



General Counsel's Office
52 AXP Financial Center
Minneapolis, MN 55474
Fax: 612-678-1168

Fax

To: Consumer Protection Board	From: Rhonda J Schwartz
Fax: 518.474.2474	Phone: 612.678.1859
Date: 1.20.06	Pages: 5

Urgent Per Your Request For Review Please Reply

Comments:

John Junek
Executive Vice President
General Counsel

Ameriprise Financial, Inc.
55 Ameriprise Financial Center
Minneapolis, MN 55474
Tel: 612.671.3651
Fax: 612.678.1491
john.junek@ampf.com

January 20, 2006



Teresa A. Santiago
Executive Director
New York State Consumer Protection Board
5 Empire State Plaza, Suite 2101
Albany, NY 12223

Re: Security Breach Notification

Dear Executive Director Santiago:

I am writing to inform you of the theft of a laptop computer containing personal information for 11,062 residents of your state, as is required by Article 39-F, Section 899-AA of the General Business Laws of New York. A similar letter is being sent to the securities and insurance commissioners, the Attorney General's Office and the Office of Cyber Security in your state. Notification is being given to offices in all 50 states, as well as to the major credit reporting agencies.

Attached are samples of the letters being sent to affected individuals that outline the circumstances of the incident, the nature of the information involved, and what steps the company has taken to respond to the incident. We have been working with various law enforcement agencies to retrieve the stolen laptop, but our efforts thus far have been unsuccessful.

Our company, Ameriprise Financial Services Inc., is registered in all 50 states as a broker-dealer and insurance company. We have over 10,500 financial advisors and 2 million clients. We at Ameriprise take our responsibility to protect individuals' personal information very seriously. At this point we have no indication that any misuse of data has occurred, but we wanted to notify you promptly of the incident.

Please contact in-house counsel Rhonda Schwartz at (612) 678-1859 should you have questions or need additional information.

Sincerely,

A handwritten signature in cursive script that reads "John Junek".

John Junek
Executive Vice President and General Counsel

Enclosures (3)

SAMPLE

January 21, 2006

Dear (advisor/former advisor):

I am writing to inform you of an unfortunate incident that took place in late December and involved the theft of an Ameriprise Financial laptop computer from an offsite location. The computer contained a data file with certain names and Social Security numbers. This file included your information. Other than those two items, no relevant identifying information or account information of any kind was included. We have been working with our information security experts, and they have advised us that it is unlikely this incident will affect you, however in a situation like this, we wanted you to know the facts, as well as the actions we are taking to assist you in proactively protecting your personal information.

Based on what we know, especially the facts surrounding the theft, we believe this was a random criminal act and that it's very unlikely your information will be misused or even discovered. Since the theft occurred, we have received no reports to suggest that information lost in the theft has been used improperly.

We have created a dedicated web page to help answer any questions you may have and to provide further details on the credit monitoring program below. The address for the site is www.ameriprise.com/amp/incidentresponse-advisors. If you have any additional questions or would like further assistance, please call our **Incident Response Center at 1-888-228-0537**.

We are also providing you an opportunity to enroll in an independently operated credit monitoring program for one year. This program, which is offered to you at no cost, is administered by TransUnion, one of the three national credit reporting agencies. Full details of the program can be found in the FAQ section of the website in the paragraph above or by calling the Incident Response Center. If you are interested in enrolling in the credit monitoring program please visit TransUnion's website at www.truecredit.com/gcentry.jsp. You will need to enter the following 16-character gift certificate code to initiate the program - **XXXX-XXXX-XXXX-XXXX** (all characters must be capitalized as shown). If you do not have internet access you may call **1-800-242-5181** and enter the pass code: **XXXXXX** - (note: the 16-character gift certificate code will still be needed if you call). You must enroll by March 31, 2006 to be eligible for the year of credit monitoring at no cost to you.

We apologize for any inconvenience this situation may cause you. I want to assure you that we take our responsibility to safeguard the personal information of our advisors, employees, and clients seriously and that we are committed to protecting your personal information now and in the future.

Sincerely,

Brian Heath, President, U.S. Advisor Group
Ameriprise Financial Services, Inc.

SAMPLE

January 21, 2006

Dear (client):

I am writing to inform you of an unfortunate incident that took place in late December and involved the theft of an Ameriprise Financial laptop computer from an offsite location. The computer contained a data file with names and some Ameriprise Financial account information of some of our clients. This file included your name. No other personal identity information or data on accounts outside of Ameriprise were in the file. We have been working with our information security experts, and they have advised us that it is unlikely this incident will affect you, however in a situation like this, we wanted you to know the facts, as well as the actions we are taking to assist you in proactively protecting your personal information.

It is important to note that your name and account numbers alone are not enough information for someone to access or transact business in your Ameriprise accounts. Based on what we know, especially the facts surrounding the theft, we believe this was a random criminal act and that it's very unlikely your information will be misused or even discovered. Since the theft occurred, we have not received any reports of unusual or unauthorized account activity as a result of this incident.

We are taking the following steps on your behalf to protect your account at Ameriprise Financial:

- Our service associates have heightened their scrutiny of any attempt to access your accounts without all the specific information necessary.
- We have created an informational web page specific to this incident to help you with any additional questions you may have. The address for the site is www.ameriprise.com/amp/incidentresponse. If you have any additional questions or would like further assistance, please call our **Incident Response Center at 1-877-347-6461**.

Although we believe, and industry research of similar cases suggests, the risk to your accounts is extremely low, you should monitor activity in your Ameriprise Financial accounts and read your client account statements when you receive them to make sure your accounts are in order. If you have any concerns please contact your personal financial advisor or call the Service Delivery number listed on your most recent client statement.

We apologize for any inconvenience this situation may cause you. I want to assure you that we take our responsibility to safeguard your personal information very seriously and are committed to protecting that information now and in the future.

Sincerely,

Brian Heath, President, U.S. Advisor Group
Ameriprise Financial Services, Inc.

SAMPLE

General Counsel's Office
52 AXP Financial Center
Minneapolis, MN 55474
Tel: 612-276-4104

January 21, 2006

Dear (advisor/former advisor):

I am writing to inform you of an unfortunate incident that took place in late December and involved the theft of an Ameriprise Financial laptop computer from an offsite location. The computer contained a data file with certain names and Social Security numbers. It also included a file that contained names and some Ameriprise specific account information of recently reassigned clients. Your name is included in both files. Other than the name and Social Security number, no relevant identifying information was included in the first file. Although some Ameriprise account information was in the second file, no information from any accounts outside of Ameriprise was included. We have been working with our information security experts, and they have advised us that it is unlikely this incident will affect you, however in a situation like this, we wanted you to know the facts, as well as the actions we are taking to assist you in proactively protecting your personal information.

Based on what we know, especially the facts surrounding the theft, we believe this was a random criminal act and that it's very unlikely the information in either file will be misused or even discovered. Since the theft occurred, we have received no reports to suggest that any information lost in the theft has been used improperly.

Our service associates have heightened their scrutiny of any attempt to access your accounts without all the specific information necessary.

We have also created a dedicated web page to help answer any questions you may have and to provide further details on the credit monitoring program below. The address for the site is www.ameriprise.com/amp/incidentresponse-advisors. If you have any additional questions or would like further assistance, please call our **Incident Response Center at 1-888-228-0537**.

We are also providing you an opportunity to enroll in an independently operated credit monitoring program for one year. This program, which is offered to you at no cost, is administered by TransUnion, one of the three national credit reporting agencies. Full details of the program can be found in the FAQ section of the website in the paragraph above or by calling the Incident Response Center. If you are interested in enrolling in the credit monitoring program please visit TransUnion's website at www.truecredit.com/gcentry.jsp. You will need to enter the following 16-character gift certificate code to initiate the program – **XXXX-XXXX-XXXX-XXXX** (all characters must be capitalized as shown). If you do not have internet access you may call **1-800-242-5181** and enter the pass code: **XXXXXX** – (note: the 16-character code will still be needed if you call). You must enroll by March 31, 2006 to be eligible for the year of credit monitoring at no cost to you.

We apologize for any inconvenience this situation may cause you. I want to assure you that we take our responsibility to safeguard the personal information of our advisors, employees, and clients seriously and that we are committed to protecting your personal information now and in the future.

Sincerely,

Brian Heath, President, U.S. Advisor Group
Ameriprise Financial Services, Inc.