

Change of Ownership/Annuitant



- Prior to setting up a new account, all owners on the account must be established as clients using the "Create New Client" link in eForms Manager on *AdvisorCompass*® site.
- This form may not be used for Qualified Accounts, except in limited situations (See Instructions, [Form F120-inst](#)).
- For all annuities held within a brokerage or SPS *Advantage* account, before proceeding, ensure the brokerage or SPS *Advantage* account the annuity is to be linked with is of the exact same ownership.

Client ID

Part 1 Current Account Owner(s)

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

Account Number (s)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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) Mutual Fund/Certificates (2B)

2A. Life Insurance policies and Annuity contracts only

i 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. Please consult your tax adviser.*

Fax # 1.866.478.8767

2B. Brokerage, Mutual Funds and Managed Accounts (All questions must be completed)

i Questions 1 - 4 below are valid for Brokerage, Mutual Funds and Managed Accounts ONLY.

1. Is this transfer a Gift? *If no option is selected, the default is gift*
 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
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

Part 3 Transfer Amount and Authorization

i **Third Party Annuity or Insurance (Except RiverSource® RAVA5)**

- 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 : _____ 133

i **For Columbia Mutual Funds (not held in a brokerage account)**

- Full OR
 Partial (complete only one): \$ _____ OR _____ % OR _____ Shares

i **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.

Fax # 1.866.478.8767

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.

For Annuities and Life Insurance:

- Subject to the approval of RiverSource Life Insurance Company, you absolutely and unconditionally transfer ownership of the above described life insurance policy/annuity contract to the person(s) named in Part 5 A, B, C or D and his/her successors or assigns.
- If any contingent owner has been named in this policy/contract, or by subsequent instrument, that designation of contingent owner is hereby revoked.
- The current beneficiary designation will remain in effect unless changed by the new owner(s).

For Mutual Funds, Certificate and Brokerage Accounts:

- Subject to the approval of the fund or Ameriprise Certificate Company, you absolutely and unconditionally transfer ownership of the above described life mutual fund, certificate or brokerage account to the person(s) named in Part 5 A, B, C or D.
- The transfer of ownership hereby revokes any trust or TOD designation previously created with respect to said shares or certificate to the extent of the funds being assigned hereby.
- You irrevocably appoint Ameriprise Financial Services, Inc. as your attorney to transfer said securities on the books of the issuer, with full power of substitution in the premises.
- REIT/BDC holdings: Please note; if an account or position is transferred to a new owner, or in the event that an owner is removed from the existing account, the owner's Distribution Reinvestment Plan (DRIP) election will be changed to cash. To change the distribution election, submit form F246 "Change Distribution Election for Real Estate Investment Trusts (REIT) Investment or Business Development Companies (BDC)" along with the transaction request.
- If there is an Alternative investment in a Qualified Plan, additional paperwork may be required to move or re-register the assets.

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

i Complete the Appropriate Section Below (Does not apply to Insurance, Certificates and Annuities).

For Columbia mutual funds (not held in a brokerage account) that are to be transferred to an existing Columbia mutual fund account of the same type, please list the receiving account numbers below. New account numbers will be created for this type of transfer if they are required.

<input type="text"/>	<input type="text"/>	<input type="text"/>
<i>Account Number</i>	<i>Account Number</i>	<i>Account Number</i>

For Brokerage, SPS Advantage, and Active Portfolios® accounts that are to be transferred to existing Brokerage, SPS Advantage, and Active Portfolios® accounts, of the same type, please list the receiving account numbers below. New account numbers will be created for this type of transfer if they are required.

<input type="text"/>	<input type="text"/>	<input type="text"/>
<i>Account Number</i>	<i>Account Number</i>	<i>Account Number</i>

Part 5 New Account Registration (Select One)

State of Residence

Choose Registration

i



- 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.****
- **If you own a variable annuity with the *SecureSource*® Flex, *SecureSource Stages*®, *SecureSource Stages 2*® or *SecureSource 3*® joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust, is not allowed. For contracts issued in California, if you own a variable annuity with the *SecureSource 3*® joint life benefit, the covered person will not change and the rider will not terminate as a result of an ownership change. The rider will terminate at the death of the last covered spouse or when a death benefit is payable unless the spousal continuation option is chosen by a covered spouse.**
- **If you own a variable Annuity with the *SecureSource*® Flex rider single life benefit and the covered person changes as a result of the ownership change, the rider terminates.**
- **If you own a variable annuity with the *SecureSource Stages 2*® rider and you elected 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 a death benefit rider, transfer of ownership may terminate the rider.**
- **For Contracts issued in California, if you own a variable annuity with the *SecureSource 3*® single life benefit, the covered person will not change and the rider will not terminate as a result of an ownership change. The rider will terminate at the death of the covered person or any owner (even if the covered person is still living).**
- 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.
- If you own a variable annuity with the *SecureSource*® Flex, *SecureSource Stages*®, *SecureSource Stages 2*® or *SecureSource 3*® joint life benefit, transfer of ownership to anyone other than the covered spouses or their revocable trust, is not allowed. For contracts issued in California, if you own a variable annuity with the *SecureSource 3*® joint life benefit, the covered person will not change and the rider will not terminate as a result of an ownership change. The rider will terminate at the death of the last covered spouse or when a death benefit is payable unless the spousal continuation option is chosen by a covered spouse.
- If you own a variable Annuity with the *SecureSource*® Flex rider single life benefit and the covered person changes as a result of the ownership change, the rider terminates.
- If you own a variable annuity with the *SecureSource Stages 2*SM rider and you elected 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 a death benefit rider, transfer of ownership may terminate the rider.
- For Contracts issued in California, if you own a variable annuity with the *SecureSource 3*® single life benefit, the covered person will not change and the rider will not terminate as a result of an ownership change. The rider will terminate at the death of the covered person or any owner (even if the covered person is still living).

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.
- 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)
- 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	Social Security Number
Relationship to Current Owners in Part 2	Date of Birth (MMDDYYYY)
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.	
City	State ZIP code

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.

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	
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

<input type="radio"/> UTMA	<input type="radio"/> UGMA	<input type="radio"/> 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		
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	Date of Birth (MMDDYYYY)	State ZIP code

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.

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, Retirement Advisor Advantage Plus RiverSource® Retirement Advisor Advantage Plus RiverSource® and all types of RAVA 4SM Annuities 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 information for each new account. For divorces or change of annuitant, we will process the request without this information, but we will require it before you can commence trading on the account. If you do not provide this information at this time it 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.

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

Investment Time Frame

Risk Tolerance

Liquidity Needs

Investment Objectives (Select one in order of importance)

- 1.
- 2.
- 3.

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.

Investment Time Frame Definition

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

Risk Tolerance Definitions

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.

Liquidity Needs Definition

Liquidity Needs	Period of time from the present until you anticipate you may need access to some of the investment dollars.
-----------------	---

Part 7**Supplemental Instructions for Brokerage, Ameriprise ONE® Financial Account, Ameriprise Managed Accounts****Margin Account Agreement - Brokerage and SPS Advantage accounts only**

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 Brokerage Client Agreement and are bound by the terms set forth in the margin agreement therein.

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.

Money Settlement Option

The sweep designation that is currently attached to the original owner's account will be applied to the new account.

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).

i **New Owner Elections (SPS Advantage 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 hold an SPS Advantage account. New Owner will sign and attach the appropriate application listed below:

- Form 402281 (as applicable) SPS Advantage Non-Qualified Application.
- Form 402282 (as applicable) SPS Advantage IRA Application (Only used in conjunction with Form F120 for divorce settlements)

New Owner will be terminating the SPS Advantage client account(s) within 90 days of re-registration and agrees to the following:

- No annual fee will be charged
- No SPS Advantage account Services will be provided
- Account activity will be limited to liquidations and in-kind transfers only
- New Owner is responsible for submitting liquidation request by call 1 (800) 862-7919 and speaking to a trader to request liquidation or in-kind transfer of the account within 90 days of completion of the ownership change.

i **New Owner Elections (Active Portfolios accounts only):**

New Owner will hold an Active Portfolios account. New owner will complete and sign the appropriate application listed below:

- Form 413060 Ameriprise Active Portfolios Application - Non-Qualified Accounts
- Form 413063 Ameriprise Active Portfolios Application - IRA Accounts. (Only used in conjunction with Form F120 for divorce settlements)

Part 8 Client Profile

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

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.

Individual Annual Income Amount Net Worth Amount Liquid Net Worth Amount Investment Experience
 \$ _____ \$ _____ \$ _____ _____

A. Are you employed by, or an associated person of, a registered broker-dealer, securities exchange, or the Financial Industry Regulatory Authority (FINRA)?

Yes (Complete Employer Information below) No

B. Are you an officer, director, 10% shareholder or policymaker of a publicly traded company?

Yes (Complete Employer Information below) No

C. Employment Status

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

Employer _____ Occupation _____

Employer Address: _____

City _____ State _____ ZIP code _____ Country _____

Part 9 Additional Requests and Requirements

- 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.
 - You may refer to the **Change of Ownership/Annuitant Instruction document - Form F120 - inst** for more detailed information and descriptions

Some of the more commonly submitted requests are:

Asset Movement			
Systematic Payout - Outgoing Money	Form 402155	Variable Annuity Transaction Request	Form 33443
Mutual Fund Funds Networking Conversion	Form 224	Annuity Divorce Surrender Form	Form 131001
Bank Authorization - Incoming Money Form	Form 402154		
Beneficiary Designations			
Transfer on Death/Payable on Death	Form 3214	Life Insurance/Annuity Change of Beneficiary	Form 33032
Account Features			
Additional Account Features	Form 15028	Look-Through Trust Documentation Form for IRAs	Form 200475

Fax # 1.866.478.8767

Part 10 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 statement applies to Columbia mutual funds only:

You acknowledge that you have received and read the 'Ameriprise Account Agreement - Columbia Only' and agree to abide by its terms as currently in effect or as they might be amended from time to time. You hereby consent to all those terms and conditions with full knowledge and understanding of the information contained in the Agreement. **This account is governed by a predispute arbitration clause that is found in Section 23, page 2 of this 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.

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):

Individual/Sole proprietor

Partnership

Corporation

Trust

C-Corporation

Revocable (Optional Additional Trust Details)

S-Corporation

Irrevocable (Optional Additional Trust Details)

Limited Liability Company (LLC)

Estate

C-Corporation

Other

S-Corporation

Partnership

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

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).

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.

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

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

State

Date Signed

X _____

MMDDYYYY

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.

Joint Owner/Fiduciary Name

Date Signed

X

(MMDDYYYY)

Servicing Advisor Information

Name

Advisor ID

Advisor Signature

Date (MMDDYYYY)

X

Team ID

Comp %

Phone

Ext

Branch Office Number

Co-Advisor Information

Name

Advisor ID

Advisor Signature

Date (MMDDYYYY)

X

Team ID

Comp %

Phone

Ext

Branch Office Number

Fax # 1.866.478.8767

© 2008 - 2013 Ameriprise Financial, Inc.
All rights reserved.