

Ameriprise Financial Community Relations Guidelines

At Ameriprise Financial, the mission of our Community Relations program is: using our resources and talents to improve the lives of individuals and build strong communities. We believe our community involvement enables us to actively live our company's values and communicate the spirit of our brand.

Our community outreach focuses on three key priorities:

- Meeting Basic Needs
- Supporting Community Vitality
- Volunteer-Driven Causes

Ameriprise Financial provides support to a diverse group of nonprofit organizations whose missions align with our philanthropic priorities. By targeting our giving in this way, we are able to make the most of the resources we have, and in turn, have a greater impact on our communities. We prefer to direct our funding resources to specific projects that can demonstrate innovative approaches with measurable results or capacity building rather than general operating support.

The following guidelines are designed to help you determine whether your organization may be eligible for funding. Please carefully read the following information before moving forward with the application process to ensure that your organization is eligible for support from Ameriprise Financial.

Giving Priorities

Ameriprise Financial focuses its funding in three key areas, supporting organizations across the nation where our employees, advisors and retirees live and work. These giving priorities are:

1. Meeting Basic Needs

We support programs and services that help individuals stabilize their lives and become more self-sufficient. Consideration will be given to applications that address the following:

- Food
 - Food shelves, emergency food banks/pantries
 - Capacity building grants allowing organizations to expand their services
 - Unique hunger programs addressing specific community or population needs, e.g. school brown bag lunches taken home for the weekend, food drives at community special events
- Shelter
 - Securing transitional housing
 - Achieving and maintaining homeownership
 - Ending long-term homelessness
- Self Sufficiency
 - Preparing for work readiness and job transitions
 - Gaining financial life skills, primary focus is on underserved adult populations

2. Supporting Community Vitality

Our company supports programs and services that build strong communities by creating economic vitality and cultural enrichment through the following activities:

- Community Development
 - Improving the vitality and livability of neighborhoods, especially those of the underserved
- Cultural Enrichment
 - Supporting the arts through extended community outreach and access
 - Enhancing cultural awareness and understanding
- Civic Leadership
 - Demonstrating the company's commitment to communities where we have a presence through participation in civic organizations, events, projects, etc.
- Disaster Response and Recovery
 - Acting in response to disasters in areas where there are a significant number of employees or advisors
 - Demonstrating our corporate citizenship by responding to significant domestic and international disasters
- Environmental Awareness
 - Expressing the company's commitment to the environment, primarily through the education and volunteer efforts of our employees and advisors

3. Volunteer-Driven Causes

We believe that our employees, advisors and retirees are our greatest asset so we want them to help determine where and how a portion of our support is directed. Grants in this category are intended to recognize the many nonprofit organizations that serve our communities and have captured the interest of our people.

Through Volunteer-Driven Causes we have created a number of ways to support employees and advisors as they bring our corporate value of "Respect for individuals and the communities in which we live and work" to life. Employees, advisors and retirees can direct their time and monetary support through the following initiatives:

Volunteer-Driven Causes Grants

Please Note: Funding is strictly driven by Ameriprise Financial volunteerism. Proposals must be from the nonprofit organizations where employees/advisors/retirees volunteer. In general, funding will increase in proportion to the number of Ameriprise Financial volunteers. The minimum request amount is \$5,000. Proposals will be evaluated based on the merit of the request and level of Ameriprise Financial volunteer involvement.

Application Requirements

If you are located in the Twin Cities, DePere, Wisc. or Phoenix areas where Ameriprise Financial employee-centers are located, you must have a minimum of 25 Ameriprise Financial employees and/or a minimum of five advisors/retirees involved in order for the nonprofit to apply for funding under this priority.

If you are **not** located in one of these three employee-centers, you must have one of the following to apply for funding:

- five Ameriprise Financial advisors volunteering
- five Ameriprise Financial employees volunteering
- a combination of Ameriprise Financial employees, advisors or retirees totaling at least five, e.g. three advisors and two Ameriprise Financial employees
- an individual advisor or retiree volunteering at an eligible nonprofit organization at least 25 hours annually

Eligibility

Eligible Programs and Organizations

- Qualify as a nonprofit organization with 501(c)(3) IRS status or 509(a)(1,2,or 3)
- Clearly match the guidelines of one of our three giving priorities: *Meeting Basic Needs, Supporting Community Vitality, Volunteer-Driven Causes*
- Provide all grant application requirements, including audited financial statements. Absolutely no exceptions.
- Provide excellent, well-managed programs and high-quality services
- Show measurable, demonstrated results
- Are fiscally sound

Non-Eligible Programs and Organizations

- Organizations that are not tax-exempt under IRS Code 501(c)(3) or 509(a)(1,2,or 3)
- Organizations that do not comply with the non-discrimination policy at Ameriprise Financial: "We are committed to equal employment opportunity and unbiased treatment of all individuals based on job-related qualifications and without regard to race, color, gender, age, national origin, religion, creed, sexual orientation, gender identity, marital status, citizenship, disability, veteran status or any other basis prohibited by law"
- Organizations requesting dollars for regrating
- Benefits or charitable dinners, fundraising events, galas, performance sponsorships, sporting tournaments and events (i.e., golf, tennis tournaments) or advertising or tickets to these events
- Capital or endowment campaign requests
- Multi-year pledge campaigns
- Individual Development Accounts (IDAs)
- Fraternal, social, labor, athletics, veterans or other membership organizations providing services mainly to their own constituencies
- Individuals or groups seeking support for research, planning, personal needs, scholarships or travel for individuals or groups
- Medical programs, hospitals and clinics
- Political organizations or initiatives whose primary purpose is to influence legislation, candidates or political campaigns
- Programs solely focused on youth mentoring
- Purchase of advertising or marketing initiatives
- Religious organizations for religious purposes
- Sports-related activities, youth or college athletics
- Start-up funding for new organizations

Non-Eligible Programs and Organizations (continued)

- Memberships in trade organizations (e.g., International Association for Financial Planning)
- Organizations, private foundations or programs that fund terrorist groups or activities
- International organizations or grantmaking outside the United States

Project Selection Criteria

All grants are made at the sole discretion of Ameriprise Financial based on its evaluation of individual proposals, its determination of relative priorities and availability of funds. This is a competitive process.

- Decisions will be based on our desire to support a diverse mix of projects that reflect a variety of organization types and program venues, as well as balancing geographic and demographic considerations
- Under all grantmaking priorities, preference will be given to organizations where Ameriprise Financial advisors or employees are actively involved as volunteers or board members
- Ameriprise Financial reserves the right not to award any specific grant for any reason, or for no apparent reason, no matter how clearly the proposed grant may seem to relate to the guidelines and procedures

To be considered for selection requests must, at a minimum, address all of the following criteria:

- The purpose of the project and its goals must be clearly stated
- The planned activities must clearly relate to accomplishment of stated goals
- The uniqueness and/or innovative aspects of the project should be described in detail (these may include project promotion and other activities that will motivate attendance, as well as program completion and behavioral changes in the target audience where applicable)
- The target audience must be clearly described (applicants must indicate the numbers and types of audience or clients the project is expected to reach and how those numbers were calculated)
- The evaluation plan must identify how results will be identified, achieved, measured and presented as part of the project's final written report
- The organizations ability to implement projects must be stated by demonstrating a track record of successful programs and projects
- Alignment with our corporate values

How To Apply

There are four steps to the application process:

1. Carefully review our Community Relations Guidelines
2. Determine your eligibility

3. Select the giving category under which you want to apply
4. Complete your application online – only online applications with complete uploaded required documents will be accepted – and submit it on or before the deadline date

Deadlines

All deadlines are firm and late proposals will not be accepted. Please do not submit your application more than six (6) weeks before the deadline. Please do not call or e-mail for a status report. We will respond in writing within three months of the deadline date.

Annual deadlines:

Feb. 1 decision by end of April

May 1 decision by end of July

Sept. 1 decision by end of November

All deadlines are firm, and late proposals will not be accepted.

Thank you for your interest in Ameriprise Financial and our Community Relations Program.