      | —       |
| and         |          |        |            |         |
| obligations |          |        |            |         |
| \$1,771     | \$ 1,152 | \$(159 | ) \$28,764 | \$( 5 ) |

## AMERIPRISE FINANCIAL, INC.

## NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)

December 31, 2018

| Description of Securities<br>Cost        | Gross<br>Unrealized<br>Gains | Gross<br>Unrealized<br>Losses | Fair Value       | Noncredit<br>OTTI (1) |
|--|------------------------------|-------------------------------|------------------|-----------------------|
| (in millions)                            |                              |                               |                  |                       |
| Corporate securities                     | \$ 555                       | \$ (230 )                     | \$ 14,066        | \$ —                  |
| Residential mortgage backed securities   | 34                           | (78 )                         | 6,329            | —                     |
| Commercial mortgage backed securities    | 18                           | (116 )                        | 4,877            | —                     |
| Asset backed securities                  | 36                           | (11 )                         | 1,398            | 1                     |
| State and municipal obligations          | 192                          | (13 )                         | 2,345            | —                     |
| U.S. government agencies obligations     | —                            | —                             | 1,745            | —                     |
| Foreign government bonds and obligations | 9                            | (9 )                          | 298              | —                     |
| <b>\$30,671</b>                          | <b>\$ 844</b>                | <b>\$ (457 )</b>              | <b>\$ 31,058</b> | <b>\$ 1</b>           |

(1) Represents the amount of OTTI losses in AOCI. Amount includes unrealized gains and losses on impaired securities subsequent to the initial impairment measurement date. These amounts are included in gross unrealized gains and losses as of the end of the period.

As of March 31, 2019 and December 31, 2018, investment securities with a fair value of \$1.8 billion and \$1.5 billion, respectively, were pledged to meet contractual obligations under derivative contracts and short-term borrowings, of which \$744 million and \$510 million, respectively, may be sold, pledged or rehypothecated by the counterparty.

As of March 31, 2019 and December 31, 2018, fixed maturity securities comprised approximately 86% and 87%, respectively, of Ameriprise Financial investments. Rating agency designations are based on the availability of ratings from Nationally Recognized Statistical Rating Organizations (“NRSROs”), including Moody’s Investors Service (“Moody’s”), Standard & Poor’s Ratings Services (“S&P”) and Fitch Ratings Ltd. (“Fitch”). The Company uses the median of available ratings from Moody’s, S&P and Fitch, or, if fewer than three ratings are available, the lower rating is used. When ratings from Moody’s, S&P and Fitch are unavailable, the Company may utilize ratings from other NRSROs or rate the securities internally. As of March 31, 2019 and December 31, 2018, the Company’s internal analysts rated \$673 million and \$755 million, respectively, of securities using criteria similar to those used by NRSROs.

A summary of fixed maturity securities by rating was as follows:

| March 31, 2019                    |            |                             | December 31, 2018 |            |                             |
|-----------------------------------|------------|-----------------------------|-------------------|------------|-----------------------------|
| Amortized Cost                    | Fair Value | Percent of Total Fair Value | Amortized Cost    | Fair Value | Percent of Total Fair Value |
| (in millions, except percentages) |            |                             |                   |            |                             |
| AAA                               | \$13,124   | 46 %                        | \$13,399          | \$13,252   | 43 %                        |
| AA                                | 1,334      | 5                           | 1,571             | 1,723      | 5                           |
| A                                 | 3,294      | 11                          | 3,667             | 3,899      | 13                          |
| BBB                               | 10,041     | 35                          | 11,102            | 11,290     | 36                          |
| Below investment grade            | 957        | 3                           | 932               | 894        | 3                           |
| (1)                               |            |                             |                   |            |                             |
| Total                             |            |                             |                   |            |                             |
| \$27,771                          | \$28,764   | 100 %                       | \$30,671          | \$31,058   | 100 %                       |

The amortized cost and fair value of below investment grade securities includes interest in CLOs managed by the Company of \$4 million and \$6 million, respectively, at March 31, 2019, and \$5 million and \$6 million, respectively, at December 31, 2018. These securities are not rated but are included in below investment grade due to their risk characteristics.

As of March 31, 2019 and December 31, 2018, approximately 37% and 36%, respectively, of the securities rated AAA were GNMA, FNMA and FHLMC mortgage backed securities. No holdings of any other issuer were greater than 10% of total equity.



## AMERIPRISE FINANCIAL, INC.

## NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)

The following tables provide information about Available-for-Sale securities with gross unrealized losses and the length of time that individual securities have been in a continuous unrealized loss position:

March 31, 2019

| Description of Securities | Less than 12 months  |                   | 12 months or more    |                   | Total                |                   |
|---------------------------|----------------------|-------------------|----------------------|-------------------|----------------------|-------------------|
|                           | Number of Securities | Unrealized Losses | Number of Securities | Unrealized Losses | Number of Securities | Unrealized Losses |

(in millions, except number of securities)

Corporate

|                      |     |          |     |          |     |          |
|----------------------|-----|----------|-----|----------|-----|----------|
| Corporate securities | 181 | \$ (12 ) | 246 | \$ (48 ) | 246 | \$ (60 ) |
|----------------------|-----|----------|-----|----------|-----|----------|

Residential

|  |     |      |     |       |     |       |
|--|-----|------|-----|-------|-----|-------|
| Residential mortgage backed securities | 194 | (4 ) | 267 | (39 ) | 267 | (43 ) |
|--|-----|------|-----|-------|-----|-------|

Commercial

|                                       |     |      |     |       |     |       |
|---------------------------------------|-----|------|-----|-------|-----|-------|
| Commercial mortgage backed securities | 118 | (3 ) | 151 | (38 ) | 151 | (41 ) |
|---------------------------------------|-----|------|-----|-------|-----|-------|

Asset

|                         |    |      |    |      |    |      |
|-------------------------|----|------|----|------|----|------|
| Asset backed securities | 36 | (2 ) | 54 | (2 ) | 54 | (4 ) |
|-------------------------|----|------|----|------|----|------|

State

|                                 |    |      |    |      |    |      |
|---------------------------------|----|------|----|------|----|------|
| State and municipal obligations | 27 | (1 ) | 28 | (4 ) | 28 | (5 ) |
|---------------------------------|----|------|----|------|----|------|

Foreign

|  |    |   |    |      |    |      |
|--|----|---|----|------|----|------|
| Foreign government bonds and obligations | 22 | — | 24 | (6 ) | 24 | (6 ) |
|--|----|---|----|------|----|------|

|              |            |                 |            |                  |            |                  |
|--------------|------------|-----------------|------------|------------------|------------|------------------|
| <b>Total</b> | <b>578</b> | <b>\$ (22 )</b> | <b>770</b> | <b>\$ (137 )</b> | <b>770</b> | <b>\$ (159 )</b> |
|--------------|------------|-----------------|------------|------------------|------------|------------------|

December 31, 2018

| Description of Securities | Less than 12 months  |                   | 12 months or more    |                   | Total                |                   |
|---------------------------|----------------------|-------------------|----------------------|-------------------|----------------------|-------------------|
|                           | Number of Securities | Unrealized Losses | Number of Securities | Unrealized Losses | Number of Securities | Unrealized Losses |

(in millions, except number of securities)

Corporate

|                      |     |           |     |          |     |           |
|----------------------|-----|-----------|-----|----------|-----|-----------|
| Corporate securities | 148 | \$ (152 ) | 493 | \$ (78 ) | 493 | \$ (230 ) |
|----------------------|-----|-----------|-----|----------|-----|-----------|

Residential

|  |     |       |     |       |     |       |
|--|-----|-------|-----|-------|-----|-------|
| Residential mortgage backed securities | 175 | (18 ) | 317 | (60 ) | 317 | (78 ) |
|--|-----|-------|-----|-------|-----|-------|

Commercial

|                                       |     |       |     |       |     |        |
|---------------------------------------|-----|-------|-----|-------|-----|--------|
| Commercial mortgage backed securities | 112 | (30 ) | 216 | (86 ) | 216 | (116 ) |
|---------------------------------------|-----|-------|-----|-------|-----|--------|

|  |           |          |     |         |          |       |                   |
|--|-----------|----------|-----|---------|----------|-------|-------------------|
| Asset<br>Backed<br>securities                        | (6 )      | 35       | 396 | (5 )    | 73       | 887   | (11 )             |
| State<br>and<br>municipal<br>obligations             | (4 )      | 100      | 254 | (9 )    | 181      | 509   | (13 )             |
| Foreign<br>government<br>bonds<br>and<br>obligations | (4 )      | 14       | 17  | (5 )    | 31       | 103   | (9 )              |
| Total  | \$ 10,445 | \$(214 ) | 584 | \$6,322 | \$(243 ) | 1,311 | \$16,767 \$(457 ) |

As part of Ameriprise Financial's ongoing monitoring process, management determined that the change in gross unrealized losses on its Available-for-Sale securities is primarily attributable to lower interest rates as well as tighter credit spreads.

The following table presents a rollforward of the cumulative amounts recognized in the Consolidated Statements of Operations for OTTI related to credit losses on Available-for-Sale securities for which a portion of the securities' total OTTI was recognized in OCI:

|  | Three<br>Months<br>Ended<br>March 31,<br>2019 2018<br>(in millions) |      |
|--|---|------|
| Beginning balance  | \$ 2  | \$ 2 |
| Credit losses for which an other-than-temporary impairment was previously recognized | —   | —    |
| Ending balance   | \$ 2  | \$ 2 |

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)**

Net realized gains and losses on Available-for-Sale securities, determined using the specific identification method, recognized in earnings were as follows:

|                                  | <b>Three<br/>Months<br/>Ended<br/>March 31,<br/>2019 2018</b> |      |
|----------------------------------|---|------|
|                                  | <b>(in millions)</b>  |      |
| Gross realized investment gains  | \$19  | \$6  |
| Gross realized investment losses | (9 )  | (1 ) |
| Other-than-temporary impairments | (5 )  | —    |
| Total                            | \$5   | \$5  |

Other-than-temporary impairments for the three months ended March 31, 2019 primarily related to investments held by AAH, which were classified as held for sale on the Consolidated Balance Sheet as of March 31, 2019. See Note 15 for additional information.

See Note 16 for a rollforward of net unrealized investment gains (losses) included in AOCI.

Available-for-Sale securities by contractual maturity as of March 31, 2019 were as follows:

|  | <b>Amortized<br/>Cost</b> | <b>Fair Value</b> |
|--|---------------------------|-------------------|
|  | <b>(in millions)</b>      |                   |
| Due within one year                    | \$3,194                   | \$3,197           |
| Due after one year through five years  | 4,710                     | 4,779             |
| Due after five years through 10 years  | 3,294                     | 3,400             |
| Due after 10 years                     | 4,204                     | 4,983             |
|  | 15,402                    | 16,359            |
| Residential mortgage backed securities | 6,291                     | 6,301             |
| Commercial mortgage backed securities  | 4,810                     | 4,801             |
| Asset backed securities                | 1,268                     | 1,303             |
| Total                                  | \$27,771                  | \$28,764          |

Actual maturities may differ from contractual maturities because issuers may have the right to call or prepay obligations. Residential mortgage backed securities, commercial mortgage backed securities and asset backed securities are not due at a single maturity date. As such, these securities were not included in the maturities distribution.

**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)****6. Financing Receivables**

The Company's financing receivables primarily include commercial mortgage loans, syndicated loans, policy loans, certificate loans, advisor loans, margin loans and the reinsurance deposit receivable. Commercial mortgage loans, syndicated loans, policy loans and certificate loans are reflected in investments. Advisor loans, margin loans and the reinsurance deposit receivable are recorded in receivables.

**Allowance for Loan Losses**

Policy and certificate loans do not exceed the cash surrender value at origination. As there is minimal risk of loss related to policy and certificate loans, the Company does not record an allowance for loan losses. The Company monitors collateral supporting margin loans and requests additional collateral when necessary in order to mitigate the risk of loss.

*Commercial Mortgage Loans and Syndicated Loans*

The following table presents a rollforward of the allowance for loan losses for the three months ended and the ending balance of the allowance for loan losses by impairment method:

|                   | March 31,     |      |
|-------------------|---------------|------|
|                   | 2019          | 2018 |
|                   | (in millions) |      |
| Beginning balance | \$24          | \$26 |
| Charge-offs       | (1 )          | —    |
| Provisions        | —             | —    |
| Ending balance    | \$23          | \$26 |

Individually evaluated for impairment \$— \$—

Collectively evaluated for impairment 23 26

The recorded investment in financing receivables by impairment method was as follows:

|                                       | March 31, December 31, |         |
|---------------------------------------|------------------------|---------|
|                                       | 2019                   | 2018    |
|                                       | (in millions)          |         |
| Individually evaluated for impairment | \$19                   | \$24    |
| Collectively evaluated for impairment | 3,190                  | 3,239   |
| Total                                 | \$3,209                | \$3,263 |

As of March 31, 2019 and December 31, 2018, the Company's recorded investment in financing receivables individually evaluated for impairment for which there was no related allowance for loan losses was \$19 million and \$24 million, respectively. Unearned income, unamortized premiums and discounts, and net unamortized deferred fees and costs are not material to the Company's total loan balance.

During both the three months ended March 31, 2019 and 2018, the Company purchased \$33 million of syndicated loans. During the three months ended March 31, 2019 and 2018, the Company sold \$13 million and \$3 million, respectively, of syndicated loans.

The Company has not acquired any loans with deteriorated credit quality as of the acquisition date.

*Loans to Financial Advisors*

As of March 31, 2019 and December 31, 2018, principal amounts outstanding for advisor loans were \$578 million and \$558 million, respectively. As of both March 31, 2019 and December 31, 2018, allowance for loan losses were \$25 million. The allowance for loan losses related to loans to financial advisors is not included in the table disclosures above. Of the gross balance outstanding, the portion associated with financial advisors who are no longer affiliated with the Company was \$15 million and \$18 million as of March 31, 2019 and December 31, 2018, respectively. The allowance for loan losses on these loans was \$12 million and \$13 million as of March 31, 2019 and

December 31, 2018, respectively.

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**AMERIPRISE FINANCIAL, INC.****NOTES TO CONSOLIDATED FINANCIAL STATEMENTS (UNAUDITED) (continued)****Credit Quality Information**

Nonperforming loans, which are generally loans 90 days or more past due, were \$14 million and \$16 million as of March 31, 2019 and December 31, 2018, respectively. All other loans were considered to be performing.

*Commercial Mortgage Loans*

The Company reviews the credit worthiness of the borrower and the performance of the underlying properties in order to determine the risk of loss on commercial mortgage loans. Based on this review, the commercial mortgage loans are assigned an internal risk rating, which management updates as necessary. Commercial mortgage loans which management has assigned its highest risk rating were nil of total commercial mortgage loans as of both March 31, 2019 and December 31, 2018. Loans with the highest risk rating represent distressed loans which the Company has identified as impaired or expects to become delinquent or enter into foreclosure within the next six months. In addition, the Company reviews the concentrations of credit risk by region and property type.

Concentrations of credit risk of commercial mortgage loans by U.S. region were as follows:

|                                 | Loans             |                      | Percentage        |                      |
|---------------------------------|-------------------|----------------------|-------------------|----------------------|
|                                 | March 31,<br>2019 | December 31,<br>2018 | March 31,<br>2019 | December 31,<br>2018 |
|                                 | (in millions)     |                      |                   |                      |
| East North Central              | \$218             | \$ 216               | 8 %               | 8 %                  |
| East South Central              | 108               | 107                  | 4                 | 4                    |
| Middle Atlantic                 | 186               | 187                  | 7                 | 7                    |
| Mountain                        | 235               | 237                  | 9                 | 9                    |
| New England                     | 57                | 62                   | 2                 | 2                    |
| Pacific                         | 798               | 814                  | 30                | 30                   |
| South Atlantic                  | 712               | 731                  | 27                | 27                   |
| West North Central              | 205               | 213                  | 8                 | 8                    |
| West South Central              | 144               | 148                  | 5                 | 5                    |
|                                 | 2,663             | 2,715                | 100 %             | 100 %                |
| Less: allowance for loan losses | 19                | 19                   |                   |                      |
| Total                           | \$2,644           | \$ 2,696             |                   |                      |

Concentrations of credit risk of commercial mortgage loans by property type were as follows:

|            | Loans             |                      | Percentage        |                      |
|------------|-------------------|----------------------|-------------------|----------------------|
|            | March 31,<br>2019 | December 31,<br>2018 | March 31,<br>2019 | December 31,<br>2018 |
|            | (in millions)     |                      |                   |                      |
| Apartments | \$618             | \$ 621               | 23 %              | 23 %                 |
| Hotel      | 42                | 43                   | 2                 | 1                    |
| Industrial | 441               | 453                  | 17                | 17                   |
| Mixed use  | 58                | 54                   | 2                 | 2                    |
| Office     | 421               | 435                  | 15                | 16                   |
| Retail     | 879               | 897                  | 33                | 33                   |
| Other      | 204               | 212                  | 8                 | 8                    |
|            | 2,663             | 2,715                | 100 %             |                      |