

C0. Introduction

C0.1

(C0.1) Give a general description and introduction to your organization.

Ameriprise Financial is a leading diversified financial planning and services company with a network of approximately 10,000 financial advisors in the U.S. and extensive asset management, advisory and insurance capabilities. The company specializes in meeting the retirement-related financial needs of the mass affluent and affluent and provides individual and institutional investors with solutions for asset accumulation, income management and insurance protection.

C0.2

(C0.2) State the start and end date of the year for which you are reporting data.

	Start date	End date	Indicate if you are providing emissions data for past reporting years	Select the number of past reporting years you will be providing emissions data for
Reporting year	January 1 2019	December 31 2019	No	<Not Applicable>

C0.3

(C0.3) Select the countries/areas for which you will be supplying data.

United States of America

C0.4

(C0.4) Select the currency used for all financial information disclosed throughout your response.

USD

C0.5

(C0.5) Select the option that describes the reporting boundary for which climate-related impacts on your business are being reported. Note that this option should align with your chosen approach for consolidating your GHG inventory.

Other, please specify (Operational control – Minneapolis Headquarters and Client Service Center facilities)

C-FS0.7

(C-FS0.7) Which organizational activities does your organization undertake?

- Investing (Asset manager)
- Investing (Asset owner)
- Insurance underwriting (Insurance company)

C1. Governance

C1.1

(C1.1) Is there board-level oversight of climate-related issues within your organization?

Yes

C1.1a

(C1.1a) Identify the position(s) (do not include any names) of the individual(s) on the board with responsibility for climate-related issues.

Position of individual(s)	Please explain
Board-level committee	In 2017, the Nominating and Governance Committee of the Ameriprise Financial Board amended its by-laws to oversee the firm's corporate social responsibility (CSR) efforts. As part of that work, the committee reviewed the 2020 Ameriprise Responsible Business Report at its January 2020 meeting. The report includes our climate change positioning and risk management processes, and we have provided a link to the report at the bottom of our submission. In terms of day-to-day support of climate topics, the Ameriprise CSR Steering Committee (SteerCo) manages our efforts. Committee membership includes senior leaders from Corporate Communications, Community Relations, HR, Investor Relations, Real Estate, Responsible Investment at Columbia Threadneedle Investments (Columbia Threadneedle), and our General Counsel's Organization, including our Corporate Secretary. Climate-related issues at Ameriprise are monitored by members of the SteerCo, including members from Real Estate, Corporate Communications, Investor Relations, General Counsel's Organization, and Responsible Investment at Columbia Threadneedle. In addition, we also consider climate-related issues within our Responsible Investment capability and research at Columbia Threadneedle, the asset management group of Ameriprise.

C1.1b

(C1.1b) Provide further details on the board's oversight of climate-related issues.

Frequency with which climate-related issues are a scheduled agenda item	Governance mechanisms into which climate-related issues are integrated	Scope of board-level oversight	Please explain
Other, please specify (The Ameriprise Corporate Social Responsibility Steering Committee provides a twice annual update to the CEO and an annual update to the Nominating and Governance Committee.)	Other, please specify (Review the Ameriprise Responsible Business Report and CSR strategy)	The impact of our own operations on the climate	In 2017, the Nominating and Governance Committee of the Ameriprise Board amended its by-laws to oversee our corporate social responsibility (CSR) efforts. For example, at the January 2020 meeting, the committee reviewed the Ameriprise Responsible Business Report, which includes our climate change positioning. Separately in 2020, Ameriprise added climate as a long-term strategic risk within our Enterprise Risk Management process. More broadly, management regularly updates the Board on the regulatory environment and emerging risks. The Board discusses with management, the general auditor and independent auditors the company's enterprise-wide risk assessment and risk management processes, including: • Prevailing material risks and exposures • Actions being taken to mitigate these risks • The design and effectiveness of our processes and controls in light of evolving market, business, regulatory and other conditions.

C1.2

(C1.2) Provide the highest management-level position(s) or committee(s) with responsibility for climate-related issues.

Name of the position(s) and/or committee(s)	Reporting line	Responsibility	Coverage of responsibility	Frequency of reporting to the board on climate-related issues
Corporate responsibility committee	Other, please specify (The Ameriprise Corporate Social Responsibility Steering Committee provides a twice annual update to the CEO and an annual update to the Nominating and Governance Committee.)	Both assessing and managing climate-related risks and opportunities	Risks and opportunities related to our own operations	Half-yearly
Chief Risks Officer (CRO)	Risk - CRO reporting line	Assessing climate-related risks and opportunities	Risks and opportunities related to our own operations	Annually
Other, please specify (Vice President, Real Estate)	Finance - CFO reporting line	Both assessing and managing climate-related risks and opportunities	Risks and opportunities related to our own operations	Not reported to the board
Other C-Suite Officer, please specify (Chief Investment Officer)	Investment - CIO reporting line	Assessing climate-related risks and opportunities	Risks and opportunities related to our investing activities	Not reported to the board
Other, please specify (CTI Responsible Investment leadership)	Investment - CIO reporting line	Both assessing and managing climate-related risks and opportunities	Risks and opportunities related to our investing activities	Not reported to the board
Facility manager	Finance - CFO reporting line	Managing climate-related risks and opportunities	Risks and opportunities related to our own operations	Not reported to the board

C1.2a

(C1.2a) Describe where in the organizational structure this/these position(s) and/or committees lie, what their associated responsibilities are, and how climate-related issues are monitored (do not include the names of individuals).

i. Where this position(s) and/or committee(s) lie

In 2017, the Nominating and Governance Committee of the Ameriprise Board amended its by-laws to oversee corporate social responsibility (CSR) efforts at Ameriprise. Our CSR Steering Committee (SteerCo) works closely with members of the company's Executive Leadership Team and provides a twice annual update to the CEO and an annual update to the Nominating and Governance Committee. SteerCo membership includes senior leaders from Corporate Communications, Community Relations, HR, Investor Relations, Real Estate, Responsible Investment at Columbia Threadneedle and our General Counsel's Organization, including our Corporate Secretary.

The Chief Risk Officer (CRO) is responsible for the company's global risk management processes. The CRO reports on material risks to the Ameriprise Board of Directors. In 2020, Ameriprise added climate as a strategic risk.

The Head of Responsible Investment policy and Head of Stewardship are senior leaders within our Responsible Investment business and report within investments.

ii/iii. Rationale/specific responsibilities

The SteerCo is well-positioned to monitor climate-related risks and opportunities. The SteerCo also produces the company's annual Responsible Business Report, which includes our climate change positioning and risk management processes.

The CRO considers risks within our diversified business model, including risks and opportunities related to our business as a wealth manager, asset manager and insurer. More broadly, the CRO designs and executes our risk management approach within our operational and enterprise risk management capability. In March 2020, Enterprise Risk Management (ERM) approved the expansion of management and oversight for climate risk. Beginning this year, climate will be considered as a long-term strategic risk within this framework.

Ameriprise is a low GHG-emitter and we work to monitor and manage emissions from our operations. From an organizational standpoint, the Real Estate team, including the Vice President and facility managers, tracks and manages our energy use and emissions. Our Real Estate team accounts for the operational impacts from acute or chronic weather changes that may impact our employees, offices or facility projects. The team also complies with all relevant regulatory policies that may impact our operational footprint. For example, municipal ordinances regarding environmental performance and reporting.

Columbia Threadneedle is a signatory of the Principles for Responsible Investment (RI). The Heads of RI policy and Stewardship are key investment leaders within the RI business. Our global RI team works alongside our investment professionals facilitating environmental, social and governance analysis into our investment processes for our portfolio managers' consideration when making investment decisions for the funds and accounts they manage.

C1.3

(C1.3) Do you provide incentives for the management of climate-related issues, including the attainment of targets?

	Provide incentives for the management of climate-related issues	Comment
Row 1	Yes	Non-monetary recognition relates to our facilities team and are associated with energy efficiency projects, as detailed below.

C1.3a

(C1.3a) Provide further details on the incentives provided for the management of climate-related issues (do not include the names of individuals).

Entitled to incentive	Type of incentive	Activity incentivized	Comment
Facilities manager	Non-monetary reward	Energy reduction project	Our real estate team receives credit for energy reduction initiatives in performance reviews.

C-FS1.4

(C-FS1.4) Does your organization offer its employees an employment-based retirement scheme that incorporates ESG principles, including climate change?

	We offer an employment-based retirement scheme that incorporates ESG principles, including climate change.	Comment
Row 1	Yes, as an investment option for some plans offered	Yes, this is available to employees as part of self-directed brokerage options.

C2. Risks and opportunities

C2.1

(C2.1) Does your organization have a process for identifying, assessing, and responding to climate-related risks and opportunities?

Yes

C2.1a

(C2.1a) How does your organization define short-, medium- and long-term time horizons?

	From (years)	To (years)	Comment
Short-term	0	1	Realized risks are also sometimes defined within a 0-18 month timeframe.
Medium-term	1	3	
Long-term	3	100	

C2.1b

(C2.1b) How does your organization define substantive financial or strategic impact on your business?

In 2020, Ameriprise began considering climate as a long-term strategic risk within our Enterprise Risk Management (ERM) process. Within this framework, the Enterprise Risk Management Committee (ERMC) provides oversight for firm-wide strategic, financial and operational risk.

Through our ERM process, the company evaluates substantive financial impacts on a quarterly basis. Each business unit identifies and assesses material operational risks as part of an annual risk and control self-assessment. Business unit leads score each risk on three dimensions: probability of occurrence, financial impact and control environment.

Given the inclusion of climate as a long-term strategic risk beginning in 2020, this process is beginning and will evolve over time.

C2.2

(C2.2) Describe your process(es) for identifying, assessing and responding to climate-related risks and opportunities.

Value chain stage(s) covered

Direct operations

Risk management process

Integrated into multi-disciplinary company-wide risk management process

Frequency of assessment

More than once a year

Time horizon(s) covered

Long-term

Description of process

In 2020, Ameriprise began considering climate as a long-term strategic risk. More broadly, the company formally reviews long-term strategic risks as part of its enterprise risk management process annually. However, throughout the year, the company reviews strategic risk and the actions to mitigate the potential impact of those risks as part of its long-range planning process.

Value chain stage(s) covered

Upstream

Risk management process

Integrated into multi-disciplinary company-wide risk management process

Frequency of assessment

More than once a year

Time horizon(s) covered

Long-term

Description of process

In 2020, Ameriprise began considering climate as a long-term strategic risk. More broadly, the company formally reviews long-term strategic risks as part of its enterprise risk management process annually. However, throughout the year, the company reviews strategic risk and the actions to mitigate the potential impact of those risks as part of its long-range planning process.

C2.2a

(C2.2a) Which risk types are considered in your organization's climate-related risk assessments?

	Relevance & inclusion	Please explain
Current regulation	Relevant, always included	The following example reflects our asset management business, Columbia Threadneedle (CTI). CTI assesses exposure to proposed legislation that could impact how we integrate ESG considerations into investment decisions. In 2019, the European Commission proposed legislative changes on stewardship practices. Columbia Threadneedle would be mandated to comply with the European Commission's regulations that impact all EU domiciled accounts managed by CTI.
Emerging regulation	Relevant, always included	The following example reflects our asset management business, Columbia Threadneedle (CTI). CTI assesses exposure to proposed legislation that could impact how we integrate ESG considerations into investment decisions. In 2019, the European Commission proposed legislative changes on stewardship practices. Columbia Threadneedle would be mandated to comply with the European Commission's regulations that impact all EU domiciled accounts managed by CTI.
Technology	Relevant, sometimes included	The following example reflects our asset management business, Columbia Threadneedle (CTI). CTI assesses exposure to proposed legislation that could impact how we integrate ESG considerations into investment decisions. In 2019, the European Commission proposed legislative changes on stewardship practices. Columbia Threadneedle would be mandated to comply with the European Commission's regulations that impact all EU domiciled accounts managed by CTI.
Legal	Relevant, always included	The following example reflects our asset management business, Columbia Threadneedle (CTI). CTI assesses exposure to proposed legislation that could impact how we integrate ESG considerations into investment decisions. In 2019, the European Commission proposed legislative changes on stewardship practices. Columbia Threadneedle would be mandated to comply with the European Commission's regulations that impact all EU domiciled accounts managed by CTI.
Market	Relevant, sometimes included	We monitor evolving industry trends to inform our business strategy and identify market opportunities, which may include changes in client demand (ex: ESG). Ameriprise offers clients and our advisors a range of RI/Thematic ESG products and solutions from third-party asset managers, including within mutual fund, ETF and separate account investment vehicles. While assets in RI/ESG strategies remain a small part of our client AUM, our advisors are interested in the opportunities and risks related to RI/ESG strategies. In addition, our asset management business, Columbia Threadneedle, reported \$33 billion in RI AUM in 2019 and is working to grow this business.
Reputation	Relevant, sometimes included	Reputational aspects of climate change are led by our Public Affairs/Corporate Communications and considered within the work of the Ameriprise CSR Steering Committee that includes senior leaders from across the business representing Corporate Communications and Community Relations, GCO (including Corporate Secretary), Investor Relations, Real Estate, HR and Columbia Threadneedle.
Acute physical	Relevant, sometimes included	Our real estate team monitors the acute and chronic shifts in climate that may affect the facilities in our operational footprint. Within the reporting year, our property/casualty business risk management process included assessing, protecting against and mitigating the risks of catastrophic weather events affecting both the company and its policyholders. We would note that the company sold its P&C business in late 2019.
Chronic physical	Relevant, sometimes included	Our real estate team monitors the acute and chronic shifts in climate that may affect the facilities in our operational footprint. For example, severe weather such as heat waves, cold fronts or severe seasonal storms may impact our energy efficiency. Within our reporting year, we worked with our Minnesota energy provider to coordinate electrical loads during high-demand days to reduce overall demand.

C-FS2.2b

(C-FS2.2b) Do you assess your portfolio's exposure to climate-related risks and opportunities?

	We assess the portfolio's exposure	Please explain
Bank lending (Bank)	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	No, we don't assess this	Given the question is asking how we assess our "portfolio's" exposure, we answered this question with the understanding that it refers to Columbia Threadneedle's entire investment portfolio. While we don't assess the entire portfolio for exposure to climate-related risks and opportunities, we do consider exposure within specific mandates or strategies.
Investing (Asset owner)	No, we don't assess this	No, we don't assess this.
Insurance underwriting (Insurance company)	No, we don't assess this	No, we don't assess this.
Other products and services, please specify	No, we don't assess this	No, we don't assess this.

C-FS2.2d

(C-FS2.2d) Do you assess your portfolio's exposure to water-related risks and opportunities?

	We assess the portfolio's exposure	Portfolio coverage	Please explain
Bank lending (Bank)	<Not Applicable>	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	No, we don't assess this	<Not Applicable>	Given the question is asking how we assess our "portfolio's" exposure, we answered this question with the understanding that it refers to Columbia Threadneedle's entire investment portfolio. However, we would note that at Columbia Threadneedle, we have designed an approach to assess water stress exposure both with respect to a business' operations and their geographical location for certain strategies. For example, holdings in our Global Equity funds consider water and represent 0.5% of AUM.
Investing (Asset owner)	No, we don't assess this	<Not Applicable>	We do not consider exposure to water-related risks or opportunities as part of our assessment.
Insurance underwriting (Insurance company)	No, we don't assess this	<Not Applicable>	We do not consider exposure to water-related risks or opportunities as part of our assessment.
Other products and services, please specify	No, we don't assess this	<Not Applicable>	We do not consider exposure to water-related risks or opportunities as part of our assessment.

C-FS2.2e

(C-FS2.2e) Do you assess your portfolio's exposure to forests-related risks and opportunities?

	We assess the portfolio's exposure	Portfolio coverage	Please explain
Bank lending (Bank)	<Not Applicable>	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	No, we don't assess this	<Not Applicable>	We do not currently assess our portfolio's exposure to forests-related risks and opportunities.
Investing (Asset owner)	No, we don't assess this	<Not Applicable>	We do not currently assess our portfolio's exposure to forests-related risks and opportunities.
Insurance underwriting (Insurance company)	No, we don't assess this	<Not Applicable>	We do not currently assess our portfolio's exposure to forests-related risks and opportunities.
Other products and services, please specify	Please select	<Not Applicable>	

C-FS2.2f

(C-FS2.2f) Do you request climate-related information from your clients/investees as part of your due diligence and/or risk assessment practices?

	We request climate-related information	Please explain
Bank lending (Bank)	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	Yes, for some	Columbia Threadneedle does not consider climate-related information for our entire investment portfolio, rather we consider some elements of climate as we pursue new pools of capital to manage against the backdrop of regulatory and client expectations and in recognition of what can be achieved in the context of the asset class under consideration.
Investing (Asset owner)	No, and we don't plan on requesting climate-related information	We do not currently request climate-related information.
Insurance underwriting (Insurance company)	No, and we don't plan on requesting climate-related information	We do not currently request climate-related information.
Other products and services, please specify	No, and we don't plan on requesting climate-related information	We do not currently request climate-related information.

C2.3

(C2.3) Have you identified any inherent climate-related risks with the potential to have a substantive financial or strategic impact on your business?

Yes

C2.3a

(C2.3a) Provide details of risks identified with the potential to have a substantive financial or strategic impact on your business.

Identifier

Risk 1

Where in the value chain does the risk driver occur?

Direct operations

Risk type & Primary climate-related risk driver

Reputation	Shifts in consumer preferences
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Primary potential financial impact

Increased direct costs

Climate risk type mapped to traditional financial services industry risk classification

Reputational risk

Company-specific description

We prioritize our ability to meet shifts in client preferences, which may include climate or other sustainability factors. As we see new trends in our clients' needs and interests over time, we will continue to adjust our product portfolio as necessary to ensure we provide significant choice in investment options to meet our clients' needs and reinforce our reputation as a leading wealth manager.

Time horizon

Long-term

Likelihood

Unlikely

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

We do not disclose potential financial impacts.

Cost of response to risk

0

Description of response and explanation of cost calculation

Responding to client preferences is a critical driver in the development our business. Please note we do not disclose potential financial impacts.

Comment

As noted above, we do not disclose potential financial impacts.

Identifier

Risk 2

Where in the value chain does the risk driver occur?

Direct operations

Risk type & Primary climate-related risk driver

Current regulation	Mandates on and regulation of existing products and services
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Primary potential financial impact

Increased direct costs

Climate risk type mapped to traditional financial services industry risk classification

Strategic risk

Company-specific description

Our response for this question reflects Columbia Threadneedle. In 2019, the European Commission proposed legislative changes that would impact how businesses consider ESG factors according to investor preferences.

Time horizon

Long-term

Likelihood

More likely than not

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

We do not disclose potential financial impacts.

Cost of response to risk

0

Description of response and explanation of cost calculation

Columbia Threadneedle would be mandated to comply with the European Commission’s regulations that impact all EU domiciled accounts managed by CTI.

Comment

As noted above, we do not disclose potential financial impacts.

Identifier

Risk 3

Where in the value chain does the risk driver occur?

Direct operations

Risk type & Primary climate-related risk driver

Acute physical	Other, please specify (Increased likelihood and severity of extreme weather events)
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Primary potential financial impact

Increased direct costs

Climate risk type mapped to traditional financial services industry risk classification

Operational risk

Company-specific description

Our risk function includes assessing, protecting against and mitigating the risks of heightened weather events, including the physical impacts to our facilities and therefore, our business continuity.

Time horizon

Long-term

Likelihood

Unlikely

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

We do not disclose potential financial impacts

Cost of response to risk

0

Description of response and explanation of cost calculation

We consider the physical impacts of acute and chronic weather events to our facilities and business continuity. Our business continuity, real estate and security teams partner to evaluate possible impacts and address as necessary.

Comment

We do not disclose potential financial impacts

C2.4

(C2.4) Have you identified any climate-related opportunities with the potential to have a substantive financial or strategic impact on your business?

Yes

C2.4a

(C2.4a) Provide details of opportunities identified with the potential to have a substantive financial or strategic impact on your business.**Identifier**

Opp1

Where in the value chain does the opportunity occur?

Downstream

Opportunity type

Products and services

Primary climate-related opportunity driver

Shift in consumer preferences

Primary potential financial impact

Other, please specify (Meeting shift in client demand)

Company-specific description

Our response for this question reflects Columbia Threadneedle. CTI's Responsible Investment (RI) strategy is an important aspect of CTI's ability to meet client preferences and grow AUM. Our global RI team works alongside our investment professionals facilitating integration of material ESG analysis into our investment processes for our portfolio managers' consideration when making investment decisions for the portfolios they manage.

Time horizon

Long-term

Likelihood

Likely

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

We would note that we do not disclose potential financial impacts.

Cost to realize opportunity

0

Strategy to realize opportunity and explanation of cost calculation

To meet shift in client demand, we continue to develop CTI's Responsible Investment capabilities. Our ESG analysis is available to portfolio managers, at the security and the portfolio level, using a combination of thematic research, tools and review profiles. Additionally, in March 2019, Columbia Threadneedle added to its extensive fundamental research effort by launching an innovative, proprietary RI ratings tool that combines an assessment of a company's financial stewardship with a view on how well it manages ESG risks as identified by the Sustainability Accounting Standards Board (SASB).

Comment

See above – we would not disclose potential costs related to this opportunity.

Identifier

Opp2

Where in the value chain does the opportunity occur?

Downstream

Opportunity type

Products and services

Primary climate-related opportunity driver

Development and/or expansion of low emission goods and services

Primary potential financial impact

Other, please specify (Meeting shift in client demand)

Company-specific description

Our response for this question reflects Columbia Threadneedle. The Carbon Neutral Real Estate Fund (formerly the Low Carbon Workplace Fund) is a partnership with the Carbon Trust and property developer Stanhope. The Fund acquires and refurbishes office buildings into modern, energy-efficient workplaces. The occupiers benefit from ongoing support from the Carbon Trust, helping them to minimize energy costs and carbon emissions.

Time horizon

Long-term

Likelihood

More likely than not

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

Given our large size, the overall financial impact would be low when considered within Ameriprise' total revenues/earnings. We would note that we do not disclose potential financial impacts.

Cost to realize opportunity

0

Strategy to realize opportunity and explanation of cost calculation

Continued development of CTI's Responsible Investment capability.

Comment

See above – we would not disclose potential costs related to this opportunity.

Identifier

Opp3

Where in the value chain does the opportunity occur?

Downstream

Opportunity type

Products and services

Primary climate-related opportunity driver

Reputational benefits resulting in increased demand for goods/services

Primary potential financial impact

Other, please specify (Meeting shift in client demand and deepening client and advisor relationship by providing products and services)

Company-specific description

While assets in RI/ESG strategies remain a small part of Ameriprise client AUM, our advisors are interested in the opportunities and risks related to RI/ESG strategies. In addition, to third party asset managers offerings, Ameriprise introduced a portfolio series within the Active Portfolios® program -- Active Sustainable Investing World Portfolios, which focuses on growth but also incorporates ESG factors into investment decisions.

Time horizon

Long-term

Likelihood

More likely than not

Magnitude of impact

Low

Are you able to provide a potential financial impact figure?

No, we do not have this figure

Potential financial impact figure (currency)

<Not Applicable>

Potential financial impact figure – minimum (currency)

<Not Applicable>

Potential financial impact figure – maximum (currency)

<Not Applicable>

Explanation of financial impact figure

We would note that we do not disclose potential financial impacts.

Cost to realize opportunity

0

Strategy to realize opportunity and explanation of cost calculation

Continued development of ESG products and services.

Comment

See above – we would not disclose potential costs related to this opportunity.

C3. Business Strategy

C3.1

(C3.1) Have climate-related risks and opportunities influenced your organization’s strategy and/or financial planning?

Yes

C3.1a

(C3.1a) Does your organization use climate-related scenario analysis to inform its strategy?

No, but we anticipate using qualitative and/or quantitative analysis in the next two years

C3.1c

(C3.1c) Why does your organization not use climate-related scenario analysis to inform its strategy?

In 2020, Enterprise Risk Management (ERM) approved the expansion of management and oversight for climate risk. Beginning this year, climate will be considered as a long-term strategic risk within this framework. While we currently use scenario analysis in our risk management processes, we have not taken this specific step with climate-related scenario analysis.

C3.1d

(C3.1d) Describe where and how climate-related risks and opportunities have influenced your strategy.

	Have climate-related risks and opportunities influenced your strategy in this area?	Description of influence
Products and services	Yes	As an example, Columbia Threadneedle has developed its Responsible Investment business, which has grown to more than \$33 billion in AUM. In March 2019, Columbia Threadneedle launched an innovative, proprietary RI ratings tool that combines an assessment of a company's financial stewardship with a view on how well it manages its ESG risks. By combining both aspects into a single, forward-looking rating from 1 to 5, the tool reflects Columbia Threadneedle's conviction that prudent management of financial and ESG factors are important to a company's ability to create long-term, sustainable value.
Supply chain and/or value chain	Yes	Yes, for example, Ameriprise sold the Auto & Home Insurance business in 2019 to focus on its core businesses.
Investment in R&D	Yes	Product development and risk modelling. In March 2019, Columbia Threadneedle launched an innovative, proprietary RI ratings tool that combines an assessment of a company's financial stewardship with a view on how well it manages its ESG risks. By combining both aspects into a single, forward-looking rating from 1 to 5, the tool reflects Columbia Threadneedle's conviction that prudent management of financial and ESG factors are important to a company's ability to create long-term, sustainable value.
Operations	Yes	We also consider the physical impacts of acute and chronic weather events to our facilities and business continuity. As part of real estate management, we annually report our emissions through the Energy Star portfolio manager to track our energy use of facilities within our operational control. We also participate in our utility partner's Commercial Efficiency Program to evaluate and implement energy efficiency projects for facilities within our operational control.

C3.1e

(C3.1e) Describe where and how climate-related risks and opportunities have influenced your financial planning.

	Financial planning elements that have been influenced	Description of influence
Row 1	None of the above	Beginning in 2020, climate-related issues are considered as part of the long-term strategic risk evaluation process. Therefore, climate risks have not yet presented impacts to significantly affect financial planning for the firm.

C3.1f

(C3.1f) Provide any additional information on how climate-related risks and opportunities have influenced your strategy and financial planning (optional).

C-FS3.2

(C-FS3.2) Are climate-related issues considered in the policy framework of your organization?

Yes, climate-related issues are integrated into our general policy framework that relates to our financing activities

C-FS3.2a

(C-FS3.2a) In which policies are climate-related issues integrated?

	Type of policy	Portfolio coverage of policy	Description
Bank lending (Bank)	<Not Applicable>	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	Proxy voting policy	Minority of the portfolio	Our response to this question reflects policies associated with Columbia Threadneedle Investments (CTI). CTI's Corporate Governance and Proxy Voting Principles incorporates proxy voting principles reflective of the TCFD framework. This policy is available on the Columbia Threadneedle website: https://www.columbiathreadneedle.co.uk/media/1392381/en_corporate_governance_policy.pdf .
Investing (Asset owner)	Please select	Please select	For CFS3.2 and CFS3.2a, our response reflects Columbia Threadneedle. Please see above.
Insurance underwriting (Insurance company)	Please select	Please select	For CFS3.2 and CFS3.2a, our response reflects Columbia Threadneedle. Please see above.
Other products and services, please specify	Please select	Please select	For CFS3.2 and CFS3.2a, our response reflects Columbia Threadneedle. Please see above.

C-FS3.3

(C-FS3.3) Are climate-related issues factored into your external asset manager selection process?

No, for none of our externally managed assets

C-FS3.3b

(C-FS3.3b) Why are climate-related issues not factored into your external asset manager selection process?

We have not yet taken this step within our external asset manager selection process .

C4. Targets and performance

C4.1

(C4.1) Did you have an emissions target that was active in the reporting year?

No target

C4.1c

(C4.1c) Explain why you did not have an emissions target, and forecast how your emissions will change over the next five years.

	Primary reason	Five-year forecast	Please explain
Row 1	Other, please specify (We are developing our CSR capability)		As a financial services firm, we generate low levels of greenhouse gas (GHG) emissions relative to other industries. The main contributor to those emissions is our corporate real estate. With the real estate Ameriprise controls, we are focused on operating our buildings efficiently and implementing programs and practices that reduce emissions and eliminate waste. We expect to reduce emissions in our HQ and CSC over time given the multiple initiatives in place and under development. However, in terms of goal setting for these buildings where we have operational control, we recognize that weather extremes (length and depth of winter and heat of summer) in any given year create challenges for one-year comparisons. We do believe that goal setting would require averages over multiple years to accommodate for swings in temperature and related energy requirements.

C4.2

(C4.2) Did you have any other climate-related targets that were active in the reporting year?

No other climate-related targets

C4.3

(C4.3) Did you have emissions reduction initiatives that were active within the reporting year? Note that this can include those in the planning and/or implementation phases.

Yes

C4.3a

(C4.3a) Identify the total number of initiatives at each stage of development, and for those in the implementation stages, the estimated CO2e savings.

	Number of initiatives	Total estimated annual CO2e savings in metric tonnes CO2e (only for rows marked *)
Under investigation		
To be implemented*		
Implementation commenced*		
Implemented*	2	376
Not to be implemented		

C4.3b

(C4.3b) Provide details on the initiatives implemented in the reporting year in the table below.

Initiative category & Initiative type

Energy efficiency in buildings	Lighting
--------------------------------	----------

Estimated annual CO2e savings (metric tonnes CO2e)

300

Scope(s)

Scope 2 (location-based)

Voluntary/Mandatory

Voluntary

Annual monetary savings (unit currency – as specified in C0.4)

33319

Investment required (unit currency – as specified in C0.4)

84989

Payback period

1-3 years

Estimated lifetime of the initiative

11-15 years

Comment

Replacement of LED bulbs in Minneapolis in various common areas such as parking ramps, building lobbies, elevator lobbies, restrooms and break rooms.

Initiative category & Initiative type

Energy efficiency in buildings	Heating, Ventilation and Air Conditioning (HVAC)
--------------------------------	--

Estimated annual CO2e savings (metric tonnes CO2e)

76

Scope(s)

Scope 2 (location-based)

Voluntary/Mandatory

Voluntary

Annual monetary savings (unit currency – as specified in C0.4)

22375

Investment required (unit currency – as specified in C0.4)

10229

Payback period

1-3 years

Estimated lifetime of the initiative

16-20 years

Comment

Replacement of variable frequency drives (VFD) that power HVAC fans in Minneapolis. Monetary and energy savings indicated are supplied by our utility provider.

C4.3c

(C4.3c) What methods do you use to drive investment in emissions reduction activities?

Method	Comment
Other (Energy efficiency program)	Partner with our local energy company in the Twin Cities to evaluate and implement energy efficiency projects.

C4.5

(C4.5) Do you classify any of your existing goods and/or services as low-carbon products or do they enable a third party to avoid GHG emissions?

Yes

C4.5a

(C4.5a) Provide details of your products and/or services that you classify as low-carbon products or that enable a third party to avoid GHG emissions.

Level of aggregation

Product

Description of product/Group of products

Columbia Threadneedle, the asset management group of Ameriprise, launched the Carbon Neutral Real Estate Fund (formerly the Low Carbon Workplace Fund) in 2010 — a pioneering fund in the U.K. To support the strategy, we assembled a team of industry leaders in property investment management, design, carbon engineering/refurbishment and carbon compliance to identify suitable office buildings and turn them into modern, energy-efficient workplaces, while at the same time generating returns for investors. We then manage buildings to reduce their energy use.

Are these low-carbon product(s) or do they enable avoided emissions?

Low-carbon product

Taxonomy, project or methodology used to classify product(s) as low-carbon or to calculate avoided emissions

Please select

% revenue from low carbon product(s) in the reporting year

0

% of total portfolio value

0

Asset classes/ product types

Please select

Comment

We do not disclose revenue or portfolio value information.

Level of aggregation

Product

Description of product/Group of products

Ameriprise introduced a new portfolio series within the Active Portfolios® program -- Active Sustainable Investing World Portfolios, focuses on growth but also incorporates ESG into investment decisions.

Are these low-carbon product(s) or do they enable avoided emissions?

Avoided emissions

Taxonomy, project or methodology used to classify product(s) as low-carbon or to calculate avoided emissions

Please select

% revenue from low carbon product(s) in the reporting year

0

% of total portfolio value

0

Asset classes/ product types

Please select

Comment

We do not disclose revenue or portfolio value information.

C5. Emissions methodology

C5.1

(C5.1) Provide your base year and base year emissions (Scopes 1 and 2).

Scope 1

Base year start

January 1 2015

Base year end

December 31 2015

Base year emissions (metric tons CO2e)

1743.54

Comment

N/A

Scope 2 (location-based)

Base year start

January 1 2015

Base year end

December 31 2015

Base year emissions (metric tons CO2e)

17440.66

Comment

N/A

Scope 2 (market-based)

Base year start

January 1 2015

Base year end

December 31 2015

Base year emissions (metric tons CO2e)

17440.66

Comment

Same as location-based due to our submission of our emissions for our HQ and CSC buildings

C5.2

(C5.2) Select the name of the standard, protocol, or methodology you have used to collect activity data and calculate emissions.

Energy Information Administration 1605B

C6. Emissions data

C6.1

(C6.1) What were your organization's gross global Scope 1 emissions in metric tons CO2e?

Reporting year

Gross global Scope 1 emissions (metric tons CO2e)

2306

Start date

<Not Applicable>

End date

<Not Applicable>

Comment

C6.2

(C6.2) Describe your organization's approach to reporting Scope 2 emissions.

Row 1

Scope 2, location-based

We are reporting a Scope 2, location-based figure

Scope 2, market-based

We are reporting a Scope 2, market-based figure

Comment

C6.3

(C6.3) What were your organization's gross global Scope 2 emissions in metric tons CO2e?

Reporting year

Scope 2, location-based

15812

Scope 2, market-based (if applicable)

10586

Start date

<Not Applicable>

End date

<Not Applicable>

Comment

C6.4

(C6.4) Are there any sources (e.g. facilities, specific GHGs, activities, geographies, etc.) of Scope 1 and Scope 2 emissions that are within your selected reporting boundary which are not included in your disclosure?

No

C6.5

(C6.5) Account for your organization's gross global Scope 3 emissions, disclosing and explaining any exclusions.

Purchased goods and services

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Capital goods

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Fuel-and-energy-related activities (not included in Scope 1 or 2)

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Upstream transportation and distribution

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Waste generated in operations

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Business travel

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Employee commuting

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Upstream leased assets

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Downstream transportation and distribution

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Processing of sold products

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Use of sold products

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

End of life treatment of sold products

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Downstream leased assets

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Franchises

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Other (upstream)

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

Other (downstream)

Evaluation status

Not evaluated

Metric tonnes CO2e

<Not Applicable>

Emissions calculation methodology

<Not Applicable>

Percentage of emissions calculated using data obtained from suppliers or value chain partners

<Not Applicable>

Please explain

Not evaluated

C6.10

(C6.10) Describe your gross global combined Scope 1 and 2 emissions for the reporting year in metric tons CO2e per unit currency total revenue and provide any additional intensity metrics that are appropriate to your business operations.

Intensity figure

0.0000010143

Metric numerator (Gross global combined Scope 1 and 2 emissions, metric tons CO2e)

12892

Metric denominator

unit total revenue

Metric denominator: Unit total

1271000000

Scope 2 figure used

Market-based

% change from previous year

18.96

Direction of change

Decreased

Reason for change

We would note that our intensity ratio reflects market-based emissions for our Minneapolis Headquarters and Client Service Center compared to total Ameriprise revenue – we do not break-down Minneapolis-generated revenue. Gross global combined Scope 1 and Scope 2 emissions reduced year over year. Additionally, revenue increased year over year. For revenue figures, we used \$12,710,000,000 (2019) and \$11,888,000,000 (2018). Please see our secondary location-based intensity figure, which is relevant to our operational footprint.

Intensity figure

2.48

Metric numerator (Gross global combined Scope 1 and 2 emissions, metric tons CO2e)

12892

Metric denominator

full time equivalent (FTE) employee

Metric denominator: Unit total

5200

Scope 2 figure used

Market-based

% change from previous year

19.36

Direction of change

Decreased

Reason for change

Given that the Scope 1 and Scope 2 market-based emissions provided are for operational scope, an intensity ratio related to our operational footprint is relevant. Gross global combined Scope 1 and Scope 2 emissions reduced year over year. Additionally, total full- and part-time employee population in our operational scope increased from 5,065 in 2018 to 5,200 in 2019. The intensity figure improved from 3.07 in 2018 down to 2.48 in 2019.

C7. Emissions breakdowns

C7.9

(C7.9) How do your gross global emissions (Scope 1 and 2 combined) for the reporting year compare to those of the previous reporting year?

Decreased

C7.9a

(C7.9a) Identify the reasons for any change in your gross global emissions (Scope 1 and 2 combined), and for each of them specify how your emissions compare to the previous year.

	Change in emissions (metric tons CO2e)	Direction of change	Emissions value (percentage)	Please explain calculation
Change in renewable energy consumption	0	No change	0	We do not currently use energy from renewable sources other than what is available within the energy mix supplied by our utility provider.
Other emissions reduction activities		<Not Applicable>		
Divestment		<Not Applicable>		
Acquisitions		<Not Applicable>		
Mergers		<Not Applicable>		
Change in output		<Not Applicable>		
Change in methodology		<Not Applicable>		
Change in boundary		<Not Applicable>		
Change in physical operating conditions	3141.01	Decreased	22.88	Due to weather conditions in 2019, our facilities used significantly less purchased electricity throughout the year. For consistency, we used market-based figures to calculate the change reported here.
Unidentified		<Not Applicable>		
Other		<Not Applicable>		

C7.9b

(C7.9b) Are your emissions performance calculations in C7.9 and C7.9a based on a location-based Scope 2 emissions figure or a market-based Scope 2 emissions figure?

Market-based

C8. Energy

C8.1

(C8.1) What percentage of your total operational spend in the reporting year was on energy?

More than 0% but less than or equal to 5%

C8.2

(C8.2) Select which energy-related activities your organization has undertaken.

	Indicate whether your organization undertook this energy-related activity in the reporting year
Consumption of fuel (excluding feedstocks)	Yes
Consumption of purchased or acquired electricity	Yes
Consumption of purchased or acquired heat	No
Consumption of purchased or acquired steam	Yes
Consumption of purchased or acquired cooling	No
Generation of electricity, heat, steam, or cooling	No

C8.2a

(C8.2a) Report your organization's energy consumption totals (excluding feedstocks) in MWh.

	Heating value	MWh from renewable sources	MWh from non-renewable sources	Total (renewable and non-renewable) MWh
Consumption of fuel (excluding feedstock)	HHV (higher heating value)	0	732.12	732.12
Consumption of purchased or acquired electricity	<Not Applicable>	0	25664.3	25664.3
Consumption of purchased or acquired heat	<Not Applicable>	<Not Applicable>	<Not Applicable>	<Not Applicable>
Consumption of purchased or acquired steam	<Not Applicable>	0	373	373
Consumption of purchased or acquired cooling	<Not Applicable>	<Not Applicable>	<Not Applicable>	<Not Applicable>
Consumption of self-generated non-fuel renewable energy	<Not Applicable>	<Not Applicable>	<Not Applicable>	<Not Applicable>
Total energy consumption	<Not Applicable>	0	26769.42	26769.42

C9. Additional metrics

C9.1

(C9.1) Provide any additional climate-related metrics relevant to your business.

C10. Verification

C10.1

(C10.1) Indicate the verification/assurance status that applies to your reported emissions.

	Verification/assurance status
Scope 1	Third-party verification or assurance process in place
Scope 2 (location-based or market-based)	Third-party verification or assurance process in place
Scope 3	No emissions data provided

C10.1a

(C10.1a) Provide further details of the verification/assurance undertaken for your Scope 1 emissions, and attach the relevant statements.

Verification or assurance cycle in place

Annual process

Status in the current reporting year

Complete

Type of verification or assurance

Limited assurance

Attach the statement

CY19 Ameriprise Assurance Statement-ASRauthorized final July 8 2020.pdf

Page/ section reference

All

Relevant standard

ISO14064-3

Proportion of reported emissions verified (%)

100

C10.1b

(C10.1b) Provide further details of the verification/assurance undertaken for your Scope 2 emissions and attach the relevant statements.

Scope 2 approach

Scope 2 location-based

Verification or assurance cycle in place

Annual process

Status in the current reporting year

Complete

Type of verification or assurance

Limited assurance

Attach the statement

CY19 Ameriprise Assurance Statement-ASRauthorized final July 8 2020.pdf

Page/ section reference

All

Relevant standard

ISO14064-3

Proportion of reported emissions verified (%)

100

Scope 2 approach

Scope 2 market-based

Verification or assurance cycle in place

Annual process

Status in the current reporting year

Complete

Type of verification or assurance

Limited assurance

Attach the statement

CY19 Ameriprise Assurance Statement-ASRauthorized final July 8 2020.pdf

Page/ section reference

All

Relevant standard

ISO14064-3

Proportion of reported emissions verified (%)

100

C10.2

(C10.2) Do you verify any climate-related information reported in your CDP disclosure other than the emissions figures reported in C6.1, C6.3, and C6.5?

No, we are waiting for more mature verification standards and/or processes

C11. Carbon pricing

C11.2

(C11.2) Has your organization originated or purchased any project-based carbon credits within the reporting period?

No

C11.3

(C11.3) Does your organization use an internal price on carbon?

No, and we do not currently anticipate doing so in the next two years

C12. Engagement

C12.1

(C12.1) Do you engage with your value chain on climate-related issues?

Yes, our customers

Yes, other partners in the value chain

C12.1b

(C12.1b) Give details of your climate-related engagement strategy with your customers.

Type of engagement

Education/information sharing

Details of engagement

Share information about your products and relevant certification schemes (i.e. Energy STAR)

% of customers by number

0

% of customer - related Scope 3 emissions as reported in C6.5

0

Portfolio coverage (total or outstanding)

Unknown

Please explain the rationale for selecting this group of customers and scope of engagement

The Ameriprise facilities management team updates energy usage in the Energy STAR Portfolio Manager. We have also achieved Energy STAR certification for buildings within our operational control. Our engagement with Energy STAR allows us to participate in the organization's nationwide benchmarking portfolio as well as identify opportunities to increase efficiency for Ameriprise.

Impact of engagement, including measures of success

Our participation in the Energy STAR's nationwide benchmarking portfolio allows Ameriprise to identify opportunities to increase energy efficiency. Our ongoing communications contribute to energy efficiency projects, which we may disclose as part of our annual submission to CDP. Ameriprise publishes information about our approach to climate in the "Environmental Stewardship" of our Responsible Business Report, available on our website.

Type of engagement

Education/information sharing

Details of engagement

Share information about your products and relevant certification schemes (i.e. Energy STAR)

% of customers by number

0

% of customer - related Scope 3 emissions as reported in C6.5

0

Portfolio coverage (total or outstanding)

Unknown

Please explain the rationale for selecting this group of customers and scope of engagement

Columbia Threadneedle often engages with issuers on ESG topics, some of which include an environmental-specific focus.

Impact of engagement, including measures of success

Columbia Threadneedle discloses ESG engagement case studies in their publication, "Responsible Investment Quarterly." Regularly sent to clients, publicized internally and available to download online, the publication lists all companies that the RI team engaged with each quarter, high-level topics (E, S, G or overlapping ESG) alongside a selection of case studies.

C12.1d

(C12.1d) Give details of your climate-related engagement strategy with other partners in the value chain.

In the U.S., Ameriprise engages employees primarily through our company intranet to educate them on our approach to environmental stewardship and the climate-related products we offer. We also engage our advisors on ESG topics, include climate-related investment strategies and products that include environmental factors.

Our global research and leadership team at Columbia Threadneedle engages with shareholders or collaborative networks to discuss and address considerations for investment strategy. For example, Columbia Threadneedle provided multiple internal and external training sessions specifically focused on ESG in engagements with portfolio companies. "ESG 101" sessions include discussion of CTI's approach to engagement and consideration of non-financial factors. As a signatory to the Principles for Responsible Investment (PRI), Columbia Threadneedle discloses this information in the annual Transparency Reports, available at <https://www.unpri.org/transparency-reports-2020/6051.article>.

C12.3

(C12.3) Do you engage in activities that could either directly or indirectly influence public policy on climate-related issues through any of the following?

No

C12.3g

(C12.3g) Why do you not engage with policy makers on climate-related issues?

Ameriprise is not actively engaged in the development climate change policy in the U.S.. However, Ameriprise is a member of the Business Roundtable and endorsed its "Statement on the Purpose of a Corporation" which advocates for sustainable practices. In addition, our subsidiary, Columbia Threadneedle Investments, is focused on the development of sustainability disclosure standards for use by companies.

C12.4

(C12.4) Have you published information about your organization's response to climate change and GHG emissions performance for this reporting year in places other than in your CDP response? If so, please attach the publication(s).

Publication

In voluntary sustainability report

Status

Complete

Attach the document

2020 Ameriprise Responsible Business Report - final.pdf

Page/Section reference

Please see the Governance and Environmental Steward section of our 2020 Responsible Business Report, pp. 17-21.

Content elements

Governance

Strategy

Risks & opportunities

Other metrics

Comment

It is publicly available for download on the Ameriprise website: <https://www.ameriprise.com/financial-planning/about/responsible-business/> .

Publication

In voluntary communications

Status

Complete

Attach the document

CY19 Ameriprise Assurance Statement-ASRauthorized final July 8 2020.pdf

Page/Section reference

Please view entire assurance statement, pp. 1-2.

Content elements

Emissions figures

Comment

This document includes CY19 Scope 1 and Scope 2 emissions, as reported herein. It is publicly available for download on the Ameriprise website: <https://www.ameriprise.com/financial-planning/about/responsible-business/> .

C-FS12.5

(C-FS12.5) Are you a signatory of any climate-related collaborative industry frameworks, initiatives and/or commitments?

	Industry collaboration	Comment
Reporting framework	Principles for Responsible Investment (PRI)	Threadneedle Asset Management Limited was an initial signatory to the United Nations-backed Principles for Responsible Investment in 2006, and Columbia Management Investment Advisers, LLC became a signatory in 2014. Our Head of Stewardship for our RI team is presently serving a two-year term as a member of the PRI Fixed Income Advisory Committee. All PRI signatories are required to report on their investment activities annually. Each affiliate has filed a separate Public Transparency Report. The 2019 reports are available through the PRI website.
Industry initiative	Please select	
Commitment	Other, please specify (Ameriprise, through Columbia Threadneedle, is a member of the Asian Corporate Governance Association (ACGA) and Investor Stewardship Group.)	Ameriprise, through Columbia Threadneedle, is a member of the Asian Corporate Governance Association (ACGA) and Investor Stewardship Group.

C14. Portfolio Impact

C-FS14.1

(C-FS14.1) Do you conduct analysis to understand how your portfolio impacts the climate? (Scope 3 portfolio impact)

	We conduct analysis on our portfolio's impact on the climate	Disclosure metric	Comment
Bank lending (Bank)	<Not Applicable>	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	No	<Not Applicable>	We do not currently conduct portfolio impact analysis.
Investing (Asset owner)	No	<Not Applicable>	We do not currently conduct portfolio impact analysis.
Insurance underwriting (Insurance company)	No	<Not Applicable>	We do not currently conduct portfolio impact analysis.
Other products and services, please specify	No	<Not Applicable>	We do not currently conduct portfolio impact analysis.

C-FS14.1c

(C-FS14.1c) Why do you not conduct analysis to understand how your portfolio impacts the climate? (Scope 3 Category 15 "Investments" emissions or alternative carbon footprinting and/or exposure metrics)

We have not taken the step to calculate Scope 3 emissions and therefore have not conducted an assessment to examine our portfolio impacts on climate.

C-FS14.3

(C-FS14.3) Are you taking actions to align your portfolio to a well below 2-degree world?

	We are taking actions to align our portfolio to a well below 2-degree world	Please explain
Bank lending (Bank)	<Not Applicable>	<Not Applicable>
Investing (Asset manager)	No	
Investing (Asset owner)	No	
Insurance underwriting (Insurance company)	No	
Other products and services, please specify	No	

C15. Signoff

C-FI

(C-FI) Use this field to provide any additional information or context that you feel is relevant to your organization's response. Please note that this field is optional and is not scored.

C15.1

(C15.1) Provide details for the person that has signed off (approved) your CDP climate change response.

	Job title	Corresponding job category
Row 1	Vice President, Corporate Communications and Chair, Corporate Social Responsibility Steering Committee	Public affairs manager

Submit your response

In which language are you submitting your response?

English

Please confirm how your response should be handled by CDP

	I am submitting to	Public or Non-Public Submission
I am submitting my response	Investors	Public

Please confirm below

I have read and accept the applicable Terms