



# Change of Ownership/Annuitant



- i** For Brokerage platform products, you must first create the applicable product account via eForms New Business in the appropriate ownership and submit the signed summary application.
- Brokerage account ownership changes require an account first be established in the desired ownership and listed in Part 4. Full account ownership transfers will inactivate arrangements and features on the original account including, but not limited to: check writing, systematic payouts, bank authorizations, dividend methods, etc.
- All non-billing/restricted Ameriprise Managed Accounts are established without an interest bearing money settlement option. To establish an interest bearing money settlement option, please work with your Ameriprise Advisor to complete the appropriate Ameriprise Managed Accounts application.
- This form may not be used for Qualified Accounts, except in limited situations.
- For all annuities linked to a brokerage or SPS account, before proceeding, ensure the brokerage or SPS account the annuity is to be linked with is of the exact same ownership.
- Ownership changes on RiverSource® annuities issued in California with the *Enhanced Legacy*<sup>SM</sup> benefit require the acknowledgment to be initialed in Part 5.

Client ID

## Part 1 Current Account Owner(s)

**i** Complete Suitability Information in Part 6 for each new account.

**Account Number (s)**

1.   2.

Account Number Admin Code Account Number Admin Code

Owner or Fiduciary Name

Trust or Entity Name

Joint Owner Name  Joint Owner Client ID

## Part 2 Gifting/Value Received Information

1. Is the Change of Ownership due to a divorce?  Yes  No

2. Product (Select all that apply):

Life Insurance policies and Annuity contract (2A)  Brokerage and Managed Accounts (2B)  Certificates (2B)

Sign on page(s) 3, 4 and 15  
Fax # 1.866.478.8767



**2A. Life Insurance policies and Annuity contracts only**



Questions 1 and 2 *below* are valid for Life Insurance policies or Annuity contracts ONLY.

1. Is this a transfer to a spouse, owner's revocable trust, owner's living trust, spouse's revocable trust, or spouse's living trust?  
 Yes  No
2. You hereby absolutely and unconditionally sell, transfer and convey. *If no option is selected, the default is gift*  
 With the intention of making a gift  For full value received



*If gifting is selected, or defaulted to, a 1099 may be issued. Generally transfer of annuity ownership, whether by gift or for value received, is a taxable event. A transfer of a life insurance policy is generally not a taxable event but may be subject to gift taxes. You may request an IRS form 712 for your life insurance transfer by contacting our home office. Please consult your tax adviser.*

**2B. Brokerage and Managed Accounts (All questions must be completed)**



Questions 1 - 4 *below* are valid for Brokerage, and Managed Accounts ONLY.

**GIFT:** The transfer of assets to an individual where full value is not received in return. The owner is 'giving' the assets/positions to the new owner. For value received: The transfer of assets where the original owner receives full value payment for the assets from the new owner. The new owner is 'buying' the assets/positions from the original owner at fair market value (FMV).

1. Is this transfer a Gift? *If no option is selected, the default is gift. However, the scenarios below\* will be treated as a Sale for Full Value Received in accordance with tax reporting regulations.*  
 Yes  No - *if 'No', select one of the following options*  
 Sale for Full Value Received  Other  (Please specify)
2. Is any recipient of the transfer a:  
 Spouse  Trust  Ex-Spouse  Other  (Please specify)
3. Is this transfer within 1 year of date of divorce OR pursuant to divorce decree?  Yes  No (Please specify)
4. If any current owner OR any recipient is a trust, is the trust a:  
 Revocable Trust  
 with one Grantor  with two Grantors who are spouses  with multiple Grantors  
 Irrevocable Trust  
 Irrevocable Trust treated as Grantor Trust
5. If the account is currently owned by a revocable trust, is the transfer due to the death of a grantor of a revocable trust?  
 Yes- *if 'Yes', date of death of the grantor is required (Death certificate is required if one is not on file)*   
 No Date of death of grantor MM/DD/YYYY

\* Scenarios to be treated as a Sale for Full Value Received:

- Transferring ownership between spouses (includes adding/removing a spouse as joint owner or transferring from one spouse to another. Does not include transfers to a non-resident alien spouse.)
- Transferring between a person and their revocable trust. The SSN of the person must be the registered taxpayer of the trust. (Includes transfers to a spouse's revocable trust.)
- Transferring to an ex-spouse due to divorce or court order related to divorce adding or removing spouse as joint owner due to divorce.



**Part 3 Transfer Amount and Authorization**



**Third Party Annuity or Insurance (Except RiverSource® RAVA 5)**

- This form cannot be used to change the ownership, request divorce settlement, or enable hold restrictions for annuity contracts and/or insurance policies linked to the indicated brokerage account number.
- Ameriprise Financial, Inc. cannot process the ownership change for annuities or insurance products held at a third party carrier. Please contact the carrier directly to obtain the required paperwork and to facilitate the desired ownership change.

- Remain linked to the existing Ameriprise® brokerage account.
- The currently linked Ameriprise® brokerage account ownership no longer matches the third party annuity/insurance contract ownership, link all associated annuity/insurance contracts to the following account :



**For Brokerage, SPS Advantage and Active Portfolios® accounts:**

- Please indicate the amount of cash or securities to be transferred. If no amount is specified, we will transfer 100%.
- If you are requesting a cash amount, there must be sufficient cash in the sweep account to cover the amount requested.
- If your default lot relief method is average, we are unable to process a request for specific tax lots.

- Transfer all Cash and Securities  Transfer all Cash Only
- Transfer all Securities Only  Transfer Percentage of Entire Account:  %
- Transfer Partial Cash Amount \$
- Transfer Partial Securities Only – Transfer the individual securities identified in the table below.

Complete the table to provide instructions for the transfer of individual securities held in your account. If there is insufficient room to list all securities below, you may attach a list signed and dated by the current owner and enter **see attached list** in this part.

CUSIP	Security Description	Security Type (Stock/Bond/MF)	Purchase Date MM/DD/YYYY	Price	Quantity	Total Cost

**For All Change of Ownership Requests:**

- Ameriprise Financial is not responsible for the sufficiency or validity of this transfer of ownership.
- If this policy/contract/account has been assigned as collateral, this transfer of ownership is made subject to that assignment.

All owners and fiduciaries identified in Part 1 must sign below:

Date Signed

**X** \_\_\_\_\_

MM/DD/YYYY

**X** \_\_\_\_\_

MM/DD/YYYY



**For UGMA/UTMA**

Any request for an ownership change of an account registered under UTMA/UGMA to an owner other than the former minor originally named on the account will require that the minor, who has now reached age of majority, must sign above and have their signature notarized below.

On this \_\_\_\_\_ day of \_\_\_\_\_, A.D. \_\_\_\_\_ (year), before me, a Notary Public in and for said County and State, residing therein, duly commissioned and sworn, personally appeared \_\_\_\_\_, known to me to be the person whose name is subscribed to the written instrument, and acknowledged to me that he or she executed the same as his or her free act and deed. In Witness Whereof, I have hereunto set my hand and affixed my official seal this day and year in this certificate first above written.

Notary Public in and for said County and State

**X** \_\_\_\_\_

**Part 4 Transfer to Another Existing Account Held in the Requested Ownership**

For Brokerage, *Ameriprise ONE*® financial accounts and *Ameriprise Managed Accounts* that are to be transferred to existing Brokerage, *Ameriprise ONE*® financial accounts and *Ameriprise Managed Accounts* of the same type, please list the receiving account numbers below.

Account Number	Account Number	Account Number

- i**
- Any change in the account ownership will require a new account number to be established. If an account does not currently exist in the desired ownership, your Ameriprise Financial Advisor must create an account for the requested ownership and provide the account number(s) below to avoid any processing delays. If the source account is an *Ameriprise* Brokerage account and you do not have an Ameriprise Advisor, please contact 1-800-862-7919 to request the applicable new business application.
  - If transferring 100% of the account, all open orders must be canceled or closed.

**For SPS Advantage and Active Portfolios® accounts only:**

- Check this box if the new owner will be terminating the account(s) within 90 days. We will establish a restricted *Ameriprise Managed Account*. (This option applies only to *Ameriprise Managed Accounts* that fall below the minimum asset threshold or to clients without an Ameriprise Advisor). All non-billing/restricted *Ameriprise Managed Accounts* are established without an interest bearing money settlement option. To establish an interest bearing money settlement option, please work with your Ameriprise Advisor to complete the appropriate *Ameriprise Managed accounts* application.

**i** **New Owner Elections (SPS Advantage or Active Portfolio accounts only):** Check the box beside the option elected. If no option is elected, we will assume that the new owner's intention is to liquidate the account within 90 days of completion of the ownership change.

- New Owner will be terminating the existing Managed Accounts agreement(s) after re-registration and agrees to the following terms;
- No account management fee will be charged
  - No SPS *Advantage* account Services will be provided
  - Account activity will be limited to full liquidations and in-kind transfers only
  - The new owner is responsible for full liquidation or in-kind transfer of the account within 90 days of completion of the Change of Ownership/Annuitant form and may call 1.800.862.7919 for further instructions. If the account is not liquidated within 90 days after completing the Change of Ownership, we will transfer the account assets into an Ameriprise Brokerage account in the same ownership. All applicable brokerage fees as described in the Ameriprise Brokerage Client Agreement and Other Important Disclosures document will apply to the account.

**Margin Account Agreement - SPS Advantage accounts only**

Complete this section if the original source account is authorized for margin and currently carries margin debt.

If you do not elect to have a margin account by checking the box below, no margin account will be provided.

- Yes, you agree to have a margin account\*

Indicate your expected use of the margin account (select at least one option. If neither expected use box is checked, Ameriprise assumes the client will use margin to leverage equity).

- Use margin to Leverage Equity. This account will leverage current portfolio to purchase additional securities.
- Use margin to Maintain Liquidity. This account will leverage current portfolio to provide liquidity/cash flow.

(Margin is not allowable on all types of ownerships. Please consult with your advisor as to whether margin is available for this ownership.)

\* By checking this box you agree that you have received the Ameriprise® Strategic Portfolio Service Advantage Client Agreement and are bound by the terms set forth in the margin agreement therein.

**Part 5 New Account Registration (Select One)**

State of Residence



- Owners of Brokerage, SPS Advantage, Active Portfolios® investments, and Ameriprise ONE® Financial Accounts must also complete Part 7 of this form.
- Please contact our office at 1.800.862.7919 if the ownership registration you need is not listed.
- To designate an Attorney-In-Fact, a completed Ameriprise Power of Attorney form (402540) is required. If the new account registration is for an IRA, the choice below must be **Individual**, or if the IRA owner is a minor/protected person, **UGMA/UTMA**.
- If you own a variable annuity with the Guarantor Withdrawal Benefit for Life® (GWB for Life®) or SecureSource® rider single life benefit, transfer of ownership may result in a reset of the Annual Lifetime Payment (ALP). If the ALP will decrease, the Benefit Impact Acknowledgement form will be required before processing will occur. If required, this form will be mailed to you or you may contact our office for assistance. For all other withdrawal benefits with the single life benefit, if the covered person changes as a result of the ownership change, the rider terminates.
- If you own a variable annuity with the SecureSource®, SecureSource® Flex, SecureSource Stages®, or SecureSource Stages 2® joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust is not allowed.
- If you own a variable annuity with the SecureSource 3®, SecureSource 4<sup>SM</sup> or SecureSource 4 Plus<sup>SM</sup> joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust will terminate the rider.
- For contracts issued in California, if you own a variable annuity with the SecureSource 3®, SecureSource 4<sup>SM</sup> or SecureSource 4 Plus<sup>SM</sup> single life benefit, the covered person (for joint, covered spouses) will not change and the rider will not terminate as a result of an ownership change. For single life benefit, the rider will terminate at the death of the covered person or any owner (even if the covered person is still living). For joint life benefit, the rider will terminate at the death of the last covered spouse or any owner (unless spousal continuation is chosen by a covered spouse).
- For contracts issued in Florida with the SecureSource 3 joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust is not allowed. For all other withdrawal benefit riders, Florida contracts follow the rules stated above.
- If you own a variable Annuity with a death benefit rider, transfer of ownership may terminate the rider or reset the death benefit guaranteed amount.
- Joint owners and/or joint annuitants are not allowed on a variable Annuity with the Enhanced Legacy<sup>SM</sup> benefit.
- Joint ownership and joint annuitants are not allowed for annuity contracts with any of the following single life benefits: SecureSource 20®, SecureSource Flex®, SecureSource Stages®, or SecureSource Stages 2®. Additionally, joint ownership and joint annuitants are not allowed for annuity contracts with the SecureSource 3®, SecureSource 4<sup>SM</sup>, or SecureSource 4 Plus<sup>SM</sup> single life benefit, except for contracts issued in California.

**Acknowledgment for annuity contracts issued in California with the Enhanced Legacy<sup>SM</sup> benefit (ELB)**

An ownership change will result in an owner and annuitant that are no longer the same person. The benefits provided under the Enhanced Legacy benefit are only payable at the annuitant's death. You must acknowledge by initialing below that you understand:

- If the owner dies before the annuitant, the Standard Death Benefit value will be paid to the beneficiary(ies).
- If the annuitant dies before the owner, the Enhanced Legacy benefit value will be paid to the beneficiary(ies).
- The annuitant cannot be changed.

Initials of current owner \_\_\_\_\_

Initials of new owner \_\_\_\_\_



**Choose Registration (Select one)**

- Individual** (Complete 5A and if appropriate 5E)
- Joint Tenants with Rights of Survivorship (WROS)** (Complete 5A and 5B) - For annuities, rights of survivorship are only available if the joint owners are husband and wife. In all other cases of annuity joint ownership, owners are tenants in common. For Louisiana state residents: Joint Tenants with Rights of Survivorship (WROS) registration is not available.
- Guardian/Conservator/Next Friend** (Complete 5A and 5D) - If a fiduciary ownership such as Guardianship or Conservatorship is chosen, a court-certified copy of the court order appointing the fiduciary and an Ameriprise Fiduciary Information Form (402541) are required.
- UGMA/UTMA/CESA** (Complete 5D and 5E) - If UTMA ownership is selected for a Minor/Protected Person owner, Social Security Number for the Minor/Protected Person must be included.
- Community Property** (Complete 5A and 5B) - Community Property ownership registration for annuity contracts is always established with rights of survivorship. For all other types of accounts Community Property ownership registration is established without rights of survivorship unless otherwise indicated.
- Trust** (Complete 5C) - Complete and submit the required Ameriprise Certificate of Trust form (131202). The Taxpayer Identification Number (TIN) for the Trust as well as the names of all trustees and the date of the trust must be included (Ameriprise Financial Services, Inc. will not permit continued use of a decedent's personal TIN for accounts registered in Trust ownership).
- Organization** (Complete 5C) - Complete and submit the required Ameriprise Corporate Resolution form (402400) identifying those officers authorized to sign on behalf of the organization must be included along with a copy of a government-issued business license or a copy of the Articles of Incorporation for the organization.
- Tenants by Entirety** (Complete 5A and 5B) - For Louisiana state residents: Tenants by Entirety registration is not available.
- Tenants in Common** (Complete 5A and 5B)
- Change Annuitant** (Complete 5F)

**New Registration Information (for all types of accounts)**

Select one:  Change TIN  Change Owner

We are required by law to obtain certain personal information from you which will be used by us to verify your identity. If you do not provide us the information, we may not be able to open your account. If we are unable to verify your identity we reserve the right to close your account or take other such steps as we deem reasonable.

Is this account for a client that is a bank, savings and loan association, insurance company, registered investment company or investment advisory firm?

Yes  No

Do the total assets owned by the client(s) exceed \$50MM?

Yes  No

*Note: if no elections are made to the above question, we will assume that the answers to both the questions is "no".*

**5A - Individual Owner**

Name as it appears in IRS Records <input style="width: 95%;" type="text"/>	Social Security Number <input style="width: 95%;" type="text"/>
Relationship to Current Owners in Part 2 <input style="width: 95%;" type="text"/>	Date of Birth (MMDDYYYY) <input style="width: 95%;" type="text"/>
Citizenship (Select One): <input type="radio"/> U.S. Citizen <input type="radio"/> Resident Alien <input type="radio"/> Non-Resident Alien	Gender: <input type="radio"/> Male <input type="radio"/> Female
Marital Status (Select One): <input type="radio"/> Married <input type="radio"/> Divorced <input type="radio"/> Single	
Residential Address: <input type="checkbox"/> Please check here if this is an address change. For alternate address requests, please submit Form 518. <input style="width: 95%;" type="text"/>	
City <input style="width: 95%;" type="text"/>	State ZIP code <input style="width: 20%;" type="text"/> <input style="width: 75%;" type="text"/>



**5B - Joint Owner with Individual Owner in Part 5A**

Name as it appears in IRS Records		Social Security Number
Relationship to New Owner in Part 5A		Date of Birth (MMDDYYYY)
Citizenship (Select One): <input type="radio"/> U.S. Citizen <input type="radio"/> Resident Alien <input type="radio"/> Non-Resident Alien		
Marital Status (Select One): <input type="radio"/> Married <input type="radio"/> Divorced <input type="radio"/> Single		Gender: <input type="radio"/> Male <input type="radio"/> Female
Residential Address: <input type="checkbox"/> Please check here if this is an address change. For alternate address requests, please submit Form 518.		
City	State	ZIP code

**5C - Trust or Organization**



- If a Trust is to be registered as an owner of an account that includes *Ameriprise ONE*® Financial Account features, each trustee must submit a client profile prior to establishing a new account.
- A client profile form must be submitted for trusts and organizations that are new clients before the change of ownership can be processed.

Trustee or Officer of Organization Name(s)	Date of Trust (MMDDYYYY)
Trustee or Officer of Organization Name(s)	
Trust or Organization Name	TIN
If Trust is new owner (Select One): <input type="radio"/> Revocable <input type="radio"/> Irrevocable	
Business Address: <input type="checkbox"/> Please check here if this is an address change. For alternate address requests, please submit Form 518.	
City	State ZIP code

**5D - UTMA/UGMA for Minor or Fiduciary for Minor/Protected Person or Protected Person, CESA Change of Beneficiary or Controller**

UTMA  UGMA  CESA Fiduciary

Fiduciary, UTMA Custodian or CESA Controller Name (CESA controller must be a parent or legal guardian of the CESA beneficiary)

Relationship to Minor/Protected Person	Date of Birth of Fiduciary (MMDDYYYY)	State Governing UGMA/UTMA
Citizenship of Minor/Protected Person (Select One): <input type="radio"/> U.S. Citizen <input type="radio"/> Resident Alien <input type="radio"/> Non-Resident Alien	Gender: <input type="radio"/> Male <input type="radio"/> Female	
Name of Minor/Protected Person	Social Security Number	
Address to be used on account: <input type="checkbox"/> Please check here if this is an address change. For alternate address requests, please submit Form 518.		
City	State	ZIP code





**5E - Designation of Successor Custodian for UTMA, Successor Controller for CESA, Successor Owner, Successor Annuitant**



- This designation must be completed by the current Custodian/Controller/Fiduciary named in Part 5D.
- If this designation is for a Successor Custodian under UGMA/UTMA it must be witnessed by a separate, disinterested third party signing below.
- This designation of Successor Custodian is not valid in the State of Ohio.
- If this designation is for a Successor Controller under CESA, the person indicated must be a parent/legal guardian of the CESA beneficiary.

Select One:  Successor Custodian  Successor Controller  Successor Owner  Successor Annuitant

Name of Successor Custodian/Controller/Owner/Annuitant

Relationship to the Minor/Protected Person

Date of Birth (MMDDYYYY)

**5F - Annuitant Change for Non-Qualified Deferred Annuity Contracts (an annuitant cannot be changed if the contract is owned by a non-person)**



Any annuity that is not an Advantage Fixed Series, Bonus Fixed Series, RAVA Plus, RAVA 4 or RAVA 5<sup>®</sup> Annuity has the following restrictions:

- The current annuitant must be alive.
- The contract cannot be in payout.
- The new annuitant must be an owner.
- No ownership changes must have occurred within the past 12 months, unless due to a documented divorce settlement .
- No successor annuitant can be named.

Name as it appears in IRS Records

Date of Birth (MMDDYYYY)

Relationship to Current Owner(s) in Part 1

**Part 6 Account Suitability- Change of Ownership Only**



Basic definitions for Investment Time Frame, Risk Tolerance, Investment Objectives and Liquidity Needs are provided below. More detailed descriptions and examples of some of the selections can be found on your Suitability Confirmation.



- Complete the following account suitability information for each new account. Incomplete fields may result in any new account being restricted to sales only transactions and may delay future trading.
- The information in this part is required for changes of ownership other than divorces or change of annuitant.

**Please Note:** Based on product and ownership limitations, the assets you are receiving may be transferred into your existing accounts, or combined from multiple accounts into one account within the same ownership and product combination. If the suitability information provided on this form conflicts with the information previously on file for an existing account, the new information will replace the old. If you are receiving assets from multiple accounts in the same product type (including share class and strategy where applicable), and the suitability information you provided on this form is not the same for all accounts of the same product type, we will apply the suitability information given for the last account of that product type listed on the form.



**Account 1 - Complete all of the following information for each new account (from Part 1).**

- Apply this suitability to all accounts.  Suitability to remain the same as the original account

<p><b>Investment Time Frame</b> (Select only one)</p> <p><input type="radio"/> A. Less than 1 Year</p> <p><input type="radio"/> B. 1 - 3 Years</p> <p><input type="radio"/> C. 4 - 7 Years</p> <p><input type="radio"/> D. 8 - 10 Years</p> <p><input type="radio"/> E. 11+ Years</p>	<p><b>Risk Tolerance</b> (Select only one)</p> <p><input type="radio"/> A. Conservative</p> <p><input type="radio"/> B. Conservative / Moderate</p> <p><input type="radio"/> C. Moderate</p> <p><input type="radio"/> D. Moderate / Aggressive</p> <p><input type="radio"/> E. Aggressive</p>	<p><b>Investment Objectives</b> (Select one per column in order of importance)</p> <table border="0"> <tr> <td style="text-align: center;">1st</td> <td style="text-align: center;">2nd</td> <td style="text-align: center;">3rd</td> <td></td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>A. Capital Preservation</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>C. Income</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>D. Tax Considerations</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>E. Protection</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>F. Education</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>G. Estate Planning</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>H. Speculation</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>I. Growth</td> </tr> <tr> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td style="text-align: center;"><input type="radio"/></td> <td>J. Growth with Income</td> </tr> </table>	1st	2nd	3rd		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A. Capital Preservation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	C. Income	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	D. Tax Considerations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	E. Protection	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	F. Education	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	G. Estate Planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	H. Speculation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	I. Growth	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	J. Growth with Income
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*"B. Capital Appreciation" is no longer an option.*

**Liquidity Needs**

- (Select only one)
- A. Less than 1 Year
- B. 1 - 7 Years
- C. 8+ Years

**Investments Held Outside of Ameriprise (Check only one)**

- No investment assets held outside of Ameriprise
- Client declined to provide investment assets held outside of Ameriprise
- Determined with client that investment assets held outside of Ameriprise are not applicable to recommendations in this account
- Client has investment assets held outside of Ameriprise. The total value is: \$ \_\_\_\_\_

**Investment Type**

**Approximate Value**

- |   |          |
|---|----------|
| <input type="checkbox"/> CDs, money markets and cash equivalent                     | \$ _____ |
| <input type="checkbox"/> Equities, bonds, mutual funds and other liquid investments | \$ _____ |
| <input type="checkbox"/> REITs, BDCs, and other illiquid investments                | \$ _____ |
| <input type="checkbox"/> Insurance products, including annuities                    | \$ _____ |
| <input type="checkbox"/> Retirement plans, including 401(k) plans                   | \$ _____ |
| <input type="checkbox"/> Other _____  | \$ _____ |

- Check here if any additional New Owner Account Profile Information pages are attached.

**Investment Time Frame Definition**

Investment Time Frame	The expected period of time you plan to invest to achieve your current financial goal(s).
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**Investment Objective Definitions**

Capital Preservation	The primary goal is preservation of capital over growth or income.
Income	The primary goal is income provided by the investment (e.g. dividends) rather than potential growth.
Tax Considerations	The primary goal is investments that mitigate federal, state and/or local taxes.
Protection	The primary goal is leaving a monetary benefit at death to loved ones or charity.
Education	The primary goal is providing/paying for education related expenses.
Estate Planning	The primary goal is transferring assets to loved ones and/or providing a legacy at one's death.
Speculation	The primary goal requires an acceptance of a higher-than-average risk and/or loss of capital in hope of making a higher-than-average return.
Growth	The primary goal is an increase in the capital or market value of the investment rather than income that may be received from the investment.
Growth with Income	The primary goal is to provide both growth and income, often by choosing investments which have earnings growth as well as dividends.

**Risk Tolerance Definitions**

Conservative	You accept the lowest return potential, lowest return variability, and the lowest fluctuation in account value, in exchange for lower risk.
Conservative / Moderate	You accept a relatively low return potential, relatively low return variability, and relatively low fluctuation in account value, in exchange for a below average amount of risk.
Moderate	You accept an average amount of risk in exchange for average return potential, average return variability, and average fluctuation in account value.
Moderate / Aggressive	You accept an above average amount of risk in exchange for a relatively high return potential, relatively high return variability, and relatively high fluctuation in account value.
Aggressive	You accept the highest amount of risk in exchange for the highest return potential, the highest return variability, and the highest fluctuation in account value.

**Liquidity Needs Definition**

Liquidity Needs	Period of time from the present until you anticipate you may need access to some of the investment dollars.
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**Part 7 Client Profile**

Client Name	Phone Number	Ext.
Number of Dependents	Federal Tax Bracket	



Individual Annual Income Amount	Net Worth Amount	Liquid Net Worth Amount	Investment Experience
\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	<input type="text"/>

A. Are you employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)?  
 Yes     No

B. Are you an officer, director, 10% shareholder or policymaker of a publicly traded company?  
 Yes     No

C. Employment Status  
Employer, Occupation and Employer Address required if Employed or Self-employed.

A. Employed     B. Self-employed     C. Not Employed (unemployed, retired, student, minor, homemaker)

Employer  Occupation

Employer Address

City  State  ZIP code  Country

## Part 8 Additional Requests and Requirements

### Supplemental Instructions for Brokerage, Ameriprise ONE® Financial Accounts and Ameriprise Managed Accounts.

#### Options Trading

If the new owner is receiving an account that includes an option contract, you must complete and submit Form 8340 - Option Account Agreement.

#### Fund of Hedge Funds

If the new owner(s) or registration of the account is receiving Fund of Hedge Funds as a result of the change of ownership, you must complete the Fund of Hedge Funds Application (Form 291039).

Additional requests that are not permitted on this form are described below:

(To select one of these options the claimant must complete, sign, date and attach the appropriate form to this change of ownership form).

- This Change of Ownership/Annuitant form can only be used to retitle the account assets in the name of the new owner or to change the annuitant.
- Any additional requests must be submitted on the appropriate form(s) and will not be processed until the ownership or annuitant change has been completed.
- Please also be aware that any arrangements, requests, instructions and features set up on the original owner's account may not be continued for the new owner or account unless the appropriate form is included. This may include but is not limited to scheduled payouts, delivery of dividends or interest, check writing or other features.
- Please speak to an Ameriprise financial advisor for complete information and forms specific to your accounts.

#### Some of the more commonly submitted requests are:

##### Asset Movement

Systematic Payout - Outgoing Money	Complete via eForms - Money Movement	Variable Annuity Transaction Request	Form 33443
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Bank Authorization - Incoming Money	Complete via eForms - Money Movement	Annuity Divorce Surrender	Form 131001
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##### Beneficiary Designations

Transfer on Death/Payable on Death	Advisors, use eForms - Beneficiary Update. Clients please contact your advisor.	Life Insurance/Annuity Change of Beneficiary	Advisors use eForms - Beneficiary Update. Clients, please contact your advisor.
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##### Account Features

Additional Account Features	Form 15028	Look-Through Trust Documentation Form for IRAs	Form 200475
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**Part 9 Authorization and Acknowledgments - (Must be signed by all new owners or fiduciaries)****The following statements apply to all accounts:**

- You confirm that you are at least 18 years of age and full legal age in your state of residence.
- **Householding for Statements:** You understand Ameriprise Financial may use and combine information concerning accounts owned by members of a primary household group to provide members of the group with paper and/or electronic statements of account(s) and certain account information. These accounts include investment, insurance, annuity and brokerage accounts. A primary household consists of an individual, his or her spouse or domestic partner, and any accounts owned for, by, or with their unmarried children under age 21 who reside at the same address. You understand that if you want to have a statement covering only accounts that you own and to not participate in household pricing, you will need to call your Ameriprise financial advisor, or the toll-free number on your statement.
- **Householding for Shareholder Documents:** You understand that Ameriprise Financial Services, Inc. may use and combine information concerning accounts owned by members of a household to provide them with a single paper copy of shareholder documents. Prospectuses, supplements, annual reports, semiannual reports and proxies may be included. Under this, household is defined as two or more shareholders who share the same address and either share the same last name or have indicated that they are married or domestic partners. This remains in effect unless notified otherwise. You understand that if you wish to continue receiving multiple copies of prospectuses, supplements, annual reports, semiannual reports and proxies, you can call 1.866.273.7429 and reference the client number found on your statement. Multiple mailings will resume within 30 days of the request.
- You acknowledge that you will be bound by the terms of the insurance policy/annuity contract/account, as are your heirs, executors, administrators and successors.
- Brokerage, investment and financial advisory services made available through Ameriprise Financial Services, Inc. Member FINRA and SIPC.

**The following statements apply to Brokerage and Managed Accounts only:**

- You authorize American Enterprise Investment Services, Inc. to lend to itself or to others, either separately or in common, any holding in your account that Ameriprise Financial Services may be carrying for you on margin. You understand that you may borrow against your account at the rates and terms explained in the client agreements (non-qualified accounts only).
- You realize that the clearing agent, American Enterprise Investment Services, Inc., will release my name, address and security position to requesting companies in which American Enterprise Investment Services, Inc. holds securities for my account, unless you specify otherwise to Ameriprise Financial Services.
- If the new account is a Non-Qualified account, you acknowledge that you have received the *Ameriprise* Brokerage Client Agreement and agree to abide by its terms as currently in effect or as the terms may be amended from time to time. **This account is governed by a predispute arbitration clause, which is found in Section 28, page 3 of the client agreement. I acknowledge receipt of the predispute arbitration clause.**
- If the new account is a tax-qualified account, You acknowledge that you have received the *Ameriprise* Brokerage Client Agreement and agree to abide by its terms as currently in effect or as the terms may be amended from time to time. **This account is governed by a predispute arbitration clause, which is found in Section 28, page 3 of the client agreement. You acknowledge receipt of the predispute arbitration clause.**

**The following statements apply to IRAs (excluding annuities):**

- You appoint Ameriprise Trust Company as custodian of your IRA and understand that the Individual Retirement Custodial Account Agreement in **Your Guide to IRAs** and your IRA application, if applicable, comprise your custodial agreement with Ameriprise Trust Company.
- You assume all responsibility for any tax consequences and penalties that may result from making contributions to, transactions with, or distributions from your IRA.
- You acknowledge that any IRA beneficiary designation you submit will apply to all investment accounts and products held in this IRA plan.
- You authorize Ameriprise Trust Company to invest, directly or indirectly, in deposits of itself or its affiliates that bear a reasonable rate of interest to facilitate cash sweep services.

**The following statements apply to non-qualified annuity accounts owned by a non-natural or corporate owner:**

- We, the undersigned as the non-natural/corporate owner listed above, understand that this contract is not treated as an annuity for tax purposes (unless it is held by a trust or other entity as an agent for a natural person within the meaning of Internal Revenue Code section 72 (u)(1)). As a result, tax deferral is generally not available and therefore, earnings on the contract may be treated as ordinary income received or accrued by the owner during the tax year. The owner/taxpayer is responsible for reporting this income to the Internal Revenue Service.
- In accordance with Internal Revenue Code section 72(s) and contract language, upon the death of the annuitant, the beneficiary will receive the death benefit and the annuity will be terminated based on the terms of the contract. The designated annuitant cannot be changed once the annuity has been issued.
- We understand our obligations with respect to the above mentioned annuity and will abide by them throughout the duration of the annuity.



Taxpayer's Identification Number to Be Used

Name Associated With This Tax Number (on IRS Records)

## W-9 TIN Certification

Check appropriate box for federal tax classification (required):

- |  |   |
|--|---|
| <input type="radio"/> Individual/Sole proprietor | <input type="radio"/> Partnership                                     |
| <b>Corporation</b>                               | <input type="radio"/> Trust   |
| <input type="radio"/> C-Corporation              | <input type="radio"/> Revocable (Optional Additional Trust Details)   |
| <input type="radio"/> S-Corporation              | <input type="radio"/> Irrevocable (Optional Additional Trust Details) |
| <b>Limited Liability Company (LLC)</b>           | <input type="radio"/> Estate  |
| <input type="radio"/> C-Corporation              | <input type="radio"/> Other <input type="text"/>                      |
| <input type="radio"/> S-Corporation              |   |
| <input type="radio"/> Partnership                |   |

 Check here if owner is an Exempt Payee (defined in Form W-9 instructions)Exempt Payee code: 

1-An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2), 2-The United States or any of its agencies or instrumentalities, 3-A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities, 4-A foreign government or any of its political subdivisions, agencies, or instrumentalities, 5-A corporation, 6-A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States, 7-A futures commission merchant registered with the Commodity Futures Trading Commission, 8-A real estate investment trust, 9-An entity registered at all times during the tax year under the Investment Company Act of 1940, 10-A common trust fund operated by a bank under section 584(a), 11-A financial institution, 12-A middleman known in the investment community as a nominee or custodian, 13-A trust exempt from tax under section 664 or described in section 4947

**Foreign Account Tax Compliance Act Reporting**

A FATCA exemption code is required for persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. If you are only submitting this form for an account you hold in the United States, no code is required. Otherwise, submit IRS Form W-9 separately.

As used below, the word "I" refers to the applicant who is the taxpayer on the account.

**Under penalties of perjury, I certify that:**

1. The number shown on this form is my correct taxpayer identification number, and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The payee is exempt from Foreign Account Tax Compliance Act (FATCA).

**Certification Instructions:**

As used below, the word "You" refers to the applicant who is the taxpayer on the account.

Check this box if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Non-U.S. persons should submit the appropriate Form W-8.

Form W-9 and Form W-8 and their instructions are available upon request or on [irs.gov](http://irs.gov).



The Internal Revenue Service does not require your consent to any provision of the document other than the certifications required to avoid backup withholding.

The Internal Revenue Service does not require your consent to any provision of the document other than the certifications required to avoid backup withholding.

Owner or Fiduciary Name

[Name input field]

All New Owners/Fiduciaries of the accounts identified in this form Must Sign Here

State

Date Signed

X [Signature line]

[State input field]

[Date input field]

(MMDDYYYY)

Joint Owner/Fiduciary Name

[Name input field]

Date Signed

X [Signature line]

[Date input field]

(MMDDYYYY)

Servicing Advisor Information

! Do not complete this section if you will not act as the servicing advisor of the named beneficiary.

FOR SEP AND SIMPLE IRA OWNERSHIPS:

Is this account for you, a covered family member\* of yours, or, a covered family member of anyone you will be sharing compensation with?

Yes  No

If you are an Ameriprise franchise advisor, is this for a participant in a plan that you are sponsoring (i.e., your employee's SIMPLE or SEP account)?  Yes  No

FOR IRA OWNERSHIPS OTHER THAN SEP AND SIMPLE IRA:

Is this account for you, a covered family member\* of yours, or, a covered family member of anyone you will be sharing compensation with on this account?  Yes  No

\* Covered family members include, your spouse, your lineal ascendants (mother, father, grandmother, grandfather, great-grandmother, great-grandfather) as well as your lineal descendants (son, daughter, grandson, granddaughter, great-grandson and great-granddaughter) and any spouse of a lineal descendant. Brothers, sisters and their spouses or children are NOT included.

Advisor Information form with fields for Name, Advisor Signature, Advisor ID, Date, Team ID, Comp %, Phone, Ext, Branch Office Number. Includes a red 'X' in the signature field.

Co-Advisor Information

Co-Advisor Information form with fields for Name, Advisor Signature, Advisor ID, Date, Team ID, Comp %, Phone, Ext, Branch Office Number. Includes a red 'X' in the signature field.