

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

AMERIPRISE FINANCIAL INC  
Form 13F-HR  
May 14, 2010

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 13 (F) COVER PAGE

Report for the Calendar Year or Quarter Ended: March 31, 2010

Check here if Amendment ; Amendment Number: \_\_\_\_\_  
This Amendment (Check only one.):  is a restatement.  
 adds new holdings entries.

Institutional Investment Manager Filing this Report:

Name: Ameriprise Financial, Inc.  
Address: 430 Ameriprise Financial Center  
Minneapolis, MN 55474-0000

Form 13F File Number: 28-139

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, lists, and tables, are considered integral parts of this form.

Person Signing this Report on Behalf of Reporting Manager:

Name: Jeffrey Fox  
Title: V.P. Investment Accounting  
Phone: 612-671-6741

Signature, Place, and Date of Signing:

|                 |                 |                |
|-----------------|-----------------|----------------|
| /s/ Jeffrey Fox | Minneapolis, MN | April 12, 2010 |
| -----           | -----           | -----          |
| [Signature]     | [City, State]   | [Date]         |

Report Type (Check only one.):

- 13F HOLDINGS REPORT.
- 13F NOTICE.
- 13F COMBINATION REPORT.

FORM 13F SUMMARY PAGE

Report Summary:

Number of Other Included Managers: 8  
Form 13F Information Table Entry Total: 7047

## Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

Form 13F Information Table Value Total: \$59319316 (thousands)

List of Other Included Managers:

| No. 13F File Number | Name  |
|---------------------|---|
| -----               |   |
| 01 28-139           | Ameriprise Financial, Inc.  |
| 02 28-10477         | Columbia Management Investment Advisers, LLC (formerly known as RiverSource Investments, LLC) |
| 03 28-1045          | Ameriprise Trust Company  |
| 04 28-140           | Ameriprise Certificate Company  |
| 05 28-143           | RiverSource Life Insurance Company  |
| 06 28-1046          | RiverSource Life Insurance Company of New York  |
| 10                  | Threadneedle Asset Management Limited   |
| 15                  | Securities America Advisors, Inc.   |

### FORM 13F INFORMATION TABLE

| NAME OF ISSUER                 | TITLE OF CLASS | CUSIP     | VALUE<br>(x\$1000) | SHARES/<br>PRN AMT | SH/<br>PRN | PUT/<br>CALL | INVSTMT<br>DSCRETN | MA   |
|--------------------------------|----------------|-----------|--------------------|--------------------|------------|--------------|--------------------|------|
| -----                          |                |           |                    |                    |            |              |                    |      |
| CORE LABORATORIES N.V.         | COM            | 000020038 | 42                 | 425                | SH         |              | DEFINED            | 01 1 |
| AAON INC                       | COM            | 000360206 | 333                | 14741              | SH         |              | DEFINED            | 01 0 |
| AAR CORP                       | COM            | 000361105 | 2760               | 111157             | SH         |              | DEFINED            | 01 0 |
| ABB LTD-SPON ADR               | COM            | 000375204 | 179807             | 8232803            | SH         |              | DEFINED            | 01 0 |
| ABB LTD-SPON ADR               | COM            | 000375204 | 299                | 13708              | SH         |              | DEFINED            | 01 0 |
| ABB LTD-SPON ADR               | COM            | 000375204 | 416                | 19058              | SH         |              | DEFINED            | 01 1 |
| ACCO BRANDS CORP               | COM            | 00081T108 | 1980               | 258507             | SH         |              | DEFINED            | 01 0 |
| ACCO BRANDS CORP               | COM            | 00081T108 | 2                  | 247                | SH         |              | DEFINED            | 01 1 |
| ADC TELECOMMUNICATIONS INC     | COM            | 000886309 | 11                 | 1480               | SH         |              | DEFINED            | 01 1 |
| VISTAPRINT NV                  | COM            | 000927226 | 71461              | 1248220            | SH         |              | DEFINED            | 01 1 |
| SENSATA TECHNOLOGIES HOLDING   | COM            | 000932490 | 62                 | 3400               | SH         |              | DEFINED            | 01 1 |
| ABM INDUSTRIES INC             | COM            | 000957100 | 985                | 46446              | SH         |              | DEFINED            | 01 0 |
| AFLAC INC                      | COM            | 001055102 | 63195              | 1164006            | SH         |              | DEFINED            | 01 0 |
| AFLAC INC                      | COM            | 001055102 | 1455               | 26802              | SH         |              | DEFINED            | 01 0 |
| AFLAC INC                      | COM            | 001055102 | 742                | 13674              | SH         |              | DEFINED            | 01 1 |
| ELBIT SYSTEMS LTD              | COM            | 001081124 | 23                 | 350                | SH         |              | DEFINED            | 01 1 |
| CHECK POINT SOFTWARE TECH      | COM            | 001082411 | 2248               | 65668              | SH         |              | DEFINED            | 01 1 |
| AGCO CORP                      | COM            | 001084102 | 35206              | 981521             | SH         |              | DEFINED            | 01 0 |
| AGCO CORP                      | COM            | 001084102 | 1                  | 25                 | SH         |              | DEFINED            | 01 1 |
| AGL RES INC                    | COM            | 001204106 | 33                 | 866                | SH         |              | DEFINED            | 01 1 |
| AES CORP                       | COM            | 00130H105 | 84181              | 7652444            | SH         |              | DEFINED            | 01 0 |
| AES CORP                       | COM            | 00130H105 | 521                | 47375              | SH         |              | DEFINED            | 01 0 |
| AES CORP                       | COM            | 00130H105 | 146                | 13232              | SH         |              | DEFINED            | 01 1 |
| AK STEEL HOLDING CORP          | COM            | 001547108 | 13642              | 596692             | SH         |              | DEFINED            | 01 0 |
| AK STEEL HOLDING CORP          | COM            | 001547108 | 299                | 13048              | SH         |              | DEFINED            | 01 0 |
| AK STEEL HOLDING CORP          | COM            | 001547108 | 41                 | 1780               | SH         |              | DEFINED            | 01 1 |
| ALPS ETF TR COHEN & TEERS GLOB | COM            | 00162Q106 | 753                | 23344              | SH         |              | DEFINED            | 01 1 |
| AMB PROPERTY CORP              | COM            | 00163T109 | 6229               | 228683             | SH         |              | DEFINED            | 01 0 |
| AMB PROPERTY CORP              | COM            | 00163T109 | 5                  | 184                | SH         |              | DEFINED            | 01 1 |
| AMAG PHARMACEUTICALS INC       | COM            | 00163U106 | 1960               | 56135              | SH         |              | DEFINED            | 01 0 |
| AMAG PHARMACEUTICALS INC       | COM            | 00163U106 | 1                  | 15                 | SH         |              | DEFINED            | 01 1 |

## Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |          |    |         |    |   |
|-------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| AMN HEALTHCARE SERVICES INC   | COM | 001744101 | 2125   | 241509   | SH | DEFINED | 01 | 0 |
| AMN HEALTHCARE SERVICES INC   | COM | 001744101 | 32     | 3650     | SH | DEFINED | 01 | 1 |
| AMR CORP                      | COM | 001765106 | 30460  | 3343820  | SH | DEFINED | 01 | 0 |
| AMR CORP                      | COM | 001765106 | 54     | 5892     | SH | DEFINED | 01 | 0 |
| AMR CORP                      | COM | 001765106 | 176    | 19286    | SH | DEFINED | 01 | 1 |
| AOL INC                       | COM | 00184X105 | 1447   | 57209    | SH | DEFINED | 01 | 0 |
| AOL INC                       | COM | 00184X105 | 4      | 142      | SH | DEFINED | 01 | 0 |
| AOL INC                       | COM | 00184X105 | 24     | 954      | SH | DEFINED | 01 | 1 |
|                               |     |           |        |          |    |         |    |   |
| FOSTER WHEELER AG             | COM | 001866678 | 29464  | 1086065  | SH | DEFINED | 01 | 1 |
| AP PHARMA INC COM NEW         | COM | 00202J203 | 0      | 100      | SH | DEFINED | 01 | 1 |
| AT&T INC                      | COM | 00206R102 | 453280 | 17541795 | SH | DEFINED | 01 | 0 |
| AT&T INC                      | COM | 00206R102 | 9350   | 361870   | SH | DEFINED | 01 | 0 |
| AT&T INC                      | COM | 00206R102 | 1871   | 72438    | SH | DEFINED | 01 | 1 |
| AT&T INC                      | COM | 00206R102 | 12343  | 477660   | SH | DEFINED | 01 | 1 |
| ATMI INC                      | COM | 00207R101 | 2048   | 106048   | SH | DEFINED | 01 | 0 |
| ATS MEDICAL INC               | COM | 002083103 | 9      | 3455     | SH | DEFINED | 01 | 0 |
| ATS MEDICAL INC               | COM | 002083103 | 1      | 200      | SH | DEFINED | 01 | 1 |
| ATP OIL & GAS CORPORATION     | COM | 00208J108 | 845    | 44901    | SH | DEFINED | 01 | 0 |
| ATP OIL & GAS CORPORATION     | COM | 00208J108 | 114    | 6045     | SH | DEFINED | 01 | 1 |
| ATC TECHNOLOGY CORP           | COM | 00211W104 | 1312   | 76442    | SH | DEFINED | 01 | 0 |
| ARCA BIOPHARMA INC COM        | COM | 00211Y100 | 0      | 25       | SH | DEFINED | 01 | 1 |
| AU OPTRONICS CORP-SPON ADR    | COM | 002255107 | 439    | 38800    | SH | DEFINED | 01 | 0 |
| AMDOCS LTD                    | COM | 002256908 | 2286   | 74927    | SH | DEFINED | 01 | 1 |
| AVI BIOPHARMA INC             | COM | 002346104 | 1      | 1000     | SH | DEFINED | 01 | 1 |
| AZZ INC                       | COM | 002474104 | 533    | 15759    | SH | DEFINED | 01 | 0 |
| AZZ INC                       | COM | 002474104 | 60     | 1625     | SH | DEFINED | 01 | 1 |
| AARON'S INC                   | COM | 002535201 | 12589  | 377600   | SH | DEFINED | 01 | 0 |
| AARON'S INC                   | COM | 002535201 | 67     | 2575     | SH | DEFINED | 01 | 1 |
| AARON'S INC                   | COM | 002535201 | 1      | 23       | SH | DEFINED | 01 | 1 |
| ABAXIS INC                    | COM | 002567105 | 881    | 32396    | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES           | COM | 002824100 | 209726 | 3981064  | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES           | COM | 002824100 | 4867   | 92391    | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES           | COM | 002824100 | 10006  | 195800   | SH | DEFINED | 01 | 1 |
| ABBOTT LABORATORIES           | COM | 002824100 | 3034   | 57587    | SH | DEFINED | 01 | 1 |
| ABERCROMBIE & FITCH CO-CL A   | COM | 002896207 | 42836  | 938570   | SH | DEFINED | 01 | 0 |
| ABERCROMBIE & FITCH CO-CL A   | COM | 002896207 | 223    | 4880     | SH | DEFINED | 01 | 0 |
| ABERCROMBIE & FITCH CO-CL A   | COM | 002896207 | 194    | 4246     | SH | DEFINED | 01 | 1 |
| ABERDEEN ASIA PACIFIC IN      | COM | 003009107 | 161    | 24682    | SH | DEFINED | 01 | 1 |
| ABERDEEN AUSTRALIA EQUITY FD  | COM | 003011103 | 18     | 1500     | SH | DEFINED | 01 | 1 |
|                               |     |           |        |          |    |         |    |   |
| ABERDEEN GLOBAL INCOME FD     | COM | 003013109 | 9      | 800      | SH | DEFINED | 01 | 1 |
| NOBLE CORP                    | COM | 003334731 | 3166   | 75676    | SH | DEFINED | 01 | 1 |
| ABIOMED INC                   | COM | 003654100 | 2      | 200      | SH | DEFINED | 01 | 1 |
| ABRAXIS BIOSCIENCE INC NEW CO | COM | 00383Y102 | 2      | 43       | SH | DEFINED | 01 | 1 |
| MILLICOM INTL CELLULAR S.A.   | COM | 003870570 | 13531  | 151770   | SH | DEFINED | 01 | 1 |
| WEATHERFORD INTL LTD          | COM | 003883839 | 68239  | 4308016  | SH | DEFINED | 01 | 1 |
| ACADIA REALTY TRUST           | COM | 004239109 | 3764   | 210750   | SH | DEFINED | 01 | 0 |
| ACADIA REALTY TRUST           | COM | 004239109 | 0      | 21       | SH | DEFINED | 01 | 1 |
| ACCURAY INC DEL COM           | COM | 004397105 | 24     | 4000     | SH | DEFINED | 01 | 1 |
| ACERGY S.A. SPONS ADS REP 1   | COM | 00443E104 | 2      | 124      | SH | DEFINED | 01 | 1 |
| ACETO CORP                    | COM | 004446100 | 24     | 3940     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ACI WORLDWIDE INC              | COM | 004498101 | 4      | 180     | SH | DEFINED | 01 | 1 |
| ACME PACKET INC                | COM | 004764106 | 482    | 25000   | SH | DEFINED | 01 | 0 |
| ACME PACKET INC                | COM | 004764106 | 22     | 1164    | SH | DEFINED | 01 | 0 |
| ACME PACKET INC                | COM | 004764106 | 5      | 250     | SH | DEFINED | 01 | 1 |
| TRANSOCEAN LTD                 | COM | 004826551 | 2073   | 24000   | SH | DEFINED | 01 | 1 |
| ACORDA THERAPEUTICS INC CDT    | COM | 00484M106 | 3      | 100     | SH | DEFINED | 01 | 1 |
| ACTEL CORP                     | COM | 004934105 | 238    | 17177   | SH | DEFINED | 01 | 0 |
| ACTIVIDENTITY CORP COM         | COM | 00506P103 | 0      | 10      | SH | DEFINED | 01 | 1 |
| ACTIVISION BLIZZARD INC        | COM | 00507V109 | 111848 | 9274222 | SH | DEFINED | 01 | 0 |
| ACTIVISION BLIZZARD INC        | COM | 00507V109 | 112    | 9320    | SH | DEFINED | 01 | 0 |
| ACTIVISION BLIZZARD INC        | COM | 00507V109 | 305    | 25500   | SH | DEFINED | 01 | 1 |
| ACTIVISION BLIZZARD INC        | COM | 00507V109 | 1243   | 103125  | SH | DEFINED | 01 | 1 |
| ACTUANT CORP-CL A              | COM | 00508X203 | 3424   | 175105  | SH | DEFINED | 01 | 0 |
| ACTUANT CORP-CL A              | COM | 00508X203 | 0      | 17      | SH | DEFINED | 01 | 1 |
| ACUITY BRANDS INC              | COM | 00508Y102 | 1789   | 42373   | SH | DEFINED | 01 | 0 |
| ACXIOM CORP                    | COM | 005125109 | 25     | 1400    | SH | DEFINED | 01 | 1 |
| ADA ES INC COM                 | COM | 005208103 | 10     | 1300    | SH | DEFINED | 01 | 1 |
| ADAMS EXPRESS COMPANY          | COM | 006212104 | 27     | 2577    | SH | DEFINED | 01 | 1 |
| ADAMS GOLF INC COM NEW         | COM | 006228209 | 191    | 58804   | SH | DEFINED | 01 | 1 |
| ADAPTEC INC                    | COM | 00651F108 | 320    | 97736   | SH | DEFINED | 01 | 0 |
| ADAPTEC INC                    | COM | 00651F108 | 1      | 200     | SH | DEFINED | 01 | 1 |
| ADMINISTAFF INC                | COM | 007094105 | 8221   | 385320  | SH | DEFINED | 01 | 0 |
| ADMINISTAFF INC                | COM | 007094105 | 62     | 2900    | SH | DEFINED | 01 | 1 |
| ADOBE SYSTEMS INC              | COM | 00724F101 | 29127  | 823491  | SH | DEFINED | 01 | 0 |
| ADOBE SYSTEMS INC              | COM | 00724F101 | 1154   | 32628   | SH | DEFINED | 01 | 0 |
| ADOBE SYSTEMS INC              | COM | 00724F101 | 8837   | 251000  | SH | DEFINED | 01 | 1 |
| ADOBE SYSTEMS INC              | COM | 00724F101 | 416    | 11774   | SH | DEFINED | 01 | 1 |
| ADTRAN INC                     | COM | 00738A106 | 7569   | 287250  | SH | DEFINED | 01 | 0 |
| ADVANCE AMERICA CASH ADVANCE   | COM | 00739W107 | 386    | 66464   | SH | DEFINED | 01 | 0 |
| ADVANCE AUTO PARTS INC         | COM | 00751Y106 | 936    | 22336   | SH | DEFINED | 01 | 0 |
| ADVANCE AUTO PARTS INC         | COM | 00751Y106 | 5      | 123     | SH | DEFINED | 01 | 1 |
| ADVANCED BATTERY TECHNOLOGI    | COM | 00752H102 | 2      | 600     | SH | DEFINED | 01 | 1 |
| ADVANCED ANALOGIC TECHNOLOGI   | COM | 00752J108 | 1351   | 387300  | SH | DEFINED | 01 | 0 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM | 00756M404 | 7996   | 1765100 | SH | DEFINED | 01 | 0 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM | 00756M404 | 62     | 13700   | SH | DEFINED | 01 | 0 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM | 00756M404 | 281    | 65300   | SH | DEFINED | 01 | 1 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM | 00756M404 | 10     | 2180    | SH | DEFINED | 01 | 1 |
| ADVANSTAR COMMUNICATIONS INC   | COM | 00758R104 | 211    | 18911   | SH | DEFINED | 01 | 0 |
| ADVENT CLAYMORE CONV SECS      | COM | 00764C109 | 189    | 11249   | SH | DEFINED | 01 | 1 |
| ADVENTRX PHARMACEUT            | COM | 00764X103 | 0      | 100     | SH | DEFINED | 01 | 1 |
| ADVANTAGE OIL & GAS LTD COM NP | COM | 00765F101 | 87     | 12843   | SH | DEFINED | 01 | 1 |
| AECOM TECHNOLOGY CORP DELAW    | COM | 00766T100 | 970    | 34188   | SH | DEFINED | 01 | 1 |
| AEROCENTURY CORP               | COM | 007737109 | 2      | 91      | SH | DEFINED | 01 | 1 |
| AEROPOSTALE INC                | COM | 007865108 | 6084   | 211045  | SH | DEFINED | 01 | 0 |
| AEROPOSTALE INC                | COM | 007865108 | 57     | 1972    | SH | DEFINED | 01 | 1 |
| ADVANCED MICRO DEVICES         | COM | 007903107 | 4593   | 495591  | SH | DEFINED | 01 | 0 |
| ADVANCED MICRO DEVICES         | COM | 007903107 | 388    | 41833   | SH | DEFINED | 01 | 0 |
| ADVANCED MICRO DEVICES         | COM | 007903107 | 4101   | 443338  | SH | DEFINED | 01 | 1 |
| ADVANCED MICRO DEVICES         | COM | 007903107 | 662    | 71382   | SH | DEFINED | 01 | 1 |
| AEGON NV AMER REGD CERT(1 SH   | COM | 007924103 | 74     | 10856   | SH | DEFINED | 01 | 1 |
| ADVANCED ENVIRONMTL RECYCLING  | COM | 007947104 | 1      | 1500    | SH | DEFINED | 01 | 1 |
| ADVANCED ENERGY INDUSTRIES     | COM | 007973100 | 436    | 26325   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ADVANCED ENERGY INDUSTRIES   | COM | 007973100 | 23     | 1398    | SH | DEFINED | 01 | 0 |
| ADVENT SOFTWARE INC          | COM | 007974108 | 2      | 40      | SH | DEFINED | 01 | 1 |
| AEROVIRONMENT INC            | COM | 008073108 | 1379   | 52841   | SH | DEFINED | 01 | 0 |
| AEROVIRONMENT INC            | COM | 008073108 | 9      | 350     | SH | DEFINED | 01 | 1 |
| AETNA INC                    | COM | 00817Y108 | 32567  | 927552  | SH | DEFINED | 01 | 0 |
| AETNA INC                    | COM | 00817Y108 | 2761   | 78635   | SH | DEFINED | 01 | 0 |
| AETNA INC                    | COM | 00817Y108 | 953    | 27139   | SH | DEFINED | 01 | 0 |
| AETNA INC                    | COM | 00817Y108 | 9171   | 261280  | SH | DEFINED | 01 | 1 |
| AETNA INC                    | COM | 00817Y108 | 568    | 16183   | SH | DEFINED | 01 | 1 |
| AFFILIATED MANAGERS GROUP    | COM | 008252108 | 10683  | 135239  | SH | DEFINED | 01 | 0 |
| AFFILIATED MANAGERS GROUP    | COM | 008252108 | 110    | 1394    | SH | DEFINED | 01 | 0 |
| AFFILIATED MANAGERS GROUP    | COM | 008252108 | 7696   | 97656   | SH | DEFINED | 01 | 1 |
| AFFILIATED MANAGERS GROUP    | COM | 008252108 | 1206   | 15269   | SH | DEFINED | 01 | 1 |
| AFFYMETRIX INC               | COM | 00826T108 | 2425   | 330400  | SH | DEFINED | 01 | 0 |
| AFFYMETRIX INC               | COM | 00826T108 | 38     | 5150    | SH | DEFINED | 01 | 1 |
| AGA MEDICAL HOLDINGS INC     | COM | 008368102 | 655    | 40375   | SH | DEFINED | 01 | 0 |
| AGFEED INDS INC COM          | COM | 00846L101 | 4      | 980     | SH | DEFINED | 01 | 1 |
| AGILENT TECHNOLOGIES INC     | COM | 00846U101 | 102333 | 2975622 | SH | DEFINED | 01 | 0 |
| AGILENT TECHNOLOGIES INC     | COM | 00846U101 | 895    | 26020   | SH | DEFINED | 01 | 0 |
| AGILENT TECHNOLOGIES INC     | COM | 00846U101 | 134    | 3891    | SH | DEFINED | 01 | 1 |
| AGNICO-EAGLE MINES LTD       | COM | 008474108 | 7710   | 138498  | SH | DEFINED | 01 | 0 |
| AGNICO-EAGLE MINES LTD       | COM | 008474108 | 306    | 5494    | SH | DEFINED | 01 | 1 |
| AGILYSYS INC                 | COM | 00847J105 | 154    | 13776   | SH | DEFINED | 01 | 0 |
| AGILYSYS INC                 | COM | 00847J105 | 6      | 500     | SH | DEFINED | 01 | 1 |
| AGRIUM INC                   | COM | 008916108 | 30155  | 426955  | SH | DEFINED | 01 | 0 |
| AGRIUM INC                   | COM | 008916108 | 165    | 2337    | SH | DEFINED | 01 | 1 |
| AIR FRANCE-KLM-ADR           | COM | 009119108 | 6834   | 434420  | SH | DEFINED | 01 | 0 |
| AIR METHODS CORP             | COM | 009128307 | 3446   | 101330  | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 79772  | 1078745 | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 1134   | 15345   | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 369    | 4992    | SH | DEFINED | 01 | 1 |
| AIR TRANSPORT SERVICES GROUP | COM | 00922R105 | 262    | 77690   | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 117    | 1845    | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 198    | 3105    | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 54     | 1200    | SH | DEFINED | 01 | 1 |
| AIRGAS INC                   | COM | 009363102 | 41     | 643     | SH | DEFINED | 01 | 1 |
| AIRTRAN HOLDINGS INC         | COM | 00949P108 | 3      | 553     | SH | DEFINED | 01 | 1 |
| AIRVANA INC                  | COM | 00950V101 | 182    | 23721   | SH | DEFINED | 01 | 0 |
| AIXTRON AG- SPONSORED ADR    | COM | 009606104 | 18     | 510     | SH | DEFINED | 01 | 1 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 3976   | 126620  | SH | DEFINED | 01 | 0 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 264    | 8385    | SH | DEFINED | 01 | 0 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 39     | 1175    | SH | DEFINED | 01 | 1 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 353    | 11245   | SH | DEFINED | 01 | 1 |
| AKEENA SOLAR INC             | COM | 009720103 | 7      | 6418    | SH | DEFINED | 01 | 0 |
| AKEENA SOLAR INC             | COM | 009720103 | 1      | 500     | SH | DEFINED | 01 | 1 |
| COVIDIEN PLC                 | COM | 00B3QN1M2 | 113142 | 2252428 | SH | DEFINED | 01 | 1 |
| COOPER INDUSTRIES PLC -CL A  | COM | 00B40K911 | 32480  | 677808  | SH | DEFINED | 01 | 1 |
| ACCENTURE PLC                | COM | 00B4BNMY3 | 125071 | 2983537 | SH | DEFINED | 01 | 1 |
| INGERSOLL-RAND PLC           | COM | 00B633030 | 107781 | 3093562 | SH | DEFINED | 01 | 1 |
| TYCO ELECTRONICS LTD         | COM | 010299318 | 17897  | 651267  | SH | DEFINED | 01 | 1 |
| ALASKA AIR GROUP INC         | COM | 011659109 | 1071   | 25976   | SH | DEFINED | 01 | 0 |
| ALASKA AIR GROUP INC         | COM | 011659109 | 0      | 10      | SH | DEFINED | 01 | 1 |
| ALASKA COMM SYS GRP INC      | COM | 01167P101 | 164    | 20172   | SH | DEFINED | 01 | 1 |
| ALBANY INTL CORP-CL A        | COM | 012348108 | 2801   | 130082  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ALBANY MOLECULAR RESEARCH     | COM | 012423109 | 483    | 57835   | SH | DEFINED | 01 | 1 |
| ALBEMARLE CORP                | COM | 012653101 | 1      | 30      | SH | DEFINED | 01 | 1 |
| ALBERTO-CULVER CO             | COM | 013078100 | 1563   | 59741   | SH | DEFINED | 01 | 0 |
| ALBERTO-CULVER CO             | COM | 013078100 | 3731   | 142846  | SH | DEFINED | 01 | 1 |
| ALBERTO-CULVER CO             | COM | 013078100 | 223    | 8539    | SH | DEFINED | 01 | 1 |
| ALCOA INC                     | COM | 013817101 | 106513 | 7480048 | SH | DEFINED | 01 | 0 |
| ALCOA INC                     | COM | 013817101 | 1305   | 91607   | SH | DEFINED | 01 | 0 |
| ALCOA INC                     | COM | 013817101 | 523    | 36712   | SH | DEFINED | 01 | 1 |
| ALCATEL-LUCENT SPON ADR REP 1 | COM | 013904305 | 130    | 41759   | SH | DEFINED | 01 | 1 |
|                               |     |           |        |         |    |         |    |   |
| ALEXANDER & BALDWIN INC       | COM | 014482103 | 20     | 600     | SH | DEFINED | 01 | 1 |
| ALEXANDERS INC COM            | COM | 014752109 | 3      | 10      | SH | DEFINED | 01 | 1 |
| ALEXANDRIA REAL ESTATE EQUIT  | COM | 015271109 | 4232   | 62613   | SH | DEFINED | 01 | 0 |
| ALEXANDRIA REAL ESTATE EQUIT  | COM | 015271109 | 1      | 16      | SH | DEFINED | 01 | 1 |
| ALEXION PHARMACEUTICALS INC   | COM | 015351109 | 7091   | 130395  | SH | DEFINED | 01 | 0 |
| ALEXION PHARMACEUTICALS INC   | COM | 015351109 | 98     | 1798    | SH | DEFINED | 01 | 0 |
| ALEXION PHARMACEUTICALS INC   | COM | 015351109 | 122    | 2240    | SH | DEFINED | 01 | 1 |
| ALEXZA PHARMACEUT             | COM | 015384100 | 3      | 1000    | SH | DEFINED | 01 | 1 |
| ALIGN TECHNOLOGY INC          | COM | 016255101 | 1075   | 55567   | SH | DEFINED | 01 | 0 |
| ALIGN TECHNOLOGY INC          | COM | 016255101 | 11     | 562     | SH | DEFINED | 01 | 1 |
| ALKERMES INC                  | COM | 01642T108 | 26     | 1973    | SH | DEFINED | 01 | 0 |
| ALKERMES INC                  | COM | 01642T108 | 94     | 7270    | SH | DEFINED | 01 | 1 |
| ALLEGHANY CORP DEL            | COM | 017175100 | 15     | 52      | SH | DEFINED | 01 | 1 |
| ALLEGHENY ENERGY INC          | COM | 017361106 | 26332  | 1144886 | SH | DEFINED | 01 | 0 |
| ALLEGHENY ENERGY INC          | COM | 017361106 | 120    | 5233    | SH | DEFINED | 01 | 0 |
| ALLEGHENY ENERGY INC          | COM | 017361106 | 258    | 11201   | SH | DEFINED | 01 | 1 |
| ALLEGHENY TECHNOLOGIES INC    | COM | 01741R102 | 24314  | 450343  | SH | DEFINED | 01 | 0 |
| ALLEGHENY TECHNOLOGIES INC    | COM | 01741R102 | 584    | 10811   | SH | DEFINED | 01 | 0 |
| ALLEGHENY TECHNOLOGIES INC    | COM | 01741R102 | 73     | 1348    | SH | DEFINED | 01 | 1 |
| ALLEGIAN T TRAVEL CO          | COM | 01748X102 | 1728   | 29859   | SH | DEFINED | 01 | 0 |
| TELVENT GIT SA                | COM | 017849503 | 59     | 1900    | SH | DEFINED | 01 | 1 |
| ALLERGAN INC                  | COM | 018490102 | 550    | 8420    | SH | DEFINED | 01 | 0 |
| ALLERGAN INC                  | COM | 018490102 | 936    | 14329   | SH | DEFINED | 01 | 0 |
| ALLERGAN INC                  | COM | 018490102 | 175    | 2671    | SH | DEFINED | 01 | 1 |
| ALLETE INC                    | COM | 018522300 | 940    | 28080   | SH | DEFINED | 01 | 0 |
| ALLETE INC                    | COM | 018522300 | 8      | 250     | SH | DEFINED | 01 | 1 |
| ALLIANCE CALIF MUN INCOME FD  | COM | 018546101 | 89     | 6848    | SH | DEFINED | 01 | 1 |
| ALLIANCE DATA SYSTEMS CORP    | COM | 018581108 | 25684  | 401370  | SH | DEFINED | 01 | 0 |
| ALLIANCE DATA SYSTEMS CORP    | COM | 018581108 | 35     | 550     | SH | DEFINED | 01 | 0 |
| ALLIANCE DATA SYSTEMS CORP    | COM | 018581108 | 345    | 5500    | SH | DEFINED | 01 | 1 |
| ALLIANCE DATA SYSTEMS CORP    | COM | 018581108 | 6      | 90      | SH | DEFINED | 01 | 1 |
| ALLIANCE HEALTHCARE SERVICE   | COM | 018606202 | 28     | 5009    | SH | DEFINED | 01 | 0 |
|                               |     |           |        |         |    |         |    |   |
| ALLIANCE HLDGS GP LP COM UNI  | COM | 01861G100 | 16     | 500     | SH | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN NATL MUN I  | COM | 01864U106 | 11     | 800     | SH | DEFINED | 01 | 1 |
| ALLIANCE NY MUN INCOME FD     | COM | 018714105 | 50     | 3624    | SH | DEFINED | 01 | 1 |
| ALLIANCE ONE INTERNATIONAL    | COM | 018772103 | 991    | 194797  | SH | DEFINED | 01 | 0 |
| ALLIANCE RESOURCE PARTNERS L  | COM | 01877R108 | 248    | 5909    | SH | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN GLOBAL HIG  | COM | 01879R106 | 304    | 21382   | SH | DEFINED | 01 | 1 |
| ALLIANT ENERGY CORP           | COM | 018802108 | 72     | 2170    | SH | DEFINED | 01 | 0 |
| ALLIANT ENERGY CORP           | COM | 018802108 | 168    | 5064    | SH | DEFINED | 01 | 1 |
| ALLIANT TECHSYSTEMS INC       | COM | 018804104 | 595    | 7321    | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ALLIANT TECHSYSTEMS INC       | COM | 018804104 | 531    | 6534    | SH | DEFINED | 01 | 1 |
| ALLIANZ SE ADR EACHREP 1/10 O | COM | 018805101 | 201    | 15995   | SH | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN INCOME FD   | COM | 01881E101 | 2503   | 307502  | SH | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN HOLDING LP  | LP  | 01881G106 | 397    | 12957   | SH | DEFINED | 01 | 0 |
| ALLIANCEBERNSTEIN HOLDING LP  | LP  | 01881G106 | 1215   | 39696   | SH | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN HOLDING LP  | LP  | 01881G106 | 356    | 11597   | SH | DEFINED | 01 | 1 |
| ALLIED CAPITAL CORP           | COM | 01903Q108 | 104    | 20956   | SH | DEFINED | 01 | 1 |
| ALLIED IRISH BANKS ADR(CNV TO | COM | 019228402 | 160    | 49649   | SH | DEFINED | 01 | 1 |
| ALLIED HEALTHCARE INTL INC    | COM | 01923A109 | 44     | 16107   | SH | DEFINED | 01 | 0 |
| ALLIED NEVADA GOLD CORP COM S | COM | 019344100 | 18     | 1100    | SH | DEFINED | 01 | 1 |
| ALLIED NEVADA GOLD CORP       | COM | 019344993 | 2428   | 146736  | SH | DEFINED | 01 | 0 |
| ALLOS THERAPEUTICS INC        | COM | 019777101 | 2049   | 275704  | SH | DEFINED | 01 | 0 |
| ALLOS THERAPEUTICS INC        | COM | 019777101 | 26     | 3500    | SH | DEFINED | 01 | 1 |
| ALLSCRIPTS-MISYS HEALTHCARE   | COM | 01988P108 | 3744   | 191404  | SH | DEFINED | 01 | 0 |
| ALLSCRIPTS-MISYS HEALTHCARE   | COM | 01988P108 | 32     | 1630    | SH | DEFINED | 01 | 1 |
| ALLSTATE CORP                 | COM | 020002101 | 104688 | 3240069 | SH | DEFINED | 01 | 0 |
| ALLSTATE CORP                 | COM | 020002101 | 1210   | 37442   | SH | DEFINED | 01 | 0 |
| ALLSTATE CORP                 | COM | 020002101 | 722    | 22338   | SH | DEFINED | 01 | 1 |
| ALMOST FAMILY INC             | COM | 020409108 | 327    | 8664    | SH | DEFINED | 01 | 0 |
| ALMOST FAMILY INC             | COM | 020409108 | 22     | 575     | SH | DEFINED | 01 | 1 |
| ALNYLAM PHARMACEUT            | COM | 02043Q107 | 667    | 39169   | SH | DEFINED | 01 | 1 |
| ALPHA NATURAL RESOURCES INC   | COM | 02076X102 | 32191  | 645233  | SH | DEFINED | 01 | 0 |
| ALPHA NATURAL RESOURCES INC   | COM | 02076X102 | 83     | 1666    | SH | DEFINED | 01 | 0 |
| ALPHA NATURAL RESOURCES INC   | COM | 02076X102 | 5      | 95      | SH | DEFINED | 01 | 1 |
| ALPHA PRO TECH LTD            | COM | 020772109 | 1      | 500     | SH | DEFINED | 01 | 1 |
| ALPINE GLOBAL DYNAMIC DI      | COM | 02082E106 | 125    | 11937   | SH | DEFINED | 01 | 1 |
| ALPINE GLOBAL PREMIER PP      | COM | 02083A103 | 45     | 6870    | SH | DEFINED | 01 | 1 |
| ALPINE TOTAL DYNAMICDIVID FD  | COM | 021060108 | 39     | 4337    | SH | DEFINED | 01 | 1 |
| ALTAIR NANOTECHNO             | COM | 021373105 | 25     | 34900   | SH | DEFINED | 01 | 1 |
| ALTERA CORPORATION            | COM | 021441100 | 8137   | 334719  | SH | DEFINED | 01 | 0 |
| ALTERA CORPORATION            | COM | 021441100 | 422    | 17369   | SH | DEFINED | 01 | 0 |
| ALTERA CORPORATION            | COM | 021441100 | 7      | 275     | SH | DEFINED | 01 | 1 |
| ALTRA HOLDINGS INC            | COM | 02208R106 | 1656   | 120641  | SH | DEFINED | 01 | 0 |
| ALTRIA GROUP INC              | COM | 02209S103 | 85998  | 4190912 | SH | DEFINED | 01 | 0 |
| ALTRIA GROUP INC              | COM | 02209S103 | 2641   | 128686  | SH | DEFINED | 01 | 0 |
| ALTRIA GROUP INC              | COM | 02209S103 | 143118 | 6981432 | SH | DEFINED | 01 | 1 |
| ALTRIA GROUP INC              | COM | 02209S103 | 2632   | 128278  | SH | DEFINED | 01 | 1 |
| ALUMINUM CORP OF CHINA-ADR    | COM | 022276109 | 180    | 7000    | SH | DEFINED | 01 | 0 |
| ALUMINUM CORP OF CHINA-ADR    | COM | 022276109 | 745    | 28940   | SH | DEFINED | 01 | 1 |
| AMARANTH PARTNRS LLC          | LP  | 023025992 | 769    | 548049  | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC                | COM | 023135106 | 28292  | 208441  | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC                | COM | 023135106 | 2461   | 18129   | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC                | COM | 023135106 | 204    | 1500    | SH | DEFINED | 01 | 1 |
| AMAZON.COM INC                | COM | 023135106 | 611    | 4498    | SH | DEFINED | 01 | 1 |
| AMBAC FINANCIAL GROUP INC     | COM | 023139108 | 0      | 44      | SH | DEFINED | 01 | 0 |
| AMBAC FINANCIAL GROUP INC     | COM | 023139108 | 9      | 16667   | SH | DEFINED | 01 | 1 |
| AMCOL INTERNATIONAL CORP      | COM | 02341W103 | 600    | 22044   | SH | DEFINED | 01 | 0 |
| AMEDISYS INC                  | COM | 023436108 | 4675   | 84657   | SH | DEFINED | 01 | 0 |
| AMERCO                        | COM | 023586100 | 3570   | 65759   | SH | DEFINED | 01 | 0 |
| AMEREN CORPORATION            | COM | 023608102 | 5145   | 197299  | SH | DEFINED | 01 | 0 |
| AMEREN CORPORATION            | COM | 023608102 | 509    | 19528   | SH | DEFINED | 01 | 0 |
| AMEREN CORPORATION            | COM | 023608102 | 1303   | 50000   | SH | DEFINED | 01 | 1 |
| AMEREN CORPORATION            | COM | 023608102 | 255    | 9796    | SH | DEFINED | 01 | 1 |
| AMER FIRST TAX EX INVESTO     | COM | 02364V107 | 6      | 1005    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |     |           |        |         |    |         |    |   |
|------------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| AMERICA MOVIL-ADR SERIES L         | COM | 02364W105 | 465    | 9245    | SH | DEFINED | 01 | 0 |
| AMERICA MOVIL-ADR SERIES L         | COM | 02364W105 | 30570  | 607260  | SH | DEFINED | 01 | 0 |
| AMERICA MOVIL-ADR SERIES L         | COM | 02364W105 | 152607 | 3034580 | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL-ADR SERIES L         | COM | 02364W105 | 976    | 19393   | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL SAB DECV ADR EAC     | COM | 02364W204 | 38     | 750     | SH | DEFINED | 01 | 1 |
| AMCORE FINL INC                    | COM | 023912108 | 7      | 15450   | SH | DEFINED | 01 | 1 |
| AMERICAN AXLE & MFG HOLDINGS       | COM | 024061103 | 13605  | 1363200 | SH | DEFINED | 01 | 0 |
| AMERICAN CAMPUS COMMUNITIES        | COM | 024835100 | 2453   | 88700   | SH | DEFINED | 01 | 0 |
| AMERICAN CAMPUS COMMUNITIES        | COM | 024835100 | 7      | 239     | SH | DEFINED | 01 | 1 |
| AMERICAN CAPITAL AGENCY CORP       | COM | 02503X105 | 529    | 20631   | SH | DEFINED | 01 | 0 |
| AMERICAN CAPITAL AGENCY CORP       | COM | 02503X105 | 58     | 2350    | SH | DEFINED | 01 | 1 |
| AMERICAN CAPITAL AGENCY CORP       | COM | 02503X105 | 231    | 9020    | SH | DEFINED | 01 | 1 |
| AMERICAN CAPITAL LTD               | COM | 02503Y103 | 2440   | 480310  | SH | DEFINED | 01 | 0 |
| AMERICAN CAPITAL LTD               | COM | 02503Y103 | 181    | 35635   | SH | DEFINED | 01 | 1 |
| AMERICAN DAIRY INC                 | COM | 025334103 | 4      | 200     | SH | DEFINED | 01 | 1 |
| AMERICAN ELECTRIC POWER            | COM | 025537101 | 31018  | 907449  | SH | DEFINED | 01 | 0 |
| AMERICAN ELECTRIC POWER            | COM | 025537101 | 857    | 25067   | SH | DEFINED | 01 | 0 |
| AMERICAN ELECTRIC POWER            | COM | 025537101 | 547    | 16011   | SH | DEFINED | 01 | 1 |
| AMERICAN EAGLE OUTFITTERS          | COM | 02553E106 | 25181  | 1359666 | SH | DEFINED | 01 | 0 |
| AMERICAN EAGLE OUTFITTERS          | COM | 02553E106 | 180    | 9741    | SH | DEFINED | 01 | 0 |
| AMERICAN EAGLE OUTFITTERS          | COM | 02553E106 | 18     | 990     | SH | DEFINED | 01 | 1 |
| AMERICAN EQUITY INVT LIFE HL       | COM | 025676206 | 5254   | 493318  | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO                | COM | 025816109 | 230222 | 5579797 | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO                | COM | 025816109 | 2884   | 69908   | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO                | COM | 025816109 | 159    | 3860    | SH | DEFINED | 01 | 1 |
| AMERICAN EXPRESS CO                | COM | 025816109 | 1231   | 29830   | SH | DEFINED | 01 | 1 |
| AMERICAN FINANCIAL GROUP INC       | COM | 025932104 | 857    | 30119   | SH | DEFINED | 01 | 0 |
| AMERICAN FINANCIAL GROUP INC       | COM | 025932104 | 2      | 84      | SH | DEFINED | 01 | 1 |
| AMERICAN GREETINGS CORP-CL A       | COM | 026375105 | 831    | 39838   | SH | DEFINED | 01 | 0 |
| AMERICAN GREETINGS CORP-CL A       | COM | 026375105 | 11     | 506     | SH | DEFINED | 01 | 1 |
| AMERICAN INCOME FD INC             | COM | 02672T109 | 42     | 5045    | SH | DEFINED | 01 | 1 |
| AMERICAN INTL GROUP INC CORP U PRF |     | 026874115 | 20     | 2000    | SH | DEFINED | 01 | 1 |
| AMERICAN INTERNATIONAL GROUP       | COM | 026874784 | 3521   | 103118  | SH | DEFINED | 01 | 0 |
| AMERICAN INTERNATIONAL GROUP       | COM | 026874784 | 469    | 13750   | SH | DEFINED | 01 | 0 |
| AMERICAN INTERNATIONAL GROUP       | COM | 026874784 | 168    | 4934    | SH | DEFINED | 01 | 1 |
| AMERICAN ITALIAN PASTA CO-A        | COM | 027070101 | 418    | 10765   | SH | DEFINED | 01 | 0 |
| AMERICAN ITALIAN PASTA CO-A        | COM | 027070101 | 2      | 40      | SH | DEFINED | 01 | 1 |
| AMERICAN MEDICAL SYS HLDGS         | COM | 02744M108 | 6534   | 351638  | SH | DEFINED | 01 | 0 |
| AMERICAN MEDICAL SYS HLDGS         | COM | 02744M108 | 7      | 400     | SH | DEFINED | 01 | 1 |
| AMERICAN MUN INC PORTFOLIO         | COM | 027649102 | 7      | 467     | SH | DEFINED | 01 | 1 |
| AMERICAN NATIONAL INSURANCE        | COM | 028591105 | 9507   | 83726   | SH | DEFINED | 01 | 0 |
| AMERICAN ORIENTAL BIOENGINEER      | COM | 028731107 | 8      | 1900    | SH | DEFINED | 01 | 1 |
| AMERICAN PHYSICIANS SVC GP         | COM | 028882108 | 73     | 2924    | SH | DEFINED | 01 | 0 |
| AMERICAN PHYSICIANS CAP INC        | COM | 028884104 | 798    | 24968   | SH | DEFINED | 01 | 0 |
| AMERICAN PUBLIC EDUCATION          | COM | 02913V103 | 695    | 14909   | SH | DEFINED | 01 | 0 |
| AMERICAN SCIENCE & ENGINEERI       | COM | 029429107 | 578    | 7711    | SH | DEFINED | 01 | 0 |
| AMERICAN SCIENCE & ENGINEERI       | COM | 029429107 | 4      | 50      | SH | DEFINED | 01 | 1 |
| AMERICAN SELECT PORTFOLIO          | COM | 029570108 | 297    | 24850   | SH | DEFINED | 01 | 1 |
| AMERICAN STATES WATER CO           | COM | 029899101 | 456    | 13145   | SH | DEFINED | 01 | 0 |
| AMERICAN STATES WATER CO           | COM | 029899101 | 5      | 150     | SH | DEFINED | 01 | 1 |
| AMERICAN TOWER CORP-CL A           | COM | 029912201 | 9317   | 218650  | SH | DEFINED | 01 | 0 |
| AMERICAN TOWER CORP-CL A           | COM | 029912201 | 3778   | 88656   | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| AMERICAN TOWER CORP-CL A      | COM | 029912201 | 1226   | 28777   | SH | DEFINED | 01 | 0 |
| AMERICAN TOWER CORP-CL A      | COM | 029912201 | 96264  | 2261873 | SH | DEFINED | 01 | 1 |
| AMERICAN TOWER CORP-CL A      | COM | 029912201 | 256    | 6008    | SH | DEFINED | 01 | 1 |
| AMERICAN STRATEGIC INCOME POR | COM | 030099105 | 63     | 6125    | SH | DEFINED | 01 | 1 |
| AMERICAN STRATEGIC INC PORTFO | COM | 03009T101 | 71     | 7628    | SH | DEFINED | 01 | 1 |
| AMERICAN SUPERCONDUCTOR CORP  | COM | 030111108 | 63     | 1850    | SH | DEFINED | 01 | 1 |
| AMERICAN SUPERCONDUCTOR CORP  | COM | 030111108 | 26     | 904     | SH | DEFINED | 01 | 1 |
| AMERICAN VANGUARD CORP        | COM | 030371108 | 103    | 12614   | SH | DEFINED | 01 | 0 |
| AMERICAN WATER WORKS CO INC   | COM | 030420103 | 13     | 600     | SH | DEFINED | 01 | 0 |
| AMERICAN WATER WORKS CO INC   | COM | 030420103 | 14     | 630     | SH | DEFINED | 01 | 1 |
| AMERICREDIT CORP              | COM | 03060R101 | 272    | 11438   | SH | DEFINED | 01 | 0 |
| AMERICA'S CAR-MART INC        | COM | 03062T105 | 83     | 3439    | SH | DEFINED | 01 | 0 |
| AMERICA'S CAR-MART INC        | COM | 03062T105 | 5      | 210     | SH | DEFINED | 01 | 1 |
| AMERIGON INC                  | COM | 03070L300 | 354    | 35006   | SH | DEFINED | 01 | 0 |
| AMERISTAR CASINOS INC         | COM | 03070Q101 | 6132   | 336500  | SH | DEFINED | 01 | 0 |
| AMERON INTERNATIONAL CORP     | COM | 030710107 | 1622   | 25790   | SH | DEFINED | 01 | 0 |
| AMERON INTERNATIONAL CORP     | COM | 030710107 | 8      | 120     | SH | DEFINED | 01 | 1 |
| AMERISAFE INC                 | COM | 03071H100 | 975    | 59511   | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM | 03073E105 | 20370  | 704319  | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM | 03073E105 | 439    | 15172   | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM | 03073E105 | 24     | 814     | SH | DEFINED | 01 | 1 |
| AMERIGROUP CORP               | COM | 03073T102 | 9866   | 296816  | SH | DEFINED | 01 | 0 |
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 486    | 10702   | SH | DEFINED | 01 | 0 |
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 785    | 17317   | SH | DEFINED | 01 | 0 |
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 1341   | 29554   | SH | DEFINED | 01 | 1 |
| AMERIS BANCORP COM            | COM | 03076K108 | 25     | 2778    | SH | DEFINED | 01 | 1 |
| AMERIGAS PARTNERS LPUTS RPSTG | COM | 030975106 | 120    | 3001    | SH | DEFINED | 01 | 1 |
| AMETEK INC                    | COM | 031100100 | 2025   | 48845   | SH | DEFINED | 01 | 0 |
| AMETEK INC                    | COM | 031100100 | 4397   | 106046  | SH | DEFINED | 01 | 1 |
| AMETEK INC                    | COM | 031100100 | 79     | 1909    | SH | DEFINED | 01 | 1 |
| AMGEN INC                     | COM | 031162100 | 111774 | 1870417 | SH | DEFINED | 01 | 0 |
| AMGEN INC                     | COM | 031162100 | 3420   | 57227   | SH | DEFINED | 01 | 0 |
| AMGEN INC                     | COM | 031162100 | 1883   | 31500   | SH | DEFINED | 01 | 1 |
| AMGEN INC                     | COM | 031162100 | 4623   | 77260   | SH | DEFINED | 01 | 1 |
| AMGEN INC SR CV 0.12          | COM | 031162AN0 | 15     | 15000   | SH | DEFINED | 01 | 1 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 63443  | 8973596 | SH | DEFINED | 01 | 0 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 19652  | 2784299 | SH | DEFINED | 01 | 1 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 5      | 750     | SH | DEFINED | 01 | 1 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 449    | 10662   | SH | DEFINED | 01 | 0 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 304    | 7207    | SH | DEFINED | 01 | 0 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 28389  | 706198  | SH | DEFINED | 01 | 1 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 241    | 5713    | SH | DEFINED | 01 | 1 |
| AMSURG CORP                   | COM | 03232P405 | 2055   | 95188   | SH | DEFINED | 01 | 0 |
| AMYLIN PHARMACEUTICALS INC    | COM | 032346108 | 493    | 21920   | SH | DEFINED | 01 | 0 |
| AMYLIN PHARMACEUTICALS INC    | COM | 032346108 | 39     | 1736    | SH | DEFINED | 01 | 1 |
| AMTRUST FINANCIAL SERVICES    | COM | 032359309 | 2595   | 186065  | SH | DEFINED | 01 | 0 |
| AMTRUST FINANCIAL SERVICES    | COM | 032359309 | 2      | 165     | SH | DEFINED | 01 | 1 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 91681  | 1258836 | SH | DEFINED | 01 | 0 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 2479   | 34044   | SH | DEFINED | 01 | 0 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 29582  | 430706  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ANADARKO PETROLEUM CORP        | COM | 032511107 | 875    | 12016   | SH | DEFINED | 01 | 1 |
| ANADIGICS INC                  | COM | 032515108 | 1      | 225     | SH | DEFINED | 01 | 1 |
| ANALOG DEVICES INC             | COM | 032654105 | 45941  | 1594084 | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC             | COM | 032654105 | 452    | 15689   | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC             | COM | 032654105 | 143    | 4900    | SH | DEFINED | 01 | 1 |
| ANALOG DEVICES INC             | COM | 032654105 | 114    | 3940    | SH | DEFINED | 01 | 1 |
| ANALOGIC CORP                  | COM | 032657207 | 10312  | 241337  | SH | DEFINED | 01 | 0 |
| ANALOGIC CORP                  | COM | 032657207 | 4      | 82      | SH | DEFINED | 01 | 1 |
| ANCHOR BANCORP WIS INC         | COM | 032839102 | 12     | 11350   | SH | DEFINED | 01 | 1 |
| ANDERSONS INC/THE              | COM | 034164103 | 2661   | 79429   | SH | DEFINED | 01 | 0 |
| ANDERSONS INC/THE              | COM | 034164103 | 36     | 1081    | SH | DEFINED | 01 | 0 |
| ANGIODYNAMICS INC              | COM | 03475V101 | 1148   | 73505   | SH | DEFINED | 01 | 0 |
| ANGLOGOLD ASHANTI-SPON ADR     | COM | 035128206 | 11611  | 305941  | SH | DEFINED | 01 | 0 |
| ANGLOGOLD ASHANTI-SPON ADR     | COM | 035128206 | 127    | 3357    | SH | DEFINED | 01 | 1 |
| ANHEUSER-BUSCH INBEVADR EAH RE | COM | 03524A108 | 62     | 1225    | SH | DEFINED | 01 | 1 |
| ANIXTER INTERNATIONAL INC      | COM | 035290105 | 3274   | 69900   | SH | DEFINED | 01 | 0 |
| ANNALY CAPITAL MANAGEMENT IN   | COM | 035710409 | 247    | 14367   | SH | DEFINED | 01 | 0 |
| ANNALY CAPITAL MANAGEMENT IN   | COM | 035710409 | 626    | 36448   | SH | DEFINED | 01 | 1 |
| ANNTAYLOR STORES CORP          | COM | 036115103 | 794    | 38390   | SH | DEFINED | 01 | 0 |
| ANNTAYLOR STORES CORP          | COM | 036115103 | 10     | 505     | SH | DEFINED | 01 | 1 |
| ANOORAQ RESOURCES CORP COM N   | COM | 03633E108 | 12     | 8000    | SH | DEFINED | 01 | 1 |
| ANSYS INC                      | COM | 03662Q105 | 15     | 347     | SH | DEFINED | 01 | 1 |
| ANTHRACITE CAP INC             | COM | 037023108 | 0      | 1000    | SH | DEFINED | 01 | 1 |
| ANTIGENICS INC DEL             | COM | 037032109 | 2      | 3411    | SH | DEFINED | 01 | 1 |
|                                |     |           |        |         |    |         |    |   |
| ANWORTH MORTGAGE ASSET CORP    | COM | 037347101 | 654    | 97082   | SH | DEFINED | 01 | 0 |
| ANWORTH MORTGAGE ASSET CORP    | COM | 037347101 | 74     | 10940   | SH | DEFINED | 01 | 1 |
| AON CORP                       | COM | 037389103 | 72562  | 1698979 | SH | DEFINED | 01 | 0 |
| AON CORP                       | COM | 037389103 | 460    | 10775   | SH | DEFINED | 01 | 0 |
| AON CORP                       | COM | 037389103 | 24345  | 570000  | SH | DEFINED | 01 | 1 |
| AON CORP                       | COM | 037389103 | 217    | 5082    | SH | DEFINED | 01 | 1 |
| A123 SYSTEMS INC               | COM | 03739T108 | 65     | 4760    | SH | DEFINED | 01 | 1 |
| APACHE CORP                    | COM | 037411105 | 91891  | 905342  | SH | DEFINED | 01 | 0 |
| APACHE CORP                    | COM | 037411105 | 2515   | 24778   | SH | DEFINED | 01 | 0 |
| APACHE CORP                    | COM | 037411105 | 5072   | 55400   | SH | DEFINED | 01 | 1 |
| APACHE CORP                    | COM | 037411105 | 854    | 8415    | SH | DEFINED | 01 | 1 |
| APARTMENT INVT & MGMT CO -A    | COM | 03748R101 | 2143   | 116385  | SH | DEFINED | 01 | 0 |
| APARTMENT INVT & MGMT CO -A    | COM | 03748R101 | 224    | 12171   | SH | DEFINED | 01 | 0 |
| APARTMENT INVT & MGMT CO -A    | COM | 03748R101 | 106    | 5760    | SH | DEFINED | 01 | 1 |
| APOGEE ENTERPRISES INC         | COM | 037598109 | 1314   | 83145   | SH | DEFINED | 01 | 0 |
| APOGEE ENTERPRISES INC         | COM | 037598109 | 0      | 4       | SH | DEFINED | 01 | 1 |
| APOLLO GROUP INC-CL A          | COM | 037604105 | 9070   | 147993  | SH | DEFINED | 01 | 0 |
| APOLLO GROUP INC-CL A          | COM | 037604105 | 249    | 4064    | SH | DEFINED | 01 | 0 |
| APOLLO GROUP INC-CL A          | COM | 037604105 | 3125   | 50987   | SH | DEFINED | 01 | 1 |
| APOLLO GROUP INC-CL A          | COM | 037604105 | 156    | 2539    | SH | DEFINED | 01 | 1 |
| APOLLO INVESTMENT CORP         | COM | 03761U106 | 1757   | 137988  | SH | DEFINED | 01 | 0 |
| APOLLO INVESTMENT CORP         | COM | 03761U106 | 106    | 8330    | SH | DEFINED | 01 | 1 |
| APPLE INC                      | COM | 037833100 | 933653 | 3974168 | SH | DEFINED | 01 | 0 |
| APPLE INC                      | COM | 037833100 | 10209  | 43456   | SH | DEFINED | 01 | 0 |
| APPLE INC                      | COM | 037833100 | 12494  | 53179   | SH | DEFINED | 01 | 0 |
| APPLE INC                      | COM | 037833100 | 50     | 214     | SH | DEFINED | 01 | 0 |
| APPLE INC                      | COM | 037833100 | 466180 | 1984941 | SH | DEFINED | 01 | 1 |
| APPLE INC                      | COM | 037833100 | 14527  | 61817   | SH | DEFINED | 01 | 1 |
| APPLIED ENERGETICS INC COM     | COM | 03819M106 | 0      | 500     | SH | DEFINED | 01 | 1 |
| APPLIED INDUSTRIAL TECH INC    | COM | 03820C105 | 812    | 32669   | SH | DEFINED | 01 | 0 |
| APPLIED MATERIALS INC          | COM | 038222105 | 543    | 40267   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                             |     |           |       |        |    |         |    |   |
|-----------------------------|-----|-----------|-------|--------|----|---------|----|---|
| APPLIED MATERIALS INC       | COM | 038222105 | 936   | 69401  | SH | DEFINED | 01 | 0 |
| APPLIED MATERIALS INC       | COM | 038222105 | 2499  | 185570 | SH | DEFINED | 01 | 1 |
| APPLIED MICRO CIRCUITS CORP | COM | 03822W406 | 1358  | 157300 | SH | DEFINED | 01 | 0 |
| APPLIED MICRO CIRCUITS CORP | COM | 03822W406 | 7     | 795    | SH | DEFINED | 01 | 1 |
| APPLIED SIGNAL TECHNOLOGY   | COM | 038237103 | 174   | 8870   | SH | DEFINED | 01 | 0 |
| APPLIED SIGNAL TECHNOLOGY   | COM | 038237103 | 7     | 350    | SH | DEFINED | 01 | 1 |
| APTARGROUP INC              | COM | 038336103 | 11514 | 292595 | SH | DEFINED | 01 | 0 |
| APTARGROUP INC              | COM | 038336103 | 3     | 70     | SH | DEFINED | 01 | 1 |
| APPROACH RESOURCES INC      | COM | 03834A103 | 897   | 98817  | SH | DEFINED | 01 | 0 |
| AQUA AMERICA INC            | COM | 03836W103 | 378   | 21498  | SH | DEFINED | 01 | 1 |
| ARBITRON INC                | COM | 03875Q108 | 629   | 23602  | SH | DEFINED | 01 | 0 |
| ARC WIRELESS SOLUTIONS      | COM | 03878K207 | 11    | 4000   | SH | DEFINED | 01 | 1 |
| ARBOR RLTY TR INC           | COM | 038923108 | 0     | 100    | SH | DEFINED | 01 | 1 |
| ARCH CHEMICALS INC          | COM | 03937R102 | 3064  | 89081  | SH | DEFINED | 01 | 0 |
| ARCH COAL INC               | COM | 039380100 | 5696  | 249247 | SH | DEFINED | 01 | 0 |
| ARCH COAL INC               | COM | 039380100 | 95    | 4144   | SH | DEFINED | 01 | 0 |
| ARCH COAL INC               | COM | 039380100 | 12590 | 550996 | SH | DEFINED | 01 | 1 |
| ARCH COAL INC               | COM | 039380100 | 245   | 10702  | SH | DEFINED | 01 | 1 |
| ARCELORMITTAL-NY REGISTERED | COM | 03938L104 | 55    | 1260   | SH | DEFINED | 01 | 0 |
| ARCELORMITTAL-NY REGISTERED | COM | 03938L104 | 409   | 9309   | SH | DEFINED | 01 | 1 |
| ARCHER-DANIELS-MIDLAND CO   | COM | 039483102 | 23464 | 811902 | SH | DEFINED | 01 | 0 |
| ARCHER-DANIELS-MIDLAND CO   | COM | 039483102 | 1114  | 38562  | SH | DEFINED | 01 | 0 |
| ARCHER-DANIELS-MIDLAND CO   | COM | 039483102 | 754   | 26094  | SH | DEFINED | 01 | 1 |
| ARCHER DANIELS MIDLAND CO   | PRF | 039483201 | 93    | 2275   | SH | DEFINED | 01 | 1 |
| ARCSIGHT INC                | COM | 039666102 | 701   | 24884  | SH | DEFINED | 01 | 0 |
| ARCSIGHT INC                | COM | 039666102 | 5     | 193    | SH | DEFINED | 01 | 1 |
| ARCTIC CAT INC              | COM | 039670104 | 198   | 18218  | SH | DEFINED | 01 | 0 |
| ARDEA BIOSCIENCES INC       | COM | 03969P107 | 9     | 500    | SH | DEFINED | 01 | 1 |
| ARENA BRANDS INC            | COM | 03999M207 | 0     | 111111 | SH | DEFINED | 01 | 0 |
| ARENA PHARMACEUTICALS INC   | COM | 040047102 | 11    | 3600   | SH | DEFINED | 01 | 1 |
| ARENA RESOURCES INC         | COM | 040049108 | 39    | 1075   | SH | DEFINED | 01 | 1 |
| ARENA RESOURCES INC         | COM | 040049108 | 0     | 14     | SH | DEFINED | 01 | 1 |

|                               |     |           |      |        |    |         |    |   |
|-------------------------------|-----|-----------|------|--------|----|---------|----|---|
| ARES CAPITAL CORP             | COM | 04010L103 | 530  | 35733  | SH | DEFINED | 01 | 0 |
| ARES CAPITAL CORP             | COM | 04010L103 | 102  | 6890   | SH | DEFINED | 01 | 1 |
| ARIAD PHARMACEUTICALINC       | COM | 04033A100 | 74   | 21655  | SH | DEFINED | 01 | 1 |
| ARIBA INC                     | COM | 04033V203 | 2880 | 224100 | SH | DEFINED | 01 | 0 |
| ARIBA INC                     | COM | 04033V203 | 6    | 431    | SH | DEFINED | 01 | 1 |
| ARKANSAS BEST CORP            | COM | 040790107 | 5898 | 197421 | SH | DEFINED | 01 | 0 |
| ARLINGTON ASSET INVTCORP CL A | COM | 041356205 | 2    | 91     | SH | DEFINED | 01 | 1 |
| ARM HOLDINGS PLC-SPONS ADR    | COM | 042068106 | 492  | 46000  | SH | DEFINED | 01 | 0 |
| ARM HOLDINGS PLC-SPONS ADR    | COM | 042068106 | 53   | 5500   | SH | DEFINED | 01 | 1 |
| ARM HOLDINGS PLC-SPONS ADR    | COM | 042068106 | 34   | 3200   | SH | DEFINED | 01 | 1 |
| AROTECH CORP COM NEW          | COM | 042682203 | 0    | 249    | SH | DEFINED | 01 | 1 |
| ARQULE INC                    | COM | 04269E107 | 115  | 19962  | SH | DEFINED | 01 | 0 |
| ARQULE INC                    | COM | 04269E107 | 0    | 50     | SH | DEFINED | 01 | 1 |
| ARRIS GROUP INC               | COM | 04269Q100 | 3561 | 296514 | SH | DEFINED | 01 | 0 |
| ARRIS GROUP INC               | COM | 04269Q100 | 72   | 5985   | SH | DEFINED | 01 | 1 |
| ARROW ELECTRONICS INC         | COM | 042735100 | 467  | 15498  | SH | DEFINED | 01 | 0 |
| ARROW ELECTRONICS INC         | COM | 042735100 | 49   | 1635   | SH | DEFINED | 01 | 1 |
| ARROW FINANCIAL CORP          | COM | 042744102 | 87   | 3240   | SH | DEFINED | 01 | 0 |
| ARROW FINANCIAL CORP          | COM | 042744102 | 13   | 500    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |      |
|--------------------------------|-----|-----------|-------|---------|----|---------|------|
| ART TECHNOLOGY GROUP INC       | COM | 04289L107 | 2647  | 600191  | SH | DEFINED | 01 0 |
| ART TECHNOLOGY GROUP INC       | COM | 04289L107 | 6     | 1300    | SH | DEFINED | 01 1 |
| ARTHROCARE CORP                | COM | 043136100 | 4208  | 141600  | SH | DEFINED | 01 0 |
| ARTIO GLOBAL INVESTORS INC     | COM | 04315B107 | 22798 | 921427  | SH | DEFINED | 01 0 |
| ARTIO GLOBAL INVESTORS INC     | COM | 04315B107 | 47    | 1912    | SH | DEFINED | 01 0 |
| ARUBA NETWORKS INC             | COM | 043176106 | 68    | 5000    | SH | DEFINED | 01 0 |
| ARUBA NETWORKS INC             | COM | 043176106 | 3     | 200     | SH | DEFINED | 01 1 |
| ARVINMERITOR INC               | COM | 043353101 | 3258  | 244113  | SH | DEFINED | 01 0 |
| ASBURY AUTOMOTIVE GROUP        | COM | 043436104 | 515   | 38711   | SH | DEFINED | 01 0 |
| ASCENT MEDIA CORP-A            | COM | 043632108 | 927   | 34021   | SH | DEFINED | 01 0 |
| ASCENT MEDIA CORP-A            | COM | 043632108 | 5     | 182     | SH | DEFINED | 01 1 |
| ASCENT SOLAR TECHNOLOGI        | COM | 043635101 | 0     | 100     | SH | DEFINED | 01 1 |
| ASHFORD HOSPITALITY TRUST      | COM | 044103109 | 1505  | 209850  | SH | DEFINED | 01 0 |
| ASHFORD HOSPITALITY TRUST      | COM | 044103109 | 23    | 3225    | SH | DEFINED | 01 0 |
| ASHFORD HOSPITALITY TRUST      | COM | 044103109 | 14    | 2000    | SH | DEFINED | 01 1 |
| ASHLAND INC                    | COM | 044209104 | 4923  | 93289   | SH | DEFINED | 01 0 |
| ASHLAND INC                    | COM | 044209104 | 1069  | 20254   | SH | DEFINED | 01 1 |
| ASHLAND INC                    | COM | 044209104 | 228   | 4320    | SH | DEFINED | 01 1 |
| ASIA PAC FD INC                | COM | 044901106 | 24    | 2365    | SH | DEFINED | 01 1 |
| ASKMENOW INC                   | COM | 045188109 | 0     | 100     | SH | DEFINED | 01 0 |
| ASIAINFO HOLDINGS INC          | COM | 04518A104 | 4370  | 165062  | SH | DEFINED | 01 0 |
| ASIAINFO HOLDINGS INC          | COM | 04518A104 | 35    | 1318    | SH | DEFINED | 01 0 |
| ASIAINFO HOLDINGS INC          | COM | 04518A104 | 282   | 9720    | SH | DEFINED | 01 1 |
| ASIAINFO HOLDINGS INC          | COM | 04518A104 | 3     | 120     | SH | DEFINED | 01 1 |
| ASPEN TECHNOLOGY INC           | COM | 045327103 | 64826 | 6324563 | SH | DEFINED | 01 0 |
| ASPEN TECHNOLOGY INC           | COM | 045327103 | 30    | 2911    | SH | DEFINED | 01 0 |
| ASPEN TECHNOLOGY INC           | COM | 045327103 | 532   | 53170   | SH | DEFINED | 01 1 |
| ASSOCIATED BANC-CORP           | COM | 045487105 | 2071  | 150114  | SH | DEFINED | 01 0 |
| ASSOCIATED BANC-CORP           | COM | 045487105 | 80    | 5807    | SH | DEFINED | 01 1 |
| ASSURANT INC                   | COM | 04621X108 | 42733 | 1242948 | SH | DEFINED | 01 0 |
| ASSURANT INC                   | COM | 04621X108 | 340   | 9876    | SH | DEFINED | 01 0 |
| ASSURANT INC                   | COM | 04621X108 | 44    | 1276    | SH | DEFINED | 01 1 |
| ASTEC INDUSTRIES INC           | COM | 046224101 | 9776  | 337567  | SH | DEFINED | 01 0 |
| ASTEC INDUSTRIES INC           | COM | 046224101 | 3     | 110     | SH | DEFINED | 01 1 |
| ASTORIA FINANCIAL CORP         | COM | 046265104 | 4037  | 278400  | SH | DEFINED | 01 0 |
| ASTRAZENECA ADR EACHREP 1 ORD  | COM | 046353108 | 161   | 3610    | SH | DEFINED | 01 1 |
| ATHEROS COMMUNICATIONS         | COM | 04743P108 | 4343  | 112174  | SH | DEFINED | 01 0 |
| ATHEROS COMMUNICATIONS         | COM | 04743P108 | 48    | 1230    | SH | DEFINED | 01 1 |
| ATHERSYS INC NEW COM           | COM | 04744L106 | 9     | 2850    | SH | DEFINED | 01 1 |
| ATLANTIC SOUTHN FINLGROUP INC  | COM | 048877104 | 5     | 3350    | SH | DEFINED | 01 1 |
| ATLAS AIR WORLDWIDE HOLDINGS   | COM | 049164205 | 1631  | 30761   | SH | DEFINED | 01 0 |
| ATLAS AMERICA INC              | COM | 049298102 | 4666  | 149929  | SH | DEFINED | 01 0 |
| ATLAS AMERICA INC              | COM | 049298102 | 97    | 3287    | SH | DEFINED | 01 1 |
| ATLAS AMERICA INC              | COM | 049298102 | 18    | 580     | SH | DEFINED | 01 1 |
| ATLAS PIPELINE HLDGSL P COM UN | COM | 04939R108 | 3     | 500     | SH | DEFINED | 01 1 |
| ATMEL CORP                     | COM | 049513104 | 206   | 40931   | SH | DEFINED | 01 1 |
| ATMOS ENERGY CORP              | COM | 049560105 | 36    | 1255    | SH | DEFINED | 01 1 |
| ATMOSPHERIC GLOW TECHNOLOGIE   | COM | 049567100 | 0     | 125     | SH | DEFINED | 01 0 |
| ATRICURE INC                   | COM | 04963C209 | 54    | 9211    | SH | DEFINED | 01 1 |
| ATWOOD OCEANICS INC            | COM | 050095108 | 3508  | 101293  | SH | DEFINED | 01 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |       |         |    |         |    |   |
|------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| ATWOOD OCEANICS INC          | COM | 050095108 | 50    | 1435    | SH | DEFINED | 01 | 1 |
| AUDIOVOX CORP -CL A          | COM | 050757103 | 893   | 114798  | SH | DEFINED | 01 | 0 |
| AUDIOVOX CORP -CL A          | COM | 050757103 | 0     | 10      | SH | DEFINED | 01 | 1 |
| AUGUSTA RESOURCE CORP        | COM | 050912203 | 243   | 91750   | SH | DEFINED | 01 | 1 |
| AUTHENTEC INC                | COM | 052660107 | 1     | 250     | SH | DEFINED | 01 | 1 |
| AUTODESK INC                 | COM | 052769106 | 34055 | 1157591 | SH | DEFINED | 01 | 0 |
| AUTODESK INC                 | COM | 052769106 | 286   | 9708    | SH | DEFINED | 01 | 0 |
| AUTODESK INC                 | COM | 052769106 | 28    | 952     | SH | DEFINED | 01 | 1 |
| AUTOLIV INC                  | COM | 052800109 | 2052  | 39829   | SH | DEFINED | 01 | 0 |
| AUTOLIV INC                  | COM | 052800109 | 22    | 422     | SH | DEFINED | 01 | 1 |
| AUTOMATIC DATA PROCESSING    | COM | 053015103 | 20433 | 459472  | SH | DEFINED | 01 | 0 |
| AUTOMATIC DATA PROCESSING    | COM | 053015103 | 1071  | 24086   | SH | DEFINED | 01 | 0 |
| AUTOMATIC DATA PROCESSING    | COM | 053015103 | 37286 | 863028  | SH | DEFINED | 01 | 1 |
| AUTOMATIC DATA PROCESSING    | COM | 053015103 | 1183  | 26592   | SH | DEFINED | 01 | 1 |
| AUTONATION INC               | COM | 05329W102 | 3290  | 182040  | SH | DEFINED | 01 | 0 |
| AUTONATION INC               | COM | 05329W102 | 206   | 11390   | SH | DEFINED | 01 | 0 |
| AUTONATION INC               | COM | 05329W102 | 4     | 204     | SH | DEFINED | 01 | 1 |
| AUTOZONE INC                 | COM | 053332102 | 1827  | 10554   | SH | DEFINED | 01 | 0 |
| AUTOZONE INC                 | COM | 053332102 | 204   | 1176    | SH | DEFINED | 01 | 0 |
| AUTOZONE INC                 | COM | 053332102 | 32    | 185     | SH | DEFINED | 01 | 1 |
| AVALONBAY COMMUNITIES INC    | COM | 053484101 | 54447 | 630547  | SH | DEFINED | 01 | 0 |
| AVALONBAY COMMUNITIES INC    | COM | 053484101 | 288   | 3338    | SH | DEFINED | 01 | 0 |
| AVALONBAY COMMUNITIES INC    | COM | 053484101 | 570   | 6603    | SH | DEFINED | 01 | 1 |
| AVANIR PHARMACEUT            | COM | 05348P401 | 0     | 25      | SH | DEFINED | 01 | 1 |
| AVATAR HOLDINGS INC          | COM | 053494100 | 2220  | 102110  | SH | DEFINED | 01 | 0 |
|                              |     |           |       |         |    |         |    |   |
| AVERY DENNISON CORP          | COM | 053611109 | 5522  | 151651  | SH | DEFINED | 01 | 0 |
| AVERY DENNISON CORP          | COM | 053611109 | 371   | 10191   | SH | DEFINED | 01 | 0 |
| AVERY DENNISON CORP          | COM | 053611109 | 13    | 345     | SH | DEFINED | 01 | 1 |
| AVID TECHNOLOGY INC          | COM | 05367P100 | 2261  | 164067  | SH | DEFINED | 01 | 0 |
| AVID TECHNOLOGY INC          | COM | 05367P100 | 1     | 52      | SH | DEFINED | 01 | 1 |
| AVIS BUDGET GROUP INC COMMON | COM | 053774105 | 2     | 198     | SH | DEFINED | 01 | 1 |
| AVISTA CORP                  | COM | 05379B107 | 11587 | 559497  | SH | DEFINED | 01 | 0 |
| AVISTA CORP                  | COM | 05379B107 | 27    | 1286    | SH | DEFINED | 01 | 1 |
| AVNET INC                    | COM | 053807103 | 25671 | 855637  | SH | DEFINED | 01 | 0 |
| AVNET INC                    | COM | 053807103 | 179   | 6200    | SH | DEFINED | 01 | 1 |
| AVNET INC                    | COM | 053807103 | 73    | 2423    | SH | DEFINED | 01 | 1 |
| AVIVA PLC - SPON ADR         | COM | 05382A104 | 6282  | 523948  | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 35744 | 1055339 | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 1055  | 31133   | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 156   | 4599    | SH | DEFINED | 01 | 1 |
| AXA -SPONS ADR               | COM | 054536107 | 1     | 24      | SH | DEFINED | 01 | 0 |
| AXA -SPONS ADR               | COM | 054536107 | 104   | 4679    | SH | DEFINED | 01 | 1 |
| AWARE INC MASS               | COM | 05453N100 | 0     | 100     | SH | DEFINED | 01 | 1 |
| AXCELIS TECHNOLOGIES INC     | COM | 054540109 | 1038  | 625000  | SH | DEFINED | 01 | 0 |
| AXCELIS TECHNOLOGIES INC     | COM | 054540109 | 4     | 2652    | SH | DEFINED | 01 | 1 |
| BB&T CORP                    | COM | 054937107 | 5838  | 180243  | SH | DEFINED | 01 | 0 |
| BB&T CORP                    | COM | 054937107 | 1105  | 34113   | SH | DEFINED | 01 | 0 |
| BB&T CORP                    | COM | 054937107 | 391   | 12071   | SH | DEFINED | 01 | 1 |
| B&G FOODS INC-CLASS A        | COM | 05508R106 | 10536 | 1005355 | SH | DEFINED | 01 | 0 |
| B&G FOODS INC-CLASS A        | COM | 05508R106 | 155   | 14785   | SH | DEFINED | 01 | 1 |
| BCE INC COM NPV ISIN #CA05   | COM | 05534B760 | 64    | 2175    | SH | DEFINED | 01 | 1 |
| BGC PARTNERS INC-CL A        | COM | 05541T101 | 776   | 127042  | SH | DEFINED | 01 | 0 |
| BGC PARTNERS INC-CL A        | COM | 05541T101 | 5     | 755     | SH | DEFINED | 01 | 1 |
| BHP BILLITON PLC SPONS ADR   | COM | 05545E209 | 10    | 150     | SH | DEFINED | 01 | 1 |
| BJ SERVICES CO               | COM | 055482103 | 10557 | 493254  | SH | DEFINED | 01 | 0 |
| BJ SERVICES CO               | COM | 055482103 | 440   | 20563   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| BJ SERVICES CO               | COM | 055482103 | 85     | 3951     | SH | DEFINED | 01 | 1 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 9690   | 261950   | SH | DEFINED | 01 | 0 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 128    | 3460     | SH | DEFINED | 01 | 0 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 2      | 67       | SH | DEFINED | 01 | 1 |
| BP PLC-SPONS ADR             | COM | 055622104 | 236705 | 4147640  | SH | DEFINED | 01 | 0 |
| BP PLC-SPONS ADR             | COM | 055622104 | 698    | 12227    | SH | DEFINED | 01 | 0 |
| BP PLC-SPONS ADR             | COM | 055622104 | 9315   | 163224   | SH | DEFINED | 01 | 1 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 773    | 7827     | SH | DEFINED | 01 | 0 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 2100   | 21315    | SH | DEFINED | 01 | 1 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 1439   | 14569    | SH | DEFINED | 01 | 1 |
| BRT RLTY TR SH BEN INT NEW   | COM | 055645303 | 2      | 237      | SH | DEFINED | 01 | 1 |
| BRE PROPERTIES INC           | COM | 05564E106 | 2238   | 62600    | SH | DEFINED | 01 | 0 |
| BRE PROPERTIES INC           | COM | 05564E106 | 51     | 1420     | SH | DEFINED | 01 | 1 |
| BT GROUP PLC-SPON ADR        | COM | 05577E101 | 702    | 37559    | SH | DEFINED | 01 | 0 |
| BT GROUP PLC-SPON ADR        | COM | 05577E101 | 18     | 945      | SH | DEFINED | 01 | 1 |
| BMC SOFTWARE INC             | COM | 055921100 | 402189 | 10583886 | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC             | COM | 055921100 | 217    | 5720     | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC             | COM | 055921100 | 54     | 1432     | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC             | COM | 055921100 | 58609  | 1541841  | SH | DEFINED | 01 | 1 |
| BMC SOFTWARE INC             | COM | 055921100 | 26     | 674      | SH | DEFINED | 01 | 1 |
| B2B INTERNET HOLDRS TR       | COM | 056033103 | 1      | 1200     | SH | DEFINED | 01 | 1 |
| BABCOCK & BROWN AIR LTD-ADR  | COM | 05614P101 | 7053   | 682131   | SH | DEFINED | 01 | 0 |
| BABCOCK & BROWN AIR LTD-ADR  | COM | 05614P101 | 62     | 6000     | SH | DEFINED | 01 | 1 |
| BADGER METER INC             | COM | 056525108 | 4186   | 108701   | SH | DEFINED | 01 | 0 |
| BADGER METER INC             | COM | 056525108 | 94     | 2433     | SH | DEFINED | 01 | 0 |
| BAIDU INC - SPON ADR         | COM | 056752108 | 38165  | 63929    | SH | DEFINED | 01 | 0 |
| BAIDU INC - SPON ADR         | COM | 056752108 | 54     | 90       | SH | DEFINED | 01 | 0 |
| BAIDU INC - SPON ADR         | COM | 056752108 | 1218   | 2083     | SH | DEFINED | 01 | 1 |
| BAIDU INC - SPON ADR         | COM | 056752108 | 317    | 531      | SH | DEFINED | 01 | 1 |
| BAKER (MICHAEL) CORP         | COM | 057149106 | 410    | 11912    | SH | DEFINED | 01 | 0 |
| BAKER (MICHAEL) CORP         | COM | 057149106 | 68     | 1725     | SH | DEFINED | 01 | 1 |
| BAKER (MICHAEL) CORP         | COM | 057149106 | 291    | 8450     | SH | DEFINED | 01 | 1 |
| BAKER HUGHES INC             | COM | 057224107 | 99153  | 2116870  | SH | DEFINED | 01 | 0 |
| BAKER HUGHES INC             | COM | 057224107 | 1091   | 23278    | SH | DEFINED | 01 | 0 |
| BAKER HUGHES INC             | COM | 057224107 | 196    | 4192     | SH | DEFINED | 01 | 1 |
| BAKERS FOOTWEAR GRP INC      | COM | 057465106 | 0      | 100      | SH | DEFINED | 01 | 1 |
| BALCHEM CORP                 | COM | 057665200 | 560    | 22731    | SH | DEFINED | 01 | 0 |
| BALDOR ELECTRIC              | COM | 057741100 | 1340   | 35831    | SH | DEFINED | 01 | 0 |
| BALDOR ELECTRIC              | COM | 057741100 | 7      | 200      | SH | DEFINED | 01 | 1 |
| BALL CORP                    | COM | 058498106 | 115    | 2170     | SH | DEFINED | 01 | 0 |
| BALL CORP                    | COM | 058498106 | 202    | 3782     | SH | DEFINED | 01 | 0 |
| BALL CORP                    | COM | 058498106 | 54     | 1007     | SH | DEFINED | 01 | 1 |
| BALLARD POWER SYSTEMS IN     | COM | 058586108 | 1      | 306      | SH | DEFINED | 01 | 1 |
| BALLY TECHNOLOGIES INC       | COM | 05874B107 | 5951   | 146810   | SH | DEFINED | 01 | 0 |
| BALLY TECHNOLOGIES INC       | COM | 05874B107 | 45     | 2050     | SH | DEFINED | 01 | 1 |
| BALLY TECHNOLOGIES INC       | COM | 05874B107 | 53     | 1310     | SH | DEFINED | 01 | 1 |
| BANCFIRST CORP               | COM | 05945F103 | 639    | 15242    | SH | DEFINED | 01 | 0 |
| BANCFIRST CORP               | COM | 05945F103 | 1      | 23       | SH | DEFINED | 01 | 1 |
| BANCO BRADESCO-ADR           | COM | 059460303 | 55     | 2970     | SH | DEFINED | 01 | 0 |
| BANCO BRADESCO-ADR           | COM | 059460303 | 28     | 1500     | SH | DEFINED | 01 | 1 |

## Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |        |          |    |         |    |   |
|---------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| BANCO BILBAO VIZCAYAARGENTARIA  | COM | 05946K101 | 3      | 183      | SH | DEFINED | 01 | 1 |
| BANCO MACRO S.A. ADRREP 10 CLS  | COM | 05961W105 | 4      | 120      | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER SA ADR EACH 1   | COM | 05964H105 | 193    | 14579    | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER-CHILE-ADR       | COM | 05965X109 | 11391  | 166981   | SH | DEFINED | 01 | 0 |
| BANCO SANTANDER-CHILE-ADR       | COM | 05965X109 | 19351  | 283908   | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER-CHILE-ADR       | COM | 05965X109 | 13     | 189      | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER BRASIL S A      | COM | 05967A107 | 49     | 3982     | SH | DEFINED | 01 | 1 |
| BANCOLOMBIA S.A.-SPONS ADR      | COM | 05968L102 | 20089  | 475765   | SH | DEFINED | 01 | 1 |
| BANCOLOMBIA S.A.-SPONS ADR      | COM | 05968L102 | 8      | 183      | SH | DEFINED | 01 | 1 |
| BANCORPSOUTH INC                | COM | 059692103 | 2843   | 135620   | SH | DEFINED | 01 | 0 |
| BANCORP INC/THE                 | COM | 05969A105 | 62     | 6947     | SH | DEFINED | 01 | 0 |
| BANCTRUST FINL GROUP INC        | COM | 05978R107 | 1      | 150      | SH | DEFINED | 01 | 1 |
| BANK OF AMERICA CORP            | COM | 060505104 | 809357 | 45341641 | SH | DEFINED | 01 | 0 |
| BANK OF AMERICA CORP            | COM | 060505104 | 4536   | 254119   | SH | DEFINED | 01 | 0 |
|                                 |     |           |        |          |    |         |    |   |
| BANK OF AMERICA CORP            | COM | 060505104 | 12348  | 691740   | SH | DEFINED | 01 | 0 |
| BANK OF AMERICA CORP            | COM | 060505104 | 120956 | 6791442  | SH | DEFINED | 01 | 1 |
| BANK OF AMERICA CORP            | COM | 060505104 | 11274  | 631577   | SH | DEFINED | 01 | 1 |
| BANK GRANITE GRANITE FA         | COM | 062401104 | 1      | 1000     | SH | DEFINED | 01 | 1 |
| BANK OF HAWAII CORP             | COM | 062540109 | 2985   | 66400    | SH | DEFINED | 01 | 0 |
| BANK OF KENTUCKY FINL CORP      | COM | 062896105 | 21     | 1074     | SH | DEFINED | 01 | 0 |
| BANK MARIN BANCORP              | COM | 063425102 | 41     | 1254     | SH | DEFINED | 01 | 1 |
| BANK OF MONTREAL                | COM | 063671101 | 4929   | 81201    | SH | DEFINED | 01 | 0 |
| BANK OF MONTREAL                | COM | 063671101 | 25     | 420      | SH | DEFINED | 01 | 1 |
| BANK MUTUAL CORP                | COM | 063750103 | 172    | 26507    | SH | DEFINED | 01 | 0 |
| BANK OF THE OZARKS              | COM | 063904106 | 4318   | 122717   | SH | DEFINED | 01 | 0 |
| BANK OF THE OZARKS              | COM | 063904106 | 7      | 200      | SH | DEFINED | 01 | 1 |
| BANK OF NEW YORK MELLON CORP    | COM | 064058100 | 113345 | 3670573  | SH | DEFINED | 01 | 0 |
| BANK OF NEW YORK MELLON CORP    | COM | 064058100 | 2080   | 67342    | SH | DEFINED | 01 | 0 |
| BANK OF NEW YORK MELLON CORP    | COM | 064058100 | 392    | 12710    | SH | DEFINED | 01 | 1 |
| BANK OF NOVA SCOTIA COM NPV IS  | COM | 064149107 | 59     | 1175     | SH | DEFINED | 01 | 1 |
| BANKATLANTIC BANCORP INC CL A N | COM | 065908600 | 1      | 344      | SH | DEFINED | 01 | 1 |
| BANKFINANCIAL CORP              | COM | 06643P104 | 1      | 102      | SH | DEFINED | 01 | 1 |
| BANNER CORP COM                 | COM | 06652V109 | 0      | 100      | SH | DEFINED | 01 | 1 |
| BANPU PUBL CO LTD-FOR REG       | COM | 066752981 | 910    | 47600    | SH | DEFINED | 01 | 0 |
| CR BARD INC                     | COM | 067383109 | 17278  | 199461   | SH | DEFINED | 01 | 0 |
| CR BARD INC                     | COM | 067383109 | 414    | 4787     | SH | DEFINED | 01 | 0 |
| CR BARD INC                     | COM | 067383109 | 9931   | 119600   | SH | DEFINED | 01 | 1 |
| CR BARD INC                     | COM | 067383109 | 136    | 1570     | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM | 06738C778 | 536    | 13459    | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH GS C    | COM | 06738C786 | 274    | 10290    | SH | DEFINED | 01 | 1 |
| BARCLAYS BK PLC IPATH INDE      | COM | 06738C794 | 3      | 105      | SH | DEFINED | 01 | 1 |
| BARCLAYS ADR-EACH CVINTO 4 ORD  | COM | 06738E204 | 251    | 11528    | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM | 06739F101 | 8      | 165      | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC PRF 14/5/3    | COM | 06739F184 | 5      | 87       | SH | DEFINED | 01 | 1 |
| IPATH MSCI INDIA INDEX ETN      | COM | 06739F291 | 3589   | 53686    | SH | DEFINED | 01 | 0 |
|                                 |     |           |        |          |    |         |    |   |
| IPATH MSCI INDIA INDEX ETN      | COM | 06739F291 | 4850   | 72610    | SH | DEFINED | 01 | 1 |
| IPATH MSCI INDIA INDEX ETN      | COM | 06739F291 | 221    | 3305     | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC ADR SER 2     | PRF | 06739F390 | 31     | 1350     | SH | DEFINED | 01 | 1 |
| BARCLAYS YEELD STRUCTURED NOTE  | PRF | 06739GAW9 | 24838  | 24000    | SH | DEFINED | 01 | 0 |
| BARCLAYS BANK PLC IPATH DOW     | COM | 06739H206 | 28     | 718      | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| BARCLAYS BANK PLC IPATH ETN   | COM | 06739H214 | 48     | 1000    | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH DJ-U  | COM | 06739H255 | 2      | 55      | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH ETN   | COM | 06739H271 | 3      | 75      | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH ETN   | COM | 06739H305 | 32     | 948     | SH | DEFINED | 01 | 1 |
| BARCLAYS BK PLC SPONSORED     | PRF | 06739H362 | 51     | 2000    | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC USD INTELL  | COM | 06739H412 | 3      | 60      | SH | DEFINED | 01 | 1 |
| BARCLAYS GLOBAL INVESTORS     | COM | 06739H644 | 1      | 110     | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH DJ A  | COM | 06739H750 | 10     | 400     | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC SPONSORED   | PRF | 06739H776 | 49     | 2000    | SH | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH S&P   | COM | 06740C527 | 142    | 6756    | SH | DEFINED | 01 | 1 |
| BARNES & NOBLE INC            | COM | 067774109 | 837    | 38703   | SH | DEFINED | 01 | 0 |
| BARNES & NOBLE INC            | COM | 067774109 | 608    | 28141   | SH | DEFINED | 01 | 1 |
| BARNES GROUP INC              | COM | 067806109 | 734    | 37756   | SH | DEFINED | 01 | 0 |
| BARNES GROUP INC              | COM | 067806109 | 1      | 29      | SH | DEFINED | 01 | 1 |
| BARRICK GOLD CORP             | COM | 067901108 | 27624  | 720507  | SH | DEFINED | 01 | 0 |
| BARRICK GOLD CORP             | COM | 067901108 | 1996   | 52058   | SH | DEFINED | 01 | 0 |
| BARRICK GOLD CORP             | COM | 067901108 | 6422   | 167567  | SH | DEFINED | 01 | 1 |
| BARRICK GOLD CORP             | COM | 067901108 | 799    | 20833   | SH | DEFINED | 01 | 1 |
| BARNWELL INDUSTRIES INC       | COM | 068221100 | 2      | 500     | SH | DEFINED | 01 | 1 |
| BILL BARRETT CORP             | COM | 06846N104 | 812    | 26447   | SH | DEFINED | 01 | 0 |
| BILL BARRETT CORP             | COM | 06846N104 | 31     | 1015    | SH | DEFINED | 01 | 1 |
| BASIC ENERGY SERVICES INC     | COM | 06985P100 | 246    | 31886   | SH | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC      | COM | 071813109 | 137306 | 2359129 | SH | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC      | COM | 071813109 | 1779   | 30568   | SH | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC      | COM | 071813109 | 1169   | 20092   | SH | DEFINED | 01 | 1 |
| BAYTEX ENERGY TRUST-UNITS     | COM | 073176109 | 589    | 17357   | SH | DEFINED | 01 | 0 |
| BAYTEX ENERGY TRUST-UNITS     | COM | 073176109 | 1601   | 47176   | SH | DEFINED | 01 | 1 |
| BAYTEX ENERGY TRUST-UNITS     | COM | 073176109 | 38     | 1128    | SH | DEFINED | 01 | 1 |
| BE AEROSPACE INC              | COM | 073302101 | 4613   | 151555  | SH | DEFINED | 01 | 0 |
| BE AEROSPACE INC              | COM | 073302101 | 1059   | 34870   | SH | DEFINED | 01 | 1 |
| BEACON PWR CORP COM           | COM | 073677106 | 5      | 11145   | SH | DEFINED | 01 | 1 |
| BEACON ROOFING SUPPLY INC     | COM | 073685109 | 7      | 392     | SH | DEFINED | 01 | 1 |
| BEAZER HOMES USA INC          | COM | 07556Q105 | 64     | 14000   | SH | DEFINED | 01 | 1 |
| BEBE STORES INC               | COM | 075571109 | 10834  | 1217337 | SH | DEFINED | 01 | 0 |
| BEBE STORES INC               | COM | 075571109 | 3      | 300     | SH | DEFINED | 01 | 1 |
| BECKMAN COULTER INC           | COM | 075811109 | 75     | 1190    | SH | DEFINED | 01 | 1 |
| BECTON DICKINSON AND CO       | COM | 075887109 | 44037  | 559332  | SH | DEFINED | 01 | 0 |
| BECTON DICKINSON AND CO       | COM | 075887109 | 864    | 10972   | SH | DEFINED | 01 | 0 |
| BECTON DICKINSON AND CO       | COM | 075887109 | 471    | 5987    | SH | DEFINED | 01 | 1 |
| BED BATH & BEYOND INC         | COM | 075896100 | 62703  | 1432923 | SH | DEFINED | 01 | 0 |
| BED BATH & BEYOND INC         | COM | 075896100 | 636    | 14523   | SH | DEFINED | 01 | 0 |
| BED BATH & BEYOND INC         | COM | 075896100 | 86     | 1958    | SH | DEFINED | 01 | 1 |
| BEL FUSE INC-CL B             | COM | 077347300 | 172    | 8516    | SH | DEFINED | 01 | 0 |
| BELDEN INC                    | COM | 077454106 | 34460  | 1254943 | SH | DEFINED | 01 | 0 |
| BELO A H CORP DEL SER A FRML  | COM | 080555105 | 35     | 5186    | SH | DEFINED | 01 | 1 |
| BEMIS COMPANY                 | COM | 081437105 | 60     | 2093    | SH | DEFINED | 01 | 0 |
| BEMIS COMPANY                 | COM | 081437105 | 104    | 3612    | SH | DEFINED | 01 | 0 |
| BEMIS COMPANY                 | COM | 081437105 | 30034  | 1047234 | SH | DEFINED | 01 | 1 |
| BENCHMARK ELECTRONICS INC     | COM | 08160H101 | 2228   | 107434  | SH | DEFINED | 01 | 0 |
| BENCHMARK ELECTRONICS INC     | COM | 08160H101 | 1      | 69      | SH | DEFINED | 01 | 1 |
| BENEFICIAL MUT BANCORP IN     | COM | 08173R104 | 37     | 3950    | SH | DEFINED | 01 | 1 |
| WR BERKLEY CORP               | COM | 084423102 | 19220  | 736743  | SH | DEFINED | 01 | 0 |
| WR BERKLEY CORP               | COM | 084423102 | 7      | 251     | SH | DEFINED | 01 | 1 |
| BERKSHIRE HATHAWAY INC DEL CL | COM | 084670108 | 4507   | 37      | SH | DEFINED | 01 | 1 |
| BERKSHIRE HATHAWAY INC-CL B   | COM | 084670702 | 159656 | 1964490 | SH | DEFINED | 01 | 0 |
| BERKSHIRE HATHAWAY INC-CL B   | COM | 084670702 | 7463   | 91828   | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| BERKSHIRE HATHAWAY INC-CL B    | COM | 084670702 | 93    | 1150    | SH | DEFINED | 01 | 1 |
| BERKSHIRE HILLS BANCORP IN     | COM | 084680107 | 0     | 1       | SH | DEFINED | 01 | 1 |
| BERRY PETROLEUM CO-CLASS A     | COM | 085789105 | 2191  | 77839   | SH | DEFINED | 01 | 0 |
| BEST BUY CO INC                | COM | 086516101 | 44335 | 1042206 | SH | DEFINED | 01 | 0 |
| BEST BUY CO INC                | COM | 086516101 | 1157  | 27184   | SH | DEFINED | 01 | 0 |
| BEST BUY CO INC                | COM | 086516101 | 83384 | 1960168 | SH | DEFINED | 01 | 1 |
| BEST BUY CO INC                | COM | 086516101 | 1080  | 25393   | SH | DEFINED | 01 | 1 |
| BHP BILLITON ADR               | COM | 088606108 | 2408  | 30000   | SH | DEFINED | 01 | 1 |
| BHP BILLITON ADR               | COM | 088606108 | 1491  | 18564   | SH | DEFINED | 01 | 1 |
| JPMBHARAT HEAVY ELECTRICAL P-N | COM | 088666995 | 624   | 11714   | SH | DEFINED | 01 | 0 |
| BIG 5 SPORTING GOODS CORP      | COM | 08915P101 | 700   | 46084   | SH | DEFINED | 01 | 0 |
| BIG LOTS INC                   | COM | 089302103 | 7049  | 193521  | SH | DEFINED | 01 | 0 |
| BIG LOTS INC                   | COM | 089302103 | 98    | 2686    | SH | DEFINED | 01 | 0 |
| BIGBAND NETWORKS INC           | COM | 089750509 | 16563 | 4692013 | SH | DEFINED | 01 | 0 |
| BIGBAND NETWORKS INC           | COM | 089750509 | 357   | 101091  | SH | DEFINED | 01 | 0 |
| BIO-RAD LABORATORIES-CL A      | COM | 090572207 | 1553  | 15000   | SH | DEFINED | 01 | 0 |
| BIO-RAD LABORATORIES-CL A      | COM | 090572207 | 16    | 156     | SH | DEFINED | 01 | 1 |
| BIO-REFERENCE LABS INC         | COM | 09057G602 | 383   | 8719    | SH | DEFINED | 01 | 0 |
| BIOCRYST PHARMACEUT            | COM | 09058V103 | 58    | 8900    | SH | DEFINED | 01 | 1 |
| BIODELIVERY SCIENCESINTL INC   | COM | 09060J106 | 46    | 12000   | SH | DEFINED | 01 | 1 |
| BIOMARIN PHARMACEUTICAL INC    | COM | 09061G101 | 19082 | 816538  | SH | DEFINED | 01 | 0 |
| BIOMARIN PHARMACEUTICAL INC    | COM | 09061G101 | 286   | 12242   | SH | DEFINED | 01 | 0 |
| BIOMARIN PHARMACEUTICAL INC    | COM | 09061G101 | 107   | 4550    | SH | DEFINED | 01 | 1 |
| BIOMARIN PHARMACEUTICAL INC    | COM | 09061G101 | 5     | 215     | SH | DEFINED | 01 | 1 |
| BIOGEN IDEC INC                | COM | 09062X103 | 1493  | 26050   | SH | DEFINED | 01 | 0 |
| BIOGEN IDEC INC                | COM | 09062X103 | 681   | 11876   | SH | DEFINED | 01 | 0 |
| BIOGEN IDEC INC                | COM | 09062X103 | 242   | 4210    | SH | DEFINED | 01 | 1 |
| BIOMED REALTY TRUST INC        | COM | 09063H107 | 5741  | 347088  | SH | DEFINED | 01 | 0 |
| BIOMED REALTY TRUST INC        | COM | 09063H107 | 9     | 557     | SH | DEFINED | 01 | 1 |
| BIONOVO INC                    | COM | 090643107 | 2     | 4000    | SH | DEFINED | 01 | 1 |
| BIOSANTE PHARMACEUT            | COM | 09065V203 | 9     | 4883    | SH | DEFINED | 01 | 1 |
| BIOTECH HOLDRS TRUST ETF       | COM | 09067D201 | 91    | 880     | SH | DEFINED | 01 | 1 |
| BIOVAIL CORP                   | COM | 09067J109 | 17470 | 1041650 | SH | DEFINED | 01 | 0 |
| BIOVAIL CORP                   | COM | 09067J109 | 7527  | 449600  | SH | DEFINED | 01 | 1 |
| BIOVAIL CORP                   | COM | 09067J109 | 91    | 5404    | SH | DEFINED | 01 | 1 |
| BJ'S RESTAURANTS INC           | COM | 09180C106 | 384   | 16477   | SH | DEFINED | 01 | 0 |
| BJ'S RESTAURANTS INC           | COM | 09180C106 | 6     | 255     | SH | DEFINED | 01 | 1 |
| BLACK BOX CORPORATION          | COM | 091826107 | 654   | 21269   | SH | DEFINED | 01 | 0 |
| BLACKBOARD INC                 | COM | 091935502 | 44    | 1065    | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM  | COM | 091941104 | 3     | 200     | SH | DEFINED | 01 | 1 |
| BLACK HILLS CORP               | COM | 092113109 | 2737  | 90202   | SH | DEFINED | 01 | 0 |
| BLACK HILLS CORP               | COM | 092113109 | 40    | 1306    | SH | DEFINED | 01 | 1 |
| BLACKBAUD INC                  | COM | 09227Q100 | 5726  | 227281  | SH | DEFINED | 01 | 0 |
| BLACKBAUD INC                  | COM | 09227Q100 | 7     | 258     | SH | DEFINED | 01 | 1 |
| BLACKROCK INSD MUN TERM TR IN  | COM | 092474105 | 83    | 8268    | SH | DEFINED | 01 | 1 |
| BLACKROCK INCOME OPPORTUNIT    | COM | 092475102 | 164   | 17367   | SH | DEFINED | 01 | 1 |
| BLACKROCK INSD MUN INCOME TR   | COM | 092479104 | 14    | 1000    | SH | DEFINED | 01 | 1 |
| BLACKROCK INVESTMENTQUALITY MU | COM | 09247B109 | 111   | 9000    | SH | DEFINED | 01 | 1 |
| BLACKROCK INVESTMENTQUALITY MU | COM | 09247D105 | 84    | 6000    | SH | DEFINED | 01 | 1 |
| BLACKROCK N Y INVT QUALITY MU  | COM | 09247E103 | 22    | 1550    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |      |        |    |         |    |   |
|--------------------------------|-----|-----------|------|--------|----|---------|----|---|
| BLACKROCK INCOME TR INC        | COM | 09247F100 | 73   | 11190  | SH | DEFINED | 01 | 1 |
| BLACKROCK INC                  | COM | 09247X101 | 869  | 3993   | SH | DEFINED | 01 | 0 |
| BLACKROCK INC                  | COM | 09247X101 | 120  | 551    | SH | DEFINED | 01 | 1 |
| BLACKROCK CALIF MUN INCOME TR  | COM | 09248E102 | 10   | 800    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN INCOMETR         | COM | 09248F109 | 19   | 1375   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNICIPAL INCOME INV | COM | 09248H105 | 14   | 1000   | SH | DEFINED | 01 | 1 |
| BLACKROCK N J MUN INCOME TR    | COM | 09248J101 | 37   | 2540   | SH | DEFINED | 01 | 1 |
| BLACKROCK NY MUN 2018 TERM     | COM | 09248K108 | 7    | 400    | SH | DEFINED | 01 | 1 |
| BLACKROCK N Y MUN INCOME TR    | COM | 09248L106 | 24   | 1601   | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW JERSEYMUN BD TR  | COM | 09249A109 | 20   | 1386   | SH | DEFINED | 01 | 1 |
| BLACKROCK CORE BD TRSHS BEN IN | COM | 09249E101 | 53   | 4340   | SH | DEFINED | 01 | 1 |
| BLACKROCK STRATEGIC            | COM | 09249G106 | 102  | 8000   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN BD TR            | COM | 09249H104 | 53   | 3632   | SH | DEFINED | 01 | 1 |
| BLACKROCK MD MUN BD TR         | COM | 09249L105 | 12   | 796    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN INCOME TR II     | COM | 09249N101 | 18   | 1350   | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW YORK MUN BD TR   | COM | 09249P106 | 41   | 2714   | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW YORK MUN INCOME  | COM | 09249R102 | 30   | 2051   | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD OPPORTUNIT       | COM | 09249V103 | 16   | 1500   | SH | DEFINED | 01 | 1 |
| BLACKROCK LTD DURATION I       | COM | 09249W101 | 171  | 10517  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN 2020 TERM TR CO  | COM | 09249X109 | 6    | 400    | SH | DEFINED | 01 | 1 |
| BLACKROCK STRATEGIC DIVID ACHI | COM | 09249Y107 | 7    | 700    | SH | DEFINED | 01 | 1 |
| BLACKROCK GLOBAL OPPORTUNIT    | COM | 092501105 | 353  | 17977  | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD & EQUITY ADV     | COM | 092508100 | 89   | 7300   | SH | DEFINED | 01 | 1 |
| BLACKROCK LONG TERM MUN ADVANT | COM | 09250B103 | 52   | 5000   | SH | DEFINED | 01 | 1 |
| BLACKROCK INSURED MUNICIPAL    | COM | 09250G102 | 57   | 4000   | SH | DEFINED | 01 | 1 |
| BLACKROCK DIVID ACHIEVERS      | COM | 09250N107 | 105  | 11367  | SH | DEFINED | 01 | 1 |
| BLACKROCK ENERGY & RES TR      | COM | 09250U101 | 146  | 5862   | SH | DEFINED | 01 | 1 |
| BLACKROCK HEALTH SCIENCES T    | COM | 09250W107 | 100  | 3800   | SH | DEFINED | 01 | 1 |
| BLACKROCK ENHANCED DIVID ACHI  | COM | 09251A104 | 196  | 22083  | SH | DEFINED | 01 | 1 |
| BLACKROCK INTL GROWTH & I      | COM | 092524107 | 28   | 2449   | SH | DEFINED | 01 | 1 |
| BLACKROCK KELSO CAP COORPO     | COM | 092533108 | 47   | 4675   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09253N104 | 28   | 1825   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09253P109 | 217  | 15300  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIVEST FD II INC   | COM | 09253T101 | 30   | 2055   | SH | DEFINED | 01 | 1 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 6294 | 449575 | SH | DEFINED | 01 | 0 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 97   | 6916   | SH | DEFINED | 01 | 0 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 280  | 20011  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD FD INC     | COM | 09253W104 | 9    | 700    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNI INTER DURA      | COM | 09253X102 | 1    | 100    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIENHANC           | COM | 09253Y100 | 26   | 2450   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254A101 | 74   | 5541   | SH | DEFINED | 01 | 1 |
| BLACKROCK REAL ASSETEQUITY TR  | COM | 09254B109 | 181  | 14100  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD INSD FD IN | COM | 09254E103 | 125  | 9564   | SH | DEFINED | 01 | 1 |
| BLACKROCK APEX MUN FD INC      | COM | 09254H106 | 13   | 1500   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIASSETSFD INC     | COM | 09254J102 | 165  | 13319  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254L107 | 14   | 1036   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD CALIF FD I | COM | 09254M105 | 317  | 24048  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD CALIF INSD | COM | 09254N103 | 5    | 397    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N J FD INC | COM | 09254Y109 | 55   | 3825   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N J INSD F | COM | 09255A100 | 320  | 22494  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |           |      |        |    |         |    |   |
|------------------------------------|-----------|------|--------|----|---------|----|---|
| BLACKROCK MUNIHOLDIN COM           | 09255C106 | 56   | 4000   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N Y INSD COM   | 09255E102 | 68   | 5488   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD PA INSD FD COM | 09255G107 | 32   | 2323   | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD INCOMESTRATEGIES COM | 09255H105 | 8    | 745    | SH | DEFINED | 01 | 1 |
| BLACKROCK ENHANCED GOVT FD IN COM  | 09255K108 | 4    | 250    | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD COM | 09255L106 | 1500 | 221529 | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD COM | 09255M104 | 74   | 10772  | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD COM | 09255N102 | 277  | 24864  | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD COM | 09255P107 | 31   | 2806   | SH | DEFINED | 01 | 1 |
| BLACKROCK DEBT STRATEGIES COM      | 09255R103 | 105  | 25034  | SH | DEFINED | 01 | 1 |
| BLACKROCK SR HIGH INCOME FD COM    | 09255T109 | 8    | 2005   | SH | DEFINED | 01 | 1 |
| BLACKROCK DIVERSIFIE COM           | 09255W102 | 3    | 305    | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM COM  | 09255X100 | 15   | 1000   | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM COM  | 09255Y108 | 46   | 3309   | SH | DEFINED | 01 | 1 |
| BLACKROCK ENHANCED CAP & INCO COM  | 09256A109 | 122  | 7788   | SH | DEFINED | 01 | 1 |
| BLDRS DEVELOPED MKTS100 ADR IN COM | 09348R201 | 8    | 389    | SH | DEFINED | 01 | 1 |
| BLDRS EMERGING MKTS 50 ADR IND COM | 09348R300 | 977  | 22212  | SH | DEFINED | 01 | 1 |
| BLDRS EUROPE 100 ADRINDEX FD COM   | 09348R409 | 14   | 667    | SH | DEFINED | 01 | 1 |
| H&R BLOCK INC COM                  | 093671105 | 9262 | 520329 | SH | DEFINED | 01 | 0 |
| H&R BLOCK INC COM                  | 093671105 | 470  | 26380  | SH | DEFINED | 01 | 0 |
| H&R BLOCK INC COM                  | 093671105 | 8438 | 473961 | SH | DEFINED | 01 | 1 |
| H&R BLOCK INC COM                  | 093671105 | 291  | 16322  | SH | DEFINED | 01 | 1 |
| BLOUNT INTL INC COM                | 095180105 | 0    | 14     | SH | DEFINED | 01 | 1 |
| BLUE CHIP VALUE FD COM             | 095333100 | 95   | 28610  | SH | DEFINED | 01 | 1 |
| BLUE COAT SYSTEMS INC COM          | 09534T508 | 9416 | 303401 | SH | DEFINED | 01 | 0 |
| BLUE COAT SYSTEMS INC COM          | 09534T508 | 6    | 200    | SH | DEFINED | 01 | 1 |
| BLUE DOLPHIN ENERGY CORP COM       | 095395208 | 0    | 500    | SH | DEFINED | 01 | 1 |
| BLUE NILE INC COM                  | 09578R103 | 646  | 11744  | SH | DEFINED | 01 | 0 |

|                                   |           |       |        |    |         |    |   |
|-----------------------------------|-----------|-------|--------|----|---------|----|---|
| BLUE NILE INC COM                 | 09578R103 | 1     | 25     | SH | DEFINED | 01 | 1 |
| BLUE SQUARE-ISRAEL ADS-EACH R COM | 096055108 | 3     | 215    | SH | DEFINED | 01 | 1 |
| BLUEFLY INC COM NEW COM           | 096227301 | 0     | 20     | SH | DEFINED | 01 | 1 |
| BLUELINK HOLDINGS INC ISIN # COM  | 09624H109 | 6     | 1600   | SH | DEFINED | 01 | 1 |
| BLYTH INC COM                     | 09643P207 | 167   | 5357   | SH | DEFINED | 01 | 0 |
| BOARDWALK PIPELINE PARTNERS L COM | 096627104 | 146   | 4897   | SH | DEFINED | 01 | 1 |
| BOB EVANS FARMS COM               | 096761101 | 8560  | 276920 | SH | DEFINED | 01 | 0 |
| BOB EVANS FARMS COM               | 096761101 | 3     | 100    | SH | DEFINED | 01 | 1 |
| BOEING CO COM                     | 097023105 | 21616 | 297691 | SH | DEFINED | 01 | 0 |
| BOEING CO COM                     | 097023105 | 2905  | 40011  | SH | DEFINED | 01 | 0 |
| BOEING CO COM                     | 097023105 | 7508  | 132700 | SH | DEFINED | 01 | 1 |
| BOEING CO COM                     | 097023105 | 3186  | 43879  | SH | DEFINED | 01 | 1 |
| BOISE INC COM                     | 09746Y105 | 2356  | 384426 | SH | DEFINED | 01 | 0 |
| BOLT TECHNOLOGY CORP COM          | 097698104 | 2     | 175    | SH | DEFINED | 01 | 1 |
| BON-TON STORES INC COM            | 09776J101 | 43    | 3200   | SH | DEFINED | 01 | 1 |
| BOOTS & COOTS INTERNATIONAL COM   | 099469504 | 117   | 48334  | SH | DEFINED | 01 | 0 |
| BOOTS & COOTS INTERNATIONAL COM   | 099469504 | 1     | 325    | SH | DEFINED | 01 | 1 |
| BORDERS GROUP INC COM             | 099709107 | 676   | 393070 | SH | DEFINED | 01 | 0 |
| BORGWARNER INC COM                | 099724106 | 46    | 1201   | SH | DEFINED | 01 | 1 |
| BOSTON BEER COMPANY INC-CL A COM  | 100557107 | 347   | 6634   | SH | DEFINED | 01 | 0 |
| BOSTON BEER COMPANY INC-CL A COM  | 100557107 | 10    | 200    | SH | DEFINED | 01 | 1 |
| BOSTON PRIVATE FINL HOLDING COM   | 101119105 | 405   | 54894  | SH | DEFINED | 01 | 0 |
| BOSTON PRIVATE FINL HOLDING COM   | 101119105 | 0     | 3      | SH | DEFINED | 01 | 1 |
| BOSTON PROPERTIES INC COM         | 101121101 | 35199 | 466595 | SH | DEFINED | 01 | 0 |
| BOSTON PROPERTIES INC COM         | 101121101 | 476   | 6309   | SH | DEFINED | 01 | 0 |
| BOSTON PROPERTIES INC COM         | 101121101 | 549   | 7283   | SH | DEFINED | 01 | 1 |
| BOSTON PROPERTIES INC COM         | 101121101 | 41    | 545    | SH | DEFINED | 01 | 1 |
| BOSTON SCIENTIFIC CORP COM        | 101137107 | 413   | 57218  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| BOSTON SCIENTIFIC CORP         | COM | 101137107 | 735    | 101781   | SH | DEFINED | 01 | 0 |
| BOSTON SCIENTIFIC CORP         | COM | 101137107 | 445    | 61674    | SH | DEFINED | 01 | 1 |
| BOULDER TOTAL RETURNFD         | COM | 101541100 | 9      | 600      | SH | DEFINED | 01 | 1 |
| BOWNE & CO INC                 | COM | 103043105 | 283    | 25371    | SH | DEFINED | 01 | 0 |
| BOYD GAMING CORP               | COM | 103304101 | 15     | 1542     | SH | DEFINED | 01 | 1 |
| BRADY CORPORATION - CL A       | COM | 104674106 | 3586   | 115245   | SH | DEFINED | 01 | 0 |
| BRADY CORPORATION - CL A       | COM | 104674106 | 14     | 451      | SH | DEFINED | 01 | 1 |
| BRANDYWINE REALTY TRUST        | COM | 105368203 | 5271   | 431700   | SH | DEFINED | 01 | 0 |
| BRANDYWINE REALTY TRUST        | COM | 105368203 | 277    | 22705    | SH | DEFINED | 01 | 1 |
| BRF-BRASIL FOODS SA SPND LVL1  | COM | 10552T107 | 16     | 300      | SH | DEFINED | 01 | 1 |
| BRASKEM SA-SPON ADR            | COM | 105532105 | 127    | 8800     | SH | DEFINED | 01 | 0 |
| BRASKEM SA-SPON ADR            | COM | 105532105 | 9      | 615      | SH | DEFINED | 01 | 1 |
| BRASIL TELECOM SA - ADR        | COM | 10553M101 | 29     | 1500     | SH | DEFINED | 01 | 0 |
| BRASIL TELECOM SA - ADR        | COM | 10553M101 | 16     | 848      | SH | DEFINED | 01 | 1 |
| BRASIL TELECOM SA SPON ADR R   | COM | 10553M200 | 2      | 265      | SH | DEFINED | 01 | 1 |
| B103BURN ENERGY PARTNERS L     | COM | 106776107 | 33     | 2200     | SH | DEFINED | 01 | 1 |
| BRIDGE BANCORP INC             | COM | 108035106 | 19     | 824      | SH | DEFINED | 01 | 0 |
| BRIDGELINE DIGITAL INC COM     | COM | 10807Q205 | 11     | 8333     | SH | DEFINED | 01 | 1 |
| BRIGGS & STRATTON              | COM | 109043109 | 1001   | 51330    | SH | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO         | COM | 109178103 | 794    | 49813    | SH | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO         | COM | 109178103 | 112    | 7000     | SH | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO         | COM | 109178103 | 37250  | 2335417  | SH | DEFINED | 01 | 1 |
| BRIGHAM EXPLORATION CO         | COM | 109178103 | 5      | 300      | SH | DEFINED | 01 | 1 |
| BRIGHTPOINT INC                | COM | 109473405 | 3873   | 514421   | SH | DEFINED | 01 | 0 |
| BRIGHTPOINT INC                | COM | 109473405 | 72     | 9497     | SH | DEFINED | 01 | 0 |
| BRINKER INTERNATIONAL INC      | COM | 109641100 | 1149   | 59620    | SH | DEFINED | 01 | 0 |
| BRINKER INTERNATIONAL INC      | COM | 109641100 | 116    | 6000     | SH | DEFINED | 01 | 0 |
| BRINKER INTERNATIONAL INC      | COM | 109641100 | 47913  | 2488914  | SH | DEFINED | 01 | 1 |
| BRINK'S CO/THE                 | COM | 109696104 | 26401  | 935164   | SH | DEFINED | 01 | 0 |
| BRINK'S CO/THE                 | COM | 109696104 | 460    | 16292    | SH | DEFINED | 01 | 1 |
| BRINKS HOME SECURITY           | COM | 109699108 | 2114   | 49682    | SH | DEFINED | 01 | 1 |
| BRINKS HOME SECURITY           | COM | 109699108 | 300    | 7049     | SH | DEFINED | 01 | 1 |
| BRISTOL-MYERS SQUIBB CO        | COM | 110122108 | 452498 | 16947321 | SH | DEFINED | 01 | 0 |
| BRISTOL-MYERS SQUIBB CO        | COM | 110122108 | 3400   | 127349   | SH | DEFINED | 01 | 0 |
| BRISTOL-MYERS SQUIBB CO        | COM | 110122108 | 1571   | 58846    | SH | DEFINED | 01 | 1 |
| BRISTOL-MYERS SQUIBB CO        | COM | 110122108 | 4099   | 153535   | SH | DEFINED | 01 | 1 |
| BRISTOW GROUP INC              | COM | 110394103 | 6648   | 176201   | SH | DEFINED | 01 | 0 |
| BRITISH AMERICAN TOBACCO LV    | COM | 110448107 | 28     | 402      | SH | DEFINED | 01 | 1 |
| BROADBAND HOLDRS TR DEPOSITARY | COM | 11130P104 | 1      | 100      | SH | DEFINED | 01 | 1 |
| BROADCOM CORP-CL A             | COM | 111320107 | 37816  | 1139669  | SH | DEFINED | 01 | 0 |
| BROADCOM CORP-CL A             | COM | 111320107 | 1038   | 31288    | SH | DEFINED | 01 | 0 |
| BROADCOM CORP-CL A             | COM | 111320107 | 48     | 1400     | SH | DEFINED | 01 | 1 |
| BROADCOM CORP-CL A             | COM | 111320107 | 1538   | 46325    | SH | DEFINED | 01 | 1 |
| BROADRIDGE FINANCIAL           | COM | 11133T103 | 28     | 1323     | SH | DEFINED | 01 | 1 |
| BROADPOINT GLEACHER SECURITIES | COM | 11134A103 | 177    | 44481    | SH | DEFINED | 01 | 0 |
| BROADVISION INC COM PAR \$.001 | COM | 111412706 | 3      | 196      | SH | DEFINED | 01 | 1 |
| BROADWIND ENERGY INCCOM        | COM | 11161T108 | 1      | 200      | SH | DEFINED | 01 | 1 |
| BROCADE COMMUNICATIONS SYS     | COM | 111621306 | 25125  | 4400446  | SH | DEFINED | 01 | 0 |
| BROCADE COMMUNICATIONS SYS     | COM | 111621306 | 125    | 21963    | SH | DEFINED | 01 | 0 |
| BROCADE COMMUNICATIONS SYS     | COM | 111621306 | 12     | 2095     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| BRONCO DRILLING CO INC COM     | COM | 112211107 | 56    | 12002   | SH | DEFINED | 01 | 1 |
| BROOKDALE SR LIVING INC COM    | COM | 112463104 | 1066  | 51155   | SH | DEFINED | 01 | 1 |
| BROOKFIELD ASSET MANAGE-CL A   | COM | 112585104 | 14916 | 586760  | SH | DEFINED | 01 | 0 |
| BROOKFIELD ASSET MANAGE-CL A   | COM | 112585104 | 110   | 4317    | SH | DEFINED | 01 | 1 |
| BROOKFIELD PROPERTIES CORP     | COM | 112900105 | 4934  | 321193  | SH | DEFINED | 01 | 0 |
| BROOKFIELD PROPERTIES CORP     | COM | 112900105 | 973   | 63377   | SH | DEFINED | 01 | 1 |
| BROOKLINE BANCORP INC          | COM | 11373M107 | 2721  | 255752  | SH | DEFINED | 01 | 0 |
| BROOKLINE BANCORP INC          | COM | 11373M107 | 9     | 850     | SH | DEFINED | 01 | 1 |
| BROOKS AUTOMATION INC          | COM | 114340102 | 19679 | 2231244 | SH | DEFINED | 01 | 0 |
| BROOKS AUTOMATION INC          | COM | 114340102 | 46    | 5220    | SH | DEFINED | 01 | 1 |
| BROWN & BROWN INC              | COM | 115236101 | 257   | 14316   | SH | DEFINED | 01 | 1 |
| BROWN-FORMAN CORP-CLASS B      | COM | 115637209 | 7658  | 128835  | SH | DEFINED | 01 | 0 |
| BROWN-FORMAN CORP-CLASS B      | COM | 115637209 | 284   | 4774    | SH | DEFINED | 01 | 0 |
| BROWN-FORMAN CORP-CLASS B      | COM | 115637209 | 130   | 2191    | SH | DEFINED | 01 | 1 |
| BROWN SHOE COMPANY INC         | COM | 115736100 | 1208  | 77946   | SH | DEFINED | 01 | 0 |
| BRUKER CORP                    | COM | 116794108 | 2286  | 156100  | SH | DEFINED | 01 | 0 |
| BRUKER CORP                    | COM | 116794108 | 3     | 200     | SH | DEFINED | 01 | 1 |
| BRUNSWICK CORP                 | COM | 117043109 | 11175 | 699694  | SH | DEFINED | 01 | 0 |
| BRUSH ENGINEERED MATERIALS     | COM | 117421107 | 717   | 31715   | SH | DEFINED | 01 | 0 |
| BUCKEYE PARTNERS L PUNIT LTD P | COM | 118230101 | 456   | 7583    | SH | DEFINED | 01 | 1 |
| BUCKEYE TECHNOLOGIES INC       | COM | 118255108 | 465   | 35558   | SH | DEFINED | 01 | 0 |
| BUCKLE INC/THE                 | COM | 118440106 | 851   | 23153   | SH | DEFINED | 01 | 0 |
| BUCKLE INC/THE                 | COM | 118440106 | 31    | 844     | SH | DEFINED | 01 | 1 |
| BUCYRUS INTERNATIONAL INC      | COM | 118759109 | 3032  | 45939   | SH | DEFINED | 01 | 0 |
| BUCYRUS INTERNATIONAL INC      | COM | 118759109 | 66630 | 1010019 | SH | DEFINED | 01 | 1 |
| BUCYRUS INTERNATIONAL INC      | COM | 118759109 | 586   | 8873    | SH | DEFINED | 01 | 1 |
| BUFFALO WILD WINGS INC         | COM | 119848109 | 4939  | 102651  | SH | DEFINED | 01 | 0 |
| BUFFALO WILD WINGS INC         | COM | 119848109 | 73    | 1525    | SH | DEFINED | 01 | 0 |
| BUFFALO WILD WINGS INC         | COM | 119848109 | 129   | 2687    | SH | DEFINED | 01 | 1 |
| BUFFETS RESTAURANTS HOLDINGS   | COM | 11988P107 | 92    | 30638   | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC      | COM | 120076104 | 68    | 9576    | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC      | COM | 120076104 | 48    | 6775    | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC      | COM | 120076104 | 2     | 290     | SH | DEFINED | 01 | 1 |
| BURGER KING HOLDINGS INC       | COM | 121208201 | 21355 | 1004448 | SH | DEFINED | 01 | 0 |
| BURGER KING HOLDINGS INC       | COM | 121208201 | 197   | 9275    | SH | DEFINED | 01 | 0 |
| BURGER KING HOLDINGS INC       | COM | 121208201 | 4     | 193     | SH | DEFINED | 01 | 1 |
| C & D TECHNOLOGIES             | COM | 124661109 | 8     | 5007    | SH | DEFINED | 01 | 1 |
| CAE INC COM NPV ISIN #CA12     | COM | 124765108 | 84    | 8565    | SH | DEFINED | 01 | 1 |
| CAS MED SYS INC COM PAR \$0    | COM | 124769209 | 0     | 200     | SH | DEFINED | 01 | 1 |
| CBL & ASSOC PPTYS INC          | COM | 124830100 | 228   | 16629   | SH | DEFINED | 01 | 1 |
| CBS CORP NEW CL A              | COM | 124857103 | 3     | 221     | SH | DEFINED | 01 | 1 |
| CBS CORP-CLASS B NON VOTING    | COM | 124857202 | 46916 | 3365596 | SH | DEFINED | 01 | 0 |
| CBS CORP-CLASS B NON VOTING    | COM | 124857202 | 736   | 52783   | SH | DEFINED | 01 | 0 |
| CBS CORP-CLASS B NON VOTING    | COM | 124857202 | 74    | 5336    | SH | DEFINED | 01 | 1 |
| CB RICHARD ELLIS GROUP INC-A   | COM | 12497T101 | 4679  | 295222  | SH | DEFINED | 01 | 0 |
| CB RICHARD ELLIS GROUP INC-A   | COM | 12497T101 | 352   | 22228   | SH | DEFINED | 01 | 0 |
| CB RICHARD ELLIS GROUP INC-A   | COM | 12497T101 | 17154 | 1082868 | SH | DEFINED | 01 | 1 |
| CB RICHARD ELLIS GROUP INC-A   | COM | 12497T101 | 954   | 60181   | SH | DEFINED | 01 | 1 |
| CDI CORP                       | COM | 125071100 | 3172  | 216373  | SH | DEFINED | 01 | 0 |
| CEC ENTERTAINMENT INC          | COM | 125137109 | 2595  | 68125   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                             |     |           |       |         |    |         |    |   |
|-----------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CFS BANCORP INC             | COM | 12525D102 | 131   | 29603   | SH | DEFINED | 01 | 1 |
| CF INDUSTRIES HOLDINGS INC  | COM | 125269100 | 10084 | 110588  | SH | DEFINED | 01 | 0 |
| CF INDUSTRIES HOLDINGS INC  | COM | 125269100 | 168   | 1841    | SH | DEFINED | 01 | 0 |
| CF INDUSTRIES HOLDINGS INC  | COM | 125269100 | 7     | 73      | SH | DEFINED | 01 | 1 |
| CH ENERGY GROUP INC         | COM | 12541M102 | 3580  | 87672   | SH | DEFINED | 01 | 0 |
| CH ENERGY GROUP INC         | COM | 12541M102 | 29    | 706     | SH | DEFINED | 01 | 0 |
| C.H. ROBINSON WORLDWIDE INC | COM | 12541W209 | 15803 | 282933  | SH | DEFINED | 01 | 0 |
| C.H. ROBINSON WORLDWIDE INC | COM | 12541W209 | 413   | 7400    | SH | DEFINED | 01 | 0 |
| C.H. ROBINSON WORLDWIDE INC | COM | 12541W209 | 6263  | 118700  | SH | DEFINED | 01 | 1 |
| C.H. ROBINSON WORLDWIDE INC | COM | 12541W209 | 19    | 335     | SH | DEFINED | 01 | 1 |
| CIGNA CORP                  | COM | 125509109 | 77479 | 2118106 | SH | DEFINED | 01 | 0 |
| CIGNA CORP                  | COM | 125509109 | 750   | 20504   | SH | DEFINED | 01 | 0 |
| CIGNA CORP                  | COM | 125509109 | 107   | 2915    | SH | DEFINED | 01 | 1 |
| CIT GROUP INC NEW COM NEW   | COM | 125581801 | 105   | 2703    | SH | DEFINED | 01 | 1 |
| CKE RESTAURANTS INC         | COM | 12561E105 | 3785  | 341912  | SH | DEFINED | 01 | 0 |
| CKE RESTAURANTS INC         | COM | 12561E105 | 89    | 8058    | SH | DEFINED | 01 | 1 |
| CLECO CORP                  | COM | 12561W105 | 7     | 271     | SH | DEFINED | 01 | 1 |
| CME GROUP INC               | COM | 12572Q105 | 1338  | 4233    | SH | DEFINED | 01 | 0 |
| CME GROUP INC               | COM | 12572Q105 | 981   | 3102    | SH | DEFINED | 01 | 0 |
| CME GROUP INC               | COM | 12572Q105 | 659   | 2084    | SH | DEFINED | 01 | 1 |
| CMS ENERGY CORP             | COM | 125896100 | 257   | 16624   | SH | DEFINED | 01 | 0 |
| CMS ENERGY CORP             | COM | 125896100 | 114   | 7378    | SH | DEFINED | 01 | 0 |
| CMS ENERGY CORP             | COM | 125896100 | 7     | 462     | SH | DEFINED | 01 | 1 |
| CNA SURETY CORP             | COM | 12612L108 | 465   | 26173   | SH | DEFINED | 01 | 0 |
| CNA SURETY CORP             | COM | 12612L108 | 4     | 200     | SH | DEFINED | 01 | 1 |
| CNOOC LTD-ADR               | COM | 126132109 | 16341 | 98988   | SH | DEFINED | 01 | 0 |
| CNOOC LTD-ADR               | COM | 126132109 | 1991  | 12052   | SH | DEFINED | 01 | 1 |
| CNOOC LTD-ADR               | COM | 126132109 | 206   | 1249    | SH | DEFINED | 01 | 1 |
| CPFL ENERGIA SA             | COM | 126153105 | 159   | 2600    | SH | DEFINED | 01 | 0 |
| CPFL ENERGIA SA             | COM | 126153105 | 5588  | 121600  | SH | DEFINED | 01 | 1 |

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CPFL ENERGIA SA               | COM | 126153105 | 71     | 1159    | SH | DEFINED | 01 | 1 |
| CPEX PHARMACEUTICALSINC COM   | COM | 12620N104 | 0      | 24      | SH | DEFINED | 01 | 1 |
| CRH SPON ADR EA REPR1 ORD SHS | COM | 12626K203 | 1      | 55      | SH | DEFINED | 01 | 1 |
| CSG SYSTEMS INTL INC          | COM | 126349109 | 1484   | 70801   | SH | DEFINED | 01 | 0 |
| CSX CORP                      | COM | 126408103 | 175769 | 3453223 | SH | DEFINED | 01 | 0 |
| CSX CORP                      | COM | 126408103 | 1499   | 29445   | SH | DEFINED | 01 | 0 |
| CSX CORP                      | COM | 126408103 | 104744 | 2058251 | SH | DEFINED | 01 | 1 |
| CSX CORP                      | COM | 126408103 | 473    | 9287    | SH | DEFINED | 01 | 1 |
| CTC MEDIA INC                 | COM | 12642X106 | 12578  | 730366  | SH | DEFINED | 01 | 0 |
| CTC MEDIA INC                 | COM | 12642X106 | 1252   | 72819   | SH | DEFINED | 01 | 1 |
| CTS CORP                      | COM | 126501105 | 959    | 101781  | SH | DEFINED | 01 | 0 |
| CTS CORP                      | COM | 126501105 | 1      | 60      | SH | DEFINED | 01 | 1 |
| CVB FINANCIAL CORP            | COM | 126600105 | 5466   | 550395  | SH | DEFINED | 01 | 0 |
| CVB FINANCIAL CORP            | COM | 126600105 | 3      | 304     | SH | DEFINED | 01 | 1 |
| CVR ENERGY INC                | COM | 12662P108 | 401    | 45736   | SH | DEFINED | 01 | 0 |
| CVR ENERGY INC                | COM | 12662P108 | 18     | 2000    | SH | DEFINED | 01 | 1 |
| CVS CAREMARK CORP             | COM | 126650100 | 114743 | 3138462 | SH | DEFINED | 01 | 0 |
| CVS CAREMARK CORP             | COM | 126650100 | 2996   | 81960   | SH | DEFINED | 01 | 0 |
| CVS CAREMARK CORP             | COM | 126650100 | 826    | 22597   | SH | DEFINED | 01 | 1 |
| CA INC                        | COM | 12673P105 | 261    | 11109   | SH | DEFINED | 01 | 0 |
| CA INC                        | COM | 12673P105 | 421    | 17920   | SH | DEFINED | 01 | 0 |
| CA INC                        | COM | 12673P105 | 114649 | 4889200 | SH | DEFINED | 01 | 1 |
| CA INC                        | COM | 12673P105 | 164    | 6992    | SH | DEFINED | 01 | 1 |
| CABELA'S INC                  | COM | 126804301 | 15966  | 912939  | SH | DEFINED | 01 | 0 |
| CABELA'S INC                  | COM | 126804301 | 69     | 3925    | SH | DEFINED | 01 | 1 |
| CABLEVISION SYSTEMS-NY GRP-A  | COM | 12686C109 | 3514   | 145651  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |           |       |         |    |         |    |   |
|--------------------------------|------------|-----------|-------|---------|----|---------|----|---|
| CABLEVISION SYSTEMS-NY GRP-A   | COM        | 12686C109 | 135   | 5610    | SH | DEFINED | 01 | 1 |
| CABOT CORP                     | COM        | 127055101 | 4101  | 134900  | SH | DEFINED | 01 | 0 |
| CABOT CORP                     | COM        | 127055101 | 0     | 3       | SH | DEFINED | 01 | 1 |
| CABOT OIL & GAS CORP           | COM        | 127097103 | 214   | 5844    | SH | DEFINED | 01 | 0 |
| CABOT OIL & GAS CORP           | COM        | 127097103 | 239   | 6481    | SH | DEFINED | 01 | 0 |
| CABOT OIL & GAS CORP           | COM        | 127097103 | 724   | 19682   | SH | DEFINED | 01 | 1 |
| CABOT MICROELECTRONICS CORP    | COM        | 12709P103 | 3179  | 84032   | SH | DEFINED | 01 | 0 |
| CACHE INC                      | COM NEW    | 127150308 | 0     | 3       | SH | DEFINED | 01 | 1 |
| CACI INTERNATIONAL INC -CL A   | COM        | 127190304 | 21134 | 432635  | SH | DEFINED | 01 | 0 |
| CACI INTERNATIONAL INC -CL A   | COM        | 127190304 | 3     | 60      | SH | DEFINED | 01 | 1 |
| CADBURY PLC SPON ADREA REPR 4  | COM        | 12721E102 | 5     | 86      | SH | DEFINED | 01 | 1 |
| CADENCE DESIGN SYS INC         | COM        | 127387108 | 490   | 73598   | SH | DEFINED | 01 | 0 |
| CADENCE DESIGN SYS INC         | COM        | 127387108 | 8     | 1254    | SH | DEFINED | 01 | 1 |
| CADENCE                        | PHARMACEUT | 12738T100 | 1     | 100     | SH | DEFINED | 01 | 1 |
| CAL DIVE INTERNATIONAL INC     | COM        | 12802T101 | 425   | 57971   | SH | DEFINED | 01 | 0 |
| CAL DIVE INTERNATIONAL INC     | COM        | 12802T101 | 1     | 137     | SH | DEFINED | 01 | 1 |
| CAL-MAINE FOODS INC            | COM        | 128030202 | 3466  | 102281  | SH | DEFINED | 01 | 0 |
| CAL-MAINE FOODS INC            | COM        | 128030202 | 10    | 308     | SH | DEFINED | 01 | 0 |
| CALAMOS CONV OPPORTUNITIES & I | COM        | 128117108 | 118   | 9328    | SH | DEFINED | 01 | 1 |
| CALAMOS GLOBAL TOTALRETURN FD  | COM        | 128118106 | 27    | 1807    | SH | DEFINED | 01 | 1 |
| CALAMOS GLOBAL                 | DYNAMIC IN | 12811L107 | 6     | 772     | SH | DEFINED | 01 | 1 |
| CALAMOS CONV & HIGH INCOME FD  | COM        | 12811P108 | 428   | 34851   | SH | DEFINED | 01 | 1 |
| CALAMOS STRATEGIC              | TOTAL RETU | 128125101 | 2097  | 229152  | SH | DEFINED | 01 | 1 |
| CALAMP CORP                    | COM        | 128126109 | 1     | 400     | SH | DEFINED | 01 | 1 |
| CALAVO GROWERS INC             | COM        | 128246105 | 1071  | 58684   | SH | DEFINED | 01 | 0 |
| CALGON CARBON CORP             | COM        | 129603106 | 844   | 49322   | SH | DEFINED | 01 | 0 |
| CALGON CARBON CORP             | COM        | 129603106 | 36    | 2080    | SH | DEFINED | 01 | 1 |
| CALIFORNIA PIZZA KITCHEN INC   | COM        | 13054D109 | 754   | 44947   | SH | DEFINED | 01 | 0 |
| CALIFORNIA PIZZA KITCHEN INC   | COM        | 13054D109 | 10    | 600     | SH | DEFINED | 01 | 1 |
| CALIFORNIA WATER SVCGRP HLDG C | COM        | 130788102 | 1     | 25      | SH | DEFINED | 01 | 1 |
| CALIX NETWORKS INC             | COM        | 13100M509 | 146   | 10793   | SH | DEFINED | 01 | 0 |
| CALLAWAY GOLF COMPANY          | COM        | 131193104 | 511   | 57917   | SH | DEFINED | 01 | 0 |
| CALLIDUS SOFTWARE INC          | COM        | 13123E500 | 41    | 11231   | SH | DEFINED | 01 | 0 |
| CALLON PETROLEUM               | CORP       | 13123X102 | 2     | 282     | SH | DEFINED | 01 | 1 |
| CALPINE CORP                   | COM        | 131347304 | 665   | 56000   | SH | DEFINED | 01 | 0 |
| CALPINE CORP                   | COM        | 131347304 | 1     | 84      | SH | DEFINED | 01 | 1 |
| CALUMET SPECIALTY              | PRODUCTS P | 131476103 | 41    | 1957    | SH | DEFINED | 01 | 1 |
| CB CALPINE CORP - ESCROW       | COM        | 13199ACY5 | 0     | 6000000 | SH | DEFINED | 01 | 0 |
| CAMBREX CORP                   | COM        | 132011107 | 190   | 46926   | SH | DEFINED | 01 | 0 |
| CAMDEN NATIONAL CORP           | COM        | 133034108 | 106   | 3298    | SH | DEFINED | 01 | 0 |
| CAMDEN PROPERTY TRUST          | COM        | 133131102 | 5490  | 131871  | SH | DEFINED | 01 | 0 |
| CAMDEN PROPERTY TRUST          | COM        | 133131102 | 19    | 455     | SH | DEFINED | 01 | 1 |
| CAMECO CORP COM NPV ISIN #CA13 | COM        | 13321L108 | 328   | 11969   | SH | DEFINED | 01 | 1 |
| CAMERON INTERNATIONAL CORP     | COM        | 13342B105 | 33964 | 792482  | SH | DEFINED | 01 | 0 |
| CAMERON INTERNATIONAL CORP     | COM        | 13342B105 | 823   | 19224   | SH | DEFINED | 01 | 0 |
| CAMERON INTERNATIONAL CORP     | COM        | 13342B105 | 21654 | 505363  | SH | DEFINED | 01 | 1 |
| CAMERON INTERNATIONAL CORP     | COM        | 13342B105 | 17    | 403     | SH | DEFINED | 01 | 1 |
| CAMPBELL SOUP CO               | COM        | 134429109 | 172   | 4868    | SH | DEFINED | 01 | 0 |
| CAMPBELL SOUP CO               | COM        | 134429109 | 296   | 8379    | SH | DEFINED | 01 | 0 |
| CAMPBELL SOUP CO               | COM        | 134429109 | 118   | 3331    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CANADIAN NATIONAL RAILWAYS C | COM | 136375102 | 182    | 3000    | SH | DEFINED | 01 | 1 |
| CANADIAN NATURAL RESOURCES   | COM | 136385101 | 61576  | 831660  | SH | DEFINED | 01 | 0 |
| CANADIAN NATURAL RESOURCES   | COM | 136385101 | 772    | 10422   | SH | DEFINED | 01 | 1 |
| CANADIAN PACIFIC RAILWAYS C  | COM | 13645T100 | 88     | 1566    | SH | DEFINED | 01 | 1 |
| CANADIAN SOLAR INC           | COM | 136635109 | 28     | 1163    | SH | DEFINED | 01 | 0 |
| CANADIAN SOLAR INC           | COM | 136635109 | 55     | 2250    | SH | DEFINED | 01 | 1 |
| CANON INC ADR EACH REP 1 ORD | COM | 138006309 | 208    | 4507    | SH | DEFINED | 01 | 1 |
| CANTEL MEDICAL CORP          | COM | 138098108 | 306    | 15433   | SH | DEFINED | 01 | 0 |
| CANTEL MEDICAL CORP          | COM | 138098108 | 14     | 700     | SH | DEFINED | 01 | 1 |
| CAPE BANCORP INC             | COM | 139209100 | 10     | 1179    | SH | DEFINED | 01 | 1 |
| CAPELLA EDUCATION CO         | COM | 139594105 | 1125   | 12116   | SH | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM | 14040H105 | 24449  | 590439  | SH | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM | 14040H105 | 1159   | 27990   | SH | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM | 14040H105 | 49     | 1175    | SH | DEFINED | 01 | 1 |
| CAPITAL SOUTHWEST CORP       | COM | 140501107 | 565    | 6220    | SH | DEFINED | 01 | 0 |
| CAPITAL TR INC MD CL A NEW   | COM | 14052H506 | 1      | 450     | SH | DEFINED | 01 | 1 |
| CAPITALSOURCE INC            | COM | 14055X102 | 279    | 49848   | SH | DEFINED | 01 | 0 |
| CAPITALSOURCE INC            | COM | 14055X102 | 39     | 7063    | SH | DEFINED | 01 | 0 |
|                              |     |           |        |         |    |         |    |   |
| CAPITALSOURCE INC            | COM | 14055X102 | 71     | 12711   | SH | DEFINED | 01 | 1 |
| CAPITOL BANCORP LTD          | COM | 14056D105 | 5      | 2053    | SH | DEFINED | 01 | 1 |
| CAPITOL FEDERAL FINANCIAL    | COM | 14057C106 | 3559   | 95005   | SH | DEFINED | 01 | 0 |
| CAPSTONE TURBINE CORP        | COM | 14067D102 | 6      | 5000    | SH | DEFINED | 01 | 1 |
| CAPSTEAD MTG CORP PFD SER B  | PRF | 14067E308 | 0      | 1       | SH | DEFINED | 01 | 1 |
| CAPSTEAD MORTGAGE CORP       | COM | 14067E506 | 1816   | 151832  | SH | DEFINED | 01 | 0 |
| CAPSTEAD MORTGAGE CORP       | COM | 14067E506 | 354    | 29610   | SH | DEFINED | 01 | 1 |
| CARBO CERAMICS INC           | COM | 140781105 | 5545   | 88950   | SH | DEFINED | 01 | 0 |
| CARBO CERAMICS INC           | COM | 140781105 | 7658   | 133315  | SH | DEFINED | 01 | 1 |
| CARDIAC SCIENCE CORP         | COM | 14141A108 | 0      | 10      | SH | DEFINED | 01 | 1 |
| CARDINAL HEALTH INC          | COM | 14149Y108 | 42681  | 1184577 | SH | DEFINED | 01 | 0 |
| CARDINAL HEALTH INC          | COM | 14149Y108 | 788    | 21866   | SH | DEFINED | 01 | 0 |
| CARDINAL HEALTH INC          | COM | 14149Y108 | 3089   | 85752   | SH | DEFINED | 01 | 1 |
| CARDINAL HEALTH INC          | COM | 14149Y108 | 82     | 2286    | SH | DEFINED | 01 | 1 |
| CARE INVT TR INC             | COM | 141657106 | 6      | 700     | SH | DEFINED | 01 | 1 |
| CAREER EDUCATION CORP        | COM | 141665109 | 519    | 16407   | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 12965  | 490564  | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 365    | 13810   | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 55     | 2066    | SH | DEFINED | 01 | 1 |
| CARIBOU COFFEE INC           | COM | 142042209 | 2      | 300     | SH | DEFINED | 01 | 1 |
| CARLISLE COS INC             | COM | 142339100 | 15     | 403     | SH | DEFINED | 01 | 1 |
| CARMAX INC                   | COM | 143130102 | 23879  | 950587  | SH | DEFINED | 01 | 0 |
| CARMAX INC                   | COM | 143130102 | 16     | 630     | SH | DEFINED | 01 | 1 |
| CARNIVAL CORP                | COM | 143658300 | 115506 | 2970837 | SH | DEFINED | 01 | 0 |
| CARNIVAL CORP                | COM | 143658300 | 1316   | 33833   | SH | DEFINED | 01 | 0 |
| CARNIVAL CORP                | COM | 143658300 | 28149  | 724000  | SH | DEFINED | 01 | 1 |
| CARNIVAL CORP                | COM | 143658300 | 101    | 2589    | SH | DEFINED | 01 | 1 |
| CAROLINA TR BK LINOLNTON     | COM | 144200102 | 4      | 732     | SH | DEFINED | 01 | 1 |
| CARPENTER TECHNOLOGY         | COM | 144285103 | 521    | 14223   | SH | DEFINED | 01 | 0 |
| CARPENTER TECHNOLOGY         | COM | 144285103 | 22     | 610     | SH | DEFINED | 01 | 1 |
| CARTER'S INC                 | COM | 146229109 | 1552   | 51472   | SH | DEFINED | 01 | 0 |
| CARTER'S INC                 | COM | 146229109 | 731    | 24247   | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CASCADE CORP                   | COM | 147195101 | 168    | 5215    | SH | DEFINED | 01 | 0 |
| CASEY'S GENERAL STORES INC     | COM | 147528103 | 15605  | 496962  | SH | DEFINED | 01 | 0 |
| CASEY'S GENERAL STORES INC     | COM | 147528103 | 16     | 500     | SH | DEFINED | 01 | 1 |
| CASH AMERICA INTL INC          | COM | 14754D100 | 9669   | 244910  | SH | DEFINED | 01 | 0 |
| CASTLE (A.M.) & CO             | COM | 148411101 | 572    | 43633   | SH | DEFINED | 01 | 0 |
| CASTLE (A.M.) & CO             | COM | 148411101 | 2      | 123     | SH | DEFINED | 01 | 1 |
| CATALYST HEALTH SOLUTIONS IN   | COM | 14888B103 | 1415   | 34192   | SH | DEFINED | 01 | 0 |
| CATALYST HEALTH SOLUTIONS IN   | COM | 14888B103 | 67     | 1700    | SH | DEFINED | 01 | 1 |
| CATALYST HEALTH SOLUTIONS IN   | COM | 14888B103 | 7      | 175     | SH | DEFINED | 01 | 1 |
| CATERPILLAR INC                | COM | 149123101 | 220268 | 3504663 | SH | DEFINED | 01 | 0 |
| CATERPILLAR INC                | COM | 149123101 | 3037   | 48329   | SH | DEFINED | 01 | 0 |
| CATERPILLAR INC                | COM | 149123101 | 4851   | 77188   | SH | DEFINED | 01 | 1 |
| CATHAY GENERAL BANCORP         | COM | 149150104 | 2744   | 235500  | SH | DEFINED | 01 | 0 |
| CATHAY GENERAL BANCORP         | COM | 149150104 | 24     | 2100    | SH | DEFINED | 01 | 1 |
| CATO CORP-CL A                 | COM | 149205106 | 1298   | 60508   | SH | DEFINED | 01 | 0 |
| CATO CORP-CL A                 | COM | 149205106 | 59     | 2775    | SH | DEFINED | 01 | 1 |
| CAVIUM NETWORKS INC            | COM | 14965A101 | 1229   | 49404   | SH | DEFINED | 01 | 0 |
| CBEYOND INC                    | COM | 149847105 | 276    | 20205   | SH | DEFINED | 01 | 0 |
| CEDAR FAIR L P DEP UNIT        | COM | 150185106 | 132    | 11035   | SH | DEFINED | 01 | 1 |
| CEDAR SHOPPING CENTERS INC     | COM | 150602209 | 347    | 43884   | SH | DEFINED | 01 | 0 |
| CEL-SCI CORP COM NEW           | COM | 150837409 | 1      | 2020    | SH | DEFINED | 01 | 1 |
| CELANESE CORP-SERIES A         | COM | 150870103 | 11636  | 365396  | SH | DEFINED | 01 | 0 |
| CELANESE CORP-SERIES A         | COM | 150870103 | 7      | 231     | SH | DEFINED | 01 | 1 |
| CELL THERAPEUTICS INC COM NO   | COM | 150934503 | 7      | 13029   | SH | DEFINED | 01 | 1 |
| CELERA CORP                    | COM | 15100E106 | 1619   | 228029  | SH | DEFINED | 01 | 0 |
| CELERA CORP                    | COM | 15100E106 | 5      | 750     | SH | DEFINED | 01 | 1 |
| CELESTICA INC                  | COM | 15101Q108 | 54424  | 4979375 | SH | DEFINED | 01 | 0 |
| CELESTICA INC                  | COM | 15101Q108 | 1      | 100     | SH | DEFINED | 01 | 1 |
| CELGENE CORP                   | COM | 151020104 | 912    | 14720   | SH | DEFINED | 01 | 0 |
| CELGENE CORP                   | COM | 151020104 | 1468   | 23700   | SH | DEFINED | 01 | 0 |
| CELGENE CORP                   | COM | 151020104 | 297    | 4805    | SH | DEFINED | 01 | 1 |
| CELGENE CORP                   | COM | 151020104 | 681    | 10995   | SH | DEFINED | 01 | 1 |
| CELLDEX THERAPEUTICSINC NEW CO | COM | 15117B103 | 1      | 174     | SH | DEFINED | 01 | 1 |
| CEMEX SAB-SPONS ADR PART CER   | COM | 151290889 | 63263  | 6196176 | SH | DEFINED | 01 | 0 |
| CEMEX SAB-SPONS ADR PART CER   | COM | 151290889 | 15880  | 1555339 | SH | DEFINED | 01 | 1 |
| CEMEX SAB-SPONS ADR PART CER   | COM | 151290889 | 283    | 27716   | SH | DEFINED | 01 | 1 |
| CENTENE CORP                   | COM | 15135B101 | 3719   | 154732  | SH | DEFINED | 01 | 0 |
| CENOVUS ENERGY INC COM NPV IS  | COM | 15135U109 | 119    | 4522    | SH | DEFINED | 01 | 1 |
| CENTERENERGYHOLDING JSC        | COM | 151366994 | 0      | 10461   | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 246    | 17133   | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 374    | 26065   | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 110    | 7673    | SH | DEFINED | 01 | 1 |
| CENTRAIS ELEC BRAS-ADR PREF    | COM | 15234Q108 | 2915   | 161059  | SH | DEFINED | 01 | 0 |
| CENTRAIS ELEC BRAS-SP ADR CM   | COM | 15234Q207 | 177    | 11800   | SH | DEFINED | 01 | 0 |
| CENTRAL EURO DISTRIBUTION CP   | COM | 153435102 | 25374  | 724762  | SH | DEFINED | 01 | 0 |
| CENTRAL EURO DISTRIBUTION CP   | COM | 153435102 | 86     | 2000    | SH | DEFINED | 01 | 1 |
| CENTRAL EURO DISTRIBUTION CP   | COM | 153435102 | 38     | 1089    | SH | DEFINED | 01 | 1 |
| CENTRAL EUROPE AND RUSSIA      | COM | 153436100 | 23     | 631     | SH | DEFINED | 01 | 1 |
| CENTRAL FED CORP               | COM | 15346Q103 | 22     | 18881   | SH | DEFINED | 01 | 1 |
| CENTRAL FD CDA CL A ISIN #CA15 | COM | 153501101 | 270    | 19310   | SH | DEFINED | 01 | 1 |
| CENTRAL GARDEN AND PET CO-A    | COM | 153527205 | 663    | 72424   | SH | DEFINED | 01 | 0 |
| CENTRAL VERMONT PUBLIC SERV    | COM | 155771108 | 286    | 14184   | SH | DEFINED | 01 | 0 |
| CENTURY ALUMINUM COMPANY       | COM | 156431108 | 1388   | 100788  | SH | DEFINED | 01 | 0 |
| CENTURY ALUMINUM COMPANY       | COM | 156431108 | 9      | 685     | SH | DEFINED | 01 | 1 |
| CENTURYTEL INC                 | COM | 156700106 | 87449  | 2466151 | SH | DEFINED | 01 | 0 |
| CENTURYTEL INC                 | COM | 156700106 | 820    | 23125   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |                |           |        |         |    |         |    |   |
|---------------------------------|----------------|-----------|--------|---------|----|---------|----|---|
| CENTURYTEL INC                  | COM            | 156700106 | 1220   | 34396   | SH | DEFINED | 01 | 1 |
| CENTURYTEL INC                  | COM            | 156700106 | 242    | 6829    | SH | DEFINED | 01 | 1 |
| CEPHALON INC                    | COM            | 156708109 | 16632  | 245382  | SH | DEFINED | 01 | 0 |
| CEPHALON INC                    | COM            | 156708109 | 463    | 6827    | SH | DEFINED | 01 | 0 |
| CEPHALON INC                    | COM            | 156708109 | 30     | 448     | SH | DEFINED | 01 | 1 |
| CEPHEID                         | COM            | 15670R107 | 30     | 1700    | SH | DEFINED | 01 | 1 |
| CENVEO INC                      | COM            | 15670S105 | 9      | 1000    | SH | DEFINED | 01 | 1 |
|                                 |                |           |        |         |    |         |    |   |
| CERADYNE INC                    | COM            | 156710105 | 1630   | 71843   | SH | DEFINED | 01 | 0 |
| CERNER CORP                     | COM            | 156782104 | 12824  | 150777  | SH | DEFINED | 01 | 0 |
| CERNER CORP                     | COM            | 156782104 | 54     | 635     | SH | DEFINED | 01 | 1 |
| CEVA INC COM                    | USD0.001 COM   | 157210105 | 1      | 66      | SH | DEFINED | 01 | 1 |
| CHAMPION ENTERPRISES INC        | COM            | 158496109 | 0      | 125     | SH | DEFINED | 01 | 1 |
| CHANGYOU COM LTD                | SPON ADS R COM | 15911M107 | 56     | 1817    | SH | DEFINED | 01 | 1 |
| CHARLES RIVER LABORATORIES      | COM            | 159864107 | 7139   | 181600  | SH | DEFINED | 01 | 0 |
| CHARLES RIVER LABORATORIES      | COM            | 159864107 | 451    | 11485   | SH | DEFINED | 01 | 1 |
| CHARMING SHOPPES INC            | COM            | 161133103 | 1      | 100     | SH | DEFINED | 01 | 1 |
| CHART INDUSTRIES INC            | COM            | 16115Q308 | 644    | 32161   | SH | DEFINED | 01 | 0 |
| CHART INDUSTRIES INC            | COM            | 16115Q308 | 335    | 16744   | SH | DEFINED | 01 | 1 |
| CHARTER COMMUNICATION-A         | COM            | 16117M305 | 508    | 14713   | SH | DEFINED | 01 | 0 |
| CHARTWELL DIVID & INCOME FD     | COM            | 16139P104 | 8      | 1950    | SH | DEFINED | 01 | 1 |
| CHECKPOINT SYSTEMS INC          | COM            | 162825103 | 865    | 39125   | SH | DEFINED | 01 | 0 |
| CHEESECAKE FACTORY/THE          | COM            | 163072101 | 3126   | 115537  | SH | DEFINED | 01 | 0 |
| CHEESECAKE FACTORY/THE          | COM            | 163072101 | 49     | 1829    | SH | DEFINED | 01 | 0 |
| CHEESECAKE FACTORY/THE          | COM            | 163072101 | 258    | 9533    | SH | DEFINED | 01 | 1 |
| CHELSEA THERAPEUTICS INTL LTD   | C COM          | 163428105 | 11     | 3000    | SH | DEFINED | 01 | 1 |
| CHEMED CORP                     | COM            | 16359R103 | 7280   | 133874  | SH | DEFINED | 01 | 0 |
| CHENIERE ENERGY PARTNERS L      | COM            | 16411Q101 | 120    | 7324    | SH | DEFINED | 01 | 1 |
| CHENIERE ENERGY INC NEW         | COM            | 16411R208 | 15     | 4900    | SH | DEFINED | 01 | 1 |
| CHESAPEAKE ENERGY CORP          | COM            | 165167107 | 5200   | 219932  | SH | DEFINED | 01 | 0 |
| CHESAPEAKE ENERGY CORP          | COM            | 165167107 | 968    | 40957   | SH | DEFINED | 01 | 0 |
| CHESAPEAKE ENERGY CORP          | COM            | 165167107 | 1747   | 73917   | SH | DEFINED | 01 | 1 |
| CHESAPEAKE UTILS CORP           | COM            | 165303108 | 8      | 273     | SH | DEFINED | 01 | 1 |
| CHEVRON CORP                    | COM            | 166764100 | 735795 | 9703170 | SH | DEFINED | 01 | 0 |
| CHEVRON CORP                    | COM            | 166764100 | 9857   | 129990  | SH | DEFINED | 01 | 0 |
| CHEVRON CORP                    | COM            | 166764100 | 28771  | 379426  | SH | DEFINED | 01 | 1 |
| CHEVRON CORP                    | COM            | 166764100 | 7790   | 102726  | SH | DEFINED | 01 | 1 |
| CHICAGO BRIDGE & IRON-NY SHR    | COM            | 167250109 | 49219  | 2115986 | SH | DEFINED | 01 | 0 |
| CHICAGO BRIDGE & IRON-NY SHR    | COM            | 167250109 | 215    | 9255    | SH | DEFINED | 01 | 1 |
|                                 |                |           |        |         |    |         |    |   |
| CHICOPEE BANCORP INC COM        | COM            | 168565109 | 3      | 200     | SH | DEFINED | 01 | 1 |
| CHICO'S FAS INC                 | COM            | 168615102 | 1688   | 117123  | SH | DEFINED | 01 | 0 |
| CHICO'S FAS INC                 | COM            | 168615102 | 22     | 1518    | SH | DEFINED | 01 | 1 |
| CHILE FD INC                    | COM            | 168834109 | 37     | 2080    | SH | DEFINED | 01 | 1 |
| CHILDREN'S PLACE                | COM            | 168905107 | 4042   | 90735   | SH | DEFINED | 01 | 0 |
| CHINA NAT GAS INC               | COM NEW        | 168910206 | 4      | 400     | SH | DEFINED | 01 | 1 |
| CHIMERA INVT CORP               | COM            | 16934Q109 | 27     | 7000    | SH | DEFINED | 01 | 1 |
| CHINA BAK BATTERY INC           | COM            | 16936Y100 | 0      | 200     | SH | DEFINED | 01 | 1 |
| CHINA FD INC                    | COM            | 169373107 | 6      | 203     | SH | DEFINED | 01 | 1 |
| CHINA FINANCE ONLINE CO SPONS A | COM            | 169379104 | 6      | 800     | SH | DEFINED | 01 | 1 |
| CHINA AGRITECH INC              | COM NEW        | 16937A200 | 30     | 1200    | SH | DEFINED | 01 | 1 |
| CHINA BIOTICS INC               | COM            | 16937B109 | 10     | 575     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |           |           |         |        |         |         |    |
|--------------------------------|------------|-----------|-----------|---------|--------|---------|---------|----|
| CHINA ARCHITECTURAL ENGINEERIN | COM        | 16937S102 | 0         | 100     | SH     | DEFINED | 01      | 1  |
| CHINA GREENTECH                | CORPORATIO | COM       | 16938P107 | 1       | 333    | SH      | DEFINED | 01 |
| CHINA EDUCATION ALLIANCE INC   | COM        | 16938Y207 | 27        | 5110    | SH     | DEFINED | 01      | 0  |
| CHINA LIFE INSURANCE CO-ADR    | COM        | 16939P106 | 115       | 1600    | SH     | DEFINED | 01      | 0  |
| CHINA LIFE INSURANCE CO-ADR    | COM        | 16939P106 | 29        | 409     | SH     | DEFINED | 01      | 1  |
| CHINA NORTH EAST               | PETE HLDGS | COM       | 16941G102 | 57      | 6400   | SH      | DEFINED | 01 |
| CHINA MOBILE LTD-SPON          | ADR        | COM       | 16941M109 | 1001    | 20800  | SH      | DEFINED | 01 |
| CHINA MOBILE LTD-SPON          | ADR        | COM       | 16941M109 | 343     | 7134   | SH      | DEFINED | 01 |
| CHINA PETROLEUM & CHEM-ADR     | COM        | 16941R108 | 436       | 5300    | SH     | DEFINED | 01      | 0  |
| CHINA PETROLEUM & CHEM-ADR     | COM        | 16941R108 | 164       | 2000    | SH     | DEFINED | 01      | 1  |
| CHINA PETROLEUM & CHEM-ADR     | COM        | 16941R108 | 512       | 6223    | SH     | DEFINED | 01      | 1  |
| CHINA RITAR PWR                | CORP       | COM       | 169423100 | 1       | 250    | SH      | DEFINED | 01 |
| CHINA TELECOM CORP LTD-ADR     | COM        | 169426103 | 695       | 14200   | SH     | DEFINED | 01      | 0  |
| CHINA TELECOM CORP LTD-ADR     | COM        | 169426103 | 7         | 144     | SH     | DEFINED | 01      | 1  |
| CHINA SEC &                    | SURVEILLAN | COM       | 16942J105 | 9       | 1200   | SH      | DEFINED | 01 |
| CHINA SUNERGY CO LTDADR        | EACH R     | COM       | 16942X104 | 0       | 100    | SH      | DEFINED | 01 |
| CHINA NEPSTAR CHAIN            | DRUG-ADR   | COM       | 16943C109 | 3       | 400    | SH      | DEFINED | 01 |
| CHINA MARINE FOOD              | GROUP LTD  | COM       | 16943R106 | 5       | 800    | SH      | DEFINED | 01 |
| CHINA GREEN                    | AGRICULTUR | COM       | 16943W105 | 284     | 20270  | SH      | DEFINED | 01 |
| CHINA INFORMATION              | SEC TECHNO | COM       | 16944F101 | 92      | 18100  | SH      | DEFINED | 01 |
| CHINA UNICOM (HONG KONG) LIM   | COM        | 16945R104 | 442       | 39628   | SH     | DEFINED | 01      | 1  |
| CHINDEX INTERNATIONAL INC      | COM        | 169467107 | 2234      | 189136  | SH     | DEFINED | 01      | 0  |
| CHINA VALVES TECHNOLOGY INC    | COM        | 169476207 | 23        | 1789    | SH     | DEFINED | 01      | 0  |
| CHINA MEDICAL                  | TECHNOLOGI | COM       | 169483104 | 202     | 14828  | SH      | DEFINED | 01 |
| CHINA INTEGRATED               | ENERGY INC | COM       | 16948P105 | 727     | 69382  | SH      | DEFINED | 01 |
| CHINA LODGING GROUP - SPON     | ADS        | COM       | 16949N109 | 602     | 40000  | SH      | DEFINED | 01 |
| CHIPOTLE MEXICAN               | GRILL INC  | COM       | 169656105 | 46      | 408    | SH      | DEFINED | 01 |
| CHOICE HOTEL INTL              | INC NEW    | COM       | 169905106 | 900     | 25855  | SH      | DEFINED | 01 |
| CHIQUITA BRANDS INTL           | COM        | 170032809 | 2984      | 189681  | SH     | DEFINED | 01      | 0  |
| CHIQUITA BRANDS INTL           | COM        | 170032809 | 91        | 5815    | SH     | DEFINED | 01      | 1  |
| CHORDIANT SOFTWARE NEW         | COM STK    | COM       | 170404305 | 983     | 194290 | SH      | DEFINED | 01 |
| CHRISTOPHER & BANKS CORP       | COM        | 171046105 | 273       | 34139   | SH     | DEFINED | 01      | 0  |
| CHRISTOPHER & BANKS CORP       | COM        | 171046105 | 1         | 112     | SH     | DEFINED | 01      | 1  |
| CHUBB CORP                     | COM        | 171232101 | 48293     | 931400  | SH     | DEFINED | 01      | 0  |
| CHUBB CORP                     | COM        | 171232101 | 1244      | 24007   | SH     | DEFINED | 01      | 0  |
| CHUBB CORP                     | COM        | 171232101 | 569       | 10969   | SH     | DEFINED | 01      | 1  |
| CHUNGHWA TELECOM LTD-ADR       | COM        | 17133Q106 | 801       | 41239   | SH     | DEFINED | 01      | 0  |
| CHUNGHWA TELECOM LTD-ADR       | COM        | 17133Q106 | 3067      | 161662  | SH     | DEFINED | 01      | 1  |
| CHURCH & DWIGHT CO INC         | COM        | 171340102 | 59        | 1075    | SH     | DEFINED | 01      | 1  |
| CHURCH & DWIGHT CO INC         | COM        | 171340102 | 14        | 204     | SH     | DEFINED | 01      | 1  |
| CHURCHILL DOWNS INC            | COM        | 171484108 | 2237      | 59660   | SH     | DEFINED | 01      | 0  |
| CHURCHILL DOWNS INC            | COM        | 171484108 | 9         | 242     | SH     | DEFINED | 01      | 1  |
| CHYRON CORP COM PAR \$.01      | COM        | 171605306 | 49        | 25000   | SH     | DEFINED | 01      | 1  |
| CIBER INC                      | COM        | 17163B102 | 852       | 227972  | SH     | DEFINED | 01      | 0  |
| CIBER INC                      | COM        | 17163B102 | 1         | 200     | SH     | DEFINED | 01      | 1  |
| CIENA CORP                     | COM        | 171779309 | 24121     | 1582714 | SH     | DEFINED | 01      | 0  |
| CIENA CORP                     | COM        | 171779309 | 372       | 24406   | SH     | DEFINED | 01      | 0  |
| CIENA CORP                     | COM        | 171779309 | 8763      | 575000  | SH     | DEFINED | 01      | 1  |
| CIENA CORP                     | COM        | 171779309 | 91        | 5954    | SH     | DEFINED | 01      | 1  |
| CIMAREX ENERGY CO              | COM        | 171798101 | 969       | 16322   | SH     | DEFINED | 01      | 0  |
| CIMAREX ENERGY CO              | COM        | 171798101 | 3072      | 51802   | SH     | DEFINED | 01      | 1  |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |        |     |           |           |          |       |         |         |    |   |
|-------------------------------|--------|-----|-----------|-----------|----------|-------|---------|---------|----|---|
| CIMAREX ENERGY CO             | COM    |     | 171798101 | 71        | 1196     | SH    | DEFINED | 01      | 1  |   |
| CINCINNATI BELL INC NEW       | COM    |     | 171871106 | 70        | 20670    | SH    | DEFINED | 01      | 1  |   |
| CINCINNATI FINANCIAL CORP     | COM    |     | 172062101 | 6904      | 238917   | SH    | DEFINED | 01      | 0  |   |
| CINCINNATI FINANCIAL CORP     | COM    |     | 172062101 | 153       | 5308     | SH    | DEFINED | 01      | 0  |   |
| CINCINNATI FINANCIAL CORP     | COM    |     | 172062101 | 128       | 4428     | SH    | DEFINED | 01      | 1  |   |
| CINEMARK HOLDINGS INC         | COM    |     | 17243V102 | 3323      | 181191   | SH    | DEFINED | 01      | 0  |   |
| CINEMARK HOLDINGS INC         | COM    |     | 17243V102 | 2566      | 140036   | SH    | DEFINED | 01      | 1  |   |
| CINEMARK HOLDINGS INC         | COM    |     | 17243V102 | 4         | 200      | SH    | DEFINED | 01      | 1  |   |
| CIRCOR INTERNATIONAL INC      | COM    |     | 17273K109 | 542       | 16330    | SH    | DEFINED | 01      | 0  |   |
| CIRRUS LOGIC INC              | COM    |     | 172755100 | 1         | 100      | SH    | DEFINED | 01      | 1  |   |
| CISCO SYSTEMS INC             | COM    |     | 17275R102 | 409132    | 15717721 | SH    | DEFINED | 01      | 0  |   |
| CISCO SYSTEMS INC             | COM    |     | 17275R102 | 4542      | 174501   | SH    | DEFINED | 01      | 0  |   |
| CISCO SYSTEMS INC             | COM    |     | 17275R102 | 8906      | 342130   | SH    | DEFINED | 01      | 0  |   |
| CISCO SYSTEMS INC             | COM    |     | 17275R102 | 154740    | 5987227  | SH    | DEFINED | 01      | 1  |   |
| CISCO SYSTEMS INC             | COM    |     | 17275R102 | 5998      | 230425   | SH    | DEFINED | 01      | 1  |   |
| CINTAS CORP                   | COM    |     | 172908105 | 192       | 6819     | SH    | DEFINED | 01      | 0  |   |
| CINTAS CORP                   | COM    |     | 172908105 | 310       | 11024    | SH    | DEFINED | 01      | 0  |   |
| CINTAS CORP                   | COM    |     | 172908105 | 69        | 2458     | SH    | DEFINED | 01      | 1  |   |
| CITIGROUP INC                 | COM    |     | 172967101 | 74274     | 18338968 | SH    | DEFINED | 01      | 0  |   |
| CITIGROUP INC                 | COM    |     | 172967101 | 5180      | 1279000  | SH    | DEFINED | 01      | 0  |   |
| CITIGROUP INC                 | COM    |     | 172967101 | 4580      | 1130784  | SH    | DEFINED | 01      | 0  |   |
| CITIGROUP INC                 | COM    |     | 172967101 | 97806     | 24149935 | SH    | DEFINED | 01      | 1  |   |
| CITIGROUP INC                 | COM    |     | 172967101 | 4426      | 1092758  | SH    | DEFINED | 01      | 1  |   |
| CITIZENS REPUBLIC BANCORP IN  | COM    |     | 174420109 | 22        | 18938    | SH    | DEFINED | 01      | 1  |   |
| CITIZENS INC CL A             | COM    |     | 174740100 | 0         | 11       | SH    | DEFINED | 01      | 1  |   |
| CITIZENS SOUTH BKG CORP DEL N | COM    |     | 176682102 | 6         | 1007     | SH    | DEFINED | 01      | 1  |   |
| CITRIX SYSTEMS INC            | COM    |     | 177376100 | 14156     | 298266   | SH    | DEFINED | 01      | 0  |   |
| CITRIX SYSTEMS INC            | COM    |     | 177376100 | 412       | 8677     | SH    | DEFINED | 01      | 0  |   |
| CITRIX SYSTEMS INC            | COM    |     | 177376100 | 1168      | 24607    | SH    | DEFINED | 01      | 1  |   |
| CITY HOLDING CO               | COM    |     | 177835105 | 599       | 17468    | SH    | DEFINED | 01      | 0  |   |
| CITY NATL CORP                | COM    |     | 178566105 | 19        | 358      | SH    | DEFINED | 01      | 1  |   |
| CLARCOR INC                   | COM    |     | 179895107 | 1589      | 46070    | SH    | DEFINED | 01      | 0  |   |
| CLARCOR INC                   | COM    |     | 179895107 | 4         | 130      | SH    | DEFINED | 01      | 1  |   |
| CLARIENT INC                  | COM    | COM | 180489106 | 1         | 325      | SH    | DEFINED | 01      | 1  |   |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383M100 | 810      | 18971 | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383M407 | 109      | 4900  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383M506 | 300      | 16026 | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383M621 | 21       | 2445  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383M811 | 21       | 1000  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383Q309 | 20       | 1500  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383Q507 | 47       | 2538  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383Q606 | 24       | 1367  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383Q820 | 59       | 4000  | SH      | DEFINED | 01 | 1 |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18383Q853 | 51       | 1850  | SH      | DEFINED | 01 | 1 |
| CLAYMORE DIVID & INCOME       | FD     | COM | 18385J105 | 3         | 220      | SH    | DEFINED | 01      | 1  |   |
| CLAYMORE EXCHANGE             | TRADED | FD  | COM       | 18385P101 | 567      | 22402 | SH      | DEFINED | 01 | 1 |
| CLAYMORE/GUGGENHEIM STRATEGIC | COM    |     | 18385X104 | 12        | 672      | SH    | DEFINED | 01      | 1  |   |
| CLEAN HARBORS INC             | COM    |     | 184496107 | 1380      | 24839    | SH    | DEFINED | 01      | 0  |   |
| CLEAN ENERGY FUELS CORP       | COM    |     | 184499101 | 869       | 38161    | SH    | DEFINED | 01      | 0  |   |
| CLEAN ENERGY FUELS CORP       | COM    |     | 184499101 | 12        | 537      | SH    | DEFINED | 01      | 0  |   |
| CLEAN ENERGY FUELS CORP       | COM    |     | 184499101 | 50        | 2205     | SH    | DEFINED | 01      | 1  |   |
| CLEAR CHANNEL OUTDOOR-CL A    | COM    |     | 18451C109 | 679       | 64000    | SH    | DEFINED | 01      | 0  |   |
| CLEARONE COMMUNICAT           | COM    |     | 185060100 | 3         | 1000     | SH    | DEFINED | 01      | 1  |   |
| CLEARWIRE CORP-CLASS A        | COM    |     | 18538Q105 | 94        | 13180    | SH    | DEFINED | 01      | 0  |   |
| CLEARWIRE CORP-CLASS A        | COM    |     | 18538Q105 | 40        | 5600     | SH    | DEFINED | 01      | 1  |   |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CLEARWATER PAPER CORP          | COM | 18538R103 | 1368   | 27780   | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 8438   | 118957  | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 4332   | 61051   | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 618    | 8714    | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 12705  | 179107  | SH | DEFINED | 01 | 1 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 1865   | 26290   | SH | DEFINED | 01 | 1 |
| CLOROX COMPANY                 | COM | 189054109 | 122469 | 1909364 | SH | DEFINED | 01 | 0 |
| CLOROX COMPANY                 | COM | 189054109 | 424    | 6606    | SH | DEFINED | 01 | 0 |
| CLOROX COMPANY                 | COM | 189054109 | 494    | 7708    | SH | DEFINED | 01 | 1 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 196    | 11761   | SH | DEFINED | 01 | 0 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 3656   | 219719  | SH | DEFINED | 01 | 0 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 43915  | 2642464 | SH | DEFINED | 01 | 1 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 5      | 300     | SH | DEFINED | 01 | 1 |
| CLOUGH GLOBAL ALLOCATION       | COM | 18913Y103 | 11     | 705     | SH | DEFINED | 01 | 1 |
| CLOUGH GLOBAL OPPORTUNIT       | COM | 18914E106 | 98     | 7500    | SH | DEFINED | 01 | 1 |
| COACH INC                      | COM | 189754104 | 14351  | 363129  | SH | DEFINED | 01 | 0 |
| COACH INC                      | COM | 189754104 | 894    | 22607   | SH | DEFINED | 01 | 0 |
| COACH INC                      | COM | 189754104 | 1223   | 30954   | SH | DEFINED | 01 | 1 |
| CNINSURE INC ADS EACH REPR     | COM | 18976M103 | 52     | 1950    | SH | DEFINED | 01 | 1 |
| COCA-COLA BOTTLING CO CONSOL   | COM | 191098102 | 2270   | 38692   | SH | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM | 191216100 | 150874 | 2743162 | SH | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM | 191216100 | 6867   | 124858  | SH | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM | 191216100 | 66684  | 1212458 | SH | DEFINED | 01 | 1 |
| COCA-COLA CO/THE               | COM | 191216100 | 4939   | 89800   | SH | DEFINED | 01 | 1 |
| COCA-COLA ENTERPRISES          | COM | 191219104 | 4948   | 178861  | SH | DEFINED | 01 | 0 |
| COCA-COLA ENTERPRISES          | COM | 191219104 | 617    | 22302   | SH | DEFINED | 01 | 0 |
| COCA-COLA ENTERPRISES          | COM | 191219104 | 72     | 2617    | SH | DEFINED | 01 | 1 |
| COCA-COLA FEMSA SAB-SP ADR     | COM | 191241108 | 126    | 1900    | SH | DEFINED | 01 | 0 |
| COCA-COLA FEMSA SAB-SP ADR     | COM | 191241108 | 12018  | 180885  | SH | DEFINED | 01 | 1 |
| COCA-COLA FEMSA SAB-SP ADR     | COM | 191241108 | 30     | 453     | SH | DEFINED | 01 | 1 |
| COEUR D'ALENE MINES CORP       | COM | 192108504 | 260    | 17377   | SH | DEFINED | 01 | 0 |
| COEUR D'ALENE MINES CORP       | COM | 192108504 | 170    | 11324   | SH | DEFINED | 01 | 1 |
| COGNEX CORP                    | COM | 192422103 | 14046  | 759606  | SH | DEFINED | 01 | 0 |
| COGNEX CORP                    | COM | 192422103 | 61     | 3318    | SH | DEFINED | 01 | 1 |
| COGNIZANT TECH SOLUTIONS-A     | COM | 192446102 | 90407  | 1773397 | SH | DEFINED | 01 | 0 |
| COGNIZANT TECH SOLUTIONS-A     | COM | 192446102 | 1067   | 20925   | SH | DEFINED | 01 | 0 |
| COGNIZANT TECH SOLUTIONS-A     | COM | 192446102 | 58     | 2081    | SH | DEFINED | 01 | 1 |
| COGNIZANT TECH SOLUTIONS-A     | COM | 192446102 | 400    | 7846    | SH | DEFINED | 01 | 1 |
| COGO GROUP INC COM             | COM | 192448108 | 3      | 400     | SH | DEFINED | 01 | 1 |
| COHERENT INC                   | COM | 192479103 | 12401  | 387996  | SH | DEFINED | 01 | 0 |
| COHEN & STEERS INC             | COM | 19247A100 | 1750   | 70100   | SH | DEFINED | 01 | 0 |
| COHEN & STEERS INC             | COM | 19247A100 | 14     | 565     | SH | DEFINED | 01 | 1 |
| COHEN & STEERS QUALITY IN      | COM | 19247L106 | 277    | 38865   | SH | DEFINED | 01 | 1 |
| COHEN & STEERS TOTALRETURN RLT | COM | 19247R103 | 104    | 9189    | SH | DEFINED | 01 | 1 |
| COHEN & STEERS 103 & PFD INCOM | COM | 19247X100 | 162    | 13528   | SH | DEFINED | 01 | 1 |
| COHEN & STEERS INFRASTRUC      | COM | 19248A109 | 61     | 4098    | SH | DEFINED | 01 | 1 |
| COHEN & STEERS CLOSED-END      | COM | 19248P106 | 63     | 5000    | SH | DEFINED | 01 | 1 |
| COHU INC                       | COM | 192576106 | 255    | 18518   | SH | DEFINED | 01 | 0 |
| COHU INC                       | COM | 192576106 | 2      | 110     | SH | DEFINED | 01 | 1 |
| COINSTAR INC                   | COM | 19259P300 | 21984  | 676416  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |       |         |    |         |    |   |
|--------------------------------|----------|-----------|-------|---------|----|---------|----|---|
| COINSTAR INC                   | COM      | 19259P300 | 6     | 200     | SH | DEFINED | 01 | 1 |
| COLDWATER CREEK INC            | COM      | 193068103 | 14    | 2046    | SH | DEFINED | 01 | 0 |
| COLDWATER CREEK INC            | COM      | 193068103 | 21    | 3080    | SH | DEFINED | 01 | 1 |
| COLGATE-PALMOLIVE CO           | COM      | 194162103 | 2511  | 29454   | SH | DEFINED | 01 | 0 |
| COLGATE-PALMOLIVE CO           | COM      | 194162103 | 2373  | 27828   | SH | DEFINED | 01 | 0 |
| COLGATE-PALMOLIVE CO           | COM      | 194162103 | 52471 | 625992  | SH | DEFINED | 01 | 1 |
| COLGATE-PALMOLIVE CO           | COM      | 194162103 | 14233 | 166938  | SH | DEFINED | 01 | 1 |
| COLLECTIVE BRANDS INC          | COM      | 19421W100 | 540   | 23724   | SH | DEFINED | 01 | 0 |
| COLONIAL PROPERTIES TRUST      | COM      | 195872106 | 759   | 58927   | SH | DEFINED | 01 | 0 |
| COLONIAL PROPERTIES TRUST      | COM      | 195872106 | 8     | 598     | SH | DEFINED | 01 | 1 |
| COLUMBIA BANCORP OR            | COM      | 197231103 | 0     | 121     | SH | DEFINED | 01 | 1 |
| COLUMBIA BANKING SYSTEM INC    | COM      | 197236102 | 2016  | 99277   | SH | DEFINED | 01 | 0 |
| COLUMBIA LABORATORI            | COM      | 197779101 | 2     | 2000    | SH | DEFINED | 01 | 1 |
| COLUMBIA SPORTSWEAR CO         | COM      | 198516106 | 4523  | 86100   | SH | DEFINED | 01 | 0 |
| COLUMBIA SPORTSWEAR CO         | COM      | 198516106 | 11    | 202     | SH | DEFINED | 01 | 1 |
| COLUMBUS MCKINNON CORP         | COM      | 199333105 | 2     | 104     | SH | DEFINED | 01 | 1 |
| COMFORT SYSTEMS USA INC        | COM      | 199908104 | 8180  | 655003  | SH | DEFINED | 01 | 0 |
| COMCAST CORPORATION            | CONV PRF | 200300606 | 2922  | 95000   | SH | DEFINED | 01 | 0 |
| COMCAST CORP-CL A              | COM      | 20030N101 | 69826 | 3710246 | SH | DEFINED | 01 | 0 |
| COMCAST CORP-CL A              | COM      | 20030N101 | 3009  | 159927  | SH | DEFINED | 01 | 0 |
| COMCAST CORP-CL A              | COM      | 20030N101 | 1200  | 63746   | SH | DEFINED | 01 | 1 |
| COMCAST CORP NEW CL A SPL      | COM      | 20030N200 | 203   | 11324   | SH | DEFINED | 01 | 1 |
| COMERICA INC                   | COM      | 200340107 | 12345 | 324564  | SH | DEFINED | 01 | 0 |
| COMERICA INC                   | COM      | 200340107 | 231   | 6076    | SH | DEFINED | 01 | 0 |
| COMERICA INC                   | COM      | 200340107 | 5377  | 141511  | SH | DEFINED | 01 | 1 |
| COMERICA INC                   | COM      | 200340107 | 168   | 4409    | SH | DEFINED | 01 | 1 |
| COMFORCE CORP                  | COM      | 20038K109 | 1     | 1000    | SH | DEFINED | 01 | 1 |
| COMMERCE BANCSHARES INC        | COM      | 200525103 | 29    | 706     | SH | DEFINED | 01 | 1 |
| COMMERCIAL METALS CO           | COM      | 201723103 | 753   | 50013   | SH | DEFINED | 01 | 0 |
| COMMERCIAL METALS CO           | COM      | 201723103 | 222   | 14718   | SH | DEFINED | 01 | 1 |
| COMMSCOPE INC                  | COM      | 203372107 | 6903  | 246361  | SH | DEFINED | 01 | 0 |
| COMMSCOPE INC                  | COM      | 203372107 | 68    | 2430    | SH | DEFINED | 01 | 0 |
| COMMSCOPE INC                  | COM      | 203372107 | 10    | 352     | SH | DEFINED | 01 | 1 |
| COMMUNITY BANK SYSTEM INC      | COM      | 203607106 | 7776  | 341389  | SH | DEFINED | 01 | 0 |
| COMMUNITY BANK SYSTEM INC      | COM      | 203607106 | 6     | 277     | SH | DEFINED | 01 | 1 |
| COMMUNITY HEALTH SYSTEMS INC   | COM      | 203668108 | 1375  | 37233   | SH | DEFINED | 01 | 1 |
| COMMUNITY TRUST BANCORP INC    | COM      | 204149108 | 109   | 4027    | SH | DEFINED | 01 | 0 |
| COMMVAULT SYSTEMS INC          | COM      | 204166102 | 814   | 38119   | SH | DEFINED | 01 | 0 |
| COMMVAULT SYSTEMS INC          | COM      | 204166102 | 51    | 2383    | SH | DEFINED | 01 | 0 |
| CGG VERITAS ADS EACHREPR 1 ORD | COM      | 204386106 | 21    | 748     | SH | DEFINED | 01 | 1 |
| CEMIG SA -SPONS ADR            | COM      | 204409601 | 339   | 20400   | SH | DEFINED | 01 | 0 |
| CEMIG SA -SPONS ADR            | COM      | 204409601 | 7035  | 422803  | SH | DEFINED | 01 | 0 |
| CEMIG SA -SPONS ADR            | COM      | 204409601 | 774   | 46577   | SH | DEFINED | 01 | 1 |
| CEMIG SA -SPONS ADR            | COM      | 204409601 | 11    | 668     | SH | DEFINED | 01 | 1 |
| BRASIL DISTR PAO ACU-SP ADR    | COM      | 20440T201 | 47    | 700     | SH | DEFINED | 01 | 0 |
| BRASIL DISTR PAO ACU-SP ADR    | COM      | 20440T201 | 3905  | 58181   | SH | DEFINED | 01 | 1 |
| CIA SIDERURGICA NAACL-SP ADR   | COM      | 20440W105 | 823   | 20600   | SH | DEFINED | 01 | 0 |
| CIA SIDERURGICA NAACL-SP ADR   | COM      | 20440W105 | 20966 | 525074  | SH | DEFINED | 01 | 0 |
| CIA SIDERURGICA NAACL-SP ADR   | COM      | 20440W105 | 46989 | 1177979 | SH | DEFINED | 01 | 1 |
| CIA SIDERURGICA NAACL-SP ADR   | COM      | 20440W105 | 540   | 13530   | SH | DEFINED | 01 | 1 |
| CIA SANEAMENTO BASICO DE-ADR   | COM      | 20441A102 | 343   | 9300    | SH | DEFINED | 01 | 0 |
| CIA SANEAMENTO BASICO DE-ADR   | COM      | 20441A102 | 4     | 100     | SH | DEFINED | 01 | 1 |
| CIA PARANAENSE ENER-SP ADR P   | COM      | 20441B407 | 168   | 8200    | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CIA PARANAENSE ENER-SP ADR P   | COM | 20441B407 | 18     | 894     | SH | DEFINED | 01 | 1 |
| AMBEV CIA DE BEBID SPON ADR RE | COM | 20441W203 | 42098  | 459288  | SH | DEFINED | 01 | 1 |
| AMBEV CIA DE BEBID SPON ADR RE | COM | 20441W203 | 222    | 2426    | SH | DEFINED | 01 | 1 |
| CIA DE MINAS BUENAVENTUR-ADR   | COM | 204448104 | 6158   | 198841  | SH | DEFINED | 01 | 0 |
| CIA DE MINAS BUENAVENTUR-ADR   | COM | 204448104 | 11315  | 365817  | SH | DEFINED | 01 | 1 |
| CIA DE MINAS BUENAVENTUR-ADR   | COM | 204448104 | 9      | 300     | SH | DEFINED | 01 | 1 |
| COMPASS MINERALS INTERNATION   | COM | 20451N101 | 13614  | 169688  | SH | DEFINED | 01 | 0 |
| COMPASS MINERALS INTERNATION   | COM | 20451N101 | 39     | 700     | SH | DEFINED | 01 | 1 |
| COMPASS MINERALS INTERNATION   | COM | 20451N101 | 213    | 2657    | SH | DEFINED | 01 | 1 |
| COMPELLENT TECHNOLOGIES INC    | COM | 20452A108 | 268    | 15253   | SH | DEFINED | 01 | 0 |
| COMPELLENT TECHNOLOGIES INC    | COM | 20452A108 | 20     | 1115    | SH | DEFINED | 01 | 0 |
| COMPELLENT TECHNOLOGIES INC    | COM | 20452A108 | 400    | 22800   | SH | DEFINED | 01 | 1 |
| COMPLETE PRODUCTION SERVICES   | COM | 20453E109 | 1417   | 122634  | SH | DEFINED | 01 | 0 |
| COMPUCREDIT HLDGS CORP COM     | COM | 20478T107 | 3      | 600     | SH | DEFINED | 01 | 1 |
| COMPUTER PROGRAMS & SYSTEMS    | COM | 205306103 | 242    | 6202    | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP         | COM | 205363104 | 72055  | 1322349 | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP         | COM | 205363104 | 684    | 12560   | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP         | COM | 205363104 | 5      | 93      | SH | DEFINED | 01 | 1 |
| COMPUTER SERVICES INC          | COM | 20539A105 | 1299   | 30920   | SH | DEFINED | 01 | 0 |
| COMPUTER TASK GROUP INC        | COM | 205477102 | 166    | 22898   | SH | DEFINED | 01 | 1 |
| COMPUWARE CORP                 | COM | 205638109 | 12010  | 1429637 | SH | DEFINED | 01 | 0 |
| COMPUWARE CORP                 | COM | 205638109 | 401    | 47780   | SH | DEFINED | 01 | 0 |
| COMPUWARE CORP                 | COM | 205638109 | 53717  | 6394980 | SH | DEFINED | 01 | 1 |
| COMPUWARE CORP                 | COM | 205638109 | 13     | 1570    | SH | DEFINED | 01 | 1 |
| COMSCORE INC                   | COM | 20564W105 | 228    | 13674   | SH | DEFINED | 01 | 0 |
| COMSTOCK RES INC               | COM | 205768203 | 6      | 200     | SH | DEFINED | 01 | 1 |
| COMSYS IT PARTNERS INC         | COM | 20581E104 | 78     | 4468    | SH | DEFINED | 01 | 0 |
| COMTECH TELECOMMUNICATIONS     | COM | 205826209 | 826    | 25815   | SH | DEFINED | 01 | 0 |
| COMTECH TELECOMMUNICATIONS     | COM | 205826209 | 77     | 1625    | SH | DEFINED | 01 | 1 |
| COMTECH TELECOMMUNICATIONS     | COM | 205826209 | 2      | 75      | SH | DEFINED | 01 | 1 |
| COMVERGE INC                   | COM | 205859101 | 3      | 300     | SH | DEFINED | 01 | 1 |
| CONAGRA FOODS INC              | COM | 205887102 | 18936  | 755329  | SH | DEFINED | 01 | 0 |
| CONAGRA FOODS INC              | COM | 205887102 | 428    | 17060   | SH | DEFINED | 01 | 0 |
| CONAGRA FOODS INC              | COM | 205887102 | 1002   | 40000   | SH | DEFINED | 01 | 1 |
| CONAGRA FOODS INC              | COM | 205887102 | 857    | 34193   | SH | DEFINED | 01 | 1 |
| CON-WAY INC                    | COM | 205944101 | 7298   | 207832  | SH | DEFINED | 01 | 0 |
| CON-WAY INC                    | COM | 205944101 | 60     | 1704    | SH | DEFINED | 01 | 0 |
| CON-WAY INC                    | COM | 205944101 | 14     | 404     | SH | DEFINED | 01 | 1 |
| CONCEPTUS INC                  | COM | 206016107 | 45     | 2271    | SH | DEFINED | 01 | 1 |
| CONCHO RESOURCES INC           | COM | 20605P101 | 136    | 2704    | SH | DEFINED | 01 | 0 |
| CONCHO RESOURCES INC           | COM | 20605P101 | 34283  | 681709  | SH | DEFINED | 01 | 1 |
| CONCHO RESOURCES INC           | COM | 20605P101 | 0      | 1       | SH | DEFINED | 01 | 1 |
| CONCUR TECHNOLOGIES INC        | COM | 206708109 | 2122   | 51766   | SH | DEFINED | 01 | 0 |
| CONCUR TECHNOLOGIES INC        | COM | 206708109 | 7      | 165     | SH | DEFINED | 01 | 1 |
| CONEXANT SYS INC COMNEW        | COM | 207142308 | 6      | 1848    | SH | DEFINED | 01 | 1 |
| CONMED CORP                    | COM | 207410101 | 3596   | 151021  | SH | DEFINED | 01 | 0 |
| CONMED CORP                    | COM | 207410101 | 2      | 75      | SH | DEFINED | 01 | 1 |
| CONNECTICUT WTR SVC INC        | COM | 207797101 | 50     | 2156    | SH | DEFINED | 01 | 1 |
| CONOCOPHILLIPS..               | COM | 20825C104 | 434047 | 8482374 | SH | DEFINED | 01 | 0 |
| CONOCOPHILLIPS..               | COM | 20825C104 | 5321   | 103994  | SH | DEFINED | 01 | 0 |
| CONOCOPHILLIPS..               | COM | 20825C104 | 25214  | 492753  | SH | DEFINED | 01 | 1 |
| CONOCOPHILLIPS..               | COM | 20825C104 | 2813   | 54983   | SH | DEFINED | 01 | 1 |
| CONSECO INC                    | COM | 208464883 | 4333   | 696650  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CONSECO INC                    | COM | 208464883 | 13    | 2032    | SH | DEFINED | 01 | 1 |
| CONSOL ENERGY INC              | COM | 20854P109 | 11896 | 278833  | SH | DEFINED | 01 | 0 |
| CONSOL ENERGY INC              | COM | 20854P109 | 623   | 14586   | SH | DEFINED | 01 | 0 |
| CONSOL ENERGY INC              | COM | 20854P109 | 28858 | 676641  | SH | DEFINED | 01 | 1 |
| CONSOL ENERGY INC              | COM | 20854P109 | 123   | 2894    | SH | DEFINED | 01 | 1 |
| CONSOLIDATED COMMUNICAT        | COM | 209034107 | 32    | 1671    | SH | DEFINED | 01 | 1 |
| CONSOLIDATED EDISON INC        | COM | 209115104 | 23015 | 516712  | SH | DEFINED | 01 | 0 |
| CONSOLIDATED EDISON INC        | COM | 209115104 | 613   | 13773   | SH | DEFINED | 01 | 0 |
| CONSOLIDATED EDISON INC        | COM | 209115104 | 1567  | 35188   | SH | DEFINED | 01 | 1 |
| CONSOLIDATED GRAPHICS INC      | COM | 209341106 | 956   | 23087   | SH | DEFINED | 01 | 0 |
|                                |     |           |       |         |    |         |    |   |
| CONSOLIDATED TOMOKA LD CO      | COM | 210226106 | 3     | 86      | SH | DEFINED | 01 | 1 |
| CONSTELLATION BRANDS INC-A     | COM | 21036P108 | 224   | 13645   | SH | DEFINED | 01 | 0 |
| CONSTELLATION BRANDS INC-A     | COM | 21036P108 | 340   | 20678   | SH | DEFINED | 01 | 0 |
| CONSTELLATION BRANDS INC-A     | COM | 21036P108 | 120   | 7304    | SH | DEFINED | 01 | 1 |
| CONSTELLATION ENERGY GROUP     | COM | 210371100 | 15222 | 433586  | SH | DEFINED | 01 | 0 |
| CONSTELLATION ENERGY GROUP     | COM | 210371100 | 604   | 17194   | SH | DEFINED | 01 | 0 |
| CONSTELLATION ENERGY GROUP     | COM | 210371100 | 163   | 4632    | SH | DEFINED | 01 | 1 |
| CONTANGO OIL & GAS INC COM NE  | COM | 21075N204 | 5     | 100     | SH | DEFINED | 01 | 1 |
| CONTINENTAL AIRLINES-CLASS B   | COM | 210795308 | 84612 | 3851216 | SH | DEFINED | 01 | 0 |
| CONTINENTAL AIRLINES-CLASS B   | COM | 210795308 | 101   | 4601    | SH | DEFINED | 01 | 0 |
| CONTINENTAL AIRLINES-CLASS B   | COM | 210795308 | 22    | 1000    | SH | DEFINED | 01 | 1 |
| CONTINENTAL RES INC OKLA COM   | COM | 212015101 | 262   | 6160    | SH | DEFINED | 01 | 1 |
| CONVERGYS CORP                 | COM | 212485106 | 2039  | 166321  | SH | DEFINED | 01 | 0 |
| CONVERGYS CORP                 | COM | 212485106 | 47    | 3800    | SH | DEFINED | 01 | 1 |
| CONVERTED ORGANICS INC         | COM | 21254S107 | 2     | 2247    | SH | DEFINED | 01 | 1 |
| COOPER COS INC/THE             | COM | 216648402 | 7554  | 194270  | SH | DEFINED | 01 | 0 |
| COOPER COS INC/THE             | COM | 216648402 | 21    | 533     | SH | DEFINED | 01 | 1 |
| COOPER TIRE & RUBBER           | COM | 216831107 | 5149  | 270673  | SH | DEFINED | 01 | 0 |
| COOPER TIRE & RUBBER           | COM | 216831107 | 39    | 2073    | SH | DEFINED | 01 | 0 |
| COPANO ENERGY L L C COM UNITS  | COM | 217202100 | 64    | 2648    | SH | DEFINED | 01 | 1 |
| COPART INC                     | COM | 217204106 | 4839  | 135910  | SH | DEFINED | 01 | 0 |
| COPART INC                     | COM | 217204106 | 39    | 1100    | SH | DEFINED | 01 | 1 |
| COPERNIC INC COM NEWISIN #CA21 | COM | 21727W206 | 0     | 1       | SH | DEFINED | 01 | 1 |
| CORE-MARK HOLDING CO INC       | COM | 218681104 | 331   | 10819   | SH | DEFINED | 01 | 0 |
| CORINTHIAN COLLEGES INC        | COM | 218868107 | 679   | 38541   | SH | DEFINED | 01 | 0 |
| CORINTHIAN COLLEGES INC        | COM | 218868107 | 8     | 435     | SH | DEFINED | 01 | 1 |
| CORN PRODS INTL INC            | COM | 219023108 | 19    | 554     | SH | DEFINED | 01 | 1 |
| CORNELL COMPANIES INC          | COM | 219141108 | 2470  | 134920  | SH | DEFINED | 01 | 0 |
| CORNERSTONE STRATEGIC          | COM | 21924B203 | 53    | 4566    | SH | DEFINED | 01 | 1 |
| CORNERSTONE TOTAL TOTAL RETU   | COM | 21924U201 | 60    | 5751    | SH | DEFINED | 01 | 1 |
| CORNERSTONE PROGRESSIV         | COM | 21925C101 | 2     | 232     | SH | DEFINED | 01 | 1 |
|                                |     |           |       |         |    |         |    |   |
| CORNING INC                    | COM | 219350105 | 36203 | 1791274 | SH | DEFINED | 01 | 0 |
| CORNING INC                    | COM | 219350105 | 1775  | 87833   | SH | DEFINED | 01 | 0 |
| CORNING INC                    | COM | 219350105 | 69    | 3700    | SH | DEFINED | 01 | 1 |
| CORNING INC                    | COM | 219350105 | 1436  | 71068   | SH | DEFINED | 01 | 1 |
| CORPORATE EXECUTIVE BOARD CO   | COM | 21988R102 | 2620  | 98520   | SH | DEFINED | 01 | 0 |
| CORPORATE OFFICE PROPERTIES    | COM | 22002T108 | 4638  | 115561  | SH | DEFINED | 01 | 0 |
| CORPORATE OFFICE PROPERTIES    | COM | 22002T108 | 20    | 500     | SH | DEFINED | 01 | 1 |
| CORRECTIONS CORP OF AMERICA    | COM | 22025Y407 | 819   | 41269   | SH | DEFINED | 01 | 0 |
| CORRECTIONS CORP OF AMERICA    | COM | 22025Y407 | 12    | 450     | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CORRECTIONS CORP OF AMERICA    | COM | 22025Y407 | 17     | 847     | SH | DEFINED | 01 | 1 |
| CORTEX PHARMACEUT              | COM | 220524300 | 15     | 64000   | SH | DEFINED | 01 | 1 |
| CORUS ENTERTAINMENT INC CLASS  | COM | 220874101 | 41     | 2075    | SH | DEFINED | 01 | 1 |
| CORVEL CORP                    | COM | 221006109 | 172    | 4819    | SH | DEFINED | 01 | 0 |
| COSI INC                       | COM | 22122P101 | 0      | 200     | SH | DEFINED | 01 | 1 |
| COSTCO WHOLESALE CORP          | COM | 22160K105 | 221200 | 3704500 | SH | DEFINED | 01 | 0 |
| COSTCO WHOLESALE CORP          | COM | 22160K105 | 1400   | 23441   | SH | DEFINED | 01 | 0 |
| COSTCO WHOLESALE CORP          | COM | 22160K105 | 48716  | 815327  | SH | DEFINED | 01 | 1 |
| COSTCO WHOLESALE CORP          | COM | 22160K105 | 1517   | 25408   | SH | DEFINED | 01 | 1 |
| COUSINS PROPERTIES INC         | COM | 222795106 | 287    | 34473   | SH | DEFINED | 01 | 0 |
| COUSINS PROPERTIES INC         | COM | 222795106 | 11     | 1314    | SH | DEFINED | 01 | 1 |
| COVANCE INC                    | COM | 222816100 | 39310  | 640323  | SH | DEFINED | 01 | 0 |
| COVANCE INC                    | COM | 222816100 | 146    | 2371    | SH | DEFINED | 01 | 0 |
| COVANCE INC                    | COM | 222816100 | 5273   | 113100  | SH | DEFINED | 01 | 1 |
| COVANCE INC                    | COM | 222816100 | 13     | 206     | SH | DEFINED | 01 | 1 |
| COVANTA HLDG CORP COM          | COM | 22282E102 | 525    | 31489   | SH | DEFINED | 01 | 1 |
| COVENTRY HEALTH CARE INC       | COM | 222862104 | 10089  | 408077  | SH | DEFINED | 01 | 0 |
| COVENTRY HEALTH CARE INC       | COM | 222862104 | 341    | 13800   | SH | DEFINED | 01 | 0 |
| COVENTRY HEALTH CARE INC       | COM | 222862104 | 2868   | 116076  | SH | DEFINED | 01 | 1 |
| COVENTRY HEALTH CARE INC       | COM | 222862104 | 42     | 1716    | SH | DEFINED | 01 | 1 |
| CRACKER BARREL OLD COUNTRY     | COM | 22410J106 | 9527   | 205408  | SH | DEFINED | 01 | 0 |
| CRACKER BARREL OLD COUNTRY     | COM | 22410J106 | 74     | 1603    | SH | DEFINED | 01 | 1 |
| CRANE CO                       | COM | 224399105 | 3472   | 97807   | SH | DEFINED | 01 | 0 |
| CREDIT SUISSE INCOMEFD         | COM | 224916106 | 3      | 710     | SH | DEFINED | 01 | 1 |
| CRAY INC COM NEW               | COM | 225223304 | 1      | 250     | SH | DEFINED | 01 | 1 |
| CREDIT ACCEPTANCE CORP         | COM | 225310101 | 65     | 1575    | SH | DEFINED | 01 | 0 |
| CREDIT SUISSE GROUP AG SPN ADR | COM | 225401108 | 86     | 1674    | SH | DEFINED | 01 | 1 |
| CREE INC                       | COM | 225447101 | 3616   | 51501   | SH | DEFINED | 01 | 0 |
| CREE INC                       | COM | 225447101 | 40     | 1550    | SH | DEFINED | 01 | 1 |
| CREE INC                       | COM | 225447101 | 153    | 2184    | SH | DEFINED | 01 | 1 |
| CRESUD S.A.C.I.F.              | COM | 226406106 | 23     | 1684    | SH | DEFINED | 01 | 1 |
| CROCS INC                      | COM | 227046109 | 1349   | 153811  | SH | DEFINED | 01 | 0 |
| CROCS INC                      | COM | 227046109 | 2      | 250     | SH | DEFINED | 01 | 1 |
| CROSS A T CO CL A              | COM | 227478104 | 0      | 100     | SH | DEFINED | 01 | 1 |
| CROSS COUNTRY HEALTHCARE INC   | COM | 227483104 | 220    | 21784   | SH | DEFINED | 01 | 0 |
| CROSS COUNTRY HEALTHCARE INC   | COM | 227483104 | 2      | 200     | SH | DEFINED | 01 | 1 |
| CROSS TIMBERS 103              | COM | 22757R109 | 5      | 166     | SH | DEFINED | 01 | 1 |
| CROSSTEX ENERGY LP COM UNITS   | COM | 22765U102 | 51     | 4700    | SH | DEFINED | 01 | 1 |
| CROSSTEX ENERGY INC            | COM | 22765Y104 | 13     | 1550    | SH | DEFINED | 01 | 1 |
| CROWN CASTLE INTL CORP         | COM | 228227104 | 18341  | 480000  | SH | DEFINED | 01 | 1 |
| CROWN CASTLE INTL CORP         | COM | 228227104 | 25     | 645     | SH | DEFINED | 01 | 1 |
| CROWN HOLDINGS INC             | COM | 228368106 | 583    | 21634   | SH | DEFINED | 01 | 0 |
| CROWN HOLDINGS INC             | COM | 228368106 | 2834   | 105397  | SH | DEFINED | 01 | 1 |
| CROWN HOLDINGS INC             | COM | 228368106 | 56     | 2091    | SH | DEFINED | 01 | 1 |
| CROWN MEDIA HLDGS INC CL A     | COM | 228411104 | 9      | 4456    | SH | DEFINED | 01 | 1 |
| CRUCELL NV ADS EACH REPR 1 EUR | COM | 228769105 | 19     | 938     | SH | DEFINED | 01 | 1 |
| CRYOLIFE INC                   | COM | 228903100 | 127    | 19681   | SH | DEFINED | 01 | 0 |
| CRYOLIFE INC                   | COM | 228903100 | 8      | 1300    | SH | DEFINED | 01 | 1 |
| CRYSTALLEX INTL CORPCOM NPV IS | COM | 22942F101 | 0      | 1336    | SH | DEFINED | 01 | 1 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 596    | 15180   | SH | DEFINED | 01 | 0 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 10     | 250     | SH | DEFINED | 01 | 1 |
| CUBIC CORP                     | COM | 229669106 | 24723  | 686759  | SH | DEFINED | 01 | 0 |
| CUBIC ENERGY INC               | COM | 229675103 | 127    | 120000  | SH | DEFINED | 01 | 1 |
| CUBIST PHARMACEUTICALS INC     | COM | 229678107 | 6235   | 276617  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CUBIST PHARMACEUTICALS INC     | COM | 229678107 | 29    | 1300    | SH | DEFINED | 01 | 1 |
| CULLEN FROST BANKERSINC        | COM | 229899109 | 20    | 350     | SH | DEFINED | 01 | 1 |
| CUMMINS INC                    | COM | 231021106 | 24681 | 398349  | SH | DEFINED | 01 | 0 |
| CUMMINS INC                    | COM | 231021106 | 836   | 13498   | SH | DEFINED | 01 | 0 |
| CUMMINS INC                    | COM | 231021106 | 292   | 4717    | SH | DEFINED | 01 | 1 |
| CUMULUS MEDIA CL A WTS         | WT  | 231082553 | 11    | 3509    | SH | DEFINED | 01 | 0 |
| CUMULUS MEDIA CL A WTS         | WT  | 231082553 | 5     | 1535    | SH | DEFINED | 01 | 0 |
| CUMULUS MEDIA CL A WTS         | WT  | 231082553 | 5     | 1547    | SH | DEFINED | 01 | 0 |
| CURIS INC                      | COM | 231269101 | 1     | 400     | SH | DEFINED | 01 | 1 |
| CURRENCYSHARES AUSTRALIAN      | COM | 23129U101 | 59    | 638     | SH | DEFINED | 01 | 1 |
| CURRENCYSHARES SWISS FRANC TR  | COM | 23129V109 | 47    | 501     | SH | DEFINED | 01 | 1 |
| CURRENCYSHARES CDN DLR TR CDN  | COM | 23129X105 | 29    | 300     | SH | DEFINED | 01 | 1 |
| CURRENCYSHARES EURO TR EURO SH | COM | 23130C108 | 5     | 35      | SH | DEFINED | 01 | 1 |
| CURTISS-WRIGHT CORP            | COM | 231561101 | 1559  | 44805   | SH | DEFINED | 01 | 0 |
| CURTISS-WRIGHT CORP            | COM | 231561101 | 49    | 1408    | SH | DEFINED | 01 | 1 |
| CUTERA INC                     | COM | 232109108 | 895   | 86288   | SH | DEFINED | 01 | 0 |
| CYBERSOURCE CORP               | COM | 23251J106 | 1024  | 58055   | SH | DEFINED | 01 | 0 |
| CYBERONICS INC                 | COM | 23251P102 | 386   | 20128   | SH | DEFINED | 01 | 0 |
| CYBERONICS INC                 | COM | 23251P102 | 4     | 185     | SH | DEFINED | 01 | 1 |
| CYMER INC                      | COM | 232572107 | 1175  | 31491   | SH | DEFINED | 01 | 0 |
| CYNOSURE INC-CLASS A           | COM | 232577205 | 2185  | 194400  | SH | DEFINED | 01 | 0 |
| CYPRESS BIOSCIENCE INC         | COM | 232674507 | 1077  | 219826  | SH | DEFINED | 01 | 0 |
| CYPRESS SEMICONDUCTOR CORP     | COM | 232806109 | 25506 | 2217798 | SH | DEFINED | 01 | 0 |
| CYPRESS SEMICONDUCTOR CORP     | COM | 232806109 | 45    | 3900    | SH | DEFINED | 01 | 1 |
| CYPRESS SHARPRIDGE INV REIT    | COM | 23281A307 | 92    | 6879    | SH | DEFINED | 01 | 0 |
| CYTEC INDUSTRIES INC           | COM | 232820100 | 739   | 15812   | SH | DEFINED | 01 | 0 |
| CYTEC INDUSTRIES INC           | COM | 232820100 | 5     | 105     | SH | DEFINED | 01 | 1 |
| CYTRX CORP                     | COM | 232828301 | 0     | 200     | SH | DEFINED | 01 | 1 |
| CYTORI THERAPEUTICS INC COM    | COM | 23283K105 | 22    | 4929    | SH | DEFINED | 01 | 1 |
| DCA TOTAL RETURN FD COM        | COM | 233066109 | 5     | 1800    | SH | DEFINED | 01 | 1 |
| DCP MIDSTREAM PARTNERS L       | COM | 23311P100 | 7     | 230     | SH | DEFINED | 01 | 1 |
| DCT INDUSTRIAL TRUST INC       | COM | 233153105 | 2057  | 393243  | SH | DEFINED | 01 | 0 |
| DCT INDUSTRIAL TRUST INC       | COM | 233153105 | 1037  | 198208  | SH | DEFINED | 01 | 1 |
| DNP SELECT INCOME FD INC       | COM | 23325P104 | 199   | 21418   | SH | DEFINED | 01 | 1 |
| DG FASTCHANNEL INC             | COM | 23326R109 | 1155  | 36150   | SH | DEFINED | 01 | 0 |
| DG FASTCHANNEL INC             | COM | 23326R109 | 11    | 330     | SH | DEFINED | 01 | 1 |
| DPL INC                        | COM | 233293109 | 120   | 4425    | SH | DEFINED | 01 | 0 |
| DPL INC                        | COM | 233293109 | 146   | 5357    | SH | DEFINED | 01 | 1 |
| DR HORTON INC                  | COM | 23331A109 | 31206 | 2476712 | SH | DEFINED | 01 | 0 |
| DR HORTON INC                  | COM | 23331A109 | 392   | 31102   | SH | DEFINED | 01 | 0 |
| DR HORTON INC                  | COM | 23331A109 | 2     | 191     | SH | DEFINED | 01 | 1 |
| DST SYSTEMS INC                | COM | 233326107 | 4905  | 118348  | SH | DEFINED | 01 | 0 |
| DST SYSTEMS INC                | COM | 233326107 | 19    | 468     | SH | DEFINED | 01 | 0 |
| DSP GROUP INC                  | COM | 23332B106 | 128   | 15349   | SH | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM | 233331107 | 34732 | 778776  | SH | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM | 233331107 | 536   | 12013   | SH | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM | 233331107 | 242   | 5417    | SH | DEFINED | 01 | 1 |
| DSW INC-CLASS A                | COM | 23334L102 | 357   | 13995   | SH | DEFINED | 01 | 0 |
| DTS INC                        | COM | 23335C101 | 426   | 12501   | SH | DEFINED | 01 | 0 |
| DXP ENTERPRISES INC NEW        | COM | 233377407 | 15    | 1200    | SH | DEFINED | 01 | 1 |
| DWS HIGH INCOME TR SHS NEW     | COM | 23337C208 | 21    | 2325    | SH | DEFINED | 01 | 1 |
| DWS MUN INCOME TR COM          | COM | 23338M106 | 25    | 2056    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| DWS STRATEGIC                  | MUNI INCOM | COM | 23338T101 | 90     | 6900    | SH | DEFINED | 01 | 1 |
| DWS RREEF REAL                 | ESTATE FD  | COM | 23338X102 | 8      | 6075    | SH | DEFINED | 01 | 1 |
| DWS ENHANCED                   | COMMODITY  | COM | 23338Y100 | 8      | 1000    | SH | DEFINED | 01 | 1 |
| DWS DREMAN VALUE               | INCOME EDG | COM | 23339M204 | 208    | 16084   | SH | DEFINED | 01 | 1 |
| DWS RREEF WORLD REALESTATE & T |            | COM | 23339T209 | 26     | 1651    | SH | DEFINED | 01 | 0 |
| DAKTRONICS INC                 |            | COM | 234264109 | 379    | 49735   | SH | DEFINED | 01 | 0 |
| DAKTRONICS INC                 |            | COM | 234264109 | 1      | 100     | SH | DEFINED | 01 | 1 |
| DANA HOLDING CORP              |            | COM | 235825205 | 11841  | 996743  | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   |            | COM | 235851102 | 634    | 7928    | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   |            | COM | 235851102 | 1209   | 15130   | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   |            | COM | 235851102 | 70626  | 883819  | SH | DEFINED | 01 | 1 |
| DANAHER CORP                   |            | COM | 235851102 | 536    | 6710    | SH | DEFINED | 01 | 1 |
| DANVERS BANCORP                |            | COM | 236442109 | 14     | 1000    | SH | DEFINED | 01 | 1 |
| DARDEN RESTAURANTS INC         |            | COM | 237194105 | 7324   | 164453  | SH | DEFINED | 01 | 0 |
| DARDEN RESTAURANTS INC         |            | COM | 237194105 | 346    | 7766    | SH | DEFINED | 01 | 0 |
| DARDEN RESTAURANTS INC         |            | COM | 237194105 | 48     | 1086    | SH | DEFINED | 01 | 1 |
| DARLING INTERNATIONAL INC      |            | COM | 237266101 | 1331   | 148428  | SH | DEFINED | 01 | 0 |
| DARLING INTERNATIONAL INC      |            | COM | 237266101 | 6      | 700     | SH | DEFINED | 01 | 1 |
| DAVITA INC                     |            | COM | 23918K108 | 891    | 14081   | SH | DEFINED | 01 | 0 |
| DAVITA INC                     |            | COM | 23918K108 | 203    | 3202    | SH | DEFINED | 01 | 0 |
| DAVITA INC                     |            | COM | 23918K108 | 105    | 1875    | SH | DEFINED | 01 | 1 |
| DAVITA INC                     |            | COM | 23918K108 | 80     | 1266    | SH | DEFINED | 01 | 1 |
| DAWSON GEOPHYSICAL CO          |            | COM | 239359102 | 122    | 4175    | SH | DEFINED | 01 | 0 |
| DAWSON GEOPHYSICAL CO          |            | COM | 239359102 | 30     | 1030    | SH | DEFINED | 01 | 1 |
| DEALERTRACK HOLDINGS INC       |            | COM | 242309102 | 2360   | 138186  | SH | DEFINED | 01 | 0 |
| DEALERTRACK HOLDINGS INC       |            | COM | 242309102 | 27     | 1150    | SH | DEFINED | 01 | 1 |
| DEAN FOODS CO                  |            | COM | 242370104 | 7184   | 457823  | SH | DEFINED | 01 | 0 |
| DEAN FOODS CO                  |            | COM | 242370104 | 285    | 18174   | SH | DEFINED | 01 | 0 |
| DEAN FOODS CO                  |            | COM | 242370104 | 63     | 4047    | SH | DEFINED | 01 | 1 |
| DECKERS OUTDOOR CORP           |            | COM | 243537107 | 4574   | 33144   | SH | DEFINED | 01 | 0 |
| DECKERS OUTDOOR CORP           |            | COM | 243537107 | 46     | 331     | SH | DEFINED | 01 | 1 |
| DEER CONSUMER PRODUCTS INC     |            | COM | 24379J200 | 13     | 1075    | SH | DEFINED | 01 | 1 |
| DEER CONSUMER PRODUCTS INC     |            | COM | 24379J200 | 1      | 80      | SH | DEFINED | 01 | 1 |
| DEERE & CO                     |            | COM | 244199105 | 115339 | 1939801 | SH | DEFINED | 01 | 0 |
| DEERE & CO                     |            | COM | 244199105 | 1570   | 26397   | SH | DEFINED | 01 | 0 |
| DEERE & CO                     |            | COM | 244199105 | 36     | 600     | SH | DEFINED | 01 | 1 |
| DEERE & CO                     |            | COM | 244199105 | 3207   | 53933   | SH | DEFINED | 01 | 1 |
| DEERFIELD CAP CORP             | COM NEW    | COM | 244331302 | 0      | 40      | SH | DEFINED | 01 | 1 |
| DEL MONTE FOODS CO             |            | COM | 24522P103 | 26     | 1796    | SH | DEFINED | 01 | 1 |
| DELAWARE ENHANCED              | GLOBAL DIV | COM | 246060107 | 12     | 1000    | SH | DEFINED | 01 | 1 |
| DELAWARE INVTS COLO            | MUN INCOME | COM | 246101109 | 5      | 365     | SH | DEFINED | 01 | 1 |
| DELAWARE INVTS MINN            | MUN INCOME | COM | 24610V103 | 9      | 735     | SH | DEFINED | 01 | 1 |
| DELL INC                       |            | COM | 24702R101 | 57539  | 3833442 | SH | DEFINED | 01 | 0 |
| DELL INC                       |            | COM | 24702R101 | 5628   | 374936  | SH | DEFINED | 01 | 0 |
| DELL INC                       |            | COM | 24702R101 | 1668   | 111134  | SH | DEFINED | 01 | 0 |
| DELL INC                       |            | COM | 24702R101 | 120291 | 8014079 | SH | DEFINED | 01 | 1 |
| DELL INC                       |            | COM | 24702R101 | 708    | 47160   | SH | DEFINED | 01 | 1 |
| DELPHI CORP-W/I                |            | COM | 247126303 | 174    | 13      | SH | DEFINED | 01 | 0 |
| DELPHI FINANCIAL GROUP-CL A    |            | COM | 247131105 | 3624   | 144062  | SH | DEFINED | 01 | 0 |
| DELPHI FINANCIAL GROUP-CL A    |            | COM | 247131105 | 85     | 2775    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |             |           |           |         |       |         |         |    |   |
|------------------------------|-------------|-----------|-----------|---------|-------|---------|---------|----|---|
| DELTA AIR LINES INC          | COM         | 247361702 | 140951    | 9660778 | SH    | DEFINED | 01      | 0  |   |
| DELTA AIR LINES INC          | COM         | 247361702 | 129       | 8865    | SH    | DEFINED | 01      | 0  |   |
| DELTA AIR LINES INC          | COM         | 247361702 | 139       | 9559    | SH    | DEFINED | 01      | 1  |   |
| DELTA NAT GAS INC            | COM         | 247748106 | 10        | 350     | SH    | DEFINED | 01      | 1  |   |
| DELTIC TIMBER CORP           | COM         | 247850100 | 355       | 8068    | SH    | DEFINED | 01      | 0  |   |
| DELTIC TIMBER CORP           | COM         | 247850100 | 53        | 1200    | SH    | DEFINED | 01      | 1  |   |
| DELTA PETROLEUM CORP         | COM         | 247907207 | 9         | 6366    | SH    | DEFINED | 01      | 0  |   |
| DENBURY RESOURCES INC        | COM         | 247916208 | 5137      | 304469  | SH    | DEFINED | 01      | 0  |   |
| DENBURY RESOURCES INC        | COM         | 247916208 | 309       | 18323   | SH    | DEFINED | 01      | 0  |   |
| DENBURY RESOURCES INC        | COM         | 247916208 | 92        | 5453    | SH    | DEFINED | 01      | 1  |   |
| DELUXE CORP                  | COM         | 248019101 | 6403      | 329733  | SH    | DEFINED | 01      | 0  |   |
| DEMANDTEC INC                | COM         | 24802R506 | 16        | 2250    | SH    | DEFINED | 01      | 0  |   |
| DENALI FD INC COM            | COM         | 24823A102 | 2         | 150     | SH    | DEFINED | 01      | 1  |   |
| DENDREON CORP                | COM         | 24823Q107 | 16153     | 442905  | SH    | DEFINED | 01      | 0  |   |
| DENDREON CORP                | COM         | 24823Q107 | 253       | 6927    | SH    | DEFINED | 01      | 1  |   |
| DENISON MINES                | CORPORATIO  | 248356107 | 10        | 7030    | SH    | DEFINED | 01      | 1  |   |
| DENNYS CORP COM              | COM         | 24869P104 | 2         | 500     | SH    | DEFINED | 01      | 1  |   |
| DENTSPLY INTERNATIONAL INC   | COM         | 249030107 | 119       | 3419    | SH    | DEFINED | 01      | 0  |   |
| DENTSPLY INTERNATIONAL INC   | COM         | 249030107 | 200       | 5748    | SH    | DEFINED | 01      | 0  |   |
| DENTSPLY INTERNATIONAL INC   | COM         | 249030107 | 423       | 12125   | SH    | DEFINED | 01      | 1  |   |
| DEPOMED INC                  | COM         | 249908104 | 4         | 1000    | SH    | DEFINED | 01      | 1  |   |
| DESARROLLADORA HOMEX-ADR     | COM         | 25030W100 | 119       | 4200    | SH    | DEFINED | 01      | 0  |   |
| DESARROLLADORA HOMEX-ADR     | COM         | 25030W100 | 30        | 1064    | SH    | DEFINED | 01      | 1  |   |
| DEUTSCHE BANK AG             | LONDON PWR  | COM       | 25154H731 | 59      | 3000  | SH      | DEFINED | 01 | 1 |
| DEUTSCHE BANK AG             | LONDON POW  | COM       | 25154H749 | 9       | 320   | SH      | DEFINED | 01 | 1 |
| DEUTSCHE TELEKOM AG-SPON ADR | COM         | 251566105 | 81697     | 6051626 | SH    | DEFINED | 01      | 0  |   |
| DEUTSCHE TELEKOM AG-SPON ADR | COM         | 251566105 | 43        | 3150    | SH    | DEFINED | 01      | 0  |   |
| DEUTSCHE TELEKOM AG-SPON ADR | COM         | 251566105 | 396       | 29300   | SH    | DEFINED | 01      | 1  |   |
| DEUTSCHE TELEKOM AG-SPON ADR | COM         | 251566105 | 71        | 5240    | SH    | DEFINED | 01      | 1  |   |
| DEVELOPERS                   | DIVERSIFIED | COM       | 251591103 | 186     | 15304 | SH      | DEFINED | 01 | 1 |
| DEVON ENERGY CORPORATION     | COM         | 25179M103 | 119461    | 1854109 | SH    | DEFINED | 01      | 0  |   |
| DEVON ENERGY CORPORATION     | COM         | 25179M103 | 4035      | 62623   | SH    | DEFINED | 01      | 0  |   |
| DEVON ENERGY CORPORATION     | COM         | 25179M103 | 1929      | 29934   | SH    | DEFINED | 01      | 0  |   |
| DEVON ENERGY CORPORATION     | COM         | 25179M103 | 16263     | 252421  | SH    | DEFINED | 01      | 1  |   |
| DEVON ENERGY CORPORATION     | COM         | 25179M103 | 862       | 13376   | SH    | DEFINED | 01      | 1  |   |
| DEVRY INC                    | COM         | 251893103 | 78        | 1188    | SH    | DEFINED | 01      | 0  |   |
| DEVRY INC                    | COM         | 251893103 | 126       | 1929    | SH    | DEFINED | 01      | 0  |   |
| DEVRY INC                    | COM         | 251893103 | 69        | 1051    | SH    | DEFINED | 01      | 1  |   |
| DEXCOM INC                   | COM         | 252131107 | 36        | 3671    | SH    | DEFINED | 01      | 0  |   |
| DIAGEO PLC-SPONSORED ADR     | COM         | 25243Q205 | 43954     | 651658  | SH    | DEFINED | 01      | 0  |   |
| DIAGEO PLC-SPONSORED ADR     | COM         | 25243Q205 | 1806      | 26779   | SH    | DEFINED | 01      | 1  |   |
| DIALYSIS CORP AMER           | CL A        | COM       | 252529102 | 1       | 100   | SH      | DEFINED | 01 | 1 |
| DIAMOND FOODS INC            | COM         | 252603105 | 693       | 16483   | SH    | DEFINED | 01      | 0  |   |
| DIAMOND HILL FINL            | TRENDS FD   | COM       | 25264C101 | 11      | 1200  | SH      | DEFINED | 01 | 1 |
| DIAMOND HILL INVESTMENT GRP  | COM         | 25264R207 | 2580      | 37608   | SH    | DEFINED | 01      | 0  |   |
| DIAMOND MANAGEMENT & TECHNOL | COM         | 25269L106 | 69        | 8805    | SH    | DEFINED | 01      | 0  |   |
| DIAMOND OFFSHORE DRILLING    | COM         | 25271C102 | 16335     | 183924  | SH    | DEFINED | 01      | 0  |   |
| DIAMOND OFFSHORE DRILLING    | COM         | 25271C102 | 301       | 3387    | SH    | DEFINED | 01      | 0  |   |
| DIAMOND OFFSHORE DRILLING    | COM         | 25271C102 | 5271      | 63473   | SH    | DEFINED | 01      | 1  |   |
| DIAMOND OFFSHORE DRILLING    | COM         | 25271C102 | 425       | 4783    | SH    | DEFINED | 01      | 1  |   |
| DIAMONDROCK HOSPITALITY CO   | COM         | 252784301 | 4462      | 441368  | SH    | DEFINED | 01      | 0  |   |
| DIAMONDROCK HOSPITALITY CO   | COM         | 252784301 | 10        | 963     | SH    | DEFINED | 01      | 1  |   |
| DICK'S SPORTING GOODS INC    | COM         | 253393102 | 14586     | 558652  | SH    | DEFINED | 01      | 0  |   |
| DICK'S SPORTING GOODS INC    | COM         | 253393102 | 175       | 6709    | SH    | DEFINED | 01      | 0  |   |
| DICK'S SPORTING GOODS INC    | COM         | 253393102 | 0         | 1       | SH    | DEFINED | 01      | 1  |   |
| DIEBOLD INC                  | COM         | 253651103 | 8902      | 280300  | SH    | DEFINED | 01      | 0  |   |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |       |         |    |         |    |   |
|---------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| DIEBOLD INC                     | COM | 253651103 | 70    | 2192    | SH | DEFINED | 01 | 1 |
| DIGI INTERNATIONAL INC          | COM | 253798102 | 250   | 23484   | SH | DEFINED | 01 | 0 |
| DIGIMARC CORP NEW               | COM | 25381B101 | 10    | 571     | SH | DEFINED | 01 | 1 |
| DIGITAL ANGEL CORP NEW          | COM | 25383A200 | 6     | 10265   | SH | DEFINED | 01 | 1 |
| DIGITAL POWER CORP              | COM | 253862106 | 0     | 100     | SH | DEFINED | 01 | 1 |
| DIGITAL REALTY TRUST INC        | COM | 253868103 | 6110  | 112731  | SH | DEFINED | 01 | 0 |
| DIGITAL REALTY TRUST INC        | COM | 253868103 | 70    | 1725    | SH | DEFINED | 01 | 1 |
| DIGITAL REALTY TRUST INC        | COM | 253868103 | 13    | 243     | SH | DEFINED | 01 | 1 |
| DIGITAL RIVER INC               | COM | 25388B104 | 0     | 5       | SH | DEFINED | 01 | 1 |
| DIGITALGLOBE INC                | COM | 25389M877 | 1721  | 61553   | SH | DEFINED | 01 | 0 |
| DIGITALGLOBE INC                | COM | 25389M877 | 6     | 200     | SH | DEFINED | 01 | 1 |
| DIME COMMUNITY BANCSHARES       | COM | 253922108 | 2190  | 173387  | SH | DEFINED | 01 | 0 |
| DILLARDS INC-CL A               | COM | 254067101 | 13233 | 560666  | SH | DEFINED | 01 | 0 |
| DINEEQUITY INC                  | COM | 254423106 | 13094 | 331242  | SH | DEFINED | 01 | 0 |
| DIODES INC                      | COM | 254543101 | 749   | 33423   | SH | DEFINED | 01 | 0 |
| DIODES INC                      | COM | 254543101 | 7     | 300     | SH | DEFINED | 01 | 1 |
| DIONEX CORP                     | COM | 254546104 | 1171  | 15663   | SH | DEFINED | 01 | 0 |
| DIONEX CORP                     | COM | 254546104 | 7     | 100     | SH | DEFINED | 01 | 1 |
| DIREXION DAILY                  | COM | 25459W300 | 247   | 1870    | SH | DEFINED | 01 | 1 |
| DIREXION SHS ETF TR DAILY FINL  | COM | 25459W516 | 18    | 190     | SH | DEFINED | 01 | 1 |
| DIREXION SHS ETF TR DAILY 30 Y  | COM | 25459W532 | 16    | 250     | SH | DEFINED | 01 | 1 |
| DIREXION DAILY MID CAP BULL 3   | COM | 25459W730 | 121   | 1044    | SH | DEFINED | 01 | 1 |
| DIREXION DAILY DEVELOPED        | COM | 25459W789 | 269   | 3675    | SH | DEFINED | 01 | 1 |
| DIREXION DAILY SMALLCAP BEAR 3  | COM | 25459W839 | 2     | 269     | SH | DEFINED | 01 | 1 |
| DIREXION DAILY SML CAP BULL 3   | COM | 25459W847 | 124   | 2281    | SH | DEFINED | 01 | 1 |
| DIREXION DAILY LARGE CAP BEAR 3 | COM | 25459W854 | 59    | 4196    | SH | DEFINED | 01 | 1 |
| DIREXION DAILY LARGE CAP BULL 3 | COM | 25459W862 | 282   | 4741    | SH | DEFINED | 01 | 1 |
| DIREXION DAILY ENERGY BUL       | COM | 25459W888 | 18    | 460     | SH | DEFINED | 01 | 1 |
| DISCOVERY LAB INC               | COM | 254668106 | 0     | 400     | SH | DEFINED | 01 | 1 |
| WALT DISNEY CO/THE              | COM | 254687106 | 82728 | 2369753 | SH | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM | 254687106 | 7368  | 211070  | SH | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM | 254687106 | 3970  | 113712  | SH | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM | 254687106 | 29350 | 840706  | SH | DEFINED | 01 | 1 |
| WALT DISNEY CO/THE              | COM | 254687106 | 2262  | 64806   | SH | DEFINED | 01 | 1 |
| DISCOVER FINANCIAL SERVICES     | COM | 254709108 | 21719 | 1457690 | SH | DEFINED | 01 | 0 |
| DISCOVER FINANCIAL SERVICES     | COM | 254709108 | 668   | 44820   | SH | DEFINED | 01 | 0 |
| DISCOVER FINANCIAL SERVICES     | COM | 254709108 | 147   | 9853    | SH | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-A      | COM | 25470F104 | 3074  | 91000   | SH | DEFINED | 01 | 0 |
| DISCOVERY COMMUNICATIONS-A      | COM | 25470F104 | 571   | 16892   | SH | DEFINED | 01 | 0 |
| DISCOVERY COMMUNICATIONS-A      | COM | 25470F104 | 14855 | 439634  | SH | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-A      | COM | 25470F104 | 63    | 1877    | SH | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICAT            | COM | 25470F302 | 142   | 4835    | SH | DEFINED | 01 | 1 |
| DISH NETWORK CORP-A             | COM | 25470M109 | 1106  | 53148   | SH | DEFINED | 01 | 0 |
| DISH NETWORK CORP-A             | COM | 25470M109 | 57076 | 2743929 | SH | DEFINED | 01 | 1 |
| DISH NETWORK CORP-A             | COM | 25470M109 | 1     | 25      | SH | DEFINED | 01 | 1 |
| DIRECTV GROUP INC/THE           | COM | 25490A101 | 1039  | 30742   | SH | DEFINED | 01 | 0 |
| DIRECTV GROUP INC/THE           | COM | 25490A101 | 1656  | 48969   | SH | DEFINED | 01 | 0 |
| DIRECTV GROUP INC/THE           | COM | 25490A101 | 93459 | 2764272 | SH | DEFINED | 01 | 1 |
| DIRECTV GROUP INC/THE           | COM | 25490A101 | 244   | 7207    | SH | DEFINED | 01 | 1 |
| DR REDDYS LABORATORI            | COM | 256135203 | 43    | 1537    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| DOCUMENT SEC SYS INC           | COM | 25614T101 | 0      | 50      | SH | DEFINED | 01 | 1 |
| DOLAN MEDIA COMPANY            | COM | 25659P402 | 999    | 91857   | SH | DEFINED | 01 | 0 |
| DOLBY LABORATORIES INC-CL A    | COM | 25659T107 | 6363   | 157500  | SH | DEFINED | 01 | 1 |
| DOLBY LABORATORIES INC-CL A    | COM | 25659T107 | 46     | 783     | SH | DEFINED | 01 | 1 |
| DOLE FOOD CO INC               | COM | 256603101 | 1450   | 122355  | SH | DEFINED | 01 | 0 |
| DOLLAR GENERAL CORP            | COM | 256677105 | 20192  | 799709  | SH | DEFINED | 01 | 0 |
| DOLLAR GENERAL CORP            | COM | 256677105 | 13     | 525     | SH | DEFINED | 01 | 1 |
| DOLLAR THRIFTY AUTOMOTIVE GRCO | COM | 256743105 | 328    | 10200   | SH | DEFINED | 01 | 0 |
| DOLLAR TREE INC                | COM | 256746108 | 4184   | 70648   | SH | DEFINED | 01 | 0 |
| DOLLAR TREE INC                | COM | 256746108 | 14     | 228     | SH | DEFINED | 01 | 1 |
| DOMINION RES BLACK WARRIOR TR  | COM | 25746Q108 | 16     | 1185    | SH | DEFINED | 01 | 1 |
| DOMINION RESOURCES INC/VA      | COM | 25746U109 | 142127 | 3457218 | SH | DEFINED | 01 | 0 |
| DOMINION RESOURCES INC/VA      | COM | 25746U109 | 1865   | 45365   | SH | DEFINED | 01 | 0 |
| DOMINION RESOURCES INC/VA      | COM | 25746U109 | 1229   | 29887   | SH | DEFINED | 01 | 1 |
| DOMINOS PIZZA INC              | COM | 25754A201 | 30     | 2174    | SH | DEFINED | 01 | 1 |
| DOMTAR CORP                    | COM | 257559203 | 278    | 4318    | SH | DEFINED | 01 | 0 |
| DONALDSON CO INC               | COM | 257651109 | 6461   | 169600  | SH | DEFINED | 01 | 1 |
| DONALDSON CO INC               | COM | 257651109 | 34     | 743     | SH | DEFINED | 01 | 1 |
| RR DONNELLEY & SONS CO         | COM | 257867101 | 20596  | 964635  | SH | DEFINED | 01 | 0 |
| RR DONNELLEY & SONS CO         | COM | 257867101 | 466    | 21804   | SH | DEFINED | 01 | 0 |
| RR DONNELLEY & SONS CO         | COM | 257867101 | 11     | 493     | SH | DEFINED | 01 | 1 |
| DORAL FINANCIAL CORP           | COM | 25811P886 | 75     | 17457   | SH | DEFINED | 01 | 0 |
| DORAL FINANCIAL CORP           | COM | 25811P886 | 1      | 163     | SH | DEFINED | 01 | 1 |
| DORCHESTER MINERALS LP COM UNI | COM | 25820R105 | 5      | 250     | SH | DEFINED | 01 | 1 |
| DOUBLE EAGLE PETROLEUM         | COM | 258570209 | 29     | 6750    | SH | DEFINED | 01 | 1 |
| DOUGLAS EMMETT INC             | COM | 25960P109 | 4884   | 317711  | SH | DEFINED | 01 | 0 |
| DOVER CORP                     | COM | 260003108 | 234    | 4988    | SH | DEFINED | 01 | 0 |
| DOVER CORP                     | COM | 260003108 | 408    | 8735    | SH | DEFINED | 01 | 0 |
| DOVER CORP                     | COM | 260003108 | 68     | 1459    | SH | DEFINED | 01 | 1 |
| DOVER SADDLERY INC             | COM | 260412101 | 0      | 100     | SH | DEFINED | 01 | 1 |
| DOW 30SM ENHANCED PREM & INC   | COM | 260537105 | 18     | 1702    | SH | DEFINED | 01 | 1 |
| DOW CHEMICAL                   | COM | 260543103 | 209661 | 7090394 | SH | DEFINED | 01 | 0 |
| DOW CHEMICAL                   | COM | 260543103 | 2552   | 86298   | SH | DEFINED | 01 | 0 |
| DOW CHEMICAL                   | COM | 260543103 | 839    | 28377   | SH | DEFINED | 01 | 1 |
| DOW 30 PREMIUM & DIVIDEND      | COM | 260582101 | 32     | 2159    | SH | DEFINED | 01 | 1 |
| DR PEPPER SNAPPLE GROUP INC    | COM | 26138E109 | 372    | 10574   | SH | DEFINED | 01 | 0 |
| DR PEPPER SNAPPLE GROUP INC    | COM | 26138E109 | 637    | 18106   | SH | DEFINED | 01 | 0 |
| DR PEPPER SNAPPLE GROUP INC    | COM | 26138E109 | 42     | 1183    | SH | DEFINED | 01 | 1 |
| DRDGOLD LTD SPON ADREACH REP 1 | COM | 26152H301 | 5      | 1056    | SH | DEFINED | 01 | 1 |
| DREAMWORKS ANIMATION SKG-A     | COM | 26153C103 | 51079  | 1296748 | SH | DEFINED | 01 | 0 |
| DREAMWORKS ANIMATION SKG-A     | COM | 26153C103 | 2038   | 51513   | SH | DEFINED | 01 | 1 |
| DREAMWORKS ANIMATION SKG-A     | COM | 26153C103 | 16     | 397     | SH | DEFINED | 01 | 1 |
| DRESS BARN INC                 | COM | 261570105 | 6794   | 259699  | SH | DEFINED | 01 | 0 |
| DRESS BARN INC                 | COM | 261570105 | 26     | 1005    | SH | DEFINED | 01 | 1 |
| DRESSER-RAND GROUP INC         | COM | 261608103 | 594    | 18909   | SH | DEFINED | 01 | 0 |
| DRESSER-RAND GROUP INC         | COM | 261608103 | 13     | 398     | SH | DEFINED | 01 | 1 |
| DREW INDUSTRIES INC            | COM | 26168L205 | 265    | 12023   | SH | DEFINED | 01 | 0 |
| DREYFUS STRATEGIC MUNS INC     | COM | 261932107 | 40     | 4651    | SH | DEFINED | 01 | 1 |
| DREYFUS HIGH YIELD STRATEGIES  | COM | 26200S101 | 330    | 75941   | SH | DEFINED | 01 | 1 |
| DREYFUS MUN INCOME INC         | COM | 26201R102 | 181    | 20187   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| DREYFUS STRATEGIC              | MUN BD FD  | COM | 26202F107 | 48     | 5863    | SH | DEFINED | 01 | 1 |
| DRIL-QUIP INC                  |            | COM | 262037104 | 4812   | 79100   | SH | DEFINED | 01 | 0 |
| DRIL-QUIP INC                  |            | COM | 262037104 | 78     | 1275    | SH | DEFINED | 01 | 1 |
| DRUGSTORE.COM INC              |            | COM | 262241102 | 45     | 12670   | SH | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      |            | COM | 263534109 | 303262 | 8143291 | SH | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      |            | COM | 263534109 | 2872   | 77124   | SH | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      |            | COM | 263534109 | 497    | 13370   | SH | DEFINED | 01 | 1 |
| DU PONT (E.I.) DE NEMOURS      |            | COM | 263534109 | 1842   | 49457   | SH | DEFINED | 01 | 1 |
| DUCOMMUN INC                   |            | COM | 264147109 | 665    | 31625   | SH | DEFINED | 01 | 0 |
| DUFF & PHELPS UTIL &CORP BD TR |            | COM | 26432K108 | 169    | 13873   | SH | DEFINED | 01 | 1 |
| DUFF & PHELPS CORP-CL A        |            | COM | 26433B107 | 1210   | 72232   | SH | DEFINED | 01 | 0 |
| DUKE REALTY CORP               | COM NEW    | COM | 264411505 | 51     | 4087    | SH | DEFINED | 01 | 1 |
| DUKE ENERGY CORP               |            | COM | 26441C105 | 11500  | 704613  | SH | DEFINED | 01 | 0 |
| DUKE ENERGY CORP               |            | COM | 26441C105 | 1141   | 69921   | SH | DEFINED | 01 | 0 |
| DUKE ENERGY CORP               |            | COM | 26441C105 | 2112   | 129389  | SH | DEFINED | 01 | 1 |
| DUN & BRADSTREET CORP          |            | COM | 26483E100 | 6745   | 90637   | SH | DEFINED | 01 | 0 |
| DUN & BRADSTREET CORP          |            | COM | 26483E100 | 124    | 1666    | SH | DEFINED | 01 | 0 |
| DUN & BRADSTREET CORP          |            | COM | 26483E100 | 11     | 145     | SH | DEFINED | 01 | 1 |
| DUNCAN ENERGY                  | PARTNERS L | COM | 265026104 | 33     | 1200    | SH | DEFINED | 01 | 1 |
| DUPONT FABROS TECHNOLOGY       |            | COM | 26613Q106 | 150    | 6924    | SH | DEFINED | 01 | 0 |
| DURECT CORP                    | COM        | COM | 266605104 | 0      | 30      | SH | DEFINED | 01 | 1 |
| DYCOM INDUSTRIES INC           |            | COM | 267475101 | 408    | 46511   | SH | DEFINED | 01 | 0 |
| DYCOM INDUSTRIES INC           |            | COM | 267475101 | 0      | 2       | SH | DEFINED | 01 | 1 |
| DYNAMIC MATERIALS              | CORP       | COM | 267888105 | 55     | 3500    | SH | DEFINED | 01 | 1 |
| DYNCORP INTL INC               | COM CL A   | COM | 26817C101 | 2      | 200     | SH | DEFINED | 01 | 1 |
| DYNEGY INC DEL CL A            |            | COM | 26817G102 | 3      | 2645    | SH | DEFINED | 01 | 1 |

|                        |             |     |           |        |         |    |         |    |   |
|------------------------|-------------|-----|-----------|--------|---------|----|---------|----|---|
| DYNEX CAPITAL INC      |             | COM | 26817Q506 | 3      | 292     | SH | DEFINED | 01 | 1 |
| EDCI HLDGS INC COM     |             | COM | 268315108 | 0      | 5       | SH | DEFINED | 01 | 1 |
| EF JOHNSON             | TECHNOLOGI  | COM | 26843B101 | 1      | 1000    | SH | DEFINED | 01 | 1 |
| E-HOUSE CHINA          | HOLDINGS L  | COM | 26852W103 | 269    | 14150   | SH | DEFINED | 01 | 1 |
| EMC CORP/MASS          |             | COM | 268648102 | 31893  | 1767854 | SH | DEFINED | 01 | 0 |
| EMC CORP/MASS          |             | COM | 268648102 | 2111   | 116995  | SH | DEFINED | 01 | 0 |
| EMC CORP/MASS          |             | COM | 268648102 | 1654   | 91687   | SH | DEFINED | 01 | 1 |
| EMS TECHNOLOGIES INC   |             | COM | 26873N108 | 326    | 19626   | SH | DEFINED | 01 | 0 |
| EMS TECHNOLOGIES INC   |             | COM | 26873N108 | 3      | 151     | SH | DEFINED | 01 | 1 |
| ENI ADR EACH REP 2     | ORD EUR1 (M | COM | 26874R108 | 19     | 401     | SH | DEFINED | 01 | 1 |
| EOG RESOURCES INC      |             | COM | 26875P101 | 104383 | 1123117 | SH | DEFINED | 01 | 0 |
| EOG RESOURCES INC      |             | COM | 26875P101 | 1221   | 13138   | SH | DEFINED | 01 | 0 |
| EOG RESOURCES INC      |             | COM | 26875P101 | 17279  | 191900  | SH | DEFINED | 01 | 1 |
| EOG RESOURCES INC      |             | COM | 26875P101 | 692    | 7448    | SH | DEFINED | 01 | 1 |
| EPIQ SYSTEMS INC       |             | COM | 26882D109 | 333    | 26758   | SH | DEFINED | 01 | 0 |
| ESB FINANCIAL CORP     |             | COM | 26884F102 | 54     | 4204    | SH | DEFINED | 01 | 0 |
| EQT CORP               |             | COM | 26884L109 | 15486  | 377712  | SH | DEFINED | 01 | 0 |
| EQT CORP               |             | COM | 26884L109 | 384    | 9366    | SH | DEFINED | 01 | 0 |
| EQT CORP               |             | COM | 26884L109 | 68     | 1500    | SH | DEFINED | 01 | 1 |
| EQT CORP               |             | COM | 26884L109 | 276    | 6731    | SH | DEFINED | 01 | 1 |
| E*TRADE FINANCIAL CORP |             | COM | 269246104 | 10882  | 6596430 | SH | DEFINED | 01 | 0 |
| E*TRADE FINANCIAL CORP |             | COM | 269246104 | 340    | 206293  | SH | DEFINED | 01 | 0 |
| E*TRADE FINANCIAL CORP |             | COM | 269246104 | 29     | 17550   | SH | DEFINED | 01 | 1 |
| EV ENERGY PARTNERS     | LP COM UNI  | COM | 26926V107 | 185    | 5785    | SH | DEFINED | 01 | 1 |
| EXCO RESOURCES INC     |             | COM | 269279402 | 11730  | 638221  | SH | DEFINED | 01 | 0 |
| EV3 INC                |             | COM | 26928A200 | 5677   | 357957  | SH | DEFINED | 01 | 0 |
| EV3 INC                |             | COM | 26928A200 | 37     | 2359    | SH | DEFINED | 01 | 0 |
| EV3 INC                |             | COM | 26928A200 | 2      | 100     | SH | DEFINED | 01 | 1 |
| EAGLE MATERIALS INC    |             | COM | 26969P108 | 948    | 35735   | SH | DEFINED | 01 | 0 |
| EAGLE MATERIALS INC    |             | COM | 26969P108 | 23     | 870     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |  |     |           |        |         |    |         |    |   |
|--------------------------------|--|-----|-----------|--------|---------|----|---------|----|---|
| EARTHLINK INC                  |  | COM | 270321102 | 1793   | 209852  | SH | DEFINED | 01 | 0 |
| EARTHLINK INC                  |  | COM | 270321102 | 7      | 780     | SH | DEFINED | 01 | 1 |
| EAST WEST BANCORP INC          |  | COM | 27579R104 | 1517   | 87070   | SH | DEFINED | 01 | 0 |
| EAST WEST BANCORP INC          |  | COM | 27579R104 | 23     | 1307    | SH | DEFINED | 01 | 1 |
| EASTERN AMER NATURAL GAS TR    |  | COM | 276217106 | 1128   | 48200   | SH | DEFINED | 01 | 0 |
| EASTERN AMER NATURAL GAS TR    |  | COM | 276217106 | 26     | 1127    | SH | DEFINED | 01 | 1 |
| EASTGROUP PROPERTIES INC       |  | COM | 277276101 | 4281   | 113414  | SH | DEFINED | 01 | 0 |
| EASTGROUP PROPERTIES INC       |  | COM | 277276101 | 16     | 415     | SH | DEFINED | 01 | 1 |
| EASTMAN CHEMICAL COMPANY       |  | COM | 277432100 | 72118  | 1132516 | SH | DEFINED | 01 | 0 |
| EASTMAN CHEMICAL COMPANY       |  | COM | 277432100 | 362    | 5683    | SH | DEFINED | 01 | 0 |
| EASTMAN CHEMICAL COMPANY       |  | COM | 277432100 | 47     | 734     | SH | DEFINED | 01 | 1 |
| EASTMAN KODAK CO               |  | COM | 277461109 | 5152   | 890036  | SH | DEFINED | 01 | 0 |
| EASTMAN KODAK CO               |  | COM | 277461109 | 296    | 51112   | SH | DEFINED | 01 | 0 |
| EASTMAN KODAK CO               |  | COM | 277461109 | 113    | 19521   | SH | DEFINED | 01 | 1 |
| EATON CORP                     |  | COM | 278058102 | 198904 | 2625114 | SH | DEFINED | 01 | 0 |
| EATON CORP                     |  | COM | 278058102 | 1293   | 17067   | SH | DEFINED | 01 | 0 |
| EATON CORP                     |  | COM | 278058102 | 24     | 625     | SH | DEFINED | 01 | 1 |
| EATON CORP                     |  | COM | 278058102 | 459    | 6057    | SH | DEFINED | 01 | 1 |
| EATON VANCE CORP               |  | COM | 278265103 | 112    | 3000    | SH | DEFINED | 01 | 1 |
| EATON VANCE CORP               |  | COM | 278265103 | 76     | 2264    | SH | DEFINED | 01 | 1 |
| EATON VANCE MASS MUNINCOME TR  |  | COM | 27826E104 | 28     | 2000    | SH | DEFINED | 01 | 1 |
| EATON VANCE CAL MUNIINCOME     |  | COM | 27826F101 | 4      | 350     | SH | DEFINED | 01 | 1 |
| EATON VANCE MUN INCOME TR      |  | COM | 27826U108 | 50     | 3990    | SH | DEFINED | 01 | 1 |
| EATON VANCE ENHANCED E         |  | COM | 278274105 | 62     | 4406    | SH | DEFINED | 01 | 1 |
| EATON VANCE ENHANCED E         |  | COM | 278277108 | 115    | 8450    | SH | DEFINED | 01 | 1 |
| EATON VANCE FLOATING RATE INCO |  | COM | 278279104 | 56     | 3569    | SH | DEFINED | 01 | 1 |
| EATON VANCE INSD MUN BD FD II  |  | COM | 27827K109 | 24     | 1775    | SH | DEFINED | 01 | 1 |
| EATON VANCE INSD MUN BD FD     |  | COM | 27827X101 | 295    | 22798   | SH | DEFINED | 01 | 1 |
| EATON VANCE INSD CALIF MUN     |  | COM | 27828A100 | 6      | 500     | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX ADVANTAGE      |  | COM | 27828G107 | 474    | 29301   | SH | DEFINED | 01 | 1 |
| EATON VANCE LTD DURATION I     |  | COM | 27828H105 | 417    | 26197   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED DI     |  | COM | 27828N102 | 619    | 46505   | SH | DEFINED | 01 | 1 |
| EATON VANCE SR FLOATING R      |  | COM | 27828Q105 | 619    | 37277   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX ADVANTAGED     |  | COM | 27828S101 | 146    | 10522   | SH | DEFINED | 01 | 1 |
| EATON VANCE SHORT DURATION D   |  | COM | 27828V104 | 239    | 14094   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED BU     |  | COM | 27828X100 | 60     | 3687    | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED BU     |  | COM | 27828Y108 | 249    | 17221   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED GL     |  | COM | 27829C105 | 326    | 24366   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED GL     |  | COM | 27829F108 | 670    | 55433   | SH | DEFINED | 01 | 1 |
| EATON VANCE RISK MANAGED DI    |  | COM | 27829G106 | 13512  | 799066  | SH | DEFINED | 01 | 1 |
| EBAY INC                       |  | COM | 278642103 | 76568  | 2841009 | SH | DEFINED | 01 | 0 |
| EBAY INC                       |  | COM | 278642103 | 4074   | 151158  | SH | DEFINED | 01 | 0 |
| EBAY INC                       |  | COM | 278642103 | 1570   | 58250   | SH | DEFINED | 01 | 0 |
| EBAY INC                       |  | COM | 278642103 | 16472  | 611748  | SH | DEFINED | 01 | 1 |
| EBAY INC                       |  | COM | 278642103 | 875    | 32449   | SH | DEFINED | 01 | 1 |
| EBIX INC                       |  | COM | 278715206 | 538    | 33693   | SH | DEFINED | 01 | 0 |
| ECHELON CORP                   |  | COM | 27874N105 | 162    | 18115   | SH | DEFINED | 01 | 1 |
| ECHOSTAR CORP CL A             |  | COM | 278768106 | 0      | 5       | SH | DEFINED | 01 | 1 |
| ECLIPSYS CORP                  |  | COM | 278856109 | 23297  | 1171822 | SH | DEFINED | 01 | 0 |
| ECLIPSYS CORP                  |  | COM | 278856109 | 2      | 89      | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ECOLAB INC                     | COM | 278865100 | 14733  | 335231  | SH | DEFINED | 01 | 0 |
| ECOLAB INC                     | COM | 278865100 | 621    | 14120   | SH | DEFINED | 01 | 0 |
| ECOLAB INC                     | COM | 278865100 | 35476  | 816306  | SH | DEFINED | 01 | 1 |
| ECOLAB INC                     | COM | 278865100 | 103    | 2334    | SH | DEFINED | 01 | 1 |
| EDIETS COM INC                 | COM | 280597105 | 0      | 26      | SH | DEFINED | 01 | 1 |
| EDISON INTERNATIONAL           | COM | 281020107 | 12734  | 372661  | SH | DEFINED | 01 | 0 |
| EDISON INTERNATIONAL           | COM | 281020107 | 789    | 23076   | SH | DEFINED | 01 | 0 |
| EDISON INTERNATIONAL           | COM | 281020107 | 785    | 22973   | SH | DEFINED | 01 | 1 |
| EDUCATION RLTY TR INC          | COM | 28140H104 | 3      | 553     | SH | DEFINED | 01 | 1 |
| EDWARDS LIFESCIENCES CORP      | COM | 28176E108 | 8379   | 84750   | SH | DEFINED | 01 | 0 |
| EDWARDS LIFESCIENCES CORP      | COM | 28176E108 | 613    | 6203    | SH | DEFINED | 01 | 1 |
| EHEALTH INC                    | COM | 28238P109 | 2458   | 156047  | SH | DEFINED | 01 | 0 |
| EINSTEIN NOAH RESTAURANT GRO   | COM | 28257U104 | 1280   | 105396  | SH | DEFINED | 01 | 0 |
| EINSTEIN NOAH RESTAURANT GRO   | COM | 28257U104 | 2      | 200     | SH | DEFINED | 01 | 1 |
| EL PASO CORP                   | COM | 28336L109 | 32429  | 2991569 | SH | DEFINED | 01 | 0 |
| EL PASO CORP                   | COM | 28336L109 | 404    | 37266   | SH | DEFINED | 01 | 0 |
| EL PASO CORP                   | COM | 28336L109 | 97     | 8955    | SH | DEFINED | 01 | 1 |
| EL PASO ELECTRIC CO            | COM | 283677854 | 4178   | 202809  | SH | DEFINED | 01 | 0 |
| EL PASO PIPELINE PARTNERS L    | COM | 283702108 | 76     | 2725    | SH | DEFINED | 01 | 1 |
| ELAN CORP PLC - SPONS ADR      | COM | 284131208 | 233    | 30757   | SH | DEFINED | 01 | 1 |
| ELDORADO GOLD CORP COM NPV IS  | COM | 284902103 | 147    | 12203   | SH | DEFINED | 01 | 1 |
| ELECTRO OPTICAL SCIENCES I     | COM | 285192100 | 7      | 1000    | SH | DEFINED | 01 | 1 |
| ELECTRO RENT CORP              | COM | 285218103 | 2641   | 201130  | SH | DEFINED | 01 | 0 |
| ELECTRO SCIENTIFIC INDS INC    | COM | 285229100 | 333    | 25958   | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM | 285512109 | 16225  | 869537  | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM | 285512109 | 487    | 26087   | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM | 285512109 | 16     | 836     | SH | DEFINED | 01 | 1 |
| ELECTRONICS FOR IMAGING        | COM | 286082102 | 97540  | 8386837 | SH | DEFINED | 01 | 0 |
| ELECTRONICS FOR IMAGING        | COM | 286082102 | 595    | 47534   | SH | DEFINED | 01 | 1 |
| ELECTRONICS FOR IMAGING        | COM | 286082102 | 4      | 301     | SH | DEFINED | 01 | 1 |
| PERRY ELLIS INTERNATIONAL      | COM | 288853104 | 152    | 6704    | SH | DEFINED | 01 | 0 |
| EMPRESA BRASILEIRA DE AE-ADR   | COM | 29081M102 | 211    | 8800    | SH | DEFINED | 01 | 0 |
| EMPRESA BRASILEIRA DE AE-ADR   | COM | 29081M102 | 24     | 1005    | SH | DEFINED | 01 | 1 |
| EMBOTELLADORA ANDINASA SPON AD | COM | 29081P303 | 1      | 41      | SH | DEFINED | 01 | 1 |
| EMCORE CORP                    | COM | 290846104 | 1      | 450     | SH | DEFINED | 01 | 1 |
| EMCOR GROUP INC                | COM | 29084Q100 | 15772  | 640386  | SH | DEFINED | 01 | 0 |
| EMCOR GROUP INC                | COM | 29084Q100 | 163    | 6623    | SH | DEFINED | 01 | 0 |
| EMCOR GROUP INC                | COM | 29084Q100 | 29     | 1164    | SH | DEFINED | 01 | 1 |
| EMDEON INC                     | COM | 29084T104 | 13264  | 802770  | SH | DEFINED | 01 | 0 |
| EMDEON INC                     | COM | 29084T104 | 113    | 6830    | SH | DEFINED | 01 | 0 |
| EMDEON INC                     | COM | 29084T104 | 92     | 5600    | SH | DEFINED | 01 | 1 |
| EMERGING MARKET TELECOMMUN     | COM | 290890102 | 17     | 999     | SH | DEFINED | 01 | 1 |
| EMERGENT BIOSOLUTIONS INC      | COM | 29089Q105 | 266    | 15856   | SH | DEFINED | 01 | 0 |
| EMERGENT BIOSOLUTIONS INC      | COM | 29089Q105 | 50     | 3000    | SH | DEFINED | 01 | 1 |
| EMERITUS CORP                  | COM | 291005106 | 201    | 9855    | SH | DEFINED | 01 | 1 |
| EMERGENCY MEDICAL SERVICES-A   | COM | 29100P102 | 4148   | 73355   | SH | DEFINED | 01 | 0 |
| EMERGENCY MEDICAL SERVICES-A   | COM | 29100P102 | 17     | 300     | SH | DEFINED | 01 | 1 |
| EMERSON ELECTRIC CO            | COM | 291011104 | 120907 | 2401773 | SH | DEFINED | 01 | 0 |
| EMERSON ELECTRIC CO            | COM | 291011104 | 2290   | 45504   | SH | DEFINED | 01 | 0 |
| EMERSON ELECTRIC CO            | COM | 291011104 | 39250  | 780008  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| EMERSON ELECTRIC CO            | COM | 291011104 | 2103   | 41775   | SH | DEFINED | 01 | 1 |
| EMERSON RADIO CORP             | COM | 291087203 | 17     | 7916    | SH | DEFINED | 01 | 1 |
| EMPIRE DIST ELEC CO            | COM | 291641108 | 40     | 2202    | SH | DEFINED | 01 | 1 |
| EMPIRE RESORTS INC             | COM | 292052107 | 37     | 20401   | SH | DEFINED | 01 | 1 |
| EMPLOYERS HOLDINGS INC         | COM | 292218104 | 1890   | 127253  | SH | DEFINED | 01 | 0 |
| EMRISE CORP COM NEW            | COM | 29246J200 | 0      | 268     | SH | DEFINED | 01 | 1 |
| EMULEX CORP                    | COM | 292475209 | 3622   | 272787  | SH | DEFINED | 01 | 0 |
| EMULEX CORP                    | COM | 292475209 | 4      | 300     | SH | DEFINED | 01 | 1 |
| ENCANA CORP                    | COM | 292505104 | 26300  | 847594  | SH | DEFINED | 01 | 0 |
| ENCANA CORP                    | COM | 292505104 | 85     | 2751    | SH | DEFINED | 01 | 0 |
| ENCANA CORP                    | COM | 292505104 | 296    | 9543    | SH | DEFINED | 01 | 1 |
| ENBRIDGE INC                   | COM | 29250N105 | 102728 | 2151384 | SH | DEFINED | 01 | 0 |
| ENBRIDGE INC                   | COM | 29250N105 | 215    | 4509    | SH | DEFINED | 01 | 1 |
| ENBRIDGE ENERGY PARTNERS L     | COM | 29250R106 | 259    | 5113    | SH | DEFINED | 01 | 1 |
| ENCORE WIRE CORP               | COM | 292562105 | 235    | 11300   | SH | DEFINED | 01 | 0 |
| ENCORE WIRE CORP               | COM | 292562105 | 3      | 152     | SH | DEFINED | 01 | 1 |
| ENCORE ENERGY PARTNERS L       | COM | 29257A106 | 65     | 3275    | SH | DEFINED | 01 | 1 |
| ENDEAVOUR SILVER CORP COM N    | COM | 29258Y103 | 27     | 8390    | SH | DEFINED | 01 | 1 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 2140   | 90329   | SH | DEFINED | 01 | 0 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 946    | 40000   | SH | DEFINED | 01 | 1 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 0      | 1       | SH | DEFINED | 01 | 1 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 5915   | 755355  | SH | DEFINED | 01 | 0 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 96     | 12184   | SH | DEFINED | 01 | 0 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 306    | 39183   | SH | DEFINED | 01 | 1 |
| ENERGEN CORP                   | COM | 29265N108 | 219    | 4699    | SH | DEFINED | 01 | 1 |
| ENERGIZER HLDGS INC COM        | COM | 29266R108 | 127    | 2020    | SH | DEFINED | 01 | 1 |
| ENERGY INCOME & GROWTH FD      | COM | 292697109 | 47     | 1912    | SH | DEFINED | 01 | 1 |
| ENERGY RECOVERY INC COM        | COM | 29270J100 | 8      | 1200    | SH | DEFINED | 01 | 1 |
| ENERGY PARTNERS LTD            | COM | 29270U303 | 3317   | 272300  | SH | DEFINED | 01 | 0 |
| ENERGY PARTNERS LTD            | COM | 29270U303 | 0      | 29      | SH | DEFINED | 01 | 1 |
| ENERGY TRANSFER PARTNERS L     | COM | 29273R109 | 553    | 11795   | SH | DEFINED | 01 | 1 |
| ENERGY TRANSFER EQUITY L P     | COM | 29273V100 | 37     | 1100    | SH | DEFINED | 01 | 1 |
| ENERPLUS RESOURCES FUND TRUST  | COM | 29274D604 | 608    | 25661   | SH | DEFINED | 01 | 1 |
| ENERSIS S.A. -SPONS ADR        | COM | 29274F104 | 8407   | 470600  | SH | DEFINED | 01 | 1 |
| ENERSIS S.A. -SPONS ADR        | COM | 29274F104 | 32     | 1604    | SH | DEFINED | 01 | 1 |
| ENERGYSOLUTIONS INC            | COM | 292756202 | 1771   | 275500  | SH | DEFINED | 01 | 0 |
| ENERSYS                        | COM | 29275Y102 | 28672  | 1162678 | SH | DEFINED | 01 | 0 |
| ENERNOC INC                    | COM | 292764107 | 200    | 6725    | SH | DEFINED | 01 | 1 |
| ENGLOBAL CORP COM              | COM | 293306106 | 6      | 2012    | SH | DEFINED | 01 | 1 |
| ENHANCED S&P 500 COVERED CA    | COM | 29332W107 | 10     | 1177    | SH | DEFINED | 01 | 1 |
| ENNIS INC                      | COM | 293389102 | 3820   | 234800  | SH | DEFINED | 01 | 0 |
| ENNIS INC                      | COM | 293389102 | 12     | 729     | SH | DEFINED | 01 | 1 |
| ENPRO INDUSTRIES INC           | COM | 29355X107 | 1089   | 37454   | SH | DEFINED | 01 | 0 |
| ENPRO INDUSTRIES INC           | COM | 29355X107 | 6      | 206     | SH | DEFINED | 01 | 1 |
| ENSIGN GROUP INC/THE           | COM | 29358P101 | 1801   | 103950  | SH | DEFINED | 01 | 0 |
| ENSIGN GROUP INC/THE           | COM | 29358P101 | 2      | 100     | SH | DEFINED | 01 | 1 |
| ENSCO INTERNATIONAL PLC-SPON A | COM | 29358Q109 | 20298  | 453260  | SH | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM | 29358Q109 | 4385   | 97932   | SH | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM | 29358Q109 | 180    | 4013    | SH | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM | 29358Q109 | 108916 | 2432243 | SH | DEFINED | 01 | 1 |
| ENTEGRIS INC                   | COM | 29362U104 | 3386   | 672063  | SH | DEFINED | 01 | 0 |
| ENTERCOM COMMUNICATIONS-CL A   | COM | 293639100 | 357    | 30000   | SH | DEFINED | 01 | 0 |
| ENTERCOM COMMUNICATIONS-CL A   | COM | 293639100 | 14     | 1200    | SH | DEFINED | 01 | 1 |
| ENERGY CORP                    | COM | 29364G103 | 469    | 5762    | SH | DEFINED | 01 | 0 |
| ENERGY CORP                    | COM | 29364G103 | 769    | 9458    | SH | DEFINED | 01 | 0 |
| ENERGY CORP                    | COM | 29364G103 | 242    | 2969    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |  |           |       |            |              |
|------------------------------------|--|-----------|-------|------------|--------------|
| ENTERPRISE GP HLDGS L P UNIT L COM |  | 293716106 | 49    | 1132 SH    | DEFINED 01 1 |
| ENTERPRISE PRODUCTS PPTNS LP COM   |  | 293792107 | 1121  | 32421 SH   | DEFINED 01 1 |
| ENTERTAINMENT PROPERTIES TR COM    |  | 29380T105 | 5335  | 129706 SH  | DEFINED 01 0 |
| ENTERTAINMENT PROPERTIES TR COM    |  | 29380T105 | 24    | 572 SH     | DEFINED 01 1 |
| ENTERRA ENERGY TRUSTTRUST UNIT COM |  | 29381P102 | 6     | 2252 SH    | DEFINED 01 1 |
| ENTREMED INC COM                   |  | 29382F103 | 22    | 33075 SH   | DEFINED 01 1 |
| ENVIRONMENTAL PWR CORP COM N COM   |  | 29406L201 | 0     | 71 SH      | DEFINED 01 1 |
| ENZO BIOCHEM INC COM               |  | 294100102 | 111   | 18498 SH   | DEFINED 01 0 |
| EPICOR SOFTWARE CORP COM           |  | 29426L108 | 409   | 42755 SH   | DEFINED 01 0 |
| EPICOR SOFTWARE CORP COM           |  | 29426L108 | 9     | 975 SH     | DEFINED 01 1 |
| EQUIFAX INC COM                    |  | 294429105 | 236   | 6586 SH    | DEFINED 01 0 |
| EQUIFAX INC COM                    |  | 294429105 | 152   | 4234 SH    | DEFINED 01 0 |
| EQUIFAX INC COM                    |  | 294429105 | 43    | 1196 SH    | DEFINED 01 1 |
| EQUINIX INC COM                    |  | 29444U502 | 4867  | 50000 SH   | DEFINED 01 0 |
| EQUINIX INC COM                    |  | 29444U502 | 1100  | 11303 SH   | DEFINED 01 1 |
| EQUITY LIFESTYLE PROPERTIES COM    |  | 29472R108 | 6314  | 117170 SH  | DEFINED 01 0 |
| EQUITY LIFESTYLE PROPERTIES COM    |  | 29472R108 | 19    | 352 SH     | DEFINED 01 1 |
| EQUITY ONE INC COM                 |  | 294752100 | 21    | 1125 SH    | DEFINED 01 1 |
| EQUUS TOTAL RETURN INC COM         |  | 294766100 | 20    | 7021 SH    | DEFINED 01 1 |
| EQUITY RESIDENTIAL COM             |  | 29476L107 | 78487 | 2004803 SH | DEFINED 01 0 |
| EQUITY RESIDENTIAL COM             |  | 29476L107 | 730   | 18634 SH   | DEFINED 01 0 |
| EQUITY RESIDENTIAL COM             |  | 29476L107 | 446   | 11384 SH   | DEFINED 01 1 |
| EQUITY RESIDENTIAL COM             |  | 29476L107 | 262   | 6696 SH    | DEFINED 01 1 |
| ERESEARCH TECHNOLOGY INC COM       |  | 29481V108 | 220   | 31821 SH   | DEFINED 01 0 |
| ERICSSON (LM) TEL-SP ADR COM       |  | 294821608 | 4606  | 441648 SH  | DEFINED 01 0 |
| ERICSSON (LM) TEL-SP ADR COM       |  | 294821608 | 27    | 2586 SH    | DEFINED 01 1 |
| ERIE INDTY CO CL A COM             |  | 29530P102 | 22    | 500 SH     | DEFINED 01 1 |
| ESCO TECHNOLOGIES INC COM          |  | 296315104 | 2272  | 71417 SH   | DEFINED 01 0 |
| ESSEX PROPERTY TRUST INC COM       |  | 297178105 | 7053  | 78407 SH   | DEFINED 01 0 |
| ESSEX PROPERTY TRUST INC COM       |  | 297178105 | 75    | 700 SH     | DEFINED 01 1 |
| ESSEX PROPERTY TRUST INC COM       |  | 297178105 | 8     | 92 SH      | DEFINED 01 1 |
| ESTERLINE TECHNOLOGIES CORP COM    |  | 297425100 | 1615  | 32679 SH   | DEFINED 01 0 |
| DELHAIZE GROUP ADR REP 1 ORD COM   |  | 29759W101 | 182   | 2260 SH    | DEFINED 01 1 |
| ETHAN ALLEN INTERIORS INC COM      |  | 297602104 | 387   | 18747 SH   | DEFINED 01 0 |
| EURASIA DRILLING CO LTD-GDR 14 COM |  | 29843U103 | 9985  | 533913 SH  | DEFINED 01 0 |
| EURONET WORLDWIDE INC COM          |  | 298736109 | 236   | 12793 SH   | DEFINED 01 0 |
| EURONET WORLDWIDE INC COM          |  | 298736109 | 490   | 26582 SH   | DEFINED 01 1 |
| EVERCORE PARTNERS INC-CL A COM     |  | 29977A105 | 75    | 2504 SH    | DEFINED 01 0 |
| EVERGREEN INCOME ADVANTAGE COM     |  | 30023Y105 | 673   | 70160 SH   | DEFINED 01 1 |
| EVERGREEN ENERGY INCNEW COM        |  | 30024B104 | 2     | 8039 SH    | DEFINED 01 1 |
| EVERGREEN GLOBAL DIVID OPPO COM    |  | 30024H101 | 0     | 32 SH      | DEFINED 01 1 |
| EVERGREEN INTL BALANCED I COM      |  | 30024R109 | 55    | 3949 SH    | DEFINED 01 1 |
| EVERGREEN MULT SECTOR INC COM      |  | 30024Y104 | 76    | 5074 SH    | DEFINED 01 1 |
| EVERGREEN SOLAR INC COM            |  | 30033R108 | 4934  | 4366458 SH | DEFINED 01 0 |
| EVERGREEN SOLAR INC COM            |  | 30033R108 | 94    | 83301 SH   | DEFINED 01 0 |
| EVERGREEN SOLAR INC COM            |  | 30033R108 | 10    | 8568 SH    | DEFINED 01 1 |
| EVERGREEN UTILS & HIGH INCOM COM   |  | 30034Q109 | 12    | 965 SH     | DEFINED 01 1 |
| EVOLUTION PETROLEUM CORP COM       |  | 30049A107 | 2474  | 533283 SH  | DEFINED 01 0 |
| EVRAZ GROUP SA - GDR 144A COM      |  | 30050A103 | 19366 | 487456 SH  | DEFINED 01 0 |
| EXAR CORP COM                      |  | 300645108 | 232   | 32963 SH   | DEFINED 01 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |               |           |        |         |    |         |    |   |
|------------------------------|---------------|-----------|--------|---------|----|---------|----|---|
| EXAR CORP                    | COM           | 300645108 | 10     | 1350    | SH | DEFINED | 01 | 1 |
| EXELON CORP                  | COM           | 30161N101 | 33577  | 766406  | SH | DEFINED | 01 | 0 |
| EXELON CORP                  | COM           | 30161N101 | 1611   | 36766   | SH | DEFINED | 01 | 0 |
| EXELON CORP                  | COM           | 30161N101 | 1930   | 44051   | SH | DEFINED | 01 | 1 |
| EXELIXIS INC                 | COM           | 30161Q104 | 55     | 9025    | SH | DEFINED | 01 | 1 |
| EXETER RESOURCE CORP         | COM NPV IS    | 301835104 | 17     | 2700    | SH | DEFINED | 01 | 1 |
| EXIDE TECHNOLOGIES           | WTS EXP 01 WT | 302051123 | 0      | 4       | SH | DEFINED | 01 | 1 |
| EXIDE TECHNOLOGIES           | COM           | 302051206 | 457    | 79542   | SH | DEFINED | 01 | 0 |
| EXIDE TECHNOLOGIES           | COM           | 302051206 | 0      | 1       | SH | DEFINED | 01 | 1 |
| EXPEDIA INC                  | COM           | 30212P105 | 12521  | 501654  | SH | DEFINED | 01 | 0 |
| EXPEDIA INC                  | COM           | 30212P105 | 545    | 21852   | SH | DEFINED | 01 | 0 |
| EXPEDIA INC                  | COM           | 30212P105 | 10     | 381     | SH | DEFINED | 01 | 1 |
| EXPEDITORS INTL WASH INC     | COM           | 302130109 | 12105  | 327883  | SH | DEFINED | 01 | 0 |
| EXPEDITORS INTL WASH INC     | COM           | 302130109 | 421    | 11398   | SH | DEFINED | 01 | 0 |
| EXPEDITORS INTL WASH INC     | COM           | 302130109 | 232    | 6274    | SH | DEFINED | 01 | 1 |
| EXPONENT INC                 | COM           | 30214U102 | 310    | 10881   | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC          | COM           | 302182100 | 103595 | 1018018 | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC          | COM           | 302182100 | 1599   | 15714   | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC          | COM           | 302182100 | 486    | 4777    | SH | DEFINED | 01 | 1 |
| EXTRA SPACE STORAGE INC      | COM           | 30225T102 | 3403   | 268399  | SH | DEFINED | 01 | 0 |
| EXTERRAN HOLDINGS INC        | COM           | 30225X103 | 17925  | 741614  | SH | DEFINED | 01 | 0 |
| EXTERRAN HOLDINGS INC        | COM           | 30225X103 | 1      | 51      | SH | DEFINED | 01 | 0 |
| EXTERRAN HOLDINGS INC        | COM           | 30225X103 | 0      | 1       | SH | DEFINED | 01 | 1 |
| EXTREME NETWORKS INC         | COM           | 30226D106 | 9      | 2800    | SH | DEFINED | 01 | 1 |
| EZCORP INC-CL A              | COM           | 302301106 | 1246   | 60512   | SH | DEFINED | 01 | 0 |
| EZCORP INC-CL A              | COM           | 302301106 | 79     | 5950    | SH | DEFINED | 01 | 1 |
| EXXON MOBIL CORP             | COM           | 30231G102 | 337586 | 5040076 | SH | DEFINED | 01 | 0 |
| EXXON MOBIL CORP             | COM           | 30231G102 | 18746  | 279880  | SH | DEFINED | 01 | 0 |
| EXXON MOBIL CORP             | COM           | 30231G102 | 97472  | 1455231 | SH | DEFINED | 01 | 1 |
| EXXON MOBIL CORP             | COM           | 30231G102 | 18945  | 282844  | SH | DEFINED | 01 | 1 |
| FBL FINANCIAL GROUP INC-CL A | COM           | 30239F106 | 88     | 3582    | SH | DEFINED | 01 | 0 |
| FEI COMPANY                  | COM           | 30241L109 | 2620   | 114372  | SH | DEFINED | 01 | 0 |
| FEI COMPANY                  | COM           | 30241L109 | 3      | 145     | SH | DEFINED | 01 | 1 |
| FLIR SYSTEMS INC             | COM           | 302445101 | 217    | 7681    | SH | DEFINED | 01 | 0 |
| FLIR SYSTEMS INC             | COM           | 302445101 | 413    | 14662   | SH | DEFINED | 01 | 0 |
| FLIR SYSTEMS INC             | COM           | 302445101 | 7779   | 287837  | SH | DEFINED | 01 | 1 |
| FLIR SYSTEMS INC             | COM           | 302445101 | 253    | 8987    | SH | DEFINED | 01 | 1 |
| FMC CORP                     | COM           | 302491303 | 226    | 3720    | SH | DEFINED | 01 | 0 |
| FMC CORP                     | COM           | 302491303 | 138    | 2279    | SH | DEFINED | 01 | 0 |
| FMC CORP                     | COM           | 302491303 | 195    | 3221    | SH | DEFINED | 01 | 1 |
| FMC TECHNOLOGIES INC         | COM           | 30249U101 | 17383  | 268948  | SH | DEFINED | 01 | 0 |
| FMC TECHNOLOGIES INC         | COM           | 30249U101 | 450    | 6959    | SH | DEFINED | 01 | 0 |
| FMC TECHNOLOGIES INC         | COM           | 30249U101 | 127    | 1972    | SH | DEFINED | 01 | 1 |
| FNB UNITED CORP COM          | COM           | 302519103 | 1      | 512     | SH | DEFINED | 01 | 1 |
| FPIC INSURANCE GROUP INC     | COM           | 302563101 | 2656   | 97951   | SH | DEFINED | 01 | 0 |
| FPL GROUP INC                | COM           | 302571104 | 20811  | 430640  | SH | DEFINED | 01 | 0 |
| FPL GROUP INC                | COM           | 302571104 | 1235   | 25552   | SH | DEFINED | 01 | 0 |
| FPL GROUP INC                | COM           | 302571104 | 5937   | 122840  | SH | DEFINED | 01 | 1 |
| FTI CONSULTING INC           | COM           | 302941109 | 4247   | 108000  | SH | DEFINED | 01 | 0 |
| FTI CONSULTING INC           | COM           | 302941109 | 4      | 105     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |       |         |    |         |    |   |
|---------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| FACET BIOTECH CORP              | COM | 30303Q103 | 1830  | 67793   | SH | DEFINED | 01 | 0 |
| FACET BIOTECH CORP              | COM | 30303Q103 | 1     | 40      | SH | DEFINED | 01 | 1 |
| FACTSET RESEARCH SYS INC        | COM | 303075105 | 17    | 237     | SH | DEFINED | 01 | 1 |
| FAIR ISAAC CORP                 | COM | 303250104 | 1     | 31      | SH | DEFINED | 01 | 1 |
| FAIRCHILD SEMICON INTERNATIO    | COM | 303726103 | 4387  | 411940  | SH | DEFINED | 01 | 0 |
| FAIRFAX FINANCIAL HLDGS LTD     | COM | 303901102 | 9709  | 25890   | SH | DEFINED | 01 | 0 |
| FAIRPOINT COMMUNICATIONS INC    | COM | 305560104 | 0     | 8878    | SH | DEFINED | 01 | 0 |
| FAIRPOINT COMMUNICATIONS INC    | COM | 305560104 | 0     | 164     | SH | DEFINED | 01 | 0 |
| FAIRPOINT COMMUNICATIONS INC    | COM | 305560104 | 0     | 17235   | SH | DEFINED | 01 | 1 |
| FAMILY DOLLAR STORES            | COM | 307000109 | 22650 | 618710  | SH | DEFINED | 01 | 0 |
| FAMILY DOLLAR STORES            | COM | 307000109 | 358   | 9780    | SH | DEFINED | 01 | 0 |
| FAMILY DOLLAR STORES            | COM | 307000109 | 22500 | 614600  | SH | DEFINED | 01 | 1 |
| FAMILY DOLLAR STORES            | COM | 307000109 | 31    | 859     | SH | DEFINED | 01 | 1 |
| FARO TECHNOLOGIES INC           | COM | 311642102 | 5169  | 200755  | SH | DEFINED | 01 | 0 |
| FASTENAL CO                     | COM | 311900104 | 11334 | 236165  | SH | DEFINED | 01 | 0 |
| FASTENAL CO                     | COM | 311900104 | 395   | 8231    | SH | DEFINED | 01 | 0 |
| FASTENAL CO                     | COM | 311900104 | 44630 | 967051  | SH | DEFINED | 01 | 1 |
| FASTENAL CO                     | COM | 311900104 | 244   | 5078    | SH | DEFINED | 01 | 1 |
| FREDDIE MAC                     | COM | 313400301 | 1424  | 1120816 | SH | DEFINED | 01 | 0 |
| FREDDIE MAC                     | COM | 313400301 | 109   | 85799   | SH | DEFINED | 01 | 1 |
| FANNIE MAE                      | COM | 313586109 | 1806  | 1719673 | SH | DEFINED | 01 | 0 |
| FANNIE MAE                      | COM | 313586109 | 14    | 13535   | SH | DEFINED | 01 | 1 |
| FEDERAL NATL MTG ASSN FOR F PRF | COM | 313586745 | 28    | 17500   | SH | DEFINED | 01 | 1 |
| FEDERAL REALTY INVS TRUST - RE  | COM | 313747206 | 8451  | 116070  | SH | DEFINED | 01 | 0 |
| FEDERAL REALTY INVS TRUST - RE  | COM | 313747206 | 28    | 384     | SH | DEFINED | 01 | 1 |
| FEDERAL SIGNAL CORP             | COM | 313855108 | 15    | 1700    | SH | DEFINED | 01 | 1 |
| FEDERATED INVESTORS INC-CL B    | COM | 314211103 | 46    | 1745    | SH | DEFINED | 01 | 0 |
| FEDERATED INVESTORS INC-CL B    | COM | 314211103 | 78    | 2939    | SH | DEFINED | 01 | 0 |
| FEDERATED INVESTORS INC-CL B    | COM | 314211103 | 72    | 2721    | SH | DEFINED | 01 | 1 |
| FEDERATED PREMIER INTER MUN     | COM | 31423M105 | 232   | 17250   | SH | DEFINED | 01 | 1 |
| FEDERATED PREMIER MUNI INC      | COM | 31423P108 | 269   | 18183   | SH | DEFINED | 01 | 1 |
| FEDEX CORP                      | COM | 31428X106 | 28238 | 302338  | SH | DEFINED | 01 | 0 |
| FEDEX CORP                      | COM | 31428X106 | 1764  | 18890   | SH | DEFINED | 01 | 0 |
| FEDEX CORP                      | COM | 31428X106 | 647   | 6927    | SH | DEFINED | 01 | 1 |
| FELCOR LODGING TRUST INC        | COM | 31430F101 | 24    | 4200    | SH | DEFINED | 01 | 0 |
| FELCOR LODGING TR \$1.95 SER    | PRF | 31430F200 | 18    | 1000    | SH | DEFINED | 01 | 1 |
| FERRELLGAS PARTNERS L P UNIT L  | COM | 315293100 | 164   | 7175    | SH | DEFINED | 01 | 1 |
| FERRO CORP                      | COM | 315405100 | 74    | 8406    | SH | DEFINED | 01 | 0 |
| FERRO CORP                      | COM | 315405100 | 57    | 6483    | SH | DEFINED | 01 | 1 |
| F5 NETWORKS INC                 | COM | 315616102 | 36302 | 590078  | SH | DEFINED | 01 | 0 |
| F5 NETWORKS INC                 | COM | 315616102 | 105   | 1696    | SH | DEFINED | 01 | 1 |
| FIBRIA CELULOSE SA-SPON ADR     | COM | 31573A109 | 12658 | 579575  | SH | DEFINED | 01 | 1 |
| FIBRIA CELULOSE SA-SPON ADR     | COM | 31573A109 | 8     | 352     | SH | DEFINED | 01 | 1 |
| FIDELITY NATIONAL INFORMATIO    | COM | 31620M106 | 167   | 7087    | SH | DEFINED | 01 | 0 |
| FIDELITY NATIONAL INFORMATIO    | COM | 31620M106 | 240   | 10256   | SH | DEFINED | 01 | 0 |
| FIDELITY NATIONAL INFORMATIO    | COM | 31620M106 | 40    | 1700    | SH | DEFINED | 01 | 1 |
| FIDELITY NATIONAL FINL-A        | COM | 31620R105 | 67    | 4504    | SH | DEFINED | 01 | 1 |
| FIDELITY SOUTHERN CORP NEW      | COM | 316394105 | 6     | 1130    | SH | DEFINED | 01 | 1 |
| FIDUCIARY / CLAYMOREMLP OPPORT  | COM | 31647Q106 | 39    | 2000    | SH | DEFINED | 01 | 1 |
| FIFTH THIRD BANCORP             | COM | 316773100 | 14438 | 1062406 | SH | DEFINED | 01 | 0 |
| FIFTH THIRD BANCORP             | COM | 316773100 | 709   | 52148   | SH | DEFINED | 01 | 0 |
| FIFTH THIRD BANCORP             | COM | 316773100 | 406   | 29907   | SH | DEFINED | 01 | 1 |
| FINISAR CORPORATION             | COM | 31787A507 | 10402 | 662141  | SH | DEFINED | 01 | 0 |
| FINISAR CORPORATION             | COM | 31787A507 | 185   | 11801   | SH | DEFINED | 01 | 0 |
| FINISAR CORPORATION             | COM | 31787A507 | 15    | 974     | SH | DEFINED | 01 | 1 |
| FINISH LINE/THE - CL A          | COM | 317923100 | 10180 | 623797  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |        |    |         |    |   |
|--------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| FIRST AMERICAN CORPORATION     | COM | 318522307 | 271   | 7996   | SH | DEFINED | 01 | 0 |
| FIRST AMERICAN CORPORATION     | COM | 318522307 | 158   | 4672   | SH | DEFINED | 01 | 1 |
| FIRST BANCORP PUERTO RICO      | COM | 318672102 | 131   | 54259  | SH | DEFINED | 01 | 0 |
| FIRST CASH FINL SVCS INC       | COM | 31942D107 | 536   | 24850  | SH | DEFINED | 01 | 0 |
| FIRST CASH FINL SVCS INC       | COM | 31942D107 | 1     | 55     | SH | DEFINED | 01 | 1 |
| FIRST CITIZENS BCSHS -CL A     | COM | 31946M103 | 4847  | 24385  | SH | DEFINED | 01 | 0 |
| FIRST CHESTER CNTY CORP        | COM | 31947W100 | 2     | 200    | SH | DEFINED | 01 | 1 |
| FIRST COMMONWEALTH FINL CORP   | COM | 319829107 | 413   | 61577  | SH | DEFINED | 01 | 0 |
| FIRST FINANCIAL BANCORP        | COM | 320209109 | 2941  | 165312 | SH | DEFINED | 01 | 0 |
| FIRST FINL BANKSHARES INC      | COM | 32020R109 | 3030  | 58779  | SH | DEFINED | 01 | 0 |
| FIRST FINL CORP IND            | COM | 320218100 | 23    | 786    | SH | DEFINED | 01 | 1 |
| FIRST HORIZON NATIONAL CORP    | COM | 320517105 | 12162 | 865662 | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL CORP    | COM | 320517105 | 306   | 21804  | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL CORP    | COM | 320517105 | 76    | 5398   | SH | DEFINED | 01 | 1 |
| FIRST INDUSTRIAL REALTY TR     | COM | 32054K103 | 2030  | 261600 | SH | DEFINED | 01 | 0 |
| FIRST INDUSTRIAL REALTY TR     | COM | 32054K103 | 1     | 100    | SH | DEFINED | 01 | 1 |
| FIRST OF LONG ISLAND CORP      | COM | 320734106 | 51    | 2118   | SH | DEFINED | 01 | 0 |
| FIRST MARBLEHEAD CORP/THE      | COM | 320771108 | 2642  | 930390 | SH | DEFINED | 01 | 0 |
| FIRST MARBLEHEAD CORP/THE      | COM | 320771108 | 46    | 16200  | SH | DEFINED | 01 | 0 |
| FIRST MARBLEHEAD CORP/THE      | COM | 320771108 | 5     | 1912   | SH | DEFINED | 01 | 1 |
| FIRST MERCURY FINL CORP COM    | COM | 320841109 | 0     | 2      | SH | DEFINED | 01 | 1 |
| FIRST MIDWEST BANCORP INC/IL   | COM | 320867104 | 895   | 66019  | SH | DEFINED | 01 | 0 |
| FIRST MIDWEST BANCORP INC/IL   | COM | 320867104 | 6     | 459    | SH | DEFINED | 01 | 0 |
| FIRST MIDWEST BANCORP INC/IL   | COM | 320867104 | 2     | 149    | SH | DEFINED | 01 | 1 |
| FIRST NIAGARA FINANCIAL GRP    | COM | 33582V108 | 1876  | 131870 | SH | DEFINED | 01 | 0 |
| FIRST NIAGARA FINANCIAL GRP    | COM | 33582V108 | 35    | 2470   | SH | DEFINED | 01 | 1 |
| FIRST OPPORTUNITY FDINC COM    | COM | 33587T108 | 15    | 2067   | SH | DEFINED | 01 | 1 |
| 1ST PAC BANCORP                | COM | 335894101 | 0     | 100    | SH | DEFINED | 01 | 1 |
| FIRST POTOMAC RLTY TR          | COM | 33610F109 | 163   | 10850  | SH | DEFINED | 01 | 1 |
| FIRST SOLAR INC                | COM | 336433107 | 15513 | 126479 | SH | DEFINED | 01 | 0 |
| FIRST SOLAR INC                | COM | 336433107 | 576   | 4700   | SH | DEFINED | 01 | 0 |
| FIRST SOLAR INC                | COM | 336433107 | 361   | 2940   | SH | DEFINED | 01 | 1 |
| FIRST SOURCE CORP              | COM | 336901103 | 26    | 1469   | SH | DEFINED | 01 | 1 |
| FIRST TR MORNINGSTARDIVID LEAD | COM | 336917109 | 37    | 2555   | SH | DEFINED | 01 | 1 |
| FIRST TR ENHANCED EQUITY INC   | COM | 337318109 | 53    | 4407   | SH | DEFINED | 01 | 1 |
| FIRST TR / ABERDEEN GLOBAL OPP | COM | 337319107 | 133   | 8123   | SH | DEFINED | 01 | 1 |
| FIRST TR ISE CHINDIA IN        | COM | 33733A102 | 293   | 13240  | SH | DEFINED | 01 | 1 |
| FIRST TR MULTI CAP VALUE ALPH  | COM | 33733C108 | 14    | 563    | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM | 33733E203 | 321   | 8628   | SH | DEFINED | 01 | 1 |
| FIRST TR NASDAQ CLEAN EDGE     | COM | 33733E500 | 21    | 1365   | SH | DEFINED | 01 | 1 |
| FIRST TR MULTI CAP GROWTH ALP  | COM | 33733F101 | 15    | 572    | SH | DEFINED | 01 | 1 |
| FIRST TR / FOUR CORNERS SR     | COM | 33733U108 | 122   | 9308   | SH | DEFINED | 01 | 1 |
| FIRST TR STRATEGIC HIGH INCOM  | COM | 337347108 | 4     | 1336   | SH | DEFINED | 01 | 1 |
| FIRST TRUST/FIDAC MTG INCOME   | COM | 33734E103 | 286   | 15552  | SH | DEFINED | 01 | 1 |
| FIRST TR S&P 103 INDEX FD      | COM | 33734G108 | 115   | 8894   | SH | DEFINED | 01 | 1 |
| FIRST TR VALUE LINE DIVID INDE | COM | 33734H106 | 21    | 1490   | SH | DEFINED | 01 | 1 |
| FIRST TR ISE REVERE NAT        | COM | 33734J102 | 172   | 9907   | SH | DEFINED | 01 | 1 |
| FIRST TR LARGE CAP CORE ALPHA  | COM | 33734K109 | 256   | 10340  | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM | 33734X119 | 26    | 1308   | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM | 33734X135 | 11    | 825    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| FIRST TR EXCHANGE              | TRADED FD  | COM | 33734X143 | 13     | 555     | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE              | TRADED FD  | COM | 33734X176 | 80     | 4307    | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE              | TRADED FD  | COM | 33734X184 | 6      | 423     | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE              | TRADED FD  | COM | 33734X200 | 5      | 237     | SH | DEFINED | 01 | 1 |
| FIRST TR SMALL CAP             | CORE ALPHA | COM | 33734Y109 | 108    | 4167    | SH | DEFINED | 01 | 1 |
| FIRST TR STRATEGIC             | HIGH INCOM | COM | 337353106 | 4      | 800     | SH | DEFINED | 01 | 1 |
| FIRST TR MID CAP               | CORE ALPHA | COM | 33735B108 | 50     | 1766    | SH | DEFINED | 01 | 1 |
| FIRST TR STRATEGIC             | HIGH INCOM | COM | 33735C106 | 0      | 9       | SH | DEFINED | 01 | 1 |
| FIRST TR VALUE LINE            | 100 EXCHAN | COM | 33735G107 | 67     | 6020    | SH | DEFINED | 01 | 1 |
| FIRST TR LARGE CAP             | GROWTH OPP | COM | 33735K108 | 14     | 550     | SH | DEFINED | 01 | 1 |
| FIRST TR ISE GLOBAL            | WIND ENERG | COM | 33736G106 | 27     | 1996    | SH | DEFINED | 01 | 1 |
| FIRST TR ISE GLOBAL            | ENGR & CON | COM | 33736M103 | 276    | 6863    | SH | DEFINED | 01 | 1 |
| FIRST TR FTSE EPRA             | NA103 DEVE | COM | 33736N101 | 134    | 4195    | SH | DEFINED | 01 | 1 |
| FIRSTSERVICE CORPORATION-VTG   |            | COM | 33761N109 | 2071   | 90600   | SH | DEFINED | 01 | 0 |
| FISERV INC                     |            | COM | 337738108 | 210    | 4123    | SH | DEFINED | 01 | 0 |
| FISERV INC                     |            | COM | 337738108 | 337    | 6630    | SH | DEFINED | 01 | 0 |
| FISERV INC                     |            | COM | 337738108 | 4070   | 80301   | SH | DEFINED | 01 | 1 |
| FISERV INC                     |            | COM | 337738108 | 290    | 5718    | SH | DEFINED | 01 | 1 |
| FIRSTMERIT CORP                |            | COM | 337915102 | 73     | 3525    | SH | DEFINED | 01 | 1 |
| FIRSTENERGY CORP               |            | COM | 337932107 | 34587  | 884814  | SH | DEFINED | 01 | 0 |
| FIRSTENERGY CORP               |            | COM | 337932107 | 883    | 22596   | SH | DEFINED | 01 | 0 |
| FIRSTENERGY CORP               |            | COM | 337932107 | 461    | 11805   | SH | DEFINED | 01 | 1 |
| FIVE STAR QUALITY CARE         |            | COM | 33832D106 | 986    | 323374  | SH | DEFINED | 01 | 0 |
| FIVE STAR QUALITY CARE         |            | COM | 33832D106 | 0      | 8       | SH | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE / CLAYMORE |            | COM | 338478100 | 39     | 2531    | SH | DEFINED | 01 | 1 |
| FLAHERTY CRUMINE/ CLAYMORE T   |            | COM | 338479108 | 8      | 490     | SH | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE PFD INCOME |            | COM | 338480106 | 8      | 686     | SH | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE PFD INCOME |            | COM | 33848E106 | 1      | 100     | SH | DEFINED | 01 | 1 |
| FLANDERS CORP                  |            | COM | 338494107 | 0      | 6       | SH | DEFINED | 01 | 1 |
| FLASHPOINT TECHNOLOGY          |            | COM | 33899A979 | 0      | 246914  | SH | DEFINED | 01 | 0 |
| FLOTEK INDS INC DEL            |            | COM | 343389102 | 1      | 600     | SH | DEFINED | 01 | 1 |
| FLUOR CORP                     |            | COM | 343412102 | 71499  | 1537256 | SH | DEFINED | 01 | 0 |
| FLUOR CORP                     |            | COM | 343412102 | 738    | 15869   | SH | DEFINED | 01 | 0 |
| FLUOR CORP                     |            | COM | 343412102 | 352    | 7565    | SH | DEFINED | 01 | 1 |
| FLOW INTL CORP                 |            | COM | 343468104 | 0      | 100     | SH | DEFINED | 01 | 1 |
| FLOWERS FOODS INC              |            | COM | 343498101 | 1559   | 63000   | SH | DEFINED | 01 | 0 |
| FLOWERS FOODS INC              |            | COM | 343498101 | 9      | 350     | SH | DEFINED | 01 | 1 |
| FLOWERS FOODS INC              |            | COM | 343498101 | 19     | 757     | SH | DEFINED | 01 | 1 |
| FLOWSERVE CORP                 |            | COM | 34354P105 | 14252  | 129260  | SH | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 |            | COM | 34354P105 | 3972   | 36020   | SH | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 |            | COM | 34354P105 | 538    | 4883    | SH | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 |            | COM | 34354P105 | 156527 | 1419497 | SH | DEFINED | 01 | 1 |
| FLOWSERVE CORP                 |            | COM | 34354P105 | 964    | 8740    | SH | DEFINED | 01 | 1 |
| FLUSHING FINANCIAL CORP        |            | COM | 343873105 | 44     | 3498    | SH | DEFINED | 01 | 1 |
| FOCUS MEDIA HOLDING-ADR        |            | COM | 34415V109 | 91     | 5000    | SH | DEFINED | 01 | 0 |
| FOCUS MEDIA HOLDING-ADR        |            | COM | 34415V109 | 2757   | 151003  | SH | DEFINED | 01 | 0 |
| FOCUS MEDIA HOLDING-ADR        |            | COM | 34415V109 | 6256   | 342997  | SH | DEFINED | 01 | 1 |
| FOCUS MEDIA HOLDING-ADR        |            | COM | 34415V109 | 73     | 4000    | SH | DEFINED | 01 | 1 |
| FOMENTO ECONOMICO MEXICANO S   |            | COM | 344419106 | 4      | 87      | SH | DEFINED | 01 | 1 |
| FONAR CORP COM NEW             |            | COM | 344437405 | 0      | 8       | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| FOOT LOCKER INC                | COM      | 344849104 | 12794  | 850712   | SH  | DEFINED | 01 | 0 |
| FOOT LOCKER INC                | COM      | 344849104 | 79071  | 5260804  | SH  | DEFINED | 01 | 1 |
| FOOT LOCKER INC                | COM      | 344849104 | 5      | 304      | SH  | DEFINED | 01 | 1 |
| FORCE PROTECTION INC           | COM      | 345203202 | 580    | 96460    | SH  | DEFINED | 01 | 0 |
| FORCE PROTECTION INC           | COM      | 345203202 | 6      | 920      | SH  | DEFINED | 01 | 1 |
| FORD MOTOR CO                  | COM      | 345370860 | 67701  | 5385907  | SH  | DEFINED | 01 | 0 |
| FORD MOTOR CO                  | COM      | 345370860 | 2616   | 208164   | SH  | DEFINED | 01 | 0 |
| FORD MOTOR CO                  | COM      | 345370860 | 6847   | 544698   | SH  | DEFINED | 01 | 1 |
| FORD MOTOR CO 4.25% 11/15/16   | CONV BND | 345370CN8 | 59369  | 39459000 | PRN | DEFINED | 01 | 0 |
| FORD MOTOR CO 4.25% 11/15/16   | CONV BND | 345370CN8 | 99     | 66000    | PRN | DEFINED | 01 | 0 |
| FORD MTR CO CAP TR II TR ORIG  | PRF      | 345395206 | 323    | 6955     | SH  | DEFINED | 01 | 1 |
| FOREST CITY ENTERPRISES-CL A   | COM      | 345550107 | 1290   | 89506    | SH  | DEFINED | 01 | 0 |
| FOREST CITY ENTERPRISES-CL A   | COM      | 345550107 | 124    | 8580     | SH  | DEFINED | 01 | 1 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 70107  | 2235550  | SH  | DEFINED | 01 | 0 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 644    | 20524    | SH  | DEFINED | 01 | 0 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 2195   | 70000    | SH  | DEFINED | 01 | 1 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 75     | 2406     | SH  | DEFINED | 01 | 1 |
| FOREST OIL CORP                | COM      | 346091705 | 183    | 7086     | SH  | DEFINED | 01 | 0 |
| FOREST OIL CORP                | COM      | 346091705 | 3      | 100      | SH  | DEFINED | 01 | 1 |
| FORESTAR REAL ESTATE GROUP     | COM      | 346233109 | 543    | 28777    | SH  | DEFINED | 01 | 0 |
| FORMFACTOR INC                 | COM      | 346375108 | 15429  | 868751   | SH  | DEFINED | 01 | 0 |
| FORMFACTOR INC                 | COM      | 346375108 | 277    | 15612    | SH  | DEFINED | 01 | 0 |
| FORRESTER RESEARCH INC         | COM      | 346563109 | 2239   | 74456    | SH  | DEFINED | 01 | 0 |
| FORT DEARBORN INCOME SEC       | COM      | 347200107 | 3      | 200      | SH  | DEFINED | 01 | 1 |
| FORTRESS INVESTMENT GRP-CL A   | LP       | 34958B106 | 20     | 5034     | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 444    | 9174     | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 228    | 4708     | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 182    | 3754     | SH  | DEFINED | 01 | 1 |
| FORTUNE BRANDS INC PFD CONV \$ | PRF      | 349631200 | 35     | 111      | SH  | DEFINED | 01 | 1 |
| FORWARD AIR CORPORATION        | COM      | 349853101 | 2304   | 87596    | SH  | DEFINED | 01 | 0 |
| FORWARD AIR CORPORATION        | COM      | 349853101 | 32     | 1202     | SH  | DEFINED | 01 | 0 |
| FORWARD AIR CORPORATION        | COM      | 349853101 | 15     | 581      | SH  | DEFINED | 01 | 1 |
| FOSSIL INC                     | COM      | 349882100 | 1189   | 31503    | SH  | DEFINED | 01 | 0 |
| FOSTER (LB) CO -CL A           | COM      | 350060109 | 224    | 7727     | SH  | DEFINED | 01 | 0 |
| FOX CHASE BANCORP INC COM      | COM      | 35137P106 | 1      | 50       | SH  | DEFINED | 01 | 1 |
| FRANCE TELECOM ADR EACH REPR   | COM      | 35177Q105 | 9      | 369      | SH  | DEFINED | 01 | 1 |
| FRANKLIN ELECTRIC CO INC       | COM      | 353514102 | 1164   | 38800    | SH  | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC         | COM      | 354613101 | 52799  | 476093   | SH  | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC         | COM      | 354613101 | 1147   | 10343    | SH  | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC         | COM      | 354613101 | 149    | 1343     | SH  | DEFINED | 01 | 1 |
| FRANKLIN STREET PROPERTIES C   | COM      | 35471R106 | 3077   | 213305   | SH  | DEFINED | 01 | 0 |
| FRANKLIN TEMPLETON LTD DURATI  | COM      | 35472T101 | 114    | 8507     | SH  | DEFINED | 01 | 1 |
| FRANKLIN UNVL TR SH BEN INT    | COM      | 355145103 | 89     | 15051    | SH  | DEFINED | 01 | 1 |
| FRED'S INC-CLASS A             | COM      | 356108100 | 17127  | 1429466  | SH  | DEFINED | 01 | 0 |
| FREEPORT MCMORAN COPPER & G    | PRF      | 35671D782 | 128    | 1100     | SH  | DEFINED | 01 | 1 |
| FREEPORT-MCMORAN COPPER        | COM      | 35671D857 | 210190 | 2516073  | SH  | DEFINED | 01 | 0 |
| FREEPORT-MCMORAN COPPER        | COM      | 35671D857 | 2423   | 28995    | SH  | DEFINED | 01 | 0 |
| FREEPORT-MCMORAN COPPER        | COM      | 35671D857 | 1325   | 15867    | SH  | DEFINED | 01 | 1 |
| FREIGHTCAR AMERICA INC         | COM      | 357023100 | 282    | 11673    | SH  | DEFINED | 01 | 0 |
| FREIGHTCAR AMERICA INC         | COM      | 357023100 | 9      | 380      | SH  | DEFINED | 01 | 1 |
| FREQUENCY ELECTRONICINC        | COM      | 358010106 | 5      | 1000     | SH  | DEFINED | 01 | 1 |
| FRESENIUS MEDICAL CARE-ADR     | COM      | 358029106 | 1488   | 26500    | SH  | DEFINED | 01 | 0 |
| FRESENIUS MEDICAL CARE-ADR     | COM      | 358029106 | 117    | 2089     | SH  | DEFINED | 01 | 1 |
| FRESENIUS KABI PHARMACEUT      | COM      | 35802M115 | 0      | 177      | SH  | DEFINED | 01 | 1 |
| FRISCH'S RESTAURANTS INC       | COM      | 358748101 | 2143   | 96985    | SH  | DEFINED | 01 | 0 |
| FRONTEER DEVELOPMENTGROUP INC  | COM      | 35903Q106 | 22     | 4320     | SH  | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |                |           |        |         |    |         |    |   |
|------------------------------|----------------|-----------|--------|---------|----|---------|----|---|
| FRONTIER COMMUNICATIONS CORP | COM            | 35906A108 | 8440   | 1134413 | SH | DEFINED | 01 | 0 |
| FRONTIER COMMUNICATIONS CORP | COM            | 35906A108 | 74     | 10008   | SH | DEFINED | 01 | 0 |
| FRONTIER COMMUNICATIONS CORP | COM            | 35906A108 | 128    | 17174   | SH | DEFINED | 01 | 1 |
| FRONTIER OIL CORP            | COM            | 35914P105 | 14491  | 1073368 | SH | DEFINED | 01 | 0 |
| FRONTIER OIL CORP            | COM            | 35914P105 | 163    | 12039   | SH | DEFINED | 01 | 0 |
| FRONTIER OIL CORP            | COM            | 35914P105 | 190    | 14046   | SH | DEFINED | 01 | 1 |
|                              |                |           |        |         |    |         |    |   |
| FUEL TECH INC COM            | STK USD0.0 COM | 359523107 | 75     | 9378    | SH | DEFINED | 01 | 1 |
| FUELCELL ENERGY INC          | CHG #US35 COM  | 35952H106 | 14     | 5040    | SH | DEFINED | 01 | 1 |
| FUEL SYS SOLUTIONS INC       | COM            | 35952W103 | 8      | 262     | SH | DEFINED | 01 | 1 |
| H.B. FULLER CO.              | COM            | 359694106 | 3610   | 155505  | SH | DEFINED | 01 | 0 |
| H.B. FULLER CO.              | COM            | 359694106 | 3020   | 130095  | SH | DEFINED | 01 | 1 |
| H.B. FULLER CO.              | COM            | 359694106 | 47     | 2031    | SH | DEFINED | 01 | 1 |
| FULTON FINL CORP PA          | COM            | 360271100 | 234    | 22900   | SH | DEFINED | 01 | 1 |
| FUQI INTERNATIONAL INC       | COM            | 36102A207 | 32     | 2935    | SH | DEFINED | 01 | 0 |
| G & K SERVICES INC           | -CL A COM      | 361268105 | 458    | 17689   | SH | DEFINED | 01 | 0 |
| GAMCO INVS INC COM           | COM            | 361438104 | 0      | 2       | SH | DEFINED | 01 | 1 |
| GATX CORP                    | COM            | 361448103 | 2141   | 74708   | SH | DEFINED | 01 | 0 |
| GATX CORP                    | COM            | 361448103 | 23     | 800     | SH | DEFINED | 01 | 1 |
| GEO GROUP INC/THE            | COM            | 36159R103 | 8109   | 409095  | SH | DEFINED | 01 | 0 |
| GEO GROUP INC/THE            | COM            | 36159R103 | 57     | 2870    | SH | DEFINED | 01 | 1 |
| GFI GROUP INC                | COM            | 361652209 | 425    | 73536   | SH | DEFINED | 01 | 0 |
| GMAC INC                     | PRF            | 36186R209 | 133    | 175     | SH | DEFINED | 01 | 0 |
| GSI GROUP INC COM            | NPV COM        | 36229U102 | 7      | 3698    | SH | DEFINED | 01 | 1 |
| GSI COMMERCE INC             | COM            | 36238G102 | 0      | 11      | SH | DEFINED | 01 | 1 |
| GTC BIOTHERAPEUTICS INC      | COM NE COM     | 36238T203 | 0      | 120     | SH | DEFINED | 01 | 1 |
| GABELLI EQUITY TR            | INC COM        | 362397101 | 132    | 26024   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL               | MULTIMEDIA COM | 36239Q109 | 0      | 20      | SH | DEFINED | 01 | 1 |
| GT SOLAR INTL INC            | COM COM        | 3623E0209 | 14     | 2635    | SH | DEFINED | 01 | 1 |
| GABELLI UTIL TR              | COM            | 36240A101 | 50     | 6383    | SH | DEFINED | 01 | 1 |
| GABELLI CONV &               | INCOME SEC COM | 36240B109 | 8      | 1250    | SH | DEFINED | 01 | 1 |
| GABELLI DIVID &              | INCOME TR COM  | 36242H104 | 267    | 19412   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL UTIL &        | INCOME T COM   | 36242L105 | 19     | 956     | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL GOLD          | NAT RES & COM  | 36244N109 | 282    | 15985   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL DEAL          | FD CO COM      | 36245G103 | 10     | 700     | SH | DEFINED | 01 | 1 |
| GABELLI HEALTHCARE &         | WELLNESS T COM | 36246K103 | 3      | 497     | SH | DEFINED | 01 | 1 |
| GSC INVT CORP                | COM            | 362493108 | 5      | 2208    | SH | DEFINED | 01 | 1 |
| GAFISA SA ADR EACH           | REPR 2 COM COM | 362607301 | 56     | 4086    | SH | DEFINED | 01 | 1 |
|                              |                |           |        |         |    |         |    |   |
| ARTHUR J GALLAGHER & CO      | COM            | 363576109 | 33     | 1364    | SH | DEFINED | 01 | 1 |
| GAMMON GOLD INC              | COM            | 36467T106 | 277    | 38500   | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A        | COM            | 36467W109 | 18617  | 849616  | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A        | COM            | 36467W109 | 357    | 16291   | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A        | COM            | 36467W109 | 69     | 2425    | SH | DEFINED | 01 | 1 |
| GAMESTOP CORP-CLASS A        | COM            | 36467W109 | 318    | 14496   | SH | DEFINED | 01 | 1 |
| GANNETT CO                   | COM            | 364730101 | 8689   | 525912  | SH | DEFINED | 01 | 0 |
| GANNETT CO                   | COM            | 364730101 | 431    | 26095   | SH | DEFINED | 01 | 0 |
| GANNETT CO                   | COM            | 364730101 | 1057   | 64000   | SH | DEFINED | 01 | 1 |
| GANNETT CO                   | COM            | 364730101 | 82     | 4974    | SH | DEFINED | 01 | 1 |
| GAP INC/THE                  | COM            | 364760108 | 124428 | 5384019 | SH | DEFINED | 01 | 0 |
| GAP INC/THE                  | COM            | 364760108 | 419    | 18130   | SH | DEFINED | 01 | 0 |
| GAP INC/THE                  | COM            | 364760108 | 122    | 5274    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| GARDNER DENVER INC             | COM | 365558105 | 2172   | 49320    | SH | DEFINED | 01 | 0 |
| GARDNER DENVER INC             | COM | 365558105 | 44     | 1000     | SH | DEFINED | 01 | 1 |
| GASCO ENERGY INC               | COM | 367220100 | 1      | 4380     | SH | DEFINED | 01 | 1 |
| GASTAR EXPLORATION LTD         | COM | 367299203 | 2315   | 476400   | SH | DEFINED | 01 | 0 |
| GAYLORD ENTMT CORP NEW         | COM | 367905106 | 5      | 187      | SH | DEFINED | 01 | 1 |
| OAO GAZPROM-SPON ADR           | COM | 368287207 | 9091   | 265000   | SH | DEFINED | 01 | 1 |
| GAZPROM OAO-SPON ADR           | COM | 368287991 | 2803   | 120157   | SH | DEFINED | 01 | 0 |
| GAZPROM NEFT-SPONSORED ADR     | COM | 36829G990 | 106    | 4077     | SH | DEFINED | 01 | 0 |
| GEEKNET INC COM                | COM | 36846Q104 | 0      | 10       | SH | DEFINED | 01 | 1 |
| GEN-PROBE INC                  | COM | 36866T103 | 23634  | 472679   | SH | DEFINED | 01 | 0 |
| GEN-PROBE INC                  | COM | 36866T103 | 401    | 8030     | SH | DEFINED | 01 | 0 |
| GEN-PROBE INC                  | COM | 36866T103 | 4      | 90       | SH | DEFINED | 01 | 1 |
| GENCORP INC                    | COM | 368682100 | 282    | 48895    | SH | DEFINED | 01 | 0 |
| GENCORP INC                    | COM | 368682100 | 36     | 6275     | SH | DEFINED | 01 | 1 |
| GENERAL AMER INVSTRSCO         | COM | 368802104 | 28     | 1112     | SH | DEFINED | 01 | 1 |
| GENERAL CABLE CORP             | COM | 369300108 | 1818   | 67358    | SH | DEFINED | 01 | 0 |
| GENERAL CABLE CORP             | COM | 369300108 | 323    | 11974    | SH | DEFINED | 01 | 1 |
| GENERAL COMMUNICATION INC-A    | COM | 369385109 | 1144   | 198427   | SH | DEFINED | 01 | 0 |
| GENERAL COMMUNICATION INC-A    | COM | 369385109 | 239    | 41500    | SH | DEFINED | 01 | 1 |
| GENERAL DYNAMICS CORP          | COM | 369550108 | 298829 | 3870805  | SH | DEFINED | 01 | 0 |
| GENERAL DYNAMICS CORP          | COM | 369550108 | 1653   | 21415    | SH | DEFINED | 01 | 0 |
| GENERAL DYNAMICS CORP          | COM | 369550108 | 1216   | 15821    | SH | DEFINED | 01 | 1 |
| GENERAL DYNAMICS CORP          | COM | 369550108 | 378    | 4892     | SH | DEFINED | 01 | 1 |
| GENERAL ELECTRIC CO            | COM | 369604103 | 187886 | 10323424 | SH | DEFINED | 01 | 0 |
| GENERAL ELECTRIC CO            | COM | 369604103 | 11338  | 622942   | SH | DEFINED | 01 | 0 |
| GENERAL ELECTRIC CO            | COM | 369604103 | 52688  | 2898098  | SH | DEFINED | 01 | 1 |
| GENERAL ELECTRIC CO            | COM | 369604103 | 17387  | 955354   | SH | DEFINED | 01 | 1 |
| GENERAL MILLS INC              | COM | 370334104 | 11760  | 166133   | SH | DEFINED | 01 | 0 |
| GENERAL MILLS INC              | COM | 370334104 | 1520   | 21468    | SH | DEFINED | 01 | 0 |
| GENERAL MILLS INC              | COM | 370334104 | 511    | 7213     | SH | DEFINED | 01 | 1 |
| GENERAL STEEL HLDGS INC        | COM | 370853103 | 0      | 100      | SH | DEFINED | 01 | 1 |
| GENEREX BIOTECHNOL             | COM | 371485103 | 0      | 500      | SH | DEFINED | 01 | 1 |
| GENESCO INC                    | COM | 371532102 | 3597   | 115986   | SH | DEFINED | 01 | 0 |
| GENESEE AND WYOMING INC INC CL | COM | 371559105 | 15     | 425      | SH | DEFINED | 01 | 1 |
| GENTEX CORP                    | COM | 371901109 | 17909  | 922169   | SH | DEFINED | 01 | 0 |
| GENOPTIX INC                   | COM | 37243V100 | 1946   | 54846    | SH | DEFINED | 01 | 0 |
| GENUINE PARTS CO               | COM | 372460105 | 28639  | 678052   | SH | DEFINED | 01 | 0 |
| GENUINE PARTS CO               | COM | 372460105 | 269    | 6363     | SH | DEFINED | 01 | 0 |
| GENUINE PARTS CO               | COM | 372460105 | 48     | 1148     | SH | DEFINED | 01 | 1 |
| GENVEC INC                     | COM | 37246C109 | 4      | 5400     | SH | DEFINED | 01 | 1 |
| GEORESOURCES INC               | COM | 372476101 | 15     | 1000     | SH | DEFINED | 01 | 1 |
| GENTIVA HEALTH SERVICES        | COM | 37247A102 | 8135   | 287652   | SH | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A    | COM | 37247D106 | 12130  | 661409   | SH | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A    | COM | 37247D106 | 754    | 41112    | SH | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A    | COM | 37247D106 | 272    | 14812    | SH | DEFINED | 01 | 1 |
| GEOPETRO RES CO COM            | COM | 37248H304 | 2      | 2800     | SH | DEFINED | 01 | 1 |
| GEOEYE INC COM                 | COM | 37250W108 | 36     | 1215     | SH | DEFINED | 01 | 1 |
| GENZYME CORP                   | COM | 372917104 | 18640  | 359631   | SH | DEFINED | 01 | 0 |
| GENZYME CORP                   | COM | 372917104 | 575    | 11093    | SH | DEFINED | 01 | 0 |
| GENZYME CORP                   | COM | 372917104 | 174    | 3359     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| GERBER SCIENTIFIC INC          | COM | 373730100 | 219    | 35336   | SH | DEFINED | 01 | 0 |
| GERDAU SA -SPON ADR            | COM | 373737105 | 566    | 34700   | SH | DEFINED | 01 | 0 |
| GERDAU SA -SPON ADR            | COM | 373737105 | 24735  | 1517469 | SH | DEFINED | 01 | 1 |
| GERDAU SA -SPON ADR            | COM | 373737105 | 18     | 1100    | SH | DEFINED | 01 | 1 |
| GERDAU AMERISTEEL CORPORATIO   | COM | 37373P105 | 26     | 3305    | SH | DEFINED | 01 | 1 |
| GERMAN AMERICAN BANCORP        | COM | 373865104 | 50     | 3296    | SH | DEFINED | 01 | 0 |
| GERON CORP                     | COM | 374163103 | 76     | 13400   | SH | DEFINED | 01 | 1 |
| GIBRALTAR INDUSTRIES INC       | COM | 374689107 | 6621   | 525145  | SH | DEFINED | 01 | 0 |
| GIBRALTAR INDUSTRIES INC       | COM | 374689107 | 27     | 2179    | SH | DEFINED | 01 | 1 |
| GILEAD SCIENCES INC            | COM | 375558103 | 104203 | 2291182 | SH | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM | 375558103 | 4705   | 103453  | SH | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM | 375558103 | 2396   | 52684   | SH | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM | 375558103 | 96422  | 2121738 | SH | DEFINED | 01 | 1 |
| GILEAD SCIENCES INC            | COM | 375558103 | 2953   | 64945   | SH | DEFINED | 01 | 1 |
| GILDAN ACTIVEWEAR INC          | COM | 375916103 | 631    | 24000   | SH | DEFINED | 01 | 0 |
| GLACIER BANCORP INC            | COM | 37637Q105 | 743    | 48760   | SH | DEFINED | 01 | 0 |
| GLADSTONE CAP CORP             | COM | 376535100 | 85     | 7210    | SH | DEFINED | 01 | 1 |
| GLATFELTER                     | COM | 377316104 | 8716   | 601543  | SH | DEFINED | 01 | 0 |
| GLATFELTER                     | COM | 377316104 | 37     | 2525    | SH | DEFINED | 01 | 1 |
| GLATFELTER                     | COM | 377316104 | 1      | 72      | SH | DEFINED | 01 | 1 |
| GLAXOSMITHKLINE ADR EACH CNV I | COM | 37733W105 | 703    | 18260   | SH | DEFINED | 01 | 1 |
| GLOBAL CASH ACCESS HOLDINGS    | COM | 378967103 | 92     | 11308   | SH | DEFINED | 01 | 0 |
| GLOBAL INCOME & CURRENCY F     | COM | 378968101 | 36     | 2492    | SH | DEFINED | 01 | 1 |
| GLG PARTNERS INC               | COM | 37929X107 | 2      | 800     | SH | DEFINED | 01 | 1 |
| GLIMCHER REALTY TRUST          | COM | 379302102 | 141    | 27801   | SH | DEFINED | 01 | 0 |
| GLIMCHER REALTY TRUST          | COM | 379302102 | 6      | 1250    | SH | DEFINED | 01 | 1 |
| GLOBAL INDS LTD                | COM | 379336100 | 38     | 5990    | SH | DEFINED | 01 | 1 |
| GLOBAL HIGH INCOME FUND INC    | COM | 37933G108 | 135    | 9772    | SH | DEFINED | 01 | 1 |
| GLOBAL PAYMENTS INC            | COM | 37940X102 | 42     | 931     | SH | DEFINED | 01 | 0 |
| GLOBAL PAYMENTS INC            | COM | 37940X102 | 530    | 11640   | SH | DEFINED | 01 | 1 |
| GLOBAL PARTNERS LP COM UNIT R  | COM | 37946R109 | 11     | 500     | SH | DEFINED | 01 | 1 |
| GLOBALTRA--SPONS GDR REG S     | COM | 37949E204 | 148    | 11327   | SH | DEFINED | 01 | 0 |
| GLOBAL DEFENSE TECHNOLOGY      | COM | 37950B107 | 486    | 36231   | SH | DEFINED | 01 | 0 |
| GLOBAL ENERGY HLDGS GROUP INC  | COM | 37991A100 | 0      | 800     | SH | DEFINED | 01 | 1 |
| GMX RESOURCES INC              | COM | 38011M108 | 3      | 320     | SH | DEFINED | 01 | 0 |
| GMX RESOURCES INC              | COM | 38011M108 | 36     | 4400    | SH | DEFINED | 01 | 1 |
| GOL LINHAS AEREAS INTEL-ADR    | COM | 38045R107 | 167    | 13500   | SH | DEFINED | 01 | 0 |
| GOLD FIELDS LTD-SPONS ADR      | COM | 38059T106 | 7226   | 572614  | SH | DEFINED | 01 | 0 |
| GOLD FIELDS LTD-SPONS ADR      | COM | 38059T106 | 15     | 1217    | SH | DEFINED | 01 | 1 |
| GOLD RESERVE INC CLASS A CO    | COM | 38068N108 | 5      | 5000    | SH | DEFINED | 01 | 1 |
| GOLDCORP INC                   | COM | 380956409 | 10298  | 276681  | SH | DEFINED | 01 | 0 |
| GOLDCORP INC                   | COM | 380956409 | 1127   | 30292   | SH | DEFINED | 01 | 1 |
| GOLDEN STAR RESOURCES          | COM | 38119T104 | 1      | 250     | SH | DEFINED | 01 | 1 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 291695 | 1709510 | SH | DEFINED | 01 | 0 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 2376   | 13923   | SH | DEFINED | 01 | 0 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 5568   | 32632   | SH | DEFINED | 01 | 0 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 144882 | 849702  | SH | DEFINED | 01 | 1 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 2304   | 13503   | SH | DEFINED | 01 | 1 |
| GS UNCAPPED NOTES 144A JUN22 2 | PRF | 38145W725 | 45196  | 450000  | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 108096 | 1532865 | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 549    | 7788    | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 354    | 5019    | SH | DEFINED | 01 | 1 |
| GOODRICH PETROLEUM CORP        | COM | 382410405 | 1060   | 67722   | SH | DEFINED | 01 | 0 |
| GOODRICH PETROLEUM CORP        | COM | 382410405 | 59     | 3788    | SH | DEFINED | 01 | 1 |
| GOODYEAR TIRE & RUBBER CO      | COM | 382550101 | 31002  | 2452668 | SH | DEFINED | 01 | 0 |
| GOODYEAR TIRE & RUBBER CO      | COM | 382550101 | 261    | 20681   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |        |        |    |         |    |   |
|--------------------------------|----------|-----------|--------|--------|----|---------|----|---|
| GOODYEAR TIRE & RUBBER CO      | COM      | 382550101 | 80     | 6311   | SH | DEFINED | 01 | 1 |
| GOOGLE INC-CL A                | COM      | 38259P508 | 231852 | 408899 | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM      | 38259P508 | 7583   | 13374  | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM      | 38259P508 | 7815   | 13782  | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM      | 38259P508 | 184071 | 324612 | SH | DEFINED | 01 | 1 |
| GOOGLE INC-CL A                | COM      | 38259P508 | 4307   | 7594   | SH | DEFINED | 01 | 1 |
| GORMAN RUPP CO                 | COM      | 383082104 | 24     | 944    | SH | DEFINED | 01 | 1 |
| WR GRACE & CO                  | COM      | 38388F108 | 3500   | 126112 | SH | DEFINED | 01 | 0 |
| WR GRACE & CO                  | COM      | 38388F108 | 1960   | 70600  | SH | DEFINED | 01 | 1 |
| GRACO INC                      | COM      | 384109104 | 9      | 269    | SH | DEFINED | 01 | 1 |
| GRAFTECH INTERNATIONAL LTD     | COM      | 384313102 | 2882   | 210883 | SH | DEFINED | 01 | 0 |
| GRAFTECH INTERNATIONAL LTD     | COM      | 384313102 | 5      | 360    | SH | DEFINED | 01 | 1 |
| WW GRAINGER INC                | COM      | 384802104 | 27559  | 254899 | SH | DEFINED | 01 | 0 |
| WW GRAINGER INC                | COM      | 384802104 | 304    | 2809   | SH | DEFINED | 01 | 0 |
| WW GRAINGER INC                | COM      | 384802104 | 48     | 442    | SH | DEFINED | 01 | 1 |
| GRAMERCY CAP CORP              | COM      | 384871109 | 45     | 16004  | SH | DEFINED | 01 | 1 |
| GRAN TIERRA ENERGY INC         | COM      | 38500T101 | 1124   | 190306 | SH | DEFINED | 01 | 0 |
| GRAN TIERRA ENERGY INC         | COM      | 38500T101 | 123    | 20800  | SH | DEFINED | 01 | 1 |
| GRANITE CONSTRUCTION INC       | COM      | 387328107 | 981    | 32484  | SH | DEFINED | 01 | 0 |
| GRANITE CONSTRUCTION INC       | COM      | 387328107 | 27     | 888    | SH | DEFINED | 01 | 1 |
| GREAT ATLANTIC & PAC TEA CO    | COM      | 390064103 | 132    | 17192  | SH | DEFINED | 01 | 0 |
| GREAT ATLANTIC & PAC TEA CO    | COM      | 390064103 | 289    | 37730  | SH | DEFINED | 01 | 1 |
| GREAT SOUTHERN BANCORP INC     | COM      | 390905107 | 107    | 4779   | SH | DEFINED | 01 | 0 |
| GREAT NORTHERN IRON ORE PROPER | COM      | 391064102 | 99     | 1015   | SH | DEFINED | 01 | 1 |
| GREAT PLAINS ENERGY INC        | COM      | 391164100 | 31     | 1690   | SH | DEFINED | 01 | 0 |
| GREAT PLAINS ENERGY INC        | COM      | 391164100 | 293    | 15795  | SH | DEFINED | 01 | 1 |
| GREATBATCH INC                 | COM      | 39153L106 | 1062   | 50127  | SH | DEFINED | 01 | 0 |
| GREATBATCH INC                 | COM      | 39153L106 | 162    | 7627   | SH | DEFINED | 01 | 1 |
| GREATER CHINA FUND             | COM      | 39167B102 | 23     | 1913   | SH | DEFINED | 01 | 1 |
| GREEN MOUNTAIN COFFEE ROASTE   | COM      | 393122106 | 1757   | 18142  | SH | DEFINED | 01 | 0 |
| GREEN MOUNTAIN COFFEE ROASTE   | COM      | 393122106 | 270    | 2783   | SH | DEFINED | 01 | 1 |
| GREENHILL & CO INC             | COM      | 395259104 | 1888   | 23000  | SH | DEFINED | 01 | 1 |
| GREENHILL & CO INC             | COM      | 395259104 | 15     | 179    | SH | DEFINED | 01 | 1 |
| GRIFFON CORPORATION            | COM      | 398433102 | 714    | 57290  | SH | DEFINED | 01 | 0 |
| GRIFFON CORPORATION            | COM      | 398433102 | 22     | 1760   | SH | DEFINED | 01 | 1 |
| GROUP 1 AUTOMOTIVE INC         | COM      | 398905109 | 5519   | 173249 | SH | DEFINED | 01 | 0 |
| GRUPO FINANCIERO GALICIA SA    | COM      | 399909100 | 1      | 184    | SH | DEFINED | 01 | 1 |
| GRUBB & ELLIS CO (GBE)         | CONV PRF | 400095402 | 310    | 2200   | SH | DEFINED | 01 | 0 |
| GRUPO TELEVISIVA SA-SPONS ADR  | COM      | 40049J206 | 12030  | 572290 | SH | DEFINED | 01 | 0 |
| GRUPO TELEVISIVA SA-SPONS ADR  | COM      | 40049J206 | 17016  | 809510 | SH | DEFINED | 01 | 1 |
| GRUPO TELEVISIVA SA-SPONS ADR  | COM      | 40049J206 | 27     | 1300   | SH | DEFINED | 01 | 1 |
| GRUPO AEROPORTUARIO DEL PACIFI | COM      | 400506101 | 17888  | 483186 | SH | DEFINED | 01 | 1 |
| GRUPO AEROPORTUARIO DEL PACIFI | COM      | 400506101 | 8      | 222    | SH | DEFINED | 01 | 1 |
| GRUPO AEROPORTUARIO SUR-ADR    | COM      | 40051E202 | 1810   | 34924  | SH | DEFINED | 01 | 0 |
| GRUPO AEROPORTUARIO SUR-ADR    | COM      | 40051E202 | 36     | 694    | SH | DEFINED | 01 | 1 |
| GUANGSHEN RAILWAY COADR EACH R | COM      | 40065W107 | 4      | 200    | SH | DEFINED | 01 | 1 |
| GUESS? INC                     | COM      | 401617105 | 4786   | 101848 | SH | DEFINED | 01 | 0 |
| GUESS? INC                     | COM      | 401617105 | 66     | 1525   | SH | DEFINED | 01 | 1 |
| GUESS? INC                     | COM      | 401617105 | 22     | 463    | SH | DEFINED | 01 | 1 |
| GULF ISLAND FABRICATION INC    | COM      | 402307102 | 292    | 13440  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| GULF RES INC COM PAR\$0.0005   | COM | 40251W309 | 6      | 500     | SH | DEFINED | 01 | 1 |
| GULFMARK OFFSHORE INC          | COM | 402629208 | 613    | 23082   | SH | DEFINED | 01 | 0 |
| GULFPORT ENERGY CORP           | COM | 402635304 | 4      | 332     | SH | DEFINED | 01 | 1 |
| GYMBOREE CORP                  | COM | 403777105 | 4311   | 83501   | SH | DEFINED | 01 | 0 |
| GYMBOREE CORP                  | COM | 403777105 | 4      | 75      | SH | DEFINED | 01 | 1 |
| GYRODYNE CO OF AMERICA INC - R | COM | 403820103 | 981    | 23367   | SH | DEFINED | 01 | 0 |
| H&E EQUIPMENT SERVICES INC     | COM | 404030108 | 682    | 63274   | SH | DEFINED | 01 | 0 |
| H & Q HEALTHCARE FD SH BEN INT | COM | 404052102 | 485    | 37829   | SH | DEFINED | 01 | 1 |
| H & Q LIFE SCIENCES INVS SH BE | COM | 404053100 | 49     | 4722    | SH | DEFINED | 01 | 1 |
| HCC INSURANCE HOLDINGS INC     | COM | 404132102 | 548    | 19866   | SH | DEFINED | 01 | 0 |
| HCC INSURANCE HOLDINGS INC     | COM | 404132102 | 620    | 22474   | SH | DEFINED | 01 | 1 |
| HCP INC - REIT                 | COM | 40414L109 | 7981   | 241863  | SH | DEFINED | 01 | 0 |
| HCP INC - REIT                 | COM | 40414L109 | 459    | 13921   | SH | DEFINED | 01 | 0 |
| HCP INC - REIT                 | COM | 40414L109 | 126    | 3808    | SH | DEFINED | 01 | 1 |
| HCP INC - REIT                 | COM | 40414L109 | 1203   | 36456   | SH | DEFINED | 01 | 1 |
| HDFC BANK LTD-ADR              | COM | 40415F101 | 4169   | 29907   | SH | DEFINED | 01 | 1 |
| HDFC BANK LTD-ADR              | COM | 40415F101 | 85     | 609     | SH | DEFINED | 01 | 1 |
| HKN INC                        | COM | 40420K103 | 0      | 44      | SH | DEFINED | 01 | 1 |
| HMN FINL INC                   | COM | 40424G108 | 1      | 100     | SH | DEFINED | 01 | 1 |
| HNI CORP                       | COM | 404251100 | 251    | 9412    | SH | DEFINED | 01 | 0 |
| HNI CORP                       | COM | 404251100 | 8      | 300     | SH | DEFINED | 01 | 1 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 1080   | 21186   | SH | DEFINED | 01 | 0 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 4325   | 84819   | SH | DEFINED | 01 | 1 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 183    | 3585    | SH | DEFINED | 01 | 1 |
| HQ SUSTAINABLE MARITIME INDU   | COM | 40426A208 | 1106   | 184273  | SH | DEFINED | 01 | 0 |
| HQ SUSTAINABLE MARITIME INDU   | COM | 40426A208 | 15     | 2468    | SH | DEFINED | 01 | 1 |
| HRPT PPTYS TRUST               | COM | 40426W101 | 77     | 9843    | SH | DEFINED | 01 | 1 |
| HSBC HLDGS ADR EACH REPR 5 ORD | COM | 404280406 | 502    | 9910    | SH | DEFINED | 01 | 1 |
| HSBC HOLDINGS PLC ADR SER A    | PRF | 404280604 | 191    | 8356    | SH | DEFINED | 01 | 1 |
| ELEMENTS S&P CTI ETN           | COM | 4042EP602 | 240    | 28398   | SH | DEFINED | 01 | 1 |
| HSN INC                        | COM | 404303109 | 989    | 33588   | SH | DEFINED | 01 | 0 |
| HSN INC                        | COM | 404303109 | 2      | 61      | SH | DEFINED | 01 | 1 |
| HACKETT GROUP INC              | COM | 404609109 | 0      | 10      | SH | DEFINED | 01 | 1 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 17462  | 305557  | SH | DEFINED | 01 | 0 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 213    | 3735    | SH | DEFINED | 01 | 0 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 75     | 1325    | SH | DEFINED | 01 | 1 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 4      | 76      | SH | DEFINED | 01 | 1 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 2345   | 135173  | SH | DEFINED | 01 | 0 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 8      | 447     | SH | DEFINED | 01 | 0 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 4      | 253     | SH | DEFINED | 01 | 1 |
| HALLIBURTON CO                 | COM | 406216101 | 154302 | 5121190 | SH | DEFINED | 01 | 0 |
| HALLIBURTON CO                 | COM | 406216101 | 1800   | 59749   | SH | DEFINED | 01 | 0 |
| HALLIBURTON CO                 | COM | 406216101 | 610    | 20240   | SH | DEFINED | 01 | 1 |
| HALOZYME THERAPEUTI            | COM | 40637H109 | 1      | 100     | SH | DEFINED | 01 | 1 |
| HAMPDEN BANCORP INC            | COM | 40867E107 | 20     | 2000    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN BK & THRIFT OPP   | COM | 409735206 | 85     | 5064    | SH | DEFINED | 01 | 1 |
| HANCOCK HOLDING CO             | COM | 410120109 | 1172   | 28020   | SH | DEFINED | 01 | 0 |
| HANCOCK JOHN INCOME SECS TR MA | COM | 410123103 | 78     | 5650    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN INVT TRTAX ADVANT | COM | 41013P749 | 67     | 5130    | SH | DEFINED | 01 | 1 |
| JOHN HANCOCK PATRIOTPREM DIVID | COM | 41013T105 | 58     | 5495    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN TAX ADVANTAGE     | COM | 41013V100 | 115    | 8267    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN PFD EQUITY INC    | COM | 41013W108 | 218    | 11833   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |           |     |           |        |         |    |         |    |   |
|-------------------------------|-----------|-----|-----------|--------|---------|----|---------|----|---|
| HANCOCK JOHN PFD              | INCOME FD | COM | 41013X106 | 123    | 6775    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN INVS             | TR SBI    | COM | 410142103 | 31     | 1600    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN PFD INCME FD III |           | COM | 41021P103 | 3      | 204     | SH | DEFINED | 01 | 1 |
| HANESBRANDS INC               |           | COM | 410345102 | 657    | 23638   | SH | DEFINED | 01 | 0 |
| HANESBRANDS INC               |           | COM | 410345102 | 98     | 3505    | SH | DEFINED | 01 | 1 |
| HANGER ORTHOPEDIC GROUP INC   |           | COM | 41043F208 | 1731   | 95188   | SH | DEFINED | 01 | 0 |
| HANMI FINANCIAL CORPORATION   |           | COM | 410495105 | 86     | 35982   | SH | DEFINED | 01 | 0 |
| HANOVER INSURANCE GROUP INC/  |           | COM | 410867105 | 21992  | 504285  | SH | DEFINED | 01 | 0 |
| HANSEN NATURAL CORPORATION    |           | COM | 411310105 | 624    | 14389   | SH | DEFINED | 01 | 0 |
| HANSEN NATURAL CORPORATION    |           | COM | 411310105 | 24     | 559     | SH | DEFINED | 01 | 0 |
| HANSEN NATURAL CORPORATION    |           | COM | 411310105 | 54     | 1238    | SH | DEFINED | 01 | 1 |
| HARBIN ELEC INC               |           | COM | 41145W109 | 4      | 200     | SH | DEFINED | 01 | 1 |
| HARBINGER GROUP INC           |           | COM | 41146A106 | 2935   | 433510  | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC           |           | COM | 412822108 | 55198  | 1966426 | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC           |           | COM | 412822108 | 582    | 20741   | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC           |           | COM | 412822108 | 427    | 15195   | SH | DEFINED | 01 | 1 |
| HARLEYSVILLE GROUP INC        |           | COM | 412824104 | 10     | 284     | SH | DEFINED | 01 | 1 |
| HARLEYSVILLE NATL CORP PA     |           | COM | 412850109 | 0      | 51      | SH | DEFINED | 01 | 1 |
| HARMAN INTERNATIONAL          |           | COM | 413086109 | 8468   | 181003  | SH | DEFINED | 01 | 0 |
| HARMAN INTERNATIONAL          |           | COM | 413086109 | 186    | 3967    | SH | DEFINED | 01 | 0 |
| HARMAN INTERNATIONAL          |           | COM | 413086109 | 12     | 263     | SH | DEFINED | 01 | 1 |
| HARMONIC INC                  |           | COM | 413160102 | 507    | 80399   | SH | DEFINED | 01 | 0 |
| HARMONIC INC                  |           | COM | 413160102 | 122    | 19263   | SH | DEFINED | 01 | 1 |
| HARRIS & HARRIS GROUP INC     |           | COM | 413833104 | 1      | 300     | SH | DEFINED | 01 | 1 |
| HARRIS CORP                   |           | COM | 413875105 | 6885   | 144972  | SH | DEFINED | 01 | 0 |
| HARRIS CORP                   |           | COM | 413875105 | 478    | 10069   | SH | DEFINED | 01 | 0 |
| HARRIS CORP                   |           | COM | 413875105 | 387    | 8159    | SH | DEFINED | 01 | 1 |
| HARSCO CORP                   |           | COM | 415864107 | 6996   | 219043  | SH | DEFINED | 01 | 0 |
| HARSCO CORP                   |           | COM | 415864107 | 16     | 488     | SH | DEFINED | 01 | 1 |
| HARTFORD FINANCIAL SVCS GRP   |           | COM | 416515104 | 40485  | 1424593 | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP   |           | COM | 416515104 | 8934   | 314365  | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP   |           | COM | 416515104 | 1049   | 36924   | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP   |           | COM | 416515104 | 141437 | 4985492 | SH | DEFINED | 01 | 1 |
| HARTFORD FINANCIAL SVCS GRP   |           | COM | 416515104 | 429    | 15086   | SH | DEFINED | 01 | 1 |
| HARTFORD INCOME SHS FD INC    |           | COM | 416537108 | 77     | 13600   | SH | DEFINED | 01 | 1 |
| HASBRO INC                    |           | COM | 418056107 | 28375  | 741235  | SH | DEFINED | 01 | 0 |
| HASBRO INC                    |           | COM | 418056107 | 150    | 3914    | SH | DEFINED | 01 | 0 |
| HASBRO INC                    |           | COM | 418056107 | 69     | 1800    | SH | DEFINED | 01 | 1 |
| HATTERAS FINANCIAL CORP       |           | COM | 41902R103 | 108    | 4208    | SH | DEFINED | 01 | 0 |
| HATTERAS FINANCIAL CORP       |           | COM | 41902R103 | 88     | 3410    | SH | DEFINED | 01 | 1 |
| HAVERTY FURNITURE             |           | COM | 419596101 | 205    | 12590   | SH | DEFINED | 01 | 0 |
| HAWAIIAN ELEC INDS            |           | COM | 419870100 | 61     | 2723    | SH | DEFINED | 01 | 1 |
| HAWAIIAN HOLDINGS INC         |           | COM | 419879101 | 615    | 83452   | SH | DEFINED | 01 | 0 |
| HAWAIIAN HOLDINGS INC         |           | COM | 419879101 | 15     | 2100    | SH | DEFINED | 01 | 1 |
| HAWKINS INC                   |           | COM | 420261109 | 58     | 2400    | SH | DEFINED | 01 | 1 |
| HAYNES INTERNATIONAL INC      |           | COM | 420877201 | 265    | 7465    | SH | DEFINED | 01 | 0 |
| HEALTHCARE SERVICES GROUP     |           | COM | 421906108 | 765    | 34153   | SH | DEFINED | 01 | 0 |
| HEALTHCARE SERVICES GROUP     |           | COM | 421906108 | 9      | 415     | SH | DEFINED | 01 | 1 |
| HEALTHSOUTH CORP              |           | COM | 421924309 | 2612   | 139700  | SH | DEFINED | 01 | 0 |
| HEALTHSOUTH CORP              |           | COM | 421924309 | 5873   | 314041  | SH | DEFINED | 01 | 1 |
| HEALTHSOUTH CORP              |           | COM | 421924309 | 68     | 3646    | SH | DEFINED | 01 | 1 |
| HEALTH MGMT ASSOCIATES INC-A  |           | COM | 421933102 | 1193   | 138728  | SH | DEFINED | 01 | 0 |
| HEALTH MGMT ASSOCIATES INC-A  |           | COM | 421933102 | 18     | 2150    | SH | DEFINED | 01 | 1 |
| HEALTHCARE REALTY TRUST INC - |           | COM | 421946104 | 1708   | 73318   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |       |         |    |         |    |   |
|---------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| HEALTHCARE REALTY TRUST INC -   | COM | 421946104 | 109   | 4676    | SH | DEFINED | 01 | 1 |
| HEAD NV-NY REG                  | COM | 422070102 | 491   | 894200  | SH | DEFINED | 01 | 0 |
| HEADWATERS INC                  | COM | 42210P102 | 191   | 41642   | SH | DEFINED | 01 | 0 |
| HEADWATERS INC                  | COM | 42210P102 | 30    | 6580    | SH | DEFINED | 01 | 1 |
| HEALTH CARE REIT INC - REIT     | COM | 42217K106 | 123   | 2729    | SH | DEFINED | 01 | 0 |
| HEALTH CARE REIT INC - REIT     | COM | 42217K106 | 212   | 4686    | SH | DEFINED | 01 | 0 |
| HEALTH CARE REIT INC - REIT     | COM | 42217K106 | 202   | 4469    | SH | DEFINED | 01 | 1 |
| HEALTH NET INC                  | COM | 42222G108 | 1744  | 70116   | SH | DEFINED | 01 | 0 |
| HEALTHTRONICS INC COM FO        | COM | 42222L107 | 2     | 577     | SH | DEFINED | 01 | 1 |
| HEALTHWAYS INC                  | COM | 422245100 | 607   | 37779   | SH | DEFINED | 01 | 0 |
| HEALTHSPRING INC                | COM | 42224N101 | 4407  | 250386  | SH | DEFINED | 01 | 0 |
| HEALTHSPRING INC                | COM | 42224N101 | 26    | 1464    | SH | DEFINED | 01 | 1 |
| HEARTLAND EXPRESS INC           | COM | 422347104 | 669   | 40558   | SH | DEFINED | 01 | 0 |
| HEARTLAND EXPRESS INC           | COM | 422347104 | 20    | 1185    | SH | DEFINED | 01 | 1 |
| HEARTLAND PAYMENT SYSTEMS IN    | COM | 42235N108 | 1222  | 65694   | SH | DEFINED | 01 | 0 |
| HEARTLAND PAYMENT SYSTEMS IN    | COM | 42235N108 | 4     | 201     | SH | DEFINED | 01 | 1 |
| HEARUSA INC NEW                 | COM | 422360305 | 48    | 32400   | SH | DEFINED | 01 | 1 |
| HECKMANN CORP COM               | COM | 422680108 | 3     | 500     | SH | DEFINED | 01 | 1 |
| HECLA MINING CO                 | COM | 422704106 | 75    | 13720   | SH | DEFINED | 01 | 1 |
| HEIDRICK & STRUGGLES INTL       | COM | 422819102 | 1898  | 67756   | SH | DEFINED | 01 | 0 |
| HEIDRICK & STRUGGLES INTL       | COM | 422819102 | 40    | 1420    | SH | DEFINED | 01 | 1 |
| HJ HEINZ CO                     | COM | 423074103 | 10102 | 221485  | SH | DEFINED | 01 | 0 |
| HJ HEINZ CO                     | COM | 423074103 | 911   | 19981   | SH | DEFINED | 01 | 0 |
| HJ HEINZ CO                     | COM | 423074103 | 900   | 19724   | SH | DEFINED | 01 | 1 |
| HELIOS TOTAL RETURN FD INC COM  | COM | 42327V109 | 20    | 3600    | SH | DEFINED | 01 | 1 |
| HELIOS ADVANTAGE INCOME FD      | COM | 42327W206 | 0     | 1       | SH | DEFINED | 01 | 1 |
| HELIOS HIGH INCOME FD INC COM   | COM | 42327X204 | 0     | 1       | SH | DEFINED | 01 | 1 |
| HELIOS MULTI-SECTOR HIGH INCOM  | COM | 42327Y202 | 2     | 398     | SH | DEFINED | 01 | 1 |
| HELIOS HIGH YIELD FDCOM         | COM | 42328Q109 | 34    | 4240    | SH | DEFINED | 01 | 1 |
| HELIX ENERGY SOLUTIONS GROUP    | COM | 42330P107 | 5290  | 406138  | SH | DEFINED | 01 | 0 |
| HELIX ENERGY SOLUTIONS GROUP    | COM | 42330P107 | 9     | 655     | SH | DEFINED | 01 | 1 |
| OTE (HELLENIC TELECOMORGANIZATI | COM | 423325307 | 57    | 9070    | SH | DEFINED | 01 | 1 |
| HELMERICH & PAYNE               | COM | 423452101 | 2400  | 63046   | SH | DEFINED | 01 | 0 |
| HELMERICH & PAYNE               | COM | 423452101 | 230   | 6048    | SH | DEFINED | 01 | 0 |
| HELMERICH & PAYNE               | COM | 423452101 | 143   | 3751    | SH | DEFINED | 01 | 1 |
| JACK HENRY & ASSOCIATES INC     | COM | 426281101 | 100   | 4150    | SH | DEFINED | 01 | 1 |
| HENRY BROS ELECTRONIC           | COM | 426286100 | 3     | 700     | SH | DEFINED | 01 | 1 |
| HERCULES OFFSHORE INC           | COM | 427093109 | 10326 | 2395934 | SH | DEFINED | 01 | 0 |
| HERCULES OFFSHORE INC           | COM | 427093109 | 164   | 38104   | SH | DEFINED | 01 | 0 |
| HERCULES OFFSHORE INC           | COM | 427093109 | 5     | 1100    | SH | DEFINED | 01 | 1 |
| HERCULES TECHNOLOGY GROWTH      | COM | 427096508 | 105   | 9943    | SH | DEFINED | 01 | 0 |
| HERCULES TECHNOLOGY GROWTH      | COM | 427096508 | 31    | 2900    | SH | DEFINED | 01 | 1 |
| HERITAGE FINANCIAL CORP         | COM | 42722X106 | 33    | 2188    | SH | DEFINED | 01 | 0 |
| HERSHA HOSPITALITY TRUST        | COM | 427825104 | 2277  | 439580  | SH | DEFINED | 01 | 0 |
| HERSHA HOSPITALITY TRUST        | COM | 427825104 | 7     | 1274    | SH | DEFINED | 01 | 1 |
| HERSHEY CO/THE                  | COM | 427866108 | 7169  | 167472  | SH | DEFINED | 01 | 0 |
| HERSHEY CO/THE                  | COM | 427866108 | 224   | 5227    | SH | DEFINED | 01 | 0 |
| HERSHEY CO/THE                  | COM | 427866108 | 245   | 5723    | SH | DEFINED | 01 | 1 |
| HERZFELD CARIBBEAN BASIN FD I   | COM | 42804T106 | 15    | 2269    | SH | DEFINED | 01 | 1 |
| HERTZ GLOBAL HOLDINGS INC       | COM | 42805T105 | 563   | 56309   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| HERTZ GLOBAL HOLDINGS INC      | COM      | 42805T105 | 178    | 17772    | SH  | DEFINED | 01 | 1 |
| HESS CORP                      | COM      | 42809H107 | 25293  | 404367   | SH  | DEFINED | 01 | 0 |
| HESS CORP                      | COM      | 42809H107 | 930    | 14872    | SH  | DEFINED | 01 | 0 |
| HESS CORP                      | COM      | 42809H107 | 674    | 10770    | SH  | DEFINED | 01 | 1 |
| HEWITT ASSOCIATES INC-CL A     | COM      | 42822Q100 | 0      | 6        | SH  | DEFINED | 01 | 1 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 825933 | 15539637 | SH  | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 5015   | 94353    | SH  | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 8674   | 163203   | SH  | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 53     | 990      | SH  | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 104094 | 1959271  | SH  | DEFINED | 01 | 1 |
| HEWLETT-PACKARD CO             | COM      | 428236103 | 3540   | 66599    | SH  | DEFINED | 01 | 1 |
| HEXCEL CORP                    | COM      | 428291108 | 1567   | 108500   | SH  | DEFINED | 01 | 0 |
| HEXCEL CORP                    | COM      | 428291108 | 734    | 50798    | SH  | DEFINED | 01 | 1 |
| HHGREGG INC                    | COM      | 42833L108 | 1187   | 47046    | SH  | DEFINED | 01 | 0 |
| HHGREGG INC                    | COM      | 42833L108 | 4454   | 176617   | SH  | DEFINED | 01 | 1 |
| HI-TECH PHARMACAL INC          | COM      | 42840B101 | 3      | 150      | SH  | DEFINED | 01 | 1 |
| HIBBETT SPORTS INC             | COM      | 428567101 | 611    | 23874    | SH  | DEFINED | 01 | 0 |
| HIBBETT SPORTS INC             | COM      | 428567101 | 3      | 105      | SH  | DEFINED | 01 | 1 |
| HIGHLAND CREDIT STRATEGIES     | COM      | 43005Q107 | 47     | 5961     | SH  | DEFINED | 01 | 1 |
| HIGHWOODS PROPERTIES INC - REI | COM      | 431284108 | 3330   | 104959   | SH  | DEFINED | 01 | 0 |
| HIGHWOODS PROPERTIES INC - REI | COM      | 431284108 | 35     | 1116     | SH  | DEFINED | 01 | 1 |
| HILL INTL INC                  | COM      | 431466101 | 2      | 300      | SH  | DEFINED | 01 | 1 |
|                                |          |           |        |          |     |         |    |   |
| HILL-ROM HOLDINGS INC          | COM      | 431475102 | 646    | 23743    | SH  | DEFINED | 01 | 0 |
| HILL-ROM HOLDINGS INC          | COM      | 431475102 | 5      | 200      | SH  | DEFINED | 01 | 1 |
| HILLENBRAND INC                | COM      | 431571108 | 4990   | 226936   | SH  | DEFINED | 01 | 0 |
| HILLENBRAND INC                | COM      | 431571108 | 20     | 905      | SH  | DEFINED | 01 | 1 |
| HILLTOP HOLDINGS INC           | COM      | 432748101 | 5091   | 433260   | SH  | DEFINED | 01 | 0 |
| HILLTOP HOLDINGS INC           | COM      | 432748101 | 24     | 2000     | SH  | DEFINED | 01 | 1 |
| HIMAX TECHNOLOGIES INC SPONS   | COM      | 43289P106 | 1      | 203      | SH  | DEFINED | 01 | 1 |
| HITACHI ADR-EACH CNVINTO 10 OR | COM      | 433578507 | 1      | 31       | SH  | DEFINED | 01 | 1 |
| HITTITE MICROWAVE CORP         | COM      | 43365Y104 | 955    | 21712    | SH  | DEFINED | 01 | 0 |
| HITTITE MICROWAVE CORP         | COM      | 43365Y104 | 32     | 723      | SH  | DEFINED | 01 | 0 |
| HITTITE MICROWAVE CORP         | COM      | 43365Y104 | 5      | 115      | SH  | DEFINED | 01 | 1 |
| HOLLY CORP                     | COM      | 435758305 | 5597   | 200523   | SH  | DEFINED | 01 | 0 |
| HOLLY CORP                     | COM      | 435758305 | 667    | 23912    | SH  | DEFINED | 01 | 1 |
| HOLLY ENERGY PARTNERS L        | COM      | 435763107 | 4      | 100      | SH  | DEFINED | 01 | 1 |
| HOLOGIC INC                    | COM      | 436440101 | 17761  | 958025   | SH  | DEFINED | 01 | 0 |
| HOLOGIC INC                    | COM      | 436440101 | 179    | 9664     | SH  | DEFINED | 01 | 0 |
| HOLOGIC INC                    | COM      | 436440101 | 183    | 9500     | SH  | DEFINED | 01 | 1 |
| HOLOGIC INC                    | COM      | 436440101 | 69     | 3731     | SH  | DEFINED | 01 | 1 |
| HOLOGIC INC                    | CONV BND | 436440AA9 | 2856   | 3191000  | PRN | DEFINED | 01 | 0 |
| HOME BANCSHARES INC            | COM      | 436893200 | 2609   | 98632    | SH  | DEFINED | 01 | 0 |
| HOME BANCSHARES INC            | COM      | 436893200 | 22     | 832      | SH  | DEFINED | 01 | 1 |
| HOME DEPOT INC                 | COM      | 437076102 | 234839 | 7259337  | SH  | DEFINED | 01 | 0 |
| HOME DEPOT INC                 | COM      | 437076102 | 3600   | 111268   | SH  | DEFINED | 01 | 0 |
| HOME DEPOT INC                 | COM      | 437076102 | 834    | 25761    | SH  | DEFINED | 01 | 1 |
| HOME DEPOT INC                 | COM      | 437076102 | 2072   | 64042    | SH  | DEFINED | 01 | 1 |
| HOME PROPERTIES INC - REIT     | COM      | 437306103 | 5952   | 127191   | SH  | DEFINED | 01 | 0 |
| HOME PROPERTIES INC - REIT     | COM      | 437306103 | 41     | 873      | SH  | DEFINED | 01 | 1 |
| HONDA MOTOR CO ADR-EACH C      | COM      | 438128308 | 173    | 4899     | SH  | DEFINED | 01 | 1 |
| HONEYWELL INTERNATIONAL INC    | COM      | 438516106 | 228249 | 5041810  | SH  | DEFINED | 01 | 0 |
| HONEYWELL INTERNATIONAL INC    | COM      | 438516106 | 2310   | 51021    | SH  | DEFINED | 01 | 0 |
| HONEYWELL INTERNATIONAL INC    | COM      | 438516106 | 1030   | 22747    | SH  | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| HONGKONG LAND HOLDINGS LTD     | COM | 438584997 | 2959   | 583581  | SH | DEFINED | 01 | 0 |
| HORACE MANN EDUCATORS          | COM | 440327104 | 2916   | 193597  | SH | DEFINED | 01 | 0 |
| HORIZON LINES INC              | COM | 44044K101 | 55     | 10020   | SH | DEFINED | 01 | 1 |
| HORMEL FOODS CORP              | COM | 440452100 | 4393   | 104573  | SH | DEFINED | 01 | 0 |
| HORMEL FOODS CORP              | COM | 440452100 | 96     | 2292    | SH | DEFINED | 01 | 0 |
| HORMEL FOODS CORP              | COM | 440452100 | 55     | 1303    | SH | DEFINED | 01 | 1 |
| HORNBECK OFFSHORE SERVICES     | COM | 440543106 | 404    | 21750   | SH | DEFINED | 01 | 0 |
| HORSEHEAD HOLDING CORP         | COM | 440694305 | 3193   | 269706  | SH | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM | 441060100 | 40321  | 711746  | SH | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM | 441060100 | 698    | 12315   | SH | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM | 441060100 | 405    | 7145    | SH | DEFINED | 01 | 1 |
| HOSPITALITY PROPERTIES TRUST   | COM | 44106M102 | 624    | 26044   | SH | DEFINED | 01 | 0 |
| HOSPITALITY PROPERTIES TRUST   | COM | 44106M102 | 117    | 4882    | SH | DEFINED | 01 | 1 |
| HOST HOTELS & RESORTS INC - RE | COM | 44107P104 | 10614  | 724526  | SH | DEFINED | 01 | 0 |
| HOST HOTELS & RESORTS INC - RE | COM | 44107P104 | 663    | 45230   | SH | DEFINED | 01 | 0 |
| HOST HOTELS & RESORTS INC - RE | COM | 44107P104 | 554    | 37805   | SH | DEFINED | 01 | 1 |
| HOST HOTELS & RESORTS INC - RE | COM | 44107P104 | 793    | 54129   | SH | DEFINED | 01 | 1 |
| HOT TOPIC INC                  | COM | 441339108 | 957    | 147215  | SH | DEFINED | 01 | 0 |
| HOUSTON WIRE & CABLECO COM     | COM | 44244K109 | 2      | 165     | SH | DEFINED | 01 | 1 |
| HUANENG POWER INTL-SPONS ADR   | COM | 443304100 | 12     | 500     | SH | DEFINED | 01 | 0 |
| HUANENG POWER INTL-SPONS ADR   | COM | 443304100 | 6      | 275     | SH | DEFINED | 01 | 1 |
| HUB GROUP INC-CL A             | COM | 443320106 | 901    | 32215   | SH | DEFINED | 01 | 0 |
| HUBBELL INC CL A FRMLY HUBB    | COM | 443510102 | 6      | 133     | SH | DEFINED | 01 | 1 |
| HUBBELL INC -CL B              | COM | 443510201 | 39873  | 790617  | SH | DEFINED | 01 | 0 |
| HUBBELL INC -CL B              | COM | 443510201 | 48     | 961     | SH | DEFINED | 01 | 0 |
| HUBBELL INC -CL B              | COM | 443510201 | 16     | 325     | SH | DEFINED | 01 | 1 |
| HUDSON CITY BANCORP INC        | COM | 443683107 | 171    | 12079   | SH | DEFINED | 01 | 0 |
| HUDSON CITY BANCORP INC        | COM | 443683107 | 259    | 18259   | SH | DEFINED | 01 | 0 |
| HUDSON CITY BANCORP INC        | COM | 443683107 | 307    | 21636   | SH | DEFINED | 01 | 1 |
| HUDSON HIGHLAND GROUP INC      | COM | 443792106 | 0      | 3       | SH | DEFINED | 01 | 1 |
| HUGOTON RTY TR TEX UNIT BEN I  | COM | 444717102 | 220    | 13297   | SH | DEFINED | 01 | 1 |
| HUMANA INC                     | COM | 444859102 | 114475 | 2447547 | SH | DEFINED | 01 | 0 |
| HUMANA INC                     | COM | 444859102 | 612    | 13085   | SH | DEFINED | 01 | 0 |
| HUMANA INC                     | COM | 444859102 | 30996  | 662880  | SH | DEFINED | 01 | 1 |
| HUMANA INC                     | COM | 444859102 | 28     | 594     | SH | DEFINED | 01 | 1 |
| HUMAN GENOME SCIENCES INC      | COM | 444903108 | 3216   | 106500  | SH | DEFINED | 01 | 0 |
| HUMAN GENOME SCIENCES INC      | COM | 444903108 | 20     | 650     | SH | DEFINED | 01 | 1 |
| HUNT (JB) TRANSPRT SVCS INC    | COM | 445658107 | 7880   | 219606  | SH | DEFINED | 01 | 0 |
| HUNT (JB) TRANSPRT SVCS INC    | COM | 445658107 | 4      | 105     | SH | DEFINED | 01 | 1 |
| HUNTINGTON BANCSHARES INC      | COM | 446150104 | 2657   | 494895  | SH | DEFINED | 01 | 0 |
| HUNTINGTON BANCSHARES INC      | COM | 446150104 | 331    | 61579   | SH | DEFINED | 01 | 0 |
| HUNTINGTON BANCSHARES INC      | COM | 446150104 | 57     | 10634   | SH | DEFINED | 01 | 1 |
| HUNTSMAN CORP                  | COM | 447011107 | 867    | 71928   | SH | DEFINED | 01 | 0 |
| HUNTSMAN CORP                  | COM | 447011107 | 159    | 13215   | SH | DEFINED | 01 | 1 |
| HURON CONSULTING GRP INC COM   | COM | 447462102 | 0      | 1       | SH | DEFINED | 01 | 1 |
| HUTCHINSON TECH                | COM | 448407106 | 95     | 15302   | SH | DEFINED | 01 | 0 |
| HUTCHINSON TECH                | COM | 448407106 | 8      | 1220    | SH | DEFINED | 01 | 1 |
| HUTCHISON TELECOMMUN           | COM | 44841T107 | 4      | 929     | SH | DEFINED | 01 | 1 |
| HUTTIG BUILDING PRODUCTS INC   | COM | 448451104 | 204    | 239696  | SH | DEFINED | 01 | 0 |
| HYATT HOTELS CORP COM USD0.0   | COM | 448579102 | 7      | 171     | SH | DEFINED | 01 | 1 |
| HYPERCOM CORP                  | COM | 44913M105 | 4      | 1000    | SH | DEFINED | 01 | 1 |
| IAC/INTERACTIVECORP            | COM | 44919P508 | 1377   | 60509   | SH | DEFINED | 01 | 0 |
| IAC/INTERACTIVECORP            | COM | 44919P508 | 4406   | 193673  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |           |           |         |       |         |         |    |   |
|--------------------------------|------------|-----------|-----------|---------|-------|---------|---------|----|---|
| IAC/INTERACTIVECORP            | COM        | 44919P508 | 35        | 1547    | SH    | DEFINED | 01      | 1  |   |
| ICO INC                        | COM        | 449293109 | 0         | 8       | SH    | DEFINED | 01      | 1  |   |
| ICU MEDICAL INC                | COM        | 44930G107 | 7696      | 223437  | SH    | DEFINED | 01      | 0  |   |
| IGO INC COM                    | COM        | 449593102 | 1         | 500     | SH    | DEFINED | 01      | 1  |   |
| ING PRIME RATE TR              | SH BEN INT | COM       | 44977W106 | 62      | 9936  | SH      | DEFINED | 01 | 1 |
| IPG PHOTONICS CORP             | COM        | 44980X109 | 12        | 808     | SH    | DEFINED | 01      | 1  |   |
| ING RISK MANAGED NAT RES FD    | COM        | 449810100 | 76        | 4376    | SH    | DEFINED | 01      | 1  |   |
| ING CLARION                    | GLOBAL REA | COM       | 44982G104 | 359     | 47439 | SH      | DEFINED | 01 | 1 |
| ING GLOBAL ADVANTAGE& PREM OPP | COM        | 44982N109 | 22        | 1476    | SH    | DEFINED | 01      | 1  |   |
| ING ASIA PAC HIGH              | DIVID EQUI | COM       | 44983J107 | 167     | 8853  | SH      | DEFINED | 01 | 1 |
|                                |            |           |           |         |       |         |         |    |   |
| IPC THE HOSPITALIST CO         | COM        | 44984A105 | 2192      | 62453   | SH    | DEFINED | 01      | 0  |   |
| IPC THE HOSPITALIST CO         | COM        | 44984A105 | 6         | 184     | SH    | DEFINED | 01      | 1  |   |
| IMS HEALTH INC                 | CASH MERGE | COM       | 449934108 | 0       | 20    | SH      | DEFINED | 01 | 1 |
| ISTAR FIN INC                  | COM        | 45031U101 | 8         | 1760    | SH    | DEFINED | 01      | 1  |   |
| ITT EDUCATIONAL SVCSINC        | COM        | 45068B109 | 292       | 2600    | SH    | DEFINED | 01      | 1  |   |
| IXIA                           | COM        | 45071R109 | 2098      | 226404  | SH    | DEFINED | 01      | 0  |   |
| IBERIABANK CORP                | COM        | 450828108 | 28        | 475     | SH    | DEFINED | 01      | 1  |   |
| ITT CORP                       | COM        | 450911102 | 18608     | 347126  | SH    | DEFINED | 01      | 0  |   |
| ITT CORP                       | COM        | 450911102 | 416       | 7763    | SH    | DEFINED | 01      | 0  |   |
| ITT CORP                       | COM        | 450911102 | 64        | 1250    | SH    | DEFINED | 01      | 1  |   |
| ITT CORP                       | COM        | 450911102 | 252       | 4708    | SH    | DEFINED | 01      | 1  |   |
| IAMGOLD CORP COM NPVISIN #CA45 | COM        | 450913108 | 56        | 4259    | SH    | DEFINED | 01      | 1  |   |
| ICON PLC - SPONSORED ADR       | COM        | 45103T107 | 2942      | 111440  | SH    | DEFINED | 01      | 0  |   |
| ICICI BANK LTD-SPON ADR        | COM        | 45104G104 | 1305      | 30560   | SH    | DEFINED | 01      | 0  |   |
| ICICI BANK LTD-SPON ADR        | COM        | 45104G104 | 10942     | 256252  | SH    | DEFINED | 01      | 1  |   |
| ICICI BANK LTD-SPON ADR        | COM        | 45104G104 | 67        | 1562    | SH    | DEFINED | 01      | 1  |   |
| ICONIX BRAND GROUP INC         | COM        | 451055107 | 966       | 62870   | SH    | DEFINED | 01      | 0  |   |
| ICONIX BRAND GROUP INC         | COM        | 451055107 | 3748      | 244023  | SH    | DEFINED | 01      | 1  |   |
| IDACORP INC                    | COM        | 451107106 | 7800      | 225300  | SH    | DEFINED | 01      | 0  |   |
| IDACORP INC                    | COM        | 451107106 | 51        | 1486    | SH    | DEFINED | 01      | 1  |   |
| IDEARC INC                     | COM        | 451663108 | 0         | 1       | SH    | DEFINED | 01      | 0  |   |
| IDEX CORP                      | COM        | 45167R104 | 4298      | 129882  | SH    | DEFINED | 01      | 1  |   |
| IDEX CORP                      | COM        | 45167R104 | 374       | 11303   | SH    | DEFINED | 01      | 1  |   |
| IDEXX LABORATORIES INC         | COM        | 45168D104 | 18        | 318     | SH    | DEFINED | 01      | 1  |   |
| IFM INVESTMENTS LTD-ADS        | COM        | 45172L100 | 415       | 59216   | SH    | DEFINED | 01      | 0  |   |
| IHS INC-CLASS A                | COM        | 451734107 | 22715     | 425412  | SH    | DEFINED | 01      | 1  |   |
| IHS INC-CLASS A                | COM        | 451734107 | 4         | 69      | SH    | DEFINED | 01      | 1  |   |
| ILLINOIS TOOL WORKS            | COM        | 452308109 | 142911    | 3017545 | SH    | DEFINED | 01      | 0  |   |
| ILLINOIS TOOL WORKS            | COM        | 452308109 | 1583      | 33432   | SH    | DEFINED | 01      | 0  |   |
| ILLINOIS TOOL WORKS            | COM        | 452308109 | 236       | 4984    | SH    | DEFINED | 01      | 1  |   |
| ILLUMINA INC                   | COM        | 452327109 | 25215     | 648186  | SH    | DEFINED | 01      | 0  |   |
| ILLUMINA INC                   | COM        | 452327109 | 130       | 3335    | SH    | DEFINED | 01      | 0  |   |
|                                |            |           |           |         |       |         |         |    |   |
| ILLUMINA INC                   | COM        | 452327109 | 26        | 658     | SH    | DEFINED | 01      | 1  |   |
| IMATION CORP                   | COM        | 45245A107 | 4         | 351     | SH    | DEFINED | 01      | 1  |   |
| IMAX CORP                      | COM        | 45245E109 | 2301      | 127884  | SH    | DEFINED | 01      | 1  |   |
| IMAX CORP                      | COM        | 45245E109 | 3         | 150     | SH    | DEFINED | 01      | 1  |   |
| IMMERSION CORPORATION          | COM        | 452521107 | 16        | 3186    | SH    | DEFINED | 01      | 0  |   |
| IMMUCOR INC                    | COM        | 452526106 | 10        | 450     | SH    | DEFINED | 01      | 1  |   |
| IMMUNOGEN INC                  | COM        | 45253H101 | 8         | 1000    | SH    | DEFINED | 01      | 1  |   |
| IMPAX LABORATORIES INC         | COM        | 45256B101 | 246       | 13799   | SH    | DEFINED | 01      | 0  |   |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| IMPAX LABORATORIES INC         | COM | 45256B101 | 2      | 110      | SH | DEFINED | 01 | 1 |
| IMPERIAL OIL COM NPVISIN #CA45 | COM | 453038408 | 67     | 1723     | SH | DEFINED | 01 | 1 |
| IMPERIAL SUGAR COMPANY CO      | COM | 453096208 | 31     | 2000     | SH | DEFINED | 01 | 1 |
| INCYTE CORP                    | COM | 45337C102 | 82     | 5910     | SH | DEFINED | 01 | 1 |
| INDEPENDENT BANK CORP/MA       | COM | 453836108 | 3480   | 141125   | SH | DEFINED | 01 | 0 |
| INDEPENDENT BANK CORP/MA       | COM | 453836108 | 10     | 400      | SH | DEFINED | 01 | 1 |
| INDIA FD INC                   | COM | 454089103 | 298    | 9464     | SH | DEFINED | 01 | 1 |
| INDEXIQ ETF TR IQ HEDGE MULT   | COM | 45409B107 | 130    | 4775     | SH | DEFINED | 01 | 1 |
| INDEXIQ ETF TR IQ HEDGE MACR   | COM | 45409B206 | 10     | 375      | SH | DEFINED | 01 | 1 |
| INDUSTRIAL SVCS OF AMERICA IN  | COM | 456314103 | 16     | 1000     | SH | DEFINED | 01 | 1 |
| INDUSTRIAS BACHOCO SAB SP AD   | COM | 456463108 | 3642   | 164958   | SH | DEFINED | 01 | 0 |
| INERGY LP                      | COM | 456615103 | 361    | 9549     | SH | DEFINED | 01 | 1 |
| INERGY HLDGS LP                | COM | 45661Q107 | 237    | 3249     | SH | DEFINED | 01 | 1 |
| INFINITY PROPERTY & CASUALTY   | COM | 45665Q103 | 24569  | 540686   | SH | DEFINED | 01 | 0 |
| INFORMATICA CORP               | COM | 45666Q102 | 1665   | 61995    | SH | DEFINED | 01 | 0 |
| INFORMATICA CORP               | COM | 45666Q102 | 10     | 372      | SH | DEFINED | 01 | 1 |
| INFINERA CORP                  | COM | 45667G103 | 20399  | 2394225  | SH | DEFINED | 01 | 0 |
| INFINERA CORP                  | COM | 45667G103 | 352    | 41335    | SH | DEFINED | 01 | 0 |
| INFINERA CORP                  | COM | 45667G103 | 19     | 2192     | SH | DEFINED | 01 | 1 |
| INFOGROUP INC COM              | COM | 45670G108 | 2      | 300      | SH | DEFINED | 01 | 1 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM | 456788108 | 1936   | 32899    | SH | DEFINED | 01 | 0 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM | 456788108 | 2083   | 35455    | SH | DEFINED | 01 | 1 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM | 456788108 | 171    | 2908     | SH | DEFINED | 01 | 1 |
| INFOSPACE INC                  | COM | 45678T300 | 425    | 38483    | SH | DEFINED | 01 | 0 |
| INFOSPACE INC                  | COM | 45678T300 | 1      | 116      | SH | DEFINED | 01 | 1 |
| FHLB MEMBERSHIP STK            | COM | 4567FHLB4 | 3324   | 3323977  | SH | DEFINED | 01 | 0 |
| ING GROEP NV SPONS ADR-EACH R  | COM | 456837103 | 79     | 7938     | SH | DEFINED | 01 | 1 |
| ING GLOBAL EQUITY DIVID & PR   | COM | 45684E107 | 109    | 8363     | SH | DEFINED | 01 | 1 |
| FHLB MEMBERSHIP STOCK          | COM | 4568FHLB2 | 10154  | 10153927 | SH | DEFINED | 01 | 0 |
| INGLES MARKETS INC -CL A       | COM | 457030104 | 286    | 18999    | SH | DEFINED | 01 | 0 |
| INGRAM MICRO INC-CL A          | COM | 457153104 | 3423   | 195035   | SH | DEFINED | 01 | 0 |
| INGRAM MICRO INC-CL A          | COM | 457153104 | 1      | 30       | SH | DEFINED | 01 | 1 |
| INLAND REAL ESTATE CORP - REIT | COM | 457461200 | 515    | 56240    | SH | DEFINED | 01 | 0 |
| INLAND REAL ESTATE CORP - REIT | COM | 457461200 | 81     | 8851     | SH | DEFINED | 01 | 1 |
| INSIGHT ENTERPRISES INC        | COM | 45765U103 | 1552   | 108107   | SH | DEFINED | 01 | 0 |
| INSIGNIA SYS INC               | COM | 45765Y105 | 405    | 61750    | SH | DEFINED | 01 | 1 |
| INSITUFORM TECHNOLOGIES-CL A   | COM | 457667103 | 42235  | 1587172  | SH | DEFINED | 01 | 0 |
| INSITUFORM TECHNOLOGIES-CL A   | COM | 457667103 | 41     | 1533     | SH | DEFINED | 01 | 1 |
| INNOSPEC INC                   | COM | 45768S105 | 152    | 13343    | SH | DEFINED | 01 | 0 |
| INNOSPEC INC                   | COM | 45768S105 | 1      | 100      | SH | DEFINED | 01 | 1 |
| INNOVATIVE SOLUTIONS & SUPPORT | COM | 45769N105 | 740    | 117400   | SH | DEFINED | 01 | 1 |
| INNERWORKINGS INC COM          | COM | 45773Y105 | 2      | 325      | SH | DEFINED | 01 | 1 |
| INNOPHOS HOLDINGS INC          | COM | 45774N108 | 6221   | 223006   | SH | DEFINED | 01 | 0 |
| INSTEEL INDUSTRIES INC         | COM | 45774W108 | 291    | 27210    | SH | DEFINED | 01 | 0 |
| INSTEEL INDUSTRIES INC         | COM | 45774W108 | 0      | 40       | SH | DEFINED | 01 | 1 |
| INSULET CORP COM               | COM | 45784P101 | 6      | 384      | SH | DEFINED | 01 | 1 |
| INTEGRA LIFESCIENCES HOLDING   | COM | 457985208 | 2603   | 59388    | SH | DEFINED | 01 | 0 |
| INTEGRA LIFESCIENCES HOLDING   | COM | 457985208 | 4      | 100      | SH | DEFINED | 01 | 1 |
| INTEGRAL SYSTEMS INC/MD        | COM | 45810H107 | 159    | 16499    | SH | DEFINED | 01 | 0 |
| INTEGRAMED AMERICA INC         | COM | 45810N302 | 9      | 1017     | SH | DEFINED | 01 | 1 |
| INTEGRATED DEVICE TECH INC     | COM | 458118106 | 3      | 426      | SH | DEFINED | 01 | 1 |
| INTEGRATED SILICON SOLUTION I  | COM | 45812P107 | 1      | 100      | SH | DEFINED | 01 | 1 |
| INTEL CORP                     | COM | 458140100 | 574558 | 25811117 | SH | DEFINED | 01 | 0 |
| INTEL CORP                     | COM | 458140100 | 7964   | 357766   | SH | DEFINED | 01 | 0 |
| INTEL CORP                     | COM | 458140100 | 32     | 1460     | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| INTEL CORP                     | COM | 458140100 | 55784  | 2574522 | SH | DEFINED | 01 | 1 |
| INTEL CORP                     | COM | 458140100 | 6202   | 278240  | SH | DEFINED | 01 | 1 |
| INTEGRA BK CORP                | COM | 45814P105 | 21     | 34482   | SH | DEFINED | 01 | 1 |
| INTELLIPHARMACEUTICSINTL INC C | COM | 458173101 | 0      | 6       | SH | DEFINED | 01 | 1 |
| INTEGRYS ENERGY GROUP INC      | COM | 45822P105 | 861    | 18168   | SH | DEFINED | 01 | 0 |
| INTEGRYS ENERGY GROUP INC      | COM | 45822P105 | 416    | 8788    | SH | DEFINED | 01 | 0 |
| INTEGRYS ENERGY GROUP INC      | COM | 45822P105 | 948    | 20000   | SH | DEFINED | 01 | 1 |
| INTEGRYS ENERGY GROUP INC      | COM | 45822P105 | 116    | 2455    | SH | DEFINED | 01 | 1 |
| INTER PARFUMS INC              | COM | 458334109 | 7      | 450     | SH | DEFINED | 01 | 1 |
| INTERACTIVE INTELLIGENCE INC   | COM | 45839M103 | 156    | 8342    | SH | DEFINED | 01 | 0 |
| INTERACTIVE INTELLIGENCE INC   | COM | 45839M103 | 19     | 1000    | SH | DEFINED | 01 | 1 |
| INTERACTIVE DATA CORP          | COM | 45840J107 | 2062   | 64435   | SH | DEFINED | 01 | 1 |
| INTERACTIVE BROKERS GRO-CL A   | COM | 45841N107 | 2067   | 127977  | SH | DEFINED | 01 | 0 |
| INTERCONTINENTAL HOTELS ADR    | COM | 45857P301 | 31     | 2000    | SH | DEFINED | 01 | 1 |
| INTERCONTINENTAL HOTELS ADR    | COM | 45857P301 | 8      | 482     | SH | DEFINED | 01 | 1 |
| INTERCONTINENTALEXCHANGE INC   | COM | 45865V100 | 18011  | 160542  | SH | DEFINED | 01 | 0 |
| INTERCONTINENTALEXCHANGE INC   | COM | 45865V100 | 474    | 4228    | SH | DEFINED | 01 | 0 |
| INTERCONTINENTALEXCHANGE INC   | COM | 45865V100 | 374    | 3332    | SH | DEFINED | 01 | 1 |
| INTERFACE INC-CL A             | COM | 458665106 | 531    | 45830   | SH | DEFINED | 01 | 0 |
| INTERGENERATION JSC            | COM | 458672995 | 0      | 29083   | SH | DEFINED | 01 | 0 |
| INTERDIGITAL INC PA            | COM | 45867G101 | 110    | 3950    | SH | DEFINED | 01 | 1 |
| INTERLEUKIN GENETICS INC       | COM | 458738101 | 6      | 8500    | SH | DEFINED | 01 | 1 |
| INTERMEC INC                   | COM | 458786100 | 606    | 42716   | SH | DEFINED | 01 | 0 |
| INTERMEC INC                   | COM | 458786100 | 53     | 3735    | SH | DEFINED | 01 | 1 |
| INTERNAP NETWORK SVCCORP       | COM | 45885A300 | 0      | 5       | SH | DEFINED | 01 | 1 |
| INTERNATIONAL ABSORBENTS       | COM | 45885E203 | 8      | 1666    | SH | DEFINED | 01 | 1 |
| INTERMEDIA COMM ESCROW         | COM | 458ESCBB5 | 0      | 2200000 | SH | DEFINED | 01 | 0 |
| INTL ASSETS HOLDING CORP       | COM | 459028106 | 368    | 24602   | SH | DEFINED | 01 | 0 |
| INTERNATIONAL BANCSHARES CRP   | COM | 459044103 | 3316   | 144272  | SH | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM | 459200101 | 265224 | 2068033 | SH | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM | 459200101 | 8178   | 63765   | SH | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM | 459200101 | 9960   | 77666   | SH | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM | 459200101 | 236146 | 1841305 | SH | DEFINED | 01 | 1 |
| INTL BUSINESS MACHINES CORP    | COM | 459200101 | 10343  | 80644   | SH | DEFINED | 01 | 1 |
| INTERNATIONAL COAL GROUP INC   | COM | 45928H106 | 1564   | 342109  | SH | DEFINED | 01 | 0 |
| INTERNATIONAL COAL GROUP INC   | COM | 45928H106 | 16     | 3506    | SH | DEFINED | 01 | 1 |
| INTL FLAVORS & FRAGRANCES      | COM | 459506101 | 74     | 1542    | SH | DEFINED | 01 | 0 |
| INTL FLAVORS & FRAGRANCES      | COM | 459506101 | 127    | 2673    | SH | DEFINED | 01 | 0 |
| INTL FLAVORS & FRAGRANCES      | COM | 459506101 | 52     | 1083    | SH | DEFINED | 01 | 1 |
| INTL GAME TECHNOLOGY           | COM | 459902102 | 5032   | 272752  | SH | DEFINED | 01 | 0 |
| INTL GAME TECHNOLOGY           | COM | 459902102 | 443    | 24010   | SH | DEFINED | 01 | 0 |
| INTL GAME TECHNOLOGY           | COM | 459902102 | 3220   | 174643  | SH | DEFINED | 01 | 1 |
| INTL GAME TECHNOLOGY           | COM | 459902102 | 240    | 13035   | SH | DEFINED | 01 | 1 |
| INTERNATIONAL PAPER CO         | COM | 460146103 | 8333   | 338597  | SH | DEFINED | 01 | 0 |
| INTERNATIONAL PAPER CO         | COM | 460146103 | 805    | 32711   | SH | DEFINED | 01 | 0 |
| INTERNATIONAL PAPER CO         | COM | 460146103 | 109    | 4431    | SH | DEFINED | 01 | 1 |
| INTL RECTIFIER CORP            | COM | 460254105 | 10     | 430     | SH | DEFINED | 01 | 1 |
| INTL SHIPHOLDING CORP          | COM | 460321201 | 78     | 2637    | SH | DEFINED | 01 | 0 |
| INTL SHIPHOLDING CORP          | COM | 460321201 | 15     | 500     | SH | DEFINED | 01 | 1 |
| INTL SPEEDWAY CORP-CL A        | COM | 460335201 | 3717   | 144250  | SH | DEFINED | 01 | 0 |
| INTERNET CAP GROUP INC         | COM | 46059C205 | 0      | 35      | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| INTERNET INITIATIVE JAPAN INC  | COM | 46059T109 | 0     | 11      | SH | DEFINED | 01 | 1 |
| INTERNET HOLDERS TR            | COM | 46059W102 | 37    | 600     | SH | DEFINED | 01 | 1 |
| INTERPUBLIC GROUP OF COS INC   | COM | 460690100 | 664   | 79948   | SH | DEFINED | 01 | 0 |
| INTERPUBLIC GROUP OF COS INC   | COM | 460690100 | 128   | 15389   | SH | DEFINED | 01 | 0 |
| INTERPUBLIC GROUP OF COS INC   | COM | 460690100 | 267   | 32069   | SH | DEFINED | 01 | 1 |
| INTERSIL CORP -CL A            | COM | 46069S109 | 32447 | 2198434 | SH | DEFINED | 01 | 0 |
| INTERSIL CORP -CL A            | COM | 46069S109 | 0     | 2       | SH | DEFINED | 01 | 1 |
| INTEROIL CORP                  | COM | 460951106 | 91    | 1400    | SH | DEFINED | 01 | 0 |
| INTEROIL CORP                  | COM | 460951106 | 13942 | 215200  | SH | DEFINED | 01 | 1 |
| INTEROIL CORP                  | COM | 460951106 | 44    | 675     | SH | DEFINED | 01 | 1 |
| INTERSECTIONS INC              | COM | 460981301 | 2     | 500     | SH | DEFINED | 01 | 1 |
| INTERVAL LEISURE GROUP         | COM | 46113M108 | 634   | 43514   | SH | DEFINED | 01 | 0 |
| INTERVAL LEISURE GROUP         | COM | 46113M108 | 1     | 61      | SH | DEFINED | 01 | 1 |
| INTEVAC INC                    | COM | 461148108 | 346   | 25019   | SH | DEFINED | 01 | 0 |
| INTUIT INC                     | COM | 461202103 | 4648  | 135379  | SH | DEFINED | 01 | 0 |
| INTUIT INC                     | COM | 461202103 | 467   | 13604   | SH | DEFINED | 01 | 0 |
| INTUIT INC                     | COM | 461202103 | 275   | 8000    | SH | DEFINED | 01 | 1 |
| INTUIT INC                     | COM | 461202103 | 224   | 6522    | SH | DEFINED | 01 | 1 |
| INVACARE CORP                  | COM | 461203101 | 3163  | 119174  | SH | DEFINED | 01 | 0 |
| INVACARE CORP                  | COM | 461203101 | 24    | 900     | SH | DEFINED | 01 | 1 |
| INTUITIVE SURGICAL INC         | COM | 46120E602 | 36651 | 105280  | SH | DEFINED | 01 | 0 |
| INTUITIVE SURGICAL INC         | COM | 46120E602 | 969   | 2784    | SH | DEFINED | 01 | 0 |
| INTUITIVE SURGICAL INC         | COM | 46120E602 | 24    | 150     | SH | DEFINED | 01 | 1 |
| INTUITIVE SURGICAL INC         | COM | 46120E602 | 361   | 1036    | SH | DEFINED | 01 | 1 |
| INVENTURE GROUP INC COM        | COM | 461214108 | 3     | 1000    | SH | DEFINED | 01 | 1 |
| INTREPID POTASH INC            | COM | 46121Y102 | 1712  | 56437   | SH | DEFINED | 01 | 0 |
| INTREPID POTASH INC            | COM | 46121Y102 | 38    | 1263    | SH | DEFINED | 01 | 0 |
| INTREPID POTASH INC            | COM | 46121Y102 | 58    | 1920    | SH | DEFINED | 01 | 1 |
| INVENTIV HEALTH INC            | COM | 46122E105 | 710   | 31628   | SH | DEFINED | 01 | 0 |
| INVERNESS MEDICAL INNOVATION   | COM | 46126P106 | 113   | 2900    | SH | DEFINED | 01 | 1 |
| INVERNESS MEDICAL INNOVATION   | COM | 46126P106 | 48    | 1235    | SH | DEFINED | 01 | 1 |
| INVESTMENT GRADE MUNICIPAL     | COM | 461368102 | 77    | 5319    | SH | DEFINED | 01 | 1 |
| INVESTMENT TECHNOLOGY GROUP    | COM | 46145F105 | 792   | 47439   | SH | DEFINED | 01 | 0 |
| INVESTMENT TECHNOLOGY GROUP    | COM | 46145F105 | 2     | 100     | SH | DEFINED | 01 | 1 |
| INVESTORS ECON SYSTS           | COM | 461990103 | 0     | 2305    | SH | DEFINED | 01 | 0 |
| ION GEOPHYSICAL CORP           | COM | 462044108 | 448   | 90976   | SH | DEFINED | 01 | 0 |
| ION GEOPHYSICAL CORP           | COM | 462044108 | 37    | 7466    | SH | DEFINED | 01 | 1 |
| IOWA TELECOMMUNICATIONS SERV   | COM | 462594201 | 379   | 22671   | SH | DEFINED | 01 | 0 |
| IOWA TELECOMMUNICATIONS SERV   | COM | 462594201 | 9     | 550     | SH | DEFINED | 01 | 1 |
| BANK OF IRELAND (GO            | COM | 46267Q103 | 5     | 542     | SH | DEFINED | 01 | 1 |
| IRIDIUM COMMUNICATIONS INC     | COM | 46269C102 | 48    | 6000    | SH | DEFINED | 01 | 1 |
| IROBOT CORP COM                | COM | 462726100 | 45    | 2950    | SH | DEFINED | 01 | 1 |
| IRON MOUNTAIN INC              | COM | 462846106 | 49178 | 1794806 | SH | DEFINED | 01 | 0 |
| IRON MOUNTAIN INC              | COM | 462846106 | 193   | 7052    | SH | DEFINED | 01 | 0 |
| IRON MOUNTAIN INC              | COM | 462846106 | 122   | 4438    | SH | DEFINED | 01 | 1 |
| IRVINE SENSORS CORP COM PAR \$ | COM | 463664607 | 0     | 4       | SH | DEFINED | 01 | 1 |
| ISHARES TRUST COMEX GOLD ETF U | COM | 464285105 | 1583  | 14518   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI AUSTRALIA     | COM | 464286103 | 1025  | 42710   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI AUSTRIA IN    | COM | 464286202 | 1     | 29      | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI BRAZIL IND    | COM | 464286400 | 5224  | 70940   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |           |       |         |    |         |    |   |
|------------------------------------|-----------|-------|---------|----|---------|----|---|
| ISHARES INC MSCI CANADA IND COM    | 464286509 | 429   | 15358   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI EMUINDEX FD COM   | 464286608 | 156   | 4345    | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI ISRISRAEL CAP COM | 464286632 | 44    | 755     | SH | DEFINED | 01 | 1 |
| ISHARES INC MCSI BRIC COM          | 464286657 | 1084  | 23378   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI PACIFIC EX COM    | 464286665 | 485   | 11286   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI SINGAPORE COM     | 464286673 | 2216  | 192679  | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI UNITED KIN COM    | 464286699 | 6     | 351     | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI TURKEY IND COM    | 464286715 | 30    | 528     | SH | DEFINED | 01 | 1 |
| ISHARES MSCI TAIWAN IDX ETF COM    | 464286731 | 1661  | 132338  | SH | DEFINED | 01 | 0 |
| ISHARES MSCI TAIWAN IDX ETF COM    | 464286731 | 1661  | 132338  | SH | DEFINED | 01 | 1 |
| ISHARES MSCI TAIWAN IDX ETF COM    | 464286731 | 234   | 18620   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI SWITZERLAN COM    | 464286749 | 20    | 870     | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI SPAIN INDE COM    | 464286764 | 4     | 100     | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI SOUTH KORE COM    | 464286772 | 1659  | 33175   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI SOUTH COM         | 464286780 | 49    | 818     | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI GERMANY IN COM    | 464286806 | 24    | 1100    | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI NETHERLAND COM    | 464286814 | 0     | 1       | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI MEXICO INV COM    | 464286822 | 2323  | 43531   | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI MALAYSIA F COM    | 464286830 | 93    | 7970    | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI JAPAN INDE COM    | 464286848 | 2453  | 234975  | SH | DEFINED | 01 | 1 |
| ISHARES INC MSCI HONG KONG COM     | 464286871 | 147   | 9023    | SH | DEFINED | 01 | 1 |
| ISHARE MSCI INDIA ETF COM          | 464286889 | 1385  | 194000  | SH | DEFINED | 01 | 0 |
| ISHARES S&P 100 IDX FD ETF COM     | 464287101 | 473   | 8825    | SH | DEFINED | 01 | 0 |
| ISHARES S&P 100 IDX FD ETF COM     | 464287101 | 2849  | 53168   | SH | DEFINED | 01 | 1 |
| ISHARES TR LARGE GROWTH IND COM    | 464287119 | 1165  | 19331   | SH | DEFINED | 01 | 1 |
| ISHARES TR LARGE CORE INDEX COM    | 464287127 | 397   | 5916    | SH | DEFINED | 01 | 1 |
| ISHARES TR NYSE 100 I COM          | 464287135 | 14    | 250     | SH | DEFINED | 01 | 1 |
| ISHARES TR NYSE COMPO COM          | 464287143 | 194   | 2833    | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P 1500 I COM          | 464287150 | 65    | 1222    | SH | DEFINED | 01 | 1 |
| ISHARES TRUST DJ SELECT DIV ID COM | 464287168 | 3479  | 75581   | SH | DEFINED | 01 | 0 |
| ISHARES TRUST DJ SELECT DIV ID COM | 464287168 | 2969  | 64510   | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS TRIPS FD ETF COM  | 464287176 | 10493 | 100979  | SH | DEFINED | 01 | 0 |
| ISHARES BARCLAYS TRIPS FD ETF COM  | 464287176 | 41839 | 402682  | SH | DEFINED | 01 | 1 |
| ISHARES FTSE/XINHUA CHINA 25 I COM | 464287184 | 2450  | 58187   | SH | DEFINED | 01 | 1 |
| ISHARES TR TRANSPORTA COM          | 464287192 | 251   | 3176    | SH | DEFINED | 01 | 1 |
| ISHARES S&P 500 IDX FD ETF COM     | 464287200 | 5668  | 48300   | SH | DEFINED | 01 | 0 |
| ISHARES S&P 500 IDX FD ETF COM     | 464287200 | 13749 | 117172  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS U S AGGREG COM    | 464287226 | 12460 | 119582  | SH | DEFINED | 01 | 1 |
| ISHARES MSCI EMERG MKT IN ETF COM  | 464287234 | 56463 | 1340513 | SH | DEFINED | 01 | 0 |
| ISHARES MSCI EMERG MKT IN ETF COM  | 464287234 | 11750 | 278936  | SH | DEFINED | 01 | 1 |
| ISHARES IBOXX \$ INVESTOP I COM    | 464287242 | 8494  | 80309   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL TEL COM      | 464287275 | 35    | 656     | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL INF COM      | 464287291 | 2095  | 36209   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P 500/ GROWTH IND COM | 464287309 | 4695  | 78351   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL HEA COM      | 464287325 | 2608  | 49691   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL FIN COM      | 464287333 | 427   | 9049    | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL ENE COM      | 464287341 | 3174  | 89776   | SH | DEFINED | 01 | 1 |
| ISHARES S&P NORTH AMERICAN N COM   | 464287374 | 1904  | 55258   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P/TOPIX150 INDEX COM  | 464287382 | 27    | 600     | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P LATIN AMER COM      | 464287390 | 577   | 11944   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P 500/ VALUE IND COM  | 464287408 | 4071  | 72111   | SH | DEFINED | 01 | 1 |
| ISHARES LEH 20+ YR TREAS ETF COM   | 464287432 | 104   | 1160    | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS 7-10 YEAR COM     | 464287440 | 21445 | 239605  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS 1-3YEAR TREAS COM | 464287457 | 23847 | 286041  | SH | DEFINED | 01 | 1 |
| ISHARES MSCI EAFE IDX FD ETF COM   | 464287465 | 29283 | 522935  | SH | DEFINED | 01 | 0 |
| ISHARES MSCI EAFE IDX FD ETF COM   | 464287465 | 18370 | 328157  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |           |       |        |    |         |    |   |
|------------------------------------|-----------|-------|--------|----|---------|----|---|
| ISHARES TR RUSSELL MIDCAP VAL COM  | 464287473 | 7476  | 185377 | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL MIDCAP GRO COM  | 464287481 | 5545  | 114292 | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL MIDCAP IDX ETF COM | 464287499 | 22228 | 248909 | SH | DEFINED | 01 | 0 |
| ISHARES RUSSELL MIDCAP IDX ETF COM | 464287499 | 18    | 200    | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL MIDCAP IDX ETF COM | 464287499 | 8706  | 97550  | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P MIDCAP 400 COM      | 464287507 | 2582  | 32810  | SH | DEFINED | 01 | 1 |
| ISHARES S&P NORTH AMERICAN T COM   | 464287515 | 23    | 466    | SH | DEFINED | 01 | 1 |
| ISHARES S&P GSTI SEMICONDUCT E COM | 464287523 | 420   | 8503   | SH | DEFINED | 01 | 0 |
| ISHARES S&P GSTI SEMICONDUCT E COM | 464287523 | 94    | 1900   | SH | DEFINED | 01 | 1 |
| ISHARES S&P NORTH AMERICAN T COM   | 464287531 | 41    | 1430   | SH | DEFINED | 01 | 1 |
| ISHARES S&P NORTH AMERICAN T COM   | 464287549 | 402   | 7245   | SH | DEFINED | 01 | 1 |
| ISHARES NASDAQ BIOTECH IDX ETF COM | 464287556 | 648   | 7127   | SH | DEFINED | 01 | 1 |
| ISHARES TR COHEN & STEERS REA COM  | 464287564 | 2452  | 42804  | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P GLOBAL COM          | 464287572 | 136   | 2242   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESU S CONSUM COM | 464287580 | 6     | 101    | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL 1000 VALUE COM  | 464287598 | 5314  | 87013  | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P MIDCAP 400 COM      | 464287606 | 916   | 10799  | SH | DEFINED | 01 | 1 |
| ISHARES RUSL 1000 GROWTH ETF COM   | 464287614 | 519   | 9989   | SH | DEFINED | 01 | 0 |
| ISHARES RUSL 1000 GROWTH ETF COM   | 464287614 | 9252  | 178095 | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL 1000 INDEX ETF COM | 464287622 | 1048  | 16225  | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL 20 COM          | 464287630 | 4354  | 68208  | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL 2000 GROWTH ET COM | 464287648 | 10991 | 150070 | SH | DEFINED | 01 | 0 |
| ISHARES RUSSELL 2000 GROWTH ET COM | 464287648 | 3912  | 53413  | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL 2000 ETF COM       | 464287655 | 17075 | 251798 | SH | DEFINED | 01 | 0 |
| ISHARES RUSSELL 2000 ETF COM       | 464287655 | 19    | 275    | SH | DEFINED | 01 | 1 |
| ISHARES RUSSELL 2000 ETF COM       | 464287655 | 10250 | 151172 | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL 3000 VALUE COM  | 464287663 | 30    | 374    | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL 3000 GROWT COM  | 464287671 | 561   | 13255  | SH | DEFINED | 01 | 1 |
| ISHARES TR RUSSELL 3000 INDEX COM  | 464287689 | 716   | 10410  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESU S CONSUM COM | 464287697 | 274   | 3791   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P MIDCAP 400 COM      | 464287705 | 888   | 12447  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESU S TELECO COM | 464287713 | 2563  | 128042 | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS TECHNOL COM | 464287721 | 145   | 2481   | SH | DEFINED | 01 | 1 |
| ISHARES DJ US REAL ESTATE ETF COM  | 464287739 | 5814  | 116800 | SH | DEFINED | 01 | 0 |
| ISHARES DJ US REAL ESTATE ETF COM  | 464287739 | 1627  | 32687  | SH | DEFINED | 01 | 1 |
| ISHARES DJ US INDUTRL SEC ETF COM  | 464287754 | 495   | 8496   | SH | DEFINED | 01 | 1 |
| ISHARES DJ US HLTHCARE SEC ETF COM | 464287762 | 1183  | 17841  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONES U S FINL COM  | 464287770 | 105   | 1770   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS FINL SE COM | 464287788 | 472   | 8281   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONES U S ENERG COM | 464287796 | 1253  | 37712  | SH | DEFINED | 01 | 1 |
| ISHARES S&P SMALLCAP 600 ETF COM   | 464287804 | 8117  | 136533 | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESU S CONSUM COM | 464287812 | 424   | 7184   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESU S BASIC COM  | 464287838 | 1706  | 26830  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONES U S TOTAL COM | 464287846 | 94    | 1610   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P EUROPE 350 COM      | 464287861 | 142   | 3700   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P SMALLCAP 6 COM      | 464287879 | 574   | 8949   | SH | DEFINED | 01 | 1 |
| ISHARES SMALL CAP 600 GROWTH COM   | 464287887 | 6     | 92     | SH | DEFINED | 01 | 0 |
| ISHARES SMALL CAP 600 GROWTH COM   | 464287887 | 699   | 11411  | SH | DEFINED | 01 | 1 |
| ISHARES TR LARGE VALUE INDE COM    | 464288109 | 391   | 6967   | SH | DEFINED | 01 | 1 |
| ISHARES S&P CITIGROUP COM          | 464288117 | 167   | 1660   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                           |               |     |           |       |        |    |         |    |   |
|---------------------------|---------------|-----|-----------|-------|--------|----|---------|----|---|
| ISHARES S&P               | CITIGROUP     | COM | 464288125 | 83    | 825    | SH | DEFINED | 01 | 1 |
| ISHARES S&P SHORT         | TERM NATL     | COM | 464288158 | 194   | 1846   | SH | DEFINED | 01 | 1 |
| ISHARES TR LEHMAN         | AGENCY BON    | COM | 464288166 | 8     | 77     | SH | DEFINED | 01 | 1 |
| ISHARES TR MSCI ALL       | COUNTRY AS    | COM | 464288182 | 42    | 747    | SH | DEFINED | 01 | 1 |
| ISHARES TR MID CORE       | INDEX FD      | COM | 464288208 | 600   | 8122   | SH | DEFINED | 01 | 1 |
| ISHARES S&P               | EMERGING M    | COM | 464288216 | 52    | 1660   | SH | DEFINED | 01 | 1 |
| ISHARES S&P               | GLOBAL CLE    | COM | 464288224 | 105   | 5586   | SH | DEFINED | 01 | 1 |
| ISHARES TR MSCI           | ACWI EX US    | COM | 464288240 | 95    | 2277   | SH | DEFINED | 01 | 1 |
| ISHARES TR MSCI EAFESMALL | CAP           | COM | 464288273 | 1516  | 40524  | SH | DEFINED | 01 | 1 |
| ISHARES TR JPMORGAN       | USD EMERGI    | COM | 464288281 | 3658  | 35088  | SH | DEFINED | 01 | 1 |
| ISHARES TR MID            | GROWTH IND    | COM | 464288307 | 193   | 2372   | SH | DEFINED | 01 | 1 |
| ISHARES S&P AMT-FREEMUNI  | BND F         | COM | 464288323 | 180   | 1722   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P            | GLOBAL INF    | COM | 464288372 | 2993  | 87495  | SH | DEFINED | 01 | 1 |
| ISHARES TR MID VALUEINDEX | FD            | COM | 464288406 | 99    | 1402   | SH | DEFINED | 01 | 1 |
| ISHARES S&P NATL AMTFREE  | MUNI          | COM | 464288414 | 2636  | 25519  | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P WORLDEX-US | PPTY          | COM | 464288422 | 71    | 2288   | SH | DEFINED | 01 | 1 |
| ISHARES TR                | S&P ASIA 5    | COM | 464288430 | 584   | 14489  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESEPAC  | SELEC         | COM | 464288448 | 356   | 11261  | SH | DEFINED | 01 | 1 |
| ISHARES FTSE              | EPRA/NA103    | COM | 464288463 | 160   | 5508   | SH | DEFINED | 01 | 1 |
| ISHARES FTSE              | EPRA/NA103    | COM | 464288471 | 210   | 7244   | SH | DEFINED | 01 | 1 |
| ISHARES FTSE              | EPRA/NA103    | COM | 464288489 | 399   | 13787  | SH | DEFINED | 01 | 1 |
| ISHARES FTSE              | DEVELOPED     | COM | 464288497 | 35    | 1015   | SH | DEFINED | 01 | 1 |
| ISHARES TR SMALL          | CORE INDEX    | COM | 464288505 | 748   | 9752   | SH | DEFINED | 01 | 1 |
| ISHARES TR IBOXX          | \$ HIGH YIE   | COM | 464288513 | 30619 | 346484 | SH | DEFINED | 01 | 1 |
| ISHARES TR FTSE           | NA103 REAL    | COM | 464288521 | 7     | 250    | SH | DEFINED | 01 | 1 |
| ISHARES TR FTSE           | NA103 MTG     | COM | 464288539 | 15    | 1000   | SH | DEFINED | 01 | 1 |
| ISHARES TR FTSE           | NA103 IND/    | COM | 464288554 | 25    | 1013   | SH | DEFINED | 01 | 1 |
| ISHARES TR KLD 400        | SOCIAL IND    | COM | 464288570 | 3     | 60     | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | MBS BOND F    | COM | 464288588 | 243   | 2268   | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | GOVT CR BD    | COM | 464288596 | 189   | 1794   | SH | DEFINED | 01 | 1 |
| ISHARES TR SMALL          | GROWTH IND    | COM | 464288604 | 148   | 2103   | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | INTERMED G    | COM | 464288612 | 1491  | 14053  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | CR BD FD      | COM | 464288620 | 3193  | 31220  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | INTERMEDIA    | COM | 464288638 | 1741  | 16738  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | 1-3YR CD BD F | COM | 464288646 | 2961  | 28309  | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | 10-20 YR T    | COM | 464288653 | 0     | 4      | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | 3-7 YR TRE    | COM | 464288661 | 411   | 3695   | SH | DEFINED | 01 | 1 |
| ISHARES BARCLAYS          | SHORT TREA    | COM | 464288679 | 710   | 6447   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P U S        | PFD STK IN    | COM | 464288687 | 9036  | 233363 | SH | DEFINED | 01 | 1 |
| ISHARES TRUST S&P         | GLOBAL MAT    | COM | 464288695 | 2284  | 35913  | SH | DEFINED | 01 | 1 |
| ISHARES TR SMALL          | VALUE INDE    | COM | 464288703 | 215   | 2888   | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P            | GLOBAL UTI    | COM | 464288711 | 1131  | 24762  | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P            | GLOBAL IND    | COM | 464288729 | 730   | 15059  | SH | DEFINED | 01 | 1 |
| ISHARES TRUST S&P         | GLOBAL CON    | COM | 464288737 | 3471  | 58971  | SH | DEFINED | 01 | 1 |
| ISHARES TRUST S&P         | GLOBAL CON    | COM | 464288745 | 91    | 1931   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS    | HOME CO       | COM | 464288752 | 157   | 11615  | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS    | AEROSPA       | COM | 464288760 | 105   | 1807   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS    | REGIONA       | COM | 464288778 | 57    | 2328   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS    | INS IND       | COM | 464288786 | 42    | 1400   | SH | DEFINED | 01 | 1 |
| ISHARES TR DOW JONESUS    | BROKER        | COM | 464288794 | 5     | 165    | SH | DEFINED | 01 | 1 |



## Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |                     |     |           |        |         |    |         |    |   |
|--------------------------------|---------------------|-----|-----------|--------|---------|----|---------|----|---|
| ISHARES TR                     | KLD SELECT          | COM | 464288802 | 265    | 5188    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | DOW JONESUS MEDICAL | COM | 464288810 | 87     | 1485    | SH | DEFINED | 01 | 1 |
| ISHARES DJ                     | US HEALTH CAR PRO   | COM | 464288828 | 16     | 300     | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | DOW JONESUS PHARMAC | COM | 464288836 | 123    | 2062    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | DOW JONESUS OIL EQU | COM | 464288844 | 945    | 21494   | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | DOW JONESUS OIL & G | COM | 464288851 | 75     | 1385    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | RUSSELL MI          | COM | 464288869 | 310    | 7225    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | MSCI EAFEVALUE INDE | COM | 464288877 | 1217   | 24032   | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | MSCI EAFEGROWTH IND | COM | 464288885 | 570    | 10067   | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | S&P TARGET DAT      | COM | 464289206 | 6      | 200     | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | S&P TARGET DAT      | COM | 464289404 | 8      | 250     | SH | DEFINED | 01 | 1 |
| ISHARES S&P                    | INDIA NIFTY 50 I    | COM | 464289529 | 39     | 1450    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | MSCI ALL PERU CAPPE | COM | 464289842 | 29     | 850     | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | S&P AGGRESSIVE      | COM | 464289859 | 94     | 3000    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | S&P MODERATE A      | COM | 464289875 | 157    | 5485    | SH | DEFINED | 01 | 1 |
| ISHARES TR                     | S&P CONSERVATI      | COM | 464289883 | 235    | 8417    | SH | DEFINED | 01 | 1 |
| ISHARES SILVER TR              | ISHARES             | COM | 46428Q109 | 4082   | 238184  | SH | DEFINED | 01 | 1 |
| ISHARES S&P                    | GSCI COMMODITY      | COM | 46428R107 | 3215   | 103192  | SH | DEFINED | 01 | 1 |
| ISHARES DIVERSIFIED            | ALTERNATIV          | COM | 464294107 | 56     | 1130    | SH | DEFINED | 01 | 1 |
| ISILON SYS INC                 |                     | COM | 46432L104 | 2      | 200     | SH | DEFINED | 01 | 1 |
| ISIS PHARMACEUTICALS           | INC                 | COM | 464330109 | 16     | 1426    | SH | DEFINED | 01 | 0 |
| ISIS PHARMACEUTICALS           | INC                 | COM | 464330109 | 130    | 11931   | SH | DEFINED | 01 | 1 |
| ITAU UNIBANCO HLDNG-PREF       | ADR                 | COM | 465562106 | 986    | 44800   | SH | DEFINED | 01 | 0 |
| ITAU UNIBANCO HLDNG-PREF       | ADR                 | COM | 465562106 | 23082  | 1049634 | SH | DEFINED | 01 | 0 |
| ITAU UNIBANCO HLDNG-PREF       | ADR                 | COM | 465562106 | 104292 | 4744834 | SH | DEFINED | 01 | 1 |
| ITAU UNIBANCO HLDNG-PREF       | ADR                 | COM | 465562106 | 21     | 956     | SH | DEFINED | 01 | 1 |
| ITC HOLDINGS CORP              |                     | COM | 465685105 | 2934   | 53330   | SH | DEFINED | 01 | 0 |
| ITC HOLDINGS CORP              |                     | COM | 465685105 | 23     | 575     | SH | DEFINED | 01 | 1 |
| ITC HOLDINGS CORP              |                     | COM | 465685105 | 8      | 150     | SH | DEFINED | 01 | 1 |
| ITRON INC                      |                     | COM | 465741106 | 8224   | 113337  | SH | DEFINED | 01 | 0 |
| ITRON INC                      |                     | COM | 465741106 | 126    | 1740    | SH | DEFINED | 01 | 0 |
| ITRON INC                      |                     | COM | 465741106 | 64     | 925     | SH | DEFINED | 01 | 1 |
| ITRON INC                      |                     | COM | 465741106 | 128    | 1761    | SH | DEFINED | 01 | 1 |
| IVANHOE ENERGY INC             | COM NPV IS          | COM | 465790103 | 9      | 2800    | SH | DEFINED | 01 | 1 |
| IVANHOE MINES LTD              |                     | COM | 46579N103 | 3981   | 228689  | SH | DEFINED | 01 | 0 |
| IXYS CORP DEL                  |                     | COM | 46600W106 | 1      | 101     | SH | DEFINED | 01 | 1 |
| J & J SNACK FOODS CORP         |                     | COM | 466032109 | 4151   | 95496   | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR   |                     | COM | 466090107 | 5180   | 923341  | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR   |                     | COM | 466090107 | 97     | 17257   | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR   |                     | COM | 466090107 | 11     | 1900    | SH | DEFINED | 01 | 1 |
| J CREW GROUP INC               |                     | COM | 46612H402 | 29     | 634     | SH | DEFINED | 01 | 0 |
| J CREW GROUP INC               |                     | COM | 46612H402 | 2      | 46      | SH | DEFINED | 01 | 1 |
| JDS UNIPHASE CORP              |                     | COM | 46612J507 | 14739  | 1176357 | SH | DEFINED | 01 | 0 |
| JDS UNIPHASE CORP              |                     | COM | 46612J507 | 159    | 12728   | SH | DEFINED | 01 | 0 |
| JDS UNIPHASE CORP              |                     | COM | 46612J507 | 163    | 13042   | SH | DEFINED | 01 | 1 |
| JDA SOFTWARE GROUP INC         |                     | COM | 46612K108 | 62590  | 2249831 | SH | DEFINED | 01 | 0 |
| JDA SOFTWARE GROUP INC         |                     | COM | 46612K108 | 46     | 1640    | SH | DEFINED | 01 | 0 |
| JDA SOFTWARE GROUP INC         |                     | COM | 46612K108 | 470    | 15800   | SH | DEFINED | 01 | 1 |
| JDA SOFTWARE GROUP INC         |                     | COM | 46612K108 | 9      | 307     | SH | DEFINED | 01 | 1 |
| JL FRENCH AUTOMOTIVE WTS EXP 0 | WT                  | COM | 46620Q154 | 0      | 24838   | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO            |                     | COM | 46625H100 | 368305 | 8230225 | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO            |                     | COM | 46625H100 | 8396   | 187627  | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO            |                     | COM | 46625H100 | 11003  | 245887  | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO            |                     | COM | 46625H100 | 212570 | 4751298 | SH | DEFINED | 01 | 1 |
| JPMORGAN CHASE & CO            |                     | COM | 46625H100 | 6489   | 144996  | SH | DEFINED | 01 | 1 |
| JPMORGAN CHASE & CO            | ALERIAN ML          | COM | 46625H365 | 285    | 9323    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MMC NORILSK NICKEL JSC-ADR   | COM | 46626D108 | 20399  | 1104737 | SH | DEFINED | 01 | 0 |
| MMC NORILSK NICKEL JSC-ADR   | COM | 46626D991 | 1711   | 92948   | SH | DEFINED | 01 | 0 |
| J2 GLOBAL COMMUNICATIONS INC | COM | 46626E205 | 3148   | 134500  | SH | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC            | COM | 466313103 | 9630   | 594882  | SH | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC            | COM | 466313103 | 368    | 22703   | SH | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC            | COM | 466313103 | 13     | 815     | SH | DEFINED | 01 | 1 |
| JACK IN THE BOX INC          | COM | 466367109 | 1277   | 54220   | SH | DEFINED | 01 | 0 |
| JACK IN THE BOX INC          | COM | 466367109 | 2      | 100     | SH | DEFINED | 01 | 1 |
| JACOBS ENGINEERING GROUP INC | COM | 469814107 | 30721  | 679827  | SH | DEFINED | 01 | 0 |
| JACOBS ENGINEERING GROUP INC | COM | 469814107 | 216    | 4788    | SH | DEFINED | 01 | 0 |
| JACOBS ENGINEERING GROUP INC | COM | 469814107 | 631    | 13972   | SH | DEFINED | 01 | 1 |
| JAGUAR MINING INC            | COM | 47009M103 | 286    | 31000   | SH | DEFINED | 01 | 0 |
| JAGUAR MINING INC            | COM | 47009M103 | 3      | 300     | SH | DEFINED | 01 | 1 |
| JAKKS PACIFIC INC            | COM | 47012E106 | 1264   | 96896   | SH | DEFINED | 01 | 0 |
| JAKKS PACIFIC INC            | COM | 47012E106 | 33     | 2500    | SH | DEFINED | 01 | 1 |
| JANUS CAPITAL GROUP INC      | COM | 47102X105 | 242    | 16948   | SH | DEFINED | 01 | 0 |
| JANUS CAPITAL GROUP INC      | COM | 47102X105 | 219    | 15349   | SH | DEFINED | 01 | 0 |
| JAPAN SMALLER CAPITALIZA     | COM | 47109U104 | 537    | 60700   | SH | DEFINED | 01 | 1 |
| JARDEN CORP                  | COM | 471109108 | 9      | 258     | SH | DEFINED | 01 | 1 |
| JAVELIN PHARMACEUT           | COM | 471894105 | 3      | 2100    | SH | DEFINED | 01 | 1 |
| JAZZ PHARMACEUTICALSINC      | COM | 472147107 | 3      | 300     | SH | DEFINED | 01 | 1 |
| JEFFERIES GROUP INC NEW      | COM | 472319102 | 1      | 22      | SH | DEFINED | 01 | 1 |
| JETBLUE AIRWAYS CORP         | COM | 477143101 | 21668  | 3883112 | SH | DEFINED | 01 | 0 |
| JETBLUE AIRWAYS CORP         | COM | 477143101 | 89     | 15865   | SH | DEFINED | 01 | 1 |
| JO-ANN STORES INC            | COM | 47758P307 | 2916   | 69444   | SH | DEFINED | 01 | 0 |
| JO-ANN STORES INC            | COM | 47758P307 | 43     | 1035    | SH | DEFINED | 01 | 1 |
| JOHN BEAN TECHNOLOGIES CORP  | COM | 477839104 | 602    | 34341   | SH | DEFINED | 01 | 0 |
| JOHN BEAN TECHNOLOGIES CORP  | COM | 477839104 | 1      | 31      | SH | DEFINED | 01 | 1 |
| JOHNSON & JOHNSON            | COM | 478160104 | 384393 | 5895567 | SH | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON            | COM | 478160104 | 9409   | 144316  | SH | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON            | COM | 478160104 | 10335  | 158512  | SH | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON            | COM | 478160104 | 264158 | 4057735 | SH | DEFINED | 01 | 1 |
| JOHNSON & JOHNSON            | COM | 478160104 | 9674   | 148373  | SH | DEFINED | 01 | 1 |
| JOHNSON CONTROLS INC         | COM | 478366107 | 16042  | 486253  | SH | DEFINED | 01 | 0 |
| JOHNSON CONTROLS INC         | COM | 478366107 | 1187   | 35993   | SH | DEFINED | 01 | 0 |
| JOHNSON CONTROLS INC         | COM | 478366107 | 400    | 12127   | SH | DEFINED | 01 | 1 |
| JONES APPAREL GROUP INC      | COM | 480074103 | 3763   | 197850  | SH | DEFINED | 01 | 0 |
| JONES LANG LASALLE INC       | COM | 48020Q107 | 619    | 8488    | SH | DEFINED | 01 | 0 |
| JONES LANG LASALLE INC       | COM | 48020Q107 | 78100  | 1071615 | SH | DEFINED | 01 | 1 |
| JONES SODA CO                | COM | 48023P106 | 0      | 350     | SH | DEFINED | 01 | 1 |
| JOS A BANK CLOTHIERS INC     | COM | 480838101 | 3808   | 69693   | SH | DEFINED | 01 | 0 |
| JOS A BANK CLOTHIERS INC     | COM | 480838101 | 8      | 151     | SH | DEFINED | 01 | 1 |
| JOY GLOBAL INC               | COM | 481165108 | 25158  | 444481  | SH | DEFINED | 01 | 0 |
| JOY GLOBAL INC               | COM | 481165108 | 77     | 1364    | SH | DEFINED | 01 | 0 |
| JOY GLOBAL INC               | COM | 481165108 | 99     | 1750    | SH | DEFINED | 01 | 1 |
| SISTEMA JSFC-REG S SPONS GDR | COM | 48122U998 | 144    | 5309    | SH | DEFINED | 01 | 0 |
| JUNIPER NETWORKS INC         | COM | 48203R104 | 129309 | 4214564 | SH | DEFINED | 01 | 0 |
| JUNIPER NETWORKS INC         | COM | 48203R104 | 978    | 31862   | SH | DEFINED | 01 | 0 |
| JUNIPER NETWORKS INC         | COM | 48203R104 | 232    | 7578    | SH | DEFINED | 01 | 1 |
| KAR AUCTION. SERVICES INC    | COM | 48238T109 | 1189   | 78960   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |       |         |    |         |    |   |
|-------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| KB FINANCIAL GROUP INC-ADR    | COM | 48241A105 | 823   | 17151   | SH | DEFINED | 01 | 0 |
| KB FINANCIAL GROUP INC-ADR    | COM | 48241A105 | 46    | 951     | SH | DEFINED | 01 | 1 |
| KB FINANCIAL GROUP INC-ADR    | COM | 48241A105 | 12    | 251     | SH | DEFINED | 01 | 1 |
| KBR INC                       | COM | 48242W106 | 34537 | 1558546 | SH | DEFINED | 01 | 0 |
| KBR INC                       | COM | 48242W106 | 3121  | 140830  | SH | DEFINED | 01 | 1 |
| KBR INC                       | COM | 48242W106 | 338   | 15242   | SH | DEFINED | 01 | 1 |
| KHD HUMBOLDT WEDAG INTL LTD C | COM | 482462108 | 13    | 1000    | SH | DEFINED | 01 | 1 |
| KLA-TENCOR CORPORATION        | COM | 482480100 | 5441  | 175958  | SH | DEFINED | 01 | 0 |
| KLA-TENCOR CORPORATION        | COM | 482480100 | 610   | 19740   | SH | DEFINED | 01 | 0 |
| KLA-TENCOR CORPORATION        | COM | 482480100 | 75    | 2415    | SH | DEFINED | 01 | 1 |
| KKR FINANCIAL HOLDINGS LLC    | LP  | 48248A306 | 7461  | 908867  | SH | DEFINED | 01 | 0 |
| KKR FINANCIAL HOLDINGS LLC    | LP  | 48248A306 | 68    | 8225    | SH | DEFINED | 01 | 1 |
| K-SWISS INC -CL A             | COM | 482686102 | 318   | 30356   | SH | DEFINED | 01 | 0 |
| KT CORP-SP ADR                | COM | 48268K101 | 491   | 23681   | SH | DEFINED | 01 | 0 |
| K SEA TRANSN PARTNERS L       | COM | 48268Y101 | 15    | 1700    | SH | DEFINED | 01 | 1 |
|                               |     |           |       |         |    |         |    |   |
| KVH INDS INC                  | COM | 482738101 | 7     | 500     | SH | DEFINED | 01 | 1 |
| K12 INC DELAWARE              | COM | 48273U102 | 17    | 750     | SH | DEFINED | 01 | 1 |
| KADANT INC                    | COM | 48282T104 | 1     | 93      | SH | DEFINED | 01 | 1 |
| KAISER ALUMINUM CORP          | COM | 483007704 | 2445  | 63378   | SH | DEFINED | 01 | 0 |
| KAISER ALUMINUM CORP          | COM | 483007704 | 2     | 40      | SH | DEFINED | 01 | 1 |
| KAMAN CORP                    | COM | 483548103 | 554   | 22153   | SH | DEFINED | 01 | 0 |
| KANSAS CITY LIFE INSCO        | COM | 484836101 | 133   | 4225    | SH | DEFINED | 01 | 1 |
| KANSAS CITY SOUTHERN          | COM | 485170302 | 36461 | 1008088 | SH | DEFINED | 01 | 0 |
| KANSAS CITY SOUTHERN          | COM | 485170302 | 33    | 1025    | SH | DEFINED | 01 | 1 |
| KANSAS CITY SOUTHERN          | COM | 485170302 | 144   | 3987    | SH | DEFINED | 01 | 1 |
| KAPSTONE PAPER AND PACKAGING  | COM | 48562P103 | 192   | 16157   | SH | DEFINED | 01 | 0 |
| KAPSTONE PAPER AND PACKAGING  | COM | 48562P103 | 59    | 5000    | SH | DEFINED | 01 | 1 |
| KAYDON CORP                   | COM | 486587108 | 4113  | 109391  | SH | DEFINED | 01 | 0 |
| KAYDON CORP                   | COM | 486587108 | 46    | 1235    | SH | DEFINED | 01 | 0 |
| KAYDON CORP                   | COM | 486587108 | 11    | 304     | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON MLP INVT CO    | COM | 486606106 | 452   | 16823   | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON ENERGY TOT     | COM | 48660P104 | 121   | 4834    | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON ENERGY DEV     | COM | 48660Q102 | 260   | 16118   | SH | DEFINED | 01 | 1 |
| KB HOME                       | COM | 48666K109 | 25810 | 1540887 | SH | DEFINED | 01 | 0 |
| KB HOME                       | COM | 48666K109 | 96    | 5687    | SH | DEFINED | 01 | 0 |
| KB HOME                       | COM | 48666K109 | 185   | 11038   | SH | DEFINED | 01 | 1 |
| KAZMUNAIGAS EXPLORATION -GDR  | COM | 48666V204 | 2106  | 85350   | SH | DEFINED | 01 | 0 |
| KEITHLEY INSTRUMENTS INC      | COM | 487584104 | 88    | 13302   | SH | DEFINED | 01 | 0 |
| KELLOGG CO                    | COM | 487836108 | 8365  | 156585  | SH | DEFINED | 01 | 0 |
| KELLOGG CO                    | COM | 487836108 | 567   | 10605   | SH | DEFINED | 01 | 0 |
| KELLOGG CO                    | COM | 487836108 | 318   | 5945    | SH | DEFINED | 01 | 1 |
| KELLY SERVICES INC -CL A      | COM | 488152208 | 667   | 40043   | SH | DEFINED | 01 | 0 |
| KENDLE INTERNATIONAL INC      | COM | 48880L107 | 456   | 26094   | SH | DEFINED | 01 | 0 |
| KENEXA CORP                   | COM | 488879107 | 0     | 2       | SH | DEFINED | 01 | 1 |
| KENNAMETAL INC                | COM | 489170100 | 6745  | 239850  | SH | DEFINED | 01 | 0 |
| KENNAMETAL INC                | COM | 489170100 | 101   | 3600    | SH | DEFINED | 01 | 0 |
|                               |     |           |       |         |    |         |    |   |
| KENNAMETAL INC                | COM | 489170100 | 28    | 995     | SH | DEFINED | 01 | 1 |
| KENSEY NASH CORP              | COM | 490057106 | 333   | 14097   | SH | DEFINED | 01 | 0 |
| KERYX BIOPHARMAC              | COM | 492515101 | 36    | 13000   | SH | DEFINED | 01 | 1 |
| KEY ENERGY SERVICES INC       | COM | 492914106 | 1373  | 143611  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |            |           |       |         |    |         |    |   |
|------------------------------|------------|-----------|-------|---------|----|---------|----|---|
| KEY ENERGY SERVICES INC      | COM        | 492914106 | 445   | 46569   | SH | DEFINED | 01 | 1 |
| KEY TECH INC                 | COM        | 493143101 | 113   | 8200    | SH | DEFINED | 01 | 1 |
| KEYCORP                      | COM        | 493267108 | 7015  | 904943  | SH | DEFINED | 01 | 0 |
| KEYCORP                      | COM        | 493267108 | 329   | 42483   | SH | DEFINED | 01 | 0 |
| KEYCORP                      | COM        | 493267108 | 173   | 22296   | SH | DEFINED | 01 | 1 |
| KID BRANDS INC               | COM        | 49375T100 | 105   | 12126   | SH | DEFINED | 01 | 0 |
| KIMBALL INTERNATIONAL-B      | COM        | 494274103 | 494   | 71197   | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM        | 49427F108 | 3331  | 107998  | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM        | 49427F108 | 7     | 217     | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM        | 49427F108 | 5     | 168     | SH | DEFINED | 01 | 1 |
| KIMBERLY-CLARK CORP          | COM        | 494368103 | 3072  | 48857   | SH | DEFINED | 01 | 0 |
| KIMBERLY-CLARK CORP          | COM        | 494368103 | 1400  | 22259   | SH | DEFINED | 01 | 0 |
| KIMBERLY-CLARK CORP          | COM        | 494368103 | 850   | 13515   | SH | DEFINED | 01 | 1 |
| KIMCO REALTY CORP - REIT     | COM        | 49446R109 | 5577  | 356650  | SH | DEFINED | 01 | 0 |
| KIMCO REALTY CORP - REIT     | COM        | 49446R109 | 260   | 16643   | SH | DEFINED | 01 | 0 |
| KIMCO REALTY CORP - REIT     | COM        | 49446R109 | 215   | 13757   | SH | DEFINED | 01 | 1 |
| KIMCO REALTY CORP - REIT     | COM        | 49446R109 | 66    | 4221    | SH | DEFINED | 01 | 1 |
| KINDER MORGAN ENERGY PRTNRS  | LP         | 494550106 | 1268  | 19377   | SH | DEFINED | 01 | 0 |
| KINDER MORGAN ENERGY PRTNRS  | LP         | 494550106 | 1503  | 22969   | SH | DEFINED | 01 | 1 |
| KINDER MORGAN ENERGY PRTNRS  | LP         | 494550106 | 3481  | 53208   | SH | DEFINED | 01 | 1 |
| KINDER MORGAN MANG COM NPV   | COM        | 49455U100 | 975   | 16640   | SH | DEFINED | 01 | 1 |
| KINDRED HEALTHCARE INC       | COM        | 494580103 | 6556  | 363158  | SH | DEFINED | 01 | 0 |
| KINDRED HEALTHCARE INC       | COM        | 494580103 | 2     | 106     | SH | DEFINED | 01 | 1 |
| KINETIC CONCEPTS INC         | COM        | 49460W208 | 3356  | 70192   | SH | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM        | 495582108 | 29950 | 2546831 | SH | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM        | 495582108 | 363   | 30864   | SH | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM        | 495582108 | 1480  | 126000  | SH | DEFINED | 01 | 1 |
| KING PHARMACEUTICALS INC     | COM        | 495582108 | 26    | 2200    | SH | DEFINED | 01 | 1 |
|                              |            |           |       |         |    |         |    |   |
| KINROSS GOLD CORP            | COM        | 496902404 | 19061 | 1115314 | SH | DEFINED | 01 | 0 |
| KINROSS GOLD CORP            | COM        | 496902404 | 93    | 5419    | SH | DEFINED | 01 | 0 |
| KINROSS GOLD CORP            | COM        | 496902404 | 135   | 7880    | SH | DEFINED | 01 | 1 |
| KIRBY CORP                   | COM        | 497266106 | 60    | 1600    | SH | DEFINED | 01 | 1 |
| KIRBY CORP                   | COM        | 497266106 | 1     | 19      | SH | DEFINED | 01 | 1 |
| KITE REALTY GROUP TRUST      | COM        | 49803T102 | 204   | 43113   | SH | DEFINED | 01 | 0 |
| KITE REALTY GROUP TRUST      | COM        | 49803T102 | 5     | 1055    | SH | DEFINED | 01 | 1 |
| KNOLL INC                    | COM        | 498904200 | 1699  | 151000  | SH | DEFINED | 01 | 0 |
| KNOLL INC                    | COM        | 498904200 | 3     | 255     | SH | DEFINED | 01 | 1 |
| KNIGHT CAPITAL GROUP INC-A   | COM        | 499005106 | 1020  | 66924   | SH | DEFINED | 01 | 0 |
| KNIGHT CAPITAL GROUP INC-A   | COM        | 499005106 | 16    | 1075    | SH | DEFINED | 01 | 1 |
| KNIGHT TRANSPORTATION INC    | COM        | 499064103 | 4693  | 222537  | SH | DEFINED | 01 | 0 |
| KNIGHT TRANSPORTATION INC    | COM        | 499064103 | 30    | 1418    | SH | DEFINED | 01 | 0 |
| KNIGHT TRANSPORTATION INC    | COM        | 499064103 | 14942 | 708799  | SH | DEFINED | 01 | 1 |
| KNIGHT TRANSPORTATION INC    | COM        | 499064103 | 13    | 600     | SH | DEFINED | 01 | 1 |
| KNOT INC/THE                 | COM        | 499184109 | 171   | 21805   | SH | DEFINED | 01 | 0 |
| KNOT INC/THE                 | COM        | 499184109 | 1     | 100     | SH | DEFINED | 01 | 1 |
| KODIAK OIL & GAS             | CORP COM N | 50015Q100 | 77    | 22725   | SH | DEFINED | 01 | 1 |
| KOHLBERG CAP CORP            | COM        | 500233101 | 8     | 1500    | SH | DEFINED | 01 | 1 |
| KOHL'S CORP                  | COM        | 500255104 | 10615 | 193784  | SH | DEFINED | 01 | 0 |
| KOHL'S CORP                  | COM        | 500255104 | 934   | 17047   | SH | DEFINED | 01 | 0 |
| KOHL'S CORP                  | COM        | 500255104 | 304   | 5555    | SH | DEFINED | 01 | 1 |
| PHILIPS                      | ELECTRONIC | 500472303 | 179   | 5593    | SH | DEFINED | 01 | 1 |
| KONGZHONG CORP ADR           | EA REP 40  | 50047P104 | 521   | 65310   | SH | DEFINED | 01 | 1 |
| KOPIN CORP                   | COM        | 500600101 | 368   | 99502   | SH | DEFINED | 01 | 0 |
| KOPIN CORP                   | COM        | 500600101 | 3     | 700     | SH | DEFINED | 01 | 1 |
| KOPPERS HOLDINGS INC         | COM        | 50060P106 | 90    | 2300    | SH | DEFINED | 01 | 1 |
| KOREA ELEC POWER CORP-SP ADR | COM        | 500631106 | 3458  | 212928  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| KOREA ELEC POWER CORP-SP ADR   | COM | 500631106 | 4      | 246     | SH | DEFINED | 01 | 1 |
| KOREA FD INC COM NEW           | COM | 500634209 | 12     | 321     | SH | DEFINED | 01 | 1 |
| KOREA EQUITY FD INC            | COM | 50063B104 | 24     | 2536    | SH | DEFINED | 01 | 1 |
|                                |     |           |        |         |    |         |    |   |
| KORN/FERRY INTERNATIONAL       | COM | 500643200 | 16305  | 923775  | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A        | COM | 50075N104 | 5804   | 191983  | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A        | COM | 50075N104 | 3005   | 99369   | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A        | COM | 50075N104 | 2809   | 92884   | SH | DEFINED | 01 | 1 |
| KRISPY KREME DOUGHNUTS         | COM | 501014104 | 6      | 1377    | SH | DEFINED | 01 | 1 |
| KRISPY KREME DOUGHNUTS-CW12    | WT  | 501014112 | 0      | 2105    | SH | DEFINED | 01 | 0 |
| KRISPY KREME DOUGHNUTS-CW12    | WT  | 501014112 | 0      | 149     | SH | DEFINED | 01 | 0 |
| KROGER CO                      | COM | 501044101 | 17899  | 826359  | SH | DEFINED | 01 | 0 |
| KROGER CO                      | COM | 501044101 | 709    | 32719   | SH | DEFINED | 01 | 0 |
| KROGER CO                      | COM | 501044101 | 126576 | 5843818 | SH | DEFINED | 01 | 1 |
| KROGER CO                      | COM | 501044101 | 442    | 20428   | SH | DEFINED | 01 | 1 |
| KUBOTA CORP ADR-EACHCNV INTO 5 | COM | 501173207 | 102    | 2242    | SH | DEFINED | 01 | 1 |
| KULICKE & SOFFA INDUSTRIES     | COM | 501242101 | 475    | 65454   | SH | DEFINED | 01 | 0 |
| KULICKE & SOFFA INDUSTRIES     | COM | 501242101 | 15     | 2094    | SH | DEFINED | 01 | 1 |
| KYOCERA CORP ADR-EACH C        | COM | 501556203 | 71     | 733     | SH | DEFINED | 01 | 1 |
| LCA-VISION INC                 | COM | 501803308 | 148    | 17746   | SH | DEFINED | 01 | 0 |
| LCA-VISION INC                 | COM | 501803308 | 2      | 265     | SH | DEFINED | 01 | 1 |
| LDK SOLAR CO LTD ADREACH REPR  | COM | 50183L107 | 61     | 9270    | SH | DEFINED | 01 | 1 |
| LG DISPLAY CO LTD-ADR          | COM | 50186V102 | 191    | 10800   | SH | DEFINED | 01 | 0 |
| LG DISPLAY CO LTD-ADR          | COM | 50186V102 | 20     | 1132    | SH | DEFINED | 01 | 1 |
| LHC GROUP INC                  | COM | 50187A107 | 10607  | 316314  | SH | DEFINED | 01 | 0 |
| LHC GROUP INC                  | COM | 50187A107 | 148    | 4420    | SH | DEFINED | 01 | 1 |
| LKQ CORP                       | COM | 501889208 | 3798   | 187084  | SH | DEFINED | 01 | 0 |
| LKQ CORP                       | COM | 501889208 | 90     | 4442    | SH | DEFINED | 01 | 0 |
| LKQ CORP                       | COM | 501889208 | 122    | 6700    | SH | DEFINED | 01 | 1 |
| LKQ CORP                       | COM | 501889208 | 50     | 2475    | SH | DEFINED | 01 | 1 |
| LL&E ROYALTY TR UBI            | COM | 502003106 | 3      | 4050    | SH | DEFINED | 01 | 1 |
| LMP REAL ESTATE INCOME FD      | COM | 50208C108 | 7      | 754     | SH | DEFINED | 01 | 1 |
| L 1 IDENTITY SOLUTIONS         | COM | 50212A106 | 59     | 6642    | SH | DEFINED | 01 | 1 |
| LSB INDUSTRIES INC             | COM | 502160104 | 19     | 1250    | SH | DEFINED | 01 | 1 |
| LSI CORP                       | COM | 502161102 | 52267  | 8540072 | SH | DEFINED | 01 | 0 |
| LSI CORP                       | COM | 502161102 | 297    | 48574   | SH | DEFINED | 01 | 0 |
|                                |     |           |        |         |    |         |    |   |
| LSI CORP                       | COM | 502161102 | 172    | 28121   | SH | DEFINED | 01 | 1 |
| LTC PROPERTIES INC             | COM | 502175102 | 722    | 26671   | SH | DEFINED | 01 | 0 |
| LTC PROPERTIES INC             | COM | 502175102 | 5      | 200     | SH | DEFINED | 01 | 1 |
| LTX-CREDENCE CORP COM          | COM | 502403108 | 0      | 122     | SH | DEFINED | 01 | 1 |
| L-3 COMMUNICATIONS HOLDINGS    | COM | 502424104 | 298    | 3251    | SH | DEFINED | 01 | 0 |
| L-3 COMMUNICATIONS HOLDINGS    | COM | 502424104 | 501    | 5469    | SH | DEFINED | 01 | 0 |
| L-3 COMMUNICATIONS HOLDINGS    | COM | 502424104 | 671    | 7319    | SH | DEFINED | 01 | 1 |
| LA BARGE INC                   | COM | 502470107 | 10     | 950     | SH | DEFINED | 01 | 1 |
| LA JOLLA PHARM COM NEW         | COM | 503459307 | 0      | 751     | SH | DEFINED | 01 | 1 |
| LA-Z-BOY INC                   | COM | 505336107 | 533    | 42534   | SH | DEFINED | 01 | 0 |
| LA-Z-BOY INC                   | COM | 505336107 | 50     | 4000    | SH | DEFINED | 01 | 1 |
| LABORATORY CRP OF AMER HLDGS   | COM | 50540R409 | 15561  | 205529  | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS   | COM | 50540R409 | 4247   | 56090   | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS   | COM | 50540R409 | 299    | 3942    | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS   | COM | 50540R409 | 81092  | 1071080 | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| LABORATORY CRP OF AMER HLDGS   | COM | 50540R409 | 135   | 1778    | SH | DEFINED | 01 | 1 |
| LABRANCHE & CO INC             | COM | 505447102 | 132   | 25146   | SH | DEFINED | 01 | 0 |
| LACLEDE GROUP INC/THE          | COM | 505597104 | 3511  | 104132  | SH | DEFINED | 01 | 0 |
| LACLEDE GROUP INC/THE          | COM | 505597104 | 58    | 1710    | SH | DEFINED | 01 | 1 |
| LACROSSE FOOTWEAR INC          | COM | 505688101 | 2     | 100     | SH | DEFINED | 01 | 1 |
| LADISH CO INC                  | COM | 505754200 | 94    | 4650    | SH | DEFINED | 01 | 0 |
| LADISH CO INC                  | COM | 505754200 | 10    | 500     | SH | DEFINED | 01 | 1 |
| LADENBURG THALMANN FINL SVCS   | COM | 50575Q102 | 2     | 2242    | SH | DEFINED | 01 | 1 |
| LAKELAND FIN CORP              | COM | 511656100 | 1     | 44      | SH | DEFINED | 01 | 1 |
| LAKES ENTMT INC COM            | COM | 51206P109 | 12    | 5192    | SH | DEFINED | 01 | 1 |
| LAM RESEARCH CORP              | COM | 512807108 | 71500 | 1915919 | SH | DEFINED | 01 | 0 |
| LAM RESEARCH CORP              | COM | 512807108 | 81    | 2175    | SH | DEFINED | 01 | 0 |
| LAM RESEARCH CORP              | COM | 512807108 | 27    | 730     | SH | DEFINED | 01 | 0 |
| LAM RESEARCH CORP              | COM | 512807108 | 392   | 11300   | SH | DEFINED | 01 | 1 |
| LAM RESEARCH CORP              | COM | 512807108 | 122   | 3276    | SH | DEFINED | 01 | 1 |
| LAMAR ADVERTISING CO-CL A      | COM | 512815101 | 63    | 1839    | SH | DEFINED | 01 | 0 |
| LAMAR ADVERTISING CO-CL A      | COM | 512815101 | 5     | 150     | SH | DEFINED | 01 | 1 |
| LANCASTER COLONY CORP          | COM | 513847103 | 4042  | 68556   | SH | DEFINED | 01 | 0 |
| LANCASTER COLONY CORP          | COM | 513847103 | 8     | 144     | SH | DEFINED | 01 | 1 |
| LANCE INC                      | COM | 514606102 | 658   | 28454   | SH | DEFINED | 01 | 0 |
| LANCE INC                      | COM | 514606102 | 16    | 700     | SH | DEFINED | 01 | 1 |
| LANDAUER INC                   | COM | 51476K103 | 438   | 6711    | SH | DEFINED | 01 | 0 |
| LANDAUER INC                   | COM | 51476K103 | 3     | 45      | SH | DEFINED | 01 | 1 |
| LANDRY'S RESTAURANTS INC       | COM | 51508L103 | 86    | 4774    | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC            | COM | 515098101 | 13485 | 321189  | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC            | COM | 515098101 | 98    | 2326    | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC            | COM | 515098101 | 35    | 826     | SH | DEFINED | 01 | 1 |
| LANTRONIX INC - WTS            | WT  | 516548906 | 0     | 2188    | SH | DEFINED | 01 | 0 |
| LAS VEGAS SANDS CORP           | COM | 517834107 | 7193  | 340063  | SH | DEFINED | 01 | 0 |
| LAS VEGAS SANDS CORP           | COM | 517834107 | 141   | 6675    | SH | DEFINED | 01 | 1 |
| LAS VEGAS SANDS CORP           | COM | 517834107 | 1322  | 62517   | SH | DEFINED | 01 | 1 |
| LASALLE HOTEL PROPERTIES - REI | COM | 517942108 | 4435  | 190335  | SH | DEFINED | 01 | 0 |
| LASALLE HOTEL PROPERTIES - REI | COM | 517942108 | 96    | 2750    | SH | DEFINED | 01 | 1 |
| LASALLE HOTEL PROPERTIES - REI | COM | 517942108 | 4     | 165     | SH | DEFINED | 01 | 1 |
| LATIN AMER EQUITY FD INC NEW   | COM | 51827Q106 | 7     | 170     | SH | DEFINED | 01 | 1 |
| LATIN AMERN DISCOVERY          | COM | 51828C106 | 15    | 850     | SH | DEFINED | 01 | 1 |
| LATTICE SEMICONDUCTOR CORP     | COM | 518415104 | 8484  | 2311830 | SH | DEFINED | 01 | 0 |
| ESTEE LAUDER COMPANIES-CL A    | COM | 518439104 | 1019  | 15707   | SH | DEFINED | 01 | 0 |
| ESTEE LAUDER COMPANIES-CL A    | COM | 518439104 | 652   | 10052   | SH | DEFINED | 01 | 0 |
| ESTEE LAUDER COMPANIES-CL A    | COM | 518439104 | 92    | 1415    | SH | DEFINED | 01 | 1 |
| LAWSON PRODUCTS INC            | COM | 520776105 | 34    | 2194    | SH | DEFINED | 01 | 0 |
| LAWSON SOFTWARE INC            | COM | 52078P102 | 23486 | 3553275 | SH | DEFINED | 01 | 0 |
| LAWSON SOFTWARE INC            | COM | 52078P102 | 2     | 233     | SH | DEFINED | 01 | 1 |
| LAYNE CHRISTENSEN COMPANY      | COM | 521050104 | 2188  | 81972   | SH | DEFINED | 01 | 0 |
| LAYNE CHRISTENSEN COMPANY      | COM | 521050104 | 8     | 303     | SH | DEFINED | 01 | 1 |
| LAZARD WORLD DIVID & INCOME FD | COM | 521076109 | 16    | 1296    | SH | DEFINED | 01 | 1 |
| LEAP WIRELESS INTL INC-W/I     | COM | 521863308 | 1308  | 80000   | SH | DEFINED | 01 | 1 |
| LEAPFROG ENTERPRISES INC       | COM | 52186N106 | 3029  | 462500  | SH | DEFINED | 01 | 0 |
| LEAPFROG ENTERPRISES INC       | COM | 52186N106 | 55    | 8408    | SH | DEFINED | 01 | 0 |
| LEAPFROG ENTERPRISES INC       | COM | 52186N106 | 7     | 1050    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| LEE ENTERPRISES INC            | COM      | 523768109 | 1      | 392     | SH  | DEFINED | 01 | 1 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 128    | 5900    | SH  | DEFINED | 01 | 0 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 104    | 4798    | SH  | DEFINED | 01 | 0 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 26     | 1191    | SH  | DEFINED | 01 | 1 |
| LEGACY RESVS LP UNITLTD PARTNE | COM      | 524707304 | 187    | 8100    | SH  | DEFINED | 01 | 1 |
| LEGG MASON INC                 | COM      | 524901105 | 133    | 4659    | SH  | DEFINED | 01 | 0 |
| LEGG MASON INC                 | COM      | 524901105 | 227    | 7916    | SH  | DEFINED | 01 | 0 |
| LEGG MASON INC                 | COM      | 524901105 | 9      | 326     | SH  | DEFINED | 01 | 1 |
| LEHMAN BROTHERS HOLDINGS       | CONV BND | 524935AA1 | 2600   | 165000  | PRN | DEFINED | 01 | 0 |
| LEHMAN BROTHERS HOLDINGS       | CONV BND | 524935AM5 | 2886   | 165000  | PRN | DEFINED | 01 | 0 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 32352  | 857065  | SH  | DEFINED | 01 | 0 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 86     | 2100    | SH  | DEFINED | 01 | 1 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 31     | 814     | SH  | DEFINED | 01 | 1 |
| LENNAR CORP-CL A               | COM      | 526057104 | 8963   | 520765  | SH  | DEFINED | 01 | 0 |
| LENNAR CORP-CL A               | COM      | 526057104 | 163    | 9456    | SH  | DEFINED | 01 | 0 |
| LENNAR CORP-CL A               | COM      | 526057104 | 14759  | 857582  | SH  | DEFINED | 01 | 1 |
| LENNAR CORP-CL A               | COM      | 526057104 | 13     | 773     | SH  | DEFINED | 01 | 1 |
| LENNAR CORP CL B               | COM      | 526057302 | 0      | 20      | SH  | DEFINED | 01 | 1 |
| LENNOX INTL INC                | COM      | 526107107 | 1      | 12      | SH  | DEFINED | 01 | 1 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 89     | 3599    | SH  | DEFINED | 01 | 0 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 152    | 6127    | SH  | DEFINED | 01 | 0 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 62     | 2518    | SH  | DEFINED | 01 | 1 |
| LEVEL 3 COMMUNICAT             | COM      | 52729N100 | 99     | 61328   | SH  | DEFINED | 01 | 1 |
| LEXICON PHARMACEUT             | COM      | 528872104 | 3      | 2000    | SH  | DEFINED | 01 | 1 |
| LEXINGTON REALTY TRUST - REIT  | COM      | 529043101 | 638    | 97991   | SH  | DEFINED | 01 | 0 |
| LEXINGTON REALTY TRUST - REIT  | COM      | 529043101 | 12     | 1892    | SH  | DEFINED | 01 | 1 |
| LEXMARK INTERNATIONAL INC-A    | COM      | 529771107 | 14936  | 413955  | SH  | DEFINED | 01 | 0 |
| LEXMARK INTERNATIONAL INC-A    | COM      | 529771107 | 375    | 10381   | SH  | DEFINED | 01 | 0 |
| LEXMARK INTERNATIONAL INC-A    | COM      | 529771107 | 32     | 900     | SH  | DEFINED | 01 | 1 |
| LIBERTY ALL-STAR GROWTH FUN    | COM      | 529900102 | 0      | 65      | SH  | DEFINED | 01 | 1 |
| LIBERTY ALL STAR EQUITY FD     | COM      | 530158104 | 71     | 14999   | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC COM SER A   | COM      | 530555101 | 3      | 89      | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC COM SER C   | COM      | 530555309 | 2      | 65      | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA CORP-INTER A     | COM      | 53071M104 | 10355  | 676367  | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA CORP-INTER A     | COM      | 53071M104 | 7      | 430     | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA CORP-CAP SER A   | COM      | 53071M302 | 790    | 21717   | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA CORP-CAP SER A   | COM      | 53071M302 | 277    | 7605    | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA-STARZ SERIES A   | COM      | 53071M708 | 2368   | 43320   | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA-STARZ SERIES A   | COM      | 53071M708 | 62     | 1250    | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA-STARZ SERIES A   | COM      | 53071M708 | 2      | 35      | SH  | DEFINED | 01 | 1 |
| LIBERTY PROPERTY TRUST         | COM      | 531172104 | 1769   | 52115   | SH  | DEFINED | 01 | 0 |
| LIBERTY PROPERTY TRUST         | COM      | 531172104 | 21     | 621     | SH  | DEFINED | 01 | 1 |
| LIFEWAY FOODS INC              | COM      | 531914109 | 1      | 100     | SH  | DEFINED | 01 | 1 |
| LIFE PARTNERS HOLDINGS INC     | COM      | 53215T106 | 119    | 5379    | SH  | DEFINED | 01 | 0 |
| LIFE PARTNERS HOLDINGS INC     | COM      | 53215T106 | 9      | 400     | SH  | DEFINED | 01 | 1 |
| LIFE TIME FITNESS INC          | COM      | 53217R207 | 4      | 160     | SH  | DEFINED | 01 | 1 |
| LIFE TECHNOLOGIES CORP         | COM      | 53217V109 | 215729 | 4127230 | SH  | DEFINED | 01 | 0 |
| LIFE TECHNOLOGIES CORP         | COM      | 53217V109 | 630    | 12050   | SH  | DEFINED | 01 | 0 |
| LIFE TECHNOLOGIES CORP         | COM      | 53217V109 | 11611  | 221923  | SH  | DEFINED | 01 | 1 |
| LIFE TECHNOLOGIES CORP         | COM      | 53217V109 | 41     | 783     | SH  | DEFINED | 01 | 1 |
| LIFEPOINT HOSPITALS INC        | COM      | 53219L109 | 0      | 4       | SH  | DEFINED | 01 | 1 |
| LIGAND PHARMACEUTICALS-CL B    | COM      | 53220K207 | 20     | 11360   | SH  | DEFINED | 01 | 0 |
| LIGAND PHARMACEUTICALS-CL B    | COM      | 53220K207 | 0      | 3       | SH  | DEFINED | 01 | 1 |
| LIGHTBRIDGE CORP COM           | COM      | 53224K104 | 9      | 1134    | SH  | DEFINED | 01 | 1 |
| LIGHTPATH TECHNOLOGI           | COM      | 532257805 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| LIHIR GOLD LTD-SPONSORED ADR   | COM      | 532349107 | 112    | 4000    | SH  | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| LIHIR GOLD LTD-SPONSORED ADR   | COM | 532349107 | 103    | 3667    | SH | DEFINED | 01 | 1 |
| ELI LILLY & CO                 | COM | 532457108 | 37144  | 1025488 | SH | DEFINED | 01 | 0 |
| ELI LILLY & CO                 | COM | 532457108 | 2206   | 60892   | SH | DEFINED | 01 | 0 |
| ELI LILLY & CO                 | COM | 532457108 | 26317  | 726589  | SH | DEFINED | 01 | 1 |
| ELI LILLY & CO                 | COM | 532457108 | 777    | 21439   | SH | DEFINED | 01 | 1 |
| LIMELIGHT NETWORKS INC         | COM | 53261M104 | 8263   | 2257723 | SH | DEFINED | 01 | 0 |
| LIMELIGHT NETWORKS INC         | COM | 53261M104 | 163    | 44643   | SH | DEFINED | 01 | 0 |
| LIME ENERGY CO COM NEW         | COM | 53261U205 | 0      | 10      | SH | DEFINED | 01 | 1 |
| LIMITED BRANDS INC             | COM | 532716107 | 40477  | 1644076 | SH | DEFINED | 01 | 0 |
| LIMITED BRANDS INC             | COM | 532716107 | 740    | 30046   | SH | DEFINED | 01 | 0 |
| LIMITED BRANDS INC             | COM | 532716107 | 54544  | 2216318 | SH | DEFINED | 01 | 1 |
| LIMITED BRANDS INC             | COM | 532716107 | 25     | 1025    | SH | DEFINED | 01 | 1 |
| LIN TV CORP CL A               | COM | 532774106 | 36     | 6252    | SH | DEFINED | 01 | 1 |
| LINCARE HOLDINGS INC           | COM | 532791100 | 4435   | 98812   | SH | DEFINED | 01 | 0 |
| LINCARE HOLDINGS INC           | COM | 532791100 | 6      | 130     | SH | DEFINED | 01 | 1 |
| LINCOLN EDUCATIONAL SERVICES   | COM | 533535100 | 4515   | 178470  | SH | DEFINED | 01 | 0 |
| LINCOLN EDUCATIONAL SERVICES   | COM | 533535100 | 35     | 1400    | SH | DEFINED | 01 | 1 |
| LINCOLN ELECTRIC HOLDINGS      | COM | 533900106 | 1998   | 36770   | SH | DEFINED | 01 | 0 |
| LINCOLN ELECTRIC HOLDINGS      | COM | 533900106 | 86     | 1578    | SH | DEFINED | 01 | 1 |
| LINCOLN NATIONAL CORP          | COM | 534187109 | 106227 | 3460050 | SH | DEFINED | 01 | 0 |
| LINCOLN NATIONAL CORP          | COM | 534187109 | 652    | 21245   | SH | DEFINED | 01 | 0 |
| LINCOLN NATIONAL CORP          | COM | 534187109 | 50     | 3100    | SH | DEFINED | 01 | 1 |
| LINCOLN NATIONAL CORP          | COM | 534187109 | 228    | 7441    | SH | DEFINED | 01 | 1 |
| LINDSAY CORP                   | COM | 535555106 | 2618   | 63219   | SH | DEFINED | 01 | 0 |
| LINDSAY CORP                   | COM | 535555106 | 17     | 404     | SH | DEFINED | 01 | 1 |
| LINEAR TECHNOLOGY CORP         | COM | 535678106 | 146    | 5154    | SH | DEFINED | 01 | 0 |
| LINEAR TECHNOLOGY CORP         | COM | 535678106 | 262    | 9269    | SH | DEFINED | 01 | 0 |
| LINEAR TECHNOLOGY CORP         | COM | 535678106 | 39     | 1393    | SH | DEFINED | 01 | 1 |
| LINK ENERGY LLC                | LP  | 535763106 | 16     | 2336773 | SH | DEFINED | 01 | 0 |
| LIONS GATE ENTERTAINM          | COM | 535919203 | 6      | 890     | SH | DEFINED | 01 | 1 |
| LINN ENERGY LLC UNITREPSTG LTD | COM | 536020100 | 1042   | 40523   | SH | DEFINED | 01 | 1 |
| LIONBRIDGE TECH INC            | COM | 536252109 | 1      | 300     | SH | DEFINED | 01 | 1 |
| LITHIA MOTORS INC-CL A         | COM | 536797103 | 175    | 27375   | SH | DEFINED | 01 | 0 |
| LITHIA MOTORS INC-CL A         | COM | 536797103 | 17     | 2600    | SH | DEFINED | 01 | 1 |
| LITTELFUSE INC                 | COM | 537008104 | 18734  | 492852  | SH | DEFINED | 01 | 0 |
| LIVE NATION ENTERTAINMENT INC  | COM | 538034109 | 1846   | 127315  | SH | DEFINED | 01 | 0 |
| LIVE NATION ENTERTAINMENT INC  | COM | 538034109 | 1      | 77      | SH | DEFINED | 01 | 1 |
| LIZ CLAIBORNE INC              | COM | 539320101 | 798    | 107471  | SH | DEFINED | 01 | 0 |
| LIZ CLAIBORNE INC              | COM | 539320101 | 2077   | 279535  | SH | DEFINED | 01 | 1 |
| LIZ CLAIBORNE INC              | COM | 539320101 | 45     | 6115    | SH | DEFINED | 01 | 1 |
| LLOYDS BANKING GROUPADR REP 4  | COM | 539439109 | 30     | 7918    | SH | DEFINED | 01 | 1 |
| LOJACK CORPORATION             | COM | 539451104 | 130    | 31388   | SH | DEFINED | 01 | 0 |
| LOCAL.COM CORP                 | COM | 53954R105 | 21     | 3134    | SH | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP           | COM | 539830109 | 42152  | 506533  | SH | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP           | COM | 539830109 | 3833   | 46054   | SH | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP           | COM | 539830109 | 1628   | 19567   | SH | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP           | COM | 539830109 | 62063  | 745879  | SH | DEFINED | 01 | 1 |
| LOCKHEED MARTIN CORP           | COM | 539830109 | 494    | 5939    | SH | DEFINED | 01 | 1 |
| LODGENET INTERACTIVECORP COM   | COM | 540211109 | 31     | 4492    | SH | DEFINED | 01 | 1 |
| LODGIAN INC                    | COM | 54021P403 | 1640   | 655822  | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| LOEWS CORP                     | COM | 540424108 | 92617  | 2484357 | SH | DEFINED | 01 | 0 |
| LOEWS CORP                     | COM | 540424108 | 545    | 14624   | SH | DEFINED | 01 | 0 |
| LOEWS CORP                     | COM | 540424108 | 1123   | 30125   | SH | DEFINED | 01 | 1 |
| LOGIC DEVICES INC              | COM | 541402103 | 1      | 800     | SH | DEFINED | 01 | 1 |
| LONGTOP FINANCIAL TECHNO-ADR   | COM | 54318P108 | 5086   | 157896  | SH | DEFINED | 01 | 0 |
| LONGTOP FINANCIAL TECHNO-ADR   | COM | 54318P108 | 41     | 1280    | SH | DEFINED | 01 | 0 |
| LONGTOP FINANCIAL TECHNO-ADR   | COM | 54318P108 | 342    | 9300    | SH | DEFINED | 01 | 1 |
| LOOPNET INC COM                | COM | 543524300 | 4      | 400     | SH | DEFINED | 01 | 1 |
| LORAL SPACE & COMMUNICATIONS   | COM | 543881106 | 71     | 2019    | SH | DEFINED | 01 | 0 |
| LORILLARD INC                  | COM | 544147101 | 449094 | 5968819 | SH | DEFINED | 01 | 0 |
| LORILLARD INC                  | COM | 544147101 | 1531   | 20360   | SH | DEFINED | 01 | 0 |
| LORILLARD INC                  | COM | 544147101 | 2482   | 33000   | SH | DEFINED | 01 | 1 |
| LORILLARD INC                  | COM | 544147101 | 254    | 3379    | SH | DEFINED | 01 | 1 |
| LOUISIANA-PACIFIC CORP         | COM | 546347105 | 9980   | 1102693 | SH | DEFINED | 01 | 0 |
| LOUISIANA-PACIFIC CORP         | COM | 546347105 | 121    | 13345   | SH | DEFINED | 01 | 1 |
| LOWE'S COS INC                 | COM | 548661107 | 99959  | 4123563 | SH | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM | 548661107 | 3794   | 156504  | SH | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM | 548661107 | 1842   | 76009   | SH | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM | 548661107 | 37584  | 1550520 | SH | DEFINED | 01 | 1 |
| LOWE'S COS INC                 | COM | 548661107 | 774    | 31915   | SH | DEFINED | 01 | 1 |
| LUBRIZOL CORP                  | COM | 549271104 | 47886  | 522078  | SH | DEFINED | 01 | 0 |
| LUBRIZOL CORP                  | COM | 549271104 | 461    | 5025    | SH | DEFINED | 01 | 1 |
| LUFKIN INDUSTRIES INC          | COM | 549764108 | 2821   | 35631   | SH | DEFINED | 01 | 0 |
| LULULEMON ATHLETICA INC        | COM | 550021109 | 39     | 951     | SH | DEFINED | 01 | 0 |
| LUMBER LIQUIDATORS HOLDINGS IN | COM | 55003T107 | 415    | 15545   | SH | DEFINED | 01 | 0 |
| LUXOTTICA GROUP ADR-EACH C     | COM | 55068R202 | 5      | 200     | SH | DEFINED | 01 | 1 |
| LYDALL INC                     | COM | 550819106 | 127    | 16202   | SH | DEFINED | 01 | 0 |
| MACC PRIVATE EQUITIES I        | COM | 552617102 | 0      | 91      | SH | DEFINED | 01 | 1 |
| M & T BANK CORP                | COM | 55261F104 | 7384   | 93012   | SH | DEFINED | 01 | 0 |
| M & T BANK CORP                | COM | 55261F104 | 264    | 3327    | SH | DEFINED | 01 | 0 |
| M & T BANK CORP                | COM | 55261F104 | 182    | 2297    | SH | DEFINED | 01 | 1 |
| MBIA INC                       | COM | 55262C100 | 1534   | 244744  | SH | DEFINED | 01 | 0 |
| MBIA CAP/CLAYMORE MANAGED DU   | COM | 55266X100 | 336    | 25000   | SH | DEFINED | 01 | 1 |
| MDC HOLDINGS INC               | COM | 552676108 | 838    | 24204   | SH | DEFINED | 01 | 0 |
| MDC HOLDINGS INC               | COM | 552676108 | 85     | 2463    | SH | DEFINED | 01 | 1 |
| M D U RES GROUP INC            | COM | 552690109 | 115    | 5329    | SH | DEFINED | 01 | 1 |
| MEMC ELECTRONIC MATERIALS      | COM | 552715104 | 16313  | 1064068 | SH | DEFINED | 01 | 0 |
| MEMC ELECTRONIC MATERIALS      | COM | 552715104 | 329    | 21451   | SH | DEFINED | 01 | 0 |
| MEMC ELECTRONIC MATERIALS      | COM | 552715104 | 634    | 41377   | SH | DEFINED | 01 | 1 |
| MFA FINANCIAL INC              | COM | 55272X102 | 6829   | 927940  | SH | DEFINED | 01 | 0 |
| MFA FINANCIAL INC              | COM | 55272X102 | 166    | 22553   | SH | DEFINED | 01 | 1 |
| MFS MULTIMARKET INCOME TR      | COM | 552737108 | 1      | 123     | SH | DEFINED | 01 | 1 |
| MFS MUN INCOME TR SH BEN INT   | COM | 552738106 | 43     | 6270    | SH | DEFINED | 01 | 1 |
| MFS INTER INCOME TR SH BEN INT | COM | 55273C107 | 60     | 8796    | SH | DEFINED | 01 | 1 |
| MF GLOBAL HOLDINGS LTD         | COM | 55277J108 | 567    | 70377   | SH | DEFINED | 01 | 0 |
| MGE ENERGY INC                 | COM | 55277P104 | 34     | 968     | SH | DEFINED | 01 | 1 |
| MGIC INVST CORP WIS COM        | COM | 552848103 | 3      | 261     | SH | DEFINED | 01 | 1 |
| MFS GOVT MKTS INCOMETR SH BEN  | COM | 552939100 | 23     | 3000    | SH | DEFINED | 01 | 1 |
| MGM MIRAGE                     | COM | 552953101 | 613    | 51056   | SH | DEFINED | 01 | 0 |
| MGM MIRAGE                     | COM | 552953101 | 1055   | 87914   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                   |     |           |        |         |    |         |    |   |
|-----------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MI DEVELOPMENTS INC-CL A          | COM | 55304X104 | 9695   | 743500  | SH | DEFINED | 01 | 0 |
| M/I HOMES INC                     | COM | 55305B101 | 176    | 12012   | SH | DEFINED | 01 | 0 |
| MKS INSTRUMENTS INC               | COM | 55306N104 | 919    | 46898   | SH | DEFINED | 01 | 0 |
| MSC INDUSTRIAL DIRECT CO          | COM | 553530106 | 11     | 214     | SH | DEFINED | 01 | 1 |
| MSCI INC-A                        | COM | 55354G100 | 76     | 2175    | SH | DEFINED | 01 | 1 |
| MSCI INC-A                        | COM | 55354G100 | 19     | 515     | SH | DEFINED | 01 | 1 |
| MTS SYSTEMS CORP                  | COM | 553777103 | 591    | 20374   | SH | DEFINED | 01 | 0 |
| MVC CAPITAL INC                   | COM | 553829102 | 449    | 33126   | SH | DEFINED | 01 | 0 |
| MVC CAPITAL INC                   | COM | 553829102 | 12     | 905     | SH | DEFINED | 01 | 1 |
| MWI VETERINARY SUPPLY INC         | COM | 55402X105 | 398    | 9840    | SH | DEFINED | 01 | 0 |
| MYR GROUP INC/DELAWARE            | COM | 55405W104 | 1091   | 66839   | SH | DEFINED | 01 | 0 |
| MAC-GRAY CORP                     | COM | 554153106 | 4311   | 381840  | SH | DEFINED | 01 | 0 |
| MACATAWA BANK CORP                | COM | 554225102 | 2      | 1271    | SH | DEFINED | 01 | 1 |
| MACERICH CO/THE                   | COM | 554382101 | 3339   | 87133   | SH | DEFINED | 01 | 0 |
| MACERICH CO/THE                   | COM | 554382101 | 45     | 1170    | SH | DEFINED | 01 | 1 |
| MACK-CALI REALTY CORP             | COM | 554489104 | 2376   | 67400   | SH | DEFINED | 01 | 0 |
| MACK-CALI REALTY CORP             | COM | 554489104 | 154    | 4357    | SH | DEFINED | 01 | 1 |
| MACQUARIE/FIRST TR GLOBAL INF     | COM | 55607W100 | 6      | 506     | SH | DEFINED | 01 | 1 |
| MACQUARIE INFRASTRUC              | COM | 55608B105 | 7      | 500     | SH | DEFINED | 01 | 1 |
| MACQUARIE GLOBAL INFRASTRUC       | COM | 55608D101 | 52     | 3285    | SH | DEFINED | 01 | 1 |
| MACY'S INC                        | COM | 55616P104 | 143558 | 6594238 | SH | DEFINED | 01 | 0 |
| MACY'S INC                        | COM | 55616P104 | 805    | 36979   | SH | DEFINED | 01 | 0 |
| MACY'S INC                        | COM | 55616P104 | 1011   | 46422   | SH | DEFINED | 01 | 1 |
| STEVEN MADDEN LTD                 | COM | 556269108 | 1384   | 28367   | SH | DEFINED | 01 | 0 |
| STEVEN MADDEN LTD                 | COM | 556269108 | 3      | 66      | SH | DEFINED | 01 | 1 |
| MAG SILVER CORP COM NPV ISIN #    | COM | 55903Q104 | 17     | 2270    | SH | DEFINED | 01 | 1 |
| MAGELLAN HEALTH SERVICES INC      | COM | 559079207 | 4497   | 103434  | SH | DEFINED | 01 | 0 |
| MAGELLAN MIDSTREAM PARTNERS L     | COM | 559080106 | 759    | 15964   | SH | DEFINED | 01 | 1 |
| MAGELLAN PETE CORP                | COM | 559091301 | 1      | 245     | SH | DEFINED | 01 | 1 |
| MAGNA INTERNATIONAL INC-CL A      | COM | 559222401 | 2876   | 46503   | SH | DEFINED | 01 | 0 |
| MAGNA INTERNATIONAL INC-CL A      | COM | 559222401 | 71     | 1154    | SH | DEFINED | 01 | 1 |
| MAGNACHIP SEMICONDUCTOR CORP W WT |     | 55932R7F8 | 0      | 120000  | SH | DEFINED | 01 | 0 |
| MAGNACHIP SEMICONDUCTOR CORP      | COM | 55932R8F7 | 0      | 24000   | SH | DEFINED | 01 | 0 |
| MAGNETEK INC                      | COM | 559424106 | 113    | 67288   | SH | DEFINED | 01 | 0 |
| MAGNUM HUNTER RES CORP DEL C      | COM | 55973B102 | 5      | 1565    | SH | DEFINED | 01 | 1 |
| MAGUIRE PTYS INC                  | COM | 559775101 | 4      | 1248    | SH | DEFINED | 01 | 1 |
| MAGYAR TELEKOM TELE-SPON ADR      | COM | 559776109 | 14     | 700     | SH | DEFINED | 01 | 0 |
| MAGYAR TELEKOM TELE-SPON ADR      | COM | 559776109 | 49     | 2400    | SH | DEFINED | 01 | 1 |
| MAHANAGAR TELEPHONE NIGAM ADS     | COM | 559778402 | 0      | 100     | SH | DEFINED | 01 | 1 |
| MAIDENFORM BRANDS INC             | COM | 560305104 | 449    | 20546   | SH | DEFINED | 01 | 0 |
| MAIDENFORM BRANDS INC             | COM | 560305104 | 30     | 1362    | SH | DEFINED | 01 | 0 |
| MAINE & MARITIMES CORP            | COM | 560377103 | 9      | 200     | SH | DEFINED | 01 | 1 |
| MAINSOURCE FINANCIAL GROUP I      | COM | 56062Y102 | 86     | 12728   | SH | DEFINED | 01 | 0 |
| MANAGED HIGH YIELD PLUS FD IN     | COM | 561911108 | 234    | 102988  | SH | DEFINED | 01 | 1 |
| MANHATTAN ASSOCIATES INC          | COM | 562750109 | 552    | 21651   | SH | DEFINED | 01 | 0 |
| MANITOWOC COMPANY INC             | COM | 563571108 | 25479  | 1959935 | SH | DEFINED | 01 | 0 |
| MANITOWOC COMPANY INC             | COM | 563571108 | 630    | 48493   | SH | DEFINED | 01 | 1 |
| MANNATECH INC                     | COM | 563771104 | 43     | 12800   | SH | DEFINED | 01 | 0 |
| MANNATECH INC                     | COM | 563771104 | 5      | 1625    | SH | DEFINED | 01 | 1 |
| MANNKIND CORP                     | COM | 56400P201 | 9      | 1400    | SH | DEFINED | 01 | 1 |
| MANPOWER INC                      | COM | 56418H100 | 43     | 747     | SH | DEFINED | 01 | 1 |
| MANTECH INTERNATIONAL CORP-A      | COM | 564563104 | 4364   | 89383   | SH | DEFINED | 01 | 0 |
| MANTECH INTERNATIONAL CORP-A      | COM | 564563104 | 66     | 1342    | SH | DEFINED | 01 | 0 |
| MANTECH INTERNATIONAL CORP-A      | COM | 564563104 | 56     | 1275    | SH | DEFINED | 01 | 1 |
| MANTECH INTERNATIONAL CORP-A      | COM | 564563104 | 0      | 1       | SH | DEFINED | 01 | 1 |
| MANULIFE FINANCIAL CORP COM N     | COM | 56501R106 | 574    | 29147   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                             |            |     |           |        |         |    |         |    |   |
|-----------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| MARATHON OIL CORP           |            | COM | 565849106 | 204921 | 6476624 | SH | DEFINED | 01 | 0 |
| MARATHON OIL CORP           |            | COM | 565849106 | 1374   | 43439   | SH | DEFINED | 01 | 0 |
| MARATHON OIL CORP           |            | COM | 565849106 | 1467   | 46358   | SH | DEFINED | 01 | 1 |
| MARCUS CORPORATION          |            | COM | 566330106 | 177    | 13628   | SH | DEFINED | 01 | 0 |
| MARINEMAX INC               |            | COM | 567908108 | 150    | 13978   | SH | DEFINED | 01 | 0 |
| MARINER ENERGY INC          | COM        | COM | 56845T305 | 1      | 41      | SH | DEFINED | 01 | 1 |
|                             |            |     |           |        |         |    |         |    |   |
| MARKEL CORP                 |            | COM | 570535104 | 2573   | 6867    | SH | DEFINED | 01 | 0 |
| MARKEL CORP                 |            | COM | 570535104 | 49     | 132     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR GOLD MI | COM | 57060U100 | 1385   | 31198   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR ENVIRON | COM | 57060U209 | 18     | 408     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR STEEL E | COM | 57060U308 | 59     | 866     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR GLOBAL  | COM | 57060U407 | 631    | 27500   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS TR           | RUSSIA ETF | COM | 57060U506 | 3      | 100     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR JR GOLD | COM | 57060U589 | 79     | 3067    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR AGRIBUS | COM | 57060U605 | 1152   | 25546   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR BRAZIL  | COM | 57060U613 | 94     | 2063    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR NUCLEAR | COM | 57060U704 | 123    | 5468    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR INDONES | COM | 57060U753 | 10     | 150     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR VIETNAM | COM | 57060U761 | 523    | 20771   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR RVE HAR | COM | 57060U795 | 89     | 2623    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS              | SHORT MUNI | COM | 57060U803 | 296    | 17096   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR SOLAR E | COM | 57060U811 | 48     | 3724    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR GAMING  | COM | 57060U829 | 5      | 200     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR COAL ET | COM | 57060U837 | 140    | 3724    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS              | INTERMEDIA | COM | 57060U845 | 148    | 6955    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF          | TR LEHMAN  | COM | 57060U878 | 265    | 8622    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS              | LONG MUNIC | COM | 57060U886 | 66     | 3578    | SH | DEFINED | 01 | 1 |
| MARSH & MCLENNAN COS        |            | COM | 571748102 | 3579   | 146554  | SH | DEFINED | 01 | 0 |
| MARSH & MCLENNAN COS        |            | COM | 571748102 | 584    | 23932   | SH | DEFINED | 01 | 0 |
| MARSH & MCLENNAN COS        |            | COM | 571748102 | 217    | 8885    | SH | DEFINED | 01 | 1 |
| MARSHALL & ILSLEY CORP      |            | COM | 571837103 | 14148  | 1757539 | SH | DEFINED | 01 | 0 |
| MARSHALL & ILSLEY CORP      |            | COM | 571837103 | 478    | 59479   | SH | DEFINED | 01 | 0 |
| MARSHALL & ILSLEY CORP      |            | COM | 571837103 | 105    | 13021   | SH | DEFINED | 01 | 1 |
| MARRIOTT INTERNATIONAL-CL A |            | COM | 571903202 | 14272  | 452824  | SH | DEFINED | 01 | 0 |
| MARRIOTT INTERNATIONAL-CL A |            | COM | 571903202 | 316    | 10025   | SH | DEFINED | 01 | 0 |
| MARRIOTT INTERNATIONAL-CL A |            | COM | 571903202 | 113    | 3595    | SH | DEFINED | 01 | 1 |
| MARTEK BIOSCIENCES CORP     |            | COM | 572901106 | 3647   | 162047  | SH | DEFINED | 01 | 0 |
| MARTHA STEWART              | LIVING     | COM | 573083102 | 4      | 663     | SH | DEFINED | 01 | 1 |
|                             |            |     |           |        |         |    |         |    |   |
| MARTIN MARIETTA MATERIALS   |            | COM | 573284106 | 18061  | 216176  | SH | DEFINED | 01 | 0 |
| MARTIN MARIETTA MATERIALS   |            | COM | 573284106 | 91     | 1092    | SH | DEFINED | 01 | 0 |
| MARTIN MARIETTA MATERIALS   |            | COM | 573284106 | 17     | 206     | SH | DEFINED | 01 | 1 |
| MARTIN MIDSTREAM            | PARTNERS L | COM | 573331105 | 204    | 6563    | SH | DEFINED | 01 | 1 |
| MASCO CORP                  |            | COM | 574599106 | 7937   | 511351  | SH | DEFINED | 01 | 0 |
| MASCO CORP                  |            | COM | 574599106 | 438    | 28206   | SH | DEFINED | 01 | 0 |
| MASCO CORP                  |            | COM | 574599106 | 37     | 2388    | SH | DEFINED | 01 | 1 |
| MASIMO CORPORATION          |            | COM | 574795100 | 9595   | 361362  | SH | DEFINED | 01 | 0 |
| MASIMO CORPORATION          |            | COM | 574795100 | 124    | 4666    | SH | DEFINED | 01 | 0 |
| MASIMO CORPORATION          |            | COM | 574795100 | 60     | 2225    | SH | DEFINED | 01 | 1 |
| MASIMO CORPORATION          |            | COM | 574795100 | 6      | 221     | SH | DEFINED | 01 | 1 |
| MASS HLTH & ED TAX          | EXEMPT TR  | COM | 575672100 | 68     | 5470    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                             |     |           |       |         |    |         |    |   |
|-----------------------------|-----|-----------|-------|---------|----|---------|----|---|
| MASSEY ENERGY CO            | COM | 576206106 | 5734  | 109685  | SH | DEFINED | 01 | 0 |
| MASSEY ENERGY CO            | COM | 576206106 | 472   | 9021    | SH | DEFINED | 01 | 0 |
| MASSEY ENERGY CO            | COM | 576206106 | 17393 | 332879  | SH | DEFINED | 01 | 1 |
| MASSEY ENERGY CO            | COM | 576206106 | 7     | 132     | SH | DEFINED | 01 | 1 |
| MASSMUTUAL CORP INVS        | COM | 576292106 | 6     | 234     | SH | DEFINED | 01 | 1 |
| MASSMUTUAL PARTN INVS       | COM | 576299101 | 1     | 70      | SH | DEFINED | 01 | 1 |
| MASTERCARD INC-CLASS A      | COM | 57636Q104 | 66195 | 260607  | SH | DEFINED | 01 | 0 |
| MASTERCARD INC-CLASS A      | COM | 57636Q104 | 1311  | 5161    | SH | DEFINED | 01 | 0 |
| MASTERCARD INC-CLASS A      | COM | 57636Q104 | 94290 | 375933  | SH | DEFINED | 01 | 1 |
| MASTERCARD INC-CLASS A      | COM | 57636Q104 | 449   | 1768    | SH | DEFINED | 01 | 1 |
| MATRIX SERVICE CO           | COM | 576853105 | 729   | 67746   | SH | DEFINED | 01 | 0 |
| MATRIX SERVICE CO           | COM | 576853105 | 2     | 227     | SH | DEFINED | 01 | 1 |
| MATTEL INC                  | COM | 577081102 | 5209  | 229036  | SH | DEFINED | 01 | 0 |
| MATTEL INC                  | COM | 577081102 | 379   | 16654   | SH | DEFINED | 01 | 0 |
| MATTEL INC                  | COM | 577081102 | 95    | 4193    | SH | DEFINED | 01 | 1 |
| MATTHEWS INTL CORP CL A     | COM | 577128101 | 13    | 367     | SH | DEFINED | 01 | 1 |
| MAXIM INTEGRATED PRODUCTS   | COM | 57772K101 | 47202 | 2434406 | SH | DEFINED | 01 | 0 |
| MAXIM INTEGRATED PRODUCTS   | COM | 57772K101 | 95    | 4908    | SH | DEFINED | 01 | 1 |
| MAXWELL TECH INC            | COM | 577767106 | 0     | 1       | SH | DEFINED | 01 | 1 |
| MAXIMUS INC                 | COM | 577933104 | 13856 | 227407  | SH | DEFINED | 01 | 0 |
| M B T FINANCIAL CORP        | COM | 578877102 | 22    | 16000   | SH | DEFINED | 01 | 1 |
| MCAFEE INC                  | COM | 579064106 | 3947  | 98349   | SH | DEFINED | 01 | 0 |
| MCAFEE INC                  | COM | 579064106 | 310   | 7725    | SH | DEFINED | 01 | 0 |
| MCAFEE INC                  | COM | 579064106 | 353   | 9100    | SH | DEFINED | 01 | 1 |
| MCAFEE INC                  | COM | 579064106 | 24    | 598     | SH | DEFINED | 01 | 1 |
| MCCLATCHY CO HLDGS CL A     | COM | 579489105 | 5     | 1050    | SH | DEFINED | 01 | 1 |
| MCCORMICK & CO INC VTG      | COM | 579780107 | 35    | 913     | SH | DEFINED | 01 | 1 |
| MCCORMICK & CO-NON VTG SHRS | COM | 579780206 | 102   | 2653    | SH | DEFINED | 01 | 0 |
| MCCORMICK & CO-NON VTG SHRS | COM | 579780206 | 183   | 4764    | SH | DEFINED | 01 | 0 |
| MCCORMICK & CO-NON VTG SHRS | COM | 579780206 | 131   | 3426    | SH | DEFINED | 01 | 1 |
| MCDERMOTT INTL INC          | COM | 580037109 | 93843 | 3485984 | SH | DEFINED | 01 | 0 |
| MCDERMOTT INTL INC          | COM | 580037109 | 962   | 35748   | SH | DEFINED | 01 | 1 |
| MCDONALD'S CORP             | COM | 580135101 | 2558  | 38341   | SH | DEFINED | 01 | 0 |
| MCDONALD'S CORP             | COM | 580135101 | 3917  | 58709   | SH | DEFINED | 01 | 0 |
| MCDONALD'S CORP             | COM | 580135101 | 67967 | 1032363 | SH | DEFINED | 01 | 1 |
| MCDONALD'S CORP             | COM | 580135101 | 5142  | 77066   | SH | DEFINED | 01 | 1 |
| MCG CAPITAL CORP            | COM | 58047P107 | 55    | 10614   | SH | DEFINED | 01 | 1 |
| MCGRATH RENTCORP            | COM | 580589109 | 1767  | 72935   | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC   | COM | 580645109 | 2026  | 56833   | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC   | COM | 580645109 | 542   | 15197   | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC   | COM | 580645109 | 89    | 2504    | SH | DEFINED | 01 | 1 |
| MCKESSON CORP               | COM | 58155Q103 | 33739 | 513391  | SH | DEFINED | 01 | 0 |
| MCKESSON CORP               | COM | 58155Q103 | 1088  | 16554   | SH | DEFINED | 01 | 0 |
| MCKESSON CORP               | COM | 58155Q103 | 154   | 2348    | SH | DEFINED | 01 | 1 |
| MCMORAN EXPLORATION CO      | COM | 582411104 | 1239  | 84637   | SH | DEFINED | 01 | 0 |
| MCMORAN EXPLORATION CO      | COM | 582411104 | 586   | 40070   | SH | DEFINED | 01 | 1 |
| MEAD JOHNSON NUTRITION CO-A | COM | 582839106 | 11258 | 216378  | SH | DEFINED | 01 | 0 |
| MEAD JOHNSON NUTRITION CO-A | COM | 582839106 | 519   | 9977    | SH | DEFINED | 01 | 0 |
| MEAD JOHNSON NUTRITION CO-A | COM | 582839106 | 25    | 479     | SH | DEFINED | 01 | 1 |
| MEADOWBROOK INSURANCE GROUP | COM | 58319P108 | 494   | 62473   | SH | DEFINED | 01 | 0 |
| MEADOWBROOK INSURANCE GROUP | COM | 58319P108 | 5     | 600     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| MEADWESTVACO CORP              | COM | 583334107 | 20746  | 811990   | SH | DEFINED | 01 | 0 |
| MEADWESTVACO CORP              | COM | 583334107 | 362    | 14179    | SH | DEFINED | 01 | 0 |
| MEADWESTVACO CORP              | COM | 583334107 | 219    | 8556     | SH | DEFINED | 01 | 1 |
| MEASUREMENT SPECIALTIES INC    | COM | 583421102 | 1553   | 105580   | SH | DEFINED | 01 | 0 |
| MEASUREMENT SPECIALTIES INC    | COM | 583421102 | 0      | 1        | SH | DEFINED | 01 | 1 |
| MECHEL-SPONSORED ADR           | COM | 583840103 | 474    | 16700    | SH | DEFINED | 01 | 0 |
| MEDALLION FINANCIAL CORP       | COM | 583928106 | 3059   | 384298   | SH | DEFINED | 01 | 0 |
| MEDASSETS INC                  | COM | 584045108 | 2201   | 104800   | SH | DEFINED | 01 | 0 |
| MEDCATH CORPORATION            | COM | 58404W109 | 177    | 16891    | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC     | COM | 58405U102 | 1355   | 20983    | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC     | COM | 58405U102 | 1492   | 23106    | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC     | COM | 58405U102 | 2428   | 37601    | SH | DEFINED | 01 | 1 |
| MEDIA SCIENCES INTL INC        | COM | 58446X107 | 10     | 25000    | SH | DEFINED | 01 | 1 |
| MEDICAL PROPERTIES TRUST INC   | COM | 58463J304 | 3618   | 345318   | SH | DEFINED | 01 | 0 |
| MEDICAL PROPERTIES TRUST INC   | COM | 58463J304 | 24     | 2250     | SH | DEFINED | 01 | 1 |
| MEDICINES COMPANY              | COM | 584688105 | 7229   | 922200   | SH | DEFINED | 01 | 0 |
| MEDICINES COMPANY              | COM | 584688105 | 12     | 1500     | SH | DEFINED | 01 | 1 |
| MEDICIS PHARMACEUTICAL-CL A    | COM | 584690309 | 45828  | 1821448  | SH | DEFINED | 01 | 0 |
| MEDICIS PHARMACEUTICAL-CL A    | COM | 584690309 | 16     | 640      | SH | DEFINED | 01 | 1 |
| MEDIFAST INC                   | COM | 58470H101 | 112    | 4465     | SH | DEFINED | 01 | 1 |
| MEDIDATA SOLUTIONS INC         | COM | 58471A105 | 20117  | 1323400  | SH | DEFINED | 01 | 0 |
| MEDIDATA SOLUTIONS INC         | COM | 58471A105 | 26     | 1741     | SH | DEFINED | 01 | 0 |
| MEDQUIST INC                   | COM | 584949101 | 4      | 500      | SH | DEFINED | 01 | 1 |
| MEDNAX INC                     | COM | 58502B106 | 14287  | 245494   | SH | DEFINED | 01 | 0 |
| MEDNAX INC                     | COM | 58502B106 | 124    | 2135     | SH | DEFINED | 01 | 0 |
| MEDNAX INC                     | COM | 58502B106 | 23     | 400      | SH | DEFINED | 01 | 1 |
| MEDTRONIC INC                  | COM | 585055106 | 129120 | 2867455  | SH | DEFINED | 01 | 0 |
| MEDTRONIC INC                  | COM | 585055106 | 3200   | 71080    | SH | DEFINED | 01 | 0 |
| MEDTRONIC INC                  | COM | 585055106 | 9013   | 208300   | SH | DEFINED | 01 | 1 |
| MEDTRONIC INC                  | COM | 585055106 | 1151   | 25551    | SH | DEFINED | 01 | 1 |
| MELCO CROWN ENTERTAINME-ADR    | COM | 585464100 | 8653   | 1795376  | SH | DEFINED | 01 | 0 |
| MELCO CROWN ENTERTAINME-ADR    | COM | 585464100 | 155    | 32068    | SH | DEFINED | 01 | 0 |
| MELCO CROWN ENTERTAINME-ADR    | COM | 585464100 | 121    | 25112    | SH | DEFINED | 01 | 1 |
| MEMSIC INC                     | COM | 586264103 | 9137   | 2864504  | SH | DEFINED | 01 | 0 |
| MEN'S WEARHOUSE INC/THE        | COM | 587118100 | 24380  | 1018429  | SH | DEFINED | 01 | 0 |
| MENTOR GRAPHICS CORP           | COM | 587200106 | 115889 | 14450255 | SH | DEFINED | 01 | 0 |
| MENTOR GRAPHICS CORP           | COM | 587200106 | 733    | 88969    | SH | DEFINED | 01 | 1 |
| MENTOR GRAPHICS CORP           | COM | 587200106 | 3      | 404      | SH | DEFINED | 01 | 1 |
| MERCADOLIBRE INC               | COM | 58733R102 | 118    | 2450     | SH | DEFINED | 01 | 1 |
| MERCER INTERNATIONALINC COM ST | COM | 588056101 | 16     | 3000     | SH | DEFINED | 01 | 1 |
| MERCK & CO. INC.               | COM | 58933Y105 | 525286 | 14063852 | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.               | COM | 58933Y105 | 3948   | 105705   | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.               | COM | 58933Y105 | 7173   | 192038   | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.               | COM | 58933Y105 | 47872  | 1282740  | SH | DEFINED | 01 | 1 |
| MERCK & CO. INC.               | COM | 58933Y105 | 3463   | 92710    | SH | DEFINED | 01 | 1 |
| MERCURY COMPUTER SYSTEMS INC   | COM | 589378108 | 6859   | 499923   | SH | DEFINED | 01 | 0 |
| MERCURY COMPUTER SYSTEMS INC   | COM | 589378108 | 0      | 4        | SH | DEFINED | 01 | 1 |
| MERCURY GENERAL CORP           | COM | 589400100 | 60     | 1375     | SH | DEFINED | 01 | 1 |
| MEREDITH CORP                  | COM | 589433101 | 3348   | 97310    | SH | DEFINED | 01 | 0 |
| MEREDITH CORP                  | COM | 589433101 | 199    | 5770     | SH | DEFINED | 01 | 0 |
| MEREDITH CORP                  | COM | 589433101 | 2      | 70       | SH | DEFINED | 01 | 1 |
| MERGE HEALTHCARE INC           | COM | 589499102 | 6      | 3000     | SH | DEFINED | 01 | 1 |
| MERIDIAN BIOSCIENCE INC        | COM | 589584101 | 3981   | 195447   | SH | DEFINED | 01 | 0 |
| MERIDIAN BIOSCIENCE INC        | COM | 589584101 | 24     | 1195     | SH | DEFINED | 01 | 1 |
| MERIT MEDICAL SYSTEMS INC      | COM | 589889104 | 1906   | 124987   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| MERIT MEDICAL SYSTEMS INC    | COM | 589889104 | 1      | 58       | SH | DEFINED | 01 | 1 |
| MERITAGE HOMES CORP          | COM | 59001A102 | 4830   | 230018   | SH | DEFINED | 01 | 0 |
| MESA AIR GROUP INC           | COM | 590479101 | 0      | 1200     | SH | DEFINED | 01 | 1 |
| MESABI TRUST                 | COM | 590672101 | 219    | 8967     | SH | DEFINED | 01 | 0 |
| MESABI TRUST                 | COM | 590672101 | 595    | 24368    | SH | DEFINED | 01 | 1 |
| MESABI TRUST                 | COM | 590672101 | 88     | 3580     | SH | DEFINED | 01 | 1 |
| MET PRO CORP                 | COM | 590876306 | 469    | 47812    | SH | DEFINED | 01 | 1 |
| METABOLIX INC                | COM | 591018809 | 27     | 2246     | SH | DEFINED | 01 | 0 |
| METABOLIX INC                | COM | 591018809 | 77     | 6300     | SH | DEFINED | 01 | 1 |
| METALICO INC CL A            | COM | 591176102 | 185    | 30906    | SH | DEFINED | 01 | 1 |
| METHANEX CORP COM NPV ISIN # | COM | 59151K108 | 13     | 525      | SH | DEFINED | 01 | 1 |
| METHODE ELECTRONICS INC      | COM | 591520200 | 923    | 93178    | SH | DEFINED | 01 | 0 |
| METHODE ELECTRONICS INC      | COM | 591520200 | 11     | 1100     | SH | DEFINED | 01 | 1 |
| METLIFE INC                  | COM | 59156R108 | 124631 | 2875611  | SH | DEFINED | 01 | 0 |
| METLIFE INC                  | COM | 59156R108 | 2134   | 49232    | SH | DEFINED | 01 | 0 |
| METLIFE INC                  | COM | 59156R108 | 482    | 11124    | SH | DEFINED | 01 | 1 |
| METROPCS COMMUNICATIONS INC  | COM | 591708102 | 46     | 6430     | SH | DEFINED | 01 | 0 |
| METROPCS COMMUNICATIONS INC  | COM | 591708102 | 106    | 14906    | SH | DEFINED | 01 | 0 |
| METROPCS COMMUNICATIONS INC  | COM | 591708102 | 18     | 2500     | SH | DEFINED | 01 | 1 |
| METTLER-TOLEDO INTERNATIONAL | COM | 592688105 | 3783   | 34641    | SH | DEFINED | 01 | 0 |
| METTLER-TOLEDO INTERNATIONAL | COM | 592688105 | 30094  | 275589   | SH | DEFINED | 01 | 1 |
| METTLER-TOLEDO INTERNATIONAL | COM | 592688105 | 40     | 365      | SH | DEFINED | 01 | 1 |
| MEXICO FUND INC              | COM | 592835102 | 7      | 287      | SH | DEFINED | 01 | 1 |
| MFS INTER HIGH INCOME FD     | COM | 59318T109 | 166    | 59200    | SH | DEFINED | 01 | 1 |
| MICREL INC                   | COM | 594793101 | 370    | 34669    | SH | DEFINED | 01 | 0 |
| MICROS SYSTEMS INC           | COM | 594901100 | 68     | 2125     | SH | DEFINED | 01 | 1 |
| MICROS SYSTEMS INC           | COM | 594901100 | 4      | 110      | SH | DEFINED | 01 | 1 |
| MICROSOFT CORP               | COM | 594918104 | 676295 | 23105372 | SH | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM | 594918104 | 6187   | 211384   | SH | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM | 594918104 | 13442  | 459221   | SH | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM | 594918104 | 17     | 597      | SH | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM | 594918104 | 110483 | 3806938  | SH | DEFINED | 01 | 1 |
| MICROSOFT CORP               | COM | 594918104 | 9629   | 328764   | SH | DEFINED | 01 | 1 |
| MICROVISION INC DEL COM      | COM | 594960106 | 4      | 1300     | SH | DEFINED | 01 | 1 |
| MICROSTRATEGY INC-CL A       | COM | 594972408 | 569    | 6687     | SH | DEFINED | 01 | 0 |
| MICROSTRATEGY INC-CL A       | COM | 594972408 | 29002  | 340799   | SH | DEFINED | 01 | 1 |
| MICROCHIP TECHNOLOGY INC     | COM | 595017104 | 73939  | 2625748  | SH | DEFINED | 01 | 0 |
| MICROCHIP TECHNOLOGY INC     | COM | 595017104 | 300    | 10691    | SH | DEFINED | 01 | 0 |
| MICROCHIP TECHNOLOGY INC     | COM | 595017104 | 140    | 4985     | SH | DEFINED | 01 | 1 |
| MICRON TECHNOLOGY INC        | COM | 595112103 | 82813  | 7970260  | SH | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM | 595112103 | 504    | 48527    | SH | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM | 595112103 | 2985   | 288009   | SH | DEFINED | 01 | 1 |
| MICRON TECHNOLOGY INC        | COM | 595112103 | 159    | 15353    | SH | DEFINED | 01 | 1 |
| MICROSEMI CORP               | COM | 595137100 | 17594  | 1014654  | SH | DEFINED | 01 | 0 |
| MICROSEMI CORP               | COM | 595137100 | 7      | 400      | SH | DEFINED | 01 | 1 |
| MID-AMERICA APARTMENT COMM   | COM | 59522J103 | 4064   | 78459    | SH | DEFINED | 01 | 0 |
| MID-AMERICA APARTMENT COMM   | COM | 59522J103 | 99     | 1905     | SH | DEFINED | 01 | 1 |
| MIDAS INC                    | COM | 595626102 | 100    | 8904     | SH | DEFINED | 01 | 0 |
| MIDAS INC                    | COM | 595626102 | 0      | 31       | SH | DEFINED | 01 | 1 |
| MIDDLEBY CORP                | COM | 596278101 | 11     | 197      | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |        |    |         |    |   |
|--------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| MIDDLESEX WTR CO               | COM | 596680108 | 29    | 1672   | SH | DEFINED | 01 | 1 |
| MIDWEST BANC HLDGS INC         | COM | 598251106 | 4     | 13953  | SH | DEFINED | 01 | 1 |
| HERMAN MILLER INC              | COM | 600544100 | 402   | 22292  | SH | DEFINED | 01 | 0 |
| HERMAN MILLER INC              | COM | 600544100 | 36    | 2000   | SH | DEFINED | 01 | 1 |
| MILLIPORE CORP                 | COM | 601073109 | 112   | 1061   | SH | DEFINED | 01 | 0 |
| MILLIPORE CORP                 | COM | 601073109 | 221   | 2093   | SH | DEFINED | 01 | 0 |
| MILLIPORE CORP                 | COM | 601073109 | 2773  | 26259  | SH | DEFINED | 01 | 1 |
| MILLIPORE CORP                 | COM | 601073109 | 68    | 645    | SH | DEFINED | 01 | 1 |
| MINDRAY MEDICAL INTL LTD-ADR   | COM | 602675100 | 1489  | 40900  | SH | DEFINED | 01 | 0 |
| MINDRAY MEDICAL INTL LTD-ADR   | COM | 602675100 | 149   | 4100   | SH | DEFINED | 01 | 1 |
| MINDSPEED TECHNOLOGI           | COM | 602682205 | 4     | 529    | SH | DEFINED | 01 | 1 |
| MINE SAFETY APPLIANCES CO      | COM | 602720104 | 1666  | 59590  | SH | DEFINED | 01 | 0 |
| MINE SAFETY APPLIANCES CO      | COM | 602720104 | 3     | 100    | SH | DEFINED | 01 | 1 |
| MINEFINDERS CORP COMNPV ISIN # | COM | 602900102 | 4     | 391    | SH | DEFINED | 01 | 1 |
| MINERALS TECHNOLOGIES INC      | COM | 603158106 | 19449 | 375177 | SH | DEFINED | 01 | 0 |
| MIRANT CORP                    | COM | 60467R100 | 502   | 46289  | SH | DEFINED | 01 | 0 |
| MIRANT CORP                    | COM | 60467R100 | 103   | 9502   | SH | DEFINED | 01 | 1 |
| MIRANT COREP NEW WTS SER A     | WT  | 60467R118 | 0     | 1150   | SH | DEFINED | 01 | 1 |
| MITSUBISHI UFJ FINANCIAL       | COM | 606822104 | 95    | 18145  | SH | DEFINED | 01 | 1 |
| MOBILE TELESYSTEMS-SP ADR      | COM | 607409109 | 84    | 1500   | SH | DEFINED | 01 | 0 |
| MOBILE MINI INC                | COM | 60740F105 | 379   | 24445  | SH | DEFINED | 01 | 0 |
| MODUSLINK GLOBAL SOLUTIONS I   | COM | 60786L107 | 438   | 51933  | SH | DEFINED | 01 | 0 |
| MODUSLINK GLOBAL SOLUTIONS I   | COM | 60786L107 | 4     | 520    | SH | DEFINED | 01 | 1 |
| MOHAWK INDUSTRIES INC          | COM | 608190104 | 18411 | 338544 | SH | DEFINED | 01 | 0 |
| MOHAWK INDUSTRIES INC          | COM | 608190104 | 6     | 108    | SH | DEFINED | 01 | 1 |
| MOLEX INC                      | COM | 608554101 | 55    | 2613   | SH | DEFINED | 01 | 0 |
| MOLEX INC                      | COM | 608554101 | 92    | 4420   | SH | DEFINED | 01 | 0 |
| MOLEX INC                      | COM | 608554101 | 7     | 358    | SH | DEFINED | 01 | 1 |
| MOLINA HEALTHCARE INC          | COM | 60855R100 | 1323  | 52529  | SH | DEFINED | 01 | 0 |
| MOLINA HEALTHCARE INC          | COM | 60855R100 | 2     | 70     | SH | DEFINED | 01 | 1 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 836   | 19892  | SH | DEFINED | 01 | 0 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 380   | 9029   | SH | DEFINED | 01 | 0 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 12    | 286    | SH | DEFINED | 01 | 1 |
| MOMENTA PHARMACEUTICALS INC    | COM | 60877T100 | 2549  | 170247 | SH | DEFINED | 01 | 1 |
| MONARCH CASINO & RESORT INC    | COM | 609027107 | 1574  | 184330 | SH | DEFINED | 01 | 0 |
| MONARCH CASINO & RESORT INC    | COM | 609027107 | 4     | 500    | SH | DEFINED | 01 | 1 |
| MONEYGRAM INTL INC             | COM | 60935Y109 | 1     | 265    | SH | DEFINED | 01 | 1 |
| MONOLITHIC POWER SYSTEMS INC   | COM | 609839105 | 603   | 27048  | SH | DEFINED | 01 | 0 |
| MONRO MUFFLER BRAKE INC        | COM | 610236101 | 512   | 14327  | SH | DEFINED | 01 | 0 |
| MONRO MUFFLER BRAKE INC        | COM | 610236101 | 54    | 2050   | SH | DEFINED | 01 | 1 |
| MONRO MUFFLER BRAKE INC        | COM | 610236101 | 3     | 97     | SH | DEFINED | 01 | 1 |
| MONSANTO CO                    | COM | 61166W101 | 33707 | 471949 | SH | DEFINED | 01 | 0 |
| MONSANTO CO                    | COM | 61166W101 | 2156  | 30193  | SH | DEFINED | 01 | 0 |
| MONSANTO CO                    | COM | 61166W101 | 7674  | 96132  | SH | DEFINED | 01 | 1 |
| MONSANTO CO                    | COM | 61166W101 | 1942  | 27188  | SH | DEFINED | 01 | 1 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 53    | 3191   | SH | DEFINED | 01 | 0 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 119   | 7182   | SH | DEFINED | 01 | 0 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 57    | 3403   | SH | DEFINED | 01 | 1 |
| MOODY'S CORP                   | COM | 615369105 | 22935 | 770953 | SH | DEFINED | 01 | 0 |
| MOODY'S CORP                   | COM | 615369105 | 222   | 7468   | SH | DEFINED | 01 | 0 |
| MOODY'S CORP                   | COM | 615369105 | 2800  | 94117  | SH | DEFINED | 01 | 1 |
| MOODY'S CORP                   | COM | 615369105 | 30    | 1019   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MOOG INC-CLASS A               | COM | 615394202 | 3191   | 90082   | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY EASTN EURO      | COM | 616988101 | 2      | 100     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY                 | COM | 617446448 | 197108 | 6729452 | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY                 | COM | 617446448 | 2754   | 94017   | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY                 | COM | 617446448 | 1872   | 63911   | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY                 | COM | 617446448 | 1253   | 42785   | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 61744G107 | 7      | 500     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 61744H105 | 20     | 1900    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY INDIAINVT FD IN | COM | 61745C105 | 47     | 2000    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER MUN | COM | 61745P429 | 10     | 1200    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER MUN | COM | 61745P437 | 85     | 11187   | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER NEW | COM | 61745P528 | 39     | 2844    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER QUA | COM | 61745P585 | 78     | 5800    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER CAL | COM | 61745P635 | 0      | 2       | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER QUA | COM | 61745P668 | 4      | 330     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER QUA | COM | 61745P734 | 6      | 479     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER INS | COM | 61745P791 | 63     | 4498    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER INS | COM | 61745P817 | 13     | 1000    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER INS | COM | 61745P833 | 7      | 485     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER INC | COM | 61745P874 | 3      | 175     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY CHINA A SHARE F | COM | 617468103 | 42     | 1432    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 617477104 | 74     | 4986    | SH | DEFINED | 01 | 1 |
| MS TRIGGER 144A APR22 2010     | COM | 61757J469 | 105324 | 5546312 | SH | DEFINED | 01 | 0 |
| MS PERQS MACYS 144A JUN22 2010 | COM | 61757J543 | 11967  | 552486  | SH | DEFINED | 01 | 0 |
| MORNINGSTAR INC                | COM | 617700109 | 34     | 711     | SH | DEFINED | 01 | 1 |
| MOSAIC CO/THE                  | COM | 61945A107 | 3434   | 56512   | SH | DEFINED | 01 | 0 |
| MOSAIC CO/THE                  | COM | 61945A107 | 1665   | 27404   | SH | DEFINED | 01 | 1 |
| MOTORCAR PARTS OF AMERICA IN   | COM | 620071100 | 6      | 1000    | SH | DEFINED | 01 | 1 |
| MOTOROLA INC                   | COM | 620076109 | 30888  | 4400177 | SH | DEFINED | 01 | 0 |
| MOTOROLA INC                   | COM | 620076109 | 1158   | 164890  | SH | DEFINED | 01 | 0 |
| MOTOROLA INC                   | COM | 620076109 | 650    | 92588   | SH | DEFINED | 01 | 1 |
| MOTORS LIQUIDATION CO          | COM | 62010A105 | 0      | 11      | SH | DEFINED | 01 | 0 |
| MOVADO GROUP INC               | COM | 624580106 | 190    | 16879   | SH | DEFINED | 01 | 0 |
| MUELLER INDUSTRIES INC         | COM | 624756102 | 21302  | 795144  | SH | DEFINED | 01 | 0 |
| MUELLER INDUSTRIES INC         | COM | 624756102 | 19     | 724     | SH | DEFINED | 01 | 1 |
| MUELLER WATER PRODUCTS INC-A   | COM | 624758108 | 8      | 1711    | SH | DEFINED | 01 | 0 |
| MUELLER WATER PRODUCTS INC-A   | COM | 624758108 | 33     | 7000    | SH | DEFINED | 01 | 1 |
| MULTIMEDIA GAMES INC           | COM | 625453105 | 71     | 18117   | SH | DEFINED | 01 | 0 |
| MURPHY OIL CORP                | COM | 626717102 | 23607  | 420131  | SH | DEFINED | 01 | 0 |
| MURPHY OIL CORP                | COM | 626717102 | 594    | 10570   | SH | DEFINED | 01 | 0 |
| MURPHY OIL CORP                | COM | 626717102 | 432    | 7697    | SH | DEFINED | 01 | 1 |
| MYERS INDUSTRIES INC           | COM | 628464109 | 214    | 20463   | SH | DEFINED | 01 | 0 |
| MYLAN INC                      | COM | 628530107 | 107550 | 4735828 | SH | DEFINED | 01 | 0 |
| MYLAN INC                      | COM | 628530107 | 348    | 15312   | SH | DEFINED | 01 | 0 |
| MYLAN INC                      | COM | 628530107 | 1227   | 54000   | SH | DEFINED | 01 | 1 |
| MYLAN INC                      | COM | 628530107 | 562    | 24757   | SH | DEFINED | 01 | 1 |
| MYRIAD GENETICS INC            | COM | 62855J104 | 296    | 12317   | SH | DEFINED | 01 | 0 |
| MYRIAD GENETICS INC            | COM | 62855J104 | 118    | 4907    | SH | DEFINED | 01 | 1 |
| MYRIAD PHARMACEUT              | COM | 62856H107 | 1      | 185     | SH | DEFINED | 01 | 1 |
| N B T BANCORP INC              | COM | 628778102 | 3065   | 134134  | SH | DEFINED | 01 | 0 |
| N B T BANCORP INC              | COM | 628778102 | 22     | 970     | SH | DEFINED | 01 | 1 |
| NBTY INC                       | COM | 628782104 | 9732   | 202838  | SH | DEFINED | 01 | 0 |
| NBTY INC                       | COM | 628782104 | 5      | 101     | SH | DEFINED | 01 | 1 |
| NCI BUILDING SYSTEMS INC       | COM | 628852204 | 190    | 17165   | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |          |    |         |    |   |
|--------------------------------|-----|-----------|-------|----------|----|---------|----|---|
| NCR CORPORATION                | COM | 62886E108 | 1772  | 128445   | SH | DEFINED | 01 | 0 |
| NCR CORPORATION                | COM | 62886E108 | 13    | 906      | SH | DEFINED | 01 | 1 |
| NCI INC-CLASS A                | COM | 62886K104 | 201   | 6657     | SH | DEFINED | 01 | 0 |
| NII HOLDINGS INC               | COM | 62913F201 | 14933 | 358480   | SH | DEFINED | 01 | 0 |
| NII HOLDINGS INC               | COM | 62913F201 | 100   | 2407     | SH | DEFINED | 01 | 0 |
| NII HOLDINGS INC               | COM | 62913F201 | 93    | 1925     | SH | DEFINED | 01 | 1 |
| NII HOLDINGS INC               | COM | 62913F201 | 728   | 17457    | SH | DEFINED | 01 | 1 |
| NIC INC                        | COM | 62914B100 | 73    | 9261     | SH | DEFINED | 01 | 0 |
| NIC INC                        | COM | 62914B100 | 9     | 1200     | SH | DEFINED | 01 | 1 |
|                                |     |           |       |          |    |         |    |   |
| NPS PHARMACEUTICALS INC        | COM | 62936P103 | 5     | 1000     | SH | DEFINED | 01 | 1 |
| NRG ENERGY INC                 | COM | 629377508 | 6553  | 313475   | SH | DEFINED | 01 | 0 |
| NRG ENERGY INC                 | COM | 629377508 | 218   | 10420    | SH | DEFINED | 01 | 0 |
| NRG ENERGY INC                 | COM | 629377508 | 1031  | 49310    | SH | DEFINED | 01 | 1 |
| NRG ENERGY INC                 | COM | 629377508 | 32    | 1525     | SH | DEFINED | 01 | 1 |
| NTT DOCOMO INC ADS EACH 1 REP  | COM | 62942M201 | 3     | 209      | SH | DEFINED | 01 | 1 |
| NVR INC                        | COM | 62944T105 | 28082 | 38654    | SH | DEFINED | 01 | 0 |
| NYSE EURONEXT                  | COM | 629491101 | 199   | 6725     | SH | DEFINED | 01 | 0 |
| NYSE EURONEXT                  | COM | 629491101 | 339   | 11464    | SH | DEFINED | 01 | 0 |
| NYSE EURONEXT                  | COM | 629491101 | 3014  | 101797   | SH | DEFINED | 01 | 1 |
| NABI BIOPHARMAC                | COM | 629519109 | 6     | 1000     | SH | DEFINED | 01 | 1 |
| NACCO INDUSTRIES-CL A          | COM | 629579103 | 297   | 4002     | SH | DEFINED | 01 | 0 |
| NACCO INDUSTRIES-CL A          | COM | 629579103 | 191   | 2578     | SH | DEFINED | 01 | 1 |
| NALCO HOLDING CO               | COM | 62985Q101 | 8124  | 333892   | SH | DEFINED | 01 | 0 |
| NALCO HOLDING CO               | COM | 62985Q101 | 20325 | 835407   | SH | DEFINED | 01 | 1 |
| NALCO HOLDING CO               | COM | 62985Q101 | 21    | 844      | SH | DEFINED | 01 | 1 |
| NPF12 2002-2 A ESCROW          | COM | 629ESC9J5 | 0     | 10000000 | SH | DEFINED | 01 | 0 |
| NANOPHASE TECH CORP            | COM | 630079101 | 5     | 2500     | SH | DEFINED | 01 | 1 |
| NAPCO SEC TECHNOLOGI           | COM | 630402105 | 1     | 450      | SH | DEFINED | 01 | 1 |
| NARA BANCORP INC               | COM | 63080P105 | 272   | 31144    | SH | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM | 631103108 | 8889  | 420887   | SH | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM | 631103108 | 228   | 10796    | SH | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM | 631103108 | 12    | 600      | SH | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM | 631103108 | 161   | 7622     | SH | DEFINED | 01 | 1 |
| NASDAQ PREM INCOME & GROWTH FD | COM | 63110R105 | 1612  | 115987   | SH | DEFINED | 01 | 1 |
| NASH FINCH CO                  | COM | 631158102 | 834   | 24762    | SH | DEFINED | 01 | 0 |
| NATHAN'S FAMOUS INC            | COM | 632347100 | 975   | 62932    | SH | DEFINED | 01 | 0 |
| NATIONAL BANK OF GREECE ADR    | COM | 633643408 | 2     | 390      | SH | DEFINED | 01 | 1 |
| NATIONAL BANKSHARES INC/VA     | COM | 634865109 | 71    | 2590     | SH | DEFINED | 01 | 0 |
| NATIONAL BANKSHARES INC/VA     | COM | 634865109 | 20    | 746      | SH | DEFINED | 01 | 1 |
| NATIONAL BEVERAGE CORP         | COM | 635017106 | 607   | 54546    | SH | DEFINED | 01 | 0 |
| NATIONAL CINEMEDIA INC         | COM | 635309107 | 42224 | 2446417  | SH | DEFINED | 01 | 0 |
|                                |     |           |       |          |    |         |    |   |
| NATIONAL CINEMEDIA INC         | COM | 635309107 | 3     | 200      | SH | DEFINED | 01 | 1 |
| NATIONAL CITY CORP SR NT CV I  | COM | 635405AW3 | 41    | 40000    | SH | DEFINED | 01 | 1 |
| NATIONAL HEALTHCARE CORP       | COM | 635906100 | 1746  | 49360    | SH | DEFINED | 01 | 0 |
| NATIONAL FINANCIAL PARTNERS    | COM | 63607P208 | 8049  | 570787   | SH | DEFINED | 01 | 0 |
| NATIONAL FUEL GAS CO           | COM | 636180101 | 150   | 2963     | SH | DEFINED | 01 | 1 |
| NATIONAL GRID NEW ADR EACH R   | COM | 636274300 | 179   | 3666     | SH | DEFINED | 01 | 1 |
| NATL HEALTH INVESTORS INC      | COM | 63633D104 | 146   | 3764     | SH | DEFINED | 01 | 0 |
| NATL HEALTH INVESTORS INC      | COM | 63633D104 | 7     | 185      | SH | DEFINED | 01 | 1 |
| NATIONAL INSTRUMENTS CORP      | COM | 636518102 | 3     | 88       | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |           |           |        |         |    |         |    |   |
|-------------------------------|-----------|-----------|--------|---------|----|---------|----|---|
| NATIONAL OILWELL VARCO INC    | COM       | 637071101 | 19385  | 477656  | SH | DEFINED | 01 | 0 |
| NATIONAL OILWELL VARCO INC    | COM       | 637071101 | 897    | 22102   | SH | DEFINED | 01 | 0 |
| NATIONAL OILWELL VARCO INC    | COM       | 637071101 | 187    | 4611    | SH | DEFINED | 01 | 1 |
| NATL PENN BCSHS INC           | COM       | 637138108 | 2503   | 362764  | SH | DEFINED | 01 | 0 |
| NATL PENN BCSHS INC           | COM       | 637138108 | 49     | 7059    | SH | DEFINED | 01 | 1 |
| NATIONAL PRESTO INDS INC      | COM       | 637215104 | 881    | 7414    | SH | DEFINED | 01 | 0 |
| NATIONAL RESEARCH CORP        | COM       | 637372103 | 4      | 160     | SH | DEFINED | 01 | 1 |
| NATIONAL RETAIL PROPERTIES    | COM       | 637417106 | 4100   | 179596  | SH | DEFINED | 01 | 0 |
| NATIONAL RETAIL PROPERTIES    | COM       | 637417106 | 463    | 20290   | SH | DEFINED | 01 | 1 |
| NATIONAL SEMICONDUCTOR CORP   | COM       | 637640103 | 56063  | 3879826 | SH | DEFINED | 01 | 0 |
| NATIONAL SEMICONDUCTOR CORP   | COM       | 637640103 | 409    | 28274   | SH | DEFINED | 01 | 0 |
| NATIONAL SEMICONDUCTOR CORP   | COM       | 637640103 | 461    | 32138   | SH | DEFINED | 01 | 1 |
| NATL WESTMINSTER BK PLC       | 7.760 PRF | 638539882 | 70     | 3294    | SH | DEFINED | 01 | 1 |
| NATIONWIDE HEALTH PPTYS INC   | COM       | 638620104 | 5109   | 145343  | SH | DEFINED | 01 | 1 |
| NAVIGATORS GROUP INC          | COM       | 638904102 | 2922   | 74294   | SH | DEFINED | 01 | 0 |
| NAVIGATORS GROUP INC          | COM       | 638904102 | 1      | 29      | SH | DEFINED | 01 | 1 |
| NATURAL RESOURCE PARTNERS L   | COM       | 63900P103 | 50     | 1911    | SH | DEFINED | 01 | 1 |
| NATURES SUNSHINE PRODUCTS I   | COM       | 639027101 | 4      | 438     | SH | DEFINED | 01 | 1 |
| NATUS MEDICAL INC             | COM       | 639050103 | 390    | 24513   | SH | DEFINED | 01 | 0 |
| NAUTILUS INC                  | COM       | 63910B102 | 36     | 11938   | SH | DEFINED | 01 | 0 |
| NAUTILUS INC                  | COM       | 63910B102 | 0      | 102     | SH | DEFINED | 01 | 1 |
| NAVISTAR INTERNATIONAL        | COM       | 63934E108 | 12998  | 290584  | SH | DEFINED | 01 | 0 |
| NAVISTAR INTERNATIONAL        | COM       | 63934E108 | 7062   | 157857  | SH | DEFINED | 01 | 1 |
| NAVISTAR INTERNATIONAL        | COM       | 63934E108 | 5      | 101     | SH | DEFINED | 01 | 1 |
| NAVIGANT CONSULTING INC       | COM       | 63935N107 | 12     | 1000    | SH | DEFINED | 01 | 1 |
| NEENAH PAPER INC              | COM       | 640079109 | 1176   | 74232   | SH | DEFINED | 01 | 0 |
| NEKTAR THERAPEUTICS           | COM       | 640268108 | 15     | 980     | SH | DEFINED | 01 | 1 |
| NELNET INC CL A               | COM       | 64031N108 | 12     | 650     | SH | DEFINED | 01 | 1 |
| NEOGEN CORP                   | COM       | 640491106 | 455    | 18111   | SH | DEFINED | 01 | 0 |
| NESS TECHNOLOGIES INC         | COM       | 64104X108 | 475    | 75255   | SH | DEFINED | 01 | 0 |
| NET 1 UEPS TECHNOLOGIES INC   | COM       | 64107N206 | 184    | 10000   | SH | DEFINED | 01 | 0 |
| NETAPP INC                    | COM       | 64110D104 | 202054 | 6205607 | SH | DEFINED | 01 | 0 |
| NETAPP INC                    | COM       | 64110D104 | 863    | 26510   | SH | DEFINED | 01 | 0 |
| NETAPP INC                    | COM       | 64110D104 | 795    | 23884   | SH | DEFINED | 01 | 1 |
| NETAPP INC                    | COM       | 64110D104 | 165    | 5069    | SH | DEFINED | 01 | 1 |
| NETFLIX COM INC               | COM       | 64110L106 | 206    | 2789    | SH | DEFINED | 01 | 1 |
| NETEASE.COM INC ADR EACH REPR | COM       | 64110W102 | 17     | 485     | SH | DEFINED | 01 | 1 |
| NETEZZA CORP                  | COM       | 64111N101 | 24415  | 1908978 | SH | DEFINED | 01 | 0 |
| NETEZZA CORP                  | COM       | 64111N101 | 15     | 1140    | SH | DEFINED | 01 | 0 |
| NETEZZA CORP                  | COM       | 64111N101 | 284    | 22700   | SH | DEFINED | 01 | 1 |
| NETEZZA CORP                  | COM       | 64111N101 | 2      | 123     | SH | DEFINED | 01 | 1 |
| NETGEAR INC                   | COM       | 64111Q104 | 4633   | 177513  | SH | DEFINED | 01 | 0 |
| NETGEAR INC                   | COM       | 64111Q104 | 19     | 709     | SH | DEFINED | 01 | 0 |
| NETGEAR INC                   | COM       | 64111Q104 | 7      | 250     | SH | DEFINED | 01 | 1 |
| NETSCOUT SYSTEMS INC          | COM       | 64115T104 | 549    | 37092   | SH | DEFINED | 01 | 0 |
| NETLOGIC MICROSYSTEMS INC     | COM       | 64118B100 | 703    | 23900   | SH | DEFINED | 01 | 0 |
| NETLOGIC MICROSYSTEMS INC     | COM       | 64118B100 | 118    | 4000    | SH | DEFINED | 01 | 1 |
| NETWORK EQUIPMENT TECH INC    | COM       | 641208103 | 99     | 17904   | SH | DEFINED | 01 | 0 |
| NETWORK ENGINES INC           | COM       | 64121A107 | 12     | 6500    | SH | DEFINED | 01 | 1 |
| NEUROCRINE BIOSCIENCES INC    | COM       | 64125C109 | 1416   | 555000  | SH | DEFINED | 01 | 0 |
| NEUROCRINE BIOSCIENCES INC    | COM       | 64125C109 | 3      | 1013    | SH | DEFINED | 01 | 1 |
| NEUBERGER BERMAN INCOME OPP   | COM       | 64126L108 | 3      | 350     | SH | DEFINED | 01 | 1 |
| NEUSTAR INC-CLASS A           | COM       | 64126X201 | 50     | 3050    | SH | DEFINED | 01 | 1 |
| NEUSTAR INC-CLASS A           | COM       | 64126X201 | 654    | 25938   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| NEUTRAL TANDEM INC             | COM | 64128B108 | 745   | 46662   | SH | DEFINED | 01 | 0 |
| NEUTRAL TANDEM INC             | COM | 64128B108 | 8     | 490     | SH | DEFINED | 01 | 1 |
| NEUBERGER BERMAN HIGH YIELD    | COM | 64128C106 | 284   | 21380   | SH | DEFINED | 01 | 1 |
| NEVSUN RESOURCES COMNPV ISIN # | COM | 64156L101 | 7     | 2500    | SH | DEFINED | 01 | 1 |
| NEW AMER HIGH INCOMEFD INC     | COM | 641876800 | 264   | 27950   | SH | DEFINED | 01 | 1 |
| NEUBERGER BERMAN REAL ESTAT    | COM | 64190A103 | 74    | 21572   | SH | DEFINED | 01 | 1 |
| NEW ENG BANCSHARES INC         | COM | 643863202 | 9     | 1184    | SH | DEFINED | 01 | 1 |
| NEW FRONTIER MEDIA INC         | COM | 644398109 | 1     | 500     | SH | DEFINED | 01 | 1 |
| NEW GOLD INC                   | COM | 644535106 | 4438  | 1018091 | SH | DEFINED | 01 | 0 |
| NEW HAMPSHIRE THRIFT B         | COM | 644722100 | 44    | 4172    | SH | DEFINED | 01 | 1 |
| NEW IRELAND FD INC             | COM | 645673104 | 39    | 5364    | SH | DEFINED | 01 | 1 |
| NEW JERSEY RESOURCES CORP      | COM | 646025106 | 1856  | 49409   | SH | DEFINED | 01 | 0 |
| NEW JERSEY RESOURCES CORP      | COM | 646025106 | 188   | 5000    | SH | DEFINED | 01 | 1 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM | 647581107 | 2876  | 33644   | SH | DEFINED | 01 | 0 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM | 647581107 | 4224  | 49553   | SH | DEFINED | 01 | 1 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM | 647581107 | 247   | 2889    | SH | DEFINED | 01 | 1 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM | 647581107 | 4     | 50      | SH | DEFINED | 01 | 1 |
| NEW YORK COMMUNITY BANCORP     | COM | 649445103 | 174   | 10538   | SH | DEFINED | 01 | 1 |
| NEW YORK TIMES CO -CL A        | COM | 650111107 | 3417  | 307064  | SH | DEFINED | 01 | 0 |
| NEW YORK TIMES CO -CL A        | COM | 650111107 | 247   | 22228   | SH | DEFINED | 01 | 0 |
| NEW YORK TIMES CO -CL A        | COM | 650111107 | 50    | 4475    | SH | DEFINED | 01 | 1 |
| NEWALLIANCE BANCSHARES INC     | COM | 650203102 | 1913  | 151651  | SH | DEFINED | 01 | 0 |
| NEWALLIANCE BANCSHARES INC     | COM | 650203102 | 19    | 1501    | SH | DEFINED | 01 | 1 |
| NEWBRIDGE BANCORP COM          | COM | 65080T102 | 1     | 166     | SH | DEFINED | 01 | 1 |
| NEWCASTLE INVT CORP            | COM | 65105M108 | 1     | 300     | SH | DEFINED | 01 | 1 |
| NEWELL RUBBERMAID INC          | COM | 651229106 | 8603  | 565936  | SH | DEFINED | 01 | 0 |
| NEWELL RUBBERMAID INC          | COM | 651229106 | 176   | 11609   | SH | DEFINED | 01 | 0 |
| NEWELL RUBBERMAID INC          | COM | 651229106 | 65    | 4294    | SH | DEFINED | 01 | 1 |
| NEWFIELD EXPLORATION CO        | COM | 651290108 | 26559 | 510249  | SH | DEFINED | 01 | 0 |
| NEWFIELD EXPLORATION CO        | COM | 651290108 | 53    | 1025    | SH | DEFINED | 01 | 0 |
| NEWFIELD EXPLORATION CO        | COM | 651290108 | 47    | 903     | SH | DEFINED | 01 | 1 |
| NEWMARKET CORP                 | COM | 651587107 | 3868  | 37556   | SH | DEFINED | 01 | 0 |
| NEWMARKET CORP                 | COM | 651587107 | 9     | 85      | SH | DEFINED | 01 | 1 |
| NEWMONT MINING CORP            | COM | 651639106 | 5126  | 100648  | SH | DEFINED | 01 | 0 |
| NEWMONT MINING CORP            | COM | 651639106 | 1247  | 24475   | SH | DEFINED | 01 | 0 |
| NEWMONT MINING CORP            | COM | 651639106 | 964   | 18936   | SH | DEFINED | 01 | 1 |
| NEWPARK RES INC                | COM | 651718504 | 0     | 7       | SH | DEFINED | 01 | 1 |
| NEWPORT CORP                   | COM | 651824104 | 8426  | 674038  | SH | DEFINED | 01 | 0 |
| NEWPORT CORP                   | COM | 651824104 | 12    | 928     | SH | DEFINED | 01 | 1 |
| NEWS CORP-CL A                 | COM | 65248E104 | 72116 | 5004602 | SH | DEFINED | 01 | 0 |
| NEWS CORP-CL A                 | COM | 65248E104 | 1888  | 131052  | SH | DEFINED | 01 | 0 |
| NEWS CORP-CL A                 | COM | 65248E104 | 20    | 1380    | SH | DEFINED | 01 | 1 |
| NEWS CORP CL B                 | COM | 65248E203 | 22    | 1295    | SH | DEFINED | 01 | 1 |
| NEWTEK BUSINESS SERVICES INC   | COM | 652526104 | 6     | 5000    | SH | DEFINED | 01 | 0 |
| NEXEN INC                      | COM | 65334H102 | 4213  | 170481  | SH | DEFINED | 01 | 0 |
| NEXEN INC                      | COM | 65334H102 | 16689 | 675358  | SH | DEFINED | 01 | 1 |
| NFJ DIVID INT & PREMSTRATEGY F | COM | 65337H109 | 234   | 14793   | SH | DEFINED | 01 | 1 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 1361  | 42842   | SH | DEFINED | 01 | 0 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 13    | 398     | SH | DEFINED | 01 | 0 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 77    | 2363    | SH | DEFINED | 01 | 1 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 1     | 40      | SH | DEFINED | 01 | 1 |
| NICHOLAS APPLGATE INTL & PRE   | COM | 65370C108 | 81    | 5083    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |     |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|-----|---------|----|---|
| NICHOLAS APPLGATE              | CONV & INC | COM | 65370F101 | 106    | 10787   | SH  | DEFINED | 01 | 1 |
| NICHOLAS APPLGATE              | CONV & INC | COM | 65370G109 | 290    | 31300   | SH  | DEFINED | 01 | 1 |
| NICHOLAS APPLGATE              | EQUITY & C | COM | 65370K100 | 262    | 15471   | SH  | DEFINED | 01 | 1 |
| NICHOLAS APPLGATE              | GLOBAL EQU | COM | 65370L108 | 34     | 2300    | SH  | DEFINED | 01 | 1 |
| NICOR INC                      |            | COM | 654086107 | 17137  | 408814  | SH  | DEFINED | 01 | 0 |
| NICOR INC                      |            | COM | 654086107 | 69     | 1645    | SH  | DEFINED | 01 | 0 |
| NICOR INC                      |            | COM | 654086107 | 337    | 8031    | SH  | DEFINED | 01 | 1 |
| NIDEC CORPORATION              | ADR EACH R | COM | 654090109 | 28     | 1055    | SH  | DEFINED | 01 | 1 |
| NIKE INC -CL B                 |            | COM | 654106103 | 32454  | 441545  | SH  | DEFINED | 01 | 0 |
| NIKE INC -CL B                 |            | COM | 654106103 | 1565   | 21290   | SH  | DEFINED | 01 | 0 |
| NIKE INC -CL B                 |            | COM | 654106103 | 62122  | 873594  | SH  | DEFINED | 01 | 1 |
| NIKE INC -CL B                 |            | COM | 654106103 | 1776   | 24163   | SH  | DEFINED | 01 | 1 |
| NIGHTHAWK RADIOLOGY HLDGS INC  |            | COM | 65411N105 | 0      | 100     | SH  | DEFINED | 01 | 1 |
| 99 CENTS ONLY STORES           |            | COM | 65440K106 | 2348   | 144046  | SH  | DEFINED | 01 | 0 |
| 99 CENTS ONLY STORES           |            | COM | 65440K106 | 4      | 236     | SH  | DEFINED | 01 | 1 |
| NIPPON TELEGRAPH & TELE-ADR    |            | COM | 654624105 | 5556   | 264298  | SH  | DEFINED | 01 | 0 |
| NIPPON TELEGRAPH & TELE-ADR    |            | COM | 654624105 | 109    | 5199    | SH  | DEFINED | 01 | 1 |
| NISOURCE INC                   |            | COM | 65473P105 | 4446   | 281362  | SH  | DEFINED | 01 | 0 |
| NISOURCE INC                   |            | COM | 65473P105 | 463    | 29333   | SH  | DEFINED | 01 | 0 |
| NISOURCE INC                   |            | COM | 65473P105 | 202    | 12791   | SH  | DEFINED | 01 | 1 |
| NOVA BIOSOURCE FUELS INC       | CONV BND   |     | 65488WAA1 | 0      | 948707  | PRN | DEFINED | 01 | 0 |
| NOKIA CORP-SPON ADR            |            | COM | 654902204 | 4606   | 296404  | SH  | DEFINED | 01 | 0 |
| NOKIA CORP-SPON ADR            |            | COM | 654902204 | 528    | 33988   | SH  | DEFINED | 01 | 1 |
| NOBLE ENERGY INC               |            | COM | 655044105 | 2241   | 30700   | SH  | DEFINED | 01 | 0 |
| NOBLE ENERGY INC               |            | COM | 655044105 | 727    | 9958    | SH  | DEFINED | 01 | 0 |
| NOBLE ENERGY INC               |            | COM | 655044105 | 26497  | 363518  | SH  | DEFINED | 01 | 1 |
| NOBLE ENERGY INC               |            | COM | 655044105 | 48     | 651     | SH  | DEFINED | 01 | 1 |
| NOMURA HOLDINGS INC.ADR EACH R |            | COM | 65535H208 | 69     | 9347    | SH  | DEFINED | 01 | 1 |
| NORDSON CORP                   |            | COM | 655663102 | 2497   | 36756   | SH  | DEFINED | 01 | 0 |
| NORDSON CORP                   |            | COM | 655663102 | 4      | 57      | SH  | DEFINED | 01 | 1 |
| NORDSTROM INC                  |            | COM | 655664100 | 121245 | 2967977 | SH  | DEFINED | 01 | 0 |
| NORDSTROM INC                  |            | COM | 655664100 | 634    | 15524   | SH  | DEFINED | 01 | 0 |
| NORDSTROM INC                  |            | COM | 655664100 | 169    | 4147    | SH  | DEFINED | 01 | 1 |
| NORFOLK SOUTHERN CORP          |            | COM | 655844108 | 27095  | 484764  | SH  | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP          |            | COM | 655844108 | 7524   | 134625  | SH  | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP          |            | COM | 655844108 | 1306   | 23371   | SH  | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP          |            | COM | 655844108 | 24204  | 433063  | SH  | DEFINED | 01 | 1 |
| NORFOLK SOUTHERN CORP          |            | COM | 655844108 | 1508   | 26978   | SH  | DEFINED | 01 | 1 |
| NORTEL NETWORKS CORP           |            | COM | 656568508 | 0      | 960     | SH  | DEFINED | 01 | 0 |
| NORTH AMERICAN                 | PALLADIUM  | COM | 656912102 | 21     | 5250    | SH  | DEFINED | 01 | 1 |
| NORTH EUROPEAN OIL             | RTY TR CTF | COM | 659310106 | 65     | 2256    | SH  | DEFINED | 01 | 1 |
| NORTHEAST UTILITIES            |            | COM | 664397106 | 188    | 6819    | SH  | DEFINED | 01 | 0 |
| NORTHEAST UTILITIES            |            | COM | 664397106 | 189    | 6836    | SH  | DEFINED | 01 | 0 |
| NORTHEAST UTILITIES            |            | COM | 664397106 | 25     | 850     | SH  | DEFINED | 01 | 1 |
| NORTHEAST UTILITIES            |            | COM | 664397106 | 229    | 8270    | SH  | DEFINED | 01 | 1 |
| NORTHERN DYNASTY               | MINS COM N | COM | 66510M204 | 5      | 525     | SH  | DEFINED | 01 | 1 |
| NORTHERN TRUST CORP            |            | COM | 665859104 | 376    | 6797    | SH  | DEFINED | 01 | 0 |
| NORTHERN TRUST CORP            |            | COM | 665859104 | 587    | 10622   | SH  | DEFINED | 01 | 0 |
| NORTHERN TRUST CORP            |            | COM | 665859104 | 51     | 921     | SH  | DEFINED | 01 | 1 |
| NORTHGATE MINERALS             | CORP COM N | COM | 666416102 | 6      | 2000    | SH  | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| NORTHRIM BANCORP INC           | COM | 666762109 | 95     | 5577     | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP          | COM | 666807102 | 25844  | 394119   | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP          | COM | 666807102 | 1287   | 19634    | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP          | COM | 666807102 | 548    | 8360     | SH | DEFINED | 01 | 1 |
| NORTHSTAR REALTY FINANCE COR   | COM | 66704R100 | 378    | 89707    | SH | DEFINED | 01 | 0 |
| NORTHSTAR REALTY FINANCE COR   | COM | 66704R100 | 14     | 3424     | SH | DEFINED | 01 | 0 |
| NORTHWEST NATURAL GAS CO       | COM | 667655104 | 5086   | 109148   | SH | DEFINED | 01 | 0 |
| NORTHWEST NATURAL GAS CO       | COM | 667655104 | 130    | 2800     | SH | DEFINED | 01 | 1 |
| NORTHWEST PIPE CO              | COM | 667746101 | 10     | 460      | SH | DEFINED | 01 | 1 |
| NORTHWESTERN CORP              | COM | 668074305 | 2457   | 91632    | SH | DEFINED | 01 | 0 |
| NORTHWESTERN CORP              | COM | 668074305 | 89     | 3600     | SH | DEFINED | 01 | 1 |
| NOVAGOLD RESOURCES INC COM NP  | COM | 66987E206 | 332    | 46546    | SH | DEFINED | 01 | 1 |
| NOVATEL WIRELESS INC           | COM | 66987M604 | 630    | 93634    | SH | DEFINED | 01 | 0 |
| NOVARTIS AG-ADR                | COM | 66987V109 | 1434   | 26500    | SH | DEFINED | 01 | 1 |
| NOVARTIS AG-ADR                | COM | 66987V109 | 1501   | 27753    | SH | DEFINED | 01 | 1 |
| NOVAVAX INC                    | COM | 670002104 | 0      | 9        | SH | DEFINED | 01 | 1 |
| NOVELL INC                     | COM | 670006105 | 6502   | 1085712  | SH | DEFINED | 01 | 0 |
| NOVELL INC                     | COM | 670006105 | 169    | 28271    | SH | DEFINED | 01 | 0 |
| NOVELL INC                     | COM | 670006105 | 9      | 1418     | SH | DEFINED | 01 | 1 |
| NOVELLUS SYSTEMS INC           | COM | 670008101 | 166257 | 6650210  | SH | DEFINED | 01 | 0 |
| NOVELLUS SYSTEMS INC           | COM | 670008101 | 79     | 3176     | SH | DEFINED | 01 | 0 |
| NOVELLUS SYSTEMS INC           | COM | 670008101 | 729    | 30900    | SH | DEFINED | 01 | 1 |
| NOVELLUS SYSTEMS INC           | COM | 670008101 | 109    | 4372     | SH | DEFINED | 01 | 1 |
| NOVO-NORDISK AS ADR-EACH C     | COM | 670100205 | 365    | 4738     | SH | DEFINED | 01 | 1 |
| NOVOGEN LTD ADR EACHREP 5 NPV  | COM | 67010F103 | 1      | 700      | SH | DEFINED | 01 | 1 |
| NU SKIN ENTERPRISES INC - A    | COM | 67018T105 | 898    | 30892    | SH | DEFINED | 01 | 0 |
| NU SKIN ENTERPRISES INC - A    | COM | 67018T105 | 68     | 2325     | SH | DEFINED | 01 | 1 |
| NSTAR                          | COM | 67019E107 | 2078   | 58665    | SH | DEFINED | 01 | 0 |
| NSTAR                          | COM | 67019E107 | 149    | 4214     | SH | DEFINED | 01 | 1 |
| NTELOS HOLDINGS CORP           | COM | 67020Q107 | 596    | 33516    | SH | DEFINED | 01 | 0 |
| NTELOS HOLDINGS CORP           | COM | 67020Q107 | 91     | 5124     | SH | DEFINED | 01 | 1 |
| NUANCE COMMUNICATIONS INC      | COM | 67020Y100 | 198637 | 11937291 | SH | DEFINED | 01 | 0 |
| NUANCE COMMUNICATIONS INC      | COM | 67020Y100 | 18     | 1110     | SH | DEFINED | 01 | 0 |
| NUANCE COMMUNICATIONS INC      | COM | 67020Y100 | 1311   | 78700    | SH | DEFINED | 01 | 1 |
| NUANCE COMMUNICATIONS INC      | COM | 67020Y100 | 62     | 3713     | SH | DEFINED | 01 | 1 |
| NUCOR CORP                     | COM | 670346105 | 92577  | 2040079  | SH | DEFINED | 01 | 0 |
| NUCOR CORP                     | COM | 670346105 | 1302   | 28694    | SH | DEFINED | 01 | 0 |
| NUCOR CORP                     | COM | 670346105 | 3083   | 67938    | SH | DEFINED | 01 | 1 |
| NUSTAR ENERGY LP UNIT          | COM | 67058H102 | 259    | 4279     | SH | DEFINED | 01 | 1 |
| NUSTAR GP HLDGS LLC UNIT R     | COM | 67059L102 | 91     | 3083     | SH | DEFINED | 01 | 1 |
| NUVEEN CONN PREMIUM INC MUN FD | COM | 67060D107 | 35     | 2500     | SH | DEFINED | 01 | 1 |
| NUVEEN GA PREMIUM INC MUNICI   | COM | 67060F102 | 6      | 424      | SH | DEFINED | 01 | 1 |
| NUVEEN NO CAROLINA PREMIUM IN  | COM | 67060P100 | 5      | 333      | SH | DEFINED | 01 | 1 |
| NUVEEN PA PREMIUM INC MUN FD   | COM | 67061F101 | 17     | 1371     | SH | DEFINED | 01 | 1 |
| NUVEEN MD PREMIUM INC MUN FD   | COM | 67061Q107 | 12     | 822      | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT MAT MUN FD SH    | COM | 67061T101 | 4      | 350      | SH | DEFINED | 01 | 1 |
| NUVEEN INSD CALIF PREMIUM IN   | COM | 67061U108 | 22     | 1699     | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN VALUE FD I    | COM | 67062C107 | 24     | 2594     | SH | DEFINED | 01 | 1 |
| NUVEEN INVT QUALITY MUNICIPAL  | COM | 67062E103 | 93     | 6555     | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT TAX FREE INCOM   | COM | 67062F100 | 38     | 2600     | SH | DEFINED | 01 | 1 |
| NUVEEN MUN ADVANTAGEFD INC     | COM | 67062H106 | 87     | 6050     | SH | DEFINED | 01 | 1 |
| NUVEEN N Y MUN VALUEFD INC     | COM | 67062M105 | 49     | 5020     | SH | DEFINED | 01 | 1 |
| NUVEEN INSD QUALITY MUNICIPAL  | COM | 67062N103 | 92     | 6423     | SH | DEFINED | 01 | 1 |
| NUVEEN PERFORMANCE PLUS MUN F  | COM | 67062P108 | 7      | 491      | SH | DEFINED | 01 | 1 |
| NUVEEN N Y PERFORMANC          | COM | 67062R104 | 38     | 2641     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                      |            |     |           |       |         |    |         |    |   |
|----------------------|------------|-----|-----------|-------|---------|----|---------|----|---|
| NUVEEN PREM INCOME   | MUN FD INC | COM | 67062T100 | 161   | 11711   | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN     | MKT OPPORT | COM | 67062U107 | 355   | 27479   | SH | DEFINED | 01 | 1 |
| NUVEEN MUN MKT       | OPPORTUNIT | COM | 67062W103 | 9     | 634     | SH | DEFINED | 01 | 1 |
| NUVEEN N Y INVT      | QUALITY MU | COM | 67062X101 | 110   | 7769    | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT TAX    | FREE INCOM | COM | 67063C106 | 4     | 300     | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF SELECT  | TAX FREE I | COM | 67063R103 | 92    | 7000    | SH | DEFINED | 01 | 1 |
| NUVEEN N Y SELECT    | TAX FREE I | COM | 67063V104 | 28    | 2000    | SH | DEFINED | 01 | 1 |
| NUVEEN PREM INCOME   | MUN FD 2 I | COM | 67063W102 | 147   | 10666   | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT TAX    | FREE INCOM | COM | 67063X100 | 10    | 713     | SH | DEFINED | 01 | 1 |
| NUVEEN INUSRED       | NEW YORK T | COM | 670656107 | 18    | 1300    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD TAX FREE | ADVANTAGE  | COM | 670657105 | 14    | 1000    | SH | DEFINED | 01 | 1 |
| NVIDIA CORP          |            | COM | 67066G104 | 18558 | 1067785 | SH | DEFINED | 01 | 0 |
| NVIDIA CORP          |            | COM | 67066G104 | 625   | 35918   | SH | DEFINED | 01 | 0 |
| NVIDIA CORP          |            | COM | 67066G104 | 42486 | 2445965 | SH | DEFINED | 01 | 1 |
| NVIDIA CORP          |            | COM | 67066G104 | 1816  | 104341  | SH | DEFINED | 01 | 1 |
| NUVEEN DIVID         | ADVANTAGE  | COM | 67066V101 | 123   | 8790    | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN     | ADVANTAGE  | COM | 67066Y105 | 321   | 25275   | SH | DEFINED | 01 | 1 |
| NUVEEN SR INCOME     | FD         | COM | 67067Y104 | 95    | 12017   | SH | DEFINED | 01 | 1 |
| NUTRISYSTEM INC      |            | COM | 67069D108 | 669   | 37558   | SH | DEFINED | 01 | 0 |
| NUTRISYSTEM INC      |            | COM | 67069D108 | 2     | 100     | SH | DEFINED | 01 | 1 |
| NUVEEN CONN DIVID    | ADVANTAGE  | COM | 67069T103 | 67    | 4400    | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF DIVID   | ADVANTAGE  | COM | 67069X104 | 28    | 2090    | SH | DEFINED | 01 | 1 |
| NUVEEN GLOBAL VALUE  | OPPORTUNIT | COM | 6706EH103 | 38    | 2000    | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY PREM   | OPPORTUNIT | COM | 6706EM102 | 143   | 10713   | SH | DEFINED | 01 | 1 |
| NUVEEN FLOATING RATE | INCOME OPP | COM | 6706EN100 | 29    | 2342    | SH | DEFINED | 01 | 1 |
| NUVEEN DIVERSIFIED   | DIVID & IN | COM | 6706EP105 | 6     | 600     | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY        | PREMIUM IN | COM | 6706ER101 | 607   | 45986   | SH | DEFINED | 01 | 1 |
| NUVEEN EQTY PREM     | ADVANTAGE  | COM | 6706ET107 | 88    | 6445    | SH | DEFINED | 01 | 1 |
| NUVEEN TAX ADVANTAGE | FLOATING   | COM | 6706EV102 | 61    | 28000   | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY PREM & | GROWTH FD  | COM | 6706EW100 | 17    | 1205    | SH | DEFINED | 01 | 1 |
| NUVEEN PREM INCOME   | MUN FD 4 I | COM | 6706K4105 | 46    | 3652    | SH | DEFINED | 01 | 1 |
| NUVASIVE INC         |            | COM | 670704105 | 123   | 2719    | SH | DEFINED | 01 | 1 |
| NUVASIVE INC         |            | COM | 670704105 | 5     | 100     | SH | DEFINED | 01 | 1 |
| NUVEEN NEW YORK      | DIVID ADVA | COM | 67070A101 | 6     | 450     | SH | DEFINED | 01 | 1 |
| NUVEEN OHIO DIVID    | ADVANTAGE  | COM | 67070C107 | 385   | 25900   | SH | DEFINED | 01 | 1 |
| NUVEEN DIVID         | ADVANTAGE  | COM | 67070F100 | 34    | 2305    | SH | DEFINED | 01 | 1 |
| NUVEEN OHIO DIV      | ADVANTAGE  | COM | 67070R104 | 350   | 25000   | SH | DEFINED | 01 | 1 |
| NUVEEN DIVID         | ADVANTAGE  | COM | 67070X101 | 14    | 1000    | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF DIVID   | ADVANTAGE  | COM | 67070Y109 | 39    | 3058    | SH | DEFINED | 01 | 1 |
| NUVEEN REAL ESTATE   | INCOME FD  | COM | 67071B108 | 17    | 1797    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD CALIF    | DIVID ADVA | COM | 67071M104 | 18    | 1277    | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY PFD   | INCOME FD  | COM | 67071S101 | 35    | 4801    | SH | DEFINED | 01 | 1 |
| NUVEEN CONN DIVID    | ADVANTAGE  | COM | 67071Y108 | 84    | 5900    | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY PFD   | INCOME FD  | COM | 67072C105 | 135   | 17090   | SH | DEFINED | 01 | 1 |
| NUVEEN INSD MASS TAX | FREE ADVA  | COM | 67072F108 | 77    | 4830    | SH | DEFINED | 01 | 1 |
| NUVEEN FLOATING      | RATE INCOM | COM | 67072T108 | 14    | 1207    | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY PFD   | INCOME FD  | COM | 67072W101 | 52    | 6798    | SH | DEFINED | 01 | 1 |
| NUVEEN MULTI         | STRATEGY I | COM | 67073B106 | 83    | 10595   | SH | DEFINED | 01 | 1 |
| NUVEEN MULTI         | STRATEGY I | COM | 67073D102 | 38    | 4573    | SH | DEFINED | 01 | 1 |
| NUVEEN TAX           | ADVANTAGED | COM | 67073G105 | 46    | 3750    | SH | DEFINED | 01 | 1 |
| NV ENERGY INC        |            | COM | 67073Y106 | 11810 | 957820  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |                    |           |        |          |    |         |    |   |
|------------------------------|--------------------|-----------|--------|----------|----|---------|----|---|
| NV ENERGY INC                | COM                | 67073Y106 | 128    | 10372    | SH | DEFINED | 01 | 1 |
| O'CHARLEYS INC               | COM                | 670823103 | 171    | 19143    | SH | DEFINED | 01 | 0 |
| TATNEFT                      | COM                | 670831999 | 274    | 8759     | SH | DEFINED | 01 | 0 |
| OGE ENERGY CORP              | HOLDING CO COM     | 670837103 | 95     | 2444     | SH | DEFINED | 01 | 1 |
| OM GROUP INC                 | COM                | 670872100 | 4488   | 132518   | SH | DEFINED | 01 | 0 |
| OM GROUP INC                 | COM                | 670872100 | 5      | 150      | SH | DEFINED | 01 | 1 |
| NUVEEN TAX                   | ADVANTAGED COM     | 67090H102 | 79     | 6690     | SH | DEFINED | 01 | 1 |
| NUVEEN MULTI                 | CURRENCY S COM     | 67090N109 | 214    | 14181    | SH | DEFINED | 01 | 1 |
| NUVEEN CORE EQUITY           | ALPHA FD C COM     | 67090X107 | 15     | 1187     | SH | DEFINED | 01 | 1 |
| NUVEEN MUN VALUE FD          | COM                | 670928100 | 144    | 14683    | SH | DEFINED | 01 | 1 |
| NUVEEN N J INVT QLTYMUN      | FD INC COM         | 670971100 | 11     | 833      | SH | DEFINED | 01 | 1 |
| NUVEEN PA INVT QLTY MUN      | FD COM             | 670972108 | 383    | 28244    | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT                | QUALITY MU COM     | 670973106 | 5      | 334      | SH | DEFINED | 01 | 1 |
| NUVEEN N Y SELECT            | QUALITY MU COM     | 670976109 | 34     | 2468     | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY               | INCOME MUN COM     | 670977107 | 536    | 37780    | SH | DEFINED | 01 | 1 |
| NUVEEN MICH QUALITY          | INCOME MUN COM     | 670979103 | 26     | 2000     | SH | DEFINED | 01 | 1 |
| NUVEEN INSD MUN              | OPPTY FD I COM     | 670984103 | 183    | 13152    | SH | DEFINED | 01 | 1 |
| NUVEEN PREMIER INSD          | MUN INCOME COM     | 670987106 | 36     | 2512     | SH | DEFINED | 01 | 1 |
| NUVEEN PREMIER MUN           | INCOME FD COM      | 670988104 | 333    | 25000    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD N Y              | PREMINCOME MUN COM | 67101R107 | 66     | 4775     | SH | DEFINED | 01 | 1 |
| OSI PHARMACEUTICALS INC      | COM                | 671040103 | 893    | 15000    | SH | DEFINED | 01 | 0 |
| OSI PHARMACEUTICALS INC      | COM                | 671040103 | 172    | 2893     | SH | DEFINED | 01 | 1 |
| OSI SYSTEMS INC              | COM STK            | 671044105 | 6      | 200      | SH | DEFINED | 01 | 1 |
| OCCAM NETWORKS INC           | COM                | 67457P309 | 20     | 3052     | SH | DEFINED | 01 | 0 |
| OCCAM NETWORKS INC           | COM                | 67457P309 | 1      | 195      | SH | DEFINED | 01 | 1 |
| OCCIDENTAL PETROLEUM CORP    | COM                | 674599105 | 204056 | 2413716  | SH | DEFINED | 01 | 0 |
| OCCIDENTAL PETROLEUM CORP    | COM                | 674599105 | 3813   | 45107    | SH | DEFINED | 01 | 0 |
| OCCIDENTAL PETROLEUM CORP    | COM                | 674599105 | 87747  | 1054579  | SH | DEFINED | 01 | 1 |
| OCCIDENTAL PETROLEUM CORP    | COM                | 674599105 | 1538   | 18193    | SH | DEFINED | 01 | 1 |
| OCEAN POWER                  | TECHNOLOGI COM     | 674870308 | 27     | 3840     | SH | DEFINED | 01 | 1 |
| OCEANEERING INTL INC         | COM                | 675232102 | 6926   | 109102   | SH | DEFINED | 01 | 0 |
| OCEANEERING INTL INC         | COM                | 675232102 | 60     | 947      | SH | DEFINED | 01 | 0 |
| OCEANEERING INTL INC         | COM                | 675232102 | 2552   | 40437    | SH | DEFINED | 01 | 1 |
| OCEANEERING INTL INC         | COM                | 675232102 | 19     | 304      | SH | DEFINED | 01 | 1 |
| OCH-ZIFF CAPITAL MANAGEMEN-A | LP                 | 67551U105 | 760    | 47500    | SH | DEFINED | 01 | 0 |
| OCLARO INC                   | COM                | 67555N107 | 26     | 9549     | SH | DEFINED | 01 | 0 |
| OCLARO INC                   | COM                | 67555N107 | 2      | 692      | SH | DEFINED | 01 | 1 |
| OCWEN FINANCIAL CORP         | COM                | 675746309 | 153    | 13769    | SH | DEFINED | 01 | 0 |
| OCULUS INNOVATIVE            | SCIENCES I COM     | 67575P108 | 57     | 26702    | SH | DEFINED | 01 | 1 |
| ODYSSEY MARINE               | EXPLORATIO COM     | 676118102 | 2      | 1200     | SH | DEFINED | 01 | 1 |
| ODYSSEY HEALTHCARE INC       | COM                | 67611V101 | 1932   | 106717   | SH | DEFINED | 01 | 0 |
| OFFICE DEPOT INC             | COM                | 676220106 | 18149  | 2274345  | SH | DEFINED | 01 | 0 |
| OFFICE DEPOT INC             | COM                | 676220106 | 531    | 66633    | SH | DEFINED | 01 | 0 |
| OFFICE DEPOT INC             | COM                | 676220106 | 82     | 10262    | SH | DEFINED | 01 | 1 |
| OFFICEMAX INC                | COM                | 67622P101 | 6988   | 425547   | SH | DEFINED | 01 | 0 |
| OFFICEMAX INC                | COM                | 67622P101 | 39     | 2394     | SH | DEFINED | 01 | 1 |
| OGK-3-CLS                    | COM                | 676604994 | 4315   | 62720936 | SH | DEFINED | 01 | 0 |
| LUKOIL OAO-SPON ADR          | COM                | 677862104 | 12816  | 226031   | SH | DEFINED | 01 | 0 |
| LUKOIL OAO-SPON ADR          | COM                | 677862104 | 8081   | 105100   | SH | DEFINED | 01 | 1 |
| LUKOIL OAO-SPON ADR          | COM                | 677862997 | 3393   | 59853    | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |          |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|----------|----|---------|----|---|
| OIL SVC HOLDRS TR              | OIL SVC HO | COM | 678002106 | 172    | 1400     | SH | DEFINED | 01 | 1 |
| OIL STATES INTERNATIONAL INC   |            | COM | 678026105 | 2967   | 65440    | SH | DEFINED | 01 | 0 |
| OIL STATES INTERNATIONAL INC   |            | COM | 678026105 | 67     | 1700     | SH | DEFINED | 01 | 1 |
| OILSANDS QUEST INC             |            | COM | 678046103 | 1      | 1100     | SH | DEFINED | 01 | 1 |
| ROSNEFT OIL CO OAO-GDR 144A    |            | COM | 67812M108 | 18630  | 2340481  | SH | DEFINED | 01 | 0 |
| ROSNEFT OJSC-GDR               |            | COM | 67812M983 | 1301   | 164010   | SH | DEFINED | 01 | 0 |
| OLD DOMINION FREIGHT LINE      |            | COM | 679580100 | 3397   | 101749   | SH | DEFINED | 01 | 0 |
| OLD NATL BANCORP/IN            |            | COM | 680033107 | 948    | 79342    | SH | DEFINED | 01 | 0 |
| OLD NATL BANCORP/IN            |            | COM | 680033107 | 35     | 2954     | SH | DEFINED | 01 | 1 |
| OLD MUT CLAYMORE               | LONG SHORT | COM | 68003N103 | 7      | 807      | SH | DEFINED | 01 | 1 |
| OLD REPUBLIC INTL CORP         |            | COM | 680223104 | 575    | 45368    | SH | DEFINED | 01 | 0 |
| OLD REPUBLIC INTL CORP         |            | COM | 680223104 | 28     | 2178     | SH | DEFINED | 01 | 1 |
| OLIN CORP                      |            | COM | 680665205 | 8899   | 453538   | SH | DEFINED | 01 | 0 |
| OLIN CORP                      |            | COM | 680665205 | 60     | 3045     | SH | DEFINED | 01 | 1 |
| OLYMPIC STEEL INC              |            | COM | 68162K106 | 1111   | 34030    | SH | DEFINED | 01 | 0 |
| OLYMPIC STEEL INC              |            | COM | 68162K106 | 0      | 1        | SH | DEFINED | 01 | 1 |
| OMNICARE INC                   |            | COM | 681904108 | 737    | 26057    | SH | DEFINED | 01 | 0 |
| OMNICARE INC                   |            | COM | 681904108 | 509    | 17994    | SH | DEFINED | 01 | 1 |
| OMNICOM GROUP                  |            | COM | 681919106 | 1004   | 25868    | SH | DEFINED | 01 | 0 |
| OMNICOM GROUP                  |            | COM | 681919106 | 773    | 19928    | SH | DEFINED | 01 | 0 |
| OMNICOM GROUP                  |            | COM | 681919106 | 384    | 9906     | SH | DEFINED | 01 | 1 |
| OMEGA HEALTHCARE INVESTORS     |            | COM | 681936100 | 2078   | 106623   | SH | DEFINED | 01 | 0 |
| OMEGA HEALTHCARE INVESTORS     |            | COM | 681936100 | 16     | 803      | SH | DEFINED | 01 | 1 |
| OMNI ENERGY SVCS CRP COM NEW   |            | COM | 68210T208 | 261    | 135000   | SH | DEFINED | 01 | 1 |
| OMNIVISION TECHNOLOGIES INC    |            | COM | 682128103 | 7851   | 456963   | SH | DEFINED | 01 | 0 |
| OMNICELL INC                   |            | COM | 68213N109 | 340    | 24219    | SH | DEFINED | 01 | 0 |
| ON ASSIGNMENT INC              |            | COM | 682159108 | 263    | 36857    | SH | DEFINED | 01 | 0 |
| ON ASSIGNMENT INC              |            | COM | 682159108 | 40     | 5627     | SH | DEFINED | 01 | 0 |
| ON SEMICONDUCTOR CORPORATION   |            | COM | 682189105 | 82282  | 10285255 | SH | DEFINED | 01 | 0 |
| ON SEMICONDUCTOR CORPORATION   |            | COM | 682189105 | 33     | 4080     | SH | DEFINED | 01 | 0 |
| ON SEMICONDUCTOR CORPORATION   |            | COM | 682189105 | 438    | 54400    | SH | DEFINED | 01 | 1 |
| ON SEMICONDUCTOR CORPORATION   |            | COM | 682189105 | 53     | 6593     | SH | DEFINED | 01 | 1 |
| ONCOTHYREON INC COM STK NPV IS |            | COM | 682324108 | 20     | 5866     | SH | DEFINED | 01 | 1 |
| ONEOK INC                      |            | COM | 682680103 | 5869   | 128543   | SH | DEFINED | 01 | 0 |
| ONEOK INC                      |            | COM | 682680103 | 480    | 10504    | SH | DEFINED | 01 | 0 |
| ONEOK INC                      |            | COM | 682680103 | 168    | 3691     | SH | DEFINED | 01 | 1 |
| ONEOK PARTNERS L P UNIT LTD P  |            | COM | 68268N103 | 302    | 4924     | SH | DEFINED | 01 | 1 |
| ONSTREAM MEDIA CORP COM        |            | COM | 682875109 | 0      | 20       | SH | DEFINED | 01 | 1 |
| ONYX PHARMACEUTICALS INC       |            | COM | 683399109 | 1155   | 38139    | SH | DEFINED | 01 | 0 |
| ONYX PHARMACEUTICALS INC       |            | COM | 683399109 | 61     | 2023     | SH | DEFINED | 01 | 0 |
| VIMPELCOM-SP ADR               |            | COM | 68370R109 | 319    | 17300    | SH | DEFINED | 01 | 0 |
| VIMPELCOM-SP ADR               |            | COM | 68370R109 | 19271  | 1046808  | SH | DEFINED | 01 | 0 |
| VIMPELCOM-SP ADR               |            | COM | 68370R109 | 2145   | 116848   | SH | DEFINED | 01 | 1 |
| VIMPELCOM-SP ADR               |            | COM | 68370R109 | 25     | 1382     | SH | DEFINED | 01 | 1 |
| OPEN TEXT CORP                 |            | COM | 683715106 | 239595 | 5047346  | SH | DEFINED | 01 | 0 |
| OPEN TEXT CORP                 |            | COM | 683715106 | 151    | 3174     | SH | DEFINED | 01 | 0 |
| OPEN TEXT CORP                 |            | COM | 683715106 | 1835   | 37453    | SH | DEFINED | 01 | 1 |
| OPEN TEXT CORP                 |            | COM | 683715106 | 5      | 95       | SH | DEFINED | 01 | 1 |
| OPENWAVE SYS INC COM NEW       |            | COM | 683718308 | 0      | 6        | SH | DEFINED | 01 | 1 |
| OPENTABLE INC                  |            | COM | 68372A104 | 16375  | 429467   | SH | DEFINED | 01 | 0 |
| OPENTABLE INC                  |            | COM | 68372A104 | 308    | 8061     | SH | DEFINED | 01 | 0 |
| OPENTABLE INC                  |            | COM | 68372A104 | 3313   | 86892    | SH | DEFINED | 01 | 1 |
| OPLINK COMMUNICATIONS INC      |            | COM | 68375Q403 | 91     | 4900     | SH | DEFINED | 01 | 0 |
| OPNEXT INC                     |            | COM | 68375V105 | 1676   | 710370   | SH | DEFINED | 01 | 0 |
| OPNEXT INC                     |            | COM | 68375V105 | 116    | 48974    | SH | DEFINED | 01 | 0 |
| OPPENHEIMER HOLDINGS-CL A      |            | COM | 683797104 | 3109   | 121862   | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |                |           |        |            |              |
|---------------------------------|----------------|-----------|--------|------------|--------------|
| OPTIMAL GROUP INC               | COM STK CL COM | 68388R307 | 0      | 80 SH      | DEFINED 01 1 |
| ORACLE CORP                     | COM            | 68389X105 | 151941 | 5914319 SH | DEFINED 01 0 |
| ORACLE CORP                     | COM            | 68389X105 | 5456   | 212372 SH  | DEFINED 01 0 |
| ORACLE CORP                     | COM            | 68389X105 | 6211   | 241759 SH  | DEFINED 01 0 |
| ORACLE CORP                     | COM            | 68389X105 | 77638  | 3103128 SH | DEFINED 01 1 |
| ORACLE CORP                     | COM            | 68389X105 | 4099   | 159437 SH  | DEFINED 01 1 |
| OPTIONSXPRESS HOLDINGS INC      | COM            | 684010101 | 1026   | 62916 SH   | DEFINED 01 0 |
| OPTIONSXPRESS HOLDINGS INC      | COM            | 684010101 | 8      | 470 SH     | DEFINED 01 1 |
| ORASCOM CONSTRUCTIO-144A GDR    | COM            | 68554N205 | 16736  | 349185 SH  | DEFINED 01 0 |
| ORASURE TECHNOLOGIESINC COM     | COM            | 68554V108 | 19     | 3200 SH    | DEFINED 01 1 |
| ORBCOMM INC                     | COM            | 68555P100 | 4851   | 2256401 SH | DEFINED 01 0 |
| ORBCOMM INC                     | COM            | 68555P100 | 99     | 46248 SH   | DEFINED 01 0 |
| ORBITAL SCIENCES CORP           | COM            | 685564106 | 951    | 50009 SH   | DEFINED 01 0 |
| ORBITAL SCIENCES CORP           | COM            | 685564106 | 27     | 1436 SH    | DEFINED 01 1 |
| ORBITAL SCIENCES CORP 2.437     | COM            | 685564AN6 | 1      | 1000 SH    | DEFINED 01 1 |
| ORCHID CELLMARK INC             | COM            | 68573C107 | 0      | 32 SH      | DEFINED 01 1 |
| O'REILLY AUTOMOTIVE INC         | COM            | 686091109 | 114    | 2731 SH    | DEFINED 01 0 |
| O'REILLY AUTOMOTIVE INC         | COM            | 686091109 | 218    | 5224 SH    | DEFINED 01 0 |
| O'REILLY AUTOMOTIVE INC         | COM            | 686091109 | 56     | 1700 SH    | DEFINED 01 1 |
| O'REILLY AUTOMOTIVE INC         | COM            | 686091109 | 108    | 2578 SH    | DEFINED 01 1 |
| OREXIGEN THERAPEUTICS INC       | COM            | 686164104 | 206    | 35000 SH   | DEFINED 01 0 |
| OREXIGEN THERAPEUTICS INC       | COM            | 686164104 | 1      | 100 SH     | DEFINED 01 1 |
| ORION MARINE GROUP INC          | COM            | 68628V308 | 5003   | 277135 SH  | DEFINED 01 0 |
| ORION MARINE GROUP INC          | COM            | 68628V308 | 58     | 2675 SH    | DEFINED 01 1 |
| ORIX CORPORATION SPON ADR E     | COM            | 686330101 | 1      | 15 SH      | DEFINED 01 1 |
| ORMAT TECHNOLOGIES INC          | COM            | 686688102 | 17     | 601 SH     | DEFINED 01 1 |
| ORTHOVITA INC                   | COM            | 68750U102 | 77     | 17970 SH   | DEFINED 01 1 |
| OSHKOSH CORP                    | COM            | 688239201 | 21196  | 525446 SH  | DEFINED 01 0 |
| OSHKOSH CORP                    | COM            | 688239201 | 93     | 2301 SH    | DEFINED 01 1 |
| OSTEOTECH INC                   | COM            | 688582105 | 74     | 18794 SH   | DEFINED 01 0 |
| OTELCO INC                      | INCOME DEP COM | 688823202 | 73     | 4566 SH    | DEFINED 01 1 |
| OTIX GLOBAL INC                 | COM            | 68906N200 | 2238   | 508740 SH  | DEFINED 01 0 |
| OTTER TAIL CORP FORMERLY O      | COM            | 689648103 | 91     | 4147 SH    | DEFINED 01 1 |
| OVERSEAS SHIPHOLDING GROUP      | COM            | 690368105 | 2099   | 53527 SH   | DEFINED 01 0 |
| OVERSEAS SHIPHOLDING GROUP      | COM            | 690368105 | 91     | 2325 SH    | DEFINED 01 1 |
| OVERSTOCK COM INC DEL COM       | COM            | 690370101 | 3      | 200 SH     | DEFINED 01 1 |
| OWENS & MINOR INC               | COM            | 690732102 | 6471   | 139500 SH  | DEFINED 01 0 |
| OWENS & MINOR INC               | COM            | 690732102 | 63     | 1366 SH    | DEFINED 01 1 |
| OWENS CORNING NEW WT EXP SER WT | COM            | 690742127 | 1      | 304 SH     | DEFINED 01 1 |
| OWENS-ILLINOIS INC              | COM            | 690768403 | 24263  | 682719 SH  | DEFINED 01 0 |
| OWENS-ILLINOIS INC              | COM            | 690768403 | 232    | 6526 SH    | DEFINED 01 0 |
| OWENS-ILLINOIS INC              | COM            | 690768403 | 24     | 662 SH     | DEFINED 01 1 |
| OXFORD INDUSTRIES INC           | COM            | 691497309 | 265    | 13014 SH   | DEFINED 01 0 |
| OXFORD INDUSTRIES INC           | COM            | 691497309 | 2      | 100 SH     | DEFINED 01 1 |
| OXIGENE INC                     | COM            | 691828107 | 6      | 5250 SH    | DEFINED 01 1 |
| PC-TEL INC                      | COM            | 69325Q105 | 105    | 17000 SH   | DEFINED 01 0 |
| PDL BIOPHARMA INC               | COM            | 69329Y104 | 594    | 95820 SH   | DEFINED 01 0 |
| PDL BIOPHARMA INC               | COM            | 69329Y104 | 47     | 7608 SH    | DEFINED 01 1 |
| P G & E CORP                    | COM            | 69331C108 | 17704  | 417352 SH  | DEFINED 01 0 |
| P G & E CORP                    | COM            | 69331C108 | 817    | 19268 SH   | DEFINED 01 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |     |           |        |         |    |         |    |   |
|------------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| P G & E CORP                       | COM | 69331C108 | 699    | 16474   | SH | DEFINED | 01 | 1 |
| PHH CORP                           | COM | 693320202 | 198    | 8389    | SH | DEFINED | 01 | 0 |
| PHH CORP                           | COM | 693320202 | 1      | 60      | SH | DEFINED | 01 | 1 |
| PF CHANG'S CHINA BISTRO INC        | COM | 69333Y108 | 6106   | 138370  | SH | DEFINED | 01 | 0 |
| PF CHANG'S CHINA BISTRO INC        | COM | 69333Y108 | 50     | 1129    | SH | DEFINED | 01 | 0 |
| PF CHANG'S CHINA BISTRO INC        | COM | 69333Y108 | 11     | 241     | SH | DEFINED | 01 | 1 |
| PICO HOLDINGS INC                  | COM | 693366205 | 13000  | 349582  | SH | DEFINED | 01 | 0 |
| PICO HOLDINGS INC                  | COM | 693366205 | 12     | 310     | SH | DEFINED | 01 | 1 |
| PMA CAPITAL CORPORATION-CL A       | COM | 693419202 | 64     | 10395   | SH | DEFINED | 01 | 0 |
| PMA CAPITAL CORPORATION-CL A       | COM | 693419202 | 0      | 7       | SH | DEFINED | 01 | 1 |
| PMC - SIERRA INC                   | COM | 69344F106 | 64612  | 7243552 | SH | DEFINED | 01 | 0 |
| PMC - SIERRA INC                   | COM | 69344F106 | 914    | 102467  | SH | DEFINED | 01 | 0 |
| PMC - SIERRA INC                   | COM | 69344F106 | 26     | 2874    | SH | DEFINED | 01 | 1 |
| PMI GROUP INC                      | COM | 69344M101 | 2      | 390     | SH | DEFINED | 01 | 1 |
|                                    |     |           |        |         |    |         |    |   |
| PNC FINANCIAL SERVICES GROUP       | COM | 693475105 | 101990 | 1708373 | SH | DEFINED | 01 | 0 |
| PNC FINANCIAL SERVICES GROUP       | COM | 693475105 | 1956   | 32767   | SH | DEFINED | 01 | 0 |
| PNC FINANCIAL SERVICES GROUP       | COM | 693475105 | 6288   | 105369  | SH | DEFINED | 01 | 1 |
| PNC FINANCIAL SERVICES GROUP       | COM | 693475105 | 925    | 15491   | SH | DEFINED | 01 | 1 |
| PNC FINL SVCS GROUP PFD CONV S PRF | COM | 693475501 | 98     | 983     | SH | DEFINED | 01 | 1 |
| POSCO ADR EACH REP 1/4 ORD KR      | COM | 693483109 | 93     | 797     | SH | DEFINED | 01 | 1 |
| PNM RESOURCES INC                  | COM | 69349H107 | 10603  | 846250  | SH | DEFINED | 01 | 0 |
| PNM RESOURCES INC                  | COM | 69349H107 | 4      | 325     | SH | DEFINED | 01 | 1 |
| PPG INDUSTRIES INC                 | COM | 693506107 | 47182  | 721444  | SH | DEFINED | 01 | 0 |
| PPG INDUSTRIES INC                 | COM | 693506107 | 514    | 7857    | SH | DEFINED | 01 | 0 |
| PPG INDUSTRIES INC                 | COM | 693506107 | 227    | 3477    | SH | DEFINED | 01 | 1 |
| PPL CORPORATION                    | COM | 69351T106 | 7358   | 265522  | SH | DEFINED | 01 | 0 |
| PPL CORPORATION                    | COM | 69351T106 | 606    | 21883   | SH | DEFINED | 01 | 0 |
| PPL CORPORATION                    | COM | 69351T106 | 504    | 18177   | SH | DEFINED | 01 | 1 |
| PS BUSINESS PARKS INC/CA           | COM | 69360J107 | 882    | 16508   | SH | DEFINED | 01 | 0 |
| PS BUSINESS PARKS INC/CA           | COM | 69360J107 | 10     | 196     | SH | DEFINED | 01 | 1 |
| PSS WORLD MEDICAL INC              | COM | 69366A100 | 1330   | 56584   | SH | DEFINED | 01 | 0 |
| PSS WORLD MEDICAL INC              | COM | 69366A100 | 17310  | 736284  | SH | DEFINED | 01 | 1 |
| PSS WORLD MEDICAL INC              | COM | 69366A100 | 5      | 205     | SH | DEFINED | 01 | 1 |
| PTV INC                            | PRF | 69367F306 | 0      | 17      | SH | DEFINED | 01 | 0 |
| PACCAR INC                         | COM | 693718108 | 6077   | 140216  | SH | DEFINED | 01 | 0 |
| PACCAR INC                         | COM | 693718108 | 682    | 15739   | SH | DEFINED | 01 | 0 |
| PACCAR INC                         | COM | 693718108 | 113    | 2602    | SH | DEFINED | 01 | 1 |
| PACER INTERNATIONAL INC            | COM | 69373H106 | 60     | 9986    | SH | DEFINED | 01 | 0 |
| PACIFIC ASIA PETE INC              | COM | 693864100 | 21     | 5500    | SH | DEFINED | 01 | 1 |
| PACIFIC CAPITAL BANCORP            | COM | 69404P101 | 1      | 294     | SH | DEFINED | 01 | 1 |
| PACIFIC ETHANOL INC                | COM | 69423U107 | 57     | 51650   | SH | DEFINED | 01 | 1 |
| PACIFIC MERCANTILE BANCORP         | COM | 694552100 | 35     | 12582   | SH | DEFINED | 01 | 1 |
| PACIFIC OFFICE PPTYSTR INC COM     | COM | 694714106 | 0      | 100     | SH | DEFINED | 01 | 1 |
| PACIFIC SUNWEAR OF CALIF           | COM | 694873100 | 433    | 81438   | SH | DEFINED | 01 | 0 |
| PACIFIC SUNWEAR OF CALIF           | COM | 694873100 | 27     | 5045    | SH | DEFINED | 01 | 0 |
|                                    |     |           |        |         |    |         |    |   |
| PACKAGING CORP OF AMERICA          | COM | 695156109 | 16026  | 651187  | SH | DEFINED | 01 | 0 |
| PACKAGING CORP OF AMERICA          | COM | 695156109 | 851    | 34653   | SH | DEFINED | 01 | 1 |
| PACTIV CORPORATION                 | COM | 695257105 | 867    | 34424   | SH | DEFINED | 01 | 0 |
| PACTIV CORPORATION                 | COM | 695257105 | 191    | 7574    | SH | DEFINED | 01 | 0 |
| PACTIV CORPORATION                 | COM | 695257105 | 54     | 2151    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |            |           |        |          |    |         |    |   |
|------------------------------|------------|-----------|--------|----------|----|---------|----|---|
| PACWEST BANCORP              | COM        | 695263103 | 3996   | 175100   | SH | DEFINED | 01 | 0 |
| PAETEC HLDG CORP             | COM        | 695459107 | 87     | 18600    | SH | DEFINED | 01 | 1 |
| PALL CORP                    | COM        | 696429307 | 299    | 7401     | SH | DEFINED | 01 | 0 |
| PALL CORP                    | COM        | 696429307 | 202    | 4992     | SH | DEFINED | 01 | 0 |
| PALL CORP                    | COM        | 696429307 | 173    | 4283     | SH | DEFINED | 01 | 1 |
| PALM INC                     | COM        | 696643105 | 8158   | 2169737  | SH | DEFINED | 01 | 0 |
| PALM INC                     | COM        | 696643105 | 129    | 34342    | SH | DEFINED | 01 | 0 |
| PALM INC                     | COM        | 696643105 | 1      | 177      | SH | DEFINED | 01 | 1 |
| PALOMAR MEDICAL TECHNOLOGIES | COM        | 697529303 | 116    | 10727    | SH | DEFINED | 01 | 0 |
| PALOMAR MEDICAL TECHNOLOGIES | COM        | 697529303 | 7      | 613      | SH | DEFINED | 01 | 1 |
| PAN AMERICAN SILVER CORP     | COM        | 697900108 | 2204   | 95192    | SH | DEFINED | 01 | 0 |
| PAN AMERICAN SILVER CORP     | COM        | 697900108 | 246    | 10647    | SH | DEFINED | 01 | 1 |
| PANASONIC CORP               | ADR-EACH C | 69832A205 | 41     | 2677     | SH | DEFINED | 01 | 1 |
| PANERA BREAD COMPANY-CL A    | COM        | 69840W108 | 4570   | 59744    | SH | DEFINED | 01 | 0 |
| PANERA BREAD COMPANY-CL A    | COM        | 69840W108 | 122    | 1604     | SH | DEFINED | 01 | 0 |
| PANERA BREAD COMPANY-CL A    | COM        | 69840W108 | 2      | 26       | SH | DEFINED | 01 | 1 |
| PANTRY INC                   | COM        | 698657103 | 1650   | 132126   | SH | DEFINED | 01 | 0 |
| PAPA JOHN'S INTL INC         | COM        | 698813102 | 5605   | 218008   | SH | DEFINED | 01 | 0 |
| PAR PHARMACEUTICAL COS INC   | COM        | 69888P106 | 1958   | 78922    | SH | DEFINED | 01 | 0 |
| PAR PHARMACEUTICAL COS INC   | COM        | 69888P106 | 2      | 100      | SH | DEFINED | 01 | 1 |
| PARAGON SHIPPING INC         | COM        | 69913R309 | 4      | 810      | SH | DEFINED | 01 | 1 |
| PARAMETRIC .TECHNOLOGY CORP  | COM        | 699173209 | 310639 | 17209980 | SH | DEFINED | 01 | 0 |
| PARAMETRIC .TECHNOLOGY CORP  | COM        | 699173209 | 39     | 2151     | SH | DEFINED | 01 | 0 |
| PARAMETRIC .TECHNOLOGY CORP  | COM        | 699173209 | 2040   | 113050   | SH | DEFINED | 01 | 1 |
| PARAMETRIC .TECHNOLOGY CORP  | COM        | 699173209 | 0      | 2        | SH | DEFINED | 01 | 1 |
| PAREXEL INTERNATIONAL CORP   | COM        | 699462107 | 1266   | 54311    | SH | DEFINED | 01 | 0 |
| PAREXEL INTERNATIONAL CORP   | COM        | 699462107 | 37     | 1574     | SH | DEFINED | 01 | 1 |

|                           |            |           |        |         |    |         |    |   |
|---------------------------|------------|-----------|--------|---------|----|---------|----|---|
| PARK ELECTROCHEMICAL CORP | COM        | 700416209 | 10169  | 353833  | SH | DEFINED | 01 | 0 |
| PARK NATIONAL CORP        | COM        | 700658107 | 1895   | 30415   | SH | DEFINED | 01 | 0 |
| PARK NATIONAL CORP        | COM        | 700658107 | 12     | 200     | SH | DEFINED | 01 | 1 |
| PARK OHIO HLDGS CORP      | COM        | 700666100 | 76     | 8700    | SH | DEFINED | 01 | 1 |
| PARKER DRILLING CO        | COM        | 701081101 | 874    | 177047  | SH | DEFINED | 01 | 0 |
| PARKER DRILLING CO        | COM        | 701081101 | 40     | 8100    | SH | DEFINED | 01 | 1 |
| PARKER HANNIFIN CORP      | COM        | 701094104 | 142817 | 2205978 | SH | DEFINED | 01 | 0 |
| PARKER HANNIFIN CORP      | COM        | 701094104 | 808    | 12485   | SH | DEFINED | 01 | 0 |
| PARKER HANNIFIN CORP      | COM        | 701094104 | 797    | 12305   | SH | DEFINED | 01 | 1 |
| PARKERVISION INC          | COM        | 701354102 | 8      | 4844    | SH | DEFINED | 01 | 0 |
| PARKERVISION INC          | COM        | 701354102 | 5      | 3000    | SH | DEFINED | 01 | 1 |
| PARKVALE FINL CORP        | COM        | 701492100 | 8      | 1062    | SH | DEFINED | 01 | 1 |
| PARKWAY PROPERTIES INC    | COM        | 70159Q104 | 1817   | 96753   | SH | DEFINED | 01 | 0 |
| PARTNER                   | COMMUNICAT | 70211M109 | 9      | 400     | SH | DEFINED | 01 | 1 |
| PATNI COMPUTER            | SYSTEMS AD | 703248203 | 1      | 32      | SH | DEFINED | 01 | 1 |
| PATRIOT COAL CORP         | COM        | 70336T104 | 3665   | 179161  | SH | DEFINED | 01 | 0 |
| PATRIOT COAL CORP         | COM        | 70336T104 | 327    | 16000   | SH | DEFINED | 01 | 1 |
| PATRIOT COAL CORP         | COM        | 70336T104 | 426    | 20816   | SH | DEFINED | 01 | 1 |
| PATTERSON COS INC         | COM        | 703395103 | 3111   | 100200  | SH | DEFINED | 01 | 0 |
| PATTERSON COS INC         | COM        | 703395103 | 143    | 4615    | SH | DEFINED | 01 | 0 |
| PATTERSON COS INC         | COM        | 703395103 | 46     | 1466    | SH | DEFINED | 01 | 1 |
| PATTERSON-UTI ENERGY INC  | COM        | 703481101 | 3529   | 252710  | SH | DEFINED | 01 | 0 |
| PATTERSON-UTI ENERGY INC  | COM        | 703481101 | 34     | 2399    | SH | DEFINED | 01 | 0 |
| PATTERSON-UTI ENERGY INC  | COM        | 703481101 | 23     | 1624    | SH | DEFINED | 01 | 1 |
| PAULSON CAP CORP          | COM        | 703797100 | 1      | 400     | SH | DEFINED | 01 | 1 |
| PAYCHEX INC               | COM        | 704326107 | 6252   | 203643  | SH | DEFINED | 01 | 0 |
| PAYCHEX INC               | COM        | 704326107 | 545    | 17756   | SH | DEFINED | 01 | 0 |
| PAYCHEX INC               | COM        | 704326107 | 6106   | 214000  | SH | DEFINED | 01 | 1 |
| PAYCHEX INC               | COM        | 704326107 | 1335   | 43445   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |       |         |    |         |    |   |
|------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| PEABODY ENERGY CORP          | COM | 704549104 | 1350  | 29523   | SH | DEFINED | 01 | 0 |
| PEABODY ENERGY CORP          | COM | 704549104 | 779   | 17045   | SH | DEFINED | 01 | 0 |
| PEABODY ENERGY CORP          | COM | 704549104 | 18622 | 407764  | SH | DEFINED | 01 | 1 |
| PEABODY ENERGY CORP          | COM | 704549104 | 394   | 8624    | SH | DEFINED | 01 | 1 |
| PEARSON SPONS ADR EACH REP 1 | COM | 705015105 | 1     | 70      | SH | DEFINED | 01 | 1 |
| PEBBLEBROOK HOTEL TRUST      | COM | 70509V100 | 35313 | 1679189 | SH | DEFINED | 01 | 0 |
| PEBBLEBROOK HOTEL TRUST      | COM | 70509V100 | 88    | 4170    | SH | DEFINED | 01 | 0 |
| PEBBLEBROOK HOTEL TRUST      | COM | 70509V100 | 4     | 188     | SH | DEFINED | 01 | 1 |
| PEETS COFFEE & TEA INC       | COM | 705560100 | 420   | 10584   | SH | DEFINED | 01 | 0 |
| PEETS COFFEE & TEA INC       | COM | 705560100 | 12    | 300     | SH | DEFINED | 01 | 1 |
| PEGASYSTEMS INC              | COM | 705573103 | 508   | 13745   | SH | DEFINED | 01 | 0 |
| PEGASYSTEMS INC              | COM | 705573103 | 0     | 2       | SH | DEFINED | 01 | 1 |
| PENGROWTH ENERGY TRUST SBI   | COM | 706902509 | 233   | 19962   | SH | DEFINED | 01 | 1 |
| PENFORD CORP                 | COM | 707051108 | 74    | 7211    | SH | DEFINED | 01 | 0 |
| PENN NATIONAL GAMING INC     | COM | 707569109 | 37883 | 1362707 | SH | DEFINED | 01 | 0 |
| PENN NATIONAL GAMING INC     | COM | 707569109 | 51    | 1835    | SH | DEFINED | 01 | 1 |
| PENN VIRGINIA CORP           | COM | 707882106 | 4102  | 167418  | SH | DEFINED | 01 | 0 |
| PENN VIRGINIA CORP           | COM | 707882106 | 24    | 998     | SH | DEFINED | 01 | 1 |
| PENN VIRGINIA RESOURCE PARTN | LP  | 707884102 | 192   | 8172    | SH | DEFINED | 01 | 0 |
| PENN VIRGINIA RESOURCE PARTN | LP  | 707884102 | 520   | 22238   | SH | DEFINED | 01 | 1 |
| PENN VIRGINIA RESOURCE PARTN | LP  | 707884102 | 458   | 19536   | SH | DEFINED | 01 | 1 |
| PENN WEST ENERGY TRUST SBI   | COM | 707885109 | 1454  | 68848   | SH | DEFINED | 01 | 1 |
| PENN VA GP HLDGS L P COM UN  | COM | 70788P105 | 56    | 3050    | SH | DEFINED | 01 | 1 |
| PENNANTPARK INVESTMENT CORP  | COM | 708062104 | 73    | 7088    | SH | DEFINED | 01 | 0 |
| PENNANTPARK INVESTMENT CORP  | COM | 708062104 | 5     | 500     | SH | DEFINED | 01 | 1 |
| J.C. PENNEY CO INC           | COM | 708160106 | 88230 | 2742636 | SH | DEFINED | 01 | 0 |
| J.C. PENNEY CO INC           | COM | 708160106 | 435   | 13518   | SH | DEFINED | 01 | 0 |
| J.C. PENNEY CO INC           | COM | 708160106 | 228   | 7087    | SH | DEFINED | 01 | 1 |
| PENNICHUCK CORP              | COM | 708254206 | 30    | 1261    | SH | DEFINED | 01 | 1 |
| PENNS WOODS BANCORP INC      | COM | 708430103 | 25    | 747     | SH | DEFINED | 01 | 0 |
| PENN REAL ESTATE INVEST TST  | COM | 709102107 | 391   | 31366   | SH | DEFINED | 01 | 0 |
| PENN REAL ESTATE INVEST TST  | COM | 709102107 | 11    | 920     | SH | DEFINED | 01 | 1 |
| PENSKE AUTO GROUP INC        | COM | 70959W103 | 224   | 15548   | SH | DEFINED | 01 | 0 |
| PENSKE AUTO GROUP INC        | COM | 70959W103 | 15    | 1058    | SH | DEFINED | 01 | 1 |
| PENSON WORLDWIDE INC         | COM | 709600100 | 537   | 53319   | SH | DEFINED | 01 | 0 |
| PENTAIR INC                  | COM | 709631105 | 87    | 2440    | SH | DEFINED | 01 | 0 |
| PENTAIR INC                  | COM | 709631105 | 297   | 8324    | SH | DEFINED | 01 | 1 |
| PEOPLE'S UNITED FINANCIAL    | COM | 712704105 | 138   | 8842    | SH | DEFINED | 01 | 0 |
| PEOPLE'S UNITED FINANCIAL    | COM | 712704105 | 236   | 15070   | SH | DEFINED | 01 | 0 |
| PEOPLE'S UNITED FINANCIAL    | COM | 712704105 | 158   | 10107   | SH | DEFINED | 01 | 1 |
| PEP BOYS-MANNY MOE & JACK    | COM | 713278109 | 367   | 36481   | SH | DEFINED | 01 | 0 |
| PEP BOYS-MANNY MOE & JACK    | COM | 713278109 | 3     | 250     | SH | DEFINED | 01 | 1 |
| PEPCO HOLDINGS INC           | COM | 713291102 | 43191 | 2518460 | SH | DEFINED | 01 | 0 |
| PEPCO HOLDINGS INC           | COM | 713291102 | 314   | 18293   | SH | DEFINED | 01 | 0 |
| PEPCO HOLDINGS INC           | COM | 713291102 | 102   | 5929    | SH | DEFINED | 01 | 1 |
| PEPSICO INC                  | COM | 713448108 | 81811 | 1236573 | SH | DEFINED | 01 | 0 |
| PEPSICO INC                  | COM | 713448108 | 5933  | 89683   | SH | DEFINED | 01 | 0 |
| PEPSICO INC                  | COM | 713448108 | 61286 | 935190  | SH | DEFINED | 01 | 1 |
| PEPSICO INC                  | COM | 713448108 | 4746  | 71736   | SH | DEFINED | 01 | 1 |
| PEREGRINE PHARMACEUT         | COM | 713661304 | 5     | 1521    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |        |          |    |         |    |   |
|---------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| PERFICIENT INC                  | COM | 71375U101 | 302    | 26812    | SH | DEFINED | 01 | 0 |
| PERFICIENT INC                  | COM | 71375U101 | 2      | 203      | SH | DEFINED | 01 | 1 |
| PERICOM SEMICONDUCTOR CORP      | COM | 713831105 | 319    | 29787    | SH | DEFINED | 01 | 0 |
| PERICOM SEMICONDUCTOR CORP      | COM | 713831105 | 1      | 120      | SH | DEFINED | 01 | 1 |
| PERKINELMER INC                 | COM | 714046109 | 4905   | 205262   | SH | DEFINED | 01 | 0 |
| PERKINELMER INC                 | COM | 714046109 | 89     | 3723     | SH | DEFINED | 01 | 0 |
| PERKINELMER INC                 | COM | 714046109 | 71     | 2979     | SH | DEFINED | 01 | 1 |
| PERMIAN BASIN RTY TR            | COM | 714236106 | 344    | 19582    | SH | DEFINED | 01 | 1 |
| PERRIGO CO                      | COM | 714290103 | 3157   | 53770    | SH | DEFINED | 01 | 0 |
| PERRIGO CO                      | COM | 714290103 | 43     | 740      | SH | DEFINED | 01 | 1 |
| TELEKOMUNIKASI INDONESIA (      | COM | 715684106 | 5      | 130      | SH | DEFINED | 01 | 1 |
| PETMED EXPRESS INC              | COM | 716382106 | 3606   | 162657   | SH | DEFINED | 01 | 0 |
| PETMED EXPRESS INC              | COM | 716382106 | 300    | 13526    | SH | DEFINED | 01 | 1 |
| PETROCHINA CO ADS EACH REPR     | COM | 71646E100 | 242    | 2062     | SH | DEFINED | 01 | 1 |
| PETROBRAS ENERGIA SASPON ADR E  | COM | 71646J109 | 44     | 2643     | SH | DEFINED | 01 | 1 |
| PETROHAWK ENERGY CORP           | COM | 716495106 | 9111   | 449297   | SH | DEFINED | 01 | 0 |
| PETROHAWK ENERGY CORP           | COM | 716495106 | 119    | 5881     | SH | DEFINED | 01 | 0 |
| PETROHAWK ENERGY CORP           | COM | 716495106 | 710    | 35007    | SH | DEFINED | 01 | 1 |
| PETROLEUM & RES CORP            | COM | 716549100 | 122    | 5122     | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO-SPON ADR    | COM | 71654V101 | 966    | 24400    | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO-SPON ADR    | COM | 71654V101 | 49002  | 1247881  | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO-SPON ADR    | COM | 71654V101 | 24     | 605      | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO S.A.-ADR    | COM | 71654V408 | 40701  | 914839   | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO S.A.-ADR    | COM | 71654V408 | 31657  | 711558   | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO S.A.-ADR    | COM | 71654V408 | 132    | 2959     | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO S.A.-ADR    | COM | 71654V408 | 77805  | 1748813  | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO S.A.-ADR    | COM | 71654V408 | 2042   | 45877    | SH | DEFINED | 01 | 1 |
| PETROLEUM DEVELOPMENT CORP      | COM | 716578109 | 1255   | 54156    | SH | DEFINED | 01 | 0 |
| PETROLEUM DEVELOPMENT CORP      | COM | 716578109 | 14     | 600      | SH | DEFINED | 01 | 1 |
| PETROQUEST ENERGY INC           | COM | 716748108 | 177    | 35130    | SH | DEFINED | 01 | 0 |
| PETSMART INC                    | COM | 716768106 | 11494  | 359644   | SH | DEFINED | 01 | 0 |
| PETSMART INC                    | COM | 716768106 | 98     | 3070     | SH | DEFINED | 01 | 0 |
| PETSMART INC                    | COM | 716768106 | 29     | 911      | SH | DEFINED | 01 | 1 |
| PFIZER INC                      | COM | 717081103 | 598476 | 34896766 | SH | DEFINED | 01 | 0 |
| PFIZER INC                      | COM | 717081103 | 8716   | 508201   | SH | DEFINED | 01 | 0 |
| PFIZER INC                      | COM | 717081103 | 100885 | 5882577  | SH | DEFINED | 01 | 1 |
| PFIZER INC                      | COM | 717081103 | 6103   | 355867   | SH | DEFINED | 01 | 1 |
| PHARMACEUTICAL PRODUCT DEVEL    | COM | 717124101 | 10795  | 454534   | SH | DEFINED | 01 | 0 |
| PHARMACEUTICAL PRODUCT DEVEL    | COM | 717124101 | 36     | 1536     | SH | DEFINED | 01 | 1 |
| PHARMACEUTICAL HOLDERS TRUST ET | COM | 71712A206 | 20     | 300      | SH | DEFINED | 01 | 1 |
| PHARMERICA CORP                 | COM | 71714F104 | 598    | 32807    | SH | DEFINED | 01 | 0 |
| PHARMERICA CORP                 | COM | 71714F104 | 4      | 208      | SH | DEFINED | 01 | 1 |
| PHASE FORWARD INC               | COM | 71721R406 | 3381   | 258725   | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL     | COM | 718172109 | 273364 | 5240753  | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL     | COM | 718172109 | 5764   | 110494   | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL     | COM | 718172109 | 30400  | 582832   | SH | DEFINED | 01 | 1 |
| PHILIP MORRIS INTERNATIONAL     | COM | 718172109 | 5201   | 99719    | SH | DEFINED | 01 | 1 |
| PHILIPPINE LONG DIST -SP ADR    | COM | 718252604 | 8326   | 148800   | SH | DEFINED | 01 | 1 |
| PHILLIPS-VAN HEUSEN             | COM | 718592108 | 89     | 1554     | SH | DEFINED | 01 | 0 |
| PHILLIPS-VAN HEUSEN             | COM | 718592108 | 2      | 37       | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |      |        |    |         |    |   |
|--------------------------------|-----|-----------|------|--------|----|---------|----|---|
| PHOENIX COMPANIES INC          | COM | 71902E109 | 60   | 24894  | SH | DEFINED | 01 | 0 |
| PHOENIX COMPANIES INC          | COM | 71902E109 | 1    | 586    | SH | DEFINED | 01 | 1 |
| PHOENIX TECHNOLOGIES LTD       | COM | 719153108 | 68   | 21002  | SH | DEFINED | 01 | 0 |
| PHOTRONICS INC                 | COM | 719405102 | 1349 | 265050 | SH | DEFINED | 01 | 0 |
| PHOTRONICS INC                 | COM | 719405102 | 1    | 200    | SH | DEFINED | 01 | 1 |
| PIEDMONT NATURAL GAS CO        | COM | 720186105 | 3314 | 120166 | SH | DEFINED | 01 | 0 |
| PIEDMONT NATURAL GAS CO        | COM | 720186105 | 124  | 4483   | SH | DEFINED | 01 | 1 |
| PIER 1 IMPORTS INC             | COM | 720279108 | 1466 | 230239 | SH | DEFINED | 01 | 0 |
| PIKE ELECTRIC CORP             | COM | 721283109 | 1636 | 175500 | SH | DEFINED | 01 | 0 |
| PIKE ELECTRIC CORP             | COM | 721283109 | 2    | 200    | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD II   | COM | 72200M108 | 5    | 620    | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD      | COM | 72200N106 | 17   | 1324   | SH | DEFINED | 01 | 1 |
| PIMCO MUN INCOME FD COM        | COM | 72200R107 | 14   | 1018   | SH | DEFINED | 01 | 1 |
| PIMCO NEW YORK MUN INCOME FD   | COM | 72200T103 | 0    | 6      | SH | DEFINED | 01 | 1 |
| PIMCO CORPORATE INCOME FD      | COM | 72200U100 | 87   | 5801   | SH | DEFINED | 01 | 1 |
| PIMCO MUN INCOME FD II COM     | COM | 72200W106 | 52   | 4783   | SH | DEFINED | 01 | 1 |
| PIMCO STRATEGIC GLOBAL GOV     | COM | 72200X104 | 74   | 7206   | SH | DEFINED | 01 | 1 |
| PIMCO NEW YORK MUN FD II COM   | COM | 72200Y102 | 51   | 4422   | SH | DEFINED | 01 | 1 |
| PIMCO GLOBAL STOCKSPLUS        | COM | 722011103 | 300  | 15765  | SH | DEFINED | 01 | 1 |
| PIMCO HIGH INCOME FDCOM SHS    | COM | 722014107 | 254  | 20771  | SH | DEFINED | 01 | 1 |
| PIMCO MUN INCOME FD III        | COM | 72201A103 | 475  | 43540  | SH | DEFINED | 01 | 1 |
| PIMCO CORPORATE OPPORTUNIT     | COM | 72201B101 | 910  | 55079  | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD      | COM | 72201C109 | 0    | 6      | SH | DEFINED | 01 | 1 |
| PIMCO NEW YORK MUN INCOME FD   | COM | 72201E105 | 13   | 1391   | SH | DEFINED | 01 | 1 |
| PIMCO INCOME STRATEGY F        | COM | 72201H108 | 446  | 39247  | SH | DEFINED | 01 | 1 |
| PIMCO INCOME STRATEGY F        | COM | 72201J104 | 94   | 9810   | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR 1-3 YEAR U S T    | COM | 72201R106 | 71   | 1406   | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR 1-5 YR US TIPS IN | COM | 72201R205 | 503  | 9739   | SH | DEFINED | 01 | 1 |

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| PIMCO ETF TR BROAD US TIPS IN  | COM | 72201R403 | 105   | 2046    | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR ENHANCED S        | COM | 72201R833 | 8     | 83      | SH | DEFINED | 01 | 1 |
| PIMCO ETF TRUST INTER MUNI     | COM | 72201R866 | 32    | 642     | SH | DEFINED | 01 | 1 |
| PIMCO INCOME OPPORTUNIT        | COM | 72202B100 | 24    | 1000    | SH | DEFINED | 01 | 1 |
| PINNACLE ENTERTAINMENT INC     | COM | 723456109 | 20851 | 2140823 | SH | DEFINED | 01 | 0 |
| PINNACLE ENTERTAINMENT INC     | COM | 723456109 | 24    | 2485    | SH | DEFINED | 01 | 1 |
| PINNACLE FINANCIAL PARTNERS    | COM | 72346Q104 | 375   | 24833   | SH | DEFINED | 01 | 0 |
| PINNACLE FINANCIAL PARTNERS    | COM | 72346Q104 | 32    | 2104    | SH | DEFINED | 01 | 1 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 33048 | 875946  | SH | DEFINED | 01 | 0 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 129   | 3412    | SH | DEFINED | 01 | 0 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 135   | 3579    | SH | DEFINED | 01 | 1 |
| PIONEER DIVERSIFIED HIGH INCOM | COM | 723653101 | 120   | 6000    | SH | DEFINED | 01 | 1 |
| PIONEER DRILLING COMPANY       | COM | 723655106 | 225   | 31943   | SH | DEFINED | 01 | 0 |
| PIONEER DRILLING COMPANY       | COM | 723655106 | 7     | 1000    | SH | DEFINED | 01 | 1 |
| PIONEER HIGH INCOME TR         | COM | 72369H106 | 287   | 18664   | SH | DEFINED | 01 | 1 |
| PIONEER FLOATING RATE TR       | COM | 72369J102 | 72    | 5866    | SH | DEFINED | 01 | 1 |
| PIONEER MUN HIGH INCOME ADV    | COM | 723762100 | 73    | 5585    | SH | DEFINED | 01 | 1 |
| PIONEER MUN HIGH INCOME TR     | COM | 723763108 | 51    | 3530    | SH | DEFINED | 01 | 1 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 68661 | 1219188 | SH | DEFINED | 01 | 0 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 558   | 9903    | SH | DEFINED | 01 | 0 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 2200  | 39071   | SH | DEFINED | 01 | 1 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 624   | 11083   | SH | DEFINED | 01 | 1 |
| PIONEER SOUTHWEST ENERGY PAR   | COM | 72388B106 | 29    | 1244    | SH | DEFINED | 01 | 1 |
| PIPER JAFFRAY COS              | COM | 724078100 | 1304  | 32354   | SH | DEFINED | 01 | 0 |
| PIPER JAFFRAY COS              | COM | 724078100 | 14    | 351     | SH | DEFINED | 01 | 1 |
| PITNEY BOWES INC               | COM | 724479100 | 14048 | 574624  | SH | DEFINED | 01 | 0 |
| PITNEY BOWES INC               | COM | 724479100 | 392   | 16035   | SH | DEFINED | 01 | 0 |
| PITNEY BOWES INC               | COM | 724479100 | 192   | 7846    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |           |       |         |    |         |    |   |
|--------------------------------|------------|-----------|-------|---------|----|---------|----|---|
| PLAINS ALL AMERICAN PIPELINE L | COM        | 726503105 | 175   | 3080    | SH | DEFINED | 01 | 1 |
| PLAINS EXPLORATION & PRODUCT   | COM        | 726505100 | 226   | 7549    | SH | DEFINED | 01 | 0 |
| PLAINS EXPLORATION & PRODUCT   | COM        | 726505100 | 27    | 886     | SH | DEFINED | 01 | 1 |
| PLASTECH ENGINEERED B UNITS    | COM        | 726634553 | 0     | 6657    | SH | DEFINED | 01 | 0 |
| PLASTECH ENGINEERED C UNITS    | COM        | 726634660 | 0     | 8198    | SH | DEFINED | 01 | 0 |
| PLANTRONICS INC                | COM        | 727493108 | 3961  | 126621  | SH | DEFINED | 01 | 0 |
| PLATO LEARNING INC             | COM        | 72764Y100 | 0     | 3       | SH | DEFINED | 01 | 1 |
| PLEXUS CORP                    | COM        | 729132100 | 22359 | 620550  | SH | DEFINED | 01 | 0 |
| PLUG PWR INC                   | COM        | 72919P103 | 2     | 3120    | SH | DEFINED | 01 | 1 |
| PLUM CREEK TIMBER CO           | COM        | 729251108 | 1102  | 28296   | SH | DEFINED | 01 | 0 |
| PLUM CREEK TIMBER CO           | COM        | 729251108 | 248   | 6361    | SH | DEFINED | 01 | 0 |
| PLUM CREEK TIMBER CO           | COM        | 729251108 | 1240  | 31860   | SH | DEFINED | 01 | 1 |
| PLUM CREEK TIMBER CO           | COM        | 729251108 | 682   | 17518   | SH | DEFINED | 01 | 1 |
| PLUMAS BANCORP                 | COM        | 729273102 | 6     | 2250    | SH | DEFINED | 01 | 1 |
| POLARIS INDUSTRIES INC         | COM        | 731068102 | 2149  | 41996   | SH | DEFINED | 01 | 0 |
| POLARIS INDUSTRIES INC         | COM        | 731068102 | 12    | 235     | SH | DEFINED | 01 | 1 |
| POLO RALPH LAUREN CORP         | COM        | 731572103 | 7427  | 87334   | SH | DEFINED | 01 | 0 |
| POLO RALPH LAUREN CORP         | COM        | 731572103 | 379   | 4461    | SH | DEFINED | 01 | 0 |
| POLO RALPH LAUREN CORP         | COM        | 731572103 | 95015 | 1117412 | SH | DEFINED | 01 | 1 |
| POLO RALPH LAUREN CORP         | COM        | 731572103 | 18    | 215     | SH | DEFINED | 01 | 1 |
| POLYCOM INC                    | COM        | 73172K104 | 136   | 4447    | SH | DEFINED | 01 | 0 |
| POLYCOM INC                    | COM        | 73172K104 | 25    | 814     | SH | DEFINED | 01 | 1 |
| POLYONE CORPORATION            | COM        | 73179P106 | 19953 | 1948526 | SH | DEFINED | 01 | 0 |
| POLYONE CORPORATION            | COM        | 73179P106 | 4     | 386     | SH | DEFINED | 01 | 1 |
| POLYMET MINING CORP            | COM NPV IS | 731916102 | 6     | 2500    | SH | DEFINED | 01 | 1 |
| PONIARD                        | PHARMACEUT | 732449301 | 0     | 9       | SH | DEFINED | 01 | 1 |
| POOL CORP                      | COM        | 73278L105 | 991   | 43756   | SH | DEFINED | 01 | 0 |
| POOL CORP                      | COM        | 73278L105 | 4     | 166     | SH | DEFINED | 01 | 1 |
| POPULAR INC                    | COM        | 733174106 | 312   | 107048  | SH | DEFINED | 01 | 0 |
| POPULAR INC                    | COM        | 733174106 | 1     | 200     | SH | DEFINED | 01 | 1 |
| PORTEC RAIL PRODUCTS INC       | COM        | 736212101 | 4     | 330     | SH | DEFINED | 01 | 1 |
| PORTFOLIO RECOVERY ASSOCIATE   | COM        | 73640Q105 | 706   | 12870   | SH | DEFINED | 01 | 0 |
| PORTFOLIO RECOVERY ASSOCIATE   | COM        | 73640Q105 | 56    | 1375    | SH | DEFINED | 01 | 1 |
| PORTFOLIO RECOVERY ASSOCIATE   | COM        | 73640Q105 | 14    | 250     | SH | DEFINED | 01 | 1 |
| PORTLAND GENERAL ELECTRIC CO   | COM        | 736508847 | 1439  | 74540   | SH | DEFINED | 01 | 0 |
| PORTLAND GENERAL ELECTRIC CO   | COM        | 736508847 | 46    | 2800    | SH | DEFINED | 01 | 1 |
| PORTLAND GENERAL ELECTRIC CO   | COM        | 736508847 | 0     | 6       | SH | DEFINED | 01 | 1 |
| POST PROPERTIES INC            | COM        | 737464107 | 1014  | 46029   | SH | DEFINED | 01 | 0 |
| POST PROPERTIES INC            | COM        | 737464107 | 6     | 261     | SH | DEFINED | 01 | 1 |
| POTASH CORP OF SASKATCHEWAN    | COM        | 73755L107 | 56415 | 472690  | SH | DEFINED | 01 | 0 |
| POTASH CORP OF SASKATCHEWAN    | COM        | 73755L107 | 980   | 8213    | SH | DEFINED | 01 | 1 |
| POTLATCH CORP NEW              | COM        | 737630103 | 36    | 1031    | SH | DEFINED | 01 | 1 |
| POWELL INDUSTRIES INC          | COM        | 739128106 | 408   | 12545   | SH | DEFINED | 01 | 0 |
| POWELL INDUSTRIES INC          | COM        | 739128106 | 10    | 300     | SH | DEFINED | 01 | 1 |
| POWER INTEGRATIONS INC         | COM        | 739276103 | 2312  | 56130   | SH | DEFINED | 01 | 0 |
| POWER INTEGRATIONS INC         | COM        | 739276103 | 11    | 271     | SH | DEFINED | 01 | 1 |
| POWER-ONE INC                  | COM        | 739308104 | 27    | 6394    | SH | DEFINED | 01 | 0 |
| POWERSHARES QQQ ETF            | COM        | 73935A104 | 9695  | 201309  | SH | DEFINED | 01 | 1 |
| POWERSHARES INDIA              | EXCHANGE T | 73935L100 | 70    | 3065    | SH | DEFINED | 01 | 1 |
| POWERSHARES DB                 | COMMODITY  | 73935S105 | 2522  | 107239  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|             |                    |         |           |      |        |    |         |    |   |
|-------------|--------------------|---------|-----------|------|--------|----|---------|----|---|
| POWERSHARES | DYNAMIC MRKT PORTF | COM     | 73935X104 | 198  | 5002   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGE T         | COM     | 73935X153 | 39   | 1900   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X161 | 57   | 2356   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X179 | 3    | 150    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X195 | 12   | 1243   | SH | DEFINED | 01 | 1 |
| POWERSHARES | DYNAMIC OTC POTFOL | COM     | 73935X203 | 31   | 715    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X229 | 1454 | 83898  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X278 | 38   | 1541   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X286 | 22   | 1004   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X302 | 748  | 91494  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X328 | 8    | 349    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X336 | 17   | 1296   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X369 | 257  | 10891  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X377 | 5    | 250    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X401 | 240  | 9689   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X435 | 251  | 12378  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X443 | 85   | 3833   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X450 | 25   | 1075   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X500 | 783  | 78636  | SH | DEFINED | 01 | 1 |
| POWERSHARES | FTSE RAFI US 15    | COM     | 73935X567 | 1148 | 20581  | SH | DEFINED | 01 | 1 |
| POWERSHARES | WATER PORT         | COM     | 73935X575 | 2987 | 171354 | SH | DEFINED | 01 | 1 |
| POWERSHARES | FTSE RAFI          | COM     | 73935X583 | 1006 | 19464  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X591 | 13   | 877    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X609 | 58   | 3966   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X625 | 827  | 49623  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X633 | 145  | 14354  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X641 | 3    | 183    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X658 | 136  | 7836   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X666 | 9    | 750    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X682 | 165  | 13987  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X690 | 42   | 2255   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X708 | 3963 | 223625 | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X716 | 127  | 8894   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X732 | 23   | 1790   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X740 | 236  | 21945  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGED-         | COM     | 73935X765 | 4    | 305    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X773 | 407  | 18535  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X799 | 11   | 527    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X807 | 138  | 7479   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X849 | 7    | 454    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X856 | 206  | 10615  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X864 | 159  | 11488  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X872 | 190  | 13940  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD COM  | 73935X880 | 375  | 25316  | SH | DEFINED | 01 | 1 |
| POWERSHARES | DB G10 CURRENCY H  | COM     | 73935Y102 | 528  | 22401  | SH | DEFINED | 01 | 1 |
| POWERWAVE   | TECH INC           | COM     | 739363109 | 6    | 4900   | SH | DEFINED | 01 | 1 |
| POWERSHARES | DB MULTISECTOR     | COM COM | 73936B101 | 99   | 3850   | SH | DEFINED | 01 | 1 |
| POWERSHARES | DB MULTISECTOR     | COM COM | 73936B200 | 67   | 1757   | SH | DEFINED | 01 | 1 |
| POWERSHARES | DB MULTISECTOR     | COM COM | 73936B309 | 400  | 12897  | SH | DEFINED | 01 | 1 |
| POWERSHARES | DB MULTISECTOR     | COM COM | 73936B408 | 2308 | 95302  | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |           |       |        |    |         |    |   |
|------------------------------------|-----------|-------|--------|----|---------|----|---|
| POWERSHARES DB MULTISECTOR COM COM | 73936B507 | 232   | 8235   | SH | DEFINED | 01 | 1 |
| POWERSHARES DB MULTISECTOR COM COM | 73936B606 | 220   | 5547   | SH | DEFINED | 01 | 1 |
| POWERSHARES DB MULTISECTOR COM COM | 73936B705 | 243   | 10778  | SH | DEFINED | 01 | 1 |
| POWERSHARES DB U S DLR INDEX COM   | 73936D107 | 662   | 27825  | SH | DEFINED | 01 | 1 |
| POWERSHARES DB U S DLR INDEX COM   | 73936D206 | 73    | 2750   | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936G308 | 233   | 10753  | SH | DEFINED | 01 | 1 |
| POWERSECURE INTL INCCOM COM        | 73936N105 | 168   | 21330  | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD COM  | 73936Q504 | 48    | 3892   | SH | DEFINED | 01 | 1 |
| POWERSHARES MENA FRONTIER C COM    | 73936Q603 | 476   | 34702  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL AGRICULTUR COM  | 73936Q702 | 13    | 492    | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL STEEL PORT COM  | 73936Q868 | 8     | 342    | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T433 | 48    | 1927   | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T441 | 110   | 4636   | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T458 | 89    | 3826   | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T474 | 1090  | 45987  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T524 | 26    | 980    | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T557 | 93    | 5161   | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T565 | 1516  | 108675 | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T573 | 2080  | 79398  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T615 | 156   | 10504  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T623 | 284   | 15753  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T763 | 555   | 24153  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T789 | 819   | 21775  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T COM  | 73936T805 | 18    | 1125   | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD COM  | 73937B100 | 29    | 1519   | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD COM  | 73937B209 | 902   | 20160  | SH | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL WIND ENERG COM  | 73937B308 | 45    | 3417   | SH | DEFINED | 01 | 1 |
| PRAXAIR INC COM                    | 74005P104 | 74984 | 903374 | SH | DEFINED | 01 | 0 |
| PRAXAIR INC COM                    | 74005P104 | 1539  | 18545  | SH | DEFINED | 01 | 0 |
| PRAXAIR INC COM                    | 74005P104 | 863   | 10405  | SH | DEFINED | 01 | 1 |

|                                   |           |       |         |    |         |    |   |
|-----------------------------------|-----------|-------|---------|----|---------|----|---|
| PRAXAIR INC COM                   | 74005P104 | 473   | 5695    | SH | DEFINED | 01 | 1 |
| PREPAID LEGAL SERVICES INC COM    | 740065107 | 588   | 15530   | SH | DEFINED | 01 | 0 |
| PRECISION CASTPARTS CORP COM      | 740189105 | 40058 | 316146  | SH | DEFINED | 01 | 0 |
| PRECISION CASTPARTS CORP COM      | 740189105 | 1231  | 9718    | SH | DEFINED | 01 | 0 |
| PRECISION CASTPARTS CORP COM      | 740189105 | 6687  | 60900   | SH | DEFINED | 01 | 1 |
| PRECISION CASTPARTS CORP COM      | 740189105 | 1438  | 11345   | SH | DEFINED | 01 | 1 |
| PRECISION DRILLING TRUST TRUS COM | 740215108 | 293   | 38251   | SH | DEFINED | 01 | 1 |
| PRESIDENTIAL LIFE COM             | 740884101 | 264   | 26478   | SH | DEFINED | 01 | 0 |
| PREMIERWEST BANCORP COM           | 740921101 | 7     | 15000   | SH | DEFINED | 01 | 1 |
| PRESTIGE BRANDS HLDGS INC COM     | 74112D101 | 1     | 79      | SH | DEFINED | 01 | 1 |
| T ROWE PRICE GROUP INC COM        | 74144T108 | 10019 | 182403  | SH | DEFINED | 01 | 0 |
| T ROWE PRICE GROUP INC COM        | 74144T108 | 783   | 14237   | SH | DEFINED | 01 | 0 |
| T ROWE PRICE GROUP INC COM        | 74144T108 | 292   | 5317    | SH | DEFINED | 01 | 1 |
| PRICELINE.COM INC COM             | 741503403 | 36948 | 144890  | SH | DEFINED | 01 | 0 |
| PRICELINE.COM INC COM             | 741503403 | 768   | 3008    | SH | DEFINED | 01 | 0 |
| PRICELINE.COM INC COM             | 741503403 | 113   | 445     | SH | DEFINED | 01 | 1 |
| PRICESMART INC COM                | 741511109 | 21    | 885     | SH | DEFINED | 01 | 1 |
| PRIDE INTERNATIONAL INC COM       | 74153Q102 | 2559  | 84975   | SH | DEFINED | 01 | 0 |
| PRIDE INTERNATIONAL INC COM       | 74153Q102 | 100   | 3325    | SH | DEFINED | 01 | 1 |
| PRINCETON NATL BANCORP COM        | 742282106 | 9     | 1000    | SH | DEFINED | 01 | 1 |
| PRINCIPAL FINANCIAL GROUP COM     | 74251V102 | 40072 | 1371886 | SH | DEFINED | 01 | 0 |
| PRINCIPAL FINANCIAL GROUP COM     | 74251V102 | 859   | 29415   | SH | DEFINED | 01 | 0 |
| PRINCIPAL FINANCIAL GROUP COM     | 74251V102 | 64    | 2196    | SH | DEFINED | 01 | 1 |
| PROASSURANCE CORP COM             | 74267C106 | 4298  | 73430   | SH | DEFINED | 01 | 0 |
| PROASSURANCE CORP COM             | 74267C106 | 4     | 75      | SH | DEFINED | 01 | 1 |
| PROCERA NETWORKS INC COM          | 74269U104 | 19    | 45000   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                         |            |     |           |        |         |    |         |    |   |
|-------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| PROCTER & GAMBLE CO/THE |            | COM | 742718109 | 103517 | 1636154 | SH | DEFINED | 01 | 0 |
| PROCTER & GAMBLE CO/THE |            | COM | 742718109 | 10573  | 167112  | SH | DEFINED | 01 | 0 |
| PROCTER & GAMBLE CO/THE |            | COM | 742718109 | 9604   | 151813  | SH | DEFINED | 01 | 1 |
| PROCTER & GAMBLE CO/THE |            | COM | 742718109 | 16961  | 268079  | SH | DEFINED | 01 | 1 |
| PRIVATEBANCORP INC      |            | COM | 742962103 | 653    | 47652   | SH | DEFINED | 01 | 0 |
| PRIVATEBANCORP INC      |            | COM | 742962103 | 66     | 4851    | SH | DEFINED | 01 | 1 |
| PROGRESS ENERGY INC     |            | COM | 743263105 | 23214  | 589800  | SH | DEFINED | 01 | 0 |
| PROGRESS ENERGY INC     |            | COM | 743263105 | 551    | 13994   | SH | DEFINED | 01 | 0 |
| PROGRESS ENERGY INC     |            | COM | 743263105 | 265    | 6739    | SH | DEFINED | 01 | 1 |
| PROGRESS SOFTWARE CORP  |            | COM | 743312100 | 1276   | 40611   | SH | DEFINED | 01 | 0 |
| PROGRESS SOFTWARE CORP  |            | COM | 743312100 | 0      | 2       | SH | DEFINED | 01 | 1 |
| PROGRESSIVE CORP        |            | COM | 743315103 | 100358 | 5257101 | SH | DEFINED | 01 | 0 |
| PROGRESSIVE CORP        |            | COM | 743315103 | 846    | 44317   | SH | DEFINED | 01 | 0 |
| PROGRESSIVE CORP        |            | COM | 743315103 | 1674   | 87713   | SH | DEFINED | 01 | 1 |
| PROLOGIS                |            | COM | 743410102 | 48672  | 3687288 | SH | DEFINED | 01 | 0 |
| PROLOGIS                |            | COM | 743410102 | 289    | 21898   | SH | DEFINED | 01 | 0 |
| PROLOGIS                |            | COM | 743410102 | 279    | 21144   | SH | DEFINED | 01 | 1 |
| PROLOGIS                |            | COM | 743410102 | 110    | 8345    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | S&P 500 PR | COM | 74347R107 | 393    | 9363    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | QQQ PROSHA | COM | 74347R206 | 226    | 3455    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | TELECOMMUN | COM | 74347R263 | 4237   | 106631  | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRASHORT | COM | 74347R297 | 251    | 5163    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | DOW 30 PRO | COM | 74347R305 | 719    | 15056   | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRASHORT | COM | 74347R313 | 2      | 38      | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT         | MSCI EAFE  | COM | 74347R370 | 11     | 200     | SH | DEFINED | 01 | 1 |
| PROSHARES               | SHORT MSCI | COM | 74347R396 | 2      | 50      | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRASHORT | COM | 74347R412 | 1      | 30      | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRA RUSS | COM | 74347R479 | 5      | 200     | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT         | S&P 500 PR | COM | 74347R503 | 2396   | 48389   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SHORT REAL | COM | 74347R552 | 159    | 26260   | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT         | QQQ PROSHA | COM | 74347R602 | 2177   | 53010   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SHORT FINL | COM | 74347R628 | 110    | 5700    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SHORT CONS | COM | 74347R636 | 3      | 100     | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SEMICONduc | COM | 74347R669 | 11     | 311     | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | REAL ESTAT | COM | 74347R677 | 8      | 1000    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | UTILITIES  | COM | 74347R685 | 3866   | 105906  | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | TECH PROSH | COM | 74347R693 | 22     | 400     | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT         | DOW 30 PRO | COM | 74347R701 | 3428   | 69079   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | GAS PROSHA | COM | 74347R719 | 74     | 2168    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | FINLS PROS | COM | 74347R743 | 186    | 27391   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | CONSUMER G | COM | 74347R768 | 4528   | 78496   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | BASIC MATE | COM | 74347R776 | 2      | 55      | SH | DEFINED | 01 | 1 |
| PROSHARES               | SHORT RUSS | COM | 74347R826 | 48     | 1190    | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRASHORT | COM | 74347R834 | 23     | 1120    | SH | DEFINED | 01 | 1 |
| PROSHARES               | ULTRA RUSS | COM | 74347R842 | 33     | 1000    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SHORT 30 F | COM | 74347R867 | 74     | 2790    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA         | SHORT 100  | COM | 74347R875 | 3      | 150     | SH | DEFINED | 01 | 1 |
| PROSHARES TR            | PROSHARES  | COM | 74347R883 | 427    | 13763   | SH | DEFINED | 01 | 1 |
| PROSHARES TR II         | PROSHARES  | COM | 74347W106 | 2      | 89      | SH | DEFINED | 01 | 1 |
| PROSHARES TR II         | PROSHARES  | COM | 74347W502 | 211    | 16145   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| PROSHARES TR II                | PROSHARES  | COM | 74347W601 | 3      | 57      | SH | DEFINED | 01 | 1 |
| PROSHARES TR II                | PROSHARES  | COM | 74347W700 | 14     | 1400    | SH | DEFINED | 01 | 1 |
| PROSHARES TR II                | PROSHARES  | COM | 74347W833 | 82     | 20000   | SH | DEFINED | 01 | 1 |
| PROSHARES TR II                | PROSHARES  | COM | 74347W858 | 1      | 50      | SH | DEFINED | 01 | 1 |
| PROSHARES TR II                | PROSHARES  | COM | 74347W882 | 31     | 1500    | SH | DEFINED | 01 | 1 |
| PROSHARES TR SHORT             | 20+ YR TRE | COM | 74347X849 | 4628   | 92725   | SH | DEFINED | 01 | 1 |
| PROSPECT CAPITAL CORP          |            | COM | 74348T102 | 130    | 10736   | SH | DEFINED | 01 | 0 |
| PROSPECT CAPITAL CORP          |            | COM | 74348T102 | 134    | 10998   | SH | DEFINED | 01 | 1 |
| PROSPERITY BANCSHARES INC      |            | COM | 743606105 | 2406   | 58680   | SH | DEFINED | 01 | 0 |
| PROSPERITY BANCSHARES INC      |            | COM | 743606105 | 1      | 28      | SH | DEFINED | 01 | 1 |
| PROTECTIVE LIFE CORP           |            | COM | 743674103 | 664    | 30185   | SH | DEFINED | 01 | 0 |
| PROTECTIVE LIFE CORP           |            | COM | 743674103 | 229    | 10400   | SH | DEFINED | 01 | 1 |
| PROVIDENT ENERGY TRUST - UTS   |            | COM | 74386K104 | 769    | 99740   | SH | DEFINED | 01 | 0 |
| PROVIDENT ENERGY TRUST - UTS   |            | COM | 74386K104 | 1401   | 181671  | SH | DEFINED | 01 | 1 |
| PRUDENTIAL FINANCIAL INC       |            | COM | 744320102 | 195880 | 3237632 | SH | DEFINED | 01 | 0 |
| PRUDENTIAL FINANCIAL INC       |            | COM | 744320102 | 1427   | 23595   | SH | DEFINED | 01 | 0 |
| PRUDENTIAL FINANCIAL INC       |            | COM | 744320102 | 81664  | 1350265 | SH | DEFINED | 01 | 1 |
| PRUDENTIAL FINANCIAL INC       |            | COM | 744320102 | 303    | 5014    | SH | DEFINED | 01 | 1 |
| PRUDENTIAL ADR EACH REPR 2 ORD |            | COM | 74435K204 | 26     | 1545    | SH | DEFINED | 01 | 1 |
| INDOSAT (PT                    | INDONESIAN | COM | 744383100 | 6      | 210     | SH | DEFINED | 01 | 1 |
| PSYCHIATRIC SOLUTIONS INC      |            | COM | 74439H108 | 2532   | 84950   | SH | DEFINED | 01 | 0 |
| PSYCHIATRIC SOLUTIONS INC      |            | COM | 74439H108 | 60     | 2004    | SH | DEFINED | 01 | 1 |
| PUBLIC SERVICE ENTERPRISE GP   |            | COM | 744573106 | 5465   | 185104  | SH | DEFINED | 01 | 0 |
| PUBLIC SERVICE ENTERPRISE GP   |            | COM | 744573106 | 749    | 25367   | SH | DEFINED | 01 | 0 |
| PUBLIC SERVICE ENTERPRISE GP   |            | COM | 744573106 | 795    | 26931   | SH | DEFINED | 01 | 1 |
| PUBLIC STORAGE                 |            | COM | 74460D109 | 15972  | 173628  | SH | DEFINED | 01 | 0 |
| PUBLIC STORAGE                 |            | COM | 74460D109 | 603    | 6551    | SH | DEFINED | 01 | 0 |
| PUBLIC STORAGE                 |            | COM | 74460D109 | 384    | 4178    | SH | DEFINED | 01 | 1 |
| PUBLIC STORAGE                 |            | COM | 74460D109 | 513    | 5576    | SH | DEFINED | 01 | 1 |
| PUBLIC STORAGE                 | MARYLAND D | COM | 74460D729 | 1      | 40      | SH | DEFINED | 01 | 1 |
| PUDA COAL INC COM              | PAR \$.001 | COM | 744674300 | 1      | 58      | SH | DEFINED | 01 | 1 |
| PULTE HOMES INC                |            | COM | 745867101 | 51734  | 4598704 | SH | DEFINED | 01 | 0 |
| PULTE HOMES INC                |            | COM | 745867101 | 516    | 45868   | SH | DEFINED | 01 | 0 |
| PULTE HOMES INC                |            | COM | 745867101 | 6      | 522     | SH | DEFINED | 01 | 1 |
| PURE BIOSCIENCE                |            | COM | 746218106 | 19     | 12000   | SH | DEFINED | 01 | 1 |
| PURPLE                         | COMMUNICAT | COM | 746389105 | 0      | 1       | SH | DEFINED | 01 | 1 |
| PUTNAM HIGH INCOME             | BOND FD    | COM | 746779107 | 196    | 24310   | SH | DEFINED | 01 | 1 |
| PUTNAM MANAGED MUN             | INCOME TR  | COM | 746823103 | 347    | 48224   | SH | DEFINED | 01 | 1 |
| PUTNAM PREMIER INC             | TR SH BEN  | COM | 746853100 | 68     | 10399   | SH | DEFINED | 01 | 1 |
| PUTNAM MASTER INTER            | INCOME TR  | COM | 746909100 | 30     | 4785    | SH | DEFINED | 01 | 1 |
| PUTNAM MUNI OPPOR TR           |            | COM | 746922103 | 62     | 5379    | SH | DEFINED | 01 | 1 |
| QLOGIC CORP                    |            | COM | 747277101 | 1250   | 61564   | SH | DEFINED | 01 | 0 |
| QLOGIC CORP                    |            | COM | 747277101 | 132    | 6515    | SH | DEFINED | 01 | 0 |
| QLOGIC CORP                    |            | COM | 747277101 | 12     | 579     | SH | DEFINED | 01 | 1 |
| QCR HLDGS INC                  |            | COM | 74727A104 | 44     | 5000    | SH | DEFINED | 01 | 1 |
| QUAKER CHEMICAL CORP           |            | COM | 747316107 | 179    | 6590    | SH | DEFINED | 01 | 0 |
| QKL STORES INC COM             |            | COM | 74732Y105 | 743    | 115234  | SH | DEFINED | 01 | 1 |
| QUALCOMM INC                   |            | COM | 747525103 | 199909 | 4760917 | SH | DEFINED | 01 | 0 |
| QUALCOMM INC                   |            | COM | 747525103 | 3633   | 86515   | SH | DEFINED | 01 | 0 |
| QUALCOMM INC                   |            | COM | 747525103 | 3879   | 92383   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| QUALCOMM INC                   | COM      | 747525103 | 18072  | 440344   | SH  | DEFINED | 01 | 1 |
| QUALCOMM INC                   | COM      | 747525103 | 3673   | 87526    | SH  | DEFINED | 01 | 1 |
| QUALITY SYSTEMS INC            | COM      | 747582104 | 3623   | 58970    | SH  | DEFINED | 01 | 0 |
| QUALITY SYSTEMS INC            | COM      | 747582104 | 48     | 774      | SH  | DEFINED | 01 | 1 |
| QUANEX BUILDING PRODUCTS       | COM      | 747619104 | 832    | 50361    | SH  | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM      | 74762E102 | 21034  | 1097815  | SH  | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM      | 74762E102 | 365    | 19088    | SH  | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM      | 74762E102 | 37     | 1931     | SH  | DEFINED | 01 | 1 |
| QUANTUM FUEL SYS TECHNOLOGI    | COM      | 74765E109 | 4      | 5480     | SH  | DEFINED | 01 | 1 |
| QUANTUM CORP DLT & STOR        | COM      | 747906204 | 5      | 1850     | SH  | DEFINED | 01 | 1 |
| QUATERRA RESOURCES INC COM NP  | COM      | 747952109 | 4      | 2600     | SH  | DEFINED | 01 | 1 |
| QUEST DIAGNOSTICS              | COM      | 74834L100 | 175    | 3010     | SH  | DEFINED | 01 | 0 |
| QUEST DIAGNOSTICS              | COM      | 74834L100 | 302    | 5182     | SH  | DEFINED | 01 | 0 |
| QUEST DIAGNOSTICS              | COM      | 74834L100 | 190    | 3258     | SH  | DEFINED | 01 | 1 |
| QUEST SOFTWARE INC             | COM      | 74834T103 | 27635  | 1553400  | SH  | DEFINED | 01 | 0 |
| QUEST SOFTWARE INC             | COM      | 74834T103 | 6      | 350      | SH  | DEFINED | 01 | 1 |
| QUESTAR CORP                   | COM      | 748356102 | 19497  | 451314   | SH  | DEFINED | 01 | 0 |
| QUESTAR CORP                   | COM      | 748356102 | 321    | 7434     | SH  | DEFINED | 01 | 0 |
| QUESTAR CORP                   | COM      | 748356102 | 287    | 6646     | SH  | DEFINED | 01 | 1 |
| QUEST CAPITAL CORP COM NPV IS  | COM      | 74835U109 | 11     | 8738     | SH  | DEFINED | 01 | 1 |
| QUESTCOR PHARMACEUTICALS       | COM      | 74835Y101 | 275    | 33359    | SH  | DEFINED | 01 | 0 |
| QUESTCOR PHARMACEUTICALS       | COM      | 74835Y101 | 660    | 80197    | SH  | DEFINED | 01 | 1 |
| QUICKSILVER RESOURCES INC      | COM      | 74837R104 | 480    | 34106    | SH  | DEFINED | 01 | 0 |
| QUICKSILVER RESOURCES INC      | COM      | 74837R104 | 87     | 6218     | SH  | DEFINED | 01 | 1 |
| QUIKSILVER INC                 | COM      | 74838C106 | 577    | 121959   | SH  | DEFINED | 01 | 0 |
| QUIKSILVER INC                 | COM      | 74838C106 | 34     | 7178     | SH  | DEFINED | 01 | 0 |
| QUIKSILVER INC                 | COM      | 74838C106 | 4      | 775      | SH  | DEFINED | 01 | 1 |
| QUICKSILVER GAS SVCSLP COM UNI | COM      | 74839G106 | 46     | 2195     | SH  | DEFINED | 01 | 1 |
| QWEST COMMUNICATIONS INTL      | COM      | 749121109 | 145464 | 27866800 | SH  | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM      | 749121109 | 342    | 65397    | SH  | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM      | 749121109 | 3302   | 632621   | SH  | DEFINED | 01 | 1 |
| QWEST COMMUNICATIONS INTL      | COM      | 749121109 | 693    | 132742   | SH  | DEFINED | 01 | 1 |
| QWEST COMMS INTL               | CONV BND | 749121BY4 | 52197  | 46337000 | PRN | DEFINED | 01 | 0 |
| QWEST COMMS INTL               | CONV BND | 749121BY4 | 279    | 248000   | PRN | DEFINED | 01 | 0 |
| RAM CAPITAL LLC                | LP       | 749200994 | 0      | 3654271  | SH  | DEFINED | 01 | 0 |
| RAIT FINANCIAL TRUST           | COM      | 749227104 | 6      | 2909     | SH  | DEFINED | 01 | 1 |
| RC2 CORP                       | COM      | 749388104 | 1872   | 125078   | SH  | DEFINED | 01 | 0 |
| RC2 CORP                       | COM      | 749388104 | 1      | 100      | SH  | DEFINED | 01 | 1 |
| RLI CORP                       | COM      | 749607107 | 817    | 14336    | SH  | DEFINED | 01 | 0 |
| RLI CORP                       | COM      | 749607107 | 11     | 189      | SH  | DEFINED | 01 | 1 |
| RPM INTL INC FORMERLY R        | COM      | 749685103 | 65     | 3058     | SH  | DEFINED | 01 | 1 |
| RELIANT ENERGY INC             | COM      | 74971X107 | 8680   | 2352369  | SH  | DEFINED | 01 | 0 |
| RELIANT ENERGY INC             | COM      | 74971X107 | 26     | 7084     | SH  | DEFINED | 01 | 1 |
| RSC HLDGS INC                  | COM      | 74972L102 | 3      | 342      | SH  | DEFINED | 01 | 1 |
| RTI INTERNATIONAL METALS INC   | COM      | 74973W107 | 1618   | 53348    | SH  | DEFINED | 01 | 0 |
| RTI INTERNATIONAL METALS INC   | COM      | 74973W107 | 10     | 327      | SH  | DEFINED | 01 | 0 |
| RTI INTERNATIONAL METALS INC   | COM      | 74973W107 | 96     | 3172     | SH  | DEFINED | 01 | 1 |
| RF MICRO DEVICES INC           | COM      | 749941100 | 76     | 15262    | SH  | DEFINED | 01 | 1 |
| RACKSPACE HOSTING INC          | COM      | 750086100 | 7      | 350      | SH  | DEFINED | 01 | 1 |
| RADIANT SYSTEMS INC            | COM      | 75025N102 | 2849   | 199585   | SH  | DEFINED | 01 | 0 |
| RADIANT PHARMACEUT             | COM      | 750341109 | 0      | 1        | SH  | DEFINED | 01 | 1 |
| RADIOSHACK CORP                | COM      | 750438103 | 7254   | 320578   | SH  | DEFINED | 01 | 0 |
| RADIOSHACK CORP                | COM      | 750438103 | 162    | 7143     | SH  | DEFINED | 01 | 0 |
| RADIOSHACK CORP                | COM      | 750438103 | 26     | 1151     | SH  | DEFINED | 01 | 1 |
| RADISYS CORP                   | COM      | 750459109 | 262    | 29235    | SH  | DEFINED | 01 | 0 |
| RAE SYSTEMS INC                | COM      | 75061P102 | 13     | 15893    | SH  | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| RAE SYSTEMS INC                | COM | 75061P102 | 0     | 202     | SH | DEFINED | 01 | 1 |
| RAMBUS INC                     | COM | 750917106 | 115   | 5255    | SH | DEFINED | 01 | 0 |
| RAMBUS INC                     | COM | 750917106 | 168   | 7687    | SH | DEFINED | 01 | 1 |
| RALCORP HOLDINGS INC           | COM | 751028101 | 1694  | 25000   | SH | DEFINED | 01 | 0 |
| RALCORP HOLDINGS INC           | COM | 751028101 | 57    | 843     | SH | DEFINED | 01 | 1 |
| RAMCO-GERSHENSON PROPERTIES    | COM | 751452202 | 860   | 76338   | SH | DEFINED | 01 | 0 |
| RANDGOLD RESOURCES LTD-ADR     | COM | 752344309 | 6235  | 81156   | SH | DEFINED | 01 | 0 |
|                                |     |           |       |         |    |         |    |   |
| RANDGOLD RESOURCES LTD-ADR     | COM | 752344309 | 3     | 40      | SH | DEFINED | 01 | 1 |
| RANGE RESOURCES CORP           | COM | 75281A109 | 6379  | 136086  | SH | DEFINED | 01 | 0 |
| RANGE RESOURCES CORP           | COM | 75281A109 | 389   | 8290    | SH | DEFINED | 01 | 0 |
| RANGE RESOURCES CORP           | COM | 75281A109 | 95    | 2035    | SH | DEFINED | 01 | 1 |
| RASER TECHNOLOGIES INC         | COM | 754055101 | 7     | 7473    | SH | DEFINED | 01 | 1 |
| RAYMOND JAMES FINANCIAL INC    | COM | 754730109 | 1639  | 61298   | SH | DEFINED | 01 | 0 |
| RAYMOND JAMES FINANCIAL INC    | COM | 754730109 | 61    | 2288    | SH | DEFINED | 01 | 1 |
| RAYONIER INC                   | COM | 754907103 | 45833 | 1008860 | SH | DEFINED | 01 | 0 |
| RAYONIER INC                   | COM | 754907103 | 481   | 10577   | SH | DEFINED | 01 | 1 |
| RAYTHEON COMPANY               | COM | 755111507 | 27124 | 474836  | SH | DEFINED | 01 | 0 |
| RAYTHEON COMPANY               | COM | 755111507 | 1171  | 20504   | SH | DEFINED | 01 | 0 |
| RAYTHEON COMPANY               | COM | 755111507 | 983   | 17209   | SH | DEFINED | 01 | 1 |
| RBC BEARINGS INC               | COM | 75524B104 | 46    | 1437    | SH | DEFINED | 01 | 0 |
| RBC BEARINGS INC               | COM | 75524B104 | 121   | 3325    | SH | DEFINED | 01 | 1 |
| RBC BEARINGS INC               | COM | 75524B104 | 4     | 129     | SH | DEFINED | 01 | 1 |
| READING INTL INC CL A          | COM | 755408101 | 0     | 31      | SH | DEFINED | 01 | 1 |
| REAL GOODS SOLAR INC-CLASS A   | COM | 75601N104 | 3766  | 1107701 | SH | DEFINED | 01 | 0 |
| REAL GOODS SOLAR INC-CLASS A   | COM | 75601N104 | 85    | 25115   | SH | DEFINED | 01 | 0 |
| REALNETWORKS INC               | COM | 75605L104 | 2     | 400     | SH | DEFINED | 01 | 1 |
| REALTY INCOME CORP             | COM | 756109104 | 147   | 4793    | SH | DEFINED | 01 | 0 |
| REALTY INCOME CORP             | COM | 756109104 | 709   | 23099   | SH | DEFINED | 01 | 1 |
| REAVES UTIL INCOME FD COM SH   | COM | 756158101 | 45    | 2247    | SH | DEFINED | 01 | 1 |
| RED HAT INC                    | COM | 756577102 | 6946  | 237347  | SH | DEFINED | 01 | 0 |
| RED HAT INC                    | COM | 756577102 | 197   | 6714    | SH | DEFINED | 01 | 0 |
| RED HAT INC                    | COM | 756577102 | 30    | 1024    | SH | DEFINED | 01 | 1 |
| RED ROBIN GOURMET BURGERS      | COM | 75689M101 | 17837 | 729828  | SH | DEFINED | 01 | 0 |
| RED ROBIN GOURMET BURGERS      | COM | 75689M101 | 19    | 792     | SH | DEFINED | 01 | 0 |
| REDIFF.COM INDIA ADREACH REPR  | COM | 757479100 | 3     | 1300    | SH | DEFINED | 01 | 1 |
| REDWOOD TRUST INC              | COM | 758075402 | 11    | 714     | SH | DEFINED | 01 | 0 |
| REDWOOD TRUST INC              | COM | 758075402 | 54    | 3725    | SH | DEFINED | 01 | 1 |
| REDWOOD TRUST INC              | COM | 758075402 | 63    | 4100    | SH | DEFINED | 01 | 1 |
|                                |     |           |       |         |    |         |    |   |
| REED ELSEVIER NV ADRREPR 2 SHS | COM | 758204200 | 13    | 529     | SH | DEFINED | 01 | 1 |
| REED ELSEVIER ADR EACH ONE R   | COM | 758205207 | 57    | 1786    | SH | DEFINED | 01 | 1 |
| REGAL BELOIT CORP              | COM | 758750103 | 12874 | 216700  | SH | DEFINED | 01 | 0 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 99268 | 5649857 | SH | DEFINED | 01 | 0 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 152   | 8627    | SH | DEFINED | 01 | 0 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 63    | 3550    | SH | DEFINED | 01 | 1 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 5     | 264     | SH | DEFINED | 01 | 1 |
| REGENCY CENTERS CORP           | COM | 758849103 | 4407  | 117609  | SH | DEFINED | 01 | 0 |
| REGENCY CENTERS CORP           | COM | 758849103 | 15    | 399     | SH | DEFINED | 01 | 1 |
| REGENCY ENERGY PART L P COM UN | COM | 75885Y107 | 48    | 2184    | SH | DEFINED | 01 | 1 |
| REGENT COMM INC DEL            | COM | 758865109 | 0     | 1635    | SH | DEFINED | 01 | 1 |
| REGENERON PHARMACEUTICALS      | COM | 75886F107 | 1500  | 56625   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| REGENERON PHARMACEUTICALS      | COM | 75886F107 | 120    | 4539    | SH | DEFINED | 01 | 1 |
| REGIS CORP                     | COM | 758932107 | 5545   | 296858  | SH | DEFINED | 01 | 0 |
| REHABCARE GROUP INC            | COM | 759148109 | 938    | 34371   | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 8471   | 1079169 | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 790    | 100621  | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 399    | 50835   | SH | DEFINED | 01 | 1 |
| REINSURANCE GROUP AMER INC C   | COM | 759351604 | 18     | 352     | SH | DEFINED | 01 | 1 |
| RELIANCE INDS-SPONS GDR 144A   | COM | 759470990 | 748    | 15532   | SH | DEFINED | 01 | 0 |
| RELIANCE STEEL & ALUMINUM      | COM | 759509102 | 821    | 16675   | SH | DEFINED | 01 | 0 |
| RELIANCE STEEL & ALUMINUM      | COM | 759509102 | 1432   | 28988   | SH | DEFINED | 01 | 1 |
| RELIANCE STEEL & ALUMINUM      | COM | 759509102 | 19     | 392     | SH | DEFINED | 01 | 1 |
| RELIV INTL INC                 | COM | 75952R100 | 1      | 300     | SH | DEFINED | 01 | 1 |
| RENESOLA LTD-ADR               | COM | 75971T103 | 9      | 1525    | SH | DEFINED | 01 | 0 |
| RENESOLA LTD-ADR               | COM | 75971T103 | 16     | 2750    | SH | DEFINED | 01 | 1 |
| RENN GLOBAL ENTREPRENE         | COM | 759720105 | 2      | 550     | SH | DEFINED | 01 | 1 |
| REPLIGEN CORP                  | COM | 759916109 | 4      | 1000    | SH | DEFINED | 01 | 1 |
| RENT-A-CENTER INC              | COM | 76009N100 | 7752   | 327789  | SH | DEFINED | 01 | 0 |
| RENTECH INC                    | COM | 760112102 | 12     | 11589   | SH | DEFINED | 01 | 1 |
| RENTECH INC WARRANT            | WT  | 760112110 | 3      | 7000    | SH | DEFINED | 01 | 0 |
| REPUBLIC AIRWAYS HOLDINGS IN   | COM | 760276105 | 2165   | 365740  | SH | DEFINED | 01 | 0 |
| REPUBLIC AIRWAYS HOLDINGS IN   | COM | 760276105 | 83     | 8175    | SH | DEFINED | 01 | 1 |
| REPUBLIC AIRWAYS HOLDINGS IN   | COM | 760276105 | 6      | 1000    | SH | DEFINED | 01 | 1 |
| REPUBLIC BANCORP INC-CL A      | COM | 760281204 | 445    | 23624   | SH | DEFINED | 01 | 0 |
| REPUBLIC BANCORP INC-CL A      | COM | 760281204 | 23     | 1196    | SH | DEFINED | 01 | 1 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 636    | 21898   | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 4876   | 168030  | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 421    | 14504   | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 150631 | 5190608 | SH | DEFINED | 01 | 1 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 37     | 1276    | SH | DEFINED | 01 | 1 |
| RESEARCH FRONTIERS INC         | COM | 760911107 | 4      | 1300    | SH | DEFINED | 01 | 1 |
| RES-CARE INC                   | COM | 760943100 | 513    | 42771   | SH | DEFINED | 01 | 0 |
| RESEARCH IN MOTION             | COM | 760975102 | 869    | 11749   | SH | DEFINED | 01 | 1 |
| RESMED INC                     | COM | 761152107 | 5589   | 123625  | SH | DEFINED | 01 | 1 |
| RESMED INC                     | COM | 761152107 | 35     | 555     | SH | DEFINED | 01 | 1 |
| RESOURCE CAP CORP COM          | COM | 76120W302 | 74     | 11000   | SH | DEFINED | 01 | 1 |
| RESOURCES CONNECTION INC       | COM | 76122Q105 | 2310   | 120500  | SH | DEFINED | 01 | 0 |
| RESOURCES CONNECTION INC       | COM | 76122Q105 | 54     | 2795    | SH | DEFINED | 01 | 0 |
| RETAIL VENTURES INC            | COM | 76128Y102 | 77     | 8086    | SH | DEFINED | 01 | 0 |
| RETAIL VENTURES INC            | COM | 76128Y102 | 10     | 1000    | SH | DEFINED | 01 | 1 |
| RETAIL OPPORTUNITY INVESTMEN   | COM | 76131N101 | 204    | 20115   | SH | DEFINED | 01 | 0 |
| RETAIL OPPORTUNITY INVESTMEN   | COM | 76131N101 | 0      | 25      | SH | DEFINED | 01 | 1 |
| REVENUESHARES ETF TRMID CAP FD | COM | 761396209 | 104    | 3964    | SH | DEFINED | 01 | 1 |
| REVLON INC CL A NEW            | COM | 761525609 | 0      | 20      | SH | DEFINED | 01 | 1 |
| REWARDS NETWORK INC            | COM | 761557206 | 181    | 13489   | SH | DEFINED | 01 | 0 |
| REX ENERGY CORP                | COM | 761565100 | 6      | 500     | SH | DEFINED | 01 | 1 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 749    | 13866   | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 730    | 13524   | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 1003   | 18590   | SH | DEFINED | 01 | 1 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 388    | 7190    | SH | DEFINED | 01 | 1 |
| RICHARDSON ELECTRS LTD         | COM | 763165107 | 2      | 300     | SH | DEFINED | 01 | 1 |
| RIGEL PHARMACEUTICALS INC      | COM | 766559603 | 2297   | 288100  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| RIGHT NOW                      | TECHNOLOGI | COM | 76657R106 | 7      | 370     | SH | DEFINED | 01 | 1 |
| RINO INTL CORP                 | COM        | COM | 766883102 | 19     | 800     | SH | DEFINED | 01 | 1 |
| RIO TINTO PLC-SPON             | ADR        | COM | 767204100 | 38349  | 161993  | SH | DEFINED | 01 | 0 |
| RIO TINTO PLC-SPON             | ADR        | COM | 767204100 | 85     | 359     | SH | DEFINED | 01 | 0 |
| RIO TINTO PLC-SPON             | ADR        | COM | 767204100 | 79     | 334     | SH | DEFINED | 01 | 1 |
| RITCHIE BROS AUCTIONEERS       |            | COM | 767744105 | 31844  | 1478963 | SH | DEFINED | 01 | 0 |
| RITCHIE BROS AUCTIONEERS       |            | COM | 767744105 | 5      | 220     | SH | DEFINED | 01 | 1 |
| RITE AID CORP                  |            | COM | 767754104 | 18     | 12275   | SH | DEFINED | 01 | 1 |
| RIVERBED TECHNOLOGY INC        |            | COM | 768573107 | 625    | 22000   | SH | DEFINED | 01 | 0 |
| RIVERBED TECHNOLOGY INC        |            | COM | 768573107 | 977    | 34394   | SH | DEFINED | 01 | 1 |
| RMR ASIA PAC REAL ESTATE       | FD         | COM | 76970B101 | 5      | 307     | SH | DEFINED | 01 | 1 |
| ROBBINS & MYERS INC            |            | COM | 770196103 | 2953   | 123993  | SH | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC           |            | COM | 770323103 | 186    | 6098    | SH | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC           |            | COM | 770323103 | 150    | 4917    | SH | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC           |            | COM | 770323103 | 95     | 3116    | SH | DEFINED | 01 | 1 |
| ROCK-TENN COMPANY -CL A        |            | COM | 772739207 | 3307   | 72580   | SH | DEFINED | 01 | 0 |
| ROCKWELL AUTOMATION INC        |            | COM | 773903109 | 30464  | 540533  | SH | DEFINED | 01 | 0 |
| ROCKWELL AUTOMATION INC        |            | COM | 773903109 | 575    | 10208   | SH | DEFINED | 01 | 0 |
| ROCKWELL AUTOMATION INC        |            | COM | 773903109 | 319    | 5653    | SH | DEFINED | 01 | 1 |
| ROCKWELL COLLINS INC.          |            | COM | 774341101 | 7808   | 124740  | SH | DEFINED | 01 | 0 |
| ROCKWELL COLLINS INC.          |            | COM | 774341101 | 520    | 8315    | SH | DEFINED | 01 | 0 |
| ROCKWELL COLLINS INC.          |            | COM | 774341101 | 5761   | 122700  | SH | DEFINED | 01 | 1 |
| ROCKWELL COLLINS INC.          |            | COM | 774341101 | 658    | 10516   | SH | DEFINED | 01 | 1 |
| ROCKWOOD HLDGS INC             | COM        | COM | 774415103 | 75     | 2800    | SH | DEFINED | 01 | 1 |
| ROFIN-SINAR TECHNOLOGIES INC   |            | COM | 775043102 | 1847   | 81669   | SH | DEFINED | 01 | 0 |
| ROFIN-SINAR TECHNOLOGIES INC   |            | COM | 775043102 | 12     | 535     | SH | DEFINED | 01 | 1 |
| ROGERS                         | COMMUNICAT | COM | 775109200 | 5      | 140     | SH | DEFINED | 01 | 1 |
| ROGERS CORP                    |            | COM | 775133101 | 351    | 12121   | SH | DEFINED | 01 | 0 |
| ROOMSTORE FURNITURE            |            | COM | 77638R108 | 1      | 737     | SH | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC           |            | COM | 776696106 | 123    | 2140    | SH | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC           |            | COM | 776696106 | 204    | 3524    | SH | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC           |            | COM | 776696106 | 27987  | 483869  | SH | DEFINED | 01 | 1 |
| ROPER INDUSTRIES INC           |            | COM | 776696106 | 415    | 7176    | SH | DEFINED | 01 | 1 |
| ROSETTA RESOURCES INC          |            | COM | 777779307 | 3568   | 151512  | SH | DEFINED | 01 | 0 |
| ROSETTA RESOURCES INC          |            | COM | 777779307 | 17     | 725     | SH | DEFINED | 01 | 1 |
| ROSETTA STONE INC              | COM        | COM | 777780107 | 11     | 450     | SH | DEFINED | 01 | 1 |
| ROSS STORES INC                |            | COM | 778296103 | 3897   | 72890   | SH | DEFINED | 01 | 0 |
| ROSS STORES INC                |            | COM | 778296103 | 210    | 3920    | SH | DEFINED | 01 | 0 |
| ROSS STORES INC                |            | COM | 778296103 | 1346   | 25169   | SH | DEFINED | 01 | 1 |
| ROVI CORP                      |            | COM | 779376102 | 105163 | 2832287 | SH | DEFINED | 01 | 0 |
| ROVI CORP                      |            | COM | 779376102 | 20     | 543     | SH | DEFINED | 01 | 1 |
| ROWAN COMPANIES INC            |            | COM | 779382100 | 6164   | 211787  | SH | DEFINED | 01 | 0 |
| ROWAN COMPANIES INC            |            | COM | 779382100 | 306    | 10517   | SH | DEFINED | 01 | 0 |
| ROWAN COMPANIES INC            |            | COM | 779382100 | 2038   | 70000   | SH | DEFINED | 01 | 1 |
| ROWAN COMPANIES INC            |            | COM | 779382100 | 250    | 8586    | SH | DEFINED | 01 | 1 |
| ROYAL BANK OF CANADACOM NPV IS |            | COM | 780087102 | 238    | 4081    | SH | DEFINED | 01 | 1 |
| ROYAL BANK OF SCOTLAND G       |            | COM | 780097689 | 0      | 25      | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF        | PRF | 780097739 | 125    | 9535    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF        | PRF | 780097754 | 53     | 4000    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF        | PRF | 780097762 | 3      | 200     | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF        | PRF | 780097770 | 37     | 2937    | SH | DEFINED | 01 | 1 |
| ROYAL BANK OF SCOTLAND G       |            | PRF | 780097788 | 29     | 1830    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF        | PRF | 780097796 | 22     | 1700    | SH | DEFINED | 01 | 1 |
| ROYAL BK OF SCOTLAND7.65% NON- |            | PRF | 780097804 | 22     | 1100    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND 7.25% SER    |            | PRF | 780097879 | 79     | 4107    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259107 | 5628   | 101720  | SH | DEFINED | 01 | 0 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259107 | 414    | 7480    | SH | DEFINED | 01 | 1 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259206 | 17901  | 309374  | SH | DEFINED | 01 | 0 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259206 | 947    | 16368   | SH | DEFINED | 01 | 1 |
| ROYAL GOLD INC COM USD0.01 IS  | COM | 780287108 | 87     | 1890    | SH | DEFINED | 01 | 1 |
| ROYCE FOCUS TRUST INC          | COM | 78080N108 | 50     | 7564    | SH | DEFINED | 01 | 1 |
| ROYCE VALUE TR INC             | COM | 780910105 | 151    | 12741   | SH | DEFINED | 01 | 1 |
| RUBICON MINERALS CORP COM N    | COM | 780911103 | 52     | 13488   | SH | DEFINED | 01 | 1 |
| ROYCE MICRO-CAP TRUST INC      | COM | 780915104 | 16     | 1935    | SH | DEFINED | 01 | 1 |
| RUBY TUESDAY INC               | COM | 781182100 | 3158   | 298713  | SH | DEFINED | 01 | 0 |
| RUDDICK CORP                   | COM | 781258108 | 11205  | 354185  | SH | DEFINED | 01 | 0 |
| RUDDICK CORP                   | COM | 781258108 | 93     | 2952    | SH | DEFINED | 01 | 1 |
| RUDOLPH TECHNOLOGIES INC       | COM | 781270103 | 246    | 28723   | SH | DEFINED | 01 | 0 |
| RUE21 INC                      | COM | 781295100 | 9716   | 280235  | SH | DEFINED | 01 | 0 |
| RUE21 INC                      | COM | 781295100 | 176    | 5078    | SH | DEFINED | 01 | 0 |
| RUTH'S HOSPITALITY GROUP INC   | COM | 783332109 | 142    | 26766   | SH | DEFINED | 01 | 0 |
| RUTH'S HOSPITALITY GROUP INC   | COM | 783332109 | 1      | 200     | SH | DEFINED | 01 | 1 |
| RYANAIR HLDGS ADR EACH REPR    | COM | 783513104 | 3      | 105     | SH | DEFINED | 01 | 1 |
| RYDER SYSTEM INC               | COM | 783549108 | 4167   | 107504  | SH | DEFINED | 01 | 0 |
| RYDER SYSTEM INC               | COM | 783549108 | 271    | 6997    | SH | DEFINED | 01 | 0 |
| RYDER SYSTEM INC               | COM | 783549108 | 15     | 377     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P 500 EQ        | COM | 78355W106 | 2163   | 50803   | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RUSSELL TO        | COM | 78355W205 | 46     | 536     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W304 | 267    | 10031   | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W403 | 14     | 383     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P M       | COM | 78355W601 | 2344   | 36784   | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR 2X S&P SELECT SEC | COM | 78355W627 | 19     | 270     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR 2X S&P SELECT SEC | COM | 78355W684 | 42     | 2008    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W700 | 7      | 200     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR INVERSES&P 500 2X | COM | 78355W767 | 2      | 42      | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P 5002X STRATE  | COM | 78355W783 | 45     | 1255    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W809 | 33     | 817     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P EQUAL WEIG    | COM | 78355W841 | 310    | 5118    | SH | DEFINED | 01 | 1 |
| RYLAND GROUP INC               | COM | 783764103 | 4      | 161     | SH | DEFINED | 01 | 1 |
| S & T BANCORP INC              | COM | 783859101 | 419    | 20039   | SH | DEFINED | 01 | 0 |
| SBA COMMUNICATIONS CORP-CL A   | COM | 78388J106 | 1292   | 35800   | SH | DEFINED | 01 | 0 |
| SBA COMMUNICATIONS CORP-CL A   | COM | 78388J106 | 36     | 1000    | SH | DEFINED | 01 | 1 |
| SAIC INC                       | COM | 78390X101 | 9918   | 560421  | SH | DEFINED | 01 | 0 |
| SAIC INC                       | COM | 78390X101 | 235    | 13279   | SH | DEFINED | 01 | 0 |
| SAIC INC                       | COM | 78390X101 | 476    | 26914   | SH | DEFINED | 01 | 1 |
| SCOLR PHARMA INC FORMERLY S    | COM | 78402X107 | 2      | 2670    | SH | DEFINED | 01 | 1 |
| SEI INVESTMENTS COMPANY        | COM | 784117103 | 622    | 28319   | SH | DEFINED | 01 | 1 |
| SFN GROUP INC                  | COM | 784153108 | 841    | 105027  | SH | DEFINED | 01 | 0 |
| SJW CORP                       | COM | 784305104 | 3458   | 136026  | SH | DEFINED | 01 | 0 |
| SJW CORP                       | COM | 784305104 | 101    | 3978    | SH | DEFINED | 01 | 1 |
| SK TELECOM CO LTD-ADR          | COM | 78440P108 | 6230   | 360956  | SH | DEFINED | 01 | 0 |
| SK TELECOM CO LTD-ADR          | COM | 78440P108 | 23     | 1344    | SH | DEFINED | 01 | 1 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 6293   | 109878  | SH | DEFINED | 01 | 0 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 102029 | 1781864 | SH | DEFINED | 01 | 1 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 18     | 314     | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |        |    |         |    |   |
|--------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| SLM CORP                       | COM | 78442P106 | 12101 | 966652 | SH | DEFINED | 01 | 0 |
| SLM CORP                       | COM | 78442P106 | 346   | 27658  | SH | DEFINED | 01 | 0 |
| SLM CORP                       | COM | 78442P106 | 37    | 2927   | SH | DEFINED | 01 | 1 |
| SORL AUTO PTS INC              | COM | 78461U101 | 1     | 150    | SH | DEFINED | 01 | 1 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 30567 | 261280 | SH | DEFINED | 01 | 0 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 9358  | 80000  | SH | DEFINED | 01 | 1 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 17639 | 150760 | SH | DEFINED | 01 | 1 |
| SPX CORP                       | COM | 784635104 | 348   | 5243   | SH | DEFINED | 01 | 0 |
| SPX CORP                       | COM | 784635104 | 11    | 162    | SH | DEFINED | 01 | 1 |
| S1 CORP                        | COM | 78463B101 | 1     | 166    | SH | DEFINED | 01 | 1 |
| SPDR GOLD TR GOLD SHS          | COM | 78463V107 | 17845 | 163795 | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS DJ EURO ST  | COM | 78463X202 | 45    | 1156   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X301 | 12    | 166    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P CHINA   | COM | 78463X400 | 14    | 200    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X509 | 35    | 537    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X632 | 4     | 200    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X699 | 97    | 4700   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X707 | 0     | 2      | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X715 | 100   | 3850   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS DJ WILSHIR  | COM | 78463X749 | 129   | 3845   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X756 | 31    | 628    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P INTL D  | COM | 78463X772 | 15    | 279    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P BRIC 4  | COM | 78463X798 | 15    | 582    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X806 | 36    | 545    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS RUSSELL NO  | COM | 78463X822 | 486   | 12032  | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS MSCI ACWI   | COM | 78463X848 | 138   | 4362   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS FTSE / MAC  | COM | 78463X855 | 32    | 785    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS DJ WILSHIR  | COM | 78463X863 | 285   | 8112   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P INTL S  | COM | 78463X871 | 36    | 1330   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P WORLD   | COM | 78463X889 | 20    | 821    | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIRE S      | COM | 78464A201 | 2552  | 27904  | SH | DEFINED | 01 | 1 |
| SPDR SER TR WELLS FARGO PFD    | COM | 78464A292 | 10    | 235    | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIRE S      | COM | 78464A300 | 56    | 900    | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN SHORT TERM  | COM | 78464A334 | 157   | 4440   | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN INTERMEDIA  | COM | 78464A375 | 10    | 299    | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYSCAP HIGH Y | COM | 78464A417 | 27644 | 694738 | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN SHORT TERM  | COM | 78464A425 | 584   | 24371  | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYS CAP MUN B | COM | 78464A458 | 596   | 26230  | SH | DEFINED | 01 | 1 |
| SPDR SER TR DB INTL GOVT INFLA | COM | 78464A490 | 417   | 7527   | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIRE L      | COM | 78464A508 | 21    | 351    | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN INTL TREAS  | COM | 78464A516 | 278   | 4973   | SH | DEFINED | 01 | 1 |
| SPDR DJ WILSHIRE REIT ETF      | COM | 78464A607 | 4086  | 76000  | SH | DEFINED | 01 | 0 |
| SPDR DJ WILSHIRE REIT ETF      | COM | 78464A607 | 132   | 2452   | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN AGG         | COM | 78464A649 | 362   | 6569   | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYS C         | COM | 78464A656 | 1470  | 28720  | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN 1-3         | COM | 78464A680 | 84    | 1834   | SH | DEFINED | 01 | 1 |
| SPDR SER TR KBW REGL B         | COM | 78464A698 | 73    | 2788   | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ GLOBAL TIT      | COM | 78464A706 | 14    | 243    | SH | DEFINED | 01 | 1 |
| SPDR S&P RETAIL ETF            | COM | 78464A714 | 32    | 763    | SH | DEFINED | 01 | 1 |
| SPDR S&P OIL & GAS EXP ETF     | COM | 78464A730 | 265   | 6291   | SH | DEFINED | 01 | 0 |
| SPDR S&P OIL & GAS EXP ETF     | COM | 78464A730 | 694   | 16464  | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P OIL &          | COM | 78464A748 | 22    | 726    | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P METALS         | COM | 78464A755 | 100   | 1765   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |            |     |           |        |         |    |         |    |   |
|--------------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| SPDR SER TR                    | S&P DIVID  | COM | 78464A763 | 1886   | 38257   | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | KBW BK ETF | COM | 78464A797 | 133    | 5159    | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | DJ WILSHIR | COM | 78464A805 | 28     | 317     | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | DJ WILSHIR | COM | 78464A813 | 81     | 1413    | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | DJ WILSHIR | COM | 78464A854 | 14     | 254     | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | S&P SEMICO | COM | 78464A862 | 616    | 12833   | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | S&P BIOTEC | COM | 78464A870 | 570    | 9504    | SH | DEFINED | 01 | 1 |
| SPDR SER TR                    | S&P HOMEBU | COM | 78464A888 | 1206   | 71700   | SH | DEFINED | 01 | 1 |
| SRA INTERNATIONAL INC-CL A     |            | COM | 78464R105 | 57     | 2725    | SH | DEFINED | 01 | 0 |
| SRA INTERNATIONAL INC-CL A     |            | COM | 78464R105 | 1      | 25      | SH | DEFINED | 01 | 1 |
| SS&C TECHNOLOGIES HOLDINGS     |            | COM | 78467J100 | 1884   | 125000  | SH | DEFINED | 01 | 0 |
| STEC INC                       |            | COM | 784774101 | 7124   | 594717  | SH | DEFINED | 01 | 0 |
| STEC INC                       |            | COM | 784774101 | 113    | 9404    | SH | DEFINED | 01 | 0 |
| STEC INC                       |            | COM | 784774101 | 32     | 2657    | SH | DEFINED | 01 | 1 |
| SVB FINANCIAL GROUP            |            | COM | 78486Q101 | 1900   | 40725   | SH | DEFINED | 01 | 0 |
| SVB FINANCIAL GROUP            |            | COM | 78486Q101 | 5      | 100     | SH | DEFINED | 01 | 1 |
| SPAR GROUP INC                 |            | COM | 784933103 | 0      | 200     | SH | DEFINED | 01 | 1 |
| SWS GROUP INC                  |            | COM | 78503N107 | 2588   | 224520  | SH | DEFINED | 01 | 0 |
| SXC HEALTH SOLUTIONSCORP COM N |            | COM | 78505P100 | 156    | 2312    | SH | DEFINED | 01 | 1 |
| S.Y. BANCORP INC               |            | COM | 785060104 | 106    | 4644    | SH | DEFINED | 01 | 0 |
| SABINE ROYALTY TR UNIT BEN I   |            | COM | 785688102 | 34     | 741     | SH | DEFINED | 01 | 1 |
| SAFEGUARD SCIENTIFIC           |            | COM | 786449207 | 0      | 16      | SH | DEFINED | 01 | 1 |
| SAFETY INSURANCE GROUP INC     |            | COM | 78648T100 | 3462   | 91888   | SH | DEFINED | 01 | 0 |
| SAFEWAY INC                    |            | COM | 786514208 | 8300   | 333886  | SH | DEFINED | 01 | 0 |
| SAFEWAY INC                    |            | COM | 786514208 | 726    | 29184   | SH | DEFINED | 01 | 0 |
| SAFEWAY INC                    |            | COM | 786514208 | 787    | 31650   | SH | DEFINED | 01 | 1 |
| SAFEWAY INC                    |            | COM | 786514208 | 99     | 3984    | SH | DEFINED | 01 | 1 |
| SAIA INC                       |            | COM | 78709Y105 | 1      | 100     | SH | DEFINED | 01 | 1 |
| ST JOE CO/THE                  |            | COM | 790148100 | 18506  | 572063  | SH | DEFINED | 01 | 0 |
| ST JOE CO/THE                  |            | COM | 790148100 | 106    | 3287    | SH | DEFINED | 01 | 1 |
| ST JUDE MEDICAL INC            |            | COM | 790849103 | 175541 | 4276242 | SH | DEFINED | 01 | 0 |
| ST JUDE MEDICAL INC            |            | COM | 790849103 | 703    | 17118   | SH | DEFINED | 01 | 0 |
| ST JUDE MEDICAL INC            |            | COM | 790849103 | 348    | 9200    | SH | DEFINED | 01 | 1 |
| ST JUDE MEDICAL INC            |            | COM | 790849103 | 315    | 7684    | SH | DEFINED | 01 | 1 |
| ST MARY LAND & EXPLORATION     |            | COM | 792228108 | 10433  | 299724  | SH | DEFINED | 01 | 0 |
| ST MARY LAND & EXPLORATION     |            | COM | 792228108 | 8      | 235     | SH | DEFINED | 01 | 1 |
| SAKS INC                       |            | COM | 79377W108 | 5797   | 674012  | SH | DEFINED | 01 | 0 |
| SAKS INC                       |            | COM | 79377W108 | 92     | 10658   | SH | DEFINED | 01 | 0 |
| SAKS INC                       |            | COM | 79377W108 | 412    | 47849   | SH | DEFINED | 01 | 1 |
| SALESFORCE.COM INC             |            | COM | 79466L302 | 21806  | 292896  | SH | DEFINED | 01 | 0 |
| SALESFORCE.COM INC             |            | COM | 79466L302 | 667    | 8957    | SH | DEFINED | 01 | 0 |
| SALESFORCE.COM INC             |            | COM | 79466L302 | 1265   | 16985   | SH | DEFINED | 01 | 1 |
| SALIX PHARMACEUTICALS LTD      |            | COM | 795435106 | 1736   | 46603   | SH | DEFINED | 01 | 0 |
| SALIX PHARMACEUTICALS LTD      |            | COM | 795435106 | 1124   | 30173   | SH | DEFINED | 01 | 1 |
| SALLY BEAUTY HLDGS INC COM     |            | COM | 79546E104 | 7      | 742     | SH | DEFINED | 01 | 1 |
| SAMSUNG ELECTR-GDR 144A        |            | COM | 796050979 | 799    | 2173    | SH | DEFINED | 01 | 0 |
| SAN JUAN BASIN RTY TR UNIT BE  |            | COM | 798241105 | 751    | 36039   | SH | DEFINED | 01 | 1 |
| SANDERSON FARMS INC            |            | COM | 800013104 | 1133   | 21133   | SH | DEFINED | 01 | 0 |
| SANDISK CORP                   |            | COM | 80004C101 | 2032   | 58693   | SH | DEFINED | 01 | 0 |
| SANDISK CORP                   |            | COM | 80004C101 | 451    | 13015   | SH | DEFINED | 01 | 0 |
| SANDISK CORP                   |            | COM | 80004C101 | 67434  | 1948382 | SH | DEFINED | 01 | 1 |
| SANDISK CORP                   |            | COM | 80004C101 | 505    | 14581   | SH | DEFINED | 01 | 1 |
| SANDRIDGE ENERGY INC           |            | COM | 80007P307 | 11     | 1443    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SANMINA-SCI CORP               | COM | 800907206 | 37539  | 2275091  | SH | DEFINED | 01 | 0 |
| SANOFI-AVENTIS SPON ADR ECH RE | COM | 80105N105 | 385    | 10315    | SH | DEFINED | 01 | 1 |
| SANTARUS INC                   | COM | 802817304 | 2      | 300      | SH | DEFINED | 01 | 1 |
| SAP AG-SPONSORED ADR           | COM | 803054204 | 147    | 3056     | SH | DEFINED | 01 | 1 |
| SAPIENT CORPORATION            | COM | 803062108 | 796    | 87039    | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 16891  | 1212668  | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 761    | 54644    | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 376    | 27013    | SH | DEFINED | 01 | 1 |
| SASOL LTD-SPONSORED ADR        | COM | 803866300 | 392    | 9500     | SH | DEFINED | 01 | 0 |
| SASOL LTD-SPONSORED ADR        | COM | 803866300 | 490    | 11867    | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| SATCON TECHNOLOGY CORP         | COM | 803893106 | 0      | 100      | SH | DEFINED | 01 | 1 |
| SATYAM COMPUTER SERVICES-ADR   | COM | 804098101 | 296    | 56600    | SH | DEFINED | 01 | 0 |
| SATYAM COMPUTER SERVICES-ADR   | COM | 804098101 | 26     | 5025     | SH | DEFINED | 01 | 1 |
| SAVIENT PHARMACEUTICALS INC    | COM | 80517Q100 | 844    | 58432    | SH | DEFINED | 01 | 0 |
| SAVIENT PHARMACEUTICALS INC    | COM | 80517Q100 | 38     | 2650     | SH | DEFINED | 01 | 1 |
| SAVVIS INC                     | COM | 805423308 | 30765  | 1864565  | SH | DEFINED | 01 | 0 |
| SBERBANK-CLS                   | COM | 805650991 | 34271  | 11696431 | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 444    | 11801    | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 139    | 3697     | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 198    | 5280     | SH | DEFINED | 01 | 1 |
| SCANSOURCE INC                 | COM | 806037107 | 2309   | 80229    | SH | DEFINED | 01 | 0 |
| SCHAWK INC                     | COM | 806373106 | 2212   | 122000   | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 109    | 1856     | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 5301   | 90000    | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 147    | 2500     | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 44764  | 759915   | SH | DEFINED | 01 | 1 |
| HENRY SCHEIN INC               | COM | 806407102 | 1242   | 21088    | SH | DEFINED | 01 | 1 |
| SCHLUMBERGER LTD               | COM | 806857108 | 109943 | 1732457  | SH | DEFINED | 01 | 0 |
| SCHLUMBERGER LTD               | COM | 806857108 | 4467   | 70390    | SH | DEFINED | 01 | 0 |
| SCHLUMBERGER LTD               | COM | 806857108 | 7005   | 117400   | SH | DEFINED | 01 | 1 |
| SCHLUMBERGER LTD               | COM | 806857108 | 1411   | 22240    | SH | DEFINED | 01 | 1 |
| SCHNITZER STEEL INDS INC-A     | COM | 806882106 | 3824   | 72800    | SH | DEFINED | 01 | 0 |
| SCHNITZER STEEL INDS INC-A     | COM | 806882106 | 32     | 600      | SH | DEFINED | 01 | 1 |
| SCHOOL SPECIALTY INC           | COM | 807863105 | 18292  | 805350   | SH | DEFINED | 01 | 0 |
| SCHULMAN (A.) INC              | COM | 808194104 | 682    | 27884    | SH | DEFINED | 01 | 0 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 522    | 27931    | SH | DEFINED | 01 | 0 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 835    | 44668    | SH | DEFINED | 01 | 0 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 90     | 4807     | SH | DEFINED | 01 | 1 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 314    | 16791    | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR US LARGE-C | COM | 808524201 | 30     | 1091     | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR INTL EQUIT | COM | 808524805 | 180    | 6900     | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| SCHWEITZER-MAUDUIT INTL INC    | COM | 808541106 | 1805   | 37940    | SH | DEFINED | 01 | 0 |
| SCHWEITZER-MAUDUIT INTL INC    | COM | 808541106 | 3259   | 68527    | SH | DEFINED | 01 | 1 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 5887   | 418137   | SH | DEFINED | 01 | 0 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 93     | 6614     | SH | DEFINED | 01 | 0 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 3      | 204      | SH | DEFINED | 01 | 1 |
| THE SCOTTS MIRACLE GRO COMPAN  | COM | 810186106 | 21     | 462      | SH | DEFINED | 01 | 1 |
| EW SCRIPPS CO-CL A             | COM | 811054402 | 234    | 27662    | SH | DEFINED | 01 | 0 |
| EW SCRIPPS CO-CL A             | COM | 811054402 | 0      | 26       | SH | DEFINED | 01 | 1 |
| SCRIPPS NETWORKS INTER-CL A    | COM | 811065101 | 205    | 4634     | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| SCRIPPS NETWORKS INTER-CL A    | COM | 811065101 | 328   | 7393    | SH | DEFINED | 01 | 0 |
| SCRIPPS NETWORKS INTER-CL A    | COM | 811065101 | 3     | 76      | SH | DEFINED | 01 | 1 |
| SEABOARD CORP                  | COM | 811543107 | 913   | 703     | SH | DEFINED | 01 | 0 |
| SEABOARD CORP                  | COM | 811543107 | 1     | 1       | SH | DEFINED | 01 | 1 |
| SEABRIGHT INSURANCE HOLDINGS   | COM | 811656107 | 426   | 38658   | SH | DEFINED | 01 | 0 |
| SEACHANGE INTL INC             | COM | 811699107 | 71    | 9865    | SH | DEFINED | 01 | 0 |
| SEACOR HOLDINGS INC            | COM | 811904101 | 2084  | 25842   | SH | DEFINED | 01 | 0 |
| SEABRIDGE GOLD INC COM NPV IS  | COM | 811916105 | 2     | 100     | SH | DEFINED | 01 | 1 |
| SEAHAWK DRILLING INC           | COM | 81201R107 | 275   | 14575   | SH | DEFINED | 01 | 0 |
| SEAHAWK DRILLING INC           | COM | 81201R107 | 0     | 1       | SH | DEFINED | 01 | 1 |
| SEALED AIR CORP                | COM | 81211K100 | 54868 | 2602845 | SH | DEFINED | 01 | 0 |
| SEALED AIR CORP                | COM | 81211K100 | 110   | 5207    | SH | DEFINED | 01 | 0 |
| SEALED AIR CORP                | COM | 81211K100 | 35    | 1645    | SH | DEFINED | 01 | 1 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 2910  | 26834   | SH | DEFINED | 01 | 0 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 361   | 3326    | SH | DEFINED | 01 | 0 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 82    | 759     | SH | DEFINED | 01 | 1 |
| SEATTLE GENETICS INC           | COM | 812578102 | 59    | 4965    | SH | DEFINED | 01 | 1 |
| SELECT SECTOR SPDR TR SHS BEN  | COM | 81369Y100 | 1099  | 32396   | SH | DEFINED | 01 | 1 |
| HEALTH CARE SELECT SECTOR ETF  | COM | 81369Y209 | 670   | 20847   | SH | DEFINED | 01 | 1 |
| CONSUMER STAPLES SPDR ETF      | COM | 81369Y308 | 4734  | 169485  | SH | DEFINED | 01 | 1 |
| CONSUMER DISCRETIONARY SELT ET | COM | 81369Y407 | 2080  | 63326   | SH | DEFINED | 01 | 1 |
| SECTOR SPDR TR SHS BEN INT EN  | COM | 81369Y506 | 1520  | 26425   | SH | DEFINED | 01 | 1 |
| FINANCIAL SELECT SECTOR SPDR E | COM | 81369Y605 | 6351  | 398175  | SH | DEFINED | 01 | 1 |
| SECTOR SPDR TR SHS BEN INT IN  | COM | 81369Y704 | 853   | 27304   | SH | DEFINED | 01 | 1 |
| TECH SELECT SECT SPDR ETF      | COM | 81369Y803 | 2641  | 114339  | SH | DEFINED | 01 | 1 |
| UTILITIES SELECT SECTOR SPDR E | COM | 81369Y886 | 3718  | 125366  | SH | DEFINED | 01 | 1 |
| SELECT COMFORT CORP            | COM | 81616X103 | 8     | 1065    | SH | DEFINED | 01 | 1 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 22520 | 2668270 | SH | DEFINED | 01 | 0 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 234   | 27708   | SH | DEFINED | 01 | 0 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 1     | 100     | SH | DEFINED | 01 | 1 |
| SELECTIVE INSURANCE GROUP      | COM | 816300107 | 4835  | 291228  | SH | DEFINED | 01 | 0 |
| SELECTIVE INSURANCE GROUP      | COM | 816300107 | 24    | 1469    | SH | DEFINED | 01 | 1 |
| SEMICONDUCTOR HOLDRSTR DEP RCP | COM | 816636203 | 68    | 2425    | SH | DEFINED | 01 | 1 |
| SEMICONDUCTOR MANUFACT-ADR     | COM | 81663N206 | 29329 | 4596936 | SH | DEFINED | 01 | 0 |
| SEMTECH CORP                   | COM | 816850101 | 1     | 76      | SH | DEFINED | 01 | 1 |
| SEMPRA ENERGY                  | COM | 816851109 | 92644 | 1856573 | SH | DEFINED | 01 | 0 |
| SEMPRA ENERGY                  | COM | 816851109 | 833   | 16696   | SH | DEFINED | 01 | 0 |
| SEMPRA ENERGY                  | COM | 816851109 | 2003  | 40146   | SH | DEFINED | 01 | 1 |
| SENECA FOODS CORP - CL A       | COM | 817070501 | 3125  | 107335  | SH | DEFINED | 01 | 0 |
| SENIOR HOUSING PROP TRUST      | COM | 81721M109 | 6410  | 289411  | SH | DEFINED | 01 | 0 |
| SENIOR HOUSING PROP TRUST      | COM | 81721M109 | 295   | 13341   | SH | DEFINED | 01 | 1 |
| SENORX INC                     | COM | 81724W104 | 35    | 4800    | SH | DEFINED | 01 | 1 |
| SENSIENT TECHNOLOGIES CORP COM | COM | 81725T100 | 41    | 1425    | SH | DEFINED | 01 | 1 |
| SEQUENOM INC COM NEW           | COM | 817337405 | 51    | 8100    | SH | DEFINED | 01 | 1 |
| SERVICE CORP INTL              | COM | 817565104 | 12    | 1306    | SH | DEFINED | 01 | 1 |
| SHANDA GAMES LTD-ADR           | COM | 81941U105 | 220   | 30500   | SH | DEFINED | 01 | 0 |
| SHANDA GAMES LTD-ADR           | COM | 81941U105 | 6     | 775     | SH | DEFINED | 01 | 0 |
| SHANDA GAMES LTD-ADR           | COM | 81941U105 | 29    | 4000    | SH | DEFINED | 01 | 1 |
| SHARPS COMPLIANCE CORP         | COM | 820017101 | 3     | 500     | SH | DEFINED | 01 | 1 |
| SHAW GROUP INC                 | COM | 820280105 | 31569 | 917157  | SH | DEFINED | 01 | 0 |
| SHAW GROUP INC                 | COM | 820280105 | 52    | 1497    | SH | DEFINED | 01 | 0 |
| SHAW GROUP INC                 | COM | 820280105 | 23    | 650     | SH | DEFINED | 01 | 1 |
| SHAW GROUP INC                 | COM | 820280105 | 109   | 3156    | SH | DEFINED | 01 | 1 |
| SHAW COMMUNICATIONS INC CLASS  | COM | 82028K200 | 62    | 3134    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| SHENGDA TECH INC               | COM | 823213103 | 20    | 2652    | SH | DEFINED | 01 | 1 |
| SHERWIN-WILLIAMS CO/THE        | COM | 824348106 | 93762 | 1385323 | SH | DEFINED | 01 | 0 |
| SHERWIN-WILLIAMS CO/THE        | COM | 824348106 | 278   | 4104    | SH | DEFINED | 01 | 0 |
| SHERWIN-WILLIAMS CO/THE        | COM | 824348106 | 496   | 7324    | SH | DEFINED | 01 | 1 |
| SHINHAN FINANCIAL GROUP-ADR    | COM | 824596100 | 819   | 10300   | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                  | COM | 82481R106 | 13077 | 198252  | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                  | COM | 82481R106 | 202   | 3060    | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                  | COM | 82481R106 | 24    | 358     | SH | DEFINED | 01 | 1 |
| SHOE CARNIVAL INC              | COM | 824889109 | 74    | 3257    | SH | DEFINED | 01 | 0 |
| SHOE CARNIVAL INC              | COM | 824889109 | 0     | 1       | SH | DEFINED | 01 | 1 |
| SHUFFLE MASTER INC             | COM | 825549108 | 359   | 43853   | SH | DEFINED | 01 | 0 |
| SHUFFLE MASTER INC             | COM | 825549108 | 45    | 5437    | SH | DEFINED | 01 | 0 |
| SHUFFLE MASTER INC             | COM | 825549108 | 2     | 294     | SH | DEFINED | 01 | 1 |
| SHUTTERFLY INC                 | COM | 82568P304 | 1924  | 79844   | SH | DEFINED | 01 | 0 |
| SHUTTERFLY INC                 | COM | 82568P304 | 7     | 300     | SH | DEFINED | 01 | 1 |
| SIBENERGYHOLDING JSC           | COM | 825923998 | 0     | 7992    | SH | DEFINED | 01 | 0 |
| SIEMENS AG - SPONS ADR         | COM | 826197501 | 100   | 1000    | SH | DEFINED | 01 | 1 |
| SIEMENS AG - SPONS ADR         | COM | 826197501 | 465   | 4652    | SH | DEFINED | 01 | 1 |
| SIERRA WIRELESS INC COM STK NP | COM | 826516106 | 29    | 3500    | SH | DEFINED | 01 | 1 |
| SIGMA-ALDRICH                  | COM | 826552101 | 3934  | 73346   | SH | DEFINED | 01 | 0 |
| SIGMA-ALDRICH                  | COM | 826552101 | 254   | 4734    | SH | DEFINED | 01 | 0 |
| SIGMA-ALDRICH                  | COM | 826552101 | 121   | 2262    | SH | DEFINED | 01 | 1 |
| SIGMA DESIGNS INC              | COM | 826565103 | 806   | 68695   | SH | DEFINED | 01 | 0 |
| SIGMA DESIGNS INC              | COM | 826565103 | 18    | 1495    | SH | DEFINED | 01 | 0 |
| SIGNATURE BANK                 | COM | 82669G104 | 4325  | 116748  | SH | DEFINED | 01 | 0 |
| SIGNATURE BANK                 | COM | 82669G104 | 99    | 3500    | SH | DEFINED | 01 | 1 |
| SIGNATURE BANK                 | COM | 82669G104 | 5     | 135     | SH | DEFINED | 01 | 1 |
| SIGA TECHNOLOGIES INC          | COM | 826917106 | 13    | 2000    | SH | DEFINED | 01 | 1 |
| SILICON LABORATORIES INC       | COM | 826919102 | 2212  | 46391   | SH | DEFINED | 01 | 0 |
| SILICON LABORATORIES INC       | COM | 826919102 | 23    | 485     | SH | DEFINED | 01 | 1 |
| SILGAN HOLDINGS INC            | COM | 827048109 | 18    | 301     | SH | DEFINED | 01 | 1 |
| SILICON STORAGE TECHINC        | COM | 827057100 | 2     | 600     | SH | DEFINED | 01 | 1 |
| SILICON IMAGE INC              | COM | 82705T102 | 398   | 131869  | SH | DEFINED | 01 | 0 |
| SILICON IMAGE INC              | COM | 82705T102 | 7     | 2200    | SH | DEFINED | 01 | 1 |
| SILICON MOTION TECHNOLOGY      | COM | 82706C108 | 1     | 200     | SH | DEFINED | 01 | 1 |
| SILICON GRAPHICS INTL CORP     | COM | 82706L108 | 11    | 1000    | SH | DEFINED | 01 | 1 |
| SILICONWARE PRECISION-SP ADR   | COM | 827084864 | 32    | 5300    | SH | DEFINED | 01 | 0 |
| SILICONWARE PRECISION-SP ADR   | COM | 827084864 | 14    | 2401    | SH | DEFINED | 01 | 1 |
| SILVER STANDARD RESOURCES      | COM | 82823L106 | 1719  | 96652   | SH | DEFINED | 01 | 0 |
| SILVER STANDARD RESOURCES      | COM | 82823L106 | 13    | 732     | SH | DEFINED | 01 | 1 |
| SILVER WHEATON CORP            | COM | 828336107 | 501   | 32000   | SH | DEFINED | 01 | 1 |
| SILVER WHEATON CORP            | COM | 828336107 | 618   | 39396   | SH | DEFINED | 01 | 1 |
| SILVERCORP METALS INC COM NP   | COM | 82835P103 | 15    | 2165    | SH | DEFINED | 01 | 1 |
| SIMMONS FIRST NATL CORP-CL A   | COM | 828730200 | 479   | 17379   | SH | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM | 828806109 | 57496 | 685320  | SH | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM | 828806109 | 1500  | 17875   | SH | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM | 828806109 | 790   | 9416    | SH | DEFINED | 01 | 1 |
| SIMON PROPERTY GROUP INC       | COM | 828806109 | 421   | 5022    | SH | DEFINED | 01 | 1 |
| SIMON PROPERTY GROUP INC       | PRF | 828806802 | 39    | 555     | SH | DEFINED | 01 | 1 |
| SILVER PEAKS SYSTEMS           | COM | 82899H930 | 2332  | 2620545 | SH | DEFINED | 01 | 0 |
| MIASOLE                        | COM | 82899Q997 | 1611  | 805620  | SH | DEFINED | 01 | 0 |
| SIMPSON MANUFACTURING CO INC   | COM | 829073105 | 12911 | 465066  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| SIMPSON MANUFACTURING CO INC   | COM      | 829073105 | 3     | 110     | SH  | DEFINED | 01 | 1 |
| SIMS METAL MANAGEMENT          | COM      | 829160100 | 7     | 338     | SH  | DEFINED | 01 | 1 |
| SINCLAIR BROADCAST GROUP INC   | COM      | 829226109 | 21    | 4148    | SH  | DEFINED | 01 | 1 |
| SINGAPORE FD INC               | COM      | 82929L109 | 8     | 600     | SH  | DEFINED | 01 | 1 |
| SINO FOREST CORP               | CONV BND | 82934HAB7 | 3129  | 2561000 | PRN | DEFINED | 01 | 0 |
| SINOPEC SHANGHAI PETROCHEMI    | COM      | 82935M109 | 16    | 400     | SH  | DEFINED | 01 | 1 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 5831  | 153323  | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 4620  | 121484  | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 268   | 7050    | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 94147 | 2477554 | SH  | DEFINED | 01 | 1 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 1     | 20      | SH  | DEFINED | 01 | 1 |
|                                |          |           |       |         |     |         |    |   |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 7233  | 8308493 | SH  | DEFINED | 01 | 0 |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 111   | 127886  | SH  | DEFINED | 01 | 0 |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 204   | 233803  | SH  | DEFINED | 01 | 1 |
| SKECHERS USA INC-CL A          | COM      | 830566105 | 3170  | 87283   | SH  | DEFINED | 01 | 0 |
| SKECHERS USA INC-CL A          | COM      | 830566105 | 7     | 200     | SH  | DEFINED | 01 | 1 |
| SKILLED HEALTHCARE GROU-CL A   | COM      | 83066R107 | 10360 | 1679186 | SH  | DEFINED | 01 | 0 |
| SKILLED HEALTHCARE GROU-CL A   | COM      | 83066R107 | 2     | 250     | SH  | DEFINED | 01 | 1 |
| SKYLINE CORP                   | COM      | 830830105 | 76    | 4097    | SH  | DEFINED | 01 | 0 |
| SKYLINE CORP                   | COM      | 830830105 | 19    | 1000    | SH  | DEFINED | 01 | 1 |
| SKYWEST INC                    | COM      | 830879102 | 2315  | 162125  | SH  | DEFINED | 01 | 0 |
| SKYWEST INC                    | COM      | 830879102 | 3     | 200     | SH  | DEFINED | 01 | 1 |
| SKYWORKS SOLUTIONS INC         | COM      | 83088M102 | 3572  | 228941  | SH  | DEFINED | 01 | 0 |
| SKYWORKS SOLUTIONS INC         | COM      | 83088M102 | 153   | 9822    | SH  | DEFINED | 01 | 1 |
| SMALL CAP PREM & DIVID INCO    | COM      | 83165P101 | 138   | 13641   | SH  | DEFINED | 01 | 1 |
| SMART BALANCE INC              | COM      | 83169Y108 | 5     | 810     | SH  | DEFINED | 01 | 1 |
| SMITH & WESSON HLDG CORP       | COM      | 831756101 | 10    | 2755    | SH  | DEFINED | 01 | 1 |
| SMITH & NEPHEW ADR EACH REPR   | COM      | 83175M205 | 78    | 1560    | SH  | DEFINED | 01 | 1 |
| SMITH (A.O.) CORP              | COM      | 831865209 | 28402 | 540236  | SH  | DEFINED | 01 | 0 |
| SMITH INTERNATIONAL INC        | COM      | 832110100 | 36008 | 840916  | SH  | DEFINED | 01 | 0 |
| SMITH INTERNATIONAL INC        | COM      | 832110100 | 456   | 10657   | SH  | DEFINED | 01 | 0 |
| SMITH INTERNATIONAL INC        | COM      | 832110100 | 21    | 498     | SH  | DEFINED | 01 | 1 |
| SMITH MICRO SOFTWARE INC       | COM      | 832154108 | 194   | 21894   | SH  | DEFINED | 01 | 0 |
| SMITH MICRO SOFTWARE INC       | COM      | 832154108 | 5     | 608     | SH  | DEFINED | 01 | 1 |
| SMITHFIELD FOODS INC           | COM      | 832248108 | 25787 | 1243455 | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 425   | 7035    | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 562   | 9329    | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 3688  | 61545   | SH  | DEFINED | 01 | 1 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 164   | 2720    | SH  | DEFINED | 01 | 1 |
| SNAP-ON INC                    | COM      | 833034101 | 123   | 2854    | SH  | DEFINED | 01 | 0 |
| SNAP-ON INC                    | COM      | 833034101 | 94    | 2175    | SH  | DEFINED | 01 | 0 |
| SNAP-ON INC                    | COM      | 833034101 | 30    | 692     | SH  | DEFINED | 01 | 1 |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 2808  | 75118   | SH  | DEFINED | 01 | 0 |
|                                |          |           |       |         |     |         |    |   |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 15746 | 421341  | SH  | DEFINED | 01 | 1 |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 70    | 1870    | SH  | DEFINED | 01 | 1 |
| SOFTWARE HOLDERS TR DEPOSITARY | COM      | 83404B103 | 8     | 200     | SH  | DEFINED | 01 | 1 |
| SOHU.COM INC                   | COM      | 83408W103 | 1505  | 27550   | SH  | DEFINED | 01 | 1 |
| SOHU.COM INC                   | COM      | 83408W103 | 94    | 1714    | SH  | DEFINED | 01 | 1 |
| SOLARFUN POWER HOLD-SPON ADR   | COM      | 83415U108 | 42    | 5328    | SH  | DEFINED | 01 | 0 |
| SOLARFUN POWER HOLD-SPON ADR   | COM      | 83415U108 | 289   | 36850   | SH  | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |       |         |    |         |    |   |
|------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| SOLERA HOLDINGS INC          | COM | 83421A104 | 1082  | 28000   | SH | DEFINED | 01 | 0 |
| SOLERA HOLDINGS INC          | COM | 83421A104 | 3929  | 102250  | SH | DEFINED | 01 | 1 |
| SOLERA HOLDINGS INC          | COM | 83421A104 | 913   | 23619   | SH | DEFINED | 01 | 1 |
| SOLUTIA INC                  | COM | 834376501 | 811   | 50293   | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 4256  | 385071  | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 41    | 3708    | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 3     | 305     | SH | DEFINED | 01 | 1 |
| SONIC AUTOMOTIVE INC-CLASS A | COM | 83545G102 | 903   | 82147   | SH | DEFINED | 01 | 0 |
| SONIC SOLUTIONS              | COM | 835460106 | 251   | 26797   | SH | DEFINED | 01 | 0 |
| SONICWALL INC                | COM | 835470105 | 38502 | 4430493 | SH | DEFINED | 01 | 0 |
| SONICWALL INC                | COM | 835470105 | 274   | 30858   | SH | DEFINED | 01 | 1 |
| SONOCO PRODS CO              | COM | 835495102 | 7     | 241     | SH | DEFINED | 01 | 1 |
| SONOSITE INC                 | COM | 83568G104 | 95    | 2966    | SH | DEFINED | 01 | 1 |
| SONY CORP-SPONSORED ADR      | COM | 835699307 | 127   | 3306    | SH | DEFINED | 01 | 1 |
| SOTHEBY'S                    | COM | 835898107 | 27982 | 899947  | SH | DEFINED | 01 | 0 |
| SONUS NETWORKS INC           | COM | 835916107 | 13    | 5110    | SH | DEFINED | 01 | 1 |
| SOURCE CAP INC               | COM | 836144105 | 66    | 1422    | SH | DEFINED | 01 | 1 |
| SOURCEFIRE INC               | COM | 83616T108 | 407   | 17732   | SH | DEFINED | 01 | 0 |
| SOURCEFIRE INC               | COM | 83616T108 | 8     | 333     | SH | DEFINED | 01 | 1 |
| SOUTH FINANCIAL GROUP INC    | COM | 837841105 | 89    | 129260  | SH | DEFINED | 01 | 0 |
| SOUTH FINANCIAL GROUP INC    | COM | 837841105 | 0     | 158     | SH | DEFINED | 01 | 1 |
| SOUTH JERSEY INDUSTRIES      | COM | 838518108 | 8608  | 205000  | SH | DEFINED | 01 | 0 |
| SOUTH JERSEY INDUSTRIES      | COM | 838518108 | 10    | 250     | SH | DEFINED | 01 | 1 |
| SOUTHERN CO                  | COM | 842587107 | 30711 | 926137  | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 1334  | 40216   | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 910   | 27419   | SH | DEFINED | 01 | 1 |
| SOUTHERN CO                  | COM | 842587107 | 2649  | 79898   | SH | DEFINED | 01 | 1 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 7773  | 245485  | SH | DEFINED | 01 | 0 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 12011 | 379243  | SH | DEFINED | 01 | 0 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 19635 | 619989  | SH | DEFINED | 01 | 1 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 879   | 27749   | SH | DEFINED | 01 | 1 |
| SOUTHERN UNION CO NEW COM    | COM | 844030106 | 905   | 35668   | SH | DEFINED | 01 | 1 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 11433 | 864883  | SH | DEFINED | 01 | 0 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 759   | 57411   | SH | DEFINED | 01 | 0 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 188   | 14212   | SH | DEFINED | 01 | 1 |
| SOUTHWEST BANCORP INC OKLA   | COM | 844767103 | 1     | 67      | SH | DEFINED | 01 | 1 |
| SOUTHWEST GAS CORP           | COM | 844895102 | 3480  | 116312  | SH | DEFINED | 01 | 0 |
| SOUTHWEST GAS CORP           | COM | 844895102 | 75    | 2521    | SH | DEFINED | 01 | 1 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 16182 | 397408  | SH | DEFINED | 01 | 0 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 804   | 19733   | SH | DEFINED | 01 | 0 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 24    | 950     | SH | DEFINED | 01 | 1 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 393   | 9655    | SH | DEFINED | 01 | 1 |
| SOVRAN SELF STORAGE INC      | COM | 84610H108 | 2839  | 81466   | SH | DEFINED | 01 | 0 |
| SOVRAN SELF STORAGE INC      | COM | 84610H108 | 89    | 2560    | SH | DEFINED | 01 | 1 |
| SPARTAN MOTORS INC           | COM | 846819100 | 726   | 129367  | SH | DEFINED | 01 | 0 |
| SPARTAN MOTORS INC           | COM | 846819100 | 3     | 516     | SH | DEFINED | 01 | 1 |
| SPARTAN STORES INC           | COM | 846822104 | 686   | 47553   | SH | DEFINED | 01 | 0 |
| SPARTAN STORES INC           | COM | 846822104 | 2     | 140     | SH | DEFINED | 01 | 1 |
| SPARTECH CORP NEW            | COM | 847220209 | 1     | 100     | SH | DEFINED | 01 | 1 |
| SPECTRA ENERGY CORP          | COM | 847560109 | 32624 | 1447958 | SH | DEFINED | 01 | 0 |
| SPECTRA ENERGY CORP          | COM | 847560109 | 829   | 36795   | SH | DEFINED | 01 | 0 |
| SPECTRA ENERGY CORP          | COM | 847560109 | 450   | 19984   | SH | DEFINED | 01 | 1 |
| SPECTRANETICS CORP           | COM | 84760C107 | 11168 | 1616300 | SH | DEFINED | 01 | 0 |
| SPECTRANETICS CORP           | COM | 84760C107 | 4     | 600     | SH | DEFINED | 01 | 1 |
| SPECTRUM PHARMACEUT          | COM | 84763A108 | 14    | 3044    | SH | DEFINED | 01 | 1 |
| SPIRIT AEROSYSTEMS HOLD-CL A | COM | 848574109 | 2035  | 87040   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |          |    |         |    |   |
|--------------------------------|-----|-----------|-------|----------|----|---------|----|---|
| SPIRIT AEROSYSTEMS HOLD-CL A   | COM | 848574109 | 26    | 1100     | SH | DEFINED | 01 | 1 |
| SPORT SUPPLY GROUP INC         | COM | 84916A104 | 58    | 5500     | SH | DEFINED | 01 | 1 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 63830 | 16797573 | SH | DEFINED | 01 | 0 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 1003  | 263923   | SH | DEFINED | 01 | 0 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 1866  | 491005   | SH | DEFINED | 01 | 1 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 295   | 77596    | SH | DEFINED | 01 | 1 |
| STAGE STORES INC               | COM | 85254C305 | 7913  | 514173   | SH | DEFINED | 01 | 0 |
| STAMPS.COM INC                 | COM | 852857200 | 112   | 11068    | SH | DEFINED | 01 | 0 |
| STANCORP FINANCIAL GROUP       | COM | 852891100 | 4325  | 90802    | SH | DEFINED | 01 | 0 |
| STANCORP FINANCIAL GROUP       | COM | 852891100 | 14    | 297      | SH | DEFINED | 01 | 1 |
| STANDARD MICROSYSTEMS CORP     | COM | 853626109 | 2032  | 87270    | SH | DEFINED | 01 | 0 |
| STANDARD MICROSYSTEMS CORP     | COM | 853626109 | 1     | 45       | SH | DEFINED | 01 | 1 |
| STANDARD MOTOR PRODS           | COM | 853666105 | 304   | 30633    | SH | DEFINED | 01 | 0 |
| STANDARD MOTOR PRODS           | COM | 853666105 | 5     | 500      | SH | DEFINED | 01 | 1 |
| STANDARD PACIFIC CORP          | COM | 85375C101 | 359   | 79498    | SH | DEFINED | 01 | 0 |
| STANDARD PACIFIC CORP          | COM | 85375C101 | 115   | 25500    | SH | DEFINED | 01 | 1 |
| STANDARD REGISTER CO           | COM | 853887107 | 49    | 9203     | SH | DEFINED | 01 | 0 |
| STANDARD REGISTER CO           | COM | 853887107 | 11    | 2000     | SH | DEFINED | 01 | 1 |
| STANDEX INTERNATIONAL CORP     | COM | 854231107 | 369   | 14314    | SH | DEFINED | 01 | 0 |
| STANDEX INTERNATIONAL CORP     | COM | 854231107 | 3     | 100      | SH | DEFINED | 01 | 1 |
| STANLEY BLACK & DECKER INC     | COM | 854502101 | 84246 | 1467421  | SH | DEFINED | 01 | 0 |
| STANLEY BLACK & DECKER INC     | COM | 854502101 | 666   | 11607    | SH | DEFINED | 01 | 0 |
| STANLEY INC                    | COM | 854532108 | 2418  | 85438    | SH | DEFINED | 01 | 0 |
| STANTEC INC COM NPV ISIN #CA85 | COM | 85472N109 | 4     | 135      | SH | DEFINED | 01 | 1 |
| STAPLES INC                    | COM | 855030102 | 54072 | 2311772  | SH | DEFINED | 01 | 0 |
| STAPLES INC                    | COM | 855030102 | 1005  | 42976    | SH | DEFINED | 01 | 0 |
| STAPLES INC                    | COM | 855030102 | 1019  | 43537    | SH | DEFINED | 01 | 1 |
| STAR GAS PARTNERS L P SBI      | COM | 85512C105 | 2     | 400      | SH | DEFINED | 01 | 1 |
| STAR SCIENTIFIC INC            | COM | 85517P101 | 10    | 4000     | SH | DEFINED | 01 | 1 |
| STAR TRIBUNE CO                | COM | 85519Y100 | 9     | 471      | SH | DEFINED | 01 | 0 |
| STAR TRIBUNE CO                | WT  | 85519Y118 | 0     | 2617     | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 18030 | 742858   | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 1149  | 47360    | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 50154 | 2176682  | SH | DEFINED | 01 | 1 |
| STARBUCKS CORP                 | COM | 855244109 | 446   | 18394    | SH | DEFINED | 01 | 1 |
| STARTEK INC                    | COM | 85569C107 | 132   | 19025    | SH | DEFINED | 01 | 0 |
| STATE AUTO FINL CP             | COM | 855707105 | 4     | 202      | SH | DEFINED | 01 | 1 |
| STARWOOD HOTELS & RESORTS      | COM | 85590A401 | 12931 | 277225   | SH | DEFINED | 01 | 0 |
| STARWOOD HOTELS & RESORTS      | COM | 85590A401 | 579   | 12414    | SH | DEFINED | 01 | 0 |
| STARWOOD HOTELS & RESORTS      | COM | 85590A401 | 1220  | 26165    | SH | DEFINED | 01 | 1 |
| STATE BK OF INDIA-144A S GDR   | COM | 856552104 | 832   | 8861     | SH | DEFINED | 01 | 0 |
| STATE BK OF INDIA-144A S GDR   | COM | 856552104 | 5494  | 58445    | SH | DEFINED | 01 | 0 |
| STATE BANK OF INDIA-SPON GDR   | COM | 856552989 | 51    | 541      | SH | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM | 857477103 | 32296 | 715482   | SH | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM | 857477103 | 1155  | 25598    | SH | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM | 857477103 | 1986  | 44000    | SH | DEFINED | 01 | 1 |
| STATE STREET CORP              | COM | 857477103 | 433   | 9592     | SH | DEFINED | 01 | 1 |
| STATOIL ASA SPON ADREACH REP 1 | COM | 85771P102 | 59    | 2514     | SH | DEFINED | 01 | 1 |
| STEAK N SHAKE CO/THE           | COM | 857873202 | 365   | 958      | SH | DEFINED | 01 | 0 |
| STEEL DYNAMICS INC             | COM | 858119100 | 25810 | 1477548  | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| STEEL DYNAMICS INC             | COM | 858119100 | 93    | 5287    | SH | DEFINED | 01 | 0 |
| STEEL DYNAMICS INC             | COM | 858119100 | 176   | 10086   | SH | DEFINED | 01 | 1 |
| STEELCASE INC-CL A             | COM | 858155203 | 473   | 73157   | SH | DEFINED | 01 | 0 |
| STEELCASE INC-CL A             | COM | 858155203 | 3     | 444     | SH | DEFINED | 01 | 1 |
| STEIN MART INC                 | COM | 858375108 | 137   | 15179   | SH | DEFINED | 01 | 0 |
| STEIN MART INC                 | COM | 858375108 | 1     | 100     | SH | DEFINED | 01 | 1 |
| STEMCELLS INC                  | COM | 85857R105 | 10    | 8650    | SH | DEFINED | 01 | 1 |
| STEPAN CO                      | COM | 858586100 | 1166  | 20856   | SH | DEFINED | 01 | 0 |
| STERLING BANCSHARES INC/TX     | COM | 858907108 | 1087  | 194647  | SH | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM | 858912108 | 533   | 9776    | SH | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM | 858912108 | 177   | 3246    | SH | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM | 858912108 | 26953 | 494553  | SH | DEFINED | 01 | 1 |
| STERICYCLE INC                 | COM | 858912108 | 105   | 1930    | SH | DEFINED | 01 | 1 |
| STERIS CORP                    | COM | 859152100 | 8428  | 250380  | SH | DEFINED | 01 | 0 |
| STERIS CORP                    | COM | 859152100 | 59    | 1738    | SH | DEFINED | 01 | 1 |
| STERLING BANCORP-N Y           | COM | 859158107 | 122   | 12171   | SH | DEFINED | 01 | 0 |
| STERLING CONSTRUCTION CO       | COM | 859241101 | 1263  | 80321   | SH | DEFINED | 01 | 0 |
| STERLITE INDUSTRIES INDI-ADR   | COM | 859737207 | 331   | 17800   | SH | DEFINED | 01 | 0 |
| STERLITE INDUSTRIES INDI-ADR   | COM | 859737207 | 58    | 3113    | SH | DEFINED | 01 | 1 |
| STEWARDSHIP FINL CORP          | COM | 860326107 | 12    | 1289    | SH | DEFINED | 01 | 1 |
| STEWART INFORMATION SERVICES   | COM | 860372101 | 171   | 12386   | SH | DEFINED | 01 | 0 |
| STEWART INFORMATION SERVICES   | COM | 860372101 | 77    | 5575    | SH | DEFINED | 01 | 1 |
| STIFEL FINANCIAL CORP          | COM | 860630102 | 4945  | 92018   | SH | DEFINED | 01 | 0 |
| STIFEL FINANCIAL CORP          | COM | 860630102 | 0     | 9       | SH | DEFINED | 01 | 1 |
| STILLWATER MINING CO           | COM | 86074Q102 | 14241 | 1097131 | SH | DEFINED | 01 | 0 |
| STILLWATER MINING CO           | COM | 86074Q102 | 747   | 57567   | SH | DEFINED | 01 | 1 |
| STMICROELECTRONICS NY SHS-EAC  | COM | 861012102 | 75    | 7602    | SH | DEFINED | 01 | 1 |
| STONE ENERGY CORP              | COM | 861642106 | 4844  | 272904  | SH | DEFINED | 01 | 0 |
| STONEMOR PARTNERS LP COM UNI   | COM | 86183Q100 | 10    | 500     | SH | DEFINED | 01 | 1 |
| STRATASYS INC                  | COM | 862685104 | 411   | 16866   | SH | DEFINED | 01 | 0 |
| STRATASYS INC                  | COM | 862685104 | 15    | 610     | SH | DEFINED | 01 | 0 |
| STRATASYS INC                  | COM | 862685104 | 2     | 95      | SH | DEFINED | 01 | 1 |
| STRATEGIC DIAGNOSTIC           | COM | 862700101 | 0     | 5       | SH | DEFINED | 01 | 1 |
| STRATEGIC HOTEL & RESORT INC   | COM | 86272T106 | 6     | 1500    | SH | DEFINED | 01 | 1 |
| STRAYER EDUCATION INC          | COM | 863236105 | 28    | 114     | SH | DEFINED | 01 | 1 |
| STRYKER CORP                   | COM | 863667101 | 19808 | 346179  | SH | DEFINED | 01 | 0 |
| STRYKER CORP                   | COM | 863667101 | 1087  | 18991   | SH | DEFINED | 01 | 0 |
| STRYKER CORP                   | COM | 863667101 | 5892  | 129900  | SH | DEFINED | 01 | 1 |
| STRYKER CORP                   | COM | 863667101 | 538   | 9409    | SH | DEFINED | 01 | 1 |
| STUDENT LOAN CORP              | COM | 863902102 | 188   | 5300    | SH | DEFINED | 01 | 0 |
| STUDENT LOAN CORP              | COM | 863902102 | 0     | 9       | SH | DEFINED | 01 | 1 |
| STURM RUGER & CO INC           | COM | 864159108 | 318   | 26545   | SH | DEFINED | 01 | 0 |
| STURM RUGER & CO INC           | COM | 864159108 | 31    | 2579    | SH | DEFINED | 01 | 1 |
| SUBURBAN PROPANE PARTNERS L    | COM | 864482104 | 278   | 5861    | SH | DEFINED | 01 | 1 |
| SUCCESSFACTORS INC             | COM | 864596101 | 2882  | 151356  | SH | DEFINED | 01 | 0 |
| ST. MARY & EXPLORATION COMPANY | COM | 865580104 | 81    | 2322    | SH | DEFINED | 01 | 0 |
| SUN AMERN BANCORP COM NEW      | COM | 86664A202 | 0     | 1005    | SH | DEFINED | 01 | 1 |
| SUN LIFE FINANCIAL INC COM NP  | COM | 866796105 | 19    | 578     | SH | DEFINED | 01 | 1 |
| SUN HEALTHCARE GROUP INC       | COM | 866933401 | 12004 | 1258419 | SH | DEFINED | 01 | 0 |
| SUN HYDRAULICS CORP            | COM | 866942105 | 1026  | 39473   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SUN HYDRAULICS CORP            | COM | 866942105 | 2      | 68       | SH | DEFINED | 01 | 1 |
| SUNAMERICA FOCUSED ALPHA GROW  | COM | 867037103 | 31     | 2135     | SH | DEFINED | 01 | 1 |
| SUNAMERICA FOCUSED ALPHA LARG  | COM | 867038101 | 36     | 2492     | SH | DEFINED | 01 | 1 |
| SUNCOR ENERGY INC              | COM | 867224107 | 2084   | 64066    | SH | DEFINED | 01 | 0 |
| SUNCOR ENERGY INC              | COM | 867224107 | 819    | 25181    | SH | DEFINED | 01 | 1 |
| SUNOCO LOGISTICS PARTNERS L    | COM | 86764L108 | 86     | 1255     | SH | DEFINED | 01 | 1 |
| SUNOCO INC                     | COM | 86764P109 | 21289  | 716658   | SH | DEFINED | 01 | 0 |
| SUNOCO INC                     | COM | 86764P109 | 402    | 13542    | SH | DEFINED | 01 | 0 |
| SUNOCO INC                     | COM | 86764P109 | 151    | 5071     | SH | DEFINED | 01 | 1 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 4943   | 261534   | SH | DEFINED | 01 | 0 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 84     | 4439     | SH | DEFINED | 01 | 0 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 37     | 1990     | SH | DEFINED | 01 | 1 |
| SUNPOWER CORP COM CLB          | COM | 867652307 | 12     | 730      | SH | DEFINED | 01 | 1 |
| SUNRISE SENIOR LIVING INC      | COM | 86768K106 | 26     | 5000     | SH | DEFINED | 01 | 1 |
| SUNOPTA INC COM NPV ISIN #CA86 | COM | 8676EP108 | 2      | 409      | SH | DEFINED | 01 | 1 |
| SUNSTONE HOTEL INVESTORS INC   | COM | 867892101 | 772    | 69078    | SH | DEFINED | 01 | 0 |
| SUNSTONE HOTEL INVESTORS INC   | COM | 867892101 | 9      | 801      | SH | DEFINED | 01 | 1 |
| SUNTRUST BANKS INC             | COM | 867914103 | 19161  | 715217   | SH | DEFINED | 01 | 0 |
| SUNTRUST BANKS INC             | COM | 867914103 | 764    | 28534    | SH | DEFINED | 01 | 0 |
| SUNTRUST BANKS INC             | COM | 867914103 | 82     | 3078     | SH | DEFINED | 01 | 1 |
| SUPERCONDUCTOR TECHNOLOGI      | COM | 867931305 | 0      | 15       | SH | DEFINED | 01 | 1 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 2317   | 165265   | SH | DEFINED | 01 | 0 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 35     | 2484     | SH | DEFINED | 01 | 0 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 242    | 17268    | SH | DEFINED | 01 | 1 |
| SUPER MICRO COMPUTER I         | COM | 86800U104 | 39     | 2250     | SH | DEFINED | 01 | 1 |
| SUPERGEN INC                   | COM | 868059106 | 2      | 500      | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| SUPERIOR ENERGY SERVICES INC   | COM | 868157108 | 389    | 18538    | SH | DEFINED | 01 | 0 |
| SUPERIOR ENERGY SERVICES INC   | COM | 868157108 | 9      | 408      | SH | DEFINED | 01 | 1 |
| SUPERIOR INDUSTRIES INTL       | COM | 868168105 | 328    | 20409    | SH | DEFINED | 01 | 0 |
| SUPERIOR WELL SERVICES INC     | COM | 86837X105 | 316    | 23633    | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 46     | 1126     | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 64     | 1565     | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 33     | 815      | SH | DEFINED | 01 | 0 |
| SUPERTEL HOSPITALITYINC VA PFD | PRF | 868526203 | 12     | 1500     | SH | DEFINED | 01 | 1 |
| SUPERTEX INC                   | COM | 868532102 | 259    | 10129    | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 10219  | 612771   | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 202    | 12094    | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 770    | 46196    | SH | DEFINED | 01 | 1 |
| SUPERVALU INC                  | COM | 868536103 | 351    | 21060    | SH | DEFINED | 01 | 1 |
| SUREWEST COMMUNICAT            | COM | 868733106 | 1      | 100      | SH | DEFINED | 01 | 1 |
| SURMODICS INC                  | COM | 868873100 | 266    | 12701    | SH | DEFINED | 01 | 0 |
| SUSQUEHANNA BANCSHARES INC     | COM | 869099101 | 3266   | 332883   | SH | DEFINED | 01 | 0 |
| SUSQUEHANNA BANCSHARES INC     | COM | 869099101 | 10     | 1000     | SH | DEFINED | 01 | 1 |
| SUSSEX BANCORP                 | COM | 869245100 | 1      | 200      | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297199 | 24     | 3243     | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297306 | 26     | 4006     | SH | DEFINED | 01 | 1 |
| SWEDISH EXPT CR CORPELEMENTS L | COM | 870297405 | 80     | 7782     | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297603 | 197    | 27750    | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297801 | 1422   | 186866   | SH | DEFINED | 01 | 1 |
| SWIFT ENERGY CO                | COM | 870738101 | 1978   | 64343    | SH | DEFINED | 01 | 0 |
| SYBASE INC                     | COM | 871130100 | 746    | 16000    | SH | DEFINED | 01 | 0 |
| SYBASE INC                     | COM | 871130100 | 67     | 2050     | SH | DEFINED | 01 | 1 |
| SYBASE INC                     | COM | 871130100 | 28     | 597      | SH | DEFINED | 01 | 1 |
| SYCAMORE NETWORKS INC          | COM | 871206405 | 2083   | 103587   | SH | DEFINED | 01 | 0 |
| SYKES ENTERPRISES INC          | COM | 871237103 | 1789   | 78306    | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                  | COM | 871503108 | 429314 | 25373216 | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SYMANTEC CORP                | COM | 871503108 | 1285   | 75958    | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                | COM | 871503108 | 127    | 7479     | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                | COM | 871503108 | 1989   | 114443   | SH | DEFINED | 01 | 1 |
| SYMANTEC CORP                | COM | 871503108 | 675    | 39894    | SH | DEFINED | 01 | 1 |
| SYMMETRICOM INC              | COM | 871543104 | 245    | 41940    | SH | DEFINED | 01 | 0 |
| SYMMETRY MEDICAL INC         | COM | 871546206 | 416    | 41408    | SH | DEFINED | 01 | 0 |
| SYMYX TECHNOLOGIES INC       | COM | 871555108 | 9      | 2000     | SH | DEFINED | 01 | 1 |
| SYNALLOY CORP DEL            | COM | 871565107 | 0      | 15       | SH | DEFINED | 01 | 1 |
| SYNCHRONOSS TECHNOLOGI       | COM | 87157B103 | 4      | 200      | SH | DEFINED | 01 | 1 |
| SYNAPTICS INC                | COM | 87157D109 | 3654   | 132388   | SH | DEFINED | 01 | 0 |
| SYNAPTICS INC                | COM | 87157D109 | 113    | 4100     | SH | DEFINED | 01 | 1 |
| SYNAPTICS INC                | COM | 87157D109 | 302    | 10943    | SH | DEFINED | 01 | 1 |
| SYNOPSIS INC                 | COM | 871607107 | 465693 | 20817686 | SH | DEFINED | 01 | 0 |
| SYNOPSIS INC                 | COM | 871607107 | 28     | 1270     | SH | DEFINED | 01 | 0 |
| SYNOPSIS INC                 | COM | 871607107 | 3046   | 134792   | SH | DEFINED | 01 | 1 |
| SYNOPSIS INC                 | COM | 871607107 | 10     | 465      | SH | DEFINED | 01 | 1 |
| SYNGENTA ADR EACH REP 1/5TH  | COM | 87160A100 | 52     | 935      | SH | DEFINED | 01 | 1 |
| SYNOVUS FINANCIAL CORP       | COM | 87161C105 | 14818  | 4504085  | SH | DEFINED | 01 | 0 |
| SYNOVUS FINANCIAL CORP       | COM | 87161C105 | 52     | 15745    | SH | DEFINED | 01 | 1 |
| SYNNEX CORP                  | COM | 87162W100 | 1718   | 58099    | SH | DEFINED | 01 | 0 |
| SYNTROLEUM CORP              | COM | 871630109 | 22     | 10273    | SH | DEFINED | 01 | 1 |
| SYNIVERSE HOLDINGS INC       | COM | 87163F106 | 2869   | 147323   | SH | DEFINED | 01 | 0 |
| SYNIVERSE HOLDINGS INC       | COM | 87163F106 | 13     | 650      | SH | DEFINED | 01 | 1 |
| SYPRIS SOLUTIONS INC         | COM | 871655106 | 0      | 2        | SH | DEFINED | 01 | 1 |
| SYSCO CORP                   | COM | 871829107 | 3148   | 106708   | SH | DEFINED | 01 | 0 |
| SYSCO CORP                   | COM | 871829107 | 921    | 31228    | SH | DEFINED | 01 | 0 |
| SYSCO CORP                   | COM | 871829107 | 35295  | 1196429  | SH | DEFINED | 01 | 1 |
| SYSCO CORP                   | COM | 871829107 | 340    | 11518    | SH | DEFINED | 01 | 1 |
| SYSTEMAX INC                 | COM | 871851101 | 1838   | 84577    | SH | DEFINED | 01 | 1 |
| SYSTEMAX INC                 | COM | 871851101 | 2      | 100      | SH | DEFINED | 01 | 1 |
| TCF FINANCIAL CORP           | COM | 872275102 | 628    | 39427    | SH | DEFINED | 01 | 0 |
| TCF FINANCIAL CORP           | COM | 872275102 | 49     | 3068     | SH | DEFINED | 01 | 1 |
| T C PIPELINES VALUE REFL     | COM | 87233Q108 | 12     | 304      | SH | DEFINED | 01 | 1 |
| TD AMERITRADE HOLDING CORP   | COM | 87236Y108 | 825    | 43285    | SH | DEFINED | 01 | 0 |
| TD AMERITRADE HOLDING CORP   | COM | 87236Y108 | 31368  | 1645760  | SH | DEFINED | 01 | 1 |
| TD AMERITRADE HOLDING CORP   | COM | 87236Y108 | 75     | 3917     | SH | DEFINED | 01 | 1 |
| TECO ENERGY INC              | COM | 872375100 | 186    | 11719    | SH | DEFINED | 01 | 0 |
| TECO ENERGY INC              | COM | 872375100 | 296    | 18601    | SH | DEFINED | 01 | 0 |
| TECO ENERGY INC              | COM | 872375100 | 34     | 2116     | SH | DEFINED | 01 | 1 |
| TEL OFFSHORE TR UBI          | COM | 872382106 | 0      | 1        | SH | DEFINED | 01 | 1 |
| TDAX FDS INC TDAX INDEPENDEN | COM | 87238A504 | 5      | 202      | SH | DEFINED | 01 | 1 |
| TF FINL CORP                 | COM | 872391107 | 6      | 300      | SH | DEFINED | 01 | 1 |
| TFS FINL CORP                | COM | 87240R107 | 1      | 100      | SH | DEFINED | 01 | 1 |
| THQ INC                      | COM | 872443403 | 371    | 52905    | SH | DEFINED | 01 | 0 |
| THQ INC                      | COM | 872443403 | 18     | 2600     | SH | DEFINED | 01 | 1 |
| TJX COMPANIES INC            | COM | 872540109 | 13396  | 315030   | SH | DEFINED | 01 | 0 |
| TJX COMPANIES INC            | COM | 872540109 | 925    | 21761    | SH | DEFINED | 01 | 0 |
| TJX COMPANIES INC            | COM | 872540109 | 4705   | 153500   | SH | DEFINED | 01 | 1 |
| TJX COMPANIES INC            | COM | 872540109 | 1348   | 31708    | SH | DEFINED | 01 | 1 |
| TRC COS INC                  | COM | 872625108 | 3      | 1000     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| TRW AUTOMOTIVE HOLDINGS CORP   | COM | 87264S106 | 1104   | 38627   | SH | DEFINED | 01 | 0 |
| TS&W/ CLAYMORE TAX ADVANT      | COM | 87280R108 | 185    | 18000   | SH | DEFINED | 01 | 1 |
| TSR INC                        | COM | 872885108 | 1      | 523     | SH | DEFINED | 01 | 1 |
| TTM TECHNOLOGIES               | COM | 87305R109 | 417    | 46942   | SH | DEFINED | 01 | 0 |
| TTM TECHNOLOGIES               | COM | 87305R109 | 1      | 125     | SH | DEFINED | 01 | 1 |
| T-3 ENERGY SERVICES INC        | COM | 87306E107 | 72     | 2935    | SH | DEFINED | 01 | 0 |
| T-3 ENERGY SERVICES INC        | COM | 87306E107 | 3      | 110     | SH | DEFINED | 01 | 1 |
| TW TELECOM INC                 | COM | 87311L104 | 102    | 5603    | SH | DEFINED | 01 | 1 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM | 874039100 | 12153  | 1158562 | SH | DEFINED | 01 | 0 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM | 874039100 | 7112   | 677923  | SH | DEFINED | 01 | 0 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM | 874039100 | 121    | 11548   | SH | DEFINED | 01 | 0 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM | 874039100 | 1517   | 144822  | SH | DEFINED | 01 | 1 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM | 874039100 | 72     | 6846    | SH | DEFINED | 01 | 1 |
| TAKE-TWO INTERACTIVE SOFTWRE   | COM | 874054109 | 1552   | 157617  | SH | DEFINED | 01 | 0 |
| TAL INTL GROUP INC             | COM | 874083108 | 18     | 900     | SH | DEFINED | 01 | 1 |
| TALBOTS INC                    | COM | 874161102 | 3244   | 250305  | SH | DEFINED | 01 | 0 |
| TALBOTS INC                    | COM | 874161102 | 1      | 100     | SH | DEFINED | 01 | 1 |
| TALECRIS BIOTHERAPE            | COM | 874227101 | 0      | 3       | SH | DEFINED | 01 | 1 |
| TALEO CORP-CLASS A             | COM | 87424N104 | 1405   | 54229   | SH | DEFINED | 01 | 0 |
| TALISMAN ENERGY INC COM NPV IS | COM | 87425E103 | 95     | 5566    | SH | DEFINED | 01 | 1 |
| TAMALPAIS BANCORP              | COM | 87485H103 | 1      | 1272    | SH | DEFINED | 01 | 1 |
| TANDY LEATHER FACTORY IN       | COM | 87538X105 | 4      | 1000    | SH | DEFINED | 01 | 1 |
| TANGER FACTORY OUTLET CENTER   | COM | 875465106 | 1728   | 40036   | SH | DEFINED | 01 | 0 |
| TANGER FACTORY OUTLET CENTER   | COM | 875465106 | 35     | 815     | SH | DEFINED | 01 | 1 |
| TARGACEPT INC                  | COM | 87611R306 | 2      | 105     | SH | DEFINED | 01 | 1 |
| TARGA RES PARTNERS LP COM UNI  | COM | 87611X105 | 13     | 500     | SH | DEFINED | 01 | 1 |
| TARGET CORP                    | COM | 87612E106 | 154479 | 2936873 | SH | DEFINED | 01 | 0 |
| TARGET CORP                    | COM | 87612E106 | 2495   | 47439   | SH | DEFINED | 01 | 0 |
| TARGET CORP                    | COM | 87612E106 | 1247   | 23716   | SH | DEFINED | 01 | 1 |
| TARGETED GENETICS CORP COM N   | COM | 87612M306 | 0      | 200     | SH | DEFINED | 01 | 1 |
| TASEKO MINES COM STKNPV ISIN # | COM | 876511106 | 35     | 6675    | SH | DEFINED | 01 | 1 |
| TASER INTERNATIONAL INC        | COM | 87651B104 | 35     | 6036    | SH | DEFINED | 01 | 1 |
| TATA COMMUNICATIONS LTD ADR EA | COM | 876564105 | 10     | 800     | SH | DEFINED | 01 | 1 |
| TATA MOTORS LTD-SPON ADR       | COM | 876568502 | 659    | 35700   | SH | DEFINED | 01 | 0 |
| TATA MOTORS LTD-SPON ADR       | COM | 876568502 | 1164   | 63075   | SH | DEFINED | 01 | 1 |
| TAUBMAN CENTERS INC            | COM | 876664103 | 4535   | 113597  | SH | DEFINED | 01 | 0 |
| TAUBMAN CENTERS INC            | COM | 876664103 | 2      | 61      | SH | DEFINED | 01 | 1 |
| TAYLOR DEVICES INC             | COM | 877163105 | 2      | 290     | SH | DEFINED | 01 | 1 |
| TEAM INC                       | COM | 878155100 | 95     | 4600    | SH | DEFINED | 01 | 1 |
| TEAMSTAFF INC COM PAR \$.001   | COM | 87815U303 | 0      | 125     | SH | DEFINED | 01 | 1 |
| TECH DATA CORP                 | COM | 878237106 | 761    | 18153   | SH | DEFINED | 01 | 0 |
| TECH DATA CORP                 | COM | 878237106 | 3      | 77      | SH | DEFINED | 01 | 1 |
| TECHNE CORP                    | COM | 878377100 | 42     | 652     | SH | DEFINED | 01 | 0 |
| TECHNITROL INC                 | COM | 878555101 | 127    | 24015   | SH | DEFINED | 01 | 0 |
| TECHNITROL INC                 | COM | 878555101 | 11     | 2000    | SH | DEFINED | 01 | 1 |
| TECK RESOURCES LTD-CLS B       | COM | 878742204 | 20     | 460     | SH | DEFINED | 01 | 0 |
| TECK RESOURCES LTD-CLS B       | COM | 878742204 | 73     | 1676    | SH | DEFINED | 01 | 1 |
| TEKELEC                        | COM | 879101103 | 3400   | 187211  | SH | DEFINED | 01 | 0 |
| TEKELEC                        | COM | 879101103 | 488    | 26864   | SH | DEFINED | 01 | 1 |
| TELE NORTE LESTE PART-ADR      | COM | 879246106 | 242    | 13700   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |                |           |       |         |    |         |    |   |
|--------------------------------|----------------|-----------|-------|---------|----|---------|----|---|
| TELE NORTE LESTE PART-ADR      | COM            | 879246106 | 42    | 2361    | SH | DEFINED | 01 | 1 |
| TELECOM CORP OF NEW ZEALAND AD | COM            | 879278208 | 145   | 18801   | SH | DEFINED | 01 | 1 |
| TELECOM HOLDERS                | TR DEPOSIT COM | 87927P200 | 10    | 400     | SH | DEFINED | 01 | 1 |
| TELECOM ITALIA SPA             | SPONS ADR COM  | 87927Y102 | 1     | 48      | SH | DEFINED | 01 | 1 |
| TELEC                          | BRASILEIRA COM | 879287308 | 0     | 50      | SH | DEFINED | 01 | 1 |
| TELECOMUNICACOES DE SAO PAULO- | COM            | 87929A102 | 22    | 1000    | SH | DEFINED | 01 | 1 |
| TELECOMMUNICATION SYSTEMS-A    | COM            | 87929J103 | 2912  | 397220  | SH | DEFINED | 01 | 0 |
| TELECOMMUNICATION SYSTEMS-A    | COM            | 87929J103 | 52    | 7225    | SH | DEFINED | 01 | 1 |
| TELEDYNE TECHNOLOGIES INC      | COM            | 879360105 | 1504  | 36442   | SH | DEFINED | 01 | 0 |
| TELEDYNE TECHNOLOGIES INC      | COM            | 879360105 | 7     | 165     | SH | DEFINED | 01 | 1 |
| TELEFLEX INC                   | COM            | 879369106 | 2403  | 37510   | SH | DEFINED | 01 | 0 |
| TELEFLEX INC                   | COM            | 879369106 | 7     | 114     | SH | DEFINED | 01 | 1 |
| TELEFONICA SA ADR              | EACH REPR COM  | 879382208 | 351   | 4943    | SH | DEFINED | 01 | 1 |
| TELEFONOS DE MEXICO SAB DE CV  | COM            | 879403707 | 24    | 1580    | SH | DEFINED | 01 | 1 |
| TELEFONOS DE MEXICO-SP ADR L   | COM            | 879403780 | 9223  | 591187  | SH | DEFINED | 01 | 0 |
| TELEFONOS DE MEXICO-SP ADR L   | COM            | 879403780 | 96    | 6147    | SH | DEFINED | 01 | 1 |
| TELEPHONE AND DATA SYSTEMS     | COM            | 879433100 | 273   | 8060    | SH | DEFINED | 01 | 0 |
| TELESTONE                      | TECHNOLOGI COM | 87953J102 | 6     | 320     | SH | DEFINED | 01 | 1 |
| TELIK INC                      | COM            | 87959M109 | 9     | 10487   | SH | DEFINED | 01 | 1 |
| TELLABS INC                    | COM            | 879664100 | 36108 | 4770079 | SH | DEFINED | 01 | 0 |
| TELLABS INC                    | COM            | 879664100 | 193   | 25441   | SH | DEFINED | 01 | 0 |
| TELLABS INC                    | COM            | 879664100 | 16    | 2096    | SH | DEFINED | 01 | 1 |
| TELMEX INTERNACIONAL-ADR       | COM            | 879690105 | 3103  | 160965  | SH | DEFINED | 01 | 0 |
| TELMEX INTERNACIONAL-ADR       | COM            | 879690105 | 96    | 4991    | SH | DEFINED | 01 | 1 |
| TELMEX INTERNACIONALADR EACH R | COM            | 879690204 | 28    | 1480    | SH | DEFINED | 01 | 1 |
| TELULAR CORP                   | COM            | 87970T208 | 0     | 125     | SH | DEFINED | 01 | 1 |
| TEMPLE-INLAND INC              | COM            | 879868107 | 6466  | 316522  | SH | DEFINED | 01 | 0 |
| TEMPLE-INLAND INC              | COM            | 879868107 | 58    | 2820    | SH | DEFINED | 01 | 1 |
| TELETECH HOLDINGS INC          | COM            | 879939106 | 4097  | 239869  | SH | DEFINED | 01 | 0 |
| TEMPLETON DRAGON               | FUND INC COM   | 88018T101 | 220   | 8480    | SH | DEFINED | 01 | 1 |
| TEMPLETON EMERGING             | MKTS FD IN COM | 880191101 | 26    | 1327    | SH | DEFINED | 01 | 1 |
| TEMPLETON EMERGING             | MARKETS IN COM | 880192109 | 68    | 4618    | SH | DEFINED | 01 | 1 |
| TEMPLETON GLOBAL               | INCOME FD COM  | 880198106 | 194   | 19344   | SH | DEFINED | 01 | 1 |
| TEMPLETON RUSSIAN              | AND EAST E COM | 88022F105 | 12    | 586     | SH | DEFINED | 01 | 1 |
| TEMPUR-PEDIC INTERNATIONAL     | COM            | 88023U101 | 775   | 25708   | SH | DEFINED | 01 | 0 |
| TEMPUR-PEDIC INTERNATIONAL     | COM            | 88023U101 | 0     | 3       | SH | DEFINED | 01 | 1 |
| TENARIS SA-ADR                 | COM            | 88031M109 | 36565 | 851530  | SH | DEFINED | 01 | 0 |
| TENARIS SA-ADR                 | COM            | 88031M109 | 53    | 1226    | SH | DEFINED | 01 | 1 |
| TENET HEALTHCARE CORP          | COM            | 88033G100 | 4276  | 747518  | SH | DEFINED | 01 | 0 |
| TENET HEALTHCARE CORP          | COM            | 88033G100 | 340   | 59478   | SH | DEFINED | 01 | 0 |
| TENET HEALTHCARE CORP          | COM            | 88033G100 | 7306  | 1279569 | SH | DEFINED | 01 | 1 |
| TENET HEALTHCARE CORP          | COM            | 88033G100 | 14    | 2400    | SH | DEFINED | 01 | 1 |
| TENNECO INC                    | COM            | 880349105 | 5116  | 216265  | SH | DEFINED | 01 | 0 |
| TENNECO INC                    | COM            | 880349105 | 1     | 44      | SH | DEFINED | 01 | 1 |
| TERADATA CORP                  | COM            | 88076W103 | 662   | 22906   | SH | DEFINED | 01 | 0 |
| TERADATA CORP                  | COM            | 88076W103 | 388   | 13437   | SH | DEFINED | 01 | 0 |
| TERADATA CORP                  | COM            | 88076W103 | 49    | 1750    | SH | DEFINED | 01 | 1 |
| TERADATA CORP                  | COM            | 88076W103 | 22    | 759     | SH | DEFINED | 01 | 1 |
| TERADYNE INC                   | COM            | 880770102 | 3906  | 349645  | SH | DEFINED | 01 | 0 |
| TERADYNE INC                   | COM            | 880770102 | 234   | 20923   | SH | DEFINED | 01 | 0 |
| TEREX CORP                     | COM            | 880779103 | 34493 | 1518756 | SH | DEFINED | 01 | 0 |
| TEREX CORP                     | COM            | 880779103 | 85    | 3726    | SH | DEFINED | 01 | 0 |
| TEREX CORP                     | COM            | 880779103 | 1174  | 51692   | SH | DEFINED | 01 | 1 |
| TERNIUM SA-SPONSORED ADR       | COM            | 880890108 | 21213 | 517040  | SH | DEFINED | 01 | 0 |
| TERNIUM SA-SPONSORED ADR       | COM            | 880890108 | 34917 | 851039  | SH | DEFINED | 01 | 1 |
| TERRA INDUSTRIES INC           | COM            | 880915103 | 1654  | 36150   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| TERRA INDUSTRIES INC          | COM | 880915103 | 13     | 280     | SH | DEFINED | 01 | 1 |
| TERRA NITROGEN CO L P COM UN  | COM | 881005201 | 35     | 464     | SH | DEFINED | 01 | 1 |
| TESCO CORP                    | COM | 88157K101 | 176    | 15063   | SH | DEFINED | 01 | 0 |
| TESCO CORP                    | COM | 88157K101 | 4      | 375     | SH | DEFINED | 01 | 1 |
| TESORO CORP                   | COM | 881609101 | 22464  | 1616111 | SH | DEFINED | 01 | 0 |
| TESORO CORP                   | COM | 881609101 | 418    | 30125   | SH | DEFINED | 01 | 0 |
| TESORO CORP                   | COM | 881609101 | 68     | 4878    | SH | DEFINED | 01 | 1 |
| TEVA PHARMACEUTICAL-SP ADR    | COM | 881624209 | 59556  | 944145  | SH | DEFINED | 01 | 0 |
| TEVA PHARMACEUTICAL-SP ADR    | COM | 881624209 | 8531   | 135242  | SH | DEFINED | 01 | 0 |
| TEVA PHARMACEUTICAL-SP ADR    | COM | 881624209 | 126    | 2000    | SH | DEFINED | 01 | 1 |
| TEVA PHARMACEUTICAL-SP ADR    | COM | 881624209 | 3325   | 52707   | SH | DEFINED | 01 | 1 |
| TETRA TECHNOLOGIES INC        | COM | 88162F105 | 28895  | 2364544 | SH | DEFINED | 01 | 0 |
| TETRA TECHNOLOGIES INC        | COM | 88162F105 | 20     | 1608    | SH | DEFINED | 01 | 0 |
| TETRA TECHNOLOGIES INC        | COM | 88162F105 | 1      | 90      | SH | DEFINED | 01 | 1 |
| TETRA TECH INC                | COM | 88162G103 | 2148   | 93247   | SH | DEFINED | 01 | 0 |
| TETRA TECH INC                | COM | 88162G103 | 36     | 1581    | SH | DEFINED | 01 | 1 |
| TESSERA TECHNOLOGIES INC      | COM | 88164L100 | 3070   | 151400  | SH | DEFINED | 01 | 0 |
| TESSERA TECHNOLOGIES INC      | COM | 88164L100 | 31     | 1507    | SH | DEFINED | 01 | 0 |
| TESSERA TECHNOLOGIES INC      | COM | 88164L100 | 13     | 642     | SH | DEFINED | 01 | 1 |
| TEXAS CAPITAL BANCSHARES INC  | COM | 88224Q107 | 2389   | 125800  | SH | DEFINED | 01 | 0 |
| TEXAS INDUSTRIES INC          | COM | 882491103 | 764    | 22353   | SH | DEFINED | 01 | 0 |
| TEXAS INDUSTRIES INC          | COM | 882491103 | 3      | 100     | SH | DEFINED | 01 | 1 |
| TEXAS INSTRUMENTS INC         | COM | 882508104 | 74100  | 3028232 | SH | DEFINED | 01 | 0 |
| TEXAS INSTRUMENTS INC         | COM | 882508104 | 1674   | 68415   | SH | DEFINED | 01 | 0 |
| TEXAS INSTRUMENTS INC         | COM | 882508104 | 732    | 29907   | SH | DEFINED | 01 | 1 |
| TEXAS ROADHOUSE INC-CLASS A   | COM | 882681109 | 25602  | 1843185 | SH | DEFINED | 01 | 0 |
| TEXAS ROADHOUSE INC-CLASS A   | COM | 882681109 | 15     | 1050    | SH | DEFINED | 01 | 1 |
| TEXTRON INC                   | COM | 883203101 | 14415  | 678981  | SH | DEFINED | 01 | 0 |
| TEXTRON INC                   | COM | 883203101 | 516    | 24308   | SH | DEFINED | 01 | 0 |
| TEXTRON INC                   | COM | 883203101 | 213    | 10040   | SH | DEFINED | 01 | 1 |
| THE BANK HOLDINGS             | COM | 88331E104 | 0      | 1050    | SH | DEFINED | 01 | 1 |
| THERAGENICS CORP              | COM | 883375107 | 53     | 31772   | SH | DEFINED | 01 | 0 |
| THERAGENICS CORP              | COM | 883375107 | 0      | 200     | SH | DEFINED | 01 | 1 |
| THERMO FISHER SCIENTIFIC INC  | COM | 883556102 | 157462 | 3061091 | SH | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC  | COM | 883556102 | 4485   | 87181   | SH | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC  | COM | 883556102 | 1375   | 26731   | SH | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC  | COM | 883556102 | 187297 | 3643229 | SH | DEFINED | 01 | 1 |
| THERMO FISHER SCIENTIFIC INC  | COM | 883556102 | 343    | 6659    | SH | DEFINED | 01 | 1 |
| THOMAS & BETTS CORP           | COM | 884315102 | 20868  | 531785  | SH | DEFINED | 01 | 0 |
| THOMAS & BETTS CORP           | COM | 884315102 | 7      | 181     | SH | DEFINED | 01 | 1 |
| THOMAS PPTYS GROUP INC COM    | COM | 884453101 | 367    | 111188  | SH | DEFINED | 01 | 1 |
| THOMAS WEISEL PARTNERS GROUP  | COM | 884481102 | 768    | 195877  | SH | DEFINED | 01 | 0 |
| THOMPSON CREEK METALS CO      | COM | 884768102 | 14     | 1000    | SH | DEFINED | 01 | 1 |
| THOMSON-REUTERS CO COM NPV IS | COM | 884903105 | 4      | 102     | SH | DEFINED | 01 | 1 |
| THOR INDUSTRIES INC           | COM | 885160101 | 1979   | 65517   | SH | DEFINED | 01 | 0 |
| THOR INDUSTRIES INC           | COM | 885160101 | 3      | 100     | SH | DEFINED | 01 | 1 |
| THORATEC CORP                 | COM | 885175307 | 5266   | 157416  | SH | DEFINED | 01 | 0 |
| THORATEC CORP                 | COM | 885175307 | 4      | 105     | SH | DEFINED | 01 | 1 |
| 3COM CORP                     | COM | 885535104 | 9241   | 1201684 | SH | DEFINED | 01 | 0 |
| 3COM CORP                     | COM | 885535104 | 7      | 934     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| 3SBIO INC-ADR                  | COM | 88575Y105 | 21     | 1663    | SH | DEFINED | 01 | 0 |
| 3M CO                          | COM | 88579Y101 | 121391 | 1452566 | SH | DEFINED | 01 | 0 |
| 3M CO                          | COM | 88579Y101 | 3393   | 40602   | SH | DEFINED | 01 | 0 |
| 3M CO                          | COM | 88579Y101 | 4843   | 57957   | SH | DEFINED | 01 | 1 |
| THRESHOLD PHARMACEUT           | COM | 885807206 | 13     | 7000    | SH | DEFINED | 01 | 1 |
| 3PAR INC                       | COM | 88580F109 | 16     | 1608    | SH | DEFINED | 01 | 0 |
| TIBCO SOFTWARE INC             | COM | 88632Q103 | 59356  | 5501055 | SH | DEFINED | 01 | 0 |
| TIBCO SOFTWARE INC             | COM | 88632Q103 | 919    | 85141   | SH | DEFINED | 01 | 0 |
| TIDEWATER INC                  | COM | 886423102 | 3437   | 72715   | SH | DEFINED | 01 | 0 |
| TIDEWATER INC                  | COM | 886423102 | 2      | 44      | SH | DEFINED | 01 | 1 |
| TIERONE CORP ISIN #US88        | COM | 88650R108 | 14     | 44000   | SH | DEFINED | 01 | 1 |
| TIFFANY & CO                   | COM | 886547108 | 13632  | 287011  | SH | DEFINED | 01 | 0 |
| TIFFANY & CO                   | COM | 886547108 | 536    | 11303   | SH | DEFINED | 01 | 0 |
| TIFFANY & CO                   | COM | 886547108 | 5      | 112     | SH | DEFINED | 01 | 1 |
| TIM HORTONS INC COM NPV ISIN # | COM | 88706M103 | 85     | 2593    | SH | DEFINED | 01 | 1 |
| TIM PARTICIPACOE SA-ADR        | COM | 88706P106 | 133    | 4800    | SH | DEFINED | 01 | 0 |
| TIM PARTICIPACOE SA-ADR        | COM | 88706P106 | 13     | 475     | SH | DEFINED | 01 | 1 |
| TIMBERLAND CO-CL A             | COM | 887100105 | 1956   | 91687   | SH | DEFINED | 01 | 0 |
| TIMBERLAND CO-CL A             | COM | 887100105 | 11     | 500     | SH | DEFINED | 01 | 1 |
| TIME WARNER INC                | COM | 887317303 | 26238  | 839116  | SH | DEFINED | 01 | 0 |
| TIME WARNER INC                | COM | 887317303 | 2299   | 73540   | SH | DEFINED | 01 | 0 |
| TIME WARNER INC                | COM | 887317303 | 396    | 12662   | SH | DEFINED | 01 | 1 |
| TIME WARNER CABLE INC          | COM | 88732J207 | 17315  | 324813  | SH | DEFINED | 01 | 0 |
| TIME WARNER CABLE INC          | COM | 88732J207 | 913    | 17119   | SH | DEFINED | 01 | 0 |
| TIME WARNER CABLE INC          | COM | 88732J207 | 158    | 2963    | SH | DEFINED | 01 | 1 |
| TIMKEN CO                      | COM | 887389104 | 5815   | 193758  | SH | DEFINED | 01 | 0 |
| TIMKEN CO                      | COM | 887389104 | 28     | 920     | SH | DEFINED | 01 | 1 |
| TITAN MACHY INC COM            | COM | 88830R101 | 18     | 1300    | SH | DEFINED | 01 | 1 |
| TITANIUM ASSET MGMT WARRANT    | WT  | 888332558 | 0      | 95000   | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP           | COM | 888339207 | 26     | 1581    | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP           | COM | 888339207 | 45     | 2718    | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP           | COM | 888339207 | 442    | 26670   | SH | DEFINED | 01 | 1 |
| TODD SHIPYARDS CORP            | COM | 889039103 | 33     | 2000    | SH | DEFINED | 01 | 1 |
| TOLL BROS INC                  | COM | 889478103 | 114    | 5501    | SH | DEFINED | 01 | 1 |
| TOLLGRADE COMMUNICATIONS INC   | COM | 889542106 | 77     | 12200   | SH | DEFINED | 01 | 0 |
| TOLLGRADE COMMUNICATIONS INC   | COM | 889542106 | 1      | 100     | SH | DEFINED | 01 | 1 |
| TOMKINS ADR-EACH REPR 4 ORD    | COM | 890030208 | 1      | 75      | SH | DEFINED | 01 | 1 |
| TOMPKINS FINANCIAL CORP        | COM | 890110109 | 333    | 9131    | SH | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM | 891027104 | 26617  | 497451  | SH | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM | 891027104 | 369    | 6905    | SH | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM | 891027104 | 3598   | 67250   | SH | DEFINED | 01 | 1 |
| TORCHMARK CORP                 | COM | 891027104 | 383    | 7152    | SH | DEFINED | 01 | 1 |
| TORM A/S ADR EACH REP 1 ORD    | COM | 891072100 | 1      | 100     | SH | DEFINED | 01 | 1 |
| TORO CO                        | COM | 891092108 | 5364   | 109082  | SH | DEFINED | 01 | 0 |
| TORO CO                        | COM | 891092108 | 13     | 266     | SH | DEFINED | 01 | 1 |
| TORONTO-DOMINION BANK          | COM | 891160509 | 5045   | 67648   | SH | DEFINED | 01 | 0 |
| TORONTO-DOMINION BANK          | COM | 891160509 | 232    | 3105    | SH | DEFINED | 01 | 1 |
| TORTOISE ENERGY INFRASTRUC     | COM | 89147L100 | 195    | 6195    | SH | DEFINED | 01 | 1 |
| TORTOISE CAP RES CORP          | COM | 89147N304 | 35     | 4750    | SH | DEFINED | 01 | 1 |
| TORTOISE NORTH AMERNENERGY COR | COM | 89147T103 | 23     | 1000    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| TORTOISE ENERGY CAP CORP COM | COM | 89147U100 | 1      | 45      | SH | DEFINED | 01 | 1 |
| TOTAL SA-SPON ADR            | COM | 89151E109 | 27933  | 481432  | SH | DEFINED | 01 | 0 |
| TOTAL SA-SPON ADR            | COM | 89151E109 | 309    | 5318    | SH | DEFINED | 01 | 1 |
| TOWER GROUP INC              | COM | 891777104 | 1004   | 45283   | SH | DEFINED | 01 | 0 |
| TOWER GROUP INC              | COM | 891777104 | 83     | 2600    | SH | DEFINED | 01 | 1 |
| TOWER GROUP INC              | COM | 891777104 | 4      | 170     | SH | DEFINED | 01 | 1 |
| TOTAL SYSTEM SERVICES INC    | COM | 891906109 | 2224   | 142009  | SH | DEFINED | 01 | 0 |
| TOTAL SYSTEM SERVICES INC    | COM | 891906109 | 392    | 25013   | SH | DEFINED | 01 | 0 |
| TOTAL SYSTEM SERVICES INC    | COM | 891906109 | 46     | 2930    | SH | DEFINED | 01 | 1 |
| TOWNE BANK                   | COM | 89214P109 | 319    | 22850   | SH | DEFINED | 01 | 0 |
| TOWNE BANK                   | COM | 89214P109 | 2      | 150     | SH | DEFINED | 01 | 1 |
| TOYOTA MOTOR CORP ADR-EACH R | COM | 892331307 | 1009   | 12549   | SH | DEFINED | 01 | 1 |
| TRACTOR SUPPLY COMPANY       | COM | 892356106 | 1903   | 32786   | SH | DEFINED | 01 | 0 |
| TRACTOR SUPPLY COMPANY       | COM | 892356106 | 60     | 1035    | SH | DEFINED | 01 | 0 |
| TRACTOR SUPPLY COMPANY       | COM | 892356106 | 18     | 315     | SH | DEFINED | 01 | 1 |
| TRADESTATION GROUP INC       | COM | 89267P105 | 260    | 37069   | SH | DEFINED | 01 | 0 |
| TRAILER BRIDGE INC           | COM | 892782103 | 0      | 96      | SH | DEFINED | 01 | 1 |
| TRANSACT TECH INC            | COM | 892918103 | 37     | 5000    | SH | DEFINED | 01 | 1 |
| TRANSAMERICA INCOME SHS INC  | COM | 893506105 | 2      | 100     | SH | DEFINED | 01 | 1 |
| TRANSATLANTIC HOLDINGS INC   | COM | 893521104 | 44557  | 843844  | SH | DEFINED | 01 | 0 |
| TRANSCANADA CORP             | COM | 89353D107 | 9598   | 261090  | SH | DEFINED | 01 | 0 |
| TRANSCANADA CORP             | COM | 89353D107 | 193    | 5249    | SH | DEFINED | 01 | 1 |
| TRAVELCENTERS AMER LLC       | COM | 894174101 | 1      | 255     | SH | DEFINED | 01 | 1 |
| TRAVELERS COS INC/THE        | COM | 89417E109 | 293139 | 5434445 | SH | DEFINED | 01 | 0 |
| TRAVELERS COS INC/THE        | COM | 89417E109 | 3276   | 60734   | SH | DEFINED | 01 | 0 |
| TRAVELERS COS INC/THE        | COM | 89417E109 | 1843   | 34167   | SH | DEFINED | 01 | 0 |
| TRAVELERS COS INC/THE        | COM | 89417E109 | 175346 | 3251331 | SH | DEFINED | 01 | 1 |
| TRAVELERS COS INC/THE        | COM | 89417E109 | 914    | 16951   | SH | DEFINED | 01 | 1 |
| TREDEGAR CORP                | COM | 894650100 | 414    | 24264   | SH | DEFINED | 01 | 0 |

|                                |     |           |       |        |    |         |    |   |
|--------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| TREE COM INC COM               | COM | 894675107 | 5     | 559    | SH | DEFINED | 01 | 1 |
| TREEHOUSE FOODS INC            | COM | 89469A104 | 1269  | 28934  | SH | DEFINED | 01 | 0 |
| TREEHOUSE FOODS INC            | COM | 89469A104 | 30    | 678    | SH | DEFINED | 01 | 1 |
| TREX INC                       | COM | 89531P105 | 7     | 307    | SH | DEFINED | 01 | 1 |
| TRI CONTINENTAL CORPCOM        | COM | 895436103 | 44    | 3594   | SH | DEFINED | 01 | 1 |
| TRI VY CORP                    | COM | 895735108 | 11    | 5507   | SH | DEFINED | 01 | 1 |
| TRIDENT MICROSYSTEMSINC        | COM | 895919108 | 2     | 1370   | SH | DEFINED | 01 | 1 |
| TRICO BANCSHARES               | COM | 896095106 | 466   | 23440  | SH | DEFINED | 01 | 0 |
| TRICO BANCSHARES               | COM | 896095106 | 3     | 171    | SH | DEFINED | 01 | 1 |
| TRIMBLE NAVIGATION LTD         | COM | 896239100 | 95    | 3308   | SH | DEFINED | 01 | 1 |
| TRINA SOLAR LIMITED ADR REP 50 | COM | 89628E104 | 10    | 400    | SH | DEFINED | 01 | 1 |
| TRINITY BIOTECH PLC ADR EACH R | COM | 896438306 | 0     | 5      | SH | DEFINED | 01 | 1 |
| TRINITY INDUSTRIES INC         | COM | 896522109 | 7491  | 375278 | SH | DEFINED | 01 | 0 |
| TRINITY INDUSTRIES INC         | COM | 896522109 | 40    | 2005   | SH | DEFINED | 01 | 1 |
| TRIPLE-S MANAGEMENT CORP-B     | COM | 896749108 | 791   | 44576  | SH | DEFINED | 01 | 0 |
| TRIQUINT SEMICONDUCTOR INC     | COM | 89674K103 | 945   | 135017 | SH | DEFINED | 01 | 0 |
| TRIQUINT SEMICONDUCTOR INC     | COM | 89674K103 | 160   | 22880  | SH | DEFINED | 01 | 1 |
| TRIUMPH GROUP INC              | COM | 896818101 | 11871 | 169383 | SH | DEFINED | 01 | 0 |
| TROPICANA ENTERTAINMENT LLC    | COM | 89708X204 | 0     | 4284   | SH | DEFINED | 01 | 0 |
| TRUE RELIGION APPAREL INC      | COM | 89784N104 | 928   | 30577  | SH | DEFINED | 01 | 0 |
| TRUE RELIGION APPAREL INC      | COM | 89784N104 | 151   | 4965   | SH | DEFINED | 01 | 1 |
| TRUEBLUE INC                   | COM | 89785X101 | 1208  | 77980  | SH | DEFINED | 01 | 0 |
| TRUEBLUE INC                   | COM | 89785X101 | 249   | 16054  | SH | DEFINED | 01 | 1 |
| TRUSTCO BANK CORP NY           | COM | 898349105 | 2095  | 339623 | SH | DEFINED | 01 | 0 |
| TRUSTCO BANK CORP NY           | COM | 898349105 | 10    | 1600   | SH | DEFINED | 01 | 1 |
| TRUSTMARK CORP                 | COM | 898402102 | 2896  | 118579 | SH | DEFINED | 01 | 0 |
| TRUSTMARK CORP                 | COM | 898402102 | 81    | 3300   | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                    |           |        |            |              |
|------------------------------------|-----------|--------|------------|--------------|
| TUCOWS INC COM NPV ISIN #US89 COM  | 898697107 | 0      | 200 SH     | DEFINED 01 1 |
| TUESDAY MORNING CORP COM           | 899035505 | 252    | 38269 SH   | DEFINED 01 0 |
| TUFECO TECHNOLOGIES INC COM        | 899040109 | 2      | 400 SH     | DEFINED 01 1 |
| TUPPERWARE BRANDS CORP COM         | 899896104 | 22752  | 471857 SH  | DEFINED 01 0 |
| TUPPERWARE BRANDS CORP COM         | 899896104 | 39     | 975 SH     | DEFINED 01 1 |
| TUPPERWARE BRANDS CORP COM         | 899896104 | 34     | 715 SH     | DEFINED 01 1 |
| TURKCELL ILETISIM HIZMET-ADR COM   | 900111204 | 32     | 2100 SH    | DEFINED 01 0 |
| TUTOR PERINI CORP COM              | 901109108 | 3837   | 176404 SH  | DEFINED 01 0 |
| TUTOR PERINI CORP COM              | 901109108 | 571    | 26274 SH   | DEFINED 01 1 |
| 21ST CENTURY HLDG CO COM           | 90136Q100 | 6      | 1488 SH    | DEFINED 01 1 |
| II-VI INC COM                      | 902104108 | 697    | 20595 SH   | DEFINED 01 0 |
| II-VI INC COM                      | 902104108 | 4      | 110 SH     | DEFINED 01 1 |
| TYLER TECHNOLOGIES INC COM         | 902252105 | 430    | 22931 SH   | DEFINED 01 0 |
| TYLER TECHNOLOGIES INC COM         | 902252105 | 4      | 200 SH     | DEFINED 01 1 |
| TYSON FOODS INC-CL A COM           | 902494103 | 175076 | 9141890 SH | DEFINED 01 0 |
| TYSON FOODS INC-CL A COM           | 902494103 | 437    | 22836 SH   | DEFINED 01 0 |
| TYSON FOODS INC-CL A COM           | 902494103 | 71     | 3697 SH    | DEFINED 01 1 |
| UAL CORP COM                       | 902549807 | 46903  | 2399090 SH | DEFINED 01 0 |
| UAL CORP COM                       | 902549807 | 77     | 3924 SH    | DEFINED 01 0 |
| UAL CORP COM                       | 902549807 | 24     | 1207 SH    | DEFINED 01 1 |
| UBS AG JERSEY E TRACS LKD COM      | 902641786 | 7      | 350 SH     | DEFINED 01 1 |
| UDR INC COM                        | 902653104 | 228    | 12931 SH   | DEFINED 01 1 |
| UFP TECHNOLOGIES INC COM           | 902673102 | 41     | 4000 SH    | DEFINED 01 0 |
| UGI CORP COM                       | 902681105 | 287    | 10798 SH   | DEFINED 01 0 |
| UGI CORP COM                       | 902681105 | 88     | 3328 SH    | DEFINED 01 1 |
| UIL HOLDINGS CORP COM              | 902748102 | 8108   | 294850 SH  | DEFINED 01 0 |
| UIL HOLDINGS CORP COM              | 902748102 | 20     | 733 SH     | DEFINED 01 1 |
| UMB FINANCIAL CORP COM             | 902788108 | 6394   | 157491 SH  | DEFINED 01 0 |
| U.S. GLOBAL INVESTORS INC-A COM    | 902952100 | 24     | 2378 SH    | DEFINED 01 0 |
| U.S. GLOBAL INVESTORS INC-A COM    | 902952100 | 6      | 624 SH     | DEFINED 01 1 |
| US BANCORP COM                     | 902973304 | 138979 | 5369992 SH | DEFINED 01 0 |
| US BANCORP COM                     | 902973304 | 2920   | 112820 SH  | DEFINED 01 0 |
| US BANCORP COM                     | 902973304 | 3099   | 119763 SH  | DEFINED 01 1 |
| UQM TECHNOLOGIES INC COM           | 903213106 | 3      | 662 SH     | DEFINED 01 1 |
| URS CORP COM                       | 903236107 | 731    | 14726 SH   | DEFINED 01 0 |
| URS CORP COM                       | 903236107 | 2491   | 50620 SH   | DEFINED 01 1 |
| URS CORP COM                       | 903236107 | 8      | 169 SH     | DEFINED 01 1 |
| USA TECHNOLOGIES INCCOM NO PAR COM | 90328S500 | 0      | 60 SH      | DEFINED 01 1 |
| USG CORP COM                       | 903293405 | 82     | 4796 SH    | DEFINED 01 1 |
| USEC INC COM                       | 90333E108 | 10566  | 1831164 SH | DEFINED 01 0 |
| USEC INC COM                       | 90333E108 | 9      | 1585 SH    | DEFINED 01 1 |
| U.S. PHYSICAL THERAPY INC COM      | 90337L108 | 59     | 3950 SH    | DEFINED 01 1 |
| U.S. PHYSICAL THERAPY INC COM      | 90337L108 | 3      | 169 SH     | DEFINED 01 1 |
| USA MOBILITY INC COM               | 90341G103 | 754    | 59484 SH   | DEFINED 01 0 |
| US AIRWAYS GROUP INC COM           | 90341W108 | 35605  | 4844611 SH | DEFINED 01 0 |
| US AIRWAYS GROUP INC COM           | 90341W108 | 66     | 9014 SH    | DEFINED 01 0 |
| US AIRWAYS GROUP INC COM           | 90341W108 | 1      | 82 SH      | DEFINED 01 1 |
| ULTA SALON COSMETICS & FRAGR COM   | 90384S303 | 2104   | 93040 SH   | DEFINED 01 0 |
| ULTA SALON COSMETICS & FRAGR COM   | 90384S303 | 14     | 600 SH     | DEFINED 01 1 |
| ULTIMATE SOFTWARE GROUP INC COM    | 90385D107 | 485    | 14707 SH   | DEFINED 01 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ULTIMATE SOFTWARE GROUP INC    | COM | 90385D107 | 2      | 50      | SH | DEFINED | 01 | 1 |
| ULTRA CLEAN HOLDINGS           | COM | 90385V107 | 17     | 2000    | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 17167  | 368152  | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 3009   | 64520   | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 110    | 2364    | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 36428  | 781890  | SH | DEFINED | 01 | 1 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 124    | 2655    | SH | DEFINED | 01 | 1 |
| ULTRAPAR PARTICIPAC            | COM | 90400P101 | 54     | 1106    | SH | DEFINED | 01 | 1 |
| ULTRATECH INC                  | COM | 904034105 | 253    | 18608   | SH | DEFINED | 01 | 0 |
| UMPQUA HOLDINGS CORP           | COM | 904214103 | 1254   | 94599   | SH | DEFINED | 01 | 0 |
| UMPQUA HOLDINGS CORP           | COM | 904214103 | 131    | 9854    | SH | DEFINED | 01 | 1 |
| UNDER ARMOUR INC-CLASS A       | COM | 904311107 | 2208   | 75119   | SH | DEFINED | 01 | 1 |
| UNDER ARMOUR INC-CLASS A       | COM | 904311107 | 165    | 5603    | SH | DEFINED | 01 | 1 |
| UNIFI INC                      | COM | 904677101 | 27     | 7540    | SH | DEFINED | 01 | 1 |
| UNIFIRST CORP/MA               | COM | 904708104 | 4235   | 82228   | SH | DEFINED | 01 | 0 |
| UNILEVER PLC ADS-EA REPR 1 ORD | COM | 904767704 | 464    | 15850   | SH | DEFINED | 01 | 1 |
| UNILEVER N V -NY SHARES        | COM | 904784709 | 9540   | 316300  | SH | DEFINED | 01 | 0 |
| UNILEVER N V -NY SHARES        | COM | 904784709 | 195    | 6450    | SH | DEFINED | 01 | 1 |
| UNION PACIFIC CORP             | COM | 907818108 | 164994 | 2250898 | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 2878   | 39267   | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 2020   | 27552   | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 65044  | 887377  | SH | DEFINED | 01 | 1 |
| UNION PACIFIC CORP             | COM | 907818108 | 1501   | 20481   | SH | DEFINED | 01 | 1 |
| UNISOURCE ENERGY CORP CO       | COM | 909205106 | 5193   | 165166  | SH | DEFINED | 01 | 0 |
| UNISOURCE ENERGY CORP CO       | COM | 909205106 | 1      | 40      | SH | DEFINED | 01 | 1 |
| UNISYS CORP                    | COM | 909214306 | 1542   | 44182   | SH | DEFINED | 01 | 0 |
| UNISYS CORP                    | COM | 909214306 | 12     | 356     | SH | DEFINED | 01 | 1 |
| UNIT CORP                      | COM | 909218109 | 1149   | 27174   | SH | DEFINED | 01 | 0 |
| UNITED COMMUNITY BANKS/GA      | COM | 90984P105 | 4103   | 930440  | SH | DEFINED | 01 | 0 |
| UNITED COMMUNITY BANKS/GA      | COM | 90984P105 | 0      | 3       | SH | DEFINED | 01 | 1 |
| UNITED BANKSHARES INC          | COM | 909907107 | 1019   | 38881   | SH | DEFINED | 01 | 0 |
| UNITED BANKSHARES INC          | COM | 909907107 | 229    | 8720    | SH | DEFINED | 01 | 1 |
| UNITED FIRE & CASUALTY CO      | COM | 910331107 | 237    | 13179   | SH | DEFINED | 01 | 0 |
| UNITED FIRE & CASUALTY CO      | COM | 910331107 | 7      | 400     | SH | DEFINED | 01 | 1 |
| UNITED MICROELECTRON-SP ADR    | COM | 910873405 | 15     | 4048    | SH | DEFINED | 01 | 1 |
| UNITED NATURAL FOODS INC       | COM | 911163103 | 1101   | 39127   | SH | DEFINED | 01 | 0 |
| UNITED NATURAL FOODS INC       | COM | 911163103 | 7      | 241     | SH | DEFINED | 01 | 1 |
| UNITED ONLINE INC              | COM | 911268100 | 705    | 94302   | SH | DEFINED | 01 | 0 |
| UNITED ONLINE INC              | COM | 911268100 | 31     | 4200    | SH | DEFINED | 01 | 1 |
| UNITED PARCEL SERVICE-CL B     | COM | 911312106 | 99512  | 1544967 | SH | DEFINED | 01 | 0 |
| UNITED PARCEL SERVICE-CL B     | COM | 911312106 | 3829   | 59447   | SH | DEFINED | 01 | 0 |
| UNITED PARCEL SERVICE-CL B     | COM | 911312106 | 3159   | 49043   | SH | DEFINED | 01 | 1 |
| UNITED RENTALS INC             | COM | 911363109 | 327    | 34826   | SH | DEFINED | 01 | 0 |
| UNITED RENTALS INC             | COM | 911363109 | 2060   | 219682  | SH | DEFINED | 01 | 1 |
| UNITED RENTALS INC             | COM | 911363109 | 9      | 1000    | SH | DEFINED | 01 | 1 |
| UNITED STATES CELLULAR C       | COM | 911684108 | 83     | 1994    | SH | DEFINED | 01 | 1 |
| UNITED STS GASOLINE FD LP      | COM | 91201T102 | 60     | 1585    | SH | DEFINED | 01 | 1 |
| U.S. GOLD CORPORATIO           | COM | 912023207 | 0      | 10      | SH | DEFINED | 01 | 1 |
| UNITED STS HEATING OIL FD LP   | COM | 91204P107 | 5      | 185     | SH | DEFINED | 01 | 1 |
| UNITED STS NAT GAS FD LP UNIT  | COM | 912318102 | 1455   | 210604  | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| UNITED STS OIL FD LPUNITS    | COM | 91232N108 | 1398   | 34707   | SH | DEFINED | 01 | 1 |
| U STORE IT TR                | COM | 91274F104 | 40     | 5600    | SH | DEFINED | 01 | 1 |
| UNITED STATES STEEL CORP     | COM | 912909108 | 136801 | 2153668 | SH | DEFINED | 01 | 0 |
| UNITED STATES STEEL CORP     | COM | 912909108 | 894    | 14077   | SH | DEFINED | 01 | 0 |
| UNITED STATES STEEL CORP     | COM | 912909108 | 533    | 8391    | SH | DEFINED | 01 | 1 |
| UNITED STATIONERS INC        | COM | 913004107 | 3704   | 62932   | SH | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP     | COM | 913017109 | 169008 | 2295935 | SH | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP     | COM | 913017109 | 4471   | 60730   | SH | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP     | COM | 913017109 | 148    | 2000    | SH | DEFINED | 01 | 1 |
| UNITED TECHNOLOGIES CORP     | COM | 913017109 | 2706   | 36756   | SH | DEFINED | 01 | 1 |
| UNITED THERAPEUTICS CORP DEL | COM | 91307C102 | 4      | 80      | SH | DEFINED | 01 | 1 |
| UNITEDHEALTH GROUP INC       | COM | 91324P102 | 98544  | 3016346 | SH | DEFINED | 01 | 0 |
| UNITEDHEALTH GROUP INC       | COM | 91324P102 | 2279   | 69743   | SH | DEFINED | 01 | 0 |
| UNITEDHEALTH GROUP INC       | COM | 91324P102 | 37628  | 1152128 | SH | DEFINED | 01 | 1 |
| UNITEDHEALTH GROUP INC       | COM | 91324P102 | 1888   | 57788   | SH | DEFINED | 01 | 1 |
| UNITRIN INC                  | COM | 913275103 | 2375   | 84659   | SH | DEFINED | 01 | 0 |
| UNITRIN INC                  | COM | 913275103 | 56     | 2000    | SH | DEFINED | 01 | 1 |
| UNIVERSAL AMERICAN CORP      | COM | 913377107 | 812    | 52707   | SH | DEFINED | 01 | 0 |
| UNIVERSAL CORP/VA            | COM | 913456109 | 3496   | 66351   | SH | DEFINED | 01 | 0 |
| UNIVERSAL DISPLAY CORP       | COM | 91347P105 | 223    | 18969   | SH | DEFINED | 01 | 0 |
| UNIVERSAL DISPLAY CORP       | COM | 91347P105 | 4      | 300     | SH | DEFINED | 01 | 1 |
| UNIVERSAL ELECTRONICS INC    | COM | 913483103 | 3649   | 163377  | SH | DEFINED | 01 | 0 |
| UNIVERSAL FOREST PRODUCTS    | COM | 913543104 | 2746   | 71325   | SH | DEFINED | 01 | 0 |
| UNIVERSAL FOREST PRODUCTS    | COM | 913543104 | 6      | 160     | SH | DEFINED | 01 | 1 |
| UNIVERSAL HEALTH RLTY INCOME | COM | 91359E105 | 141    | 3998    | SH | DEFINED | 01 | 0 |
| UNIVERSAL INS HLDGS INC      | COM | 91359V107 | 11     | 2100    | SH | DEFINED | 01 | 0 |
| UNIVERSAL HEALTH SERVICES-B  | COM | 913903100 | 16755  | 477483  | SH | DEFINED | 01 | 0 |
| UNIVERSAL HEALTH SERVICES-B  | COM | 913903100 | 2      | 68      | SH | DEFINED | 01 | 1 |
| UNIVERSAL TECHNICAL INSTITUT | COM | 913915104 | 374    | 16398   | SH | DEFINED | 01 | 0 |
| UNUM GROUP                   | COM | 91529Y106 | 172987 | 6983381 | SH | DEFINED | 01 | 0 |

|                                 |     |           |       |         |    |         |    |   |
|---------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| UNUM GROUP                      | COM | 91529Y106 | 261   | 10527   | SH | DEFINED | 01 | 0 |
| UNUM GROUP                      | COM | 91529Y106 | 35    | 1407    | SH | DEFINED | 01 | 1 |
| URANERZ ENERGY CORPORATIO       | COM | 91688T104 | 4     | 2200    | SH | DEFINED | 01 | 1 |
| URANIUM ENERGY CORP COM         | COM | 916896103 | 4     | 1192    | SH | DEFINED | 01 | 1 |
| URANIUM RES INC COM PAR \$0.001 | COM | 916901507 | 8     | 11400   | SH | DEFINED | 01 | 1 |
| URBAN OUTFITTERS INC            | COM | 917047102 | 13729 | 360995  | SH | DEFINED | 01 | 0 |
| URBAN OUTFITTERS INC            | COM | 917047102 | 570   | 14993   | SH | DEFINED | 01 | 0 |
| URBAN OUTFITTERS INC            | COM | 917047102 | 8     | 201     | SH | DEFINED | 01 | 1 |
| URSTADT BIDDLE PPTYS            | COM | 917286106 | 2     | 136     | SH | DEFINED | 01 | 1 |
| URSTADT BIDDLE - CLASS A        | COM | 917286205 | 559   | 35371   | SH | DEFINED | 01 | 0 |
| UTSTARCOM INC                   | COM | 918076100 | 4     | 1600    | SH | DEFINED | 01 | 1 |
| VCA ANTECH INC                  | COM | 918194101 | 26    | 922     | SH | DEFINED | 01 | 0 |
| VCA ANTECH INC                  | COM | 918194101 | 37    | 1335    | SH | DEFINED | 01 | 1 |
| VF CORP                         | COM | 918204108 | 34612 | 431836  | SH | DEFINED | 01 | 0 |
| VF CORP                         | COM | 918204108 | 295   | 3683    | SH | DEFINED | 01 | 0 |
| VF CORP                         | COM | 918204108 | 25    | 425     | SH | DEFINED | 01 | 1 |
| VF CORP                         | COM | 918204108 | 31    | 386     | SH | DEFINED | 01 | 1 |
| VAALCO ENERGY INC COM NEW       | COM | 91851C201 | 5     | 1000    | SH | DEFINED | 01 | 1 |
| VAIL RESORTS INC                | COM | 91879Q109 | 4     | 100     | SH | DEFINED | 01 | 1 |
| VALASSIS COMMUNICATIONS INC     | COM | 918866104 | 30551 | 1097800 | SH | DEFINED | 01 | 0 |
| VALHI INC NEW                   | COM | 918905100 | 2     | 107     | SH | DEFINED | 01 | 1 |
| VALENCE TECHNOLOGY INC          | COM | 918914102 | 0     | 510     | SH | DEFINED | 01 | 1 |
| VALEANT PHARMACEUT              | COM | 91911X104 | 1340  | 31217   | SH | DEFINED | 01 | 1 |
| VALE SA-SP ADR                  | COM | 91912E105 | 29925 | 929583  | SH | DEFINED | 01 | 0 |
| VALE SA-SP ADR                  | COM | 91912E105 | 64138 | 1992499 | SH | DEFINED | 01 | 0 |
| VALE SA-SP ADR                  | COM | 91912E105 | 75    | 2322    | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| VALE SA-SP ADR                 | COM | 91912E105 | 5191   | 161478  | SH | DEFINED | 01 | 1 |
| VALE SA-SP ADR                 | COM | 91912E105 | 333    | 10341   | SH | DEFINED | 01 | 1 |
| VALE SA-SP PEF ADR             | COM | 91912E204 | 1027   | 37000   | SH | DEFINED | 01 | 0 |
| VALE SA-SP PEF ADR             | COM | 91912E204 | 3924   | 141341  | SH | DEFINED | 01 | 0 |
| VALE SA-SP PEF ADR             | COM | 91912E204 | 170869 | 6259922 | SH | DEFINED | 01 | 1 |
| VALE SA-SP PEF ADR             | COM | 91912E204 | 4      | 142     | SH | DEFINED | 01 | 1 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 119287 | 6054877 | SH | DEFINED | 01 | 0 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 876    | 44426   | SH | DEFINED | 01 | 0 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 383    | 19427   | SH | DEFINED | 01 | 1 |
| VALLEY NATIONAL BANCORP        | COM | 919794107 | 10     | 678     | SH | DEFINED | 01 | 1 |
| VALMONT INDUSTRIES             | COM | 920253101 | 77     | 725     | SH | DEFINED | 01 | 1 |
| VALMONT INDUSTRIES             | COM | 920253101 | 29     | 345     | SH | DEFINED | 01 | 1 |
| VALSPAR CORP                   | COM | 920355104 | 15     | 575     | SH | DEFINED | 01 | 1 |
| VALSPAR CORP                   | COM | 920355104 | 117    | 3953    | SH | DEFINED | 01 | 1 |
| VALUECLICK INC                 | COM | 92046N102 | 2336   | 230360  | SH | DEFINED | 01 | 0 |
| VALUECLICK INC                 | COM | 92046N102 | 1      | 131     | SH | DEFINED | 01 | 1 |
| VAN KAMPEN HIGH INCOME TR      | COM | 920913506 | 104    | 6552    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL MU | COM | 920919107 | 123    | 8873    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL OH | COM | 920923109 | 377    | 25000   | SH | DEFINED | 01 | 1 |
| VAN KAMPEN MERRIT TR INSD MU   | COM | 920928108 | 13     | 1000    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL TR | COM | 920929106 | 18     | 1276    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL TR | COM | 920931102 | 48     | 3370    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN MUN OPPORTUNIT      | COM | 920935103 | 98     | 6974    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN BOND FUNDFMRLY VAN  | COM | 920955101 | 24     | 1200    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERN CAPSR INCOME  | COM | 920961109 | 283    | 55397   | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL AD | COM | 92112K107 | 41     | 3363    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL SE | COM | 92112M103 | 68     | 5590    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN AMERICAN CAPITAL MA | COM | 92112R102 | 27     | 2000    | SH | DEFINED | 01 | 1 |
| VAN KAMPEN DYNAMIC CR OPPORTU  | COM | 921166104 | 51     | 4000    | SH | DEFINED | 01 | 1 |
| VANCEINFO TECHNOLOGI           | COM | 921564100 | 22     | 1000    | SH | DEFINED | 01 | 1 |
| VANGUARD SPECIALIZEDPORTFOLIOS | COM | 921908844 | 3541   | 72508   | SH | DEFINED | 01 | 1 |
| VANGUARD WORLD FD MEGA CAP 3   | COM | 921910840 | 20     | 535     | SH | DEFINED | 01 | 1 |
| VANGUARD WORLD FD MEGA CAP 3   | COM | 921910873 | 24     | 600     | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FD INC LON   | COM | 921937793 | 80     | 1042    | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FDINC INTERM | COM | 921937819 | 471    | 5870    | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FDINC SHORT  | COM | 921937827 | 2559   | 31988   | SH | DEFINED | 01 | 1 |
| VANGUARD TOTAL BD MARKET       | COM | 921937835 | 17958  | 226750  | SH | DEFINED | 01 | 0 |
| VANGUARD TOTAL BD MARKET       | COM | 921937835 | 42012  | 530460  | SH | DEFINED | 01 | 1 |
| VANGUARD EUROPE PACIFIC ETF    | COM | 921943858 | 15904  | 459389  | SH | DEFINED | 01 | 0 |
| VANGUARD EUROPE PACIFIC ETF    | COM | 921943858 | 3221   | 93027   | SH | DEFINED | 01 | 1 |
| VANGUARD WHITEHALL FDS HIGH D  | COM | 921946406 | 192    | 4857    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FDSF | COM | 922042718 | 107    | 1249    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FDS  | COM | 922042742 | 637    | 14310   | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042775 | 2042   | 45951   | SH | DEFINED | 01 | 1 |
| VANGUARD EMERGING MKT ETF      | COM | 922042858 | 86518  | 2051113 | SH | DEFINED | 01 | 0 |
| VANGUARD EMERGING MKT ETF      | COM | 922042858 | 9756   | 231462  | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042866 | 201    | 3687    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042874 | 289    | 6012    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A108 | 93     | 1777    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A207 | 1228   | 17592   | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                          |            |     |           |        |         |    |         |    |   |
|--------------------------|------------|-----|-----------|--------|---------|----|---------|----|---|
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A306 | 1848   | 21999   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A405 | 271    | 8363    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A504 | 1547   | 27298   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A603 | 26     | 452     | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A702 | 3285   | 58474   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A801 | 56     | 794     | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A876 | 527    | 8376    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR          | INDEX FDS  | COM | 92204A884 | 3      | 48      | SH | DEFINED | 01 | 1 |
| VANGUARD NAT RES LLC     | COM UNIT R | COM | 92205F106 | 243    | 10095   | SH | DEFINED | 01 | 1 |
| VANGUARD SHORT TERM      | COPORATE B | COM | 92206C409 | 67     | 880     | SH | DEFINED | 01 | 1 |
| VANGUARD LONG TERM       | CORPORATE  | COM | 92206C813 | 13     | 172     | SH | DEFINED | 01 | 1 |
| VARDE INV PARTNER LP     |            | LP  | 922155999 | 1465   | 998523  | SH | DEFINED | 01 | 0 |
| VARIAN INC               |            | COM | 922206107 | 1      | 28      | SH | DEFINED | 01 | 1 |
| VARIAN SEMICONDUCTOR     | EQUIP      | COM | 922207105 | 29309  | 884945  | SH | DEFINED | 01 | 0 |
| VARIAN SEMICONDUCTOR     | EQUIP      | COM | 922207105 | 882    | 26638   | SH | DEFINED | 01 | 1 |
| VARIAN MEDICAL SYSTEMS   | INC        | COM | 92220P105 | 8596   | 155364  | SH | DEFINED | 01 | 0 |
| VARIAN MEDICAL SYSTEMS   | INC        | COM | 92220P105 | 362    | 6557    | SH | DEFINED | 01 | 0 |
| VARIAN MEDICAL SYSTEMS   | INC        | COM | 92220P105 | 6961   | 149200  | SH | DEFINED | 01 | 1 |
| VARIAN MEDICAL SYSTEMS   | INC        | COM | 92220P105 | 114    | 2066    | SH | DEFINED | 01 | 1 |
|                          |            |     |           |        |         |    |         |    |   |
| VASCO DATA SECURITY      | INTL       | COM | 92230Y104 | 3      | 400     | SH | DEFINED | 01 | 1 |
| VECTREN CORP             |            | COM | 92240G101 | 79     | 3206    | SH | DEFINED | 01 | 1 |
| VECTOR GROUP LTD         |            | COM | 92240M108 | 59     | 3803    | SH | DEFINED | 01 | 1 |
| VEECO INSTRUMENTS INC    |            | COM | 922417100 | 20339  | 467589  | SH | DEFINED | 01 | 0 |
| VEECO INSTRUMENTS INC    |            | COM | 922417100 | 44     | 1100    | SH | DEFINED | 01 | 1 |
| VEECO INSTRUMENTS INC    |            | COM | 922417100 | 91     | 2100    | SH | DEFINED | 01 | 1 |
| VENTAS INC               |            | COM | 92276F100 | 62180  | 1309598 | SH | DEFINED | 01 | 0 |
| VENTAS INC               |            | COM | 92276F100 | 534    | 11245   | SH | DEFINED | 01 | 0 |
| VENTAS INC               |            | COM | 92276F100 | 199    | 4195    | SH | DEFINED | 01 | 1 |
| VENTAS INC               |            | COM | 92276F100 | 103    | 2162    | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | MID-CAP VA | COM | 922908512 | 297    | 6113    | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | MID-CAP GR | COM | 922908538 | 671    | 12876   | SH | DEFINED | 01 | 1 |
| VANGUARD REIT ETF        |            | COM | 922908553 | 4093   | 83856   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD S | COM | 922908595 | 930    | 14241   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD S | COM | 922908611 | 2347   | 39108   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD M | COM | 922908629 | 2465   | 37849   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD L | COM | 922908637 | 3084   | 57863   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX TR        | VANGUARD E | COM | 922908652 | 1455   | 31012   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD G | COM | 922908736 | 7470   | 134482  | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD V | COM | 922908744 | 4079   | 80827   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD S | COM | 922908751 | 3019   | 47922   | SH | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS       | VANGUARD T | COM | 922908769 | 8201   | 137617  | SH | DEFINED | 01 | 1 |
| VEOLIA ENVIRONNEMENT-ADR |            | COM | 92334N103 | 5796   | 167652  | SH | DEFINED | 01 | 0 |
| VEOLIA ENVIRONNEMENT-ADR |            | COM | 92334N103 | 157    | 4533    | SH | DEFINED | 01 | 1 |
| VERIFONE HOLDINGS INC    |            | COM | 92342Y109 | 2425   | 120000  | SH | DEFINED | 01 | 0 |
| VERIFONE HOLDINGS INC    |            | COM | 92342Y109 | 28     | 1403    | SH | DEFINED | 01 | 1 |
| VERISIGN INC             |            | COM | 92343E102 | 54078  | 2079098 | SH | DEFINED | 01 | 0 |
| VERISIGN INC             |            | COM | 92343E102 | 200    | 7691    | SH | DEFINED | 01 | 0 |
| VERISIGN INC             |            | COM | 92343E102 | 396    | 14800   | SH | DEFINED | 01 | 1 |
| VERISIGN INC             |            | COM | 92343E102 | 6      | 227     | SH | DEFINED | 01 | 1 |
| VERIZON COMMUNICATIONS   | INC        | COM | 92343V104 | 268980 | 8671101 | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |       |         |    |         |    |   |
|-------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| VERIZON COMMUNICATIONS INC    | COM | 92343V104 | 5459  | 175989  | SH | DEFINED | 01 | 0 |
| VERIZON COMMUNICATIONS INC    | COM | 92343V104 | 2046  | 65946   | SH | DEFINED | 01 | 1 |
| VERIZON COMMUNICATIONS INC    | COM | 92343V104 | 8599  | 277223  | SH | DEFINED | 01 | 1 |
| VERISK ANALYTICS INCCL A      | COM | 92345Y106 | 56    | 2000    | SH | DEFINED | 01 | 1 |
| VERTEX PHARMACEUTICALS INC    | COM | 92532F100 | 22943 | 561348  | SH | DEFINED | 01 | 0 |
| VERTEX PHARMACEUTICALS INC    | COM | 92532F100 | 113   | 2774    | SH | DEFINED | 01 | 0 |
| VERTEX PHARMACEUTICALS INC    | COM | 92532F100 | 11    | 280     | SH | DEFINED | 01 | 1 |
| VIAD CORP                     | COM | 92552R406 | 1527  | 74322   | SH | DEFINED | 01 | 0 |
| VIAD CORP                     | COM | 92552R406 | 1     | 50      | SH | DEFINED | 01 | 1 |
| VIASAT INC                    | COM | 92552V100 | 3412  | 98586   | SH | DEFINED | 01 | 0 |
| VIASAT INC                    | COM | 92552V100 | 49    | 1409    | SH | DEFINED | 01 | 0 |
| VIASAT INC                    | COM | 92552V100 | 36    | 1054    | SH | DEFINED | 01 | 1 |
| VIACOM INC NEW CL A           | COM | 92553P102 | 9     | 240     | SH | DEFINED | 01 | 1 |
| VIACOM INC-CLASS B            | COM | 92553P201 | 27868 | 810561  | SH | DEFINED | 01 | 0 |
| VIACOM INC-CLASS B            | COM | 92553P201 | 1329  | 38653   | SH | DEFINED | 01 | 0 |
| VIACOM INC-CLASS B            | COM | 92553P201 | 156   | 4526    | SH | DEFINED | 01 | 1 |
| VIA PHARMACEUTICALS INC       | COM | 92554T103 | 0     | 114     | SH | DEFINED | 01 | 1 |
| VICOR CORP                    | COM | 925815102 | 159   | 11540   | SH | DEFINED | 01 | 0 |
| VICOR CORP                    | COM | 925815102 | 0     | 3       | SH | DEFINED | 01 | 1 |
| VILLAGE SUPER MARKET-CLASS A  | COM | 927107409 | 4942  | 176320  | SH | DEFINED | 01 | 0 |
| VIRAGE LOGIC CORPORATION      | COM | 92763R104 | 14882 | 1893383 | SH | DEFINED | 01 | 0 |
| VIRGIN MEDIA INC              | COM | 92769L101 | 18111 | 1049292 | SH | DEFINED | 01 | 0 |
| VIRGIN MEDIA INC              | COM | 92769L101 | 1     | 31      | SH | DEFINED | 01 | 1 |
| VIRGIN MEDIA INC              | COM | 92769L101 | 3     | 191     | SH | DEFINED | 01 | 1 |
| VIRGINIA COMMERCE BANCORP IN  | COM | 92778Q109 | 1     | 126     | SH | DEFINED | 01 | 1 |
| VISION SCIENCES INC DEL       | COM | 927912105 | 161   | 173000  | SH | DEFINED | 01 | 1 |
| VIRNETX HLDG CORP COM         | COM | 92823T108 | 1055  | 219701  | SH | DEFINED | 01 | 1 |
| VIROPHARMA INC                | COM | 928241108 | 3866  | 283559  | SH | DEFINED | 01 | 0 |
| VIROPHARMA INC                | COM | 928241108 | 22    | 1580    | SH | DEFINED | 01 | 1 |
| VIRTUALSCOPICS INC COM        | COM | 928269109 | 8     | 6473    | SH | DEFINED | 01 | 1 |
| VISA INC-CLASS A SHARES       | COM | 92826C839 | 10731 | 117886  | SH | DEFINED | 01 | 0 |
| VISA INC-CLASS A SHARES       | COM | 92826C839 | 2249  | 24702   | SH | DEFINED | 01 | 0 |
| VISA INC-CLASS A SHARES       | COM | 92826C839 | 20498 | 225181  | SH | DEFINED | 01 | 1 |
| VISA INC-CLASS A SHARES       | COM | 92826C839 | 1616  | 17748   | SH | DEFINED | 01 | 1 |
| VIRTUS INVT PARTNERSINC COM   | COM | 92828Q109 | 1     | 29      | SH | DEFINED | 01 | 1 |
| VISHAY INTERTECHNOLOGY INC    | COM | 928298108 | 22397 | 2189349 | SH | DEFINED | 01 | 0 |
| VISHAY INTERTECHNOLOGY INC    | COM | 928298108 | 126   | 12336   | SH | DEFINED | 01 | 1 |
| VISIONCHINA MEDIA INC-ADR     | COM | 92833U103 | 144   | 30700   | SH | DEFINED | 01 | 0 |
| VITACOST.COM INC              | COM | 92847A200 | 1199  | 99451   | SH | DEFINED | 01 | 0 |
| VIVUS INC                     | COM | 928551100 | 13    | 1508    | SH | DEFINED | 01 | 1 |
| VIVO PARTICIPACOES SA ADR REP | COM | 92855S200 | 8     | 292     | SH | DEFINED | 01 | 1 |
| VMWARE INC-CLASS A            | COM | 928563402 | 4376  | 82085   | SH | DEFINED | 01 | 0 |
| VMWARE INC-CLASS A            | COM | 928563402 | 56    | 1057    | SH | DEFINED | 01 | 0 |
| VMWARE INC-CLASS A            | COM | 928563402 | 201   | 3777    | SH | DEFINED | 01 | 1 |
| VODAFONE GROUP PLC-SP ADR     | COM | 92857W209 | 5875  | 252221  | SH | DEFINED | 01 | 0 |
| VODAFONE GROUP PLC-SP ADR     | COM | 92857W209 | 810   | 34765   | SH | DEFINED | 01 | 1 |
| VOLCANO CORP COM              | COM | 928645100 | 5     | 200     | SH | DEFINED | 01 | 1 |
| VOLCOM INC                    | COM | 92864N101 | 1964  | 100612  | SH | DEFINED | 01 | 0 |
| VOLT INFO SCIENCES INC        | COM | 928703107 | 2508  | 245635  | SH | DEFINED | 01 | 0 |
| VOLTERRA SEMICONDUCTOR CORP   | COM | 928708106 | 496   | 19718   | SH | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST          | COM | 929042109 | 27381 | 361704  | SH | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST          | COM | 929042109 | 716   | 9458    | SH | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST          | COM | 929042109 | 460   | 6077    | SH | DEFINED | 01 | 1 |
| VORNADO REALTY TRUST          | COM | 929042109 | 140   | 1848    | SH | DEFINED | 01 | 1 |
| VULCAN MATERIALS CO           | COM | 929160109 | 23104 | 489095  | SH | DEFINED | 01 | 0 |
| VULCAN MATERIALS CO           | COM | 929160109 | 325   | 6890    | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                             |     |           |        |         |    |         |    |   |
|-----------------------------|-----|-----------|--------|---------|----|---------|----|---|
| VULCAN MATERIALS CO         | COM | 929160109 | 335    | 7096    | SH | DEFINED | 01 | 1 |
| WD-40 CO                    | COM | 929236107 | 398    | 12128   | SH | DEFINED | 01 | 0 |
| WD-40 CO                    | COM | 929236107 | 2      | 65      | SH | DEFINED | 01 | 1 |
| WHX CORP COM PAR \$ .01 NEW | COM | 929248607 | 86     | 35000   | SH | DEFINED | 01 | 1 |
| WGL HLDGS INC               | COM | 92924F106 | 24     | 700     | SH | DEFINED | 01 | 1 |
| WCA WASTE CORP              | COM | 92926K103 | 1055   | 207306  | SH | DEFINED | 01 | 0 |
| WABCO HOLDINGS INC          | COM | 92927K102 | 1857   | 62035   | SH | DEFINED | 01 | 0 |
| WABCO HOLDINGS INC          | COM | 92927K102 | 0      | 12      | SH | DEFINED | 01 | 1 |
| WMS INDUSTRIES COM USD0.50  | COM | 929297109 | 37     | 877     | SH | DEFINED | 01 | 1 |
| W P CAREY & CO LLC          | COM | 92930Y107 | 19     | 647     | SH | DEFINED | 01 | 1 |
| WPCS INTL INC COM NEW       | COM | 92931L203 | 3      | 1000    | SH | DEFINED | 01 | 1 |
| WPP PLC ADR EACH REPR 5 ORD | COM | 92933H101 | 19     | 367     | SH | DEFINED | 01 | 1 |
| WABASH NATL CORP            | COM | 929566107 | 11     | 1607    | SH | DEFINED | 01 | 1 |
| WABTEC CORP                 | COM | 929740108 | 1558   | 37000   | SH | DEFINED | 01 | 0 |
| WABTEC CORP                 | COM | 929740108 | 557    | 13217   | SH | DEFINED | 01 | 1 |
| WADDELL & REED FINANCIAL-A  | COM | 930059100 | 907    | 25179   | SH | DEFINED | 01 | 1 |
| WAL-MART STORES INC         | COM | 931142103 | 491844 | 8846111 | SH | DEFINED | 01 | 0 |
| WAL-MART STORES INC         | COM | 931142103 | 3954   | 71114   | SH | DEFINED | 01 | 0 |
| WAL-MART STORES INC         | COM | 931142103 | 7591   | 136526  | SH | DEFINED | 01 | 0 |
| WAL-MART STORES INC         | COM | 931142103 | 99291  | 1797152 | SH | DEFINED | 01 | 1 |
| WAL-MART STORES INC         | COM | 931142103 | 5680   | 102157  | SH | DEFINED | 01 | 1 |
| WALGREEN CO                 | COM | 931422109 | 31283  | 843453  | SH | DEFINED | 01 | 0 |
| WALGREEN CO                 | COM | 931422109 | 7000   | 188736  | SH | DEFINED | 01 | 0 |
| WALGREEN CO                 | COM | 931422109 | 1932   | 52089   | SH | DEFINED | 01 | 0 |
| WALGREEN CO                 | COM | 931422109 | 160295 | 4337610 | SH | DEFINED | 01 | 1 |
| WALGREEN CO                 | COM | 931422109 | 1741   | 46935   | SH | DEFINED | 01 | 1 |
| WALTER ENERGY INC           | COM | 93317Q105 | 4596   | 49807   | SH | DEFINED | 01 | 0 |
| WALTER ENERGY INC           | COM | 93317Q105 | 277    | 3000    | SH | DEFINED | 01 | 1 |
| WALTER ENERGY INC           | COM | 93317Q105 | 19     | 207     | SH | DEFINED | 01 | 1 |
| WALTER INVT MGMT CORP COM   | COM | 93317W102 | 1      | 88      | SH | DEFINED | 01 | 1 |
| WARNACO GROUP INC/THE       | COM | 934390402 | 1252   | 26248   | SH | DEFINED | 01 | 0 |
| WARNACO GROUP INC/THE       | COM | 934390402 | 0      | 5       | SH | DEFINED | 01 | 1 |
| WARREN RES INC              | COM | 93564A100 | 62     | 24469   | SH | DEFINED | 01 | 1 |
| WASHINGTON FEDERAL INC      | COM | 938824109 | 11     | 562     | SH | DEFINED | 01 | 1 |
| WASHINGTON MUTUAL INC       | COM | 939322103 | 0      | 14      | SH | DEFINED | 01 | 0 |
| WASHINGTON POST -CL B       | COM | 939640108 | 54     | 122     | SH | DEFINED | 01 | 0 |
| WASHINGTON POST -CL B       | COM | 939640108 | 90     | 202     | SH | DEFINED | 01 | 0 |
| WASHINGTON REAL ESTATE INV  | COM | 939653101 | 2377   | 77810   | SH | DEFINED | 01 | 0 |
| WASHINGTON REAL ESTATE INV  | COM | 939653101 | 686    | 22460   | SH | DEFINED | 01 | 1 |
| WASTE CONNECTIONS INC       | COM | 941053100 | 22562  | 664345  | SH | DEFINED | 01 | 0 |
| WASTE CONNECTIONS INC       | COM | 941053100 | 31404  | 925865  | SH | DEFINED | 01 | 1 |
| WASTE CONNECTIONS INC       | COM | 941053100 | 39     | 1158    | SH | DEFINED | 01 | 1 |
| WASTE MANAGEMENT INC        | COM | 94106L109 | 55552  | 1613478 | SH | DEFINED | 01 | 0 |
| WASTE MANAGEMENT INC        | COM | 94106L109 | 1156   | 33574   | SH | DEFINED | 01 | 0 |
| WASTE MANAGEMENT INC        | COM | 94106L109 | 586    | 17008   | SH | DEFINED | 01 | 1 |
| WASTE SVCS INC DEL COM NEW  | COM | 941075202 | 5      | 500     | SH | DEFINED | 01 | 1 |
| WATERS CORP                 | COM | 941848103 | 4686   | 69366   | SH | DEFINED | 01 | 0 |
| WATERS CORP                 | COM | 941848103 | 201    | 2983    | SH | DEFINED | 01 | 0 |
| WATERS CORP                 | COM | 941848103 | 57106  | 846156  | SH | DEFINED | 01 | 1 |
| WATERS CORP                 | COM | 941848103 | 76     | 1126    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| WATSCO INC                     | COM | 942622200 | 1714   | 30126    | SH | DEFINED | 01 | 0 |
| WATSCO INC                     | COM | 942622200 | 16882  | 296851   | SH | DEFINED | 01 | 1 |
| WATSON PHARMACEUTICALS INC     | COM | 942683103 | 6342   | 151797   | SH | DEFINED | 01 | 0 |
| WATSON PHARMACEUTICALS INC     | COM | 942683103 | 142    | 3399     | SH | DEFINED | 01 | 0 |
| WATSON PHARMACEUTICALS INC     | COM | 942683103 | 80     | 1911     | SH | DEFINED | 01 | 1 |
| WATTS WATER TECHNOLOGIES-A     | COM | 942749102 | 808    | 26003    | SH | DEFINED | 01 | 0 |
| WATTS WATER TECHNOLOGIES-A     | COM | 942749102 | 0      | 1        | SH | DEFINED | 01 | 1 |
| WAUSAU PAPER CORP              | COM | 943315101 | 471    | 55117    | SH | DEFINED | 01 | 0 |
| WAUSAU PAPER CORP              | COM | 943315101 | 0      | 4        | SH | DEFINED | 01 | 1 |
| WAVE SYS CORP CL A NEW         | COM | 943526301 | 20     | 5000     | SH | DEFINED | 01 | 1 |
| WAYNE SVGS BANCSHARES          | COM | 94624Q101 | 1      | 100      | SH | DEFINED | 01 | 1 |
| WEB COM GROUP INC              | COM | 94733A104 | 0      | 68       | SH | DEFINED | 01 | 1 |
| WEBSense INC                   | COM | 947684106 | 19957  | 876460   | SH | DEFINED | 01 | 0 |
| WEBSense INC                   | COM | 947684106 | 26     | 1154     | SH | DEFINED | 01 | 0 |
| WEBSense INC                   | COM | 947684106 | 1246   | 54310    | SH | DEFINED | 01 | 1 |
| WEBMD HEALTH CORP CL A         | COM | 94770V102 | 86     | 1846     | SH | DEFINED | 01 | 1 |
| WEBSTER FINL CORP WATERBURY    | COM | 947890109 | 68     | 3882     | SH | DEFINED | 01 | 1 |
| WEIGHT WATCHERS INTL INC NEW   | COM | 948626106 | 25     | 970      | SH | DEFINED | 01 | 1 |
| WEINGARTEN RLTY INVS SH BEN IN | COM | 948741103 | 69     | 3207     | SH | DEFINED | 01 | 1 |
| WEIS MARKETS INC               | COM | 948849104 | 89     | 2457     | SH | DEFINED | 01 | 0 |
| WEIS MARKETS INC               | COM | 948849104 | 4      | 102      | SH | DEFINED | 01 | 1 |
| WELLCARE HEALTH PLANS INC      | COM | 94946T106 | 44565  | 1495413  | SH | DEFINED | 01 | 0 |
| WELLCARE HEALTH PLANS INC      | COM | 94946T106 | 152    | 5099     | SH | DEFINED | 01 | 0 |
| WELLCARE HEALTH PLANS INC      | COM | 94946T106 | 36     | 1200     | SH | DEFINED | 01 | 1 |
| WELLPOINT INC                  | COM | 94973V107 | 120241 | 1867682  | SH | DEFINED | 01 | 0 |
| WELLPOINT INC                  | COM | 94973V107 | 1979   | 30736    | SH | DEFINED | 01 | 0 |
| WELLPOINT INC                  | COM | 94973V107 | 834    | 12961    | SH | DEFINED | 01 | 1 |
| WELLS FARGO & CO               | COM | 949746101 | 364784 | 11721783 | SH | DEFINED | 01 | 0 |
| WELLS FARGO & CO               | COM | 949746101 | 9288   | 298468   | SH | DEFINED | 01 | 0 |
| WELLS FARGO & CO               | COM | 949746101 | 33297  | 1071333  | SH | DEFINED | 01 | 1 |
| WELLS FARGO & CO               | COM | 949746101 | 5007   | 160882   | SH | DEFINED | 01 | 1 |
| WENDYS ARBYS GROUP INC         | COM | 950587105 | 93     | 18611    | SH | DEFINED | 01 | 1 |
| WERNER ENTERPRISES INC         | COM | 950755108 | 3636   | 156944   | SH | DEFINED | 01 | 0 |
| WERNER ENTERPRISES INC         | COM | 950755108 | 2      | 100      | SH | DEFINED | 01 | 1 |
| WESCO FINL CORP                | COM | 950817106 | 21     | 55       | SH | DEFINED | 01 | 1 |
| WESCO INTERNATIONAL INC        | COM | 95082P105 | 1548   | 44579    | SH | DEFINED | 01 | 0 |
| WESCO INTERNATIONAL INC        | COM | 95082P105 | 3660   | 105440   | SH | DEFINED | 01 | 0 |
| WESCO INTERNATIONAL INC        | COM | 95082P105 | 36836  | 1061298  | SH | DEFINED | 01 | 1 |
| WEST PHARMACEUTICAL SERVICES   | COM | 955306105 | 3224   | 76846    | SH | DEFINED | 01 | 0 |
| WEST PHARMACEUTICAL SERVICES   | COM | 955306105 | 81     | 1725     | SH | DEFINED | 01 | 1 |
| WEST PHARMACEUTICAL SERVICES   | COM | 955306105 | 93     | 2221     | SH | DEFINED | 01 | 1 |
| WESTAMERICA BANCORPORATION     | COM | 957090103 | 3770   | 65400    | SH | DEFINED | 01 | 0 |
| WESTAMERICA BANCORPORATION     | COM | 957090103 | 115    | 2000     | SH | DEFINED | 01 | 1 |
| WESTAR ENERGY INC              | COM | 95709T100 | 1594   | 71500    | SH | DEFINED | 01 | 0 |
| WESTAR ENERGY INC              | COM | 95709T100 | 312    | 14004    | SH | DEFINED | 01 | 1 |
| WESTERN ALLIANCE BANCORP       | COM | 957638109 | 671    | 117994   | SH | DEFINED | 01 | 0 |
| WESTERN ALLIANCE BANCORP       | COM | 957638109 | 11     | 2000     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET PREMIER BD       | COM | 957664105 | 118    | 8482     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET EMERGING M       | COM | 95766A101 | 34     | 1886     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET GLOBAL HIGH INCO | COM | 95766B109 | 30     | 2615     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET EMRGNMKT INCOM   | COM | 95766E103 | 38     | 3016     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET HIGH INCOME FD   | COM | 95766H106 | 100    | 9900     | SH | DEFINED | 01 | 1 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| WESTERN ASSET HIGH INCOME FD   | COM | 95766J102 | 115    | 11650   | SH | DEFINED | 01 | 1 |
| WESTERN ASSET HIGH INCOME OPP  | COM | 95766K109 | 209    | 32806   | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MANAGED HI       | COM | 95766L107 | 51     | 8228    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MANAGED MU       | COM | 95766M105 | 133    | 10327   | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MUN PARTNERS F   | COM | 95766P108 | 0      | 14      | SH | DEFINED | 01 | 1 |
| WESTERN ASSET CLAYMORE I       | COM | 95766Q106 | 67     | 5525    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET CLAYMORE I       | COM | 95766R104 | 42     | 3595    | SH | DEFINED | 01 | 1 |
| WESTERN DIGITAL CORP           | COM | 958102105 | 37969  | 973803  | SH | DEFINED | 01 | 0 |
| WESTERN DIGITAL CORP           | COM | 958102105 | 621    | 15930   | SH | DEFINED | 01 | 0 |
| WESTERN DIGITAL CORP           | COM | 958102105 | 71     | 1811    | SH | DEFINED | 01 | 1 |
| WESTERN GAS PARTNERSLP COM UNI | COM | 958254104 | 15     | 700     | SH | DEFINED | 01 | 1 |
| WESTERN REFINING INC           | COM | 959319104 | 13422  | 2440392 | SH | DEFINED | 01 | 0 |
| WESTERN REFINING INC           | COM | 959319104 | 228    | 41436   | SH | DEFINED | 01 | 0 |
| WESTERN REFINING INC           | COM | 959319104 | 6      | 1000    | SH | DEFINED | 01 | 1 |
| WESTERN UNION CO               | COM | 959802109 | 476    | 28104   | SH | DEFINED | 01 | 0 |
| WESTERN UNION CO               | COM | 959802109 | 877    | 51725   | SH | DEFINED | 01 | 0 |
| WESTERN UNION CO               | COM | 959802109 | 34720  | 2047181 | SH | DEFINED | 01 | 1 |
| WESTERN UNION CO               | COM | 959802109 | 2293   | 135201  | SH | DEFINED | 01 | 1 |
| WESTMORELAND COAL CO           | COM | 960878106 | 50     | 4000    | SH | DEFINED | 01 | 1 |
| WESTPORT INNOVATIONSINC COM NP | COM | 960908309 | 8      | 500     | SH | DEFINED | 01 | 1 |
| WESTPAC BANKING CORPORATIO     | COM | 961214301 | 3      | 26      | SH | DEFINED | 01 | 1 |
| WESTWOOD HOLDINGS GROUP INC    | COM | 961765104 | 106    | 2887    | SH | DEFINED | 01 | 0 |
| WESTWOOD HOLDINGS GROUP INC    | COM | 961765104 | 1      | 30      | SH | DEFINED | 01 | 1 |
| WET SEAL INC/THE-CLASS A       | COM | 961840105 | 4510   | 947266  | SH | DEFINED | 01 | 0 |
| WET SEAL INC/THE-CLASS A       | COM | 961840105 | 0      | 75      | SH | DEFINED | 01 | 1 |
| WEYERHAEUSER CO                | COM | 962166104 | 63004  | 1391723 | SH | DEFINED | 01 | 0 |
| WEYERHAEUSER CO                | COM | 962166104 | 835    | 18430   | SH | DEFINED | 01 | 0 |
| WEYERHAEUSER CO                | COM | 962166104 | 173    | 3826    | SH | DEFINED | 01 | 1 |
| WHIRLPOOL CORP                 | COM | 963320106 | 28425  | 325796  | SH | DEFINED | 01 | 0 |
| WHIRLPOOL CORP                 | COM | 963320106 | 537    | 6157    | SH | DEFINED | 01 | 0 |
| WHIRLPOOL CORP                 | COM | 963320106 | 130    | 1491    | SH | DEFINED | 01 | 1 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 3960   | 48997   | SH | DEFINED | 01 | 0 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 2828   | 35012   | SH | DEFINED | 01 | 1 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 40     | 500     | SH | DEFINED | 01 | 1 |
| WHITING USA TR I TR UNIT       | COM | 966389108 | 172    | 9106    | SH | DEFINED | 01 | 1 |
| WHITNEY HOLDING CORP           | COM | 966612103 | 4828   | 350042  | SH | DEFINED | 01 | 0 |
| WHITNEY HOLDING CORP           | COM | 966612103 | 4      | 281     | SH | DEFINED | 01 | 1 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 15832  | 437925  | SH | DEFINED | 01 | 0 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 565    | 15630   | SH | DEFINED | 01 | 0 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 191    | 5285    | SH | DEFINED | 01 | 1 |
| WILBER CORP                    | COM | 967797101 | 7      | 1000    | SH | DEFINED | 01 | 1 |
| WILEY (JOHN) & SONS -CL A      | COM | 968223206 | 5921   | 136800  | SH | DEFINED | 01 | 0 |
| WILEY (JOHN) & SONS -CL A      | COM | 968223206 | 48     | 1111    | SH | DEFINED | 01 | 1 |
| WILLBROS GROUP INC             | COM | 969203108 | 391    | 32626   | SH | DEFINED | 01 | 0 |
| WILLIAMS COAL SEAM GAS RTY TR  | COM | 969450105 | 11     | 6519    | SH | DEFINED | 01 | 1 |
| WILLIAMS COS INC               | COM | 969457100 | 104467 | 4522363 | SH | DEFINED | 01 | 0 |
| WILLIAMS COS INC               | COM | 969457100 | 1122   | 48567   | SH | DEFINED | 01 | 0 |
| WILLIAMS COS INC               | COM | 969457100 | 1623   | 70300   | SH | DEFINED | 01 | 1 |
| WILLIAMS COS INC               | COM | 969457100 | 825    | 35723   | SH | DEFINED | 01 | 1 |
| CLAYTON WILLIAMS ENERGY INC    | COM | 969490101 | 62     | 1762    | SH | DEFINED | 01 | 0 |
| WILLIAMS PARTNERS LP           | LP  | 96950F104 | 402    | 10000   | SH | DEFINED | 01 | 0 |
| WILLIAMS PARTNERS LP           | LP  | 96950F104 | 43     | 1065    | SH | DEFINED | 01 | 1 |
| WILLIAMS PIPELINE PARTNERS L   | COM | 96950K103 | 36     | 1191    | SH | DEFINED | 01 | 1 |
| WILLIAMS-SONOMA INC            | COM | 969904101 | 2716   | 103337  | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| WILLIAMS-SONOMA INC            | COM | 969904101 | 1261  | 47954   | SH | DEFINED | 01 | 1 |
| WILMINGTON TRUST CORP          | COM | 971807102 | 372   | 22423   | SH | DEFINED | 01 | 0 |
| WILMINGTON TRUST CORP          | COM | 971807102 | 3     | 175     | SH | DEFINED | 01 | 1 |
| WILSHIRE BANCORP INC           | COM | 97186T108 | 476   | 43161   | SH | DEFINED | 01 | 0 |
| WILSHIRE BANCORP INC           | COM | 97186T108 | 2     | 200     | SH | DEFINED | 01 | 1 |
| WILSHIRE WI ADVISOR - WARRANTS | WT  | 97187@117 | 49    | 12      | SH | DEFINED | 01 | 0 |
| WILSHIRE LA ADVISORS           | WT  | 97188#AA4 | 46    | 12      | SH | DEFINED | 01 | 0 |
| WILSHIRE PARTNER LLC - WARRANT | WT  | 97189#113 | 4     | 4       | SH | DEFINED | 01 | 0 |
| WILSHIRE PARTNER LLC - WARRANT | WT  | 97189#113 | 4     | 4       | SH | DEFINED | 01 | 0 |
| WILSHIRE NY ADVISORS           | WT  | 971993118 | 34    | 30      | SH | DEFINED | 01 | 0 |
| WILSHIRE NY ADVISORS           | WT  | 971993118 | 34    | 30      | SH | DEFINED | 01 | 0 |
| WIMM-BILL-DANN FOODS-ADR       | COM | 97263M109 | 52    | 2300    | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 57620 | 5291158 | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 391   | 35862   | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 386   | 35414   | SH | DEFINED | 01 | 1 |
| WINN-DIXIE STORES INC          | COM | 974280307 | 1054  | 84455   | SH | DEFINED | 01 | 0 |
| WINNEBAGO INDUSTRIES           | COM | 974637100 | 253   | 17315   | SH | DEFINED | 01 | 0 |
| WINNEBAGO INDUSTRIES           | COM | 974637100 | 1     | 100     | SH | DEFINED | 01 | 1 |
| WINTRUST FINANCIAL CORP        | COM | 97650W108 | 6327  | 170011  | SH | DEFINED | 01 | 0 |
| WIPRO LTD-ADR                  | COM | 97651M109 | 499   | 21400   | SH | DEFINED | 01 | 0 |
| WIPRO LTD-ADR                  | COM | 97651M109 | 97    | 4165    | SH | DEFINED | 01 | 1 |
| WIRELESS TELECOM GROUP INC     | COM | 976524108 | 0     | 300     | SH | DEFINED | 01 | 1 |
| WIRELESS HOLDERS TR            | COM | 97653L208 | 33    | 700     | SH | DEFINED | 01 | 1 |
| WISCONSIN ENERGY CORP          | COM | 976657106 | 32106 | 649782  | SH | DEFINED | 01 | 0 |
| WISCONSIN ENERGY CORP          | COM | 976657106 | 222   | 4492    | SH | DEFINED | 01 | 0 |
| WISCONSIN ENERGY CORP          | COM | 976657106 | 14956 | 302706  | SH | DEFINED | 01 | 1 |
| WISCONSIN ENERGY CORP          | COM | 976657106 | 200   | 4057    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR TOTAL DIVID FD   | COM | 97717W109 | 40    | 943     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DREYFUS EM       | COM | 97717W133 | 160   | 7191    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR CHINESE YU       | COM | 97717W182 | 5     | 200     | SH | DEFINED | 01 | 1 |
| WISDOMTREE EQUITY INCOME FUN   | COM | 97717W208 | 12    | 340     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR EMERGING M       | COM | 97717W281 | 381   | 8516    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR LARGE CAP D      | COM | 97717W307 | 433   | 10166   | SH | DEFINED | 01 | 1 |
| WISDOMTREE EMERG MKTS EQUIT    | COM | 97717W315 | 391   | 7451    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL REAL ESTAT  | COM | 97717W331 | 23    | 853     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DIVID EX F       | COM | 97717W406 | 2204  | 51490   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INDIA EARN       | COM | 97717W422 | 209   | 8947    | SH | DEFINED | 01 | 1 |
| WISDOMTREE LARGE CAP V         | COM | 97717W547 | 28    | 758     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR MIDCAP EAR       | COM | 97717W570 | 83    | 1760    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR TOTAL EARN       | COM | 97717W596 | 125   | 3010    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR SMALLCAP D       | COM | 97717W604 | 472   | 11067   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL UTILITIES   | COM | 97717W653 | 264   | 12256   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DEFA FD          | COM | 97717W703 | 207   | 4462    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL ENERGY SEC  | COM | 97717W711 | 60    | 2447    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL BASIC MATE  | COM | 97717W752 | 110   | 3817    | SH | DEFINED | 01 | 1 |
| WISDOMTREE INTL S/C DVD ETF    | COM | 97717W760 | 5175  | 109825  | SH | DEFINED | 01 | 0 |
| WISDOMTREE INTL S/C DVD ETF    | COM | 97717W760 | 512   | 10861   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL MIDCA       | COM | 97717W778 | 51    | 1057    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL DIVID EX F  | COM | 97717W786 | 129   | 3031    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL LARGE CAP D | COM | 97717W794 | 74    | 1616    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |                |           |       |         |    |         |    |   |
|---------------------------------|----------------|-----------|-------|---------|----|---------|----|---|
| WISDOMTREE PACIFIC              | EX-JAPAN E COM | 97717W810 | 20    | 344     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR                   | PACIFIC EX COM | 97717W828 | 31    | 504     | SH | DEFINED | 01 | 1 |
| WISDOMTREE WORLD                | EX-US GROW COM | 97717W844 | 323   | 6449    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR EUROPE SMALLCAP D | COM            | 97717W869 | 9     | 241     | SH | DEFINED | 01 | 1 |
| WISDOMTREE GLOBAL EQUITY INC    | COM            | 97717W877 | 29    | 713     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR MIDDLEEAST DIVID  | COM            | 97717X305 | 286   | 17768   | SH | DEFINED | 01 | 1 |
| WOLVERINE WORLD WIDE INC        | COM            | 978097103 | 1323  | 45373   | SH | DEFINED | 01 | 0 |
| WOLVERINE WORLD WIDE INC        | COM            | 978097103 | 54    | 1850    | SH | DEFINED | 01 | 1 |
| WOLVERINE WORLD WIDE INC        | COM            | 978097103 | 2     | 62      | SH | DEFINED | 01 | 1 |
| WORLD ACCEPTANCE CORP           | COM            | 981419104 | 3617  | 100292  | SH | DEFINED | 01 | 0 |
| WORLD ACCEPTANCE CORP           | COM            | 981419104 | 6     | 170     | SH | DEFINED | 01 | 1 |
| WORLD FUEL SERVICES CORP        | COM            | 981475106 | 5537  | 207887  | SH | DEFINED | 01 | 0 |
| WORLD FUEL SERVICES CORP        | COM            | 981475106 | 21    | 800     | SH | DEFINED | 01 | 1 |
| WORLD WRESTLING ENTERTAINM      | COM            | 98156Q108 | 11    | 644     | SH | DEFINED | 01 | 1 |
| WORLDSpace INC-CLASS A          | COM            | 981579105 | 8     | 427129  | SH | DEFINED | 01 | 0 |
| WORTHINGTON INDUSTRIES          | COM            | 981811102 | 4973  | 287606  | SH | DEFINED | 01 | 0 |
| WORTHINGTON INDUSTRIES          | COM            | 981811102 | 5     | 300     | SH | DEFINED | 01 | 1 |
| WORLDCOM INC ESCROW             | COM            | 981ESCCZ7 | 0     | 3000000 | SH | DEFINED | 01 | 0 |
| WRIGHT EXPRESS CORP             | COM            | 98233Q105 | 1922  | 63788   | SH | DEFINED | 01 | 0 |
| WRIGHT EXPRESS CORP             | COM            | 98233Q105 | 4     | 140     | SH | DEFINED | 01 | 1 |
| WRIGHT MEDICAL GROUP INC        | COM            | 98235T107 | 3673  | 206777  | SH | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP          | COM            | 98310W108 | 11130 | 432588  | SH | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP          | COM            | 98310W108 | 425   | 16521   | SH | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP          | COM            | 98310W108 | 8     | 312     | SH | DEFINED | 01 | 1 |
| WYNN RESORTS LTD                | COM            | 983134107 | 877   | 11565   | SH | DEFINED | 01 | 0 |
| WYNN RESORTS LTD                | COM            | 983134107 | 339   | 4471    | SH | DEFINED | 01 | 0 |
| WYNN RESORTS LTD                | COM            | 983134107 | 294   | 3871    | SH | DEFINED | 01 | 1 |
| XTO ENERGY INC                  | COM            | 98385X106 | 1549  | 32842   | SH | DEFINED | 01 | 0 |
| XTO ENERGY INC                  | COM            | 98385X106 | 1482  | 31414   | SH | DEFINED | 01 | 0 |
| XTO ENERGY INC                  | COM            | 98385X106 | 1245  | 26388   | SH | DEFINED | 01 | 1 |
| X 5 RETAIL GROUP NV-144A GDR    | COM            | 98387E106 | 18188 | 522637  | SH | DEFINED | 01 | 0 |
| XCEL ENERGY INC                 | COM            | 98389B100 | 5323  | 251090  | SH | DEFINED | 01 | 0 |
| XCEL ENERGY INC                 | COM            | 98389B100 | 346   | 16299   | SH | DEFINED | 01 | 0 |
| XCEL ENERGY INC                 | COM            | 98389B100 | 529   | 24951   | SH | DEFINED | 01 | 1 |
| XILINX INC                      | COM            | 983919101 | 58951 | 2311824 | SH | DEFINED | 01 | 0 |
| XILINX INC                      | COM            | 983919101 | 520   | 20394   | SH | DEFINED | 01 | 0 |
| XILINX INC                      | COM            | 983919101 | 34    | 1335    | SH | DEFINED | 01 | 1 |
| XENOPORT INC                    | COM            | 98411C100 | 1     | 150     | SH | DEFINED | 01 | 1 |
| XEROX CORP                      | COM            | 984121103 | 75504 | 7743768 | SH | DEFINED | 01 | 0 |
| XEROX CORP                      | COM            | 984121103 | 977   | 100180  | SH | DEFINED | 01 | 0 |
| XEROX CORP                      | COM            | 984121103 | 1981  | 202700  | SH | DEFINED | 01 | 1 |
| XEROX CORP                      | COM            | 984121103 | 230   | 23608   | SH | DEFINED | 01 | 1 |
| XINYUAN REAL ESTATE ADR EACH R  | COM            | 98417P105 | 1     | 300     | SH | DEFINED | 01 | 1 |
| YPF SOCIEDAD ANONIMAS PONS ADR- | COM            | 984245100 | 4     | 100     | SH | DEFINED | 01 | 1 |
| YRC WORLDWIDE INC               | COM            | 984249102 | 4     | 7906    | SH | DEFINED | 01 | 1 |
| YAHOO! INC                      | COM            | 984332106 | 604   | 36554   | SH | DEFINED | 01 | 0 |
| YAHOO! INC                      | COM            | 984332106 | 938   | 56742   | SH | DEFINED | 01 | 0 |
| YAHOO! INC                      | COM            | 984332106 | 727   | 43971   | SH | DEFINED | 01 | 1 |
| YAMANA GOLD INC                 | COM            | 98462Y100 | 13316 | 1351901 | SH | DEFINED | 01 | 0 |
| YAMANA GOLD INC                 | COM            | 98462Y100 | 110   | 11190   | SH | DEFINED | 01 | 0 |
| YAMANA GOLD INC                 | COM            | 98462Y100 | 366   | 37147   | SH | DEFINED | 01 | 1 |
| YANZHOU COAL MINING-SP ADR      | COM            | 984846105 | 219   | 9100    | SH | DEFINED | 01 | 0 |
| YANZHOU COAL MINING-SP ADR      | COM            | 984846105 | 27    | 1133    | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |          |           |       |         |     |         |         |
|--------------------------------|----------|-----------|-------|---------|-----|---------|---------|
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 3716  | 291688  | SH  | DEFINED | 01 0    |
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 60    | 4701    | SH  | DEFINED | 01 0    |
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 711   | 55800   | SH  | DEFINED | 01 1    |
| YORK WATER CO                  | COM      | 987184108 | 68    | 4970    | SH  | DEFINED | 01 1    |
| YUM! BRANDS INC                | COM      | 988498101 | 488   | 12735   | SH  | DEFINED | 01 0    |
| YUM! BRANDS INC                | COM      | 988498101 | 811   | 21161   | SH  | DEFINED | 01 0    |
| YUM! BRANDS INC                | COM      | 988498101 | 949   | 24757   | SH  | DEFINED | 01 1    |
| ZAGG INC                       | COM      | 98884U108 | 69    | 10750   | SH  | DEFINED | 01 1    |
| ZALE CORP                      | COM      | 988858106 | 41    | 15106   | SH  | DEFINED | 01 0    |
| ZEBRA TECHNOLOGIES CORP-CL A   | COM      | 989207105 | 290   | 9781    | SH  | DEFINED | 01 0    |
| ZEBRA TECHNOLOGIES CORP-CL A   | COM      | 989207105 | 19    | 645     | SH  | DEFINED | 01 1    |
| ZENITH NATIONAL INSURANCE CP   | COM      | 989390109 | 2226  | 58082   | SH  | DEFINED | 01 0    |
| ZEP INC                        | COM      | 98944B108 | 369   | 16858   | SH  | DEFINED | 01 0    |
| ZHONGPIN INC COM               | COM      | 98952K107 | 37    | 2901    | SH  | DEFINED | 01 1    |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 5886  | 99419   | SH  | DEFINED | 01 0    |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 721   | 12172   | SH  | DEFINED | 01 0    |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 468   | 7897    | SH  | DEFINED | 01 1    |
| ZION OIL & GAS INC COM ISSUE   | COM      | 989696109 | 9     | 1425    | SH  | DEFINED | 01 1    |
| ZIONS BANCORPORATION           | COM      | 989701107 | 16580 | 759810  | SH  | DEFINED | 01 0    |
| ZIONS BANCORPORATION           | COM      | 989701107 | 450   | 20629   | SH  | DEFINED | 01 0    |
| ZIONS BANCORPORATION           | COM      | 989701107 | 173   | 7917    | SH  | DEFINED | 01 1    |
| ZIX CORP                       | COM      | 98974P100 | 1     | 600     | SH  | DEFINED | 01 1    |
| ZORAN CORP                     | COM      | 98975F101 | 20    | 1815    | SH  | DEFINED | 01 0    |
| ZORAN CORP                     | COM      | 98975F101 | 2     | 152     | SH  | DEFINED | 01 1    |
| ZOLTEK COMPANIES INC           | COM      | 98975W104 | 10    | 1047    | SH  | DEFINED | 01 0    |
| ZOLTEK COMPANIES INC           | COM      | 98975W104 | 20    | 2102    | SH  | DEFINED | 01 1    |
| ZUMIEZ INC                     | COM      | 989817101 | 292   | 14227   | SH  | DEFINED | 01 0    |
| ZUMIEZ INC                     | COM      | 989817101 | 1     | 70      | SH  | DEFINED | 01 1    |
| ZWEIG FD INC                   | COM      | 989834106 | 37    | 10492   | SH  | DEFINED | 01 1    |
| ZWEIG TOTAL RETURN FD INC      | COM      | 989837109 | 102   | 26312   | SH  | DEFINED | 01 1    |
| ZYMOGENETICS INC               | COM      | 98985T109 | 1     | 200     | SH  | DEFINED | 01 1    |
| ZOLL MEDICAL CORP              | COM      | 989922109 | 3716  | 140926  | SH  | DEFINED | 01 0    |
| ZOLL MEDICAL CORP              | COM      | 989922109 | 3     | 120     | SH  | DEFINED | 01 1    |
| WCAS CAPITAL PARTNERS II LP    | LP       | 990003KE4 | 1941  | 4292803 | SH  | DEFINED | 01 0    |
| AVAGO TECHNOLOGIES LTD         | COM      | 999900624 | 375   | 18887   | SH  | DEFINED | 01 1    |
| OSIP ARIL 2010 CALLS 60        | OPT      | AF0000044 | 6     | 100     | SH  | CALL    | DEFINED |
| ZKQ APRIL 2010 PUTS 15         | OPT      | AF0000052 | 369   | 2459    | SH  | PUT     | DEFINED |
| ZKQ JUNE 2010 PUTS 14          | OPT      | AF0000055 | 117   | 701     | SH  | PUT     | DEFINED |
| IWM APR 2010 P 68              | OPT      | AF0000098 | 25    | 200     | SH  | PUT     | DEFINED |
| WILSHIRE LA ADVISERS           | WT       | BOA0DHM93 | 44    | 6       | SH  | DEFINED | 01 0    |
| WILSHIRE LA ADVISERS           | WT       | BOA0DHM93 | 104   | 14      | SH  | DEFINED | 01 0    |
| PIK GROUP-GDR REG S            | COM      | B1WTLH5   | 123   | 23819   | SH  | DEFINED | 01 0    |
| 3I INFOTECH LTD                | CONV BND | BAX2ZMCP2 | 47    | 45000   | PRN | DEFINED | 01 0    |
| MARK IV INDUSTRIES INC         | COM      | BAX392GQ7 | 13    | 667     | SH  | DEFINED | 01 0    |
| MARK IV INDUSTRIES INC         | COM      | BAX392GQ7 | 192   | 9586    | SH  | DEFINED | 01 0    |
| METALDYNE COMPANY              | COM      | BAX393QQ4 | 152   | 1014    | SH  | DEFINED | 01 0    |
| READERS DIGEST ASSN INC        | COM      | BAX394OK3 | 608   | 26729   | SH  | DEFINED | 01 0    |
| MEDIANEWS GROUP                | COM      | BAX394RR9 | 130   | 2748    | SH  | DEFINED | 01 0    |
| ENBRIDGE ENERGY. MANAGEMENT FR | COM      | CKC50X106 | 0     | 57217   | SH  | DEFINED | 01 0    |
| JPM JAIPRAKASH ASSOC PNOTE     | COM      | CS1938568 | 628   | 188455  | SH  | DEFINED | 01 0    |
| JPM MARUTI SUZUKI LTD PNOTE    | COM      | CS5089350 | 553   | 17503   | SH  | DEFINED | 01 0    |
| DAIMLER AG ORD NPV(REGD)       | COM      | D1668R123 | 29    | 615     | SH  | DEFINED | 01 1    |
| DEUTSCHE BANK AG ORDNPV(REGD)  | COM      | D18190898 | 91    | 1180    | SH  | DEFINED | 01 1    |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| FIRST HORIZON NATIONAL FRACTIO | COM | DCA517101 | 0      | 93963    | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL FRACTIO | COM | DCA517101 | 0      | 85431    | SH | DEFINED | 01 | 0 |
| FIVE STAR QUAL FRACTIONS       | COM | DDJ32D101 | 0      | 23000    | SH | DEFINED | 01 | 0 |
| TELVENT GIT SA ORD EUR3.00505  | COM | E90215109 | 99     | 3440     | SH | DEFINED | 01 | 1 |
| KINDER MORGAN FRACTIONS        | COM | EKE55U103 | 0      | 106754   | SH | DEFINED | 01 | 0 |
| ALLIED WORLD ASSURANCE CO      | COM | G0219G203 | 1169   | 26054    | SH | DEFINED | 01 | 0 |
| ALLIED WORLD ASSURANCE CO      | COM | G0219G203 | 4      | 83       | SH | DEFINED | 01 | 1 |
| AMDOCS LTD                     | COM | G02602103 | 340685 | 11314629 | SH | DEFINED | 01 | 0 |
| AMDOCS LTD                     | COM | G02602103 | 177    | 5870     | SH | DEFINED | 01 | 0 |
| AMDOCS LTD                     | COM | G02602103 | 3      | 113      | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| A-POWER ENERGY GENERATION      | COM | G04136100 | 2      | 200      | SH | DEFINED | 01 | 1 |
| ARCH CAPITAL GROUP LTD         | COM | G0450A105 | 10630  | 139421   | SH | DEFINED | 01 | 0 |
| ARCH CAPITAL GROUP LTD         | COM | G0450A105 | 1821   | 23895    | SH | DEFINED | 01 | 1 |
| ARCH CAPITAL GROUP LTD         | COM | G0450A105 | 1      | 13       | SH | DEFINED | 01 | 1 |
| ARGO GROUP INTERNATIONAL       | COM | G0464B107 | 2692   | 82603    | SH | DEFINED | 01 | 0 |
| ARGO GROUP INTERNATIONAL       | COM | G0464B107 | 7      | 205      | SH | DEFINED | 01 | 1 |
| ASPEN INSURANCE HOLDINGS LTD   | COM | G05384105 | 29374  | 1018477  | SH | DEFINED | 01 | 0 |
| ASPEN INSURANCE HOLDINGS LTD   | COM | G05384105 | 237    | 8218     | SH | DEFINED | 01 | 1 |
| ASSURED GUARANTY LTD           | COM | G0585R106 | 71     | 3217     | SH | DEFINED | 01 | 0 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 55397  | 1772109  | SH | DEFINED | 01 | 0 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 92     | 2775     | SH | DEFINED | 01 | 1 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 4      | 139      | SH | DEFINED | 01 | 1 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 106311 | 2534267  | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 3939   | 93895    | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 379    | 9045     | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 638    | 15214    | SH | DEFINED | 01 | 1 |
| BROOKFIELD INFRASTRUC          | COM | G16252101 | 10     | 589      | SH | DEFINED | 01 | 1 |
| BUNGE LTD                      | COM | G16962105 | 442    | 7166     | SH | DEFINED | 01 | 0 |
| BUNGE LTD                      | COM | G16962105 | 58     | 936      | SH | DEFINED | 01 | 1 |
| CDC CORPORATION COM USD0.00025 | COM | G2022L106 | 4      | 1450     | SH | DEFINED | 01 | 1 |
| CHINA YUCHAI INTERNATIO        | COM | G21082105 | 34     | 1916     | SH | DEFINED | 01 | 1 |
| CHIPMOS TECHNOLOGIESBERMUDA CO | COM | G2110R106 | 1      | 1100     | SH | DEFINED | 01 | 1 |
| COOPER INDUSTRIES PLC          | COM | G24140108 | 195374 | 4075414  | SH | DEFINED | 01 | 0 |
| COOPER INDUSTRIES PLC          | COM | G24140108 | 90     | 1884     | SH | DEFINED | 01 | 1 |
| CREDICORP COM STK USD5         | COM | G2519Y108 | 19     | 213      | SH | DEFINED | 01 | 1 |
| COVIDIEN PLC                   | COM | G2554F105 | 35904  | 714101   | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                   | COM | G2554F105 | 238    | 4737     | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                   | COM | G2554F105 | 0      | 7        | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                   | COM | G2554F105 | 440    | 8758     | SH | DEFINED | 01 | 1 |
| ENDURANCE SPECIALTY HOLDINGS   | COM | G30397106 | 66034  | 1777553  | SH | DEFINED | 01 | 0 |
| ENDURANCE SPECIALTY HOLDINGS   | COM | G30397106 | 3094   | 83349    | SH | DEFINED | 01 | 1 |
| ASA LIMITED                    | COM | G3156P103 | 48     | 645      | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| EVEREST RE GROUP LTD           | COM | G3223R108 | 81146  | 1002676  | SH | DEFINED | 01 | 0 |
| EVEREST RE GROUP LTD           | COM | G3223R108 | 540    | 6676     | SH | DEFINED | 01 | 0 |
| EVEREST RE GROUP LTD           | COM | G3223R108 | 73485  | 908119   | SH | DEFINED | 01 | 1 |
| EVEREST RE GROUP LTD           | COM | G3223R108 | 0      | 3        | SH | DEFINED | 01 | 1 |
| FLAGSTONE REINSURANCE HOLDIN   | COM | G3529T105 | 279    | 24398    | SH | DEFINED | 01 | 0 |
| FRESH DEL MONTE PRODUCE INC    | COM | G36738105 | 1300   | 64188    | SH | DEFINED | 01 | 0 |
| FRONTLINE LTD                  | COM | G3682E127 | 349    | 11367    | SH | DEFINED | 01 | 0 |
| FRONTLINE LTD                  | COM | G3682E127 | 226    | 7368     | SH | DEFINED | 01 | 1 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| GARMIN LTD                    | COM | G37260109 | 4555   | 118368  | SH | DEFINED | 01 | 0 |
| GARMIN LTD                    | COM | G37260109 | 760    | 19680   | SH | DEFINED | 01 | 1 |
| GLOBAL CROSSING LTD           | COM | G3921A175 | 1878   | 123964  | SH | DEFINED | 01 | 0 |
| GENPACT LTD                   | COM | G3922B107 | 21792  | 1299400 | SH | DEFINED | 01 | 0 |
| GENPACT LTD                   | COM | G3922B107 | 42     | 2776    | SH | DEFINED | 01 | 1 |
| GENPACT LTD                   | COM | G3922B107 | 7      | 400     | SH | DEFINED | 01 | 1 |
| GLOBAL SOURCES COM STK USD0.0 | COM | G39300101 | 0      | 10      | SH | DEFINED | 01 | 1 |
| GREENLIGHT CAPITAL RE LTD-A   | COM | G4095J109 | 115    | 4317    | SH | DEFINED | 01 | 0 |
| HELEN OF TROY LTD             | COM | G4388N106 | 717    | 27495   | SH | DEFINED | 01 | 0 |
| HERBALIFE LTD                 | COM | G4412G101 | 29814  | 646452  | SH | DEFINED | 01 | 0 |
| HERBALIFE LTD                 | COM | G4412G101 | 6      | 125     | SH | DEFINED | 01 | 1 |
| INGERSOLL-RAND PLC            | COM | G47791101 | 123834 | 3551272 | SH | DEFINED | 01 | 0 |
| INGERSOLL-RAND PLC            | COM | G47791101 | 184    | 5265    | SH | DEFINED | 01 | 0 |
| INGERSOLL-RAND PLC            | COM | G47791101 | 206    | 5913    | SH | DEFINED | 01 | 1 |
| INVESCO LTD                   | COM | G491BT108 | 61717  | 2816890 | SH | DEFINED | 01 | 0 |
| INVESCO LTD                   | COM | G491BT108 | 536    | 24486   | SH | DEFINED | 01 | 0 |
| INVESCO LTD                   | COM | G491BT108 | 60     | 2756    | SH | DEFINED | 01 | 1 |
| JINPAN INTERNATIONAL LTD      | COM | G5138L100 | 58     | 3600    | SH | DEFINED | 01 | 1 |
| KNIGHTSBRIDGE TANKERS LTD     | COM | G5299G106 | 477    | 28165   | SH | DEFINED | 01 | 0 |
| KNIGHTSBRIDGE TANKERS LTD     | COM | G5299G106 | 14     | 800     | SH | DEFINED | 01 | 1 |
| LAZARD LTD                    | COM | G54050102 | 4253   | 119163  | SH | DEFINED | 01 | 1 |
| LAZARD LTD                    | COM | G54050102 | 79     | 2224    | SH | DEFINED | 01 | 1 |
| MAIDEN HOLDINGS LTD           | COM | G5753U112 | 100    | 13592   | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD  | COM | G5876H105 | 78496  | 3851606 | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD  | COM | G5876H105 | 16     | 800     | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD  | COM | G5876H105 | 406    | 19802   | SH | DEFINED | 01 | 1 |
| MARVELL TECHNOLOGY GROUP LTD  | COM | G5876H105 | 253    | 12366   | SH | DEFINED | 01 | 1 |
| MAX CAPITAL GROUP LTD         | COM | G6052F103 | 8896   | 386893  | SH | DEFINED | 01 | 0 |
| MAX CAPITAL GROUP LTD         | COM | G6052F103 | 13     | 555     | SH | DEFINED | 01 | 1 |
| MONTPELIER RE HOLDINGS LTD    | COM | G62185106 | 30418  | 1809526 | SH | DEFINED | 01 | 0 |
| MONTPELIER RE HOLDINGS LTD    | COM | G62185106 | 45     | 2655    | SH | DEFINED | 01 | 1 |
| NABORS INDUSTRIES LTD         | COM | G6359F103 | 9732   | 495723  | SH | DEFINED | 01 | 0 |
| NABORS INDUSTRIES LTD         | COM | G6359F103 | 471    | 24006   | SH | DEFINED | 01 | 0 |
| NABORS INDUSTRIES LTD         | COM | G6359F103 | 175    | 8921    | SH | DEFINED | 01 | 1 |
| NORDIC AMER TANKER SHIPPING   | COM | G65773106 | 45     | 1502    | SH | DEFINED | 01 | 0 |
| NORDIC AMER TANKER SHIPPING   | COM | G65773106 | 318    | 10499   | SH | DEFINED | 01 | 1 |
| ONEBEACON INSURANCE GROUP-A   | COM | G67742109 | 1244   | 72120   | SH | DEFINED | 01 | 0 |
| ORIENT EXPRESS HOTELS LTD -A  | COM | G67743107 | 3107   | 219097  | SH | DEFINED | 01 | 0 |
| ORIENT EXPRESS HOTELS LTD -A  | COM | G67743107 | 2385   | 168284  | SH | DEFINED | 01 | 1 |
| ORIENT EXPRESS HOTELS LTD -A  | COM | G67743107 | 131    | 9249    | SH | DEFINED | 01 | 1 |
| PARTNERRE LTD                 | COM | G6852T105 | 84351  | 1058096 | SH | DEFINED | 01 | 0 |
| PARTNERRE LTD                 | COM | G6852T105 | 2726   | 34197   | SH | DEFINED | 01 | 0 |
| PARTNERRE LTD                 | COM | G6852T105 | 21033  | 263822  | SH | DEFINED | 01 | 1 |
| PARTNERRE LTD                 | COM | G6852T105 | 800    | 10029   | SH | DEFINED | 01 | 1 |
| PANSOFT COMPANY LIMITED CO    | COM | G6891W101 | 1      | 100     | SH | DEFINED | 01 | 1 |
| PLATINUM UNDERWRITERS HLDGS   | COM | G7127P100 | 17689  | 477073  | SH | DEFINED | 01 | 0 |
| RENAISSANCERE HOLDINGS LTD    | COM | G7496G103 | 648    | 11415   | SH | DEFINED | 01 | 0 |
| RENAISSANCERE HOLDINGS LTD    | COM | G7496G103 | 2880   | 50800   | SH | DEFINED | 01 | 1 |
| RENAISSANCERE HOLDINGS LTD    | COM | G7496G103 | 3      | 55      | SH | DEFINED | 01 | 1 |
| SEAGATE TECHNOLOGY            | COM | G7945J104 | 9674   | 529762  | SH | DEFINED | 01 | 0 |
| SEAGATE TECHNOLOGY            | COM | G7945J104 | 86     | 4712    | SH | DEFINED | 01 | 1 |
| DJSP ENTERPRISES INC          | COM | G7982P104 | 23     | 1954    | SH | DEFINED | 01 | 0 |
| SHIP FINANCE INTL LTD         | COM | G81075106 | 2265   | 127560  | SH | DEFINED | 01 | 0 |
| SHIP FINANCE INTL LTD         | COM | G81075106 | 122    | 6851    | SH | DEFINED | 01 | 1 |
| SIGNET JEWELERS LTD           | COM | G81276100 | 1008   | 31154   | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SIGNET JEWELERS LTD            | COM | G81276100 | 4      | 115      | SH | DEFINED | 01 | 1 |
| SINA CORP                      | COM | G81477104 | 15751  | 417900   | SH | DEFINED | 01 | 0 |
| SINA CORP                      | COM | G81477104 | 37     | 990      | SH | DEFINED | 01 | 0 |
| SINA CORP                      | COM | G81477104 | 222    | 5400     | SH | DEFINED | 01 | 1 |
| SINA CORP                      | COM | G81477104 | 21     | 557      | SH | DEFINED | 01 | 1 |
| TEXTAINER GROUP HOLDINGS LTD   | COM | G8766E109 | 156    | 7196     | SH | DEFINED | 01 | 0 |
| TEXTAINER GROUP HOLDINGS LTD   | COM | G8766E109 | 2      | 100      | SH | DEFINED | 01 | 1 |
| TSAKOS ENERGY NAVIGATION       | COM | G9108L108 | 64     | 4324     | SH | DEFINED | 01 | 1 |
| VALIDUS HOLDINGS LTD           | COM | G9319H102 | 16611  | 603351   | SH | DEFINED | 01 | 0 |
| VALIDUS HOLDINGS LTD           | COM | G9319H102 | 2      | 55       | SH | DEFINED | 01 | 1 |
| WARNER CHILCOTT PLC COM CLASS  | COM | G94368100 | 24     | 925      | SH | DEFINED | 01 | 1 |
| GOLAR LNG LTD                  | COM | G9456A100 | 87     | 7445     | SH | DEFINED | 01 | 0 |
| GOLAR LNG LTD                  | COM | G9456A100 | 4      | 300      | SH | DEFINED | 01 | 1 |
| WHITE MOUNTAINS INSURANCE GP   | COM | G9618E107 | 3448   | 9712     | SH | DEFINED | 01 | 0 |
| WHITE MOUNTAINS INSURANCE GP   | COM | G9618E107 | 188    | 530      | SH | DEFINED | 01 | 1 |
| WILLIS GROUP HOLDINGS PLC      | COM | G96666105 | 19152  | 612097   | SH | DEFINED | 01 | 0 |
| XL CAPITAL LTD -CLASS A        | COM | G98255105 | 424712 | 22471549 | SH | DEFINED | 01 | 0 |
| XL CAPITAL LTD -CLASS A        | COM | G98255105 | 1739   | 91996    | SH | DEFINED | 01 | 0 |
| XL CAPITAL LTD -CLASS A        | COM | G98255105 | 23     | 1230     | SH | DEFINED | 01 | 1 |
| XL CAPITAL LTD Y 10.75% PFD    | PRF | G98255600 | 7202   | 250000   | SH | DEFINED | 01 | 0 |
| XOMA LTD COM STK USD0.0005     | COM | G9825R107 | 0      | 500      | SH | DEFINED | 01 | 1 |
| XYRATEX (BERMUDA) LTD USD0.0   | COM | G98268108 | 37     | 2162     | SH | DEFINED | 01 | 1 |
| YUCHENG TECHNOLOGIESLTD COM ST | COM | G98777108 | 8      | 2100     | SH | DEFINED | 01 | 1 |
| ACE LTD                        | COM | H0023R105 | 128411 | 2455271  | SH | DEFINED | 01 | 0 |
| ACE LTD                        | COM | H0023R105 | 526    | 10058    | SH | DEFINED | 01 | 0 |
| ACE LTD                        | COM | H0023R105 | 173    | 3302     | SH | DEFINED | 01 | 1 |
| ALCON INC                      | COM | H01301102 | 2278   | 14100    | SH | DEFINED | 01 | 0 |
| ALCON INC                      | COM | H01301102 | 713    | 4412     | SH | DEFINED | 01 | 1 |
| WEATHERFORD INTL LTD           | COM | H27013103 | 16743  | 1055595  | SH | DEFINED | 01 | 0 |
| WEATHERFORD INTL LTD           | COM | H27013103 | 228    | 14387    | SH | DEFINED | 01 | 0 |
| WEATHERFORD INTL LTD           | COM | H27013103 | 1155   | 72802    | SH | DEFINED | 01 | 1 |
| FOSTER WHEELER LTD             | COM | H27178104 | 51493  | 1897321  | SH | DEFINED | 01 | 0 |
| FOSTER WHEELER LTD             | COM | H27178104 | 70     | 2568     | SH | DEFINED | 01 | 0 |
| FOSTER WHEELER LTD             | COM | H27178104 | 166    | 6127     | SH | DEFINED | 01 | 1 |
| LOGITECH INTERNATIONAL-REG     | COM | H50430232 | 10     | 600      | SH | DEFINED | 01 | 1 |
| NOBLE CORP                     | COM | H5833N103 | 45601  | 1090384  | SH | DEFINED | 01 | 0 |
| NOBLE CORP                     | COM | H5833N103 | 256    | 6126     | SH | DEFINED | 01 | 1 |
| TRANSOCEAN LTD                 | COM | H8817H100 | 249834 | 2892231  | SH | DEFINED | 01 | 0 |
| TRANSOCEAN LTD                 | COM | H8817H100 | 825    | 9552     | SH | DEFINED | 01 | 0 |
| TRANSOCEAN LTD                 | COM | H8817H100 | 1118   | 12945    | SH | DEFINED | 01 | 1 |
| TYCO INTERNATIONAL LTD         | COM | H89128104 | 135178 | 3534104  | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD         | COM | H89128104 | 375    | 9814     | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD         | COM | H89128104 | 0      | 7        | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD         | COM | H89128104 | 189    | 4945     | SH | DEFINED | 01 | 1 |
| TYCO ELECTRONICS LTD           | COM | H8912P106 | 51602  | 1877726  | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD           | COM | H8912P106 | 105    | 3832     | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD           | COM | H8912P106 | 0      | 7        | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD           | COM | H8912P106 | 69     | 2526     | SH | DEFINED | 01 | 1 |
| UBS AG-REG                     | COM | H89231338 | 2567   | 157666   | SH | DEFINED | 01 | 0 |
| UBS AG-REG                     | COM | H89231338 | 80     | 4923     | SH | DEFINED | 01 | 1 |
| ALTISOURCE PORTFOLIO SOL       | COM | L0175J104 | 20     | 900      | SH | DEFINED | 01 | 0 |

Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                 |     |           |        |          |    |         |    |   |
|---------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| ALTISOURCE PORTFOLIO SOL        | COM | L0175J104 | 4      | 200      | SH | DEFINED | 01 | 1 |
| MILLICOM INTL CELLULAR S.A.     | COM | L6388F110 | 82     | 920      | SH | DEFINED | 01 | 0 |
| MILLICOM INTL CELLULAR S.A.     | COM | L6388F110 | 4172   | 46803    | SH | DEFINED | 01 | 0 |
| MILLICOM INTL CELLULAR S.A.     | COM | L6388F110 | 31     | 350      | SH | DEFINED | 01 | 1 |
| ALVARION LTD ILS0.01 ISIN #IL00 | COM | M0861T100 | 36     | 9000     | SH | DEFINED | 01 | 1 |
| AUDIOCODES ILS0.01 ISIN #IL00   | COM | M15342104 | 638    | 157810   | SH | DEFINED | 01 | 1 |
| BLUEPHOENIX SOLUTIONS           | COM | M20157109 | 2      | 1000     | SH | DEFINED | 01 | 1 |
| CELLCOM ISRAEL LTD ILS0.01      | COM | M2196U109 | 109    | 3191     | SH | DEFINED | 01 | 1 |
| CERAGON NETWORKS NPVISIN #IL00  | COM | M22013102 | 8      | 750      | SH | DEFINED | 01 | 1 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 400568 | 11425236 | SH | DEFINED | 01 | 0 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 192    | 5484     | SH | DEFINED | 01 | 0 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 21     | 608      | SH | DEFINED | 01 | 1 |
| CLICKSOFTWARE TECHNOLOGI        | COM | M25082104 | 1      | 100      | SH | DEFINED | 01 | 1 |
| COMMTOUCH SOFTWARE COM ILS0.0   | COM | M25596202 | 1      | 166      | SH | DEFINED | 01 | 1 |
| ELBIT IMAGING LTD ILS1 ISIN     | COM | M37605108 | 2      | 100      | SH | DEFINED | 01 | 1 |
| ELBIT SYSTEMS LTD ILS1 ISIN     | COM | M3760D101 | 3      | 50       | SH | DEFINED | 01 | 1 |
| MELLANOX TECHNOLOGIES LTD       | COM | M51363113 | 14213  | 602988   | SH | DEFINED | 01 | 0 |
| MELLANOX TECHNOLOGIES LTD       | COM | M51363113 | 268    | 11385    | SH | DEFINED | 01 | 0 |
| GILAT SATELLITE NETWORKS O      | COM | M51474118 | 0      | 13       | SH | DEFINED | 01 | 1 |
| GIVEN IMAGING COM ILS0.05 IS    | COM | M52020100 | 33     | 1400     | SH | DEFINED | 01 | 1 |
| INCREDIMAIL LIMITED COM STK IL  | COM | M5364E104 | 10     | 1500     | SH | DEFINED | 01 | 1 |
| ITURAN LOCATION AND CONTROL     | COM | M6158M104 | 1832   | 115054   | SH | DEFINED | 01 | 0 |
| NOVA MEASURING INSTRUMENTS      | COM | M7516K103 | 4036   | 736600   | SH | DEFINED | 01 | 0 |
| NOVA MEASURING INSTRUMENTS      | COM | M7516K103 | 97     | 17770    | SH | DEFINED | 01 | 0 |
| ORBOTECH ORD ILS0.14            | COM | M75253100 | 1      | 100      | SH | DEFINED | 01 | 1 |
| RRSAT GLOBAL COMM NETWORK LT    | COM | M8183P102 | 15     | 1200     | SH | DEFINED | 01 | 1 |
| RETALIX LTD                     | COM | M8215W109 | 65     | 4619     | SH | DEFINED | 01 | 0 |
| SHAMIR OPTICAL INDUSTRY L       | COM | M83683108 | 1      | 100      | SH | DEFINED | 01 | 1 |
| SYNERON MEDICAL LTD COM ILS0.0  | COM | M87245102 | 14     | 1249     | SH | DEFINED | 01 | 1 |
| TOWER SEMICONDUCTOR ORD ILS1 I  | COM | M87915100 | 4      | 2500     | SH | DEFINED | 01 | 1 |
| VOLTAIRE LTD                    | COM | M97613109 | 18     | 3343     | SH | DEFINED | 01 | 0 |
| ASML HOLDING NV - NY REG SHS    | COM | N07059186 | 2159   | 61000    | SH | DEFINED | 01 | 1 |
| ASML HOLDING NV - NY REG SHS    | COM | N07059186 | 23     | 648      | SH | DEFINED | 01 | 1 |
| CNH GLOBAL N.V.                 | COM | N20935206 | 1382   | 44955    | SH | DEFINED | 01 | 0 |
| CNH GLOBAL N.V.                 | COM | N20935206 | 1261   | 41024    | SH | DEFINED | 01 | 1 |
| CORE LABORATORIES N.V.          | COM | N22717107 | 618    | 4727     | SH | DEFINED | 01 | 0 |
| CORE LABORATORIES N.V.          | COM | N22717107 | 62     | 475      | SH | DEFINED | 01 | 1 |
| ORTHOFIX INTERNATIONAL NV       | COM | N6748L102 | 138    | 3800     | SH | DEFINED | 01 | 0 |
| ORTHOFIX INTERNATIONAL NV       | COM | N6748L102 | 127    | 3502     | SH | DEFINED | 01 | 1 |
| QIAGEN NV COM EUR0.01           | COM | N72482107 | 144    | 6259     | SH | DEFINED | 01 | 1 |
| SENSATA TECHNOLOGIES HOLDING    | COM | N7902X106 | 24646  | 1372356  | SH | DEFINED | 01 | 0 |
| VISTAPRINT NV                   | COM | N93540107 | 2877   | 50236    | SH | DEFINED | 01 | 0 |
| VISTAPRINT NV                   | COM | N93540107 | 36     | 630      | SH | DEFINED | 01 | 1 |
| BANCO LATINOAMER                | COM | P16994132 | 3      | 190      | SH | DEFINED | 01 | 1 |
| COPA HOLDINGS SA-CLASS A        | COM | P31076105 | 197    | 3235     | SH | DEFINED | 01 | 0 |
| COPA HOLDINGS SA-CLASS A        | COM | P31076105 | 35285  | 580338   | SH | DEFINED | 01 | 0 |
| COPA HOLDINGS SA-CLASS A        | COM | P31076105 | 55645  | 915333   | SH | DEFINED | 01 | 1 |
| SINOVAC BIOTECH COM USD0.001    | COM | P8696W104 | 15     | 2500     | SH | DEFINED | 01 | 1 |
| STEINER LEISURE COM STK USD0.0  | COM | P8744Y102 | 8      | 191      | SH | DEFINED | 01 | 1 |
| NATIONAL BANK HOLDINGS-REG S    | COM | U63766106 | 800    | 40000    | SH | DEFINED | 01 | 0 |



Edgar Filing: AMERIPRISE FINANCIAL INC - Form 13F-HR

|                                |     |           |       |          |    |         |    |   |
|--------------------------------|-----|-----------|-------|----------|----|---------|----|---|
| NORTH AMERICAN FINANCIAL HOLDI | COM | U65700301 | 760   | 40000    | SH | DEFINED | 01 | 0 |
| EXCEL MARITIME CARRIERS C      | COM | V3267N107 | 28    | 4642     | SH | DEFINED | 01 | 1 |
| ROYAL CARIBBEAN CRUISES LTD    | COM | V7780T103 | 37611 | 1140063  | SH | DEFINED | 01 | 0 |
| ROYAL CARIBBEAN CRUISES LTD    | COM | V7780T103 | 128   | 3874     | SH | DEFINED | 01 | 1 |
| VARDE FUND V LP NEW            | COM | VARVLP009 | 1486  | 30000000 | SH | DEFINED | 01 | 0 |
| AEGEAN MARINE PETROLEUM NETW.  | COM | Y0017S102 | 27879 | 982316   | SH | DEFINED | 01 | 0 |
| AEGEAN MARINE PETROLEUM NETW.  | COM | Y0017S102 | 7     | 255      | SH | DEFINED | 01 | 1 |
| AVAGO TECHNOLOGIES LTD         | COM | Y0486S104 | 73044 | 3552699  | SH | DEFINED | 01 | 0 |
| AVAGO TECHNOLOGIES LTD         | COM | Y0486S104 | 36    | 1774     | SH | DEFINED | 01 | 0 |
| CRUDE CARRIERS CORP.           | COM | Y1820X106 | 12322 | 723496   | SH | DEFINED | 01 | 0 |
| CRUDE CARRIERS CORP.           | COM | Y1820X106 | 150   | 8808     | SH | DEFINED | 01 | 0 |
| DANAOS CORP COM STK USD0.01    | COM | Y1968P105 | 2     | 500      | SH | DEFINED | 01 | 1 |
| DHT HOLDINGS INC COMSTK USD0.0 | COM | Y2065G105 | 5     | 1400     | SH | DEFINED | 01 | 1 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 7708  | 509783   | SH | DEFINED | 01 | 0 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 114   | 7528     | SH | DEFINED | 01 | 0 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 69    | 4546     | SH | DEFINED | 01 | 1 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 42469 | 7272063  | SH | DEFINED | 01 | 0 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 707   | 121084   | SH | DEFINED | 01 | 0 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 121   | 20700    | SH | DEFINED | 01 | 1 |
| EAGLE BULK SHIPPING INC COM US | COM | Y2187A101 | 0     | 32       | SH | DEFINED | 01 | 1 |
| EUROSEAS LTD COM STKNPV        | COM | Y23592200 | 2     | 636      | SH | DEFINED | 01 | 1 |
| FLEXTRONICS INTL LTD           | COM | Y2573F102 | 17770 | 2266560  | SH | DEFINED | 01 | 0 |
| FLEXTRONICS INTL LTD           | COM | Y2573F102 | 44    | 5656     | SH | DEFINED | 01 | 1 |
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 13111 | 621064   | SH | DEFINED | 01 | 0 |
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 234   | 11092    | SH | DEFINED | 01 | 0 |

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 52    | 2456    | SH | DEFINED | 01 | 1 |
| GENERAL MARITIME CORP          | COM | Y2693R101 | 833   | 115861  | SH | DEFINED | 01 | 0 |
| GENERAL MARITIME CORP          | COM | Y2693R101 | 9     | 1268    | SH | DEFINED | 01 | 1 |
| GIGAMEDIA LIMITED TWD10        | COM | Y2711Y104 | 2     | 500     | SH | DEFINED | 01 | 1 |
| NAVIOS MARITIME HOLDINGS I     | COM | Y62196103 | 44    | 6590    | SH | DEFINED | 01 | 1 |
| NAVIOS MARITIME PARTNERS L     | COM | Y62267102 | 78    | 4461    | SH | DEFINED | 01 | 1 |
| OCEANFREIGHT INC COMSTK USD0.0 | COM | Y64202107 | 1     | 1400    | SH | DEFINED | 01 | 1 |
| SEASPAN CORPORATION COM STK US | COM | Y75638109 | 44    | 4347    | SH | DEFINED | 01 | 1 |
| TEEKAY LNG PARTNERS LP PARTNER | COM | Y8564M105 | 34    | 1148    | SH | DEFINED | 01 | 1 |
| TEEKAY CORPORATION COM STK US  | COM | Y8564W103 | 13    | 554     | SH | DEFINED | 01 | 1 |
| TEEKAY OFFSHORE PARTNERS L     | COM | Y8565J101 | 4     | 181     | SH | DEFINED | 01 | 1 |
| TEEKAY TANKERS LTD COM STK US  | COM | Y8565N102 | 34    | 2672    | SH | DEFINED | 01 | 1 |
| VERIGY LTD                     | COM | Y93691106 | 28377 | 2538104 | SH | DEFINED | 01 | 0 |
| VERIGY LTD                     | COM | Y93691106 | 31    | 2763    | SH | DEFINED | 01 | 0 |
| VERIGY LTD                     | COM | Y93691106 | 5     | 481     | SH | DEFINED | 01 | 1 |