

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

AMERIPRISE FINANCIAL INC  
Form 13F-HR  
November 15, 2010

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

FORM 13 (F) COVER PAGE

Report for the Calendar Year or Quarter Ended: September 30, 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 | November 09, 2010 |
| -----           | -----           | -----             |
| [Signature]     | [City, State]   | [Date]            |

Report Type (Check only one.):

- [ ] 13F HOLDINGS REPORT.
- [ ] 13F NOTICE.
- [X] 13F COMBINATION REPORT.

FORM 13F SUMMARY PAGE

Report Summary:

Number of Other Included Managers: 8  
Form 13F Information Table Entry Total: 9115  
Form 13F Information Table Value Total: \$120760596

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

(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 | O<br>MA |
|---------------------------------|----------------|-----------|--------------------|--------------------|------------|--------------|--------------------|---------|
| CNH GLOBAL N.V.                 | COM            | 000029893 | 1581               | 43263              | SH         |              | DEFINED            | 01 1    |
| AAON INC                        | COM            | 000360206 | 2812               | 119571             | SH         |              | DEFINED            | 01 0    |
| AAR CORP                        | COM            | 000361105 | 23738              | 1272128            | SH         |              | DEFINED            | 01 0    |
| ABB LTD-SPON ADR                | COM            | 000375204 | 104075             | 4927797            | SH         |              | DEFINED            | 01 0    |
| ABB LTD-SPON ADR                | COM            | 000375204 | 277                | 13134              | SH         |              | DEFINED            | 01 0    |
| ABB LTD-SPON ADR                | COM            | 000375204 | 261                | 12340              | SH         |              | DEFINED            | 01 1    |
| ACCO BRANDS CORP                | COM            | 00081T108 | 732                | 127271             | SH         |              | DEFINED            | 01 0    |
| ACCO BRANDS CORP                | COM            | 00081T108 | 2                  | 397                | SH         |              | DEFINED            | 01 1    |
| ADC TELECOMMUNICATIONS INC      | COM            | 000886309 | 3590               | 283346             | SH         |              | DEFINED            | 01 0    |
| ADC TELECOMMUNICATIONS INC      | COM            | 000886309 | 7                  | 587                | SH         |              | DEFINED            | 01 1    |
| VISTAPRINT NV                   | COM            | 000927226 | 30691              | 794077             | SH         |              | DEFINED            | 01 1    |
| SENSATA TECHNOLOGIES HOLDING    | COM            | 000932490 | 48                 | 2600               | SH         |              | DEFINED            | 01 1    |
| ABM INDUSTRIES INC              | COM            | 000957100 | 14197              | 657605             | SH         |              | DEFINED            | 01 0    |
| ADPT CORP                       | COM            | 00101B103 | 2                  | 750                | SH         |              | DEFINED            | 01 0    |
| AEP INDUSTRIES INC              | COM            | 001031103 | 16                 | 665                | SH         |              | DEFINED            | 01 0    |
| AFC ENTERPRISES                 | COM            | 00104Q107 | 32                 | 2543               | SH         |              | DEFINED            | 01 0    |
| AFLAC INC                       | COM            | 001055102 | 113260             | 2190304            | SH         |              | DEFINED            | 01 0    |
| AFLAC INC                       | COM            | 001055102 | 1279               | 24727              | SH         |              | DEFINED            | 01 0    |
| AFLAC INC                       | COM            | 001055102 | 38257              | 739826             | SH         |              | DEFINED            | 01 1    |
| AFLAC INC                       | COM            | 001055102 | 747                | 14443              | SH         |              | DEFINED            | 01 1    |
| CHECK POINT SOFTWARE TECH       | COM            | 001082411 | 1682               | 48468              | SH         |              | DEFINED            | 01 1    |
| AGCO CORP                       | COM            | 001084102 | 191844             | 4917814            | SH         |              | DEFINED            | 01 0    |
| AGCO CORP                       | COM            | 001084102 | 1                  | 35                 | SH         |              | DEFINED            | 01 1    |
| AGIC CONV & INCOME FD COM       | COM            | 001190107 | 107                | 10840              | SH         |              | DEFINED            | 01 1    |
| AGIC CONV & INCOME FD II COM    | COM            | 001191105 | 418                | 45275              | SH         |              | DEFINED            | 01 1    |
| AGIC EQUITY & CONV INCOME FD    | COM            | 00119P102 | 60                 | 3525               | SH         |              | DEFINED            | 01 1    |
| AGIC INTL & PREM STRATEGY F     | COM            | 00119Q100 | 8                  | 584                | SH         |              | DEFINED            | 01 1    |
| AGIC GLOBAL EQUITY & CONV INCOM | COM            | 00119R108 | 35                 | 2300               | SH         |              | DEFINED            | 01 1    |
| AGL RESOURCES INC               | COM            | 001204106 | 7810               | 203552             | SH         |              | DEFINED            | 01 0    |
| AGL RESOURCES INC               | COM            | 001204106 | 45                 | 1166               | SH         |              | DEFINED            | 01 1    |
| AH BELO CORP-A                  | COM            | 001282102 | 10                 | 1495               | SH         |              | DEFINED            | 01 0    |
| AES CORP                        | COM            | 00130H105 | 133878             | 11794912           | SH         |              | DEFINED            | 01 0    |
| AES CORP                        | COM            | 00130H105 | 398                | 35050              | SH         |              | DEFINED            | 01 0    |
| AES CORP                        | COM            | 00130H105 | 245                | 21548              | SH         |              | DEFINED            | 01 1    |
| AK STEEL HOLDING CORP           | COM            | 001547108 | 10313              | 746819             | SH         |              | DEFINED            | 01 0    |
| AK STEEL HOLDING CORP           | COM            | 001547108 | 251                | 18106              | SH         |              | DEFINED            | 01 0    |
| AK STEEL HOLDING CORP           | COM            | 001547108 | 63                 | 4558               | SH         |              | DEFINED            | 01 1    |

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

|                                    |     |           |        |          |    |         |    |   |
|------------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| ALPS ETF TR COHEN & TEERS GLOB COM | COM | 00162Q106 | 36     | 1023     | SH | DEFINED | 01 | 1 |
| ALPS ETF TR THOMSON REUTERS/JE COM | COM | 00162Q304 | 10     | 225      | SH | DEFINED | 01 | 1 |
| ALPS ETF TR ALERIAN MLP ETF        | COM | 00162Q866 | 5      | 350      | SH | DEFINED | 01 | 1 |
| AMB PROPERTY CORP                  | COM | 00163T109 | 16888  | 638010   | SH | DEFINED | 01 | 0 |
| AMB PROPERTY CORP                  | COM | 00163T109 | 9      | 330      | SH | DEFINED | 01 | 1 |
| AMAG PHARMACEUTICALS INC           | COM | 00163U106 | 24     | 1390     | SH | DEFINED | 01 | 0 |
| AMAG PHARMACEUTICALS INC           | COM | 00163U106 | 0      | 15       | SH | DEFINED | 01 | 1 |
| AMN HEALTHCARE SERVICES INC        | COM | 001744101 | 1883   | 366274   | SH | DEFINED | 01 | 0 |
| AMN HEALTHCARE SERVICES INC        | COM | 001744101 | 93     | 18150    | SH | DEFINED | 01 | 1 |
| AMR CORP                           | COM | 001765106 | 11056  | 1763675  | SH | DEFINED | 01 | 0 |
| AMR CORP                           | COM | 001765106 | 56     | 8991     | SH | DEFINED | 01 | 0 |
| AMR CORP                           | COM | 001765106 | 98     | 15702    | SH | DEFINED | 01 | 1 |
| AMP LTD                            | COM | 0017EP103 | 10     | 520      | SH | DEFINED | 01 | 0 |
| AOL INC                            | COM | 00184X105 | 10929  | 441539   | SH | DEFINED | 01 | 0 |
| AOL INC                            | COM | 00184X105 | 172    | 6958     | SH | DEFINED | 01 | 1 |
| APAC CUSTOMER SERVICES INC         | COM | 00185E106 | 214    | 37725    | SH | DEFINED | 01 | 0 |
| AP PHARMA INC COM NEW              | COM | 00202J203 | 0      | 100      | SH | DEFINED | 01 | 1 |
| AT&T INC                           | COM | 00206R102 | 841812 | 29433999 | SH | DEFINED | 01 | 0 |
| AT&T INC                           | COM | 00206R102 | 399    | 13937    | SH | DEFINED | 01 | 0 |
| AT&T INC                           | COM | 00206R102 | 9466   | 330973   | SH | DEFINED | 01 | 0 |
| AT&T INC                           | COM | 00206R102 | 2350   | 82176    | SH | DEFINED | 01 | 1 |
| AT&T INC                           | COM | 00206R102 | 14304  | 500145   | SH | DEFINED | 01 | 1 |
| ATMI INC                           | COM | 00207R101 | 16908  | 1137874  | SH | DEFINED | 01 | 0 |
| ATP OIL & GAS CORPORATION          | COM | 00208J108 | 54     | 3915     | SH | DEFINED | 01 | 0 |
| ATP OIL & GAS CORPORATION          | COM | 00208J108 | 247    | 18086    | SH | DEFINED | 01 | 1 |
| ATC TECHNOLOGY CORP                | COM | 00211W104 | 2364   | 95564    | SH | DEFINED | 01 | 0 |
| ARCA BIOPHARMA INC COM             | COM | 00211Y100 | 8      | 2000     | SH | DEFINED | 01 | 1 |
| AU OPTRONICS CORP-SPON ADR         | COM | 002255107 | 38     | 3645     | SH | DEFINED | 01 | 0 |
| AU OPTRONICS CORP-SPON ADR         | COM | 002255107 | 5      | 515      | SH | DEFINED | 01 | 1 |
| AMDOCS LTD                         | COM | 002256908 | 1780   | 58727    | SH | DEFINED | 01 | 1 |
| AVI BIOPHARMA INC                  | COM | 002346104 | 16     | 8925     | SH | DEFINED | 01 | 0 |
| AVI BIOPHARMA INC                  | COM | 002346104 | 2      | 1000     | SH | DEFINED | 01 | 1 |
| AVX CORP                           | COM | 002444107 | 10     | 700      | SH | DEFINED | 01 | 0 |
| AXT INC                            | COM | 00246W103 | 17     | 2675     | SH | DEFINED | 01 | 0 |
| AZZ INC                            | COM | 002474104 | 3371   | 78675    | SH | DEFINED | 01 | 0 |
| AARON'S INC                        | COM | 002535201 | 10613  | 575160   | SH | DEFINED | 01 | 0 |
| AARON'S INC                        | COM | 002535201 | 0      | 24       | SH | DEFINED | 01 | 1 |
| AASTROM BIOSCIENCES INC COM NE     | COM | 00253U305 | 0      | 225      | SH | DEFINED | 01 | 1 |
| ABAXIS INC                         | COM | 002567105 | 2434   | 105360   | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES                | COM | 002824100 | 466943 | 8938474  | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES                | COM | 002824100 | 4644   | 88898    | SH | DEFINED | 01 | 0 |
| ABBOTT LABORATORIES                | COM | 002824100 | 13701  | 271106   | SH | DEFINED | 01 | 1 |
| ABBOTT LABORATORIES                | COM | 002824100 | 3705   | 70920    | SH | DEFINED | 01 | 1 |
| ABERCROMBIE & FITCH CO-CL A        | COM | 002896207 | 32504  | 826712   | SH | DEFINED | 01 | 0 |
| ABERCROMBIE & FITCH CO-CL A        | COM | 002896207 | 235    | 5986     | SH | DEFINED | 01 | 0 |
| ABERCROMBIE & FITCH CO-CL A        | COM | 002896207 | 15412  | 392369   | SH | DEFINED | 01 | 1 |
| ABERCROMBIE & FITCH CO-CL A        | COM | 002896207 | 7      | 177      | SH | DEFINED | 01 | 1 |
| ABERDEEN ASIA PACIFIC IN           | COM | 003009107 | 140    | 20141    | SH | DEFINED | 01 | 1 |
| ABERDEEN AUSTRALIA EQUITY FD       | COM | 003011103 | 12     | 1000     | SH | DEFINED | 01 | 1 |
| ABERDEEN GLOBAL INCOME FD          | COM | 003013109 | 10     | 800      | SH | DEFINED | 01 | 1 |
| ABERDEEN EMERGING MKTS TELEC       | COM | 00301T102 | 19     | 999      | SH | DEFINED | 01 | 1 |
| ABERDEEN CHILE FD INC COM          | COM | 00301W105 | 48     | 2086     | SH | DEFINED | 01 | 1 |
| NOBLE CORP                         | COM | 003334731 | 2185   | 64676    | SH | DEFINED | 01 | 1 |
| ABINGTON BANCORP INC               | COM | 00350L109 | 4432   | 420482   | SH | DEFINED | 01 | 0 |
| ABIOMED INC                        | COM | 003654100 | 23     | 2145     | SH | DEFINED | 01 | 0 |
| ABIOMED INC                        | COM | 003654100 | 2      | 200      | SH | DEFINED | 01 | 1 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ABOVENET INC                 | COM | 00374N107 | 4186   | 80355   | SH | DEFINED | 01 | 0 |
| ABRAXAS PETROLEUM CORP       | COM | 003830106 | 15     | 5400    | SH | DEFINED | 01 | 0 |
| ABRAXIS BIOSCIENCE INC       | COM | 00383Y102 | 224    | 2895    | SH | DEFINED | 01 | 0 |
| ABRAXIS BIOSCIENCE INC       | COM | 00383Y102 | 3      | 43      | SH | DEFINED | 01 | 1 |
| ACACIA RESEARCH - ACACIA TEC | COM | 003881307 | 40     | 2270    | SH | DEFINED | 01 | 0 |
| WEATHERFORD INTL LTD         | COM | 003883839 | 46882  | 2743164 | SH | DEFINED | 01 | 1 |
| ACADIA REALTY TRUST          | COM | 004239109 | 12392  | 652222  | SH | DEFINED | 01 | 0 |
| ACADIA REALTY TRUST          | COM | 004239109 | 0      | 21      | SH | DEFINED | 01 | 1 |
| ACCELRY'S INC                | COM | 00430U103 | 7608   | 1093218 | SH | DEFINED | 01 | 0 |
| ACCELRY'S INC                | COM | 00430U103 | 11     | 1560    | SH | DEFINED | 01 | 1 |
| ACCRETIVE HEALTH INC         | COM | 00438V103 | 8      | 750     | SH | DEFINED | 01 | 0 |
| ACCRETIVE HEALTH INC         | COM | 00438V103 | 2082   | 192763  | SH | DEFINED | 01 | 1 |
| ACCURAY INC                  | COM | 004397105 | 32     | 5040    | SH | DEFINED | 01 | 0 |
| ACCURAY INC                  | COM | 004397105 | 12     | 2000    | SH | DEFINED | 01 | 1 |
| ACERGY SA-SPON ADR           | COM | 00443E104 | 6      | 350     | SH | DEFINED | 01 | 0 |
| ACERGY SA-SPON ADR           | COM | 00443E104 | 2      | 124     | SH | DEFINED | 01 | 1 |
| ACETO CORP                   | COM | 004446100 | 21     | 3150    | SH | DEFINED | 01 | 0 |
| ACETO CORP                   | COM | 004446100 | 27     | 3940    | SH | DEFINED | 01 | 1 |
| ACI WORLDWIDE INC            | COM | 004498101 | 1880   | 83989   | SH | DEFINED | 01 | 0 |
| ACI WORLDWIDE INC            | COM | 004498101 | 4      | 180     | SH | DEFINED | 01 | 1 |
| ACME PACKET INC              | COM | 004764106 | 694    | 18265   | SH | DEFINED | 01 | 0 |
| ACME PACKET INC              | COM | 004764106 | 29     | 755     | SH | DEFINED | 01 | 1 |
| TRANSOCEAN LTD               | COM | 004826551 | 1073   | 16687   | SH | DEFINED | 01 | 1 |
| ACOM CO LTD                  | COM | 004845202 | 10     | 2730    | SH | DEFINED | 01 | 0 |
| ACORDA THERAPEUTICS INC      | COM | 00484M106 | 12972  | 392862  | SH | DEFINED | 01 | 0 |
| ACORDA THERAPEUTICS INC      | COM | 00484M106 | 3      | 100     | SH | DEFINED | 01 | 1 |
| ACORN INTERNATIONAL INC-ADR  | COM | 004854105 | 1      | 140     | SH | DEFINED | 01 | 0 |
| ACTEL CORP                   | COM | 004934105 | 1971   | 123550  | SH | DEFINED | 01 | 0 |
| ACTIVE PWR INC               | COM | 00504W100 | 36     | 27150   | SH | DEFINED | 01 | 1 |
| ACTIVIDENTITY CORP COM       | COM | 00506P103 | 0      | 10      | SH | DEFINED | 01 | 1 |
| ACTIVISION BLIZZARD INC      | COM | 00507V109 | 9914   | 916149  | SH | DEFINED | 01 | 0 |
| ACTIVISION BLIZZARD INC      | COM | 00507V109 | 933    | 86216   | SH | DEFINED | 01 | 1 |
| ACTIVISION BLIZZARD INC      | COM | 00507V109 | 972    | 89827   | SH | DEFINED | 01 | 1 |
| ACTUATE CORPORATION          | COM | 00508B102 | 19     | 3695    | SH | DEFINED | 01 | 0 |
| ACTUATE CORPORATION          | COM | 00508B102 | 2      | 300     | SH | DEFINED | 01 | 1 |
| ACTUANT CORP-CL A            | COM | 00508X203 | 9992   | 435223  | SH | DEFINED | 01 | 0 |
| ACTUANT CORP-CL A            | COM | 00508X203 | 23     | 1017    | SH | DEFINED | 01 | 1 |
| ACUITY BRANDS INC            | COM | 00508Y102 | 10104  | 228350  | SH | DEFINED | 01 | 0 |
| ACURA PHARMACEUTICALS INC    | COM | 00509L703 | 3      | 925     | SH | DEFINED | 01 | 0 |
| ACXIOM CORP                  | COM | 005125109 | 14142  | 891717  | SH | DEFINED | 01 | 0 |
| ACXIOM CORP                  | COM | 005125109 | 22     | 1400    | SH | DEFINED | 01 | 1 |
| ADA ES INC COM               | COM | 005208103 | 6      | 1300    | SH | DEFINED | 01 | 1 |
| ADAMS GOLF INC COM NEW       | COM | 006228209 | 246    | 55804   | SH | DEFINED | 01 | 1 |
| ADECCO SA                    | COM | 006754204 | 3      | 120     | SH | DEFINED | 01 | 0 |
| ADIDAS AG                    | COM | 00687A107 | 53     | 1729    | SH | DEFINED | 01 | 0 |
| ADMINISTAFF INC              | COM | 007094105 | 11925  | 442853  | SH | DEFINED | 01 | 0 |
| A.F.P. PROVIDA SA-SPONS ADR  | COM | 00709P108 | 4      | 70      | SH | DEFINED | 01 | 0 |
| ADOBE SYSTEMS INC            | COM | 00724F101 | 116323 | 4448312 | SH | DEFINED | 01 | 0 |
| ADOBE SYSTEMS INC            | COM | 00724F101 | 722    | 27595   | SH | DEFINED | 01 | 0 |
| ADOBE SYSTEMS INC            | COM | 00724F101 | 10122  | 294100  | SH | DEFINED | 01 | 1 |
| ADOBE SYSTEMS INC            | COM | 00724F101 | 453    | 17319   | SH | DEFINED | 01 | 1 |
| ADTRAN INC                   | COM | 00738A106 | 16787  | 475541  | SH | DEFINED | 01 | 0 |
| ADVANCE AMERICA CASH ADVANCE | COM | 00739W107 | 21     | 5250    | SH | DEFINED | 01 | 0 |
| ADVANCE AMERICA CASH ADVANCE | COM | 00739W107 | 4      | 1100    | SH | DEFINED | 01 | 1 |
| ADVANCE AUTO PARTS INC       | COM | 00751Y106 | 66146  | 1127263 | SH | DEFINED | 01 | 0 |
| ADVANCE AUTO PARTS INC       | COM | 00751Y106 | 2635   | 44901   | SH | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| ADVANCE AUTO PARTS INC         | COM      | 00751Y106 | 44148  | 752349  | SH  | DEFINED | 01 | 1 |
| ADVANCE AUTO PARTS INC         | COM      | 00751Y106 | 16     | 273     | SH  | DEFINED | 01 | 1 |
| ADVANCED BATTERY TECHNOLOGIE   | COM      | 00752H102 | 19     | 5295    | SH  | DEFINED | 01 | 0 |
| ADVANCED BATTERY TECHNOLOGIE   | COM      | 00752H102 | 3      | 800     | SH  | DEFINED | 01 | 1 |
| ADVANCED ANALOGIC TECHNOLOGI   | COM      | 00752J108 | 12665  | 3608349 | SH  | DEFINED | 01 | 0 |
| ADVANCED INFO SVCS-SPON ADR    | COM      | 00753G103 | 1      | 500     | SH  | DEFINED | 01 | 0 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM      | 00756M404 | 6      | 1524    | SH  | DEFINED | 01 | 0 |
| ADVANCED SEMICONDUCTOR E-ADR   | COM      | 00756M404 | 5      | 1297    | SH  | DEFINED | 01 | 1 |
| ADVANSTAR COMMUNICATIONS INC   | COM      | 00758R104 | 229    | 18911   | SH  | DEFINED | 01 | 0 |
| AEON CO LTD                    | COM      | 007627102 | 62     | 5810    | SH  | DEFINED | 01 | 0 |
| ADVANTEST CORP-ADR             | COM      | 00762U200 | 5      | 275     | SH  | DEFINED | 01 | 0 |
| ADVISORY BOARD CO/THE          | COM      | 00762W107 | 19142  | 433569  | SH  | DEFINED | 01 | 0 |
| ADVENT CLAYMORE GLOBAL CON     | COM      | 007639107 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| ADVENT CLAYMORE CONV SECS      | COM      | 00764C109 | 187    | 10570   | SH  | DEFINED | 01 | 1 |
| ADVENTRX PHARMACEUT            | COM      | 00764X202 | 0      | 4       | SH  | DEFINED | 01 | 1 |
| ADVANTAGE OIL & GAS LTD COM NP | COM      | 00765F101 | 61     | 9646    | SH  | DEFINED | 01 | 1 |
| AECOM TECHNOLOGY CORP          | COM      | 00766T100 | 66197  | 2728662 | SH  | DEFINED | 01 | 0 |
| AECOM TECHNOLOGY CORP          | COM      | 00766T100 | 251    | 10350   | SH  | DEFINED | 01 | 1 |
| AEROPOSTALE INC                | COM      | 007865108 | 17987  | 773618  | SH  | DEFINED | 01 | 0 |
| AEROPOSTALE INC                | COM      | 007865108 | 26     | 1138    | SH  | DEFINED | 01 | 1 |
| ADVANCED MICRO DEVICES         | COM      | 007903107 | 31032  | 4364444 | SH  | DEFINED | 01 | 0 |
| ADVANCED MICRO DEVICES         | COM      | 007903107 | 212    | 29784   | SH  | DEFINED | 01 | 0 |
| ADVANCED MICRO DEVICES         | COM      | 007903107 | 26442  | 3724164 | SH  | DEFINED | 01 | 1 |
| ADVANCED MICRO DEVICES         | COM      | 007903107 | 496    | 69708   | SH  | DEFINED | 01 | 1 |
| ADVANCED MICRO DEVICES INC     | CONV BND | 007903AL1 | 4145   | 4213000 | PRN | DEFINED | 01 | 0 |
| AEGON N.V.-NY REG SHR          | COM      | 007924103 | 52     | 8780    | SH  | DEFINED | 01 | 0 |
| AEGON N.V.-NY REG SHR          | COM      | 007924103 | 61     | 10146   | SH  | DEFINED | 01 | 1 |
| ADVANCED ENERGY INDUSTRIES     | COM      | 007973100 | 3003   | 229980  | SH  | DEFINED | 01 | 0 |
| ADVANCED ENERGY INDUSTRIES     | COM      | 007973100 | 18     | 1398    | SH  | DEFINED | 01 | 0 |
| ADVENT SOFTWARE INC            | COM      | 007974108 | 23502  | 450324  | SH  | DEFINED | 01 | 0 |
| ADVENT SOFTWARE INC            | COM      | 007974108 | 2      | 40      | SH  | DEFINED | 01 | 1 |
| AETERNA ZENTARIS INCCOM NPV IS | COM      | 007975204 | 1      | 800     | SH  | DEFINED | 01 | 1 |
| AEROVIRONMENT INC              | COM      | 008073108 | 1581   | 71088   | SH  | DEFINED | 01 | 0 |
| AEROVIRONMENT INC              | COM      | 008073108 | 8      | 350     | SH  | DEFINED | 01 | 1 |
| AES TIETE SA-ADR               | COM      | 00808P207 | 2      | 200     | SH  | DEFINED | 01 | 0 |
| AETNA INC                      | COM      | 00817Y108 | 38938  | 1231888 | SH  | DEFINED | 01 | 0 |
| AETNA INC                      | COM      | 00817Y108 | 2486   | 78635   | SH  | DEFINED | 01 | 0 |
| AETNA INC                      | COM      | 00817Y108 | 694    | 21942   | SH  | DEFINED | 01 | 0 |
| AETNA INC                      | COM      | 00817Y108 | 9166   | 289897  | SH  | DEFINED | 01 | 1 |
| AETNA INC                      | COM      | 00817Y108 | 489    | 15467   | SH  | DEFINED | 01 | 1 |
| AFFILIATED MANAGERS GROUP      | COM      | 008252108 | 42705  | 547433  | SH  | DEFINED | 01 | 0 |
| AFFILIATED MANAGERS GROUP      | COM      | 008252108 | 132    | 1698    | SH  | DEFINED | 01 | 0 |
| AFFILIATED MANAGERS GROUP      | COM      | 008252108 | 7938   | 101774  | SH  | DEFINED | 01 | 1 |
| AFFILIATED MANAGERS GROUP      | COM      | 008252108 | 1      | 16      | SH  | DEFINED | 01 | 1 |
| AFFYMAX INC                    | COM      | 00826A109 | 20     | 3305    | SH  | DEFINED | 01 | 0 |
| AFFYMETRIX INC                 | COM      | 00826T108 | 1539   | 337445  | SH  | DEFINED | 01 | 0 |
| AFFYMETRIX INC                 | COM      | 00826T108 | 1      | 300     | SH  | DEFINED | 01 | 1 |
| AFFIRMATIVE INSURANCE HOLDIN   | COM      | 008272106 | 1      | 150     | SH  | DEFINED | 01 | 0 |
| AFRICAN BANK INVESTMENTS-ADR   | COM      | 00828W109 | 3      | 100     | SH  | DEFINED | 01 | 0 |
| AGA MEDICAL HOLDINGS INC       | COM      | 008368102 | 10617  | 760544  | SH  | DEFINED | 01 | 0 |
| AGA MEDICAL HOLDINGS INC       | COM      | 008368102 | 226    | 16213   | SH  | DEFINED | 01 | 0 |
| AGFEED INDS INC COM            | COM      | 00846L101 | 1      | 300     | SH  | DEFINED | 01 | 1 |
| AGILENT TECHNOLOGIES INC       | COM      | 00846U101 | 216182 | 6478353 | SH  | DEFINED | 01 | 0 |
| AGILENT TECHNOLOGIES INC       | COM      | 00846U101 | 715    | 21439   | SH  | DEFINED | 01 | 0 |
| AGILENT TECHNOLOGIES INC       | COM      | 00846U101 | 55     | 1800    | SH  | DEFINED | 01 | 1 |
| AGILENT TECHNOLOGIES INC       | COM      | 00846U101 | 246    | 7384    | SH  | DEFINED | 01 | 1 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| AGNICO-EAGLE MINES LTD       | COM | 008474108 | 42794  | 602496  | SH | DEFINED | 01 | 0 |
| AGNICO-EAGLE MINES LTD       | COM | 008474108 | 245    | 3456    | SH | DEFINED | 01 | 1 |
| AGILYSYS INC                 | COM | 00847J105 | 1240   | 190842  | SH | DEFINED | 01 | 0 |
| AGILYSYS INC                 | COM | 00847J105 | 3      | 500     | SH | DEFINED | 01 | 1 |
| AGREE REALTY CORP            | COM | 008492100 | 411    | 16255   | SH | DEFINED | 01 | 0 |
| AGREE REALTY CORP            | COM | 008492100 | 23     | 900     | SH | DEFINED | 01 | 1 |
| AGRIA CORP - ADR             | COM | 00850H103 | 1      | 360     | SH | DEFINED | 01 | 0 |
| AIFUL CORP-UNSPON ADR        | COM | 00873N103 | 0      | 270     | SH | DEFINED | 01 | 0 |
| AGRIUM INC                   | COM | 008916108 | 36109  | 481510  | SH | DEFINED | 01 | 0 |
| AGRIUM INC                   | COM | 008916108 | 150    | 2005    | SH | DEFINED | 01 | 1 |
| AIR CHINA LTD                | COM | 00910M100 | 5      | 170     | SH | DEFINED | 01 | 0 |
| AIR FRANCE-KLM-ADR           | COM | 009119108 | 6668   | 435340  | SH | DEFINED | 01 | 0 |
| AIR LIQUIDE-UNSPONSORED ADR  | COM | 009126202 | 94     | 3854    | SH | DEFINED | 01 | 0 |
| AIR METHODS CORP             | COM | 009128307 | 33288  | 800567  | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 149759 | 1808250 | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 120    | 1450    | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 1275   | 15401   | SH | DEFINED | 01 | 0 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 68104  | 822912  | SH | DEFINED | 01 | 1 |
| AIR PRODUCTS & CHEMICALS INC | COM | 009158106 | 418    | 5047    | SH | DEFINED | 01 | 1 |
| AIR TRANSPORT SERVICES GROUP | COM | 00922R105 | 24     | 3920    | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 2362   | 34736   | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 265    | 3905    | SH | DEFINED | 01 | 0 |
| AIRGAS INC                   | COM | 009363102 | 2      | 23      | SH | DEFINED | 01 | 1 |
| AIRMEDIA GROUP INC-ADR       | COM | 009411109 | 0      | 10      | SH | DEFINED | 01 | 0 |
| AIRMEDIA GROUP INC-ADR       | COM | 009411109 | 1      | 100     | SH | DEFINED | 01 | 1 |
| AIRTRAN HOLDINGS INC         | COM | 00949P108 | 17483  | 2378611 | SH | DEFINED | 01 | 0 |
| AIRTRAN HOLDINGS INC         | COM | 00949P108 | 1      | 103     | SH | DEFINED | 01 | 1 |
| AIXTRON AG SPONSORED ADR     | COM | 009606104 | 4      | 150     | SH | DEFINED | 01 | 0 |
| AIXTRON AG SPONSORED ADR     | COM | 009606104 | 15     | 510     | SH | DEFINED | 01 | 1 |
| AKBANK TURK ANONIM SIRKE     | COM | 009719501 | 21     | 1675    | SH | DEFINED | 01 | 0 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 241908 | 4820769 | SH | DEFINED | 01 | 0 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 588    | 11728   | SH | DEFINED | 01 | 0 |
| AKAMAI TECHNOLOGIES          | COM | 00971T101 | 251    | 5006    | SH | DEFINED | 01 | 1 |
| AKEENA SOLAR INC COM         | COM | 009720103 | 0      | 500     | SH | DEFINED | 01 | 1 |
| AKORN INC                    | COM | 009728106 | 2250   | 556925  | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                 | COM | 00B3QN1M2 | 54064  | 1345546 | SH | DEFINED | 01 | 1 |
| ACCENTURE PLC                | COM | 00B4BNM3  | 124223 | 2924240 | SH | DEFINED | 01 | 1 |
| SEAGATE TECHNOLOGY           | COM | 00B58JVZ5 | 709    | 60143   | SH | DEFINED | 01 | 1 |
| INGERSOLL-RAND PLC           | COM | 00B633030 | 73932  | 2070302 | SH | DEFINED | 01 | 1 |
| ELECTROLUX AB -SPONS ADR B   | COM | 010198208 | 33     | 653     | SH | DEFINED | 01 | 0 |
| AKZO NOBEL NV-SPON ADR       | COM | 010199305 | 120    | 1935    | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD         | COM | 010299318 | 118821 | 4066397 | SH | DEFINED | 01 | 1 |
| ALAMO GROUP INC              | COM | 011311107 | 285    | 12770   | SH | DEFINED | 01 | 0 |
| ALAMO GROUP INC              | COM | 011311107 | 80     | 3600    | SH | DEFINED | 01 | 1 |
| ALASKA AIR GROUP INC         | COM | 011659109 | 29406  | 576241  | SH | DEFINED | 01 | 0 |
| ALASKA COMM SYSTEMS GROUP    | COM | 01167P101 | 495    | 48769   | SH | DEFINED | 01 | 0 |
| ALASKA COMM SYSTEMS GROUP    | COM | 01167P101 | 218    | 21489   | SH | DEFINED | 01 | 1 |
| ALBANY INTL CORP-CL A        | COM | 012348108 | 21649  | 1144215 | SH | DEFINED | 01 | 0 |
| ALBANY MOLECULAR RESEARCH    | COM | 012423109 | 25     | 3915    | SH | DEFINED | 01 | 0 |
| ALBANY MOLECULAR RESEARCH    | COM | 012423109 | 1      | 200     | SH | DEFINED | 01 | 1 |
| ALBEMARLE CORP               | COM | 012653101 | 70663  | 1509555 | SH | DEFINED | 01 | 0 |
| ALBEMARLE CORP               | COM | 012653101 | 1      | 30      | SH | DEFINED | 01 | 1 |
| ALBERTO-CULVER CO            | COM | 013078100 | 9993   | 265395  | SH | DEFINED | 01 | 0 |
| ALBERTO-CULVER CO            | COM | 013078100 | 5725   | 152061  | SH | DEFINED | 01 | 1 |
| ALBERTO-CULVER CO            | COM | 013078100 | 47     | 1244    | SH | DEFINED | 01 | 1 |
| ALCOA INC                    | COM | 013817101 | 53201  | 4393065 | SH | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| ALCOA INC                      | COM      | 013817101 | 860    | 71007   | SH  | DEFINED | 01 | 0 |
| ALCOA INC                      | COM      | 013817101 | 474    | 39101   | SH  | DEFINED | 01 | 1 |
| ALCATEL-LUCENT-SPONSORED ADR   | COM      | 013904305 | 9407   | 2783010 | SH  | DEFINED | 01 | 0 |
| ALCATEL-LUCENT-SPONSORED ADR   | COM      | 013904305 | 171    | 50678   | SH  | DEFINED | 01 | 0 |
| ALCATEL-LUCENT-SPONSORED ADR   | COM      | 013904305 | 129    | 38249   | SH  | DEFINED | 01 | 1 |
| ALEXANDER & BALDWIN INC        | COM      | 014482103 | 8521   | 244562  | SH  | DEFINED | 01 | 0 |
| ALEXANDER & BALDWIN INC        | COM      | 014482103 | 24     | 700     | SH  | DEFINED | 01 | 1 |
| ALERE INC                      | COM      | 01449J105 | 90     | 2900    | SH  | DEFINED | 01 | 1 |
| ALERE INC                      | COM      | 01449J105 | 26     | 845     | SH  | DEFINED | 01 | 1 |
| INVERNESS MEDICAL CONV BD      | CONV BND | 01449JAA3 | 1717   | 1810000 | PRN | DEFINED | 01 | 0 |
| ALEXANDER'S INC                | COM      | 014752109 | 105    | 333     | SH  | DEFINED | 01 | 0 |
| ALEXANDER'S INC                | COM      | 014752109 | 2      | 5       | SH  | DEFINED | 01 | 1 |
| ALEXANDRIA REAL ESTATE EQUIT   | COM      | 015271109 | 72481  | 1035441 | SH  | DEFINED | 01 | 0 |
| ALEXANDRIA REAL ESTATE EQUIT   | COM      | 015271109 | 1      | 16      | SH  | DEFINED | 01 | 1 |
| ALEXANDRIA REAL ESTATE EQUITIE | CONV PRF | 015271505 | 2224   | 94200   | SH  | DEFINED | 01 | 0 |
| ALEXION PHARMACEUTICALS INC    | COM      | 015351109 | 140387 | 2181289 | SH  | DEFINED | 01 | 0 |
| ALEXION PHARMACEUTICALS INC    | COM      | 015351109 | 321    | 4989    | SH  | DEFINED | 01 | 0 |
| ALEXION PHARMACEUTICALS INC    | COM      | 015351109 | 144    | 2240    | SH  | DEFINED | 01 | 1 |
| ALEXZA PHARMACEUTICALS INC     | COM      | 015384100 | 11     | 3450    | SH  | DEFINED | 01 | 0 |
| ALEXZA PHARMACEUTICALS INC     | COM      | 015384100 | 3      | 1000    | SH  | DEFINED | 01 | 1 |
| ALICO INC                      | COM      | 016230104 | 9      | 435     | SH  | DEFINED | 01 | 0 |
| ALIGN TECHNOLOGY INC           | COM      | 016255101 | 6466   | 330242  | SH  | DEFINED | 01 | 0 |
| ALIGN TECHNOLOGY INC           | COM      | 016255101 | 6      | 285     | SH  | DEFINED | 01 | 1 |
| ALIMERA SCIENCES INC           | COM      | 016259103 | 4      | 425     | SH  | DEFINED | 01 | 0 |
| ALKERMES INC                   | COM      | 01642T108 | 1079   | 73656   | SH  | DEFINED | 01 | 0 |
| ALKERMES INC                   | COM      | 01642T108 | 29     | 1973    | SH  | DEFINED | 01 | 0 |
| ALKERMES INC                   | COM      | 01642T108 | 1      | 95      | SH  | DEFINED | 01 | 1 |
| ALL NIPPON AIRWAYS-SPONS ADR   | COM      | 016630303 | 17     | 2230    | SH  | DEFINED | 01 | 0 |
| ALLEGHANY CORP                 | COM      | 017175100 | 2846   | 9388    | SH  | DEFINED | 01 | 0 |
| ALLEGHANY CORP                 | COM      | 017175100 | 16     | 53      | SH  | DEFINED | 01 | 1 |
| ALLEGHENY ENERGY INC           | COM      | 017361106 | 22309  | 909822  | SH  | DEFINED | 01 | 0 |
| ALLEGHENY ENERGY INC           | COM      | 017361106 | 218    | 8908    | SH  | DEFINED | 01 | 0 |
| ALLEGHENY ENERGY INC           | COM      | 017361106 | 181    | 7382    | SH  | DEFINED | 01 | 1 |
| ALLEGHENY TECHNOLOGIES INC     | COM      | 01741R102 | 62285  | 1340911 | SH  | DEFINED | 01 | 0 |
| ALLEGHENY TECHNOLOGIES INC     | COM      | 01741R102 | 241    | 5186    | SH  | DEFINED | 01 | 0 |
| ALLEGHENY TECHNOLOGIES INC     | COM      | 01741R102 | 78     | 1688    | SH  | DEFINED | 01 | 1 |
| ALLEGIANTRAVEL CO              | COM      | 01748X102 | 3826   | 90423   | SH  | DEFINED | 01 | 0 |
| ALLERGAN INC                   | COM      | 018490102 | 311725 | 4685492 | SH  | DEFINED | 01 | 0 |
| ALLERGAN INC                   | COM      | 018490102 | 1074   | 16148   | SH  | DEFINED | 01 | 0 |
| ALLERGAN INC                   | COM      | 018490102 | 92     | 1382    | SH  | DEFINED | 01 | 1 |
| ALLERGAN INC                   | CONV BND | 018490AK8 | 1177   | 1030000 | PRN | DEFINED | 01 | 0 |
| ALLERGAN INC                   | CONV BND | 018490AL6 | 1891   | 1655000 | PRN | DEFINED | 01 | 0 |
| ALLETE INC                     | COM      | 018522300 | 18236  | 500580  | SH  | DEFINED | 01 | 0 |
| ALLETE INC                     | COM      | 018522300 | 49     | 1355    | SH  | DEFINED | 01 | 1 |
| ALLIANCE CALIF MUN INCOME FD   | COM      | 018546101 | 118    | 8115    | SH  | DEFINED | 01 | 1 |
| ALLIANCE DATA SYSTEMS CORP     | COM      | 018581108 | 60338  | 924546  | SH  | DEFINED | 01 | 0 |
| ALLIANCE DATA SYSTEMS CORP     | COM      | 018581108 | 44565  | 682893  | SH  | DEFINED | 01 | 1 |
| ALLIANCE DATA SYSTEMS CORP     | COM      | 018581108 | 6      | 90      | SH  | DEFINED | 01 | 1 |
| ALLIANCE HEALTHCARE SERVICE    | COM      | 018606202 | 55     | 12020   | SH  | DEFINED | 01 | 0 |
| ALLIANCE HLDGS GP LP COM UNI   | COM      | 01861G100 | 43     | 1000    | SH  | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN NATL MUN I   | COM      | 01864U106 | 44     | 3000    | SH  | DEFINED | 01 | 1 |
| ALLIANCE NY MUN INCOME FD      | COM      | 018714105 | 57     | 3924    | SH  | DEFINED | 01 | 1 |
| ALLIANCE ONE INTERNATIONAL     | COM      | 018772103 | 1815   | 437514  | SH  | DEFINED | 01 | 0 |
| ALLIANCE RESOURCE PARTNERS L   | COM      | 01877R108 | 470    | 8053    | SH  | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN GLOBAL HIG   | COM      | 01879R106 | 325    | 21943   | SH  | DEFINED | 01 | 1 |
| ALLIANT ENERGY CORP            | COM      | 018802108 | 15542  | 427556  | SH  | DEFINED | 01 | 0 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| ALLIANT ENERGY CORP            | COM      | 018802108 | 188    | 5177     | SH  | DEFINED | 01 | 1 |
| ALLIANT TECHSYSTEMS INC        | COM      | 018804104 | 6241   | 82769    | SH  | DEFINED | 01 | 0 |
| ALLIANT TECHSYSTEMS INC        | COM      | 018804104 | 467    | 6200     | SH  | DEFINED | 01 | 1 |
| ALLIANT TECHSYSTEMS INC        | CONV BND | 018804AK0 | 4120   | 3610000  | PRN | DEFINED | 01 | 0 |
| ALLIANZ SE-ADR                 | COM      | 018805101 | 201    | 17724    | SH  | DEFINED | 01 | 0 |
| ALLIANCEBERNSTEIN INCOME FD    | COM      | 01881E101 | 2748   | 327930   | SH  | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN HOLDING LP   | LP       | 01881G106 | 11     | 400      | SH  | DEFINED | 01 | 0 |
| ALLIANCEBERNSTEIN HOLDING LP   | LP       | 01881G106 | 342    | 12957    | SH  | DEFINED | 01 | 0 |
| ALLIANCEBERNSTEIN HOLDING LP   | LP       | 01881G106 | 792    | 30025    | SH  | DEFINED | 01 | 1 |
| ALLIANCEBERNSTEIN HOLDING LP   | LP       | 01881G106 | 285    | 10802    | SH  | DEFINED | 01 | 1 |
| ALLIANCE FINANCIAL CORP        | COM      | 019205103 | 14     | 460      | SH  | DEFINED | 01 | 0 |
| ALLIED IRISH BANKS-SPONS ADR   | COM      | 019228402 | 2      | 1180     | SH  | DEFINED | 01 | 0 |
| ALLIED IRISH BANKS-SPONS ADR   | COM      | 019228402 | 69     | 48308    | SH  | DEFINED | 01 | 1 |
| ALLIED HEALTHCARE INTL INC     | COM      | 01923A109 | 10     | 4100     | SH  | DEFINED | 01 | 0 |
| ALLIED NEVADA GOLD CORP        | COM      | 019344100 | 135    | 5085     | SH  | DEFINED | 01 | 0 |
| ALLIED NEVADA GOLD CORP        | COM      | 019344100 | 69     | 2600     | SH  | DEFINED | 01 | 1 |
| ALLIED NEVADA GOLD CORP        | COM      | 019344993 | 4465   | 168936   | SH  | DEFINED | 01 | 0 |
| ALLIS-CHALMERS ENERGY INC      | COM      | 019645506 | 23     | 5570     | SH  | DEFINED | 01 | 0 |
| ALLOS THERAPEUTICS INC         | COM      | 019777101 | 1653   | 350240   | SH  | DEFINED | 01 | 0 |
| ALLSCRIPTS HEALTHCARE SOLUTION | COM      | 01988P108 | 7421   | 401794   | SH  | DEFINED | 01 | 0 |
| ALLSCRIPTS HEALTHCARE SOLUTION | COM      | 01988P108 | 301    | 16300    | SH  | DEFINED | 01 | 1 |
| ALLSTATE CORP                  | COM      | 020002101 | 128868 | 4084588  | SH  | DEFINED | 01 | 0 |
| ALLSTATE CORP                  | COM      | 020002101 | 892    | 28281    | SH  | DEFINED | 01 | 0 |
| ALLSTATE CORP                  | COM      | 020002101 | 945    | 29947    | SH  | DEFINED | 01 | 1 |
| ALMOST FAMILY INC              | COM      | 020409108 | 1332   | 44959    | SH  | DEFINED | 01 | 0 |
| ALMOST FAMILY INC              | COM      | 020409108 | 26     | 876      | SH  | DEFINED | 01 | 1 |
| ALNYLAM PHARMACEUTICALS INC    | COM      | 02043Q107 | 40     | 3235     | SH  | DEFINED | 01 | 0 |
| ALNYLAM PHARMACEUTICALS INC    | COM      | 02043Q107 | 474    | 38665    | SH  | DEFINED | 01 | 1 |
| ALON HOLDINGS BLUE SQ-ADR      | COM      | 02051Q106 | 2      | 150      | SH  | DEFINED | 01 | 0 |
| ALON HOLDINGS BLUE SQ-ADR      | COM      | 02051Q106 | 3      | 215      | SH  | DEFINED | 01 | 1 |
| ALON USA ENERGY INC            | COM      | 020520102 | 3      | 505      | SH  | DEFINED | 01 | 0 |
| ALPHA BK A E                   | COM      | 02071M101 | 5      | 3290     | SH  | DEFINED | 01 | 0 |
| ALPHA NATURAL RESOURCES INC    | COM      | 02076X102 | 356264 | 8657654  | SH  | DEFINED | 01 | 0 |
| ALPHA NATURAL RESOURCES INC    | COM      | 02076X102 | 105    | 2561     | SH  | DEFINED | 01 | 0 |
| ALPHA NATURAL RESOURCES INC    | COM      | 02076X102 | 28     | 670      | SH  | DEFINED | 01 | 1 |
| ALPHA NATURAL RESOURCES INC    | CONV BND | 02076XAA0 | 3162   | 2830000  | PRN | DEFINED | 01 | 0 |
| ALPHA PRO TECH LTD             | COM      | 020772109 | 1      | 500      | SH  | DEFINED | 01 | 1 |
| ALPHATEC HOLDINGS INC          | COM      | 02081G102 | 10     | 4855     | SH  | DEFINED | 01 | 0 |
| ALPINE GLOBAL DYNAMIC DI       | COM      | 02082E106 | 63     | 9682     | SH  | DEFINED | 01 | 1 |
| ALPINE GLOBAL PREMIER PP       | COM      | 02083A103 | 37     | 5596     | SH  | DEFINED | 01 | 1 |
| ALPINE TOTAL DYNAMICDIVID FD   | COM      | 021060108 | 96     | 17625    | SH  | DEFINED | 01 | 1 |
| ALTAIR NANOTECHNO              | COM      | 021373105 | 22     | 34900    | SH  | DEFINED | 01 | 1 |
| ALTERA CORPORATION             | COM      | 021441100 | 23873  | 791566   | SH  | DEFINED | 01 | 0 |
| ALTERA CORPORATION             | COM      | 021441100 | 630    | 20868    | SH  | DEFINED | 01 | 0 |
| ALTERA CORPORATION             | COM      | 021441100 | 13     | 446      | SH  | DEFINED | 01 | 1 |
| ALTRA HOLDINGS INC             | COM      | 02208R106 | 4939   | 335327   | SH  | DEFINED | 01 | 0 |
| ALTRIA GROUP INC               | COM      | 02209S103 | 291590 | 12139383 | SH  | DEFINED | 01 | 0 |
| ALTRIA GROUP INC               | COM      | 02209S103 | 589    | 24504    | SH  | DEFINED | 01 | 0 |
| ALTRIA GROUP INC               | COM      | 02209S103 | 2630   | 109496   | SH  | DEFINED | 01 | 0 |
| ALTRIA GROUP INC               | COM      | 02209S103 | 36477  | 1518552  | SH  | DEFINED | 01 | 1 |
| ALTRIA GROUP INC               | COM      | 02209S103 | 4789   | 199364   | SH  | DEFINED | 01 | 1 |
| ALUMINA LTD-SPONSORED ADR      | COM      | 022205108 | 20     | 2860     | SH  | DEFINED | 01 | 0 |
| ALUMINUM CORP OF CHINA-ADR     | COM      | 022276109 | 14     | 580      | SH  | DEFINED | 01 | 0 |
| ALUMINUM CORP OF CHINA-ADR     | COM      | 022276109 | 144    | 6067     | SH  | DEFINED | 01 | 1 |
| AMARANTH PARTNRS LLC           | LP       | 023025992 | 770    | 548049   | SH  | DEFINED | 01 | 0 |



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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| AMARIN CORPORATION PLC -ADR  | COM | 023111206 | 0      | 10      | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC               | COM | 023135106 | 469932 | 2992045 | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC               | COM | 023135106 | 2919   | 18585   | SH | DEFINED | 01 | 0 |
| AMAZON.COM INC               | COM | 023135106 | 45321  | 288598  | SH | DEFINED | 01 | 1 |
| AMAZON.COM INC               | COM | 023135106 | 906    | 5771    | SH | DEFINED | 01 | 1 |
| AMBAC FINANCIAL GROUP INC    | COM | 023139108 | 38     | 68025   | SH | DEFINED | 01 | 0 |
| AMBAC FINANCIAL GROUP INC    | COM | 023139108 | 2      | 3055    | SH | DEFINED | 01 | 1 |
| AMBASSADORS GROUP INC        | COM | 023177108 | 787    | 69350   | SH | DEFINED | 01 | 0 |
| AMCOR LTD                    | COM | 02341R302 | 31     | 1236    | SH | DEFINED | 01 | 0 |
| AMCOL INTERNATIONAL CORP     | COM | 02341W103 | 3290   | 125584  | SH | DEFINED | 01 | 0 |
| AMEDISYS INC                 | COM | 023436108 | 11809  | 496177  | SH | DEFINED | 01 | 0 |
| AMERCO                       | COM | 023586100 | 4315   | 54303   | SH | DEFINED | 01 | 0 |
| AMERCO                       | COM | 023586100 | 20     | 247     | SH | DEFINED | 01 | 1 |
| AMEREN CORPORATION           | COM | 023608102 | 34984  | 1231843 | SH | DEFINED | 01 | 0 |
| AMEREN CORPORATION           | COM | 023608102 | 357    | 12578   | SH | DEFINED | 01 | 0 |
| AMEREN CORPORATION           | COM | 023608102 | 250    | 8814    | SH | DEFINED | 01 | 1 |
| AMERICA SERVICE GROUP INC    | COM | 02364L109 | 167    | 11200   | SH | DEFINED | 01 | 0 |
| AMER FIRST TAX EX INVESTO    | COM | 02364V107 | 5      | 1005    | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL-ADR SERIES L   | COM | 02364W105 | 350514 | 6572533 | SH | DEFINED | 01 | 0 |
| AMERICA MOVIL-ADR SERIES L   | COM | 02364W105 | 39964  | 749371  | SH | DEFINED | 01 | 0 |
| AMERICA MOVIL-ADR SERIES L   | COM | 02364W105 | 153255 | 2875866 | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL-ADR SERIES L   | COM | 02364W105 | 1027   | 19257   | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL S A DE C V     | COM | 02364W204 | 29     | 557     | SH | DEFINED | 01 | 0 |
| AMERICA MOVIL S A DE C V     | COM | 02364W204 | 40     | 750     | SH | DEFINED | 01 | 1 |
| AMERICA MOVIL SAB DE C-SER L | COM | 02364W980 | 494    | 184800  | SH | DEFINED | 01 | 0 |
| AMERICAN APPAREL INC         | COM | 023850100 | 41     | 32935   | SH | DEFINED | 01 | 0 |
| AMCORE FINANCIAL INC         | COM | 023912108 | 0      | 2       | SH | DEFINED | 01 | 0 |
| AMERICAN AXLE & MFG HOLDINGS | COM | 024061103 | 20959  | 2323730 | SH | DEFINED | 01 | 0 |
| AMERICAN CAMPUS COMMUNITIES  | COM | 024835100 | 33837  | 1111615 | SH | DEFINED | 01 | 0 |
| AMERICAN CAMPUS COMMUNITIES  | COM | 024835100 | 15     | 492     | SH | DEFINED | 01 | 1 |
| AMERICAN CAPITAL AGENCY CORP | COM | 02503X105 | 2016   | 75833   | SH | DEFINED | 01 | 0 |
| AMERICAN CAPITAL AGENCY CORP | COM | 02503X105 | 479    | 18018   | SH | DEFINED | 01 | 1 |
| AMERICAN CAPITAL LTD         | COM | 02503Y103 | 3022   | 520063  | SH | DEFINED | 01 | 0 |
| AMERICAN CAPITAL LTD         | COM | 02503Y103 | 223    | 38436   | SH | DEFINED | 01 | 1 |
| AMERICAN COMMERCIAL LINES    | COM | 025195405 | 77     | 2743    | SH | DEFINED | 01 | 0 |
| AMERICAN DAIRY INC           | COM | 025334103 | 2      | 210     | SH | DEFINED | 01 | 0 |
| AMERICAN DAIRY INC           | COM | 025334103 | 2      | 200     | SH | DEFINED | 01 | 1 |
| AMERICAN DENTAL PARTNERS INC | COM | 025353103 | 12     | 1025    | SH | DEFINED | 01 | 0 |
| AMERICAN DG ENERGY INC       | COM | 025398108 | 5      | 1425    | SH | DEFINED | 01 | 0 |
| AMERICAN ELECTRIC POWER      | COM | 025537101 | 196488 | 5423347 | SH | DEFINED | 01 | 0 |
| AMERICAN ELECTRIC POWER      | COM | 025537101 | 913    | 25192   | SH | DEFINED | 01 | 0 |
| AMERICAN ELECTRIC POWER      | COM | 025537101 | 504    | 13916   | SH | DEFINED | 01 | 1 |
| AMERICAN EAGLE OUTFITTERS    | COM | 02553E106 | 13688  | 915010  | SH | DEFINED | 01 | 0 |
| AMERICAN EAGLE OUTFITTERS    | COM | 02553E106 | 16     | 1039    | SH | DEFINED | 01 | 0 |
| AMERICAN EAGLE OUTFITTERS    | COM | 02553E106 | 4268   | 285275  | SH | DEFINED | 01 | 1 |
| AMERICAN EAGLE OUTFITTERS    | COM | 02553E106 | 34     | 2240    | SH | DEFINED | 01 | 1 |
| AMERICAN EQUITY INVT LIFE HL | COM | 025676206 | 8572   | 837179  | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO          | COM | 025816109 | 313839 | 7467016 | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO          | COM | 025816109 | 2312   | 55013   | SH | DEFINED | 01 | 0 |
| AMERICAN EXPRESS CO          | COM | 025816109 | 751    | 17865   | SH | DEFINED | 01 | 1 |
| AMERICAN FINANCIAL GROUP INC | COM | 025932104 | 8494   | 277769  | SH | DEFINED | 01 | 0 |
| AMERICAN FINANCIAL GROUP INC | COM | 025932104 | 3      | 84      | SH | DEFINED | 01 | 1 |
| AMERICAN GREETINGS CORP-CL A | COM | 026375105 | 10867  | 584578  | SH | DEFINED | 01 | 0 |
| AMERICAN GREETINGS CORP-CL A | COM | 026375105 | 9      | 506     | SH | DEFINED | 01 | 1 |

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

|                               |          |           |        |         |    |         |    |   |
|-------------------------------|----------|-----------|--------|---------|----|---------|----|---|
| AMERICAN INCOME FD INC        | COM      | 02672T109 | 45     | 5045    | SH | DEFINED | 01 | 1 |
| AIG 8.5% PFD 08/01/2011       | CONV PRF | 026874115 | 4066   | 473300  | SH | DEFINED | 01 | 0 |
| AIG 8.5% PFD 08/01/2011       | CONV PRF | 026874115 | 17     | 2000    | SH | DEFINED | 01 | 1 |
| AMERICAN INTERNATIONAL GROUP  | COM      | 026874784 | 2873   | 73485   | SH | DEFINED | 01 | 0 |
| AMERICAN INTERNATIONAL GROUP  | COM      | 026874784 | 278    | 7109    | SH | DEFINED | 01 | 0 |
| AMERICAN INTERNATIONAL GROUP  | COM      | 026874784 | 109    | 2791    | SH | DEFINED | 01 | 1 |
| AMERICAN MEDICAL SYS HLDGS    | COM      | 02744M108 | 9869   | 504100  | SH | DEFINED | 01 | 0 |
| AMERICAN MEDICAL SYS HLDGS    | COM      | 02744M108 | 17     | 851     | SH | DEFINED | 01 | 0 |
| AMERICAN MUN INC PORTFOLIO    | COM      | 027649102 | 7      | 467     | SH | DEFINED | 01 | 1 |
| AMER NATL BNKSHS/DANVILLE VA  | COM      | 027745108 | 9      | 400     | SH | DEFINED | 01 | 0 |
| AMERICAN NATIONAL INSURANCE   | COM      | 028591105 | 6630   | 87266   | SH | DEFINED | 01 | 0 |
| AMERICAN OIL & GAS INC        | COM      | 028723104 | 28     | 3375    | SH | DEFINED | 01 | 0 |
| AMERICAN ORIENTAL BIOENGINEER | COM      | 028731107 | 3      | 1060    | SH | DEFINED | 01 | 0 |
| AMERICAN ORIENTAL BIOENGINEER | COM      | 028731107 | 4      | 1800    | SH | DEFINED | 01 | 1 |
| AMERICAN PHYSICIANS SVC GP    | COM      | 028882108 | 19     | 600     | SH | DEFINED | 01 | 0 |
| AMERICAN PHYSICIANS CAP INC   | COM      | 028884104 | 1557   | 37556   | SH | DEFINED | 01 | 0 |
| AMERICAN PUBLIC EDUCATION     | COM      | 02913V103 | 4763   | 144946  | SH | DEFINED | 01 | 0 |
| AMERICAN RAILCAR INDUSTRIES   | COM      | 02916P103 | 12     | 785     | SH | DEFINED | 01 | 0 |
| AMERICAN REPROGRAPHICS CO     | COM      | 029263100 | 23     | 2920    | SH | DEFINED | 01 | 0 |
| AMERICAN SCIENCE & ENGINEERI  | COM      | 029429107 | 16239  | 220482  | SH | DEFINED | 01 | 0 |
| AMERICAN SCIENCE & ENGINEERI  | COM      | 029429107 | 6      | 84      | SH | DEFINED | 01 | 1 |
| AMERICAN SELECT PORTFOLIO     | COM      | 029570108 | 296    | 24850   | SH | DEFINED | 01 | 1 |
| AMERICAN SOFTWARE INC-CL A    | COM      | 029683109 | 13     | 2335    | SH | DEFINED | 01 | 0 |
| AMERICAN STATES WATER CO      | COM      | 029899101 | 11501  | 321466  | SH | DEFINED | 01 | 0 |
| AMERICAN STATES WATER CO      | COM      | 029899101 | 5      | 150     | SH | DEFINED | 01 | 1 |
| AMERICAN TOWER CORP-CL A      | COM      | 029912201 | 156596 | 3054952 | SH | DEFINED | 01 | 0 |
| AMERICAN TOWER CORP-CL A      | COM      | 029912201 | 4008   | 78186   | SH | DEFINED | 01 | 0 |
| AMERICAN TOWER CORP-CL A      | COM      | 029912201 | 1173   | 22883   | SH | DEFINED | 01 | 0 |
| AMERICAN TOWER CORP-CL A      | COM      | 029912201 | 76423  | 1491458 | SH | DEFINED | 01 | 1 |
| AMERICAN TOWER CORP-CL A      | COM      | 029912201 | 293    | 5722    | SH | DEFINED | 01 | 1 |
| AMERICAN STRATEGIC INCOME POR | COM      | 030099105 | 63     | 6303    | SH | DEFINED | 01 | 1 |
| AMERICAN STRATEGIC INC PORTFO | COM      | 03009T101 | 62     | 7628    | SH | DEFINED | 01 | 1 |
| AMERICAN SUPERCONDUCTOR CORP  | COM      | 030111108 | 7033   | 226106  | SH | DEFINED | 01 | 0 |
| AMERICAN SUPERCONDUCTOR CORP  | COM      | 030111108 | 119    | 3826    | SH | DEFINED | 01 | 0 |
| AMERICAN SUPERCONDUCTOR CORP  | COM      | 030111108 | 32     | 1019    | SH | DEFINED | 01 | 1 |
| AMERICAN VANGUARD CORP        | COM      | 030371108 | 697    | 112834  | SH | DEFINED | 01 | 0 |
| AMERICAN WATER WORKS CO INC   | COM      | 030420103 | 790    | 33946   | SH | DEFINED | 01 | 0 |
| AMERICAN WATER WORKS CO INC   | COM      | 030420103 | 14     | 600     | SH | DEFINED | 01 | 0 |
| AMERICAN WATER WORKS CO INC   | COM      | 030420103 | 69     | 2953    | SH | DEFINED | 01 | 1 |
| AMERICAN WOODMARK CORP        | COM      | 030506109 | 12     | 685     | SH | DEFINED | 01 | 0 |
| AMERICREDIT CORP              | COM      | 03060R101 | 10404  | 425314  | SH | DEFINED | 01 | 0 |
| AMERICA'S CAR-MART INC        | COM      | 03062T105 | 7602   | 301911  | SH | DEFINED | 01 | 0 |
| AMERICA'S CAR-MART INC        | COM      | 03062T105 | 5      | 210     | SH | DEFINED | 01 | 1 |
| AMERIGON INC                  | COM      | 03070L300 | 1397   | 135631  | SH | DEFINED | 01 | 0 |
| AMERIGON INC                  | COM      | 03070L300 | 39     | 3794    | SH | DEFINED | 01 | 0 |
| AMERISTAR CASINOS INC         | COM      | 03070Q101 | 3896   | 223270  | SH | DEFINED | 01 | 0 |
| AMERON INTERNATIONAL CORP     | COM      | 030710107 | 10826  | 159304  | SH | DEFINED | 01 | 0 |
| AMERON INTERNATIONAL CORP     | COM      | 030710107 | 1      | 20      | SH | DEFINED | 01 | 1 |
| AMERISAFE INC                 | COM      | 03071H100 | 1661   | 88450   | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM      | 03073E105 | 257720 | 8405763 | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM      | 03073E105 | 449    | 14653   | SH | DEFINED | 01 | 0 |
| AMERISOURCEBERGEN CORP        | COM      | 03073E105 | 77     | 2524    | SH | DEFINED | 01 | 1 |
| AMERIGROUP CORP               | COM      | 03073T102 | 12978  | 305562  | SH | DEFINED | 01 | 0 |
| AMERIGROUP CORP               | COM      | 03073T102 | 28     | 650     | SH | DEFINED | 01 | 1 |

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

|                               |     |           |        |          |    |         |    |   |
|-------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 4833   | 102114   | SH | DEFINED | 01 | 0 |
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 625    | 13199    | SH | DEFINED | 01 | 0 |
| AMERIPRISE FINANCIAL INC      | COM | 03076C106 | 1199   | 25340    | SH | DEFINED | 01 | 1 |
| AMERIS BANCORP                | COM | 03076K108 | 8457   | 904506   | SH | DEFINED | 01 | 0 |
| AMERIS BANCORP                | COM | 03076K108 | 26     | 2812     | SH | DEFINED | 01 | 1 |
| AMERIGAS PARTNERS LPUTS RPSTG | COM | 030975106 | 309    | 6897     | SH | DEFINED | 01 | 1 |
| AMES NATIONAL CORP            | COM | 031001100 | 12     | 620      | SH | DEFINED | 01 | 0 |
| AMETEK INC                    | COM | 031100100 | 55044  | 1152290  | SH | DEFINED | 01 | 0 |
| AMETEK INC                    | COM | 031100100 | 5173   | 108294   | SH | DEFINED | 01 | 1 |
| AMETEK INC                    | COM | 031100100 | 215    | 4496     | SH | DEFINED | 01 | 1 |
| AMGEN INC                     | COM | 031162100 | 238756 | 4332354  | SH | DEFINED | 01 | 0 |
| AMGEN INC                     | COM | 031162100 | 2775   | 50352    | SH | DEFINED | 01 | 0 |
| AMGEN INC                     | COM | 031162100 | 1873   | 33992    | SH | DEFINED | 01 | 1 |
| AMGEN INC                     | COM | 031162100 | 4213   | 76444    | SH | DEFINED | 01 | 1 |
| AMGEN INC SR CV 0.12          | COM | 031162AN0 | 35     | 35000    | SH | DEFINED | 01 | 1 |
| AMICUS THERAPEUTICS INC       | COM | 03152W109 | 4      | 980      | SH | DEFINED | 01 | 0 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 102980 | 15674066 | SH | DEFINED | 01 | 0 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 6      | 900      | SH | DEFINED | 01 | 0 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 8422   | 1280537  | SH | DEFINED | 01 | 1 |
| AMKOR TECHNOLOGY INC          | COM | 031652100 | 5      | 750      | SH | DEFINED | 01 | 1 |
| AMPCO-PITTSBURGH CORP         | COM | 032037103 | 16     | 667      | SH | DEFINED | 01 | 0 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 33467  | 683269   | SH | DEFINED | 01 | 0 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 448    | 9140     | SH | DEFINED | 01 | 0 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 44665  | 966986   | SH | DEFINED | 01 | 1 |
| AMPHENOL CORP-CL A            | COM | 032095101 | 315    | 6435     | SH | DEFINED | 01 | 1 |
| AMSURG CORP                   | COM | 03232P405 | 10511  | 601290   | SH | DEFINED | 01 | 0 |
| AMYLIN PHARMACEUTICALS INC    | COM | 032346108 | 1254   | 60168    | SH | DEFINED | 01 | 0 |
| AMYLIN PHARMACEUTICALS INC    | COM | 032346108 | 36     | 1736     | SH | DEFINED | 01 | 1 |
| AMTRUST FINANCIAL SERVICES    | COM | 032359309 | 2333   | 160667   | SH | DEFINED | 01 | 0 |
| AMTRUST FINANCIAL SERVICES    | COM | 032359309 | 2      | 165      | SH | DEFINED | 01 | 1 |
| AMYRIS INC                    | COM | 03236M101 | 25     | 1466     | SH | DEFINED | 01 | 0 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 350938 | 6151388  | SH | DEFINED | 01 | 0 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 1827   | 32033    | SH | DEFINED | 01 | 0 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 29705  | 520691   | SH | DEFINED | 01 | 1 |
| ANADARKO PETROLEUM CORP       | COM | 032511107 | 976    | 17110    | SH | DEFINED | 01 | 1 |
| ANADIGICS INC                 | COM | 032515108 | 32     | 5260     | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC            | COM | 032654105 | 204183 | 6506825  | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC            | COM | 032654105 | 552    | 17594    | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC            | COM | 032654105 | 46     | 1450     | SH | DEFINED | 01 | 0 |
| ANALOG DEVICES INC            | COM | 032654105 | 590    | 19900    | SH | DEFINED | 01 | 1 |
| ANALOG DEVICES INC            | COM | 032654105 | 119    | 3800     | SH | DEFINED | 01 | 1 |
| ANALOGIC CORP                 | COM | 032657207 | 33862  | 754490   | SH | DEFINED | 01 | 0 |
| ANALOGIC CORP                 | COM | 032657207 | 4      | 82       | SH | DEFINED | 01 | 1 |
| ANALYSTS INTERNATIONAL CORP   | COM | 032681207 | 865    | 376253   | SH | DEFINED | 01 | 0 |
| ANALYSTS INTERNATIONAL CORP   | COM | 032681207 | 2      | 699      | SH | DEFINED | 01 | 1 |
| ANAREN INC                    | COM | 032744104 | 7961   | 474216   | SH | DEFINED | 01 | 0 |
| ANCESTRY.COM INC              | COM | 032803108 | 28     | 1260     | SH | DEFINED | 01 | 0 |
| ANCESTRY.COM INC              | COM | 032803108 | 3215   | 141437   | SH | DEFINED | 01 | 1 |
| ANCHOR BANCORP WIS INC        | COM | 032839102 | 7      | 11350    | SH | DEFINED | 01 | 1 |
| ANDERSONS INC/THE             | COM | 034164103 | 6462   | 170504   | SH | DEFINED | 01 | 0 |
| ANDERSONS INC/THE             | COM | 034164103 | 41     | 1081     | SH | DEFINED | 01 | 0 |
| ANDERSONS INC/THE             | COM | 034164103 | 8      | 200      | SH | DEFINED | 01 | 1 |
| ANGIODYNAMICS INC             | COM | 03475V101 | 10084  | 661700   | SH | DEFINED | 01 | 0 |
| ANGLO AMERN PLC ADR NEW       | COM | 03485P201 | 525    | 26422    | SH | DEFINED | 01 | 0 |
| ANGLO PLATINUM LTD            | COM | 035078104 | 10     | 110      | SH | DEFINED | 01 | 0 |

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

|                              |          |           |         |         |    |         |    |   |
|------------------------------|----------|-----------|---------|---------|----|---------|----|---|
| ANGLOGOLD ASHANTI-SPON ADR   | COM      | 035128206 | 19170   | 414532  | SH | DEFINED | 01 | 0 |
| ANGLOGOLD ASHANTI-SPON ADR   | COM      | 035128206 | 146     | 3167    | SH | DEFINED | 01 | 1 |
| ANGLOGOLD HOLDINGS LTD       | CONV PRF | 03512Q206 | 2216    | 41800   | SH | DEFINED | 01 | 0 |
| ANHEUSER BUSCH INBEV SA/     | COM      | 03524A108 | 125     | 2120    | SH | DEFINED | 01 | 0 |
| ANHEUSER BUSCH INBEV SA/     | COM      | 03524A108 | 47      | 794     | SH | DEFINED | 01 | 1 |
| ANIXTER INTERNATIONAL INC    | COM      | 035290105 | 48378   | 896065  | SH | DEFINED | 01 | 0 |
| ANNALY CAPITAL MANAGEMENT IN | COM      | 035710409 | 110364  | 6270787 | SH | DEFINED | 01 | 0 |
| ANNALY CAPITAL MANAGEMENT IN | COM      | 035710409 | 320     | 18159   | SH | DEFINED | 01 | 0 |
| ANNALY CAPITAL MANAGEMENT IN | COM      | 035710409 | 712     | 40530   | SH | DEFINED | 01 | 1 |
| ANNALY CAPITAL MANAGEMENT IN | COM      | 035710409 | 1794    | 101932  | SH | DEFINED | 01 | 1 |
| ANNTAYLOR STORES CORP        | COM      | 036115103 | 3552    | 175498  | SH | DEFINED | 01 | 0 |
| ANNTAYLOR STORES CORP        | COM      | 036115103 | 10      | 505     | SH | DEFINED | 01 | 1 |
| ANSYS INC                    | COM      | 03662Q105 | 39569   | 936579  | SH | DEFINED | 01 | 0 |
| ANSYS INC                    | COM      | 03662Q105 | 19      | 449     | SH | DEFINED | 01 | 1 |
| ANTARES PHARMA INC           | COM      | 036642106 | 7       | 4965    | SH | DEFINED | 01 | 0 |
| ANTARES PHARMA INC           | COM      | 036642106 | 1       | 1000    | SH | DEFINED | 01 | 1 |
| ANTHERA PARMACEUTICALS INC   | COM      | 03674U102 | 299     | 71375   | SH | DEFINED | 01 | 0 |
| ANTIGENICS INC DEL           | COM      | 037032109 | 1       | 511     | SH | DEFINED | 01 | 1 |
| ANTOFAGASTA P L C            | COM      | 037189107 | 10      | 250     | SH | DEFINED | 01 | 0 |
| ANWORTH MORTGAGE ASSET CORP  | COM      | 037347101 | 745     | 104438  | SH | DEFINED | 01 | 0 |
| ANWORTH MORTGAGE ASSET CORP  | COM      | 037347101 | 95      | 13320   | SH | DEFINED | 01 | 1 |
| AON CORP                     | COM      | 037389103 | 143664  | 3673286 | SH | DEFINED | 01 | 0 |
| AON CORP                     | COM      | 037389103 | 554     | 14175   | SH | DEFINED | 01 | 0 |
| AON CORP                     | COM      | 037389103 | 17600   | 450000  | SH | DEFINED | 01 | 1 |
| AON CORP                     | COM      | 037389103 | 155     | 3972    | SH | DEFINED | 01 | 1 |
| A123 SYSTEMS INC             | COM      | 03739T108 | 48      | 5330    | SH | DEFINED | 01 | 0 |
| A123 SYSTEMS INC             | COM      | 03739T108 | 45      | 5060    | SH | DEFINED | 01 | 1 |
| AOXING PHARMACEUTICAL CO INC | COM      | 03740A106 | 5       | 1575    | SH | DEFINED | 01 | 0 |
| APACHE CORP                  | COM      | 037411105 | 496564  | 5079435 | SH | DEFINED | 01 | 0 |
| APACHE CORP                  | COM      | 037411105 | 2369    | 24241   | SH | DEFINED | 01 | 0 |
| APACHE CORP                  | COM      | 037411105 | 9178    | 98400   | SH | DEFINED | 01 | 1 |
| APACHE CORP                  | COM      | 037411105 | 792     | 8100    | SH | DEFINED | 01 | 1 |
| APACHE CORP                  | CONV PRF | 037411808 | 61861   | 1064328 | SH | DEFINED | 01 | 0 |
| APARTMENT INVT & MGMT CO -A  | COM      | 03748R101 | 54733   | 2560036 | SH | DEFINED | 01 | 0 |
| APARTMENT INVT & MGMT CO -A  | COM      | 03748R101 | 131     | 6146    | SH | DEFINED | 01 | 0 |
| APARTMENT INVT & MGMT CO -A  | COM      | 03748R101 | 11      | 509     | SH | DEFINED | 01 | 1 |
| APOGEE ENTERPRISES INC       | COM      | 037598109 | 1394    | 152426  | SH | DEFINED | 01 | 0 |
| APOGEE ENTERPRISES INC       | COM      | 037598109 | 0       | 4       | SH | DEFINED | 01 | 1 |
| APOLLO GROUP INC-CL A        | COM      | 037604105 | 32927   | 641263  | SH | DEFINED | 01 | 0 |
| APOLLO GROUP INC-CL A        | COM      | 037604105 | 342     | 6664    | SH | DEFINED | 01 | 0 |
| APOLLO GROUP INC-CL A        | COM      | 037604105 | 16251   | 316478  | SH | DEFINED | 01 | 1 |
| APOLLO GROUP INC-CL A        | COM      | 037604105 | 65      | 1259    | SH | DEFINED | 01 | 1 |
| APOLLO INVESTMENT CORP       | COM      | 03761U106 | 65168   | 6370240 | SH | DEFINED | 01 | 0 |
| APOLLO INVESTMENT CORP       | COM      | 03761U106 | 118     | 11553   | SH | DEFINED | 01 | 1 |
| APOLLO COMMERCIAL REIT       | COM      | 03762U105 | 18      | 1150    | SH | DEFINED | 01 | 0 |
| APPLE INC                    | COM      | 037833100 | 1821687 | 6420042 | SH | DEFINED | 01 | 0 |
| APPLE INC                    | COM      | 037833100 | 9330    | 32880   | SH | DEFINED | 01 | 0 |
| APPLE INC                    | COM      | 037833100 | 13901   | 48990   | SH | DEFINED | 01 | 0 |
| APPLE INC                    | COM      | 037833100 | 69      | 244     | SH | DEFINED | 01 | 0 |
| APPLE INC                    | COM      | 037833100 | 468741  | 1653696 | SH | DEFINED | 01 | 1 |
| APPLE INC                    | COM      | 037833100 | 17623   | 62109   | SH | DEFINED | 01 | 1 |
| APPLIED ENERGETICS INC       | COM      | 03819M106 | 9       | 7525    | SH | DEFINED | 01 | 0 |
| APPLIED INDUSTRIAL TECH INC  | COM      | 03820C105 | 17869   | 583974  | SH | DEFINED | 01 | 0 |
| APPLIED MATERIALS INC        | COM      | 038222105 | 8404    | 719559  | SH | DEFINED | 01 | 0 |
| APPLIED MATERIALS INC        | COM      | 038222105 | 820     | 70189   | SH | DEFINED | 01 | 0 |
| APPLIED MATERIALS INC        | COM      | 038222105 | 1320    | 112984  | SH | DEFINED | 01 | 1 |

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

|                                |          |           |       |         |    |         |    |   |
|--------------------------------|----------|-----------|-------|---------|----|---------|----|---|
| APPLIED MICRO CIRCUITS CORP    | COM      | 03822W406 | 43    | 4292    | SH | DEFINED | 01 | 0 |
| APPLIED MICRO CIRCUITS CORP    | COM      | 03822W406 | 7     | 720     | SH | DEFINED | 01 | 1 |
| APPLIED SIGNAL TECHNOLOGY      | COM      | 038237103 | 1582  | 63575   | SH | DEFINED | 01 | 0 |
| APTARGROUP INC                 | COM      | 038336103 | 20224 | 442817  | SH | DEFINED | 01 | 0 |
| APTARGROUP INC                 | COM      | 038336103 | 3     | 67      | SH | DEFINED | 01 | 1 |
| APPROACH RESOURCES INC         | COM      | 03834A103 | 29    | 2550    | SH | DEFINED | 01 | 0 |
| AQUA AMERICA INC               | COM      | 03836W103 | 6875  | 336993  | SH | DEFINED | 01 | 0 |
| AQUA AMERICA INC               | COM      | 03836W103 | 454   | 22275   | SH | DEFINED | 01 | 1 |
| AQUARIUS PLATINUM LTD          | COM      | 03840M208 | 1     | 80      | SH | DEFINED | 01 | 0 |
| ARBITRON INC                   | COM      | 03875Q108 | 14934 | 533912  | SH | DEFINED | 01 | 0 |
| ARC WIRELESS SOLUTIONS         | COM      | 03878K207 | 11    | 4000    | SH | DEFINED | 01 | 1 |
| ARBOR REALTY TRUST INC         | COM      | 038923108 | 60    | 12000   | SH | DEFINED | 01 | 0 |
| ARBOR REALTY TRUST INC         | COM      | 038923108 | 1     | 100     | SH | DEFINED | 01 | 1 |
| ARCADIS NV - NY REG            | COM      | 03923E107 | 2     | 90      | SH | DEFINED | 01 | 0 |
| ARCH CHEMICALS INC             | COM      | 03937R102 | 6447  | 183726  | SH | DEFINED | 01 | 0 |
| ARCH COAL INC                  | COM      | 039380100 | 20533 | 768714  | SH | DEFINED | 01 | 0 |
| ARCH COAL INC                  | COM      | 039380100 | 111   | 4144    | SH | DEFINED | 01 | 0 |
| ARCH COAL INC                  | COM      | 039380100 | 15545 | 581996  | SH | DEFINED | 01 | 1 |
| ARCH COAL INC                  | COM      | 039380100 | 209   | 7811    | SH | DEFINED | 01 | 1 |
| ARCELORMITTAL-NY REGISTERED    | COM      | 03938L104 | 7520  | 228018  | SH | DEFINED | 01 | 0 |
| ARCELORMITTAL-NY REGISTERED    | COM      | 03938L104 | 326   | 9891    | SH | DEFINED | 01 | 1 |
| ARCHER-DANIELS-MIDLAND CO      | COM      | 039483102 | 24535 | 768680  | SH | DEFINED | 01 | 0 |
| ARCHER-DANIELS-MIDLAND CO      | COM      | 039483102 | 1072  | 33586   | SH | DEFINED | 01 | 0 |
| ARCHER-DANIELS-MIDLAND CO      | COM      | 039483102 | 1535  | 48085   | SH | DEFINED | 01 | 1 |
| ARCHER-DANIELS-MIDLAND CO      | COM      | 039483102 | 908   | 28447   | SH | DEFINED | 01 | 1 |
| ARCHER-DANIELS-MIDLAND CO      | CONV PRF | 039483201 | 17002 | 411285  | SH | DEFINED | 01 | 0 |
| ARCHER-DANIELS-MIDLAND CO      | CONV PRF | 039483201 | 174   | 4200    | SH | DEFINED | 01 | 1 |
| ARCHIPELAGO LEARNING INC       | COM      | 03956P102 | 236   | 19789   | SH | DEFINED | 01 | 0 |
| ARCSIGHT INC                   | COM      | 039666102 | 949   | 21771   | SH | DEFINED | 01 | 0 |
| ARCSIGHT INC                   | COM      | 039666102 | 8     | 193     | SH | DEFINED | 01 | 1 |
| ARCTIC CAT INC                 | COM      | 039670104 | 1181  | 115305  | SH | DEFINED | 01 | 0 |
| ARDEA BIOSCIENCES INC          | COM      | 03969P107 | 8206  | 356804  | SH | DEFINED | 01 | 0 |
| ARDEN GROUP INC -CL A          | COM      | 039762109 | 8     | 100     | SH | DEFINED | 01 | 0 |
| ARENA BRANDS INC               | COM      | 03999M207 | 0     | 111111  | SH | DEFINED | 01 | 0 |
| ARENA PHARMACEUTICALS INC      | COM      | 040047102 | 13    | 7977    | SH | DEFINED | 01 | 0 |
| ARENA PHARMACEUTICALS INC      | COM      | 040047102 | 29    | 18360   | SH | DEFINED | 01 | 1 |
| ARGAN INC                      | COM      | 04010E109 | 6     | 600     | SH | DEFINED | 01 | 0 |
| ARES CAPITAL CORP              | COM      | 04010L103 | 770   | 49205   | SH | DEFINED | 01 | 0 |
| ARES CAPITAL CORP              | COM      | 04010L103 | 551   | 35212   | SH | DEFINED | 01 | 1 |
| AREVA SA                       | COM      | 04012G102 | 2     | 380     | SH | DEFINED | 01 | 0 |
| ARIAD PHARMACEUTICALS INC      | COM      | 04033A100 | 44    | 11335   | SH | DEFINED | 01 | 0 |
| ARIAD PHARMACEUTICALS INC      | COM      | 04033A100 | 7     | 1955    | SH | DEFINED | 01 | 1 |
| ARIBA INC                      | COM      | 04033V203 | 21644 | 1145243 | SH | DEFINED | 01 | 0 |
| ARIBA INC                      | COM      | 04033V203 | 8     | 431     | SH | DEFINED | 01 | 1 |
| ARKANSAS BEST CORP             | COM      | 040790107 | 4762  | 196590  | SH | DEFINED | 01 | 0 |
| ARKEMA-SPONSORED ADR           | COM      | 041232109 | 17    | 336     | SH | DEFINED | 01 | 0 |
| ARLINGTON ASSET INVESTMENT COR | COM      | 041356205 | 229   | 9850    | SH | DEFINED | 01 | 0 |
| ARLINGTON ASSET INVESTMENT COR | COM      | 041356205 | 9     | 373     | SH | DEFINED | 01 | 1 |
| ARM HOLDINGS PLC-SPONS ADR     | COM      | 042068106 | 647   | 34473   | SH | DEFINED | 01 | 0 |
| ARM HOLDINGS PLC-SPONS ADR     | COM      | 042068106 | 122   | 6477    | SH | DEFINED | 01 | 1 |
| ARMSTRONG WORLD INDUSTRIES     | COM      | 04247X102 | 50    | 1225    | SH | DEFINED | 01 | 0 |
| AROTECH CORP COM NEW           | COM      | 042682203 | 0     | 71      | SH | DEFINED | 01 | 1 |
| ARQULE INC                     | COM      | 04269E107 | 911   | 176867  | SH | DEFINED | 01 | 0 |
| ARQULE INC                     | COM      | 04269E107 | 2     | 465     | SH | DEFINED | 01 | 1 |
| ARRIS GROUP INC                | COM      | 04269Q100 | 7790  | 797486  | SH | DEFINED | 01 | 0 |
| ARRIS GROUP INC                | COM      | 04269Q100 | 43    | 4430    | SH | DEFINED | 01 | 1 |



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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| ATHENAHEALTH INC               | COM | 04685W103 | 28924  | 875958   | SH | DEFINED | 01 | 0 |
| ATHEROS COMMUNICATIONS         | COM | 04743P108 | 5967   | 226441   | SH | DEFINED | 01 | 0 |
| ATHEROS COMMUNICATIONS         | COM | 04743P108 | 108    | 4092     | SH | DEFINED | 01 | 0 |
| ATHEROS COMMUNICATIONS         | COM | 04743P108 | 10     | 382      | SH | DEFINED | 01 | 1 |
| ATHERSYS INC NEW COM           | COM | 04744L106 | 9      | 2850     | SH | DEFINED | 01 | 1 |
| ATLANTIC POWER CORP COM NPV IS | COM | 04878Q863 | 68     | 4920     | SH | DEFINED | 01 | 1 |
| ATLANTIC SOUTHN FINLGROUP INC  | COM | 048877104 | 3      | 3350     | SH | DEFINED | 01 | 1 |
| ATLANTIC TELE-NETWORK INC      | COM | 049079205 | 42     | 850      | SH | DEFINED | 01 | 0 |
| ATLAS AIR WORLDWIDE HOLDINGS   | COM | 049164205 | 60007  | 1192970  | SH | DEFINED | 01 | 0 |
| ATLAS COPCO AB                 | COM | 049255706 | 17     | 860      | SH | DEFINED | 01 | 0 |
| ATLAS COPCO AB LTD             | COM | 049255805 | 38     | 2130     | SH | DEFINED | 01 | 0 |
| ATLAS ENERGY INC               | COM | 049298102 | 19     | 665      | SH | DEFINED | 01 | 0 |
| ATLAS ENERGY INC               | COM | 049298102 | 25     | 880      | SH | DEFINED | 01 | 1 |
| ATLAS PIPELINE PARTNERS L      | COM | 049392103 | 25     | 1400     | SH | DEFINED | 01 | 1 |
| ATLAS PIPELINE HLDGSL P COM UN | COM | 04939R108 | 4      | 500      | SH | DEFINED | 01 | 1 |
| ATMEL CORP                     | COM | 049513104 | 143398 | 18014961 | SH | DEFINED | 01 | 0 |
| ATMEL CORP                     | COM | 049513104 | 304    | 38169    | SH | DEFINED | 01 | 1 |
| ATMOS ENERGY CORP              | COM | 049560105 | 26076  | 891475   | SH | DEFINED | 01 | 0 |
| ATMOS ENERGY CORP              | COM | 049560105 | 50     | 1703     | SH | DEFINED | 01 | 1 |
| ATMOSPHERIC GLOW TECHNOLOGIE   | COM | 049567100 | 0      | 125      | SH | DEFINED | 01 | 0 |
| ATRION CORPORATION             | COM | 049904105 | 32     | 200      | SH | DEFINED | 01 | 0 |
| ATWOOD OCEANICS INC            | COM | 050095108 | 27241  | 894618   | SH | DEFINED | 01 | 0 |
| ATWOOD OCEANICS INC            | COM | 050095108 | 42     | 1393     | SH | DEFINED | 01 | 1 |
| AUBURN NATL BANCORPORATION     | COM | 050473107 | 9      | 450      | SH | DEFINED | 01 | 0 |
| AUDIOVOX CORP -CL A            | COM | 050757103 | 1426   | 208419   | SH | DEFINED | 01 | 0 |
| AUDIOVOX CORP -CL A            | COM | 050757103 | 0      | 10       | SH | DEFINED | 01 | 1 |
| AUSTRALIA & NEW ZEALAND BKG GP | COM | 052528304 | 195    | 8528     | SH | DEFINED | 01 | 0 |
| AUTHENTEC INC                  | COM | 052660107 | 0      | 250      | SH | DEFINED | 01 | 0 |
| AUTHENTEC INC                  | COM | 052660107 | 0      | 250      | SH | DEFINED | 01 | 1 |
| AUTOBYTEL INC                  | COM | 05275N106 | 72     | 82400    | SH | DEFINED | 01 | 1 |
| AUTODESK INC                   | COM | 052769106 | 127614 | 3991634  | SH | DEFINED | 01 | 0 |
| AUTODESK INC                   | COM | 052769106 | 381    | 11933    | SH | DEFINED | 01 | 0 |
| AUTODESK INC                   | COM | 052769106 | 61     | 1922     | SH | DEFINED | 01 | 1 |
| AUTOLIV INC                    | COM | 052800109 | 68890  | 1054485  | SH | DEFINED | 01 | 0 |
| AUTOLIV INC                    | COM | 052800109 | 21     | 329      | SH | DEFINED | 01 | 1 |
| AUTOMATIC DATA PROCESSING      | COM | 053015103 | 62150  | 1478681  | SH | DEFINED | 01 | 0 |
| AUTOMATIC DATA PROCESSING      | COM | 053015103 | 1087   | 25855    | SH | DEFINED | 01 | 0 |
| AUTOMATIC DATA PROCESSING      | COM | 053015103 | 10652  | 265400   | SH | DEFINED | 01 | 1 |
| AUTOMATIC DATA PROCESSING      | COM | 053015103 | 1116   | 26546    | SH | DEFINED | 01 | 1 |
| AUTONATION INC                 | COM | 05329W102 | 1067   | 45898    | SH | DEFINED | 01 | 0 |
| AUTONATION INC                 | COM | 05329W102 | 77     | 3295     | SH | DEFINED | 01 | 0 |
| AUTONATION INC                 | COM | 05329W102 | 5      | 204      | SH | DEFINED | 01 | 1 |
| AUTONAVI HOLDINGS LTD-ADR      | COM | 05330F106 | 6080   | 347455   | SH | DEFINED | 01 | 0 |
| AUTOZONE INC                   | COM | 053332102 | 27174  | 118710   | SH | DEFINED | 01 | 0 |
| AUTOZONE INC                   | COM | 053332102 | 344    | 1501     | SH | DEFINED | 01 | 0 |
| AUTOZONE INC                   | COM | 053332102 | 39     | 172      | SH | DEFINED | 01 | 1 |
| AUXILIUM PHARMACEUTICALS INC   | COM | 05334D107 | 20012  | 807595   | SH | DEFINED | 01 | 0 |
| AUXILIUM PHARMACEUTICALS INC   | COM | 05334D107 | 220    | 8909     | SH | DEFINED | 01 | 0 |
| AVALONBAY COMMUNITIES INC      | COM | 053484101 | 62582  | 602151   | SH | DEFINED | 01 | 0 |
| AVALONBAY COMMUNITIES INC      | COM | 053484101 | 464    | 4463     | SH | DEFINED | 01 | 0 |
| AVALONBAY COMMUNITIES INC      | COM | 053484101 | 663    | 6378     | SH | DEFINED | 01 | 1 |
| AVANIR PHARMACEUTICALS-CL A    | COM | 05348P401 | 15     | 4725     | SH | DEFINED | 01 | 0 |
| AVANIR PHARMACEUTICALS-CL A    | COM | 05348P401 | 0      | 25       | SH | DEFINED | 01 | 1 |
| AVATAR HOLDINGS INC            | COM | 053494100 | 9385   | 491879   | SH | DEFINED | 01 | 0 |
| AVEO PHARMACEUTICALS INC       | COM | 053588109 | 7      | 600      | SH | DEFINED | 01 | 0 |
| AVEO PHARMACEUTICALS INC       | COM | 053588109 | 6      | 500      | SH | DEFINED | 01 | 1 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| AVERY DENNISON CORP          | COM | 053611109 | 17915  | 482640  | SH | DEFINED | 01 | 0 |
| AVERY DENNISON CORP          | COM | 053611109 | 214    | 5766    | SH | DEFINED | 01 | 0 |
| AVERY DENNISON CORP          | COM | 053611109 | 28331  | 763833  | SH | DEFINED | 01 | 1 |
| AVERY DENNISON CORP          | COM | 053611109 | 38     | 1016    | SH | DEFINED | 01 | 1 |
| AVIAT NETWORKS INC           | COM | 05366Y102 | 189    | 46147   | SH | DEFINED | 01 | 0 |
| AVIAT NETWORKS INC           | COM | 05366Y102 | 1      | 310     | SH | DEFINED | 01 | 1 |
| AVID TECHNOLOGY INC          | COM | 05367P100 | 7171   | 546984  | SH | DEFINED | 01 | 0 |
| AVID TECHNOLOGY INC          | COM | 05367P100 | 1      | 52      | SH | DEFINED | 01 | 1 |
| AVIS BUDGET GROUP INC        | COM | 053774105 | 3424   | 293886  | SH | DEFINED | 01 | 0 |
| AVIS BUDGET GROUP INC        | COM | 053774105 | 2      | 208     | SH | DEFINED | 01 | 1 |
| AVISTA CORP                  | COM | 05379B107 | 31366  | 1502162 | SH | DEFINED | 01 | 0 |
| AVISTA CORP                  | COM | 05379B107 | 21     | 1001    | SH | DEFINED | 01 | 1 |
| AVNET INC                    | COM | 053807103 | 130387 | 4827282 | SH | DEFINED | 01 | 0 |
| AVNET INC                    | COM | 053807103 | 346    | 11800   | SH | DEFINED | 01 | 1 |
| AVNET INC                    | COM | 053807103 | 97     | 3585    | SH | DEFINED | 01 | 1 |
| AVIVA PLC - SPON ADR         | COM | 05382A104 | 65     | 5190    | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 314424 | 9792086 | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 2472   | 76977   | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 996    | 31002   | SH | DEFINED | 01 | 0 |
| AVON PRODUCTS INC            | COM | 054303102 | 11058  | 344330  | SH | DEFINED | 01 | 1 |
| AVON PRODUCTS INC            | COM | 054303102 | 185    | 5747    | SH | DEFINED | 01 | 1 |
| AXA -SPONS ADR               | COM | 054536107 | 87     | 4974    | SH | DEFINED | 01 | 0 |
| AXA -SPONS ADR               | COM | 054536107 | 0      | 24      | SH | DEFINED | 01 | 0 |
| AWARE INC MASS               | COM | 05453N100 | 0      | 100     | SH | DEFINED | 01 | 1 |
| AXCELIS TECHNOLOGIES INC     | COM | 054540109 | 1223   | 633848  | SH | DEFINED | 01 | 0 |
| AXCELIS TECHNOLOGIES INC     | COM | 054540109 | 5      | 2652    | SH | DEFINED | 01 | 1 |
| BB&T CORP                    | COM | 054937107 | 16649  | 691389  | SH | DEFINED | 01 | 0 |
| BB&T CORP                    | COM | 054937107 | 877    | 36402   | SH | DEFINED | 01 | 0 |
| BB&T CORP                    | COM | 054937107 | 147    | 6119    | SH | DEFINED | 01 | 1 |
| B&G FOODS INC-CLASS A        | COM | 05508R106 | 12401  | 1135594 | SH | DEFINED | 01 | 0 |
| B&G FOODS INC-CLASS A        | COM | 05508R106 | 150    | 13725   | SH | DEFINED | 01 | 1 |
| BAE SYS PLC SPONSORED ADR    | COM | 05523R107 | 43     | 2015    | SH | DEFINED | 01 | 0 |
| BASF AG ADR SPONSORED        | COM | 055262505 | 295    | 4635    | SH | DEFINED | 01 | 0 |
| BCE INC                      | COM | 05534B760 | 74     | 2261    | SH | DEFINED | 01 | 0 |
| BCE INC                      | COM | 05534B760 | 107    | 3303    | SH | DEFINED | 01 | 1 |
| BGC PARTNERS INC-CL A        | COM | 05541T101 | 425    | 71319   | SH | DEFINED | 01 | 0 |
| BGC PARTNERS INC-CL A        | COM | 05541T101 | 5      | 755     | SH | DEFINED | 01 | 1 |
| BG GROUP PLC-SPON ADR        | COM | 055434203 | 252    | 2858    | SH | DEFINED | 01 | 0 |
| BHP BILLITON PLC-ADR         | COM | 05545E209 | 47006  | 735384  | SH | DEFINED | 01 | 0 |
| BHP BILLITON PLC-ADR         | COM | 05545E209 | 10     | 150     | SH | DEFINED | 01 | 1 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 20890  | 503418  | SH | DEFINED | 01 | 0 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 65     | 1570    | SH | DEFINED | 01 | 0 |
| BJ'S WHOLESALE CLUB INC      | COM | 05548J106 | 1      | 17      | SH | DEFINED | 01 | 1 |
| BOK FINANCIAL CORPORATION    | COM | 05561Q201 | 46     | 1026    | SH | DEFINED | 01 | 0 |
| BP PLC-SPONS ADR             | COM | 055622104 | 8487   | 206148  | SH | DEFINED | 01 | 0 |
| BP PLC-SPONS ADR             | COM | 055622104 | 3092   | 75101   | SH | DEFINED | 01 | 1 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 809    | 7827    | SH | DEFINED | 01 | 0 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 1853   | 17950   | SH | DEFINED | 01 | 1 |
| BP PRUDHOE BAY ROYALTY TRUST | COM | 055630107 | 1167   | 11289   | SH | DEFINED | 01 | 1 |
| BPZ RESOURCES INC            | COM | 055639108 | 30     | 7842    | SH | DEFINED | 01 | 0 |
| BPZ RESOURCES INC            | COM | 055639108 | 75     | 19500   | SH | DEFINED | 01 | 1 |
| BRT RLTY TR SH BEN INT NEW   | COM | 055645303 | 2      | 237     | SH | DEFINED | 01 | 1 |
| BRE PROPERTIES INC           | COM | 05564E106 | 6755   | 162788  | SH | DEFINED | 01 | 0 |
| BRE PROPERTIES INC           | COM | 05564E106 | 152    | 3653    | SH | DEFINED | 01 | 1 |
| BNP PARIBAS SPON ADR 1/4 SH  | COM | 05565A202 | 280    | 7878    | SH | DEFINED | 01 | 0 |
| BOFI HOLDING INC             | COM | 05566U108 | 5      | 450     | SH | DEFINED | 01 | 0 |



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

|                             |     |           |        |          |    |         |    |   |
|-----------------------------|-----|-----------|--------|----------|----|---------|----|---|
| BMP SUNSTONE CORP           | COM | 05569C105 | 17     | 2208     | SH | DEFINED | 01 | 0 |
| BT GROUP PLC-SPON ADR       | COM | 05577E101 | 899    | 41037    | SH | DEFINED | 01 | 0 |
| BT GROUP PLC-SPON ADR       | COM | 05577E101 | 21     | 962      | SH | DEFINED | 01 | 1 |
| BMC SOFTWARE INC            | COM | 055921100 | 504178 | 12454930 | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC            | COM | 055921100 | 380    | 9379     | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC            | COM | 055921100 | 66     | 1632     | SH | DEFINED | 01 | 0 |
| BMC SOFTWARE INC            | COM | 055921100 | 1459   | 37710    | SH | DEFINED | 01 | 1 |
| BMC SOFTWARE INC            | COM | 055921100 | 11     | 272      | SH | DEFINED | 01 | 1 |
| BTU INTERNATIONAL INC       | COM | 056032105 | 4525   | 653862   | SH | DEFINED | 01 | 0 |
| B2B INTERNET HOLDRS TR      | COM | 056033103 | 1      | 1200     | SH | DEFINED | 01 | 1 |
| BABCOCK & WILCOX COMPANY    | COM | 05615F102 | 65974  | 3100254  | SH | DEFINED | 01 | 0 |
| BABCOCK & WILCOX COMPANY    | COM | 05615F102 | 592    | 27804    | SH | DEFINED | 01 | 1 |
| BADGER METER INC            | COM | 056525108 | 9678   | 239081   | SH | DEFINED | 01 | 0 |
| BADGER METER INC            | COM | 056525108 | 98     | 2412     | SH | DEFINED | 01 | 0 |
| BADGER METER INC            | COM | 056525108 | 12     | 300      | SH | DEFINED | 01 | 1 |
| BAIDU INC - SPON ADR        | COM | 056752108 | 352669 | 3436650  | SH | DEFINED | 01 | 0 |
| BAIDU INC - SPON ADR        | COM | 056752108 | 25     | 240      | SH | DEFINED | 01 | 0 |
| BAIDU INC - SPON ADR        | COM | 056752108 | 2877   | 28843    | SH | DEFINED | 01 | 1 |
| BAIDU INC - SPON ADR        | COM | 056752108 | 1593   | 15520    | SH | DEFINED | 01 | 1 |
| BAKER (MICHAEL) CORP        | COM | 057149106 | 17     | 510      | SH | DEFINED | 01 | 0 |
| BAKER HUGHES INC            | COM | 057224107 | 121364 | 2848889  | SH | DEFINED | 01 | 0 |
| BAKER HUGHES INC            | COM | 057224107 | 1363   | 32007    | SH | DEFINED | 01 | 0 |
| BAKER HUGHES INC            | COM | 057224107 | 279    | 6555     | SH | DEFINED | 01 | 1 |
| BAKERS FOOTWEAR GRP INC     | COM | 057465106 | 0      | 100      | SH | DEFINED | 01 | 1 |
| BALCHEM CORP                | COM | 057665200 | 4637   | 150260   | SH | DEFINED | 01 | 0 |
| BALCHEM CORP                | COM | 057665200 | 2      | 80       | SH | DEFINED | 01 | 1 |
| BALDOR ELECTRIC             | COM | 057741100 | 27839  | 689091   | SH | DEFINED | 01 | 0 |
| BALDOR ELECTRIC             | COM | 057741100 | 8      | 200      | SH | DEFINED | 01 | 1 |
| BALDWIN & LYONS INC -CL B   | COM | 057755209 | 9960   | 391366   | SH | DEFINED | 01 | 0 |
| BALL CORP                   | COM | 058498106 | 2650   | 45037    | SH | DEFINED | 01 | 0 |
| BALL CORP                   | COM | 058498106 | 283    | 4807     | SH | DEFINED | 01 | 0 |
| BALL CORP                   | COM | 058498106 | 59     | 1005     | SH | DEFINED | 01 | 1 |
| BALLANTYNE STRONG INC       | COM | 058516105 | 8      | 925      | SH | DEFINED | 01 | 0 |
| BALLARD POWER SYSTEMS IN    | COM | 058586108 | 1      | 306      | SH | DEFINED | 01 | 1 |
| BALLY TECHNOLOGIES INC      | COM | 05874B107 | 27665  | 791605   | SH | DEFINED | 01 | 0 |
| BALLY TECHNOLOGIES INC      | COM | 05874B107 | 28     | 790      | SH | DEFINED | 01 | 0 |
| BALLY TECHNOLOGIES INC      | COM | 05874B107 | 46     | 1310     | SH | DEFINED | 01 | 1 |
| BANCFIRST CORP              | COM | 05945F103 | 10816  | 267327   | SH | DEFINED | 01 | 0 |
| BANCO BRADESCO-ADR          | COM | 059460303 | 27866  | 1367328  | SH | DEFINED | 01 | 0 |
| BANCO BRADESCO-ADR          | COM | 059460303 | 68539  | 3366360  | SH | DEFINED | 01 | 1 |
| BANCO BRADESCO-ADR          | COM | 059460303 | 21     | 1043     | SH | DEFINED | 01 | 1 |
| BANCO BILBAO VIZCAYA-SP ADR | COM | 05946K101 | 268    | 19884    | SH | DEFINED | 01 | 0 |
| BANCO BILBAO VIZCAYA-SP ADR | COM | 05946K101 | 0      | 1        | SH | DEFINED | 01 | 1 |
| ADRBANCO MACRO S A          | COM | 05961W105 | 5      | 120      | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER SA-SPON ADR | COM | 05964H105 | 1666   | 131595   | SH | DEFINED | 01 | 0 |
| BANCO SANTANDER SA-SPON ADR | COM | 05964H105 | 107    | 8449     | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER-CHILE-ADR   | COM | 05965X109 | 2571   | 26638    | SH | DEFINED | 01 | 0 |
| BANCO SANTANDER BRASIL ADS  | COM | 05967A107 | 1071   | 77724    | SH | DEFINED | 01 | 0 |
| BANCO SANTANDER BRASIL ADS  | COM | 05967A107 | 27891  | 2025546  | SH | DEFINED | 01 | 0 |
| BANCO SANTANDER BRASIL ADS  | COM | 05967A107 | 54279  | 3947572  | SH | DEFINED | 01 | 1 |
| BANCO SANTANDER BRASIL ADS  | COM | 05967A107 | 33     | 2401     | SH | DEFINED | 01 | 1 |
| BANCOLOMBIA S.A.-SPONS ADR  | COM | 05968L102 | 3      | 50       | SH | DEFINED | 01 | 0 |
| BANCOLOMBIA S.A.-SPONS ADR  | COM | 05968L102 | 13707  | 255197   | SH | DEFINED | 01 | 1 |
| BANCOLOMBIA S.A.-SPONS ADR  | COM | 05968L102 | 12     | 186      | SH | DEFINED | 01 | 1 |
| BANCORP RHODE ISLAND INC    | COM | 059690107 | 10     | 350      | SH | DEFINED | 01 | 0 |
| BANCORPSOUTH INC            | COM | 059692103 | 2635   | 185810   | SH | DEFINED | 01 | 0 |

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

|                                 |          |           |        |          |    |         |      |
|---------------------------------|----------|-----------|--------|----------|----|---------|------|
| BANCORP INC/THE                 | COM      | 05969A105 | 13     | 1935     | SH | DEFINED | 01 0 |
| BANCTRUST FINANCIAL GROUP       | COM      | 05978R107 | 2018   | 659645   | SH | DEFINED | 01 0 |
| BANCTRUST FINANCIAL GROUP       | COM      | 05978R107 | 0      | 150      | SH | DEFINED | 01 1 |
| BANK OF AMERICA CORP            | COM      | 060505104 | 510776 | 38960931 | SH | DEFINED | 01 0 |
| BANK OF AMERICA CORP            | COM      | 060505104 | 3111   | 237292   | SH | DEFINED | 01 0 |
| BANK OF AMERICA CORP            | COM      | 060505104 | 8198   | 625324   | SH | DEFINED | 01 0 |
| BANK OF AMERICA CORP            | COM      | 060505104 | 71026  | 5421814  | SH | DEFINED | 01 1 |
| BANK OF AMERICA CORP            | COM      | 060505104 | 8786   | 670528   | SH | DEFINED | 01 1 |
| BANK OF AMERICA CORP            | CONV PRF | 060505682 | 6280   | 6400     | SH | DEFINED | 01 0 |
| BANK OF AMERICA CORP            | CONV PRF | 060505682 | 155    | 158      | SH | DEFINED | 01 1 |
| BANK EAST ASIA LTD              | COM      | 061874103 | 8      | 1840     | SH | DEFINED | 01 0 |
| BANK GRANITE GRANITE FA         | COM      | 062401104 | 1      | 1000     | SH | DEFINED | 01 1 |
| BANK OF HAWAII CORP             | COM      | 062540109 | 5657   | 125969   | SH | DEFINED | 01 0 |
| BANK OF MARIN BANCORP/CA        | COM      | 063425102 | 11     | 350      | SH | DEFINED | 01 0 |
| BANK OF MARIN BANCORP/CA        | COM      | 063425102 | 40     | 1254     | SH | DEFINED | 01 1 |
| BANK OF MONTREAL                | COM      | 063671101 | 6339   | 109772   | SH | DEFINED | 01 0 |
| BANK OF MONTREAL                | COM      | 063671101 | 81     | 1401     | SH | DEFINED | 01 1 |
| BANK MUTUAL CORP                | COM      | 063750103 | 11094  | 2137565  | SH | DEFINED | 01 0 |
| BANK OF THE OZARKS              | COM      | 063904106 | 6224   | 167782   | SH | DEFINED | 01 0 |
| BANK OF THE OZARKS              | COM      | 063904106 | 26     | 700      | SH | DEFINED | 01 1 |
| BANK OF NEW YORK MELLON CORP    | COM      | 064058100 | 116983 | 4476860  | SH | DEFINED | 01 0 |
| BANK OF NEW YORK MELLON CORP    | COM      | 064058100 | 1854   | 70931    | SH | DEFINED | 01 0 |
| BANK OF NEW YORK MELLON CORP    | COM      | 064058100 | 324    | 12391    | SH | DEFINED | 01 1 |
| BANK OF NOVA SCOTIA COM NPV IS  | COM      | 064149107 | 108    | 2034     | SH | DEFINED | 01 1 |
| BANK COMM HLDGS                 | COM      | 06424J103 | 16     | 4056     | SH | DEFINED | 01 1 |
| BANK OF CHINA                   | COM      | 06426M104 | 90     | 6892     | SH | DEFINED | 01 0 |
| BANKATLANTIC BANCORP INC CL A N | COM      | 065908600 | 0      | 344      | SH | DEFINED | 01 1 |
| BANK YOKOHAMA LTD JAPAN         | COM      | 066011206 | 4      | 90       | SH | DEFINED | 01 0 |
| BANKFINANCIAL CORP              | COM      | 06643P104 | 10795  | 1177192  | SH | DEFINED | 01 0 |
| BANKFINANCIAL CORP              | COM      | 06643P104 | 1      | 102      | SH | DEFINED | 01 1 |
| BANNER CORPORATION              | COM      | 06652V109 | 2879   | 1332600  | SH | DEFINED | 01 0 |
| BANNER CORPORATION              | COM      | 06652V109 | 0      | 100      | SH | DEFINED | 01 1 |
| CR BARD INC                     | COM      | 067383109 | 37434  | 459708   | SH | DEFINED | 01 0 |
| CR BARD INC                     | COM      | 067383109 | 498    | 6116     | SH | DEFINED | 01 0 |
| CR BARD INC                     | COM      | 067383109 | 11194  | 135500   | SH | DEFINED | 01 1 |
| CR BARD INC                     | COM      | 067383109 | 115    | 1409     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06738C778 | 453    | 10712    | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH GS C    | COM      | 06738C786 | 401    | 17599    | SH | DEFINED | 01 1 |
| BARCLAYS BK PLC IPATH INDE      | COM      | 06738C794 | 3      | 105      | SH | DEFINED | 01 1 |
| BARCLAYS PLC-SPONS ADR          | COM      | 06738E204 | 804    | 42671    | SH | DEFINED | 01 0 |
| BARCLAYS PLC-SPONS ADR          | COM      | 06738E204 | 110    | 5826     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739F101 | 89     | 1825     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739F135 | 7      | 150      | SH | DEFINED | 01 1 |
| IPATH MSCI INDIA INDEX ETN      | COM      | 06739F291 | 5065   | 66862    | SH | DEFINED | 01 0 |
| IPATH MSCI INDIA INDEX ETN      | COM      | 06739F291 | 5662   | 74941    | SH | DEFINED | 01 1 |
| IPATH MSCI INDIA INDEX ETN      | COM      | 06739F291 | 361    | 4770     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC ADR SER 2     | PRF      | 06739F390 | 48     | 1950     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739H198 | 4      | 69       | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH DOW     | COM      | 06739H206 | 136    | 2727     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH DJ-U    | COM      | 06739H255 | 2      | 55       | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739H263 | 6      | 112      | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739H271 | 4      | 75       | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH ETN     | COM      | 06739H305 | 22     | 498      | SH | DEFINED | 01 1 |
| BARCLAYS BK PLC SPONSORED       | PRF      | 06739H362 | 52     | 2000     | SH | DEFINED | 01 1 |
| BARCLAYS BANK PLC IPATH OPTI    | COM      | 06739H412 | 3      | 70       | SH | DEFINED | 01 1 |
| BARCLAYS BK PLC SPONSORED       | PRF      | 06739H511 | 19     | 750      | SH | DEFINED | 01 1 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| BARCLAYS GLOBAL INVESTORS    | COM      | 06739H644 | 1      | 110     | SH  | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH ETN  | COM      | 06739H743 | 9      | 305     | SH  | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC IPATH DJ A | COM      | 06739H750 | 9      | 400     | SH  | DEFINED | 01 | 1 |
| BARCLAYS BANK PLC SPONSORED  | PRF      | 06739H776 | 60     | 2400    | SH  | DEFINED | 01 | 1 |
| IPATH S&P 500 VIX S/T FU ETN | COM      | 06740C527 | 3373   | 194700  | SH  | DEFINED | 01 | 0 |
| IPATH S&P 500 VIX S/T FU ETN | COM      | 06740C527 | 2819   | 163016  | SH  | DEFINED | 01 | 0 |
| BARLOWORLD LTD-UNSPONS ADR   | COM      | 067680207 | 9      | 1350    | SH  | DEFINED | 01 | 0 |
| BARNES & NOBLE INC           | COM      | 067774109 | 1597   | 98533   | SH  | DEFINED | 01 | 0 |
| BARNES & NOBLE INC           | COM      | 067774109 | 390    | 24062   | SH  | DEFINED | 01 | 1 |
| BARNES GROUP INC             | COM      | 067806109 | 25471  | 1448085 | SH  | DEFINED | 01 | 0 |
| BARNES GROUP INC             | CONV BND | 067806AB5 | 3966   | 3870000 | PRN | DEFINED | 01 | 0 |
| BARRICK GOLD CORP            | COM      | 067901108 | 45414  | 981079  | SH  | DEFINED | 01 | 0 |
| BARRICK GOLD CORP            | COM      | 067901108 | 2410   | 52058   | SH  | DEFINED | 01 | 0 |
| BARRICK GOLD CORP            | COM      | 067901108 | 9254   | 200264  | SH  | DEFINED | 01 | 1 |
| BARRICK GOLD CORP            | COM      | 067901108 | 981    | 21199   | SH  | DEFINED | 01 | 1 |
| BARNWELL INDUSTRIES INC      | COM      | 068221100 | 2      | 500     | SH  | DEFINED | 01 | 1 |
| BARRETT BUSINESS SVCS INC    | COM      | 068463108 | 10     | 600     | SH  | DEFINED | 01 | 0 |
| BILL BARRETT CORP            | COM      | 06846N104 | 31505  | 875139  | SH  | DEFINED | 01 | 0 |
| BILL BARRETT CORP            | COM      | 06846N104 | 28     | 772     | SH  | DEFINED | 01 | 1 |
| BARRY (R.G.)                 | COM      | 068798107 | 6      | 550     | SH  | DEFINED | 01 | 0 |
| BASIC ENERGY SERVICES INC    | COM      | 06985P100 | 937    | 109922  | SH  | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC     | COM      | 071813109 | 272837 | 5718564 | SH  | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC     | COM      | 071813109 | 1465   | 30710   | SH  | DEFINED | 01 | 0 |
| BAXTER INTERNATIONAL INC     | COM      | 071813109 | 751    | 15731   | SH  | DEFINED | 01 | 1 |
| BAYER AG-SPONSORED ADR       | COM      | 072730302 | 283    | 4049    | SH  | DEFINED | 01 | 0 |
| BMW-UNSPONSORED ADR          | COM      | 072743206 | 63     | 2700    | SH  | DEFINED | 01 | 0 |
| BAYTEX ENERGY TRUST-UNITS    | COM      | 073176109 | 631    | 17357   | SH  | DEFINED | 01 | 0 |
| BAYTEX ENERGY TRUST-UNITS    | COM      | 073176109 | 1441   | 39738   | SH  | DEFINED | 01 | 1 |
| BAYTEX ENERGY TRUST-UNITS    | COM      | 073176109 | 5      | 145     | SH  | DEFINED | 01 | 1 |
| BE AEROSPACE INC             | COM      | 073302101 | 39337  | 1297827 | SH  | DEFINED | 01 | 0 |
| BE AEROSPACE INC             | COM      | 073302101 | 901    | 29736   | SH  | DEFINED | 01 | 1 |
| BEACON PWR CORP COM          | COM      | 073677106 | 3      | 10145   | SH  | DEFINED | 01 | 1 |
| BEACON ROOFING SUPPLY INC    | COM      | 073685109 | 6874   | 471856  | SH  | DEFINED | 01 | 0 |
| BEACON ROOFING SUPPLY INC    | COM      | 073685109 | 6      | 392     | SH  | DEFINED | 01 | 1 |
| BEASLEY BROADCAST GRP INC -A | COM      | 074014101 | 1      | 275     | SH  | DEFINED | 01 | 0 |
| BEAZER HOMES USA INC         | COM      | 07556Q105 | 33     | 8105    | SH  | DEFINED | 01 | 0 |
| BEAZER HOMES USA INC         | COM      | 07556Q105 | 78     | 19000   | SH  | DEFINED | 01 | 1 |
| BEBE STORES INC              | COM      | 075571109 | 19     | 2695    | SH  | DEFINED | 01 | 0 |
| BEBE STORES INC              | COM      | 075571109 | 2      | 300     | SH  | DEFINED | 01 | 1 |
| BECKMAN COULTER INC          | COM      | 075811109 | 8512   | 174467  | SH  | DEFINED | 01 | 0 |
| BECKMAN COULTER INC          | COM      | 075811109 | 58     | 1190    | SH  | DEFINED | 01 | 1 |
| BECTON DICKINSON AND CO      | COM      | 075887109 | 54914  | 741086  | SH  | DEFINED | 01 | 0 |
| BECTON DICKINSON AND CO      | COM      | 075887109 | 904    | 12197   | SH  | DEFINED | 01 | 0 |
| BECTON DICKINSON AND CO      | COM      | 075887109 | 495    | 6680    | SH  | DEFINED | 01 | 1 |
| BED BATH & BEYOND INC        | COM      | 075896100 | 51343  | 1182749 | SH  | DEFINED | 01 | 0 |
| BED BATH & BEYOND INC        | COM      | 075896100 | 670    | 15440   | SH  | DEFINED | 01 | 0 |
| BED BATH & BEYOND INC        | COM      | 075896100 | 114    | 2617    | SH  | DEFINED | 01 | 1 |
| BEIJING ENTERPRISES HLDG     | COM      | 07725Q200 | 1      | 20      | SH  | DEFINED | 01 | 0 |
| BEL FUSE INC-CL B            | COM      | 077347300 | 6845   | 328794  | SH  | DEFINED | 01 | 0 |
| BELDEN INC                   | COM      | 077454106 | 57115  | 2165144 | SH  | DEFINED | 01 | 0 |
| BELGACOM SA                  | COM      | 077701100 | 7      | 910     | SH  | DEFINED | 01 | 0 |
| BELO CORPORATION-A           | COM      | 080555105 | 42     | 6798    | SH  | DEFINED | 01 | 0 |
| BELO CORPORATION-A           | COM      | 080555105 | 22     | 3605    | SH  | DEFINED | 01 | 1 |
| BEMIS COMPANY                | COM      | 081437105 | 1637   | 51578   | SH  | DEFINED | 01 | 0 |
| BEMIS COMPANY                | COM      | 081437105 | 182    | 5724    | SH  | DEFINED | 01 | 0 |
| BEMIS COMPANY                | COM      | 081437105 | 40382  | 1272295 | SH  | DEFINED | 01 | 1 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| BENCHMARK ELECTRONICS INC    | COM      | 08160H101 | 49801  | 3036705 | SH  | DEFINED | 01 | 0 |
| BENEFICIAL MUTUAL BANCORP IN | COM      | 08173R104 | 11469  | 1278626 | SH  | DEFINED | 01 | 0 |
| BENEFICIAL MUTUAL BANCORP IN | COM      | 08173R104 | 49     | 5450    | SH  | DEFINED | 01 | 1 |
| BENETTON GROUP SPA           | COM      | 081795403 | 14     | 897     | SH  | DEFINED | 01 | 0 |
| BENIHANA INC - CLASS A       | COM      | 082047200 | 7286   | 960006  | SH  | DEFINED | 01 | 0 |
| WR BERKLEY CORP              | COM      | 084423102 | 49731  | 1837090 | SH  | DEFINED | 01 | 0 |
| WR BERKLEY CORP              | COM      | 084423102 | 7      | 252     | SH  | DEFINED | 01 | 1 |
| BERKSHIRE HATHAWAY INC-CL A  | COM      | 084670108 | 4606   | 37      | SH  | DEFINED | 01 | 0 |
| BERKSHIRE HATHAWAY INC-CL A  | COM      | 084670108 | 4606   | 37      | SH  | DEFINED | 01 | 1 |
| BERKSHIRE HATHAWAY INC-CL B  | COM      | 084670702 | 131704 | 1592935 | SH  | DEFINED | 01 | 0 |
| BERKSHIRE HATHAWAY INC-CL B  | COM      | 084670702 | 7514   | 90885   | SH  | DEFINED | 01 | 0 |
| BERKSHIRE HATHAWAY INC-CL B  | COM      | 084670702 | 15731  | 190262  | SH  | DEFINED | 01 | 1 |
| BERKSHIRE HILLS BANCORP INC  | COM      | 084680107 | 1558   | 82170   | SH  | DEFINED | 01 | 0 |
| BERKSHIRE HILLS BANCORP INC  | COM      | 084680107 | 0      | 1       | SH  | DEFINED | 01 | 1 |
| BERRY PETROLEUM CO-CLASS A   | COM      | 085789105 | 14133  | 445417  | SH  | DEFINED | 01 | 0 |
| BEST BUY CO INC              | COM      | 086516101 | 38406  | 940646  | SH  | DEFINED | 01 | 0 |
| BEST BUY CO INC              | COM      | 086516101 | 1077   | 26386   | SH  | DEFINED | 01 | 0 |
| BEST BUY CO INC              | COM      | 086516101 | 58847  | 1441294 | SH  | DEFINED | 01 | 1 |
| BEST BUY CO INC              | COM      | 086516101 | 957    | 23427   | SH  | DEFINED | 01 | 1 |
| BHP BILLITON LTD-SPON ADR    | COM      | 088606108 | 23894  | 313092  | SH  | DEFINED | 01 | 0 |
| BHP BILLITON LTD-SPON ADR    | COM      | 088606108 | 1312   | 17193   | SH  | DEFINED | 01 | 1 |
| BIG 5 SPORTING GOODS CORP    | COM      | 08915P101 | 1399   | 104253  | SH  | DEFINED | 01 | 0 |
| BIG LOTS INC                 | COM      | 089302103 | 36655  | 1102440 | SH  | DEFINED | 01 | 0 |
| BIG LOTS INC                 | COM      | 089302103 | 132    | 3977    | SH  | DEFINED | 01 | 0 |
| BIG LOTS INC                 | COM      | 089302103 | 60     | 1800    | SH  | DEFINED | 01 | 1 |
| BIGBAND NETWORKS INC         | COM      | 089750509 | 14286  | 5030675 | SH  | DEFINED | 01 | 0 |
| BIGBAND NETWORKS INC         | COM      | 089750509 | 306    | 107575  | SH  | DEFINED | 01 | 0 |
| BIGLARI HOLDINGS INC         | COM      | 08986R101 | 2231   | 6788    | SH  | DEFINED | 01 | 0 |
| BIGLARI HOLDINGS INC         | COM      | 08986R101 | 35     | 106     | SH  | DEFINED | 01 | 1 |
| BIO-RAD LABORATORIES-CL A    | COM      | 090572207 | 6180   | 68274   | SH  | DEFINED | 01 | 0 |
| BIO-RAD LABORATORIES-CL A    | COM      | 090572207 | 14     | 155     | SH  | DEFINED | 01 | 1 |
| BIO-REFERENCE LABS INC       | COM      | 09057G602 | 3489   | 167315  | SH  | DEFINED | 01 | 0 |
| BIO-REFERENCE LABS INC       | COM      | 09057G602 | 9      | 450     | SH  | DEFINED | 01 | 1 |
| BIOCRYST PHARMACEUTICALS INC | COM      | 09058V103 | 11     | 2300    | SH  | DEFINED | 01 | 0 |
| BIOCRYST PHARMACEUTICALS INC | COM      | 09058V103 | 45     | 9100    | SH  | DEFINED | 01 | 1 |
| BIOMARIN PHARMACEUTICAL INC  | COM      | 09061G101 | 22316  | 998419  | SH  | DEFINED | 01 | 0 |
| BIOMARIN PHARMACEUTICAL INC  | COM      | 09061G101 | 267    | 11920   | SH  | DEFINED | 01 | 0 |
| BIOMARIN PHARMACEUTICAL INC  | COM      | 09061G101 | 9      | 406     | SH  | DEFINED | 01 | 1 |
| BIOGEN IDEC INC              | COM      | 09062X103 | 48049  | 856176  | SH  | DEFINED | 01 | 0 |
| BIOGEN IDEC INC              | COM      | 09062X103 | 713    | 12710   | SH  | DEFINED | 01 | 0 |
| BIOGEN IDEC INC              | COM      | 09062X103 | 1174   | 20921   | SH  | DEFINED | 01 | 1 |
| BIOGEN IDEC INC              | COM      | 09062X103 | 197    | 3513    | SH  | DEFINED | 01 | 1 |
| BIOMED REALTY TRUST INC      | COM      | 09063H107 | 58984  | 3291543 | SH  | DEFINED | 01 | 0 |
| BIOMED REALTY TRUST INC      | COM      | 09063H107 | 2      | 103     | SH  | DEFINED | 01 | 1 |
| BIONOVO INC COM NEW          | COM      | 090643206 | 1      | 800     | SH  | DEFINED | 01 | 1 |
| BIOMED REALTY LP             | CONV BND | 09064AAB7 | 6602   | 5760000 | PRN | DEFINED | 01 | 0 |
| BIODEL INC                   | COM      | 09064M105 | 7      | 1400    | SH  | DEFINED | 01 | 0 |
| BIODEL INC                   | COM      | 09064M105 | 74     | 14000   | SH  | DEFINED | 01 | 1 |
| BIOMIMETIC THERAPEUTICS INC  | COM      | 09064X101 | 2407   | 211085  | SH  | DEFINED | 01 | 0 |
| BIOSANTE PHARMACEUTICALS INC | COM      | 09065V203 | 9      | 4960    | SH  | DEFINED | 01 | 0 |
| BIOSANTE PHARMACEUTICALS INC | COM      | 09065V203 | 8      | 4883    | SH  | DEFINED | 01 | 1 |
| BIOTIME INC                  | COM      | 09066L105 | 7      | 1400    | SH  | DEFINED | 01 | 0 |
| BIOTECH HOLDRS TRUST ETF     | COM      | 09067D201 | 75     | 780     | SH  | DEFINED | 01 | 1 |
| BIOSCRIP INC                 | COM      | 09069N108 | 18     | 3495    | SH  | DEFINED | 01 | 0 |
| BIOLASE TECHNOLOGY INC       | COM      | 090911108 | 0      | 55      | SH  | DEFINED | 01 | 0 |
| BIOSPECIFICS TECHNOLOGIES    | COM      | 090931106 | 7      | 250     | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| BJ'S RESTAURANTS INC           | COM | 09180C106 | 17512 | 621902  | SH | DEFINED | 01 | 0 |
| BLACK BOX CORPORATION          | COM | 091826107 | 12620 | 393646  | SH | DEFINED | 01 | 0 |
| BLACKBOARD INC                 | COM | 091935502 | 2022  | 56095   | SH | DEFINED | 01 | 0 |
| BLACKBOARD INC                 | COM | 091935502 | 74    | 2065    | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM  | COM | 091941104 | 3     | 200     | SH | DEFINED | 01 | 1 |
| BLACK HILLS CORP               | COM | 092113109 | 5842  | 187230  | SH | DEFINED | 01 | 0 |
| BLACK HILLS CORP               | COM | 092113109 | 100   | 3202    | SH | DEFINED | 01 | 1 |
| BLACKBAUD INC                  | COM | 09227Q100 | 13334 | 554713  | SH | DEFINED | 01 | 0 |
| BLACKBAUD INC                  | COM | 09227Q100 | 6     | 250     | SH | DEFINED | 01 | 1 |
| BLACKROCK INSD MUN TERM TR IN  | COM | 092474105 | 92    | 9140    | SH | DEFINED | 01 | 1 |
| BLACKROCK INCOME OPPORTUNIT    | COM | 092475102 | 180   | 17337   | SH | DEFINED | 01 | 1 |
| BLACKROCK INSD MUN INCOME TR   | COM | 092479104 | 74    | 5000    | SH | DEFINED | 01 | 1 |
| BLACKROCK INVESTMENTQUALITY MU | COM | 09247D105 | 132   | 8700    | SH | DEFINED | 01 | 1 |
| BLACKROCK N Y INVT QUALITY MU  | COM | 09247E103 | 26    | 1787    | SH | DEFINED | 01 | 1 |
| BLACKROCK INCOME TR INC        | COM | 09247F100 | 78    | 11190   | SH | DEFINED | 01 | 0 |
| BLACKROCK INC                  | COM | 09247X101 | 20888 | 122689  | SH | DEFINED | 01 | 0 |
| BLACKROCK INC                  | COM | 09247X101 | 85    | 497     | SH | DEFINED | 01 | 1 |
| BLACKROCK CALIF MUN INCOME TR  | COM | 09248E102 | 12    | 800     | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN INCOMETR         | COM | 09248F109 | 41    | 2875    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNICIPAL INCOME INV | COM | 09248H105 | 14    | 1000    | SH | DEFINED | 01 | 1 |
| BLACKROCK N J MUN INCOME TR    | COM | 09248J101 | 41    | 2620    | 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 | 117   | 7638    | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW JERSEYMUN BD TR  | COM | 09249A109 | 28    | 1679    | SH | DEFINED | 01 | 1 |
| BLACKROCK CORE BD TRSHS BEN IN | COM | 09249E101 | 60    | 4340    | SH | DEFINED | 01 | 1 |
| BLACKROCK STRATEGIC            | COM | 09249G106 | 62    | 4700    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN BD TR            | COM | 09249H104 | 70    | 4386    | SH | DEFINED | 01 | 1 |
| BLACKROCK MD MUN BD TR         | COM | 09249L105 | 48    | 2849    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUN INCOME TR II     | COM | 09249N101 | 20    | 1350    | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW YORK MUN BD TR   | COM | 09249P106 | 39    | 2452    | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW YORK MUN INCOME  | COM | 09249R102 | 32    | 2091    | SH | DEFINED | 01 | 1 |
| BLACKROCK NEW YORK INSD MUN I  | COM | 09249U105 | 80    | 5531    | SH | DEFINED | 01 | 1 |
| BLACKROCK CREDIT ALLOCATION    | COM | 09249V103 | 17    | 1500    | SH | DEFINED | 01 | 1 |
| BLACKROCK LTD DURATION I       | COM | 09249W101 | 184   | 10678   | 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 | 303   | 16458   | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD & EQUITY ADV     | COM | 092508100 | 38    | 2900    | SH | DEFINED | 01 | 1 |
| BLACKROCK INSURED MUNICIPAL    | COM | 09250G102 | 72    | 4700    | SH | DEFINED | 01 | 1 |
| BLACKROCK DIVID ACHIEVERS      | COM | 09250N107 | 89    | 9183    | SH | DEFINED | 01 | 1 |
| BLACKROCK ENERGY & RES TR COM  | COM | 09250U101 | 122   | 4948    | SH | DEFINED | 01 | 1 |
| BLACKROCK HEALTH SCIENCES T    | COM | 09250W107 | 46    | 1800    | SH | DEFINED | 01 | 1 |
| BLACKROCK ENHANCED DIVID ACHI  | COM | 09251A104 | 140   | 16846   | SH | DEFINED | 01 | 1 |
| BLACKROCK INTL GROWTH & I      | COM | 092524107 | 67    | 6399    | SH | DEFINED | 01 | 1 |
| BLACKROCK KELSO CAPITAL CORP   | COM | 092533108 | 75    | 6510    | SH | DEFINED | 01 | 0 |
| BLACKROCK KELSO CAPITAL CORP   | COM | 092533108 | 144   | 12515   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09253N104 | 3     | 200     | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09253P109 | 149   | 9385    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIVEST FD INC      | COM | 09253R105 | 14    | 1358    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIVEST FD II INC   | COM | 09253T101 | 6     | 380     | SH | DEFINED | 01 | 1 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 5862  | 461896  | SH | DEFINED | 01 | 0 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 106   | 8366    | SH | DEFINED | 01 | 0 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 20510 | 1618747 | SH | DEFINED | 01 | 1 |
| BLACKSTONE GROUP LP/THE        | LP  | 09253U108 | 150   | 11849   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD FD INC COM | COM | 09253W104 | 11    | 700     | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNI INTER DURA      | COM | 09253X102 | 2     | 100     | SH | DEFINED | 01 | 1 |

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

|                                |     |           |       |        |    |         |    |   |
|--------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| BLACKROCK MUNIENHANC           | COM | 09253Y100 | 39    | 3387   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254A101 | 8     | 541    | SH | DEFINED | 01 | 1 |
| BLACKROCK REAL ASSETEQUITY TR  | COM | 09254B109 | 157   | 12100  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD INSD FD IN | COM | 09254E103 | 171   | 12064  | SH | DEFINED | 01 | 1 |
| BLACKROCK APEX MUN FD INC      | COM | 09254H106 | 23    | 2400   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIASSETSFD INC COM | COM | 09254J102 | 229   | 17559  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254L107 | 15    | 1036   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD CALIF FD I | COM | 09254M105 | 190   | 12933  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD CALIF INSD | COM | 09254N103 | 6     | 397    | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254P108 | 37    | 2500   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09254X101 | 64    | 4219   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N J FD INC | COM | 09254Y109 | 115   | 7391   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N J INSD F | COM | 09255A100 | 267   | 17359  | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIHOLDIN           | COM | 09255C106 | 92    | 6000   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD N Y INSD   | COM | 09255E102 | 77    | 5488   | SH | DEFINED | 01 | 1 |
| BLACKROCK MUNIYIELD PA INSD FD | COM | 09255G107 | 36    | 2323   | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD INCOMESTRATEGIES | COM | 09255H105 | 8     | 745    | SH | DEFINED | 01 | 1 |
| BLACKROCK PFD & CORPORATE      | COM | 09255J101 | 11    | 1157   | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD | COM | 09255L106 | 933   | 131379 | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD | COM | 09255M104 | 92    | 13072  | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD | COM | 09255N102 | 423   | 36316  | SH | DEFINED | 01 | 1 |
| BLACKROCK CORPORATE HIGH YIELD | COM | 09255P107 | 32    | 2800   | SH | DEFINED | 01 | 1 |
| BLACKROCK DEBT STRATEGIES      | COM | 09255R103 | 83    | 20791  | SH | DEFINED | 01 | 1 |
| BLACKROCK SR HIGH INCOME FD    | COM | 09255T109 | 8     | 2005   | SH | DEFINED | 01 | 1 |
| BLACKROCK DIVERSIFIE           | COM | 09255W102 | 3     | 317    | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM  | COM | 09255X100 | 71    | 4550   | SH | DEFINED | 01 | 1 |
| BLACKROCK FLOATING RATE INCOM  | COM | 09255Y108 | 48    | 3309   | SH | DEFINED | 01 | 1 |
| BLACKROCK ENHANCED CAP & INCO  | COM | 09256A109 | 87    | 5918   | SH | DEFINED | 01 | 1 |
| BLDRS ASIA 50 ADR INDEX FD     | COM | 09348R102 | 4     | 139    | 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 | 338   | 7498   | SH | DEFINED | 01 | 1 |
| BLDRS EUROPE 100 ADRINDEX FD   | COM | 09348R409 | 10    | 503    | SH | DEFINED | 01 | 1 |
| H&R BLOCK INC                  | COM | 093671105 | 5133  | 396440 | SH | DEFINED | 01 | 0 |
| H&R BLOCK INC                  | COM | 093671105 | 210   | 16201  | SH | DEFINED | 01 | 0 |
| H&R BLOCK INC                  | COM | 093671105 | 484   | 37387  | SH | DEFINED | 01 | 1 |
| BLOCKBUSTER INC CL A           | COM | 093679108 | 0     | 7000   | SH | DEFINED | 01 | 1 |
| BLOUNT INTERNATIONAL INC       | COM | 095180105 | 410   | 32259  | SH | DEFINED | 01 | 0 |
| BLOUNT INTERNATIONAL INC       | COM | 095180105 | 0     | 14     | SH | DEFINED | 01 | 1 |
| BLUE CHIP VALUE FD             | COM | 095333100 | 35    | 10603  | SH | DEFINED | 01 | 1 |
| BLUE COAT SYSTEMS INC          | COM | 09534T508 | 10039 | 417267 | SH | DEFINED | 01 | 0 |
| BLUE COAT SYSTEMS INC          | COM | 09534T508 | 49    | 2045   | SH | DEFINED | 01 | 0 |
| BLUE COAT SYSTEMS INC          | COM | 09534T508 | 4     | 166    | SH | DEFINED | 01 | 1 |
| BLUE DOLPHIN ENERGY CO COM PAR | COM | 095395307 | 0     | 71     | SH | DEFINED | 01 | 1 |
| BLUE NILE INC                  | COM | 09578R103 | 3023  | 67951  | SH | DEFINED | 01 | 0 |
| BLUE NILE INC                  | COM | 09578R103 | 1     | 25     | SH | DEFINED | 01 | 1 |
| BLUEFLY INC COM NEW            | COM | 096227301 | 0     | 20     | SH | DEFINED | 01 | 1 |
| BLUEGREEN CORP                 | COM | 096231105 | 19    | 6637   | SH | DEFINED | 01 | 0 |
| BLUELINX HOLDINGS INC          | COM | 09624H109 | 3     | 725    | SH | DEFINED | 01 | 0 |
| BLYTH INC                      | COM | 09643P207 | 1414  | 34280  | SH | DEFINED | 01 | 0 |
| BOARDWALK PIPELINE PARTNERS L  | COM | 096627104 | 158   | 4827   | SH | DEFINED | 01 | 1 |
| BOB EVANS FARMS                | COM | 096761101 | 20592 | 733562 | SH | DEFINED | 01 | 0 |
| BOB EVANS FARMS                | COM | 096761101 | 3     | 100    | SH | DEFINED | 01 | 1 |
| BOC HONG KONG HLDGS LTD        | COM | 096813209 | 16    | 260    | SH | DEFINED | 01 | 0 |
| BOEING CO                      | COM | 097023105 | 44377 | 666928 | SH | DEFINED | 01 | 0 |
| BOEING CO                      | COM | 097023105 | 2558  | 38447  | SH | DEFINED | 01 | 0 |
| BOEING CO                      | COM | 097023105 | 9275  | 155400 | SH | DEFINED | 01 | 1 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| BOEING CO                     | COM      | 097023105 | 3569   | 53631    | SH  | DEFINED | 01 | 1 |
| BOISE INC                     | COM      | 09746Y105 | 19427  | 2993486  | SH  | DEFINED | 01 | 0 |
| BOISE INC                     | COM      | 09746Y105 | 36     | 5500     | SH  | DEFINED | 01 | 1 |
| BOLT TECHNOLOGY CORP          | COM      | 097698104 | 2      | 175      | SH  | DEFINED | 01 | 1 |
| BON-TON STORES INC/THE        | COM      | 09776J101 | 8      | 775      | SH  | DEFINED | 01 | 0 |
| BON-TON STORES INC/THE        | COM      | 09776J101 | 43     | 4200     | SH  | DEFINED | 01 | 1 |
| BOOKS-A-MILLION INC           | COM      | 098570104 | 4      | 550      | SH  | DEFINED | 01 | 0 |
| BORAL LIMITED - SPON ADR      | COM      | 099514101 | 18     | 990      | SH  | DEFINED | 01 | 0 |
| BORDERS GROUP INC             | COM      | 099709107 | 446    | 375159   | SH  | DEFINED | 01 | 0 |
| BORGWARNER INC                | COM      | 099724106 | 130132 | 2473054  | SH  | DEFINED | 01 | 0 |
| BORGWARNER INC                | COM      | 099724106 | 35     | 670      | SH  | DEFINED | 01 | 1 |
| BORGWARNER INC                | CONV BND | 099724AF3 | 3213   | 1930000  | PRN | DEFINED | 01 | 0 |
| BOSTON BEER COMPANY INC-CL A  | COM      | 100557107 | 5460   | 81624    | SH  | DEFINED | 01 | 0 |
| BOSTON BEER COMPANY INC-CL A  | COM      | 100557107 | 37     | 549      | SH  | DEFINED | 01 | 1 |
| BOSTON PRIVATE FINL HOLDING   | COM      | 101119105 | 2486   | 380100   | SH  | DEFINED | 01 | 0 |
| BOSTON PRIVATE FINL HOLDING   | COM      | 101119105 | 0      | 3        | SH  | DEFINED | 01 | 1 |
| BOSTON PROPERTIES INC         | COM      | 101121101 | 119510 | 1437809  | SH  | DEFINED | 01 | 0 |
| BOSTON PROPERTIES INC         | COM      | 101121101 | 610    | 7334     | SH  | DEFINED | 01 | 0 |
| BOSTON PROPERTIES INC         | COM      | 101121101 | 605    | 7283     | SH  | DEFINED | 01 | 1 |
| BOSTON PROPERTIES INC         | COM      | 101121101 | 78     | 942      | SH  | DEFINED | 01 | 1 |
| BOSTON PROPERTIES LP          | CONV BND | 10112RAG9 | 3168   | 2870000  | PRN | DEFINED | 01 | 0 |
| BOSTON SCIENTIFIC CORP        | COM      | 101137107 | 62862  | 10254523 | SH  | DEFINED | 01 | 0 |
| BOSTON SCIENTIFIC CORP        | COM      | 101137107 | 489    | 79706    | SH  | DEFINED | 01 | 0 |
| BOSTON SCIENTIFIC CORP        | COM      | 101137107 | 35     | 5600     | SH  | DEFINED | 01 | 1 |
| BOSTON SCIENTIFIC CORP        | COM      | 101137107 | 228    | 37265    | SH  | DEFINED | 01 | 1 |
| BOTTOMLINE TECHNOLOGIES INC   | COM      | 101388106 | 7956   | 517946   | SH  | DEFINED | 01 | 0 |
| BOULDER TOTAL RETURNFD        | COM      | 101541100 | 9      | 600      | SH  | DEFINED | 01 | 1 |
| BOWNE & CO INC                | COM      | 103043105 | 2201   | 194364   | SH  | DEFINED | 01 | 0 |
| BOYD GAMING CORP              | COM      | 103304101 | 1036   | 142878   | SH  | DEFINED | 01 | 0 |
| BOYD GAMING CORP              | COM      | 103304101 | 4      | 542      | SH  | DEFINED | 01 | 1 |
| BRADY CORPORATION - CL A      | COM      | 104674106 | 24752  | 848546   | SH  | DEFINED | 01 | 0 |
| BRADY CORPORATION - CL A      | COM      | 104674106 | 1      | 51       | SH  | DEFINED | 01 | 1 |
| BRAMBLES LTD                  | COM      | 105105100 | 37     | 3080     | SH  | DEFINED | 01 | 0 |
| BRANDYWINE REALTY TRUST       | COM      | 105368203 | 24982  | 2039313  | SH  | DEFINED | 01 | 0 |
| BRANDYWINE REALTY TRUST       | COM      | 105368203 | 342    | 27916    | SH  | DEFINED | 01 | 1 |
| BRF - BRASIL FOODS SA-ADR     | COM      | 10552T107 | 46     | 2932     | SH  | DEFINED | 01 | 0 |
| BRF - BRASIL FOODS SA-ADR     | COM      | 10552T107 | 19     | 1200     | SH  | DEFINED | 01 | 1 |
| BRASKEM SA-SPON ADR           | COM      | 105532105 | 1      | 50       | SH  | DEFINED | 01 | 0 |
| BRASKEM SA-SPON ADR           | COM      | 105532105 | 9      | 450      | SH  | DEFINED | 01 | 1 |
| BRASIL TELECOM SA - ADR       | COM      | 10553M101 | 2      | 121      | SH  | DEFINED | 01 | 0 |
| BRASIL TELECOM SA - ADR       | COM      | 10553M101 | 294    | 14808    | SH  | DEFINED | 01 | 1 |
| BRASIL TELECOM S A REP COMMON | COM      | 10553M200 | 14     | 1590     | SH  | DEFINED | 01 | 0 |
| BRASIL TELECOM S A REP COMMON | COM      | 10553M200 | 1      | 85       | SH  | DEFINED | 01 | 1 |
| B103BURN ENERGY PARTNERS L    | COM      | 106776107 | 158    | 8670     | SH  | DEFINED | 01 | 1 |
| BRIDGE BANCORP INC            | COM      | 108035106 | 10     | 400      | SH  | DEFINED | 01 | 0 |
| BRIDGEPOINT EDUCATION INC     | COM      | 10807M105 | 326    | 21065    | SH  | DEFINED | 01 | 0 |
| BRIDGELINE DIGITAL INC COM    | COM      | 10807Q205 | 10     | 8333     | SH  | DEFINED | 01 | 1 |
| BRIDGESTONE CORP              | COM      | 108441205 | 42     | 1170     | SH  | DEFINED | 01 | 0 |
| BRIDGFORD FOODS CORP          | COM      | 108763103 | 2      | 125      | SH  | DEFINED | 01 | 0 |
| BRIGGS & STRATTON             | COM      | 109043109 | 5590   | 294115   | SH  | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO        | COM      | 109178103 | 13340  | 711483   | SH  | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO        | COM      | 109178103 | 56     | 3000     | SH  | DEFINED | 01 | 0 |
| BRIGHAM EXPLORATION CO        | COM      | 109178103 | 31482  | 1683570  | SH  | DEFINED | 01 | 1 |
| BRIGHTPOINT INC               | COM      | 109473405 | 16349  | 2338991  | SH  | DEFINED | 01 | 0 |
| BRIGHTPOINT INC               | COM      | 109473405 | 19     | 2733     | SH  | DEFINED | 01 | 0 |
| BRINKER INTERNATIONAL INC     | COM      | 109641100 | 4901   | 259835   | SH  | DEFINED | 01 | 0 |

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

|                                 |     |           |        |          |    |         |    |   |
|---------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| BRINKER INTERNATIONAL INC       | COM | 109641100 | 53388  | 2830772  | SH | DEFINED | 01 | 1 |
| BRINK'S CO/THE                  | COM | 109696104 | 26478  | 1151195  | SH | DEFINED | 01 | 0 |
| BRINK'S CO/THE                  | COM | 109696104 | 387    | 16829    | SH | DEFINED | 01 | 1 |
| BRISTOL-MYERS SQUIBB CO         | COM | 110122108 | 558856 | 20614064 | SH | DEFINED | 01 | 0 |
| BRISTOL-MYERS SQUIBB CO         | COM | 110122108 | 598    | 22069    | SH | DEFINED | 01 | 0 |
| BRISTOL-MYERS SQUIBB CO         | COM | 110122108 | 3229   | 119096   | SH | DEFINED | 01 | 0 |
| BRISTOL-MYERS SQUIBB CO         | COM | 110122108 | 2837   | 104672   | SH | DEFINED | 01 | 1 |
| BRISTOL-MYERS SQUIBB CO         | COM | 110122108 | 4206   | 155138   | SH | DEFINED | 01 | 1 |
| BRISTOW GROUP INC               | COM | 110394103 | 15069  | 417671   | SH | DEFINED | 01 | 0 |
| BRITISH AIRWAYS -SPONS ADR      | COM | 110419306 | 17     | 880      | SH | DEFINED | 01 | 0 |
| BRITISH AMERICAN TOB-SP ADR     | COM | 110448107 | 311    | 4170     | SH | DEFINED | 01 | 0 |
| BRITISH AMERICAN TOB-SP ADR     | COM | 110448107 | 30     | 402      | SH | DEFINED | 01 | 1 |
| BRITISH LD CO PLC               | COM | 110828100 | 20     | 2771     | SH | DEFINED | 01 | 0 |
| BRITISH SKY BROADCAST-SP ADR    | COM | 111013108 | 40     | 900      | SH | DEFINED | 01 | 0 |
| BROADBAND HOLDERS TR DEPOSITARY | COM | 11130P104 | 1      | 100      | SH | DEFINED | 01 | 1 |
| BROADCOM CORP-CL A              | COM | 111320107 | 89200  | 2520487  | SH | DEFINED | 01 | 0 |
| BROADCOM CORP-CL A              | COM | 111320107 | 923    | 26082    | SH | DEFINED | 01 | 0 |
| BROADCOM CORP-CL A              | COM | 111320107 | 1075   | 30373    | SH | DEFINED | 01 | 1 |
| BROADSOFT INC                   | COM | 11133B409 | 8832   | 1019960  | SH | DEFINED | 01 | 0 |
| BROADRIDGE FINANCIAL SOLUTIO    | COM | 11133T103 | 8060   | 352450   | SH | DEFINED | 01 | 0 |
| BROADRIDGE FINANCIAL SOLUTIO    | COM | 11133T103 | 31     | 1355     | SH | DEFINED | 01 | 1 |
| BROADVISION INC COM PAR \$.001  | COM | 111412706 | 1      | 59       | SH | DEFINED | 01 | 1 |
| BROADWIND ENERGY INC            | COM | 11161T108 | 8436   | 4511297  | SH | DEFINED | 01 | 0 |
| BROCADE COMMUNICATIONS SYS      | COM | 111621306 | 60201  | 10308086 | SH | DEFINED | 01 | 0 |
| BROCADE COMMUNICATIONS SYS      | COM | 111621306 | 368    | 62936    | SH | DEFINED | 01 | 0 |
| BROCADE COMMUNICATIONS SYS      | COM | 111621306 | 2777   | 475474   | SH | DEFINED | 01 | 1 |
| BROCADE COMMUNICATIONS SYS      | COM | 111621306 | 26     | 4470     | SH | DEFINED | 01 | 1 |
| BRONCO DRILLING CO INC          | COM | 112211107 | 2      | 630      | SH | DEFINED | 01 | 0 |
| BRONCO DRILLING CO INC          | COM | 112211107 | 67     | 17002    | SH | DEFINED | 01 | 1 |
|                                 |     |           |        |          |    |         |    |   |
| BROOKDALE SENIOR LIVING INC     | COM | 112463104 | 18745  | 1149253  | SH | DEFINED | 01 | 0 |
| BROOKDALE SENIOR LIVING INC     | COM | 112463104 | 797    | 48849    | SH | DEFINED | 01 | 1 |
| BROOKFIELD ASSET MANAGE-CL A    | COM | 112585104 | 13275  | 467920   | SH | DEFINED | 01 | 0 |
| BROOKFIELD ASSET MANAGE-CL A    | COM | 112585104 | 99     | 3482     | SH | DEFINED | 01 | 1 |
| BROOKFIELD HOMES CORP           | COM | 112723101 | 33     | 4085     | SH | DEFINED | 01 | 0 |
| BROOKFIELD PROPERTIES CORP      | COM | 112900105 | 4996   | 321895   | SH | DEFINED | 01 | 0 |
| BROOKFIELD PROPERTIES CORP      | COM | 112900105 | 848    | 54441    | SH | DEFINED | 01 | 1 |
| BROOKLINE BANCORP INC           | COM | 11373M107 | 18807  | 1884498  | SH | DEFINED | 01 | 0 |
| BROOKLINE BANCORP INC           | COM | 11373M107 | 18     | 1850     | SH | DEFINED | 01 | 1 |
| BROOKS AUTOMATION INC           | COM | 114340102 | 16064  | 2394175  | SH | DEFINED | 01 | 0 |
| BROOKS AUTOMATION INC           | COM | 114340102 | 25     | 3753     | SH | DEFINED | 01 | 1 |
| BROWN & BROWN INC               | COM | 115236101 | 14370  | 711694   | SH | DEFINED | 01 | 0 |
| BROWN & BROWN INC               | COM | 115236101 | 16     | 813      | SH | DEFINED | 01 | 1 |
| BROWN-FORMAN CORP-CLASS A       | COM | 115637100 | 314    | 5090     | SH | DEFINED | 01 | 0 |
| BROWN-FORMAN CORP-CLASS B       | COM | 115637209 | 4603   | 74664    | SH | DEFINED | 01 | 0 |
| BROWN-FORMAN CORP-CLASS B       | COM | 115637209 | 336    | 5451     | SH | DEFINED | 01 | 0 |
| BROWN-FORMAN CORP-CLASS B       | COM | 115637209 | 135    | 2183     | SH | DEFINED | 01 | 1 |
| BROWN SHOE COMPANY INC          | COM | 115736100 | 2665   | 232426   | SH | DEFINED | 01 | 0 |
| BRUKER CORP                     | COM | 116794108 | 7108   | 506572   | SH | DEFINED | 01 | 0 |
| BRUKER CORP                     | COM | 116794108 | 8      | 600      | SH | DEFINED | 01 | 1 |
| BRUNSWICK CORP                  | COM | 117043109 | 14600  | 959164   | SH | DEFINED | 01 | 0 |
| BRUSH ENGINEERED MATERIALS      | COM | 117421107 | 27710  | 974301   | SH | DEFINED | 01 | 0 |
| BRYN MAWR BANK CORP             | COM | 117665109 | 8956   | 520076   | SH | DEFINED | 01 | 0 |
| BUCKEYE GP HLDGS L PCOM UNIT R  | COM | 118167105 | 86     | 2000     | SH | DEFINED | 01 | 1 |
| BUCKEYE PARTNERS L PUNIT LTD P  | COM | 118230101 | 522    | 8215     | SH | DEFINED | 01 | 1 |
| BUCKEYE TECHNOLOGIES INC        | COM | 118255108 | 3073   | 208938   | SH | DEFINED | 01 | 0 |
| BUCKLE INC/THE                  | COM | 118440106 | 11807  | 444841   | SH | DEFINED | 01 | 0 |



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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| BUCKLE INC/THE               | COM | 118440106 | 38     | 1430    | SH | DEFINED | 01 | 1 |
| BUCYRUS INTERNATIONAL INC    | COM | 118759109 | 70929  | 1022760 | SH | DEFINED | 01 | 0 |
| BUCYRUS INTERNATIONAL INC    | COM | 118759109 | 35047  | 505360  | SH | DEFINED | 01 | 1 |
| BUCYRUS INTERNATIONAL INC    | COM | 118759109 | 484    | 6973    | SH | DEFINED | 01 | 1 |
| BUFFALO WILD WINGS INC       | COM | 119848109 | 34873  | 728207  | SH | DEFINED | 01 | 0 |
| BUFFALO WILD WINGS INC       | COM | 119848109 | 169    | 3537    | SH | DEFINED | 01 | 1 |
| BUFFETS RESTAURANTS HOLDINGS | COM | 11988P107 | 127    | 30638   | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC    | COM | 120076104 | 902    | 149169  | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC    | COM | 120076104 | 22     | 3647    | SH | DEFINED | 01 | 0 |
| BUILD-A-BEAR WORKSHOP INC    | COM | 120076104 | 2      | 290     | SH | DEFINED | 01 | 1 |
| BUILDERS FIRSTSOURCE INC     | COM | 12008R107 | 20     | 8378    | SH | DEFINED | 01 | 0 |
| BUILDERS FIRSTSOURCE INC     | COM | 12008R107 | 5      | 2240    | SH | DEFINED | 01 | 0 |
| BUILDING MATERIALS HLDG CORP | COM | 120113105 | 0      | 100     | SH | DEFINED | 01 | 0 |
| BANK OF BARODA               | COM | 120376991 | 942    | 48096   | SH | DEFINED | 01 | 0 |
| BUNZL PLC                    | COM | 120738406 | 11     | 190     | SH | DEFINED | 01 | 0 |
| BURGER KING HOLDINGS INC     | COM | 121208201 | 5383   | 225425  | SH | DEFINED | 01 | 0 |
| BURGER KING HOLDINGS INC     | COM | 121208201 | 2      | 86      | SH | DEFINED | 01 | 1 |
| BURNHAM HOLDINGS INC-CL A    | COM | 122295108 | 57     | 4000    | SH | DEFINED | 01 | 0 |
| C & D TECHNOLOGIES           | COM | 124661109 | 0      | 7       | SH | DEFINED | 01 | 1 |
| CAE INC COM NPV ISIN #CA12   | COM | 124765108 | 63     | 6158    | SH | DEFINED | 01 | 1 |
| CAI INTERNATIONAL INC        | COM | 12477X106 | 1392   | 91765   | SH | DEFINED | 01 | 0 |
| CBIZ INC                     | COM | 124805102 | 4836   | 815490  | SH | DEFINED | 01 | 0 |
| CBL & ASSOCIATES PROPERTIES  | COM | 124830100 | 24108  | 1845981 | SH | DEFINED | 01 | 0 |
| CBL & ASSOCIATES PROPERTIES  | COM | 124830100 | 215    | 16429   | SH | DEFINED | 01 | 1 |
| CBS CORP NEW CL A            | COM | 124857103 | 4      | 221     | SH | DEFINED | 01 | 1 |
| CBS CORP-CLASS B NON VOTING  | COM | 124857202 | 63960  | 4032771 | SH | DEFINED | 01 | 0 |
| CBS CORP-CLASS B NON VOTING  | COM | 124857202 | 567    | 35759   | SH | DEFINED | 01 | 0 |
| CBS CORP-CLASS B NON VOTING  | COM | 124857202 | 2974   | 187455  | SH | DEFINED | 01 | 1 |
| CBS CORP-CLASS B NON VOTING  | COM | 124857202 | 803    | 50617   | SH | DEFINED | 01 | 1 |
| CB RICHARD ELLIS GROUP INC-A | COM | 12497T101 | 35224  | 1926861 | SH | DEFINED | 01 | 0 |
| CB RICHARD ELLIS GROUP INC-A | COM | 12497T101 | 278    | 15215   | SH | DEFINED | 01 | 0 |
| CB RICHARD ELLIS GROUP INC-A | COM | 12497T101 | 47507  | 2598817 | SH | DEFINED | 01 | 1 |
| CB RICHARD ELLIS GROUP INC-A | COM | 12497T101 | 1054   | 57683   | SH | DEFINED | 01 | 1 |
| CBO HOLDINGS COM USD0.01     | COM | 12503M108 | 37     | 1853    | SH | DEFINED | 01 | 1 |
| CDI CORP                     | COM | 125071100 | 8259   | 639249  | SH | DEFINED | 01 | 0 |
| CDC SOFTWARE CORP            | COM | 12507Y108 | 1      | 90      | SH | DEFINED | 01 | 0 |
| CEC ENTERTAINMENT INC        | COM | 125137109 | 43569  | 1269131 | SH | DEFINED | 01 | 0 |
| CFS BANCORP INC              | COM | 12525D102 | 3      | 703     | SH | DEFINED | 01 | 1 |
| CF INDUSTRIES HOLDINGS INC   | COM | 125269100 | 50680  | 530663  | SH | DEFINED | 01 | 0 |
| CF INDUSTRIES HOLDINGS INC   | COM | 125269100 | 356    | 3723    | SH | DEFINED | 01 | 0 |
| CF INDUSTRIES HOLDINGS INC   | COM | 125269100 | 202    | 2120    | SH | DEFINED | 01 | 1 |
| CH ENERGY GROUP INC          | COM | 12541M102 | 16476  | 373106  | SH | DEFINED | 01 | 0 |
| CH ENERGY GROUP INC          | COM | 12541M102 | 50     | 1129    | SH | DEFINED | 01 | 1 |
| C.H. ROBINSON WORLDWIDE INC  | COM | 12541W209 | 48067  | 687445  | SH | DEFINED | 01 | 0 |
| C.H. ROBINSON WORLDWIDE INC  | COM | 12541W209 | 609    | 8704    | SH | DEFINED | 01 | 0 |
| C.H. ROBINSON WORLDWIDE INC  | COM | 12541W209 | 7575   | 138900  | SH | DEFINED | 01 | 1 |
| C.H. ROBINSON WORLDWIDE INC  | COM | 12541W209 | 41     | 585     | SH | DEFINED | 01 | 1 |
| CIGNA CORP                   | COM | 125509109 | 126801 | 3544031 | SH | DEFINED | 01 | 0 |
| CIGNA CORP                   | COM | 125509109 | 512    | 14304   | SH | DEFINED | 01 | 0 |
| CIGNA CORP                   | COM | 125509109 | 102    | 2859    | SH | DEFINED | 01 | 1 |
| CIT GROUP INC                | COM | 125581801 | 141478 | 3465926 | SH | DEFINED | 01 | 0 |
| CIT GROUP INC                | COM | 125581801 | 101    | 2484    | SH | DEFINED | 01 | 1 |
| CLECO CORPORATION            | COM | 12561W105 | 4831   | 163072  | SH | DEFINED | 01 | 0 |
| CLECO CORPORATION            | COM | 12561W105 | 8      | 271     | SH | DEFINED | 01 | 1 |
| CKX INC                      | COM | 12562M106 | 23     | 4570    | SH | DEFINED | 01 | 0 |
| CME GROUP INC                | COM | 12572Q105 | 234347 | 899774  | SH | DEFINED | 01 | 0 |

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

|                              |          |           |       |         |     |         |    |   |
|------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| CME GROUP INC                | COM      | 12572Q105 | 920   | 3532    | SH  | DEFINED | 01 | 0 |
| CME GROUP INC                | COM      | 12572Q105 | 500   | 1919    | SH  | DEFINED | 01 | 1 |
| CMS ENERGY CORP              | COM      | 125896100 | 45899 | 2547147 | SH  | DEFINED | 01 | 0 |
| CMS ENERGY CORP              | COM      | 125896100 | 218   | 12103   | SH  | DEFINED | 01 | 0 |
| CMS ENERGY CORP              | COM      | 125896100 | 1171  | 65000   | SH  | DEFINED | 01 | 1 |
| CMS ENERGY CORP              | COM      | 125896100 | 8     | 425     | SH  | DEFINED | 01 | 1 |
| CMS ENERGY CORP              | CONV BND | 125896BD1 | 5124  | 3820000 | PRN | DEFINED | 01 | 0 |
| CPI CORP                     | COM      | 125902106 | 3959  | 152959  | SH  | DEFINED | 01 | 0 |
| CSS INDUSTRIES INC           | COM      | 125906107 | 6918  | 400124  | SH  | DEFINED | 01 | 0 |
| CMP SUSQUEHANNA WT 3/26/2019 | WT       | 12601G110 | 0     | 25476   | SH  | DEFINED | 01 | 0 |
| CMP SUSQUEHANNA RADIO        | PRF      | 12601G201 | 0     | 22294   | SH  | DEFINED | 01 | 0 |
| CNA FINANCIAL CORP           | COM      | 126117100 | 1340  | 47903   | SH  | DEFINED | 01 | 0 |
| CNB FINANCIAL CORP/PA        | COM      | 126128107 | 13    | 910     | SH  | DEFINED | 01 | 0 |
| CNA SURETY CORP              | COM      | 12612L108 | 12815 | 715137  | SH  | DEFINED | 01 | 0 |
| CNA SURETY CORP              | COM      | 12612L108 | 4     | 200     | SH  | DEFINED | 01 | 1 |
| CNOOC LTD-ADR                | COM      | 126132109 | 413   | 2121    | SH  | DEFINED | 01 | 0 |
| CNOOC LTD-ADR                | COM      | 126132109 | 18503 | 95227   | SH  | DEFINED | 01 | 0 |
| CNOOC LTD-ADR                | COM      | 126132109 | 2397  | 12345   | SH  | DEFINED | 01 | 1 |
| CNOOC LTD-ADR                | COM      | 126132109 | 112   | 576     | SH  | DEFINED | 01 | 1 |
| CPFL ENERGIA SA              | COM      | 126153105 | 8     | 120     | SH  | DEFINED | 01 | 0 |
| CPFL ENERGIA SA              | COM      | 126153105 | 5588  | 121600  | SH  | DEFINED | 01 | 1 |
| CPFL ENERGIA SA              | COM      | 126153105 | 170   | 2409    | SH  | DEFINED | 01 | 1 |
| CP HOLDERS                   | COM      | 12616K106 | 16    | 136     | SH  | DEFINED | 01 | 0 |
| CPI INTERNATIONAL INC        | COM      | 12618M100 | 7     | 520     | SH  | DEFINED | 01 | 0 |
| CRA INTERNATIONAL INC        | COM      | 12618T105 | 17    | 923     | SH  | DEFINED | 01 | 0 |

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CPEX PHARMACEUTICALS INC     | COM | 12620N104 | 1      | 24      | SH | DEFINED | 01 | 1 |
| CNO FINANCIAL GROUP INC      | COM | 12621E103 | 6808   | 1228894 | SH | DEFINED | 01 | 0 |
| CNO FINANCIAL GROUP INC      | COM | 12621E103 | 17     | 3032    | SH | DEFINED | 01 | 1 |
| CRH PLC                      | COM | 12626K203 | 38     | 2265    | SH | DEFINED | 01 | 0 |
| CRH PLC                      | COM | 12626K203 | 1      | 70      | SH | DEFINED | 01 | 1 |
| CSG SYSTEMS INTL INC         | COM | 126349109 | 13833  | 758874  | SH | DEFINED | 01 | 0 |
| CSL LTD                      | COM | 12637N105 | 23     | 1420    | SH | DEFINED | 01 | 0 |
| CSX CORP                     | COM | 126408103 | 120970 | 2186599 | SH | DEFINED | 01 | 0 |
| CSX CORP                     | COM | 126408103 | 1320   | 23877   | SH | DEFINED | 01 | 0 |
| CSX CORP                     | COM | 126408103 | 101539 | 1835477 | SH | DEFINED | 01 | 1 |
| CSX CORP                     | COM | 126408103 | 527    | 9534    | SH | DEFINED | 01 | 1 |
| CTC MEDIA INC                | COM | 12642X106 | 20     | 930     | SH | DEFINED | 01 | 0 |
| CTC MEDIA INC                | COM | 12642X106 | 10     | 440     | SH | DEFINED | 01 | 1 |
| CTS CORP                     | COM | 126501105 | 12036  | 1251012 | SH | DEFINED | 01 | 0 |
| CTS CORP                     | COM | 126501105 | 1      | 60      | SH | DEFINED | 01 | 1 |
| CVB FINANCIAL CORP           | COM | 126600105 | 2238   | 297990  | SH | DEFINED | 01 | 0 |
| CVB FINANCIAL CORP           | COM | 126600105 | 2      | 309     | SH | DEFINED | 01 | 1 |
| CVR ENERGY INC               | COM | 12662P108 | 345    | 41834   | SH | DEFINED | 01 | 0 |
| CVR ENERGY INC               | COM | 12662P108 | 2      | 200     | SH | DEFINED | 01 | 1 |
| CVS CAREMARK CORP            | COM | 126650100 | 146555 | 4657055 | SH | DEFINED | 01 | 0 |
| CVS CAREMARK CORP            | COM | 126650100 | 2577   | 81886   | SH | DEFINED | 01 | 0 |
| CVS CAREMARK CORP            | COM | 126650100 | 599    | 19047   | SH | DEFINED | 01 | 1 |
| CA INC                       | COM | 12673P105 | 4547   | 215294  | SH | DEFINED | 01 | 0 |
| CA INC                       | COM | 12673P105 | 429    | 20325   | SH | DEFINED | 01 | 0 |
| CA INC                       | COM | 12673P105 | 35077  | 1660766 | SH | DEFINED | 01 | 1 |
| CA INC                       | COM | 12673P105 | 152    | 7210    | SH | DEFINED | 01 | 1 |
| CABELA'S INC                 | COM | 126804301 | 23596  | 1243167 | SH | DEFINED | 01 | 0 |
| CABELA'S INC                 | COM | 126804301 | 74     | 3925    | SH | DEFINED | 01 | 1 |
| CABLEVISION SYSTEMS-NY GRP-A | COM | 12686C109 | 432    | 16488   | SH | DEFINED | 01 | 0 |
| CABLEVISION SYSTEMS-NY GRP-A | COM | 12686C109 | 1484   | 56837   | SH | DEFINED | 01 | 1 |
| CABLEVISION SYSTEMS-NY GRP-A | COM | 12686C109 | 98     | 3760    | SH | DEFINED | 01 | 1 |

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

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| CABOT CORP                     | COM      | 127055101 | 11017 | 338284  | SH  | DEFINED | 01 | 0 |
| CABOT CORP                     | COM      | 127055101 | 0     | 3       | SH  | DEFINED | 01 | 1 |
| CABOT OIL & GAS CORP           | COM      | 127097103 | 49291 | 1637016 | SH  | DEFINED | 01 | 0 |
| CABOT OIL & GAS CORP           | COM      | 127097103 | 165   | 5465    | SH  | DEFINED | 01 | 0 |
| CABOT OIL & GAS CORP           | COM      | 127097103 | 4     | 120     | SH  | DEFINED | 01 | 1 |
| CABOT MICROELECTRONICS CORP    | COM      | 12709P103 | 4706  | 146243  | SH  | DEFINED | 01 | 0 |
| CACHE INC COM NEW              | COM      | 127150308 | 0     | 3       | SH  | DEFINED | 01 | 1 |
| CACI INTERNATIONAL INC -CL A   | COM      | 127190304 | 41732 | 922034  | SH  | DEFINED | 01 | 0 |
| CACI INTERNATIONAL INC -CL A   | COM      | 127190304 | 3     | 60      | SH  | DEFINED | 01 | 1 |
| CACI INTERNATIONAL INC         | CONV BND | 127190AD8 | 3323  | 3150000 | PRN | DEFINED | 01 | 0 |
| CADENCE DESIGN SYS INC         | COM      | 127387108 | 5043  | 660881  | SH  | DEFINED | 01 | 0 |
| CADENCE DESIGN SYS INC         | COM      | 127387108 | 10    | 1254    | SH  | DEFINED | 01 | 1 |
| CADENCE DESIGN SYSTEMS INC     | CONV BND | 127387AG3 | 3101  | 2620000 | PRN | DEFINED | 01 | 0 |
| CADENCE PHARMACEUTICALS, INC   | COM      | 12738T100 | 14    | 1619    | SH  | DEFINED | 01 | 0 |
| CADENCE PHARMACEUTICALS, INC   | COM      | 12738T100 | 67    | 8000    | SH  | DEFINED | 01 | 1 |
| CADIZ INC                      | COM      | 127537207 | 10    | 1005    | SH  | DEFINED | 01 | 0 |
| CAIRN ENERGY PLC               | COM      | 12776P101 | 21    | 1430    | SH  | DEFINED | 01 | 0 |
| CAL DIVE INTERNATIONAL INC     | COM      | 12802T101 | 6872  | 1256364 | SH  | DEFINED | 01 | 0 |
| CAL DIVE INTERNATIONAL INC     | COM      | 12802T101 | 20    | 3730    | SH  | DEFINED | 01 | 0 |
| CAL DIVE INTERNATIONAL INC     | COM      | 12802T101 | 1     | 137     | SH  | DEFINED | 01 | 1 |
| CAL-MAINE FOODS INC            | COM      | 128030202 | 4547  | 156952  | SH  | DEFINED | 01 | 0 |
| CAL-MAINE FOODS INC            | COM      | 128030202 | 9     | 308     | SH  | DEFINED | 01 | 0 |
| CALAMOS CONV OPPORTUNITIES & I | COM      | 128117108 | 149   | 11604   | SH  | DEFINED | 01 | 1 |
|                                |          |           |       |         |     |         |    |   |
| CALAMOS GLOBAL TOTALRETURN FD  | COM      | 128118106 | 55    | 3808    | SH  | DEFINED | 01 | 1 |
| CALAMOS CONV & HIGH INCOME FD  | COM      | 12811P108 | 699   | 54151   | SH  | DEFINED | 01 | 1 |
| CALAMOS ASSET MANAGEMENT-A     | COM      | 12811R104 | 40    | 3546    | SH  | DEFINED | 01 | 0 |
| CALAMOS STRATEGIC TOTAL RETU   | COM      | 128125101 | 2098  | 237887  | SH  | DEFINED | 01 | 1 |
| CALAMP CORP                    | COM      | 128126109 | 1     | 400     | SH  | DEFINED | 01 | 1 |
| CALAVO GROWERS INC             | COM      | 128246105 | 1246  | 57440   | SH  | DEFINED | 01 | 0 |
| CALGON CARBON CORP             | COM      | 129603106 | 3846  | 265210  | SH  | DEFINED | 01 | 0 |
| CALGON CARBON CORP             | COM      | 129603106 | 19    | 1330    | SH  | DEFINED | 01 | 1 |
| CALIFORNIA FIRST NATL BANCOR   | COM      | 130222102 | 10    | 735     | SH  | DEFINED | 01 | 0 |
| CALIFORNIA PIZZA KITCHEN INC   | COM      | 13054D109 | 33277 | 1950681 | SH  | DEFINED | 01 | 0 |
| CALIFORNIA PIZZA KITCHEN INC   | COM      | 13054D109 | 10    | 600     | SH  | DEFINED | 01 | 1 |
| CALIFORNIA WATER SERVICE GRP   | COM      | 130788102 | 4558  | 123372  | SH  | DEFINED | 01 | 0 |
| CALIFORNIA WATER SERVICE GRP   | COM      | 130788102 | 1     | 25      | SH  | DEFINED | 01 | 1 |
| CALIPER LIFE SCIENCES INC      | COM      | 130872104 | 14    | 3525    | SH  | DEFINED | 01 | 0 |
| CALIPER LIFE SCIENCES INC      | COM      | 130872104 | 2     | 400     | SH  | DEFINED | 01 | 1 |
| CALIX NETWORKS INC             | COM      | 13100M509 | 7     | 475     | SH  | DEFINED | 01 | 0 |
| CALLAWAY GOLF COMPANY          | COM      | 131193104 | 5900  | 842945  | SH  | DEFINED | 01 | 0 |
| CALLAWAY GOLF COMPANY          | COM      | 131193104 | 3     | 400     | SH  | DEFINED | 01 | 1 |
| CALLON PETROLEUM CO            | COM      | 13123X102 | 17    | 3500    | SH  | DEFINED | 01 | 0 |
| CALLON PETROLEUM CO            | COM      | 13123X102 | 1     | 282     | SH  | DEFINED | 01 | 1 |
| CALPINE CORP                   | COM      | 131347304 | 968   | 77825   | SH  | DEFINED | 01 | 0 |
| CALPINE CORP                   | COM      | 131347304 | 1     | 84      | SH  | DEFINED | 01 | 1 |
| CALUMET SPECIALTY PRODUCTS P   | COM      | 131476103 | 130   | 6577    | SH  | DEFINED | 01 | 1 |
| CAMAC ENERGY INC               | COM      | 131745101 | 10    | 3125    | SH  | DEFINED | 01 | 0 |
| CAMAC ENERGY INC               | COM      | 131745101 | 18    | 5500    | SH  | DEFINED | 01 | 1 |
| CB CALPINE CORP - ESCROW       | COM      | 13199ACY5 | 0     | 6000000 | SH  | DEFINED | 01 | 0 |
| CAMBREX CORP                   | COM      | 132011107 | 7778  | 1829841 | SH  | DEFINED | 01 | 0 |
| CAMBIUM LEARNING GROUP INC     | COM      | 13201A107 | 3     | 1075    | SH  | DEFINED | 01 | 0 |
| CAMDEN NATIONAL CORP           | COM      | 133034108 | 119   | 3438    | SH  | DEFINED | 01 | 0 |
| CAMDEN PROPERTY TRUST          | COM      | 133131102 | 14098 | 293886  | SH  | DEFINED | 01 | 0 |
| CAMDEN PROPERTY TRUST          | COM      | 133131102 | 3     | 63      | SH  | DEFINED | 01 | 1 |
| CAMECO CORP                    | COM      | 13321L108 | 738   | 26630   | SH  | DEFINED | 01 | 0 |
| CAMECO CORP                    | COM      | 13321L108 | 265   | 9559    | SH  | DEFINED | 01 | 1 |

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

|                              |          |           |        |          |     |         |    |   |
|------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| CAMERON INTERNATIONAL CORP   | COM      | 13342B105 | 155073 | 3609705  | SH  | DEFINED | 01 | 0 |
| CAMERON INTERNATIONAL CORP   | COM      | 13342B105 | 619    | 14395    | SH  | DEFINED | 01 | 0 |
| CAMERON INTERNATIONAL CORP   | COM      | 13342B105 | 180    | 4185     | SH  | DEFINED | 01 | 1 |
| CAMERON INTL CORP            | CONV BND | 13342BAB1 | 17098  | 13241000 | PRN | DEFINED | 01 | 0 |
| CAMPBELL SOUP CO             | COM      | 134429109 | 22090  | 617871   | SH  | DEFINED | 01 | 0 |
| CAMPBELL SOUP CO             | COM      | 134429109 | 364    | 10177    | SH  | DEFINED | 01 | 0 |
| CAMPBELL SOUP CO             | COM      | 134429109 | 185    | 5162     | SH  | DEFINED | 01 | 1 |
| CANADIAN IMPERIAL BANK OF CO | COM      | 136069101 | 11     | 155      | SH  | DEFINED | 01 | 1 |
| CANADIAN NATL RAILWAY CO     | COM      | 136375102 | 7459   | 116513   | SH  | DEFINED | 01 | 0 |
| CANADIAN NATL RAILWAY CO     | COM      | 136375102 | 186    | 2909     | SH  | DEFINED | 01 | 1 |
| CANADIAN NATURAL RESOURCES   | COM      | 136385101 | 44702  | 1291936  | SH  | DEFINED | 01 | 0 |
| CANADIAN NATURAL RESOURCES   | COM      | 136385101 | 602    | 17397    | SH  | DEFINED | 01 | 1 |
| CANADIAN PACIFIC RAILWAY LTD | COM      | 13645T100 | 25484  | 418242   | SH  | DEFINED | 01 | 0 |
| CANADIAN PACIFIC RAILWAY LTD | COM      | 13645T100 | 1800   | 29549    | SH  | DEFINED | 01 | 1 |
| CANADIAN PACIFIC RAILWAY LTD | COM      | 13645T100 | 115    | 1886     | SH  | DEFINED | 01 | 1 |
| CANADIAN SOLAR INC           | COM      | 136635109 | 333    | 20400    | SH  | DEFINED | 01 | 0 |
| CANADIAN SOLAR INC           | COM      | 136635109 | 19     | 1163     | SH  | DEFINED | 01 | 0 |
| CANADIAN SOLAR INC           | COM      | 136635109 | 52     | 3200     | SH  | DEFINED | 01 | 1 |
| CANON INC-SPONS ADR          | COM      | 138006309 | 21056  | 450670   | SH  | DEFINED | 01 | 0 |
| CANON INC-SPONS ADR          | COM      | 138006309 | 133    | 2844     | SH  | DEFINED | 01 | 1 |
| CANTEL MEDICAL CORP          | COM      | 138098108 | 9803   | 605197   | SH  | DEFINED | 01 | 0 |
| CANTEL MEDICAL CORP          | COM      | 138098108 | 5      | 300      | SH  | DEFINED | 01 | 1 |
| CAP GEMINI S A               | COM      | 139098107 | 4      | 140      | SH  | DEFINED | 01 | 0 |
| CAPE BANCORP INC             | COM      | 139209100 | 2      | 200      | SH  | DEFINED | 01 | 0 |
| CAPE BANCORP INC             | COM      | 139209100 | 17     | 2179     | SH  | DEFINED | 01 | 1 |
| CAPELLA EDUCATION CO         | COM      | 139594105 | 25712  | 331274   | SH  | DEFINED | 01 | 0 |
| CAPITAL CITY BANK GROUP INC  | COM      | 139674105 | 14     | 1087     | SH  | DEFINED | 01 | 0 |
| CAPITAL GOLD CORP            | COM      | 14018Y205 | 19     | 4000     | SH  | DEFINED | 01 | 0 |
| CAPITAL GOLD CORP            | COM      | 14018Y205 | 4      | 825      | SH  | DEFINED | 01 | 1 |
| CAPLEASE INC                 | COM      | 140288101 | 63     | 11171    | SH  | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM      | 14040H105 | 71968  | 1819737  | SH  | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM      | 14040H105 | 949    | 23999    | SH  | DEFINED | 01 | 0 |
| CAPITAL ONE FINANCIAL CORP   | COM      | 14040H105 | 76702  | 1942340  | SH  | DEFINED | 01 | 1 |
| CAPITAL ONE FINANCIAL CORP   | COM      | 14040H105 | 640    | 16176    | SH  | DEFINED | 01 | 1 |
| CAPITAL SENIOR LIVING CORP   | COM      | 140475104 | 11     | 2164     | SH  | DEFINED | 01 | 0 |
| CAPITAL SHOPPING CENTRES-ADR | COM      | 140487109 | 3      | 500      | SH  | DEFINED | 01 | 0 |
| CAPITAL SOUTHWEST CORP       | COM      | 140501107 | 1024   | 11278    | SH  | DEFINED | 01 | 0 |
| CAPITAL TR INC MD CL A NEW   | COM      | 14052H506 | 1      | 450      | SH  | DEFINED | 01 | 1 |
| CAPITALAND LTD               | COM      | 140547100 | 33     | 5330     | SH  | DEFINED | 01 | 0 |
| CAPITALSOURCE INC            | COM      | 14055X102 | 1390   | 260374   | SH  | DEFINED | 01 | 0 |
| CAPITALSOURCE INC            | COM      | 14055X102 | 38     | 7063     | SH  | DEFINED | 01 | 0 |
| CAPITALSOURCE INC            | COM      | 14055X102 | 22     | 4115     | SH  | DEFINED | 01 | 1 |
| CAPITOL BANCORP LTD          | COM      | 14056D105 | 1      | 770      | SH  | DEFINED | 01 | 0 |
| CAPITOL BANCORP LTD          | COM      | 14056D105 | 2      | 2053     | SH  | DEFINED | 01 | 1 |
| CAPITOL FEDERAL FINANCIAL    | COM      | 14057C106 | 2659   | 107653   | SH  | DEFINED | 01 | 0 |
| CAPSTONE TURBINE CORP        | COM      | 14067D102 | 41     | 53680    | SH  | DEFINED | 01 | 0 |
| CAPSTONE TURBINE CORP        | COM      | 14067D102 | 4      | 5000     | SH  | DEFINED | 01 | 1 |
| CAPSTEAD MORTGAGE CORP       | COM      | 14067E506 | 1277   | 117476   | SH  | DEFINED | 01 | 0 |
| CAPSTEAD MORTGAGE CORP       | COM      | 14067E506 | 189    | 17376    | SH  | DEFINED | 01 | 1 |
| CARACO PHARM LABS LTD        | COM      | 14075T107 | 3      | 565      | SH  | DEFINED | 01 | 0 |
| CARBO CERAMICS INC           | COM      | 140781105 | 10673  | 131769   | SH  | DEFINED | 01 | 0 |
| CARBO CERAMICS INC           | COM      | 140781105 | 7708   | 114055   | SH  | DEFINED | 01 | 1 |
| CARDIAC SCIENCE CORP         | COM      | 14141A108 | 4      | 1980     | SH  | DEFINED | 01 | 0 |
| CARDIAC SCIENCE CORP         | COM      | 14141A108 | 0      | 10       | SH  | DEFINED | 01 | 1 |
| CARDINAL FINANCIAL CORP      | COM      | 14149F109 | 22     | 2290     | SH  | DEFINED | 01 | 0 |
| CARDINAL HEALTH INC          | COM      | 14149Y108 | 97440  | 2949166  | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CARDINAL HEALTH INC          | COM | 14149Y108 | 609    | 18446   | SH | DEFINED | 01 | 0 |
| CARDINAL HEALTH INC          | COM | 14149Y108 | 57     | 1731    | SH | DEFINED | 01 | 1 |
| CARDIONET INC                | COM | 14159L103 | 45     | 9895    | SH | DEFINED | 01 | 0 |
| CARDIOME PHARMA CORPORATION  | COM | 14159U202 | 515    | 84475   | SH | DEFINED | 01 | 0 |
| CARDTRONICS INC              | COM | 14161H108 | 18607  | 1205908 | SH | DEFINED | 01 | 0 |
| CARE INVESTMENT TRUST INC    | COM | 141657106 | 3      | 600     | SH | DEFINED | 01 | 0 |
| CAREER EDUCATION CORP        | COM | 141665109 | 12081  | 562667  | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 2939   | 118338  | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 289    | 11637   | SH | DEFINED | 01 | 0 |
| CAREFUSION CORP              | COM | 14170T101 | 49     | 1970    | SH | DEFINED | 01 | 1 |
| CARIBOU COFFEE CO INC        | COM | 142042209 | 6      | 575     | SH | DEFINED | 01 | 0 |
| CARIBOU COFFEE CO INC        | COM | 142042209 | 8      | 800     | SH | DEFINED | 01 | 1 |
| CARLISLE COS INC             | COM | 142339100 | 4430   | 147909  | SH | DEFINED | 01 | 0 |
| CARLISLE COS INC             | COM | 142339100 | 12     | 400     | SH | DEFINED | 01 | 1 |
| CARMAX INC                   | COM | 143130102 | 32415  | 1163492 | SH | DEFINED | 01 | 0 |
| CARMAX INC                   | COM | 143130102 | 327    | 11750   | SH | DEFINED | 01 | 0 |
| CARMAX INC                   | COM | 143130102 | 20     | 722     | SH | DEFINED | 01 | 1 |
| CARMIKE CINEMAS INC          | COM | 143436400 | 7      | 785     | SH | DEFINED | 01 | 0 |
| CARNIVAL CORP                | COM | 143658300 | 152680 | 3996008 | SH | DEFINED | 01 | 0 |
| CARNIVAL CORP                | COM | 143658300 | 1337   | 34994   | SH | DEFINED | 01 | 0 |
| CARNIVAL CORP                | COM | 143658300 | 11460  | 300000  | SH | DEFINED | 01 | 1 |
| CARNIVAL CORP                | COM | 143658300 | 128    | 3357    | SH | DEFINED | 01 | 1 |
| CARNIVAL PLC                 | COM | 14365C103 | 55     | 1402    | SH | DEFINED | 01 | 0 |
| CAROLINA TR BK LINOLNTON     | COM | 144200102 | 4      | 732     | SH | DEFINED | 01 | 1 |
| CARPENTER TECHNOLOGY         | COM | 144285103 | 9923   | 294373  | SH | DEFINED | 01 | 0 |
| CARPENTER TECHNOLOGY         | COM | 144285103 | 17     | 490     | SH | DEFINED | 01 | 1 |
| CARREFOUR SA                 | COM | 144430105 | 120    | 11100   | SH | DEFINED | 01 | 0 |
| CARRIZO OIL & GAS INC        | COM | 144577103 | 3770   | 157445  | SH | DEFINED | 01 | 0 |
| CARROLS RESTAURANT GROUP INC | COM | 14574X104 | 6      | 1135    | SH | DEFINED | 01 | 0 |
| CARTER'S INC                 | COM | 146229109 | 7754   | 294472  | SH | DEFINED | 01 | 0 |
| CARTER'S INC                 | COM | 146229109 | 673    | 25567   | SH | DEFINED | 01 | 1 |
| CASCADE CORP                 | COM | 147195101 | 1383   | 43503   | SH | DEFINED | 01 | 0 |
| CASELLA WASTE SYSTEMS INC-A  | COM | 147448104 | 11     | 2475    | SH | DEFINED | 01 | 0 |
| CASEY'S GENERAL STORES INC   | COM | 147528103 | 22577  | 540775  | SH | DEFINED | 01 | 0 |
| CASEY'S GENERAL STORES INC   | COM | 147528103 | 32     | 761     | SH | DEFINED | 01 | 1 |
| CASH AMERICA INTL INC        | COM | 14754D100 | 41571  | 1187754 | SH | DEFINED | 01 | 0 |
| CASS INFORMATION SYSTEMS INC | COM | 14808P109 | 27     | 775     | SH | DEFINED | 01 | 0 |
| CASTLE (A.M.) & CO           | COM | 148411101 | 1105   | 83446   | SH | DEFINED | 01 | 0 |
| CASTLE (A.M.) & CO           | COM | 148411101 | 2      | 123     | SH | DEFINED | 01 | 1 |
| CASUAL MALE RETAIL GROUP INC | COM | 148711302 | 13     | 3335    | SH | DEFINED | 01 | 0 |
| CATALYST HEALTH SOLUTIONS IN | COM | 14888B103 | 17385  | 493728  | SH | DEFINED | 01 | 0 |
| CATALYST HEALTH SOLUTIONS IN | COM | 14888B103 | 4      | 100     | SH | DEFINED | 01 | 1 |
| CATHAY PAC AWYS LTD          | COM | 148906308 | 10     | 740     | SH | DEFINED | 01 | 0 |
| CATERPILLAR INC              | COM | 149123101 | 263279 | 3346183 | SH | DEFINED | 01 | 0 |
| CATERPILLAR INC              | COM | 149123101 | 3503   | 44530   | SH | DEFINED | 01 | 0 |
| CATERPILLAR INC              | COM | 149123101 | 5034   | 63983   | SH | DEFINED | 01 | 1 |
| CATHAY GENERAL BANCORP       | COM | 149150104 | 5097   | 428713  | SH | DEFINED | 01 | 0 |
| CATHAY GENERAL BANCORP       | COM | 149150104 | 25     | 2100    | SH | DEFINED | 01 | 1 |
| CATO CORP-CL A               | COM | 149205106 | 5204   | 194517  | SH | DEFINED | 01 | 0 |
| CAVCO INDUSTRIES INC         | COM | 149568107 | 9766   | 271954  | SH | DEFINED | 01 | 0 |
| CAVIUM NETWORKS INC          | COM | 14965A101 | 11774  | 409387  | SH | DEFINED | 01 | 0 |
| CBEYOND INC                  | COM | 149847105 | 1863   | 145220  | SH | DEFINED | 01 | 0 |
| CEDAR FAIR L P DEP UNIT      | COM | 150185106 | 69     | 5185    | SH | DEFINED | 01 | 1 |
| CEDAR SHOPPING CENTERS INC   | COM | 150602209 | 1345   | 221149  | SH | DEFINED | 01 | 0 |
| CEL-SCI CORP COM NEW         | COM | 150837409 | 1      | 2020    | SH | DEFINED | 01 | 1 |
| CELADON GROUP INC            | COM | 150838100 | 84     | 6086    | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CELANESE CORP-SERIES A         | COM | 150870103 | 291312 | 9075140 | SH | DEFINED | 01 | 0 |
| CELANESE CORP-SERIES A         | COM | 150870103 | 7      | 231     | SH | DEFINED | 01 | 1 |
| CELL THERAPEUTICS INC COM NO   | COM | 150934503 | 5      | 14029   | SH | DEFINED | 01 | 1 |
| CELERA CORP                    | COM | 15100E106 | 51     | 7547    | SH | DEFINED | 01 | 0 |
| CELERA CORP                    | COM | 15100E106 | 5      | 750     | SH | DEFINED | 01 | 1 |
| CELESIO AG                     | COM | 15100H109 | 9      | 2070    | SH | DEFINED | 01 | 0 |
| CELESTICA INC                  | COM | 15101Q108 | 16822  | 1995554 | SH | DEFINED | 01 | 0 |
| CELESTICA INC                  | COM | 15101Q108 | 1      | 100     | SH | DEFINED | 01 | 1 |
| CELGENE CORP                   | COM | 151020104 | 312542 | 5425118 | SH | DEFINED | 01 | 0 |
| CELGENE CORP                   | COM | 151020104 | 1390   | 24133   | SH | DEFINED | 01 | 0 |
| CELGENE CORP                   | COM | 151020104 | 8042   | 130950  | SH | DEFINED | 01 | 1 |
| CELGENE CORP                   | COM | 151020104 | 895    | 15536   | SH | DEFINED | 01 | 1 |
| CELLU TISSUE HOLDINGS INC      | COM | 151169109 | 8      | 650     | SH | DEFINED | 01 | 0 |
| CELLDEX THERAPEUTICS INC       | COM | 15117B103 | 8      | 2075    | SH | DEFINED | 01 | 0 |
| CELLDEX THERAPEUTICS INC       | COM | 15117B103 | 1      | 174     | SH | DEFINED | 01 | 1 |
| CEMEX SAB-SPONS ADR PART CER   | COM | 151290889 | 64219  | 7555096 | SH | DEFINED | 01 | 0 |
| CEMEX SAB-SPONS ADR PART CER   | COM | 151290889 | 215    | 25268   | SH | DEFINED | 01 | 1 |
|                                |     |           |        |         |    |         |    |   |
| CENTENE CORP                   | COM | 15135B101 | 28031  | 1188251 | SH | DEFINED | 01 | 0 |
| CENOVUS ENERGY INC             | COM | 15135U109 | 6013   | 208997  | SH | DEFINED | 01 | 0 |
| CENOVUS ENERGY INC             | COM | 15135U109 | 207    | 7187    | SH | DEFINED | 01 | 1 |
| CENTER FINANCIAL CORP          | COM | 15146E102 | 7443   | 1462226 | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 29235  | 1859819 | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 348    | 22165   | SH | DEFINED | 01 | 0 |
| CENTERPOINT ENERGY INC         | COM | 15189T107 | 128    | 8116    | SH | DEFINED | 01 | 1 |
| CENTERSTATE BANKS INC          | COM | 15201P109 | 4047   | 471670  | SH | DEFINED | 01 | 0 |
| CENTRAIS ELEC BRAS-ADR PREF    | COM | 15234Q108 | 2389   | 159649  | SH | DEFINED | 01 | 0 |
| CENTRAIS ELEC BRAS-SP ADR CM   | COM | 15234Q207 | 15     | 1160    | SH | DEFINED | 01 | 0 |
| CENTRAIS ELEC BRAS-SP ADR CM   | COM | 15234Q207 | 2      | 129     | SH | DEFINED | 01 | 1 |
| CENTRAL EURO DISTRIBUTION CP   | COM | 153435102 | 18462  | 827194  | SH | DEFINED | 01 | 0 |
| CENTRAL EURO DISTRIBUTION CP   | COM | 153435102 | 6      | 289     | SH | DEFINED | 01 | 1 |
| CENTRAL FED CORP               | COM | 15346Q103 | 17     | 17434   | SH | DEFINED | 01 | 1 |
| CENTRAL FD CDA CL A ISIN #CA15 | COM | 153501101 | 437    | 26320   | SH | DEFINED | 01 | 1 |
| CENTRAL GARDEN & PET CO        | COM | 153527106 | 2      | 200     | SH | DEFINED | 01 | 0 |
| CENTRAL GARDEN AND PET CO-A    | COM | 153527205 | 3317   | 320278  | SH | DEFINED | 01 | 0 |
| CENTRAL GOLDTRUST TRUST UNIT   | COM | 153546106 | 18     | 350     | SH | DEFINED | 01 | 1 |
| CENTRAL JAPAN RY CO            | COM | 153766100 | 49     | 6770    | SH | DEFINED | 01 | 0 |
| CENTRAL PACIFIC FINANCIAL CO   | COM | 154760102 | 2      | 1200    | SH | DEFINED | 01 | 0 |
| CENTRAL VERMONT PUBLIC SERV    | COM | 155771108 | 1293   | 64129   | SH | DEFINED | 01 | 0 |
| CENTRICA PLC                   | COM | 15639K300 | 102    | 5018    | SH | DEFINED | 01 | 0 |
| CENTURY ALUMINUM COMPANY       | COM | 156431108 | 3572   | 271150  | SH | DEFINED | 01 | 0 |
| CENTURY ALUMINUM COMPANY       | COM | 156431108 | 9      | 685     | SH | DEFINED | 01 | 1 |
| CENTURY BANCORP INC -CL A      | COM | 156432106 | 79     | 3287    | SH | DEFINED | 01 | 0 |
| CENTURYTEL INC                 | COM | 156700106 | 105595 | 2676017 | SH | DEFINED | 01 | 0 |
| CENTURYTEL INC                 | COM | 156700106 | 492    | 12462   | SH | DEFINED | 01 | 0 |
| CENTURYTEL INC                 | COM | 156700106 | 625    | 15840   | SH | DEFINED | 01 | 0 |
| CENTURYTEL INC                 | COM | 156700106 | 1142   | 28923   | SH | DEFINED | 01 | 1 |
| CENTURYTEL INC                 | COM | 156700106 | 536    | 13576   | SH | DEFINED | 01 | 1 |
| CEPHALON INC                   | COM | 156708109 | 12161  | 194741  | SH | DEFINED | 01 | 0 |
| CEPHALON INC                   | COM | 156708109 | 247    | 3949    | SH | DEFINED | 01 | 0 |
| CEPHALON INC                   | COM | 156708109 | 856    | 13599   | SH | DEFINED | 01 | 1 |
| CEPHALON INC                   | COM | 156708109 | 81     | 1298    | SH | DEFINED | 01 | 1 |
| CEPHEID INC                    | COM | 15670R107 | 2818   | 150555  | SH | DEFINED | 01 | 0 |
| CEPHEID INC                    | COM | 15670R107 | 32     | 1700    | SH | DEFINED | 01 | 1 |
| CENVEO INC                     | COM | 15670S105 | 12448  | 2474816 | SH | DEFINED | 01 | 0 |
| CENVEO INC                     | COM | 15670S105 | 5      | 1000    | SH | DEFINED | 01 | 1 |
| CERADYNE INC                   | COM | 156710105 | 13747  | 588728  | SH | DEFINED | 01 | 0 |

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

|                              |          |           |         |          |     |         |    |   |
|------------------------------|----------|-----------|---------|----------|-----|---------|----|---|
| CERADYNE INC                 | COM      | 156710105 | 1       | 50       | SH  | DEFINED | 01 | 1 |
| CEREPLAST INC COM NEW        | COM      | 156732307 | 5       | 1520     | SH  | DEFINED | 01 | 1 |
| CERNER CORP                  | COM      | 156782104 | 18395   | 219010   | SH  | DEFINED | 01 | 0 |
| CERNER CORP                  | COM      | 156782104 | 340     | 4047     | SH  | DEFINED | 01 | 0 |
| CERNER CORP                  | COM      | 156782104 | 55      | 650      | SH  | DEFINED | 01 | 1 |
| CERUS CORP                   | COM      | 157085101 | 12      | 3150     | SH  | DEFINED | 01 | 0 |
| CERUS CORP                   | COM      | 157085101 | 63      | 16500    | SH  | DEFINED | 01 | 1 |
| CEVA INC                     | COM      | 157210105 | 24      | 1660     | SH  | DEFINED | 01 | 0 |
| CEVA INC                     | COM      | 157210105 | 1       | 66       | SH  | DEFINED | 01 | 1 |
| CHANGYOU COM LTD SPON ADS R  | COM      | 15911M107 | 33      | 1199     | SH  | DEFINED | 01 | 1 |
| CHARLES RIVER LABORATORIES   | COM      | 159864107 | 7410    | 223545   | SH  | DEFINED | 01 | 0 |
| CHARLES RIVER LABORATORIES   | COM      | 159864107 | 20      | 597      | SH  | DEFINED | 01 | 1 |
| CHARLES RIVER LAB INTL CONV  | CONV BND | 159864AB3 | 3073    | 3140000  | PRN | DEFINED | 01 | 0 |
| CHARMING SHOPPES             | COM      | 161133103 | 817     | 232099   | SH  | DEFINED | 01 | 0 |
| CHARMING SHOPPES             | COM      | 161133103 | 0       | 100      | SH  | DEFINED | 01 | 1 |
| CHARMING SHOPPES INC         | CONV BND | 161133AE3 | 3462    | 4190000  | PRN | DEFINED | 01 | 0 |
| CHART INDUSTRIES INC         | COM      | 16115Q308 | 2939    | 144335   | SH  | DEFINED | 01 | 0 |
| CHART INDUSTRIES INC         | COM      | 16115Q308 | 298     | 14657    | SH  | DEFINED | 01 | 1 |
| CHARTER COMMUNICATION-A      | COM      | 16117M305 | 49      | 1496     | SH  | DEFINED | 01 | 0 |
| CHARTWELL DIVID & INCOME FD  | COM      | 16139P104 | 8       | 1950     | SH  | DEFINED | 01 | 1 |
| CHATHAM LODGING TRUST        | COM      | 16208T102 | 11      | 575      | SH  | DEFINED | 01 | 0 |
| CHECKPOINT SYSTEMS INC       | COM      | 162825103 | 4320    | 212271   | SH  | DEFINED | 01 | 0 |
| CHEESECAKE FACTORY/THE       | COM      | 163072101 | 4355    | 164518   | SH  | DEFINED | 01 | 0 |
| CHEESECAKE FACTORY/THE       | COM      | 163072101 | 4       | 150      | SH  | DEFINED | 01 | 1 |
| CHELSEA THERAPEUTICS INTERNA | COM      | 163428105 | 2113    | 412658   | SH  | DEFINED | 01 | 0 |
| CHELSEA THERAPEUTICS INTERNA | COM      | 163428105 | 15      | 3000     | SH  | DEFINED | 01 | 1 |
| CHEMED CORP                  | COM      | 16359R103 | 12183   | 213822   | SH  | DEFINED | 01 | 0 |
| CHEMGENEX PHARMACEUTICAL     | COM      | 16361E108 | 1       | 130      | SH  | DEFINED | 01 | 0 |
| CHEMICAL FINANCIAL CORP      | COM      | 163731102 | 12979   | 628837   | SH  | DEFINED | 01 | 0 |
| CHEMICAL FINANCIAL CORP      | COM      | 163731102 | 3       | 152      | SH  | DEFINED | 01 | 1 |
| CHEMSPEC INTL LTD - ADR      | COM      | 163868102 | 1       | 90       | SH  | DEFINED | 01 | 0 |
| CHEMTURA CORP                | COM      | 163893100 | 0       | 105      | SH  | DEFINED | 01 | 0 |
| CHENIERE ENERGY PARTNERS L   | COM      | 16411Q101 | 336     | 17980    | SH  | DEFINED | 01 | 1 |
| CHENIERE ENERGY INC          | COM      | 16411R208 | 37      | 14960    | SH  | DEFINED | 01 | 0 |
| CHENIERE ENERGY INC          | COM      | 16411R208 | 12      | 4900     | SH  | DEFINED | 01 | 1 |
| CHEROKEE INC                 | COM      | 16444H102 | 1298    | 71193    | SH  | DEFINED | 01 | 0 |
| CHESAPEAKE ENERGY CORP       | COM      | 165167107 | 40509   | 1788426  | SH  | DEFINED | 01 | 0 |
| CHESAPEAKE ENERGY CORP       | COM      | 165167107 | 779     | 34376    | SH  | DEFINED | 01 | 0 |
| CHESAPEAKE ENERGY CORP       | COM      | 165167107 | 2509    | 110794   | SH  | DEFINED | 01 | 1 |
| CHESAPEAKE ENERGY CORP PFD C | PRF      | 165167842 | 26      | 300      | SH  | DEFINED | 01 | 1 |
| CHESAPEAKE ENERGY CORP       | CONV BND | 165167BW6 | 4327    | 4560000  | PRN | DEFINED | 01 | 0 |
| CHESAPEAKE LODGING TRUST     | COM      | 165240102 | 2215    | 135366   | SH  | DEFINED | 01 | 0 |
| CHESAPEAKE UTILITIES CORP    | COM      | 165303108 | 704     | 19482    | SH  | DEFINED | 01 | 0 |
| CHESAPEAKE UTILITIES CORP    | COM      | 165303108 | 14      | 393      | SH  | DEFINED | 01 | 1 |
| CHEUNG KONG HLDGS-UNSPON ADR | COM      | 166744201 | 59      | 3916     | SH  | DEFINED | 01 | 0 |
| CHEVRON CORP                 | COM      | 166764100 | 1211772 | 14950862 | SH  | DEFINED | 01 | 0 |
| CHEVRON CORP                 | COM      | 166764100 | 9811    | 121049   | SH  | DEFINED | 01 | 0 |
| CHEVRON CORP                 | COM      | 166764100 | 31662   | 390635   | SH  | DEFINED | 01 | 1 |
| CHEVRON CORP                 | COM      | 166764100 | 8473    | 104541   | SH  | DEFINED | 01 | 1 |
| CHEVIOT FINANCIAL CORP       | COM      | 166774109 | 1       | 170      | SH  | DEFINED | 01 | 0 |
| CHICAGO BRIDGE & IRON-NY SHR | COM      | 167250109 | 74845   | 3061200  | SH  | DEFINED | 01 | 0 |
| CHICAGO BRIDGE & IRON-NY SHR | COM      | 167250109 | 228     | 9325     | SH  | DEFINED | 01 | 1 |
| CHICOPEE BANCORP INC COM     | COM      | 168565109 | 2       | 200      | SH  | DEFINED | 01 | 1 |
| CHICO'S FAS INC              | COM      | 168615102 | 6938    | 659635   | SH  | DEFINED | 01 | 0 |
| CHICO'S FAS INC              | COM      | 168615102 | 202     | 19218    | SH  | DEFINED | 01 | 1 |
| CHILDREN'S PLACE             | COM      | 168905107 | 13044   | 267497   | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CHINA OILFIELD SVCS LTD        | COM | 168909109 | 3     | 70      | SH | DEFINED | 01 | 0 |
| CHINA NAT GAS INC COM NEW      | COM | 168910206 | 2     | 400     | SH | DEFINED | 01 | 1 |
| CHINA CONSTRUCT-UNSPON ADR     | COM | 168919108 | 43    | 980     | SH | DEFINED | 01 | 0 |
| CHIMERA INVESTMENT CORP - REIT | COM | 16934Q109 | 1655  | 419161  | SH | DEFINED | 01 | 0 |
| CHIMERA INVESTMENT CORP - REIT | COM | 16934Q109 | 41    | 10500   | SH | DEFINED | 01 | 1 |
| CHINA AUTOMOTIVE SYSTEMS INC   | COM | 16936R105 | 5     | 300     | SH | DEFINED | 01 | 0 |
| CHINA AUTOMOTIVE SYSTEMS INC   | COM | 16936R105 | 15    | 1000    | SH | DEFINED | 01 | 1 |
| CHINA BAK BATTERY INC          | COM | 16936Y100 | 1     | 275     | SH | DEFINED | 01 | 0 |
| CHINA BAK BATTERY INC          | COM | 16936Y100 | 0     | 200     | SH | DEFINED | 01 | 1 |
| CHINA FINANCE ONLINECO SPONS A | COM | 169379104 | 6     | 800     | SH | DEFINED | 01 | 1 |
| CHINA AGRITECH INC COM NEW     | COM | 16937A200 | 58    | 5000    | SH | DEFINED | 01 | 1 |
| CHINA BIOTICS INC COM          | COM | 16937B109 | 6     | 575     | SH | DEFINED | 01 | 1 |
| CHINA EASTERN AIRLINES-ADR     | COM | 16937R104 | 4     | 140     | SH | DEFINED | 01 | 0 |
| CHINA ARCHITECTURAL ENGINEERIN | COM | 16937S102 | 0     | 100     | SH | DEFINED | 01 | 1 |
| CHINA FIRE & SECURITY GROUP    | COM | 16938R103 | 1     | 125     | SH | DEFINED | 01 | 0 |
| CHINA LIFE INSURANCE CO-ADR    | COM | 16939P106 | 179   | 3024    | SH | DEFINED | 01 | 0 |
| CHINA LIFE INSURANCE CO-ADR    | COM | 16939P106 | 41    | 686     | SH | DEFINED | 01 | 1 |
| CHINA SOUTHERN AIR-SPONS ADR   | COM | 169409109 | 12    | 400     | SH | DEFINED | 01 | 0 |
| CHINA NORTH EAST PETE HLDGS    | COM | 16941G102 | 47    | 7800    | SH | DEFINED | 01 | 1 |
| CHINA MOBILE LTD-SPON ADR      | COM | 16941M109 | 785   | 15357   | SH | DEFINED | 01 | 0 |
| CHINA MOBILE LTD-SPON ADR      | COM | 16941M109 | 620   | 12131   | SH | DEFINED | 01 | 1 |
| CHINA PETROLEUM & CHEM-ADR     | COM | 16941R108 | 127   | 1440    | SH | DEFINED | 01 | 0 |
| CHINA PETROLEUM & CHEM-ADR     | COM | 16941R108 | 152   | 1724    | SH | DEFINED | 01 | 1 |
| CHINA TELECOM CORP LTD-ADR     | COM | 169426103 | 98    | 1795    | SH | DEFINED | 01 | 0 |
| CHINA TELECOM CORP LTD-ADR     | COM | 169426103 | 28    | 503     | SH | DEFINED | 01 | 1 |
| CHINA SECURITY & SURVEILLANC   | COM | 16942J105 | 1     | 190     | SH | DEFINED | 01 | 0 |
| CHINA SECURITY & SURVEILLANC   | COM | 16942J105 | 17    | 3000    | SH | DEFINED | 01 | 1 |
| CHINA SUNERGY CO LTD-ADR       | COM | 16942X104 | 1     | 150     | SH | DEFINED | 01 | 0 |
| CHINA SUNERGY CO LTD-ADR       | COM | 16942X104 | 0     | 100     | SH | DEFINED | 01 | 1 |
| CHINA NEPSTAR CHAIN DRUG-ADR   | COM | 16943C109 | 1     | 190     | SH | DEFINED | 01 | 0 |
| CHINA NEPSTAR CHAIN DRUG-ADR   | COM | 16943C109 | 1     | 150     | SH | DEFINED | 01 | 1 |
| CHINA MARINE FOOD GROUP LTD    | COM | 16943R106 | 2     | 400     | SH | DEFINED | 01 | 1 |
| CHINA GREEN AGRICULTUR         | COM | 16943W105 | 137   | 15600   | SH | DEFINED | 01 | 1 |
| CHINA MEDIAEXPRESS HLDGS INC   | COM | 169442100 | 73    | 7200    | SH | DEFINED | 01 | 1 |
| CHINA UNICOM HONG KONG-ADR     | COM | 16945R104 | 99    | 6750    | SH | DEFINED | 01 | 0 |
| CHINA UNICOM HONG KONG-ADR     | COM | 16945R104 | 68    | 4660    | SH | DEFINED | 01 | 1 |
| CHINDEX INTERNATIONAL INC      | COM | 169467107 | 17    | 1100    | SH | DEFINED | 01 | 0 |
| CHINA VALVES TECHNOLOGY INC    | COM | 169476207 | 238   | 30619   | SH | DEFINED | 01 | 0 |
| CHINA VALVES TECHNOLOGY INC    | COM | 169476207 | 14    | 1789    | SH | DEFINED | 01 | 0 |
| CHINA MEDICAL TECH-SPON ADR    | COM | 169483104 | 3     | 230     | SH | DEFINED | 01 | 0 |
| CHINA MEDICAL TECH-SPON ADR    | COM | 169483104 | 46    | 3503    | SH | DEFINED | 01 | 1 |
| CHINA INTEGRATED ENERGY INC    | COM | 16948P105 | 462   | 68882   | SH | DEFINED | 01 | 1 |
| CHINA REAL ESTATE INFORM-ADR   | COM | 16948Q103 | 2405  | 224186  | SH | DEFINED | 01 | 0 |
| CHINA NUOKAG BIO-PH-SP ADR     | COM | 16949B113 | 269   | 53772   | SH | DEFINED | 01 | 0 |
| CHINA HYDROELECTRIC CP-ADS     | COM | 16949D101 | 1     | 100     | SH | DEFINED | 01 | 0 |
| CHINA LODGING GROUP - SPON ADS | COM | 16949N109 | 817   | 34789   | SH | DEFINED | 01 | 0 |
| CHINA LODGING GROUP - SPON ADS | COM | 16949N109 | 16    | 671     | SH | DEFINED | 01 | 0 |
| CHINA INFORMATION TECHNOLOGY   | COM | 16950L109 | 19    | 3921    | SH | DEFINED | 01 | 1 |
| CHINA SHINEWAY PHARMACEUTICA   | COM | 169521994 | 1664  | 472000  | SH | DEFINED | 01 | 0 |
| CHIPOTLE MEXICAN GRILL INC     | COM | 169656105 | 39842 | 231638  | SH | DEFINED | 01 | 0 |
| CHIPOTLE MEXICAN GRILL INC     | COM | 169656105 | 209   | 1213    | SH | DEFINED | 01 | 1 |
| CHOICE HOTELS INTL INC         | COM | 169905106 | 156   | 4277    | SH | DEFINED | 01 | 0 |
| CHOICE HOTELS INTL INC         | COM | 169905106 | 833   | 22855   | SH | DEFINED | 01 | 1 |
| CHIQUITA BRANDS INTL           | COM | 170032809 | 2027  | 153156  | SH | DEFINED | 01 | 0 |
| CHIQUITA BRANDS INTL           | COM | 170032809 | 89    | 6730    | SH | DEFINED | 01 | 1 |
| CHRISTOPHER & BANKS CORP       | COM | 171046105 | 9389  | 1186922 | SH | DEFINED | 01 | 0 |



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

|                                |          |           |        |          |    |         |    |   |
|--------------------------------|----------|-----------|--------|----------|----|---------|----|---|
| CHRISTOPHER & BANKS CORP       | COM      | 171046105 | 1      | 114      | SH | DEFINED | 01 | 1 |
| CHONGQING MACHINERY AND EL-H   | COM      | 171130990 | 1189   | 3858964  | SH | DEFINED | 01 | 0 |
| CHUBB CORP                     | COM      | 171232101 | 92314  | 1619841  | SH | DEFINED | 01 | 0 |
| CHUBB CORP                     | COM      | 171232101 | 942    | 16527    | SH | DEFINED | 01 | 0 |
| CHUBB CORP                     | COM      | 171232101 | 665    | 11661    | SH | DEFINED | 01 | 1 |
| CHUNGHWA TELECOM LTD-ADR       | COM      | 17133Q106 | 5709   | 254627   | SH | DEFINED | 01 | 0 |
| CHUNGHWA TELECOM LTD-ADR       | COM      | 17133Q106 | 649    | 28946    | SH | DEFINED | 01 | 0 |
| CHUNGHWA TELECOM LTD-ADR       | COM      | 17133Q106 | 3741   | 186831   | SH | DEFINED | 01 | 1 |
| CHUNGHWA TELECOM LTD-ADR       | COM      | 17133Q106 | 88     | 3906     | SH | DEFINED | 01 | 1 |
| CHURCH & DWIGHT CO INC         | COM      | 171340102 | 25031  | 385439   | SH | DEFINED | 01 | 0 |
| CHURCH & DWIGHT CO INC         | COM      | 171340102 | 3      | 40       | SH | DEFINED | 01 | 1 |
| CHURCHILL DOWNS INC            | COM      | 171484108 | 1890   | 52888    | SH | DEFINED | 01 | 0 |
| CHURCHILL DOWNS INC            | COM      | 171484108 | 9      | 242      | SH | DEFINED | 01 | 1 |
| CHYRON CORP COM PAR \$.01      | COM      | 171605306 | 43     | 25000    | SH | DEFINED | 01 | 1 |
| CIBER INC                      | COM      | 17163B102 | 992    | 329133   | SH | DEFINED | 01 | 0 |
| CIBER INC                      | COM      | 17163B102 | 1      | 200      | SH | DEFINED | 01 | 1 |
| CIENA CORP                     | COM      | 171779309 | 54074  | 3472902  | SH | DEFINED | 01 | 0 |
| CIENA CORP                     | COM      | 171779309 | 612    | 39260    | SH | DEFINED | 01 | 0 |
| CIENA CORP                     | COM      | 171779309 | 124    | 7954     | SH | DEFINED | 01 | 1 |
| CIMAREX ENERGY CO              | COM      | 171798101 | 39177  | 591985   | SH | DEFINED | 01 | 0 |
| CIMAREX ENERGY CO              | COM      | 171798101 | 2608   | 39414    | SH | DEFINED | 01 | 1 |
| CIMAREX ENERGY CO              | COM      | 171798101 | 88     | 1330     | SH | DEFINED | 01 | 1 |
| CINCINNATI BELL INC            | COM      | 171871106 | 10227  | 3830042  | SH | DEFINED | 01 | 0 |
| CINCINNATI BELL INC            | COM      | 171871106 | 42     | 15766    | SH | DEFINED | 01 | 1 |
| CINCINNATI BELL INC NEW DEPOSI | PRF      | 171871403 | 226    | 5800     | SH | DEFINED | 01 | 1 |
| CINCINNATI FINANCIAL CORP      | COM      | 172062101 | 3119   | 108159   | SH | DEFINED | 01 | 0 |
| CINCINNATI FINANCIAL CORP      | COM      | 172062101 | 247    | 8558     | SH | DEFINED | 01 | 0 |
| CINCINNATI FINANCIAL CORP      | COM      | 172062101 | 259    | 8978     | SH | DEFINED | 01 | 1 |
| CINEMARK HOLDINGS INC          | COM      | 17243V102 | 4106   | 255002   | SH | DEFINED | 01 | 0 |
| CINEMARK HOLDINGS INC          | COM      | 17243V102 | 3      | 200      | SH | DEFINED | 01 | 1 |
| CIRCUIT CITY STORES INC        | COM      | 172737108 | 0      | 1585     | SH | DEFINED | 01 | 0 |
| CIRCOR INTERNATIONAL INC       | COM      | 17273K109 | 10525  | 333106   | SH | DEFINED | 01 | 0 |
| CIRRUS LOGIC INC               | COM      | 172755100 | 26592  | 1490563  | SH | DEFINED | 01 | 0 |
| CIRRUS LOGIC INC               | COM      | 172755100 | 769    | 43120    | SH | DEFINED | 01 | 1 |
| CISCO SYSTEMS INC              | COM      | 17275R102 | 534106 | 24388475 | SH | DEFINED | 01 | 0 |
| CISCO SYSTEMS INC              | COM      | 17275R102 | 5614   | 256337   | SH | DEFINED | 01 | 0 |
| CISCO SYSTEMS INC              | COM      | 17275R102 | 6791   | 310090   | SH | DEFINED | 01 | 0 |
| CISCO SYSTEMS INC              | COM      | 17275R102 | 151459 | 6885811  | SH | DEFINED | 01 | 1 |
| CISCO SYSTEMS INC              | COM      | 17275R102 | 5515   | 251842   | SH | DEFINED | 01 | 1 |
| CITADEL BROADCASTING CORP      | COM      | 17285T106 | 0      | 1386     | SH | DEFINED | 01 | 0 |
| CITADEL COMMUNICATIONS CORPORA | WT       | 17285T114 | 663    | 28670    | SH | DEFINED | 01 | 0 |
| CITADEL COMMUNICATIONS CORPORA | WT       | 17285T114 | 328    | 14197    | SH | DEFINED | 01 | 0 |
| CINTAS CORP                    | COM      | 172908105 | 1821   | 66090    | SH | DEFINED | 01 | 0 |
| CINTAS CORP                    | COM      | 172908105 | 193    | 6999     | SH | DEFINED | 01 | 0 |
| CINTAS CORP                    | COM      | 172908105 | 61     | 2208     | SH | DEFINED | 01 | 1 |
| CITIZENS & NORTHERN CORP       | COM      | 172922106 | 26     | 2040     | SH | DEFINED | 01 | 0 |
| CITIGROUP INC                  | COM      | 172967101 | 326671 | 83748306 | SH | DEFINED | 01 | 0 |
| CITIGROUP INC                  | COM      | 172967101 | 4421   | 1133647  | SH | DEFINED | 01 | 0 |
| CITIGROUP INC                  | COM      | 172967101 | 4868   | 1248324  | SH | DEFINED | 01 | 0 |
| CITIGROUP INC                  | COM      | 172967101 | 59163  | 15170441 | SH | DEFINED | 01 | 1 |
| CITIGROUP INC                  | COM      | 172967101 | 5512   | 1409627  | SH | DEFINED | 01 | 1 |
| CITIGROUP INC                  | CONV PRF | 172967416 | 80452  | 679390   | SH | DEFINED | 01 | 0 |
| CITIC PACIFIC LTD              | COM      | 17304K102 | 16     | 1440     | SH | DEFINED | 01 | 0 |
| CITI TRENDS INC                | COM      | 17306X102 | 27     | 1140     | SH | DEFINED | 01 | 0 |
| CITIZENS REPUBLIC BANCORP IN   | COM      | 174420109 | 62     | 70094    | SH | DEFINED | 01 | 0 |
| CITIZENS REPUBLIC BANCORP IN   | COM      | 174420109 | 23     | 25612    | SH | DEFINED | 01 | 1 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CITIZENS INC                   | COM | 174740100 | 21    | 3152    | SH | DEFINED | 01 | 0 |
| CITIZENS INC                   | COM | 174740100 | 0     | 11      | SH | DEFINED | 01 | 1 |
| CITIZENS SOUTH BKG CORP DEL N  | COM | 176682102 | 5     | 1007    | SH | DEFINED | 01 | 1 |
| CITRIX SYSTEMS INC             | COM | 177376100 | 43177 | 632694  | SH | DEFINED | 01 | 0 |
| CITRIX SYSTEMS INC             | COM | 177376100 | 671   | 9827    | SH | DEFINED | 01 | 0 |
| CITRIX SYSTEMS INC             | COM | 177376100 | 1411  | 20673   | SH | DEFINED | 01 | 1 |
| CITY DEVS LTD                  | COM | 177797305 | 8     | 810     | SH | DEFINED | 01 | 0 |
| CITY HOLDING CO                | COM | 177835105 | 2628  | 85721   | SH | DEFINED | 01 | 0 |
| CITY NATIONAL CORP             | COM | 178566105 | 82492 | 1554406 | SH | DEFINED | 01 | 0 |
| CITY NATIONAL CORP             | COM | 178566105 | 21    | 391     | SH | DEFINED | 01 | 1 |
| CITY TELECOM (H.K.) ADS EACH R | COM | 178677209 | 8     | 604     | SH | DEFINED | 01 | 1 |
| CLARCOR INC                    | COM | 179895107 | 11129 | 288100  | SH | DEFINED | 01 | 0 |
| CLARCOR INC                    | COM | 179895107 | 5     | 130     | SH | DEFINED | 01 | 1 |
| CLARIANT AG-UNSPONSORED ADR    | COM | 18047P101 | 3     | 200     | SH | DEFINED | 01 | 0 |
| CLARIENT INC                   | COM | 180489106 | 15    | 4400    | SH | DEFINED | 01 | 0 |
| CLARIENT INC                   | COM | 180489106 | 1     | 325     | SH | DEFINED | 01 | 1 |
| CLARUS CORP DEL                | COM | 182707109 | 0     | 70      | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BRIC ETF            | COM | 18383M100 | 612   | 13682   | SH | DEFINED | 01 | 1 |
| GUGGENHEIM MULTI ASSE          | COM | 18383M506 | 326   | 16998   | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BULLETSAR           | COM | 18383M563 | 23    | 1086    | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BULLETSAR           | COM | 18383M571 | 26    | 1254    | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BULLETSAR           | COM | 18383M589 | 36    | 1746    | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BULLETSAR           | COM | 18383M597 | 17    | 840     | SH | DEFINED | 01 | 1 |
| GUGGENHEIM SOLAR ETF           | COM | 18383M621 | 24    | 2745    | SH | DEFINED | 01 | 1 |
| GUGGENHEIM INTERNATIO          | COM | 18383M811 | 23    | 1000    | SH | DEFINED | 01 | 1 |
| GUGGENHEIM BULLETSAR           | COM | 18383M886 | 7     | 348     | SH | DEFINED | 01 | 1 |
| GUGGENHM S&P GLOBAL WATER INDE | COM | 18383Q507 | 17    | 925     | SH | DEFINED | 01 | 1 |
| GUGGENHM CANADIAN ENERGY INC   | COM | 18383Q606 | 22    | 1300    | SH | DEFINED | 01 | 1 |
| GUGGENHM CHINA SMALL CAP       | COM | 18383Q853 | 141   | 4670    | SH | DEFINED | 01 | 1 |
| GUGGENHM TIMBER ETF            | COM | 18383Q879 | 8     | 440     | SH | DEFINED | 01 | 1 |
| CLAYMORE DIVID & INCOME FD     | COM | 18385J105 | 3     | 220     | SH | DEFINED | 01 | 1 |
| GUGGENHEIM CHINA ALL-CAP ET    | COM | 18385P101 | 32    | 1165    | SH | DEFINED | 01 | 1 |
| CLAYMORE/GUGGENHEIM STRATEGIC  | COM | 18385X104 | 29    | 1452    | SH | DEFINED | 01 | 1 |
| CLEAN HARBORS INC              | COM | 184496107 | 8729  | 128831  | SH | DEFINED | 01 | 0 |
| CLEAN ENERGY FUELS CORP        | COM | 184499101 | 10871 | 765108  | SH | DEFINED | 01 | 0 |
| CLEAN ENERGY FUELS CORP        | COM | 184499101 | 207   | 14581   | SH | DEFINED | 01 | 0 |
| CLEAN ENERGY FUELS CORP        | COM | 184499101 | 110   | 7715    | SH | DEFINED | 01 | 1 |
| CLEAR CHANNEL OUTDOOR-CL A     | COM | 18451C109 | 795   | 69567   | SH | DEFINED | 01 | 0 |
| CLEARBRIDGE ENERGY MLP FUND I  | COM | 184692101 | 5     | 254     | SH | DEFINED | 01 | 1 |
| CLEARWIRE CORP-CLASS A         | COM | 18538Q105 | 4327  | 534846  | SH | DEFINED | 01 | 0 |
| CLEARWIRE CORP-CLASS A         | COM | 18538Q105 | 53    | 6500    | SH | DEFINED | 01 | 1 |
| CLEARWATER PAPER CORP          | COM | 18538R103 | 8857  | 116417  | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 63450 | 992634  | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 2943  | 46036   | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 555   | 8694    | SH | DEFINED | 01 | 0 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 10994 | 172318  | SH | DEFINED | 01 | 1 |
| CLIFFS NATURAL RESOURCES INC   | COM | 18683K101 | 1393  | 21798   | SH | DEFINED | 01 | 1 |
| CLIFTON SAVINGS BANCORP INC    | COM | 18712Q103 | 6197  | 720613  | SH | DEFINED | 01 | 0 |
| CLINICAL DATA INC              | COM | 18725U109 | 18    | 1010    | SH | DEFINED | 01 | 0 |
| CLINUVEL PHARMACEUTICALS       | COM | 188769103 | 0     | 20      | SH | DEFINED | 01 | 0 |
| CLOROX COMPANY                 | COM | 189054109 | 85955 | 1287522 | SH | DEFINED | 01 | 0 |
| CLOROX COMPANY                 | COM | 189054109 | 536   | 8026    | SH | DEFINED | 01 | 0 |
| CLOROX COMPANY                 | COM | 189054109 | 683   | 10224   | SH | DEFINED | 01 | 1 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 505   | 27669   | SH | DEFINED | 01 | 0 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 3565  | 195314  | SH | DEFINED | 01 | 0 |
| CLOUD PEAK ENERGY INC          | COM | 18911Q102 | 50391 | 2764248 | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| CLOUD PEAK ENERGY INC          | COM      | 18911Q102 | 3      | 170     | SH  | DEFINED | 01 | 1 |
| CLOUGH GLOBAL ALLOCATION       | COM      | 18913Y103 | 10     | 705     | SH  | DEFINED | 01 | 1 |
| CLOUGH GLOBAL OPPORTUNIT       | COM      | 18914E106 | 95     | 7500    | SH  | DEFINED | 01 | 1 |
| CLP HLDGS LTD                  | COM      | 18946Q101 | 73     | 9147    | SH  | DEFINED | 01 | 0 |
| COACH INC                      | COM      | 189754104 | 60076  | 1398418 | SH  | DEFINED | 01 | 0 |
| COACH INC                      | COM      | 189754104 | 780    | 18175   | SH  | DEFINED | 01 | 0 |
| COACH INC                      | COM      | 189754104 | 1184   | 27555   | SH  | DEFINED | 01 | 1 |
| COBALT INTERNATIONAL ENERGY    | COM      | 19075F106 | 3      | 290     | SH  | DEFINED | 01 | 0 |
| COBIZ FINANCIAL INC            | COM      | 190897108 | 15     | 2745    | SH  | DEFINED | 01 | 0 |
| COBIZ FINANCIAL INC            | COM      | 190897108 | 1      | 150     | SH  | DEFINED | 01 | 1 |
| COCA COLA AMATIL LTD           | COM      | 191085208 | 18     | 783     | SH  | DEFINED | 01 | 0 |
| COCA-COLA BOTTLING CO CONSOL   | COM      | 191098102 | 1898   | 35852   | SH  | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM      | 191216100 | 382959 | 6544069 | SH  | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM      | 191216100 | 262    | 4485    | SH  | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM      | 191216100 | 7102   | 121355  | SH  | DEFINED | 01 | 0 |
| COCA-COLA CO/THE               | COM      | 191216100 | 131822 | 2252582 | SH  | DEFINED | 01 | 1 |
| COCA-COLA CO/THE               | COM      | 191216100 | 4761   | 81358   | SH  | DEFINED | 01 | 1 |
| COCA-COLA ENTERPRISES          | COM      | 191219104 | 7301   | 235477  | SH  | DEFINED | 01 | 0 |
| COCA-COLA ENTERPRISES          | COM      | 191219104 | 540    | 17433   | SH  | DEFINED | 01 | 0 |
| COCA-COLA ENTERPRISES          | COM      | 191219104 | 83     | 2687    | SH  | DEFINED | 01 | 1 |
| COCA-COLA FEMSA SAB-SP ADR     | COM      | 191241108 | 4      | 50      | SH  | DEFINED | 01 | 0 |
| COCA-COLA FEMSA SAB-SP ADR     | COM      | 191241108 | 181    | 2309    | SH  | DEFINED | 01 | 1 |
| COCA COLA HELLENIC BOTTL       | COM      | 1912EP104 | 40     | 1504    | SH  | DEFINED | 01 | 0 |
| CODEXIS INC                    | COM      | 192005106 | 4      | 400     | SH  | DEFINED | 01 | 0 |
| COEUR D'ALENE MINES CORP       | COM      | 192108504 | 2673   | 134200  | SH  | DEFINED | 01 | 0 |
| COEUR D'ALENE MINES CORP       | COM      | 192108504 | 266    | 13358   | SH  | DEFINED | 01 | 1 |
| COGDELL SPENCER INC            | COM      | 19238U107 | 268    | 42275   | SH  | DEFINED | 01 | 0 |
| COGENT COMMUNICATIONS GROUP    | COM      | 19239V302 | 151    | 15940   | SH  | DEFINED | 01 | 0 |
| COGENT INC                     | COM      | 19239Y108 | 2777   | 260985  | SH  | DEFINED | 01 | 0 |
| COGNEX CORP                    | COM      | 192422103 | 22189  | 827343  | SH  | DEFINED | 01 | 0 |
| COGNEX CORP                    | COM      | 192422103 | 48     | 1804    | SH  | DEFINED | 01 | 1 |
| COGNIZANT TECH SOLUTIONS-A     | COM      | 192446102 | 286968 | 4451202 | SH  | DEFINED | 01 | 0 |
| COGNIZANT TECH SOLUTIONS-A     | COM      | 192446102 | 1019   | 15804   | SH  | DEFINED | 01 | 0 |
| COGNIZANT TECH SOLUTIONS-A     | COM      | 192446102 | 331    | 5127    | SH  | DEFINED | 01 | 1 |
| COGO GROUP INC COM             | COM      | 192448108 | 2      | 400     | SH  | DEFINED | 01 | 1 |
| COHERENT INC                   | COM      | 192479103 | 13341  | 333459  | SH  | DEFINED | 01 | 0 |
| COHEN & STEERS INC             | COM      | 19247A100 | 30     | 1380    | SH  | DEFINED | 01 | 0 |
| COHEN & STEERS INC             | COM      | 19247A100 | 7      | 340     | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS QUALITY IN      | COM      | 19247L106 | 296    | 37683   | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS TOTALRETURN RLT | COM      | 19247R103 | 99     | 8205    | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS 103 & PFD INCOM | COM      | 19247X100 | 176    | 13458   | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS INFRASTRUC      | COM      | 19248A109 | 24     | 1499    | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS GLOBAL INC      | COM      | 19248M103 | 20     | 1801    | SH  | DEFINED | 01 | 1 |
| COHEN & STEERS CLOSED-END      | COM      | 19248P106 | 136    | 10630   | SH  | DEFINED | 01 | 1 |
| COHEN & CO INC COM             | COM      | 19248U105 | 5      | 1030    | SH  | DEFINED | 01 | 1 |
| COHU INC                       | COM      | 192576106 | 1416   | 112401  | SH  | DEFINED | 01 | 0 |
| COHU INC                       | COM      | 192576106 | 1      | 110     | SH  | DEFINED | 01 | 1 |
| COINSTAR INC                   | COM      | 19259P300 | 6990   | 162609  | SH  | DEFINED | 01 | 0 |
| COINSTAR INC                   | COM      | 19259P300 | 0      | 6       | SH  | DEFINED | 01 | 0 |
| COINSTAR INC                   | COM      | 19259P300 | 77     | 1800    | SH  | DEFINED | 01 | 1 |
| COINSTAR INC                   | CONV BND | 19259PAF9 | 3114   | 2400000 | PRN | DEFINED | 01 | 0 |
| COLDWATER CREEK INC            | COM      | 193068103 | 1684   | 319394  | SH  | DEFINED | 01 | 0 |
| COLDWATER CREEK INC            | COM      | 193068103 | 16     | 3080    | SH  | DEFINED | 01 | 1 |
| KENNETH COLE PRODUCTIONS-A     | COM      | 193294105 | 220    | 13247   | SH  | DEFINED | 01 | 0 |
| COLEMAN CABLE INC              | COM      | 193459302 | 9      | 1485    | SH  | DEFINED | 01 | 0 |
| COLFAX CORP                    | COM      | 194014106 | 29     | 1990    | SH  | DEFINED | 01 | 0 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| COLGATE-PALMOLIVE CO         | COM      | 194162103 | 67746  | 881431  | SH  | DEFINED | 01 | 0 |
| COLGATE-PALMOLIVE CO         | COM      | 194162103 | 111    | 1446    | SH  | DEFINED | 01 | 0 |
| COLGATE-PALMOLIVE CO         | COM      | 194162103 | 1962   | 25533   | SH  | DEFINED | 01 | 0 |
| COLGATE-PALMOLIVE CO         | COM      | 194162103 | 71099  | 926701  | SH  | DEFINED | 01 | 1 |
| COLGATE-PALMOLIVE CO         | COM      | 194162103 | 12831  | 166946  | SH  | DEFINED | 01 | 1 |
| COLLECTIVE BRANDS INC        | COM      | 19421W100 | 24697  | 1530247 | SH  | DEFINED | 01 | 0 |
| COLLECTIVE BRANDS INC        | COM      | 19421W100 | 7      | 432     | SH  | DEFINED | 01 | 1 |
| COLONIAL BANCGROUP INC       | COM      | 195493309 | 0      | 20      | SH  | DEFINED | 01 | 0 |
| COLONIAL PROPERTIES TRUST    | COM      | 195872106 | 11473  | 708666  | SH  | DEFINED | 01 | 0 |
| COLONIAL PROPERTIES TRUST    | COM      | 195872106 | 6      | 393     | SH  | DEFINED | 01 | 1 |
| COLONY FINANCIAL INC REIT    | COM      | 19624R106 | 103    | 5570    | SH  | DEFINED | 01 | 0 |
| COLUMBIA BANKING SYSTEM INC  | COM      | 197236102 | 16620  | 845780  | SH  | DEFINED | 01 | 0 |
| COLUMBIA LABORATORI          | COM      | 197779101 | 2      | 2000    | SH  | DEFINED | 01 | 1 |
| COLUMBIA SPORTSWEAR CO       | COM      | 198516106 | 16462  | 281673  | SH  | DEFINED | 01 | 0 |
| COLUMBUS MCKINNON CORP/NY    | COM      | 199333105 | 9806   | 591070  | SH  | DEFINED | 01 | 0 |
| COLUMBUS MCKINNON CORP/NY    | COM      | 199333105 | 2      | 104     | SH  | DEFINED | 01 | 1 |
| COMFORT SYSTEMS USA INC      | COM      | 199908104 | 15389  | 1434295 | SH  | DEFINED | 01 | 0 |
| COMCAST CORPORATION          | CONV PRF | 200300606 | 1350   | 45000   | SH  | DEFINED | 01 | 0 |
| COMCAST CORP-CLASS A         | COM      | 20030N101 | 129402 | 7157170 | SH  | DEFINED | 01 | 0 |
| COMCAST CORP-CLASS A         | COM      | 20030N101 | 2845   | 157374  | SH  | DEFINED | 01 | 0 |
| COMCAST CORP-CLASS A         | COM      | 20030N101 | 1027   | 56823   | SH  | DEFINED | 01 | 1 |
| COMCAST CORP-SPECIAL CL A    | COM      | 20030N200 | 105    | 6176    | SH  | DEFINED | 01 | 0 |
| COMCAST CORP-SPECIAL CL A    | COM      | 20030N200 | 141    | 8286    | SH  | DEFINED | 01 | 1 |
| COMDISCO HOLDING CO-RTS      | COM      | 200334118 | 0      | 926     | SH  | DEFINED | 01 | 0 |
| COMERICA INC                 | COM      | 200340107 | 81253  | 2187160 | SH  | DEFINED | 01 | 0 |
| COMERICA INC                 | COM      | 200340107 | 345    | 9276    | SH  | DEFINED | 01 | 0 |
| COMERICA INC                 | COM      | 200340107 | 5250   | 141511  | SH  | DEFINED | 01 | 1 |
| COMERICA INC                 | COM      | 200340107 | 173    | 4669    | SH  | DEFINED | 01 | 1 |
| COMFORCE CORP                | COM      | 20038K109 | 0      | 8       | SH  | DEFINED | 01 | 1 |
| COMMERCE BANCSHARES INC      | COM      | 200525103 | 7101   | 188933  | SH  | DEFINED | 01 | 0 |
| COMMERCE BANCSHARES INC      | COM      | 200525103 | 40     | 1054    | SH  | DEFINED | 01 | 1 |
| COMMERCIAL METALS CO         | COM      | 201723103 | 4029   | 278022  | SH  | DEFINED | 01 | 0 |
| COMMERCIAL METALS CO         | COM      | 201723103 | 53     | 3687    | SH  | DEFINED | 01 | 1 |
| COMMERZBANK AG-SPONS ADR     | COM      | 202597308 | 14     | 1710    | SH  | DEFINED | 01 | 0 |
| COMMERCIAL VEHICLE GROUP INC | COM      | 202608105 | 20     | 2000    | SH  | DEFINED | 01 | 0 |
| COMMONWEALTH - REIT          | COM      | 203233101 | 774    | 30226   | SH  | DEFINED | 01 | 0 |
| COMMONWEALTH - REIT          | COM      | 203233101 | 185    | 7244    | SH  | DEFINED | 01 | 1 |
| COMMSCOPE INC                | COM      | 203372107 | 127554 | 5372986 | SH  | DEFINED | 01 | 0 |
| COMMSCOPE INC                | COM      | 203372107 | 36     | 1500    | SH  | DEFINED | 01 | 0 |
| COMMSCOPE INC                | COM      | 203372107 | 8      | 352     | SH  | DEFINED | 01 | 1 |
| COMMSCOPE INC                | CONV BND | 203372AG2 | 3216   | 2830000 | PRN | DEFINED | 01 | 0 |
| COMMUNITY BANK SYSTEM INC    | COM      | 203607106 | 26599  | 1155984 | SH  | DEFINED | 01 | 0 |
| COMMUNITY BANK SYSTEM INC    | COM      | 203607106 | 6      | 282     | SH  | DEFINED | 01 | 1 |
| COMMUNITY HEALTH SYSTEMS INC | COM      | 203668108 | 47583  | 1536430 | SH  | DEFINED | 01 | 0 |
| COMMUNITY HEALTH SYSTEMS INC | COM      | 203668108 | 1057   | 34133   | SH  | DEFINED | 01 | 1 |
| COMMUNITY HEALTH SYSTEMS INC | COM      | 203668108 | 41     | 1335    | SH  | DEFINED | 01 | 1 |
| COMMUNITY TRUST BANCORP INC  | COM      | 204149108 | 10947  | 404098  | SH  | DEFINED | 01 | 0 |
| COMMVAULT SYSTEMS INC        | COM      | 204166102 | 16915  | 649815  | SH  | DEFINED | 01 | 0 |
| COMMVAULT SYSTEMS INC        | COM      | 204166102 | 185    | 7108    | SH  | DEFINED | 01 | 0 |
| COMPAGNIE FINANCIERE RIC     | COM      | 204319107 | 46     | 9560    | SH  | DEFINED | 01 | 0 |
| CIE GEN GEOPHYSIQUE-SP ADR   | COM      | 204386106 | 62     | 2831    | SH  | DEFINED | 01 | 0 |
| CIE GEN GEOPHYSIQUE-SP ADR   | COM      | 204386106 | 4      | 176     | SH  | DEFINED | 01 | 1 |
| CEMIG SA -SPONS ADR          | COM      | 204409601 | 16     | 956     | SH  | DEFINED | 01 | 0 |
| CEMIG SA -SPONS ADR          | COM      | 204409601 | 12     | 733     | SH  | DEFINED | 01 | 1 |
| COMPANHIA ENERGETICA DE      | COM      | 204409882 | 4      | 390     | SH  | DEFINED | 01 | 0 |
| BRASIL DISTR PAO ACU-SP ADR  | COM      | 20440T201 | 70     | 1020    | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |       |         |    |         |    |   |
|------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| CIA SIDERURGICA NACL-SP ADR  | COM | 20440W105 | 341   | 19306   | SH | DEFINED | 01 | 0 |
| CIA SIDERURGICA NACL-SP ADR  | COM | 20440W105 | 18832 | 1067559 | SH | DEFINED | 01 | 1 |
| CIA SIDERURGICA NACL-SP ADR  | COM | 20440W105 | 338   | 19120   | SH | DEFINED | 01 | 1 |
| CIA SANEAMENTO BASICO DE-ADR | COM | 20441A102 | 20    | 440     | SH | DEFINED | 01 | 0 |
| CIA SANEAMENTO BASICO DE-ADR | COM | 20441A102 | 30    | 650     | SH | DEFINED | 01 | 1 |
| CIA PARANAENSE ENERGI-SP ADR | COM | 20441B308 | 3     | 150     | SH | DEFINED | 01 | 0 |
| CIA PARANAENSE ENER-SP ADR P | COM | 20441B407 | 4     | 180     | SH | DEFINED | 01 | 0 |
| CIA PARANAENSE ENER-SP ADR P | COM | 20441B407 | 20    | 897     | SH | DEFINED | 01 | 1 |
| COMPANHIA DE BEBIDAS-ADR     | COM | 20441W104 | 43    | 418     | SH | DEFINED | 01 | 0 |
| COMPANHIA DE BEBIDAS-PRF ADR | COM | 20441W203 | 158   | 1273    | SH | DEFINED | 01 | 0 |
| COMPANHIA DE BEBIDAS-PRF ADR | COM | 20441W203 | 73101 | 598760  | SH | DEFINED | 01 | 1 |
| COMPANHIA DE BEBIDAS-PRF ADR | COM | 20441W203 | 244   | 1976    | SH | DEFINED | 01 | 1 |
| CIA CERVECERIAS UNIDAS-ADR   | COM | 204429104 | 7     | 120     | SH | DEFINED | 01 | 0 |
| CIA CERVECERIAS UNIDAS-ADR   | COM | 204429104 | 6     | 105     | SH | DEFINED | 01 | 1 |
| CIA DE MINAS BUENAVENTUR-ADR | COM | 204448104 | 11938 | 264251  | SH | DEFINED | 01 | 0 |
| CIA DE MINAS BUENAVENTUR-ADR | COM | 204448104 | 24440 | 541658  | SH | DEFINED | 01 | 1 |
| CIA DE MINAS BUENAVENTUR-ADR | COM | 204448104 | 14    | 300     | SH | DEFINED | 01 | 1 |
| COMPASS GROUP PLC-ADR        | COM | 20449X203 | 33    | 3970    | SH | DEFINED | 01 | 0 |
| COMPASS MINERALS INTERNATION | COM | 20451N101 | 8244  | 107606  | SH | DEFINED | 01 | 0 |
| COMPASS MINERALS INTERNATION | COM | 20451N101 | 196   | 2553    | SH | DEFINED | 01 | 1 |
| COMPASS DIVERSIFIED HOLDINGS | COM | 20451Q104 | 100   | 6223    | SH | DEFINED | 01 | 0 |
| COMPASS DIVERSIFIED HOLDINGS | COM | 20451Q104 | 40    | 2500    | SH | DEFINED | 01 | 1 |
| COMPELLENT TECHNOLOGIES INC  | COM | 20452A108 | 2007  | 110343  | SH | DEFINED | 01 | 0 |
| COMPELLENT TECHNOLOGIES INC  | COM | 20452A108 | 20    | 1115    | SH | DEFINED | 01 | 0 |
| COMPELLENT TECHNOLOGIES INC  | COM | 20452A108 | 27    | 1500    | SH | DEFINED | 01 | 1 |
| COMPLETE PRODUCTION SERVICES | COM | 20453E109 | 17666 | 863869  | SH | DEFINED | 01 | 0 |
| COMPUCREDIT HOLDINGS CORP    | COM | 20478T107 | 6     | 1095    | SH | DEFINED | 01 | 0 |
| COMPUTER PROGRAMS & SYSTEMS  | COM | 205306103 | 4432  | 104132  | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP       | COM | 205363104 | 54831 | 1191992 | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP       | COM | 205363104 | 373   | 8118    | SH | DEFINED | 01 | 0 |
| COMPUTER SCIENCES CORP       | COM | 205363104 | 2     | 50      | SH | DEFINED | 01 | 1 |
| COMPUTER SERVICES INC        | COM | 20539A105 | 1001  | 46040   | SH | DEFINED | 01 | 0 |
| COMPUTER TASK GROUP INC      | COM | 205477102 | 15789 | 2066592 | SH | DEFINED | 01 | 0 |
| COMPUTER TASK GROUP INC      | COM | 205477102 | 186   | 24348   | SH | DEFINED | 01 | 1 |
| COMPUTERSHARE LTD            | COM | 20557R105 | 7     | 690     | SH | DEFINED | 01 | 0 |
| COMPUWARE CORP               | COM | 205638109 | 9116  | 1068666 | SH | DEFINED | 01 | 0 |
| COMPUWARE CORP               | COM | 205638109 | 100   | 11736   | SH | DEFINED | 01 | 0 |
| COMPUWARE CORP               | COM | 205638109 | 80880 | 9492766 | SH | DEFINED | 01 | 1 |
| COMPUWARE CORP               | COM | 205638109 | 14    | 1620    | SH | DEFINED | 01 | 1 |
| COMPX INTERNATIONAL INC      | COM | 20563P101 | 2     | 165     | SH | DEFINED | 01 | 0 |
| COMSCORE INC                 | COM | 20564W105 | 2870  | 122019  | SH | DEFINED | 01 | 0 |
| COMSCORE INC                 | COM | 20564W105 | 5     | 200     | SH | DEFINED | 01 | 1 |
| COMSTOCK RESOURCES INC       | COM | 205768203 | 7995  | 355526  | SH | DEFINED | 01 | 0 |
| COMSTOCK RESOURCES INC       | COM | 205768203 | 4     | 200     | SH | DEFINED | 01 | 1 |
| COMTECH TELECOMMUNICATIONS   | COM | 205826209 | 5193  | 189877  | SH | DEFINED | 01 | 0 |
| COMTECH TELECOMMUNICATIONS   | COM | 205826209 | 2     | 75      | SH | DEFINED | 01 | 1 |
| COMVERGE INC                 | COM | 205859101 | 17    | 2203    | SH | DEFINED | 01 | 0 |
| COMVERSE TECHNOLOGY INC      | COM | 205862402 | 3     | 475     | SH | DEFINED | 01 | 0 |
| CONAGRA FOODS INC            | COM | 205887102 | 31019 | 1413864 | SH | DEFINED | 01 | 0 |
| CONAGRA FOODS INC            | COM | 205887102 | 507   | 23111   | SH | DEFINED | 01 | 0 |
| CONAGRA FOODS INC            | COM | 205887102 | 802   | 36563   | SH | DEFINED | 01 | 1 |
| CON-WAY INC                  | COM | 205944101 | 42480 | 1370838 | SH | DEFINED | 01 | 0 |
| CON-WAY INC                  | COM | 205944101 | 187   | 6039    | SH | DEFINED | 01 | 0 |
| CON-WAY INC                  | COM | 205944101 | 13    | 404     | SH | DEFINED | 01 | 1 |
| CONCEPTUS INC                | COM | 206016107 | 31    | 2225    | SH | DEFINED | 01 | 0 |
| CONCEPTUS INC                | COM | 206016107 | 31    | 2271    | SH | DEFINED | 01 | 1 |

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

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| CONCHO RESOURCES INC         | COM | 20605P101 | 47541  | 718473   | SH | DEFINED | 01 | 0 |
| CONCHO RESOURCES INC         | COM | 20605P101 | 49128  | 742451   | SH | DEFINED | 01 | 1 |
| CONCHO RESOURCES INC         | COM | 20605P101 | 0      | 1        | SH | DEFINED | 01 | 1 |
| CONCORD MEDICAL - SPON ADR   | COM | 206277105 | 1      | 80       | SH | DEFINED | 01 | 0 |
| CONCUR TECHNOLOGIES INC      | COM | 206708109 | 35260  | 713176   | SH | DEFINED | 01 | 0 |
| CONCUR TECHNOLOGIES INC      | COM | 206708109 | 11     | 215      | SH | DEFINED | 01 | 1 |
| CONEXANT SYSTEMS INC         | COM | 207142308 | 207    | 126295   | SH | DEFINED | 01 | 0 |
| CONEXANT SYSTEMS INC         | COM | 207142308 | 2      | 1143     | SH | DEFINED | 01 | 1 |
| CONMED CORP                  | COM | 207410101 | 18585  | 829344   | SH | DEFINED | 01 | 0 |
| CONMED CORP                  | COM | 207410101 | 2      | 75       | SH | DEFINED | 01 | 1 |
| CONNECTICUT WATER SVC INC    | COM | 207797101 | 52     | 2155     | SH | DEFINED | 01 | 0 |
| CONNECTICUT WATER SVC INC    | COM | 207797101 | 57     | 2384     | SH | DEFINED | 01 | 1 |
| CONN'S INC                   | COM | 208242107 | 3      | 725      | SH | DEFINED | 01 | 0 |
| CONOCOPHILLIPS               | COM | 20825C104 | 929828 | 16190515 | SH | DEFINED | 01 | 0 |
| CONOCOPHILLIPS               | COM | 20825C104 | 5389   | 93846    | SH | DEFINED | 01 | 0 |
| CONOCOPHILLIPS               | COM | 20825C104 | 66965  | 1166024  | SH | DEFINED | 01 | 1 |
| CONOCOPHILLIPS               | COM | 20825C104 | 3062   | 53316    | SH | DEFINED | 01 | 1 |
| CONSOL ENERGY INC            | COM | 20854P109 | 219723 | 5944874  | SH | DEFINED | 01 | 0 |
| CONSOL ENERGY INC            | COM | 20854P109 | 617    | 16700    | SH | DEFINED | 01 | 0 |
| CONSOL ENERGY INC            | COM | 20854P109 | 17753  | 480310   | SH | DEFINED | 01 | 1 |
| CONSOL ENERGY INC            | COM | 20854P109 | 64     | 1739     | SH | DEFINED | 01 | 1 |
| CONSOLIDATED COMMUNICATIONS  | COM | 209034107 | 135    | 7190     | SH | DEFINED | 01 | 0 |
| CONSOLIDATED COMMUNICATIONS  | COM | 209034107 | 7      | 356      | SH | DEFINED | 01 | 1 |
| CONSOLIDATED EDISON INC      | COM | 209115104 | 21684  | 449709   | SH | DEFINED | 01 | 0 |
| CONSOLIDATED EDISON INC      | COM | 209115104 | 715    | 14838    | SH | DEFINED | 01 | 0 |
| CONSOLIDATED EDISON INC      | COM | 209115104 | 2119   | 43940    | SH | DEFINED | 01 | 1 |
| CONSOLIDATED GRAPHICS INC    | COM | 209341106 | 21231  | 512195   | SH | DEFINED | 01 | 0 |
| CONS TOMOKA LAND CO-FLORIDA  | COM | 210226106 | 10     | 355      | SH | DEFINED | 01 | 0 |
| CONS TOMOKA LAND CO-FLORIDA  | COM | 210226106 | 2      | 86       | SH | DEFINED | 01 | 1 |
| CONSTANT CONTACT INC         | COM | 210313102 | 1160   | 54118    | SH | DEFINED | 01 | 0 |
| CONSTANT CONTACT INC         | COM | 210313102 | 9      | 441      | SH | DEFINED | 01 | 0 |
| CONSTELLATION BRANDS INC-A   | COM | 21036P108 | 19577  | 1106673  | SH | DEFINED | 01 | 0 |
| CONSTELLATION BRANDS INC-A   | COM | 21036P108 | 165    | 9319     | SH | DEFINED | 01 | 0 |
| CONSTELLATION BRANDS INC-A   | COM | 21036P108 | 135    | 7645     | SH | DEFINED | 01 | 1 |
| CONSTELLATION ENERGY GROUP   | COM | 210371100 | 13808  | 428271   | SH | DEFINED | 01 | 0 |
| CONSTELLATION ENERGY GROUP   | COM | 210371100 | 342    | 10616    | SH | DEFINED | 01 | 0 |
| CONSTELLATION ENERGY GROUP   | COM | 210371100 | 194    | 6020     | SH | DEFINED | 01 | 1 |
| CONTANGO OIL & GAS           | COM | 21075N204 | 59     | 1175     | SH | DEFINED | 01 | 0 |
| CONTANGO OIL & GAS           | COM | 21075N204 | 5      | 100      | SH | DEFINED | 01 | 1 |
| CONTAX PARTICIPACOEES SA-ADR | COM | 21076X102 | 0      | 70       | SH | DEFINED | 01 | 0 |
| CONTINENTAL AG-SPONS ADR     | COM | 210771200 | 10     | 130      | SH | DEFINED | 01 | 0 |
| CONTINENTAL AIRLINES-CLASS B | COM | 210795308 | 64477  | 2595755  | SH | DEFINED | 01 | 0 |
| CONTINENTAL AIRLINES-CLASS B | COM | 210795308 | 154    | 6188     | SH | DEFINED | 01 | 0 |
| CONTINENTAL AIRLINES-CLASS B | COM | 210795308 | 206    | 8297     | SH | DEFINED | 01 | 1 |
| CONTINENTAL RESOURCES INC/OK | COM | 212015101 | 38821  | 837372   | SH | DEFINED | 01 | 0 |
| CONTINENTAL RESOURCES INC/OK | COM | 212015101 | 382    | 8243     | SH | DEFINED | 01 | 1 |
| CONTINUCARE CORP             | COM | 212172100 | 10     | 2300     | SH | DEFINED | 01 | 0 |
| CONVERGYS CORP               | COM | 212485106 | 3502   | 335150   | SH | DEFINED | 01 | 0 |
| CONVERGYS CORP               | COM | 212485106 | 40     | 3800     | SH | DEFINED | 01 | 1 |
| CONVERTED ORGANICS INC       | COM | 21254S107 | 0      | 200      | SH | DEFINED | 01 | 1 |
| CONVIO INC                   | COM | 21257W105 | 3      | 375      | SH | DEFINED | 01 | 0 |
| COOPER COS INC/THE           | COM | 216648402 | 90390  | 1955630  | SH | DEFINED | 01 | 0 |
| COOPER TIRE & RUBBER         | COM | 216831107 | 60198  | 3066576  | SH | DEFINED | 01 | 0 |
| COOPER TIRE & RUBBER         | COM | 216831107 | 28     | 1415     | SH | DEFINED | 01 | 0 |
| COOPER TIRE & RUBBER         | COM | 216831107 | 2      | 117      | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| COPANO ENERGY L L C COM UNITS  | COM      | 217202100 | 281    | 10276   | SH  | DEFINED | 01 | 1 |
| COPART INC                     | COM      | 217204106 | 16941  | 513859  | SH  | DEFINED | 01 | 0 |
| COPART INC                     | COM      | 217204106 | 23     | 712     | SH  | DEFINED | 01 | 1 |
| COPERNIC INC COM NEWISIN #CA21 | COM      | 21727W206 | 1      | 429     | SH  | DEFINED | 01 | 1 |
| CORCEPT THERAPEUTICS INC       | COM      | 218352102 | 7      | 1775    | SH  | DEFINED | 01 | 0 |
| CORE-MARK HOLDING CO INC       | COM      | 218681104 | 4240   | 136917  | SH  | DEFINED | 01 | 0 |
| CORESITE REALTY CORP REIT      | COM      | 21870Q105 | 254    | 15500   | SH  | DEFINED | 01 | 0 |
| CORELOGIC INC                  | COM      | 21871D103 | 13830  | 721848  | SH  | DEFINED | 01 | 0 |
| CORELOGIC INC                  | COM      | 21871D103 | 88     | 4575    | SH  | DEFINED | 01 | 1 |
| CORINTHIAN COLLEGES INC        | COM      | 218868107 | 7214   | 1027551 | SH  | DEFINED | 01 | 0 |
| CORINTHIAN COLLEGES INC        | COM      | 218868107 | 23     | 3235    | SH  | DEFINED | 01 | 1 |
| CORN PRODUCTS INTL INC         | COM      | 219023108 | 18093  | 482508  | SH  | DEFINED | 01 | 0 |
| CORN PRODUCTS INTL INC         | COM      | 219023108 | 896    | 23900   | SH  | DEFINED | 01 | 1 |
| CORN PRODUCTS INTL INC         | COM      | 219023108 | 21     | 555     | SH  | DEFINED | 01 | 1 |
| CORNERSTONE STRATEGIC          | COM      | 21924B203 | 14     | 1275    | SH  | DEFINED | 01 | 1 |
| CORNERSTONE THERAPEUTICS INC   | COM      | 21924P103 | 46     | 6595    | SH  | DEFINED | 01 | 0 |
| CORNERSTONE TOTAL TOTAL RETU   | COM      | 21924U201 | 17     | 1700    | SH  | DEFINED | 01 | 1 |
| CORNERSTONE PROGRESSIV         | COM      | 21925C101 | 2      | 254     | SH  | DEFINED | 01 | 1 |
| CORNING INC                    | COM      | 219350105 | 133563 | 7306538 | SH  | DEFINED | 01 | 0 |
| CORNING INC                    | COM      | 219350105 | 1500   | 82050   | SH  | DEFINED | 01 | 0 |
| CORNING INC                    | COM      | 219350105 | 1880   | 102837  | SH  | DEFINED | 01 | 1 |
| CORPBANCA SA-ADR               | COM      | 21987A209 | 6      | 80      | SH  | DEFINED | 01 | 0 |
| CORPORATE EXECUTIVE BOARD CO   | COM      | 21988R102 | 4940   | 156556  | SH  | DEFINED | 01 | 0 |
| CORPORATE OFFICE PROPERTIES    | COM      | 22002T108 | 8836   | 236840  | SH  | DEFINED | 01 | 0 |
| CORPORATE OFFICE PROPERTIES    | COM      | 22002T108 | 19     | 500     | SH  | DEFINED | 01 | 1 |
| CORRECTIONS CORP OF AMERICA    | COM      | 22025Y407 | 12186  | 493746  | SH  | DEFINED | 01 | 0 |
| CORRECTIONS CORP OF AMERICA    | COM      | 22025Y407 | 21     | 847     | SH  | DEFINED | 01 | 1 |
| CORUS ENTERTAINMENT INC CLASS  | COM      | 220874101 | 29     | 1398    | SH  | DEFINED | 01 | 1 |
| CORVEL CORP                    | COM      | 221006109 | 2214   | 52159   | SH  | DEFINED | 01 | 0 |
| COSCO CORP SINGAPORE LTD       | COM      | 221118102 | 3      | 430     | SH  | DEFINED | 01 | 0 |
| COSI INC                       | COM      | 22122P101 | 0      | 200     | SH  | DEFINED | 01 | 1 |
| COSTCO WHOLESALE CORP          | COM      | 22160K105 | 350804 | 5439565 | SH  | DEFINED | 01 | 0 |
| COSTCO WHOLESALE CORP          | COM      | 22160K105 | 1488   | 23066   | SH  | DEFINED | 01 | 0 |
| COSTCO WHOLESALE CORP          | COM      | 22160K105 | 4356   | 67580   | SH  | DEFINED | 01 | 1 |
| COSTCO WHOLESALE CORP          | COM      | 22160K105 | 1633   | 25324   | SH  | DEFINED | 01 | 1 |
| COSTAR GROUP INC               | COM      | 22160N109 | 91     | 1890    | SH  | DEFINED | 01 | 0 |
| COTT CORPORATION               | COM      | 22163N106 | 4471   | 569648  | SH  | DEFINED | 01 | 0 |
| COUNTRYWIDE 7% 11/01/36        | PRF      | 222388209 | 201    | 8175    | SH  | DEFINED | 01 | 0 |
| COURIER CORP                   | COM      | 222660102 | 371    | 26071   | SH  | DEFINED | 01 | 0 |
| COUSINS PROPERTIES INC         | COM      | 222795106 | 3820   | 535002  | SH  | DEFINED | 01 | 0 |
| COUSINS PROPERTIES INC         | COM      | 222795106 | 6      | 804     | SH  | DEFINED | 01 | 1 |
| COVANCE INC                    | COM      | 222816100 | 8249   | 176305  | SH  | DEFINED | 01 | 0 |
| COVANCE INC                    | COM      | 222816100 | 6      | 135     | SH  | DEFINED | 01 | 1 |
| COVANTA HOLDING CORP           | COM      | 22282E102 | 38     | 2395    | SH  | DEFINED | 01 | 0 |
| COVANTA HOLDING CORP           | COM      | 22282E102 | 493    | 31275   | SH  | DEFINED | 01 | 1 |
| COVANTA HOLDING CONV           | CONV BND | 22282EAC6 | 3180   | 2830000 | PRN | DEFINED | 01 | 0 |
| COVENTRY HEALTH CARE INC       | COM      | 222862104 | 6967   | 323569  | SH  | DEFINED | 01 | 0 |
| COVENTRY HEALTH CARE INC       | COM      | 222862104 | 168    | 7789    | SH  | DEFINED | 01 | 0 |
| COVENTRY HEALTH CARE INC       | COM      | 222862104 | 1726   | 80218   | SH  | DEFINED | 01 | 1 |
| COVENTRY HEALTH CARE INC       | COM      | 222862104 | 37     | 1716    | SH  | DEFINED | 01 | 1 |
| COWEN GROUP INC-CLASS A        | COM      | 223622101 | 13     | 3885    | SH  | DEFINED | 01 | 0 |
| CRACKER BARREL OLD COUNTRY     | COM      | 22410J106 | 11353  | 223643  | SH  | DEFINED | 01 | 0 |
| CRACKER BARREL OLD COUNTRY     | COM      | 22410J106 | 81     | 1605    | SH  | DEFINED | 01 | 1 |
| CRAFT BREWERS ALLIANCE I       | COM      | 224122101 | 1      | 100     | SH  | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| CRANE CO                       | COM | 224399105 | 35723  | 941560  | SH | DEFINED | 01 | 0 |
| CRAWFORD & CO -CL B            | COM | 224633107 | 4      | 1573    | SH | DEFINED | 01 | 0 |
| CREDIT SUISSE INCOMEFD         | COM | 224916106 | 3      | 710     | SH | DEFINED | 01 | 1 |
| CRAY INC                       | COM | 225223304 | 154    | 23390   | SH | DEFINED | 01 | 0 |
| CRAY INC                       | COM | 225223304 | 2      | 250     | SH | DEFINED | 01 | 1 |
| CREDIT ACCEPTANCE CORP         | COM | 225310101 | 76     | 1260    | SH | DEFINED | 01 | 0 |
| CREDIT AGRICOLE S A            | COM | 225313105 | 68     | 8794    | SH | DEFINED | 01 | 0 |
| CREDIT SUISSE GROUP ADR SPONSO | COM | 225401108 | 213    | 4998    | SH | DEFINED | 01 | 0 |
| CREDIT SUISSE GROUP ADR SPONSO | COM | 225401108 | 54     | 1278    | SH | DEFINED | 01 | 1 |
| CREDIT SUISSE NASSAUETN LKD TO | COM | 22542D852 | 456    | 20896   | SH | DEFINED | 01 | 1 |
| CREE INC                       | COM | 225447101 | 36189  | 666578  | SH | DEFINED | 01 | 0 |
| CREE INC                       | COM | 225447101 | 135    | 2478    | SH | DEFINED | 01 | 0 |
| CREE INC                       | COM | 225447101 | 240    | 4427    | SH | DEFINED | 01 | 1 |
| CREDIT SUISSE HIGH YIELD BD F  | COM | 22544F103 | 11     | 4000    | SH | DEFINED | 01 | 1 |
| CREDIT SUISSE HIGH YIELD BD F  | COM | 22544F111 | 0      | 4000    | SH | DEFINED | 01 | 1 |
| CRESUD S.A.-SPONS ADR          | COM | 226406106 | 2      | 126     | SH | DEFINED | 01 | 0 |
| CRESUD S.A.-SPONS ADR          | COM | 226406106 | 27     | 1684    | SH | DEFINED | 01 | 1 |
| CREXUS INVESTMENT CORP-REITS   | COM | 226553105 | 11     | 875     | SH | DEFINED | 01 | 0 |
| CROCS INC                      | COM | 227046109 | 23569  | 1811558 | SH | DEFINED | 01 | 0 |
| CROCS INC                      | COM | 227046109 | 14     | 1040    | SH | DEFINED | 01 | 1 |
| CROSS A T CO CL A              | COM | 227478104 | 1      | 100     | SH | DEFINED | 01 | 1 |
| CROSS COUNTRY HEALTHCARE INC   | COM | 227483104 | 1128   | 156907  | SH | DEFINED | 01 | 0 |
| CROSSTEX ENERGY LP COM UNITS   | COM | 22765U102 | 65     | 5100    | SH | DEFINED | 01 | 1 |
| CROSSTEX ENERGY INC            | COM | 22765Y104 | 153    | 19323   | SH | DEFINED | 01 | 0 |
| CROSSTEX ENERGY INC            | COM | 22765Y104 | 18     | 2250    | SH | DEFINED | 01 | 1 |
| CROWN CASTLE INTL CORP         | COM | 228227104 | 95219  | 2156720 | SH | DEFINED | 01 | 0 |
| CROWN CASTLE INTL CORP         | COM | 228227104 | 53271  | 1207948 | SH | DEFINED | 01 | 1 |
| CROWN CASTLE INTL CORP         | COM | 228227104 | 55     | 1245    | SH | DEFINED | 01 | 1 |
| CROWN HOLDINGS INC             | COM | 228368106 | 41922  | 1462709 | SH | DEFINED | 01 | 0 |
| CROWN HOLDINGS INC             | COM | 228368106 | 60     | 2091    | SH | DEFINED | 01 | 1 |
| CROWN MEDIA HOLDINGS-CLASS A   | COM | 228411104 | 7      | 2964    | SH | DEFINED | 01 | 0 |
| CROWN MEDIA HOLDINGS-CLASS A   | COM | 228411104 | 8      | 3552    | SH | DEFINED | 01 | 1 |
| CRUCELL-ADR                    | COM | 228769105 | 1      | 30      | SH | DEFINED | 01 | 0 |
| CRUCELL-ADR                    | COM | 228769105 | 7      | 200     | SH | DEFINED | 01 | 1 |
| CRYOLIFE INC                   | COM | 228903100 | 937    | 154516  | SH | DEFINED | 01 | 0 |
| CRYOLIFE INC                   | COM | 228903100 | 2      | 250     | SH | DEFINED | 01 | 1 |
| CRYSTALLEX INTL CORPCOM NPV IS | COM | 22942F101 | 1      | 1336    | SH | DEFINED | 01 | 1 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 40246  | 842840  | SH | DEFINED | 01 | 0 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 4443   | 93048   | SH | DEFINED | 01 | 0 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 7806   | 163540  | SH | DEFINED | 01 | 1 |
| CTRIIP.COM INTERNATIONAL-ADR   | COM | 22943F100 | 23     | 480     | SH | DEFINED | 01 | 1 |
| CTM MEDIA HOLDINGS INC-B       | COM | 22944D203 | 1      | 641     | SH | DEFINED | 01 | 0 |
| CUBIC CORP                     | COM | 229669106 | 29904  | 732901  | SH | DEFINED | 01 | 0 |
| CUBIC ENERGY INC               | COM | 229675103 | 103    | 135000  | SH | DEFINED | 01 | 1 |
| CUBIST PHARMACEUTICALS INC     | COM | 229678107 | 15222  | 650826  | SH | DEFINED | 01 | 0 |
| CUBIST PHARMACEUTICALS INC     | COM | 229678107 | 30     | 1300    | SH | DEFINED | 01 | 1 |
| CULLEN/FROST BANKERS INC       | COM | 229899109 | 63458  | 1177978 | SH | DEFINED | 01 | 0 |
| CULLEN/FROST BANKERS INC       | COM | 229899109 | 9      | 158     | SH | DEFINED | 01 | 1 |
| CULP INC                       | COM | 230215105 | 6      | 575     | SH | DEFINED | 01 | 0 |
| CUMBERLAND PHARMACEUTICALS     | COM | 230770109 | 15     | 2530    | SH | DEFINED | 01 | 0 |
| CUMMINS INC                    | COM | 231021106 | 122897 | 1356779 | SH | DEFINED | 01 | 0 |
| CUMMINS INC                    | COM | 231021106 | 947    | 10450   | SH | DEFINED | 01 | 0 |
| CUMMINS INC                    | COM | 231021106 | 852    | 9410    | SH | DEFINED | 01 | 1 |
| CUMULUS MEDIA INC-CL A         | COM | 231082108 | 5      | 1800    | SH | DEFINED | 01 | 0 |



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

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| CUMULUS MEDIA CL A WTS         | WT       | 231082553 | 8     | 3509    | SH  | DEFINED | 01 | 0 |
| CUMULUS MEDIA CL A WTS         | WT       | 231082553 | 3     | 1535    | SH  | DEFINED | 01 | 0 |
| CUMULUS MEDIA CL A WTS         | WT       | 231082553 | 4     | 1547    | SH  | DEFINED | 01 | 0 |
| CURIS INC                      | COM      | 231269101 | 8     | 5610    | SH  | DEFINED | 01 | 0 |
| CURIS INC                      | COM      | 231269101 | 28    | 20375   | SH  | DEFINED | 01 | 1 |
| CURRENCYSHARES AUSTRALIAN      | COM      | 23129U101 | 52    | 539     | SH  | DEFINED | 01 | 1 |
| CURRENCYSHARES SWISS FRANC TR  | COM      | 23129V109 | 145   | 1435    | SH  | DEFINED | 01 | 1 |
| CURRENCYSHARES CDN DLR TR CDN  | COM      | 23129X105 | 46    | 471     | SH  | DEFINED | 01 | 1 |
| CURRENCYSHARES JAPANESE Y      | COM      | 23130A102 | 92    | 777     | SH  | DEFINED | 01 | 1 |
| CURRENCYSHARES EURO TR EURO SH | COM      | 23130C108 | 37    | 275     | SH  | DEFINED | 01 | 1 |
| CURTISS-WRIGHT CORP            | COM      | 231561101 | 7197  | 237534  | SH  | DEFINED | 01 | 0 |
| CURTISS-WRIGHT CORP            | COM      | 231561101 | 43    | 1408    | SH  | DEFINED | 01 | 1 |
| DAH CHONG HONG                 | COM      | 231987991 | 0     | 160     | SH  | DEFINED | 01 | 0 |
| CUTERA INC                     | COM      | 232109108 | 3832  | 473033  | SH  | DEFINED | 01 | 0 |
| CYBERONICS INC                 | COM      | 23251P102 | 3682  | 137998  | SH  | DEFINED | 01 | 0 |
| CYBERONICS INC                 | COM      | 23251P102 | 5     | 185     | SH  | DEFINED | 01 | 1 |
| CYMER INC                      | COM      | 232572107 | 5375  | 144967  | SH  | DEFINED | 01 | 0 |
| CYNOSURE INC-CLASS A           | COM      | 232577205 | 7     | 725     | SH  | DEFINED | 01 | 0 |
| CYPRESS BIOSCIENCE INC         | COM      | 232674507 | 213   | 55155   | SH  | DEFINED | 01 | 0 |
| CYPRESS SEMICONDUCTOR CORP     | COM      | 232806109 | 33859 | 2691407 | SH  | DEFINED | 01 | 0 |
| CYPRESS SEMICONDUCTOR CORP     | COM      | 232806109 | 21    | 1700    | SH  | DEFINED | 01 | 1 |
| CYPRESS SHARPRIDGE INV REIT    | COM      | 23281A307 | 368   | 27580   | SH  | DEFINED | 01 | 0 |
| CYTEC INDUSTRIES INC           | COM      | 232820100 | 18433 | 326968  | SH  | DEFINED | 01 | 0 |
| CYTEC INDUSTRIES INC           | COM      | 232820100 | 73    | 1294    | SH  | DEFINED | 01 | 1 |
| CYTRX CORP                     | COM      | 232828301 | 19    | 25750   | SH  | DEFINED | 01 | 0 |
| CYTRX CORP                     | COM      | 232828301 | 0     | 200     | SH  | DEFINED | 01 | 1 |
| CYRELA BRAZIL RLTY S A         | COM      | 23282C401 | 11    | 40      | SH  | DEFINED | 01 | 0 |
| CYTOKINETICS INC               | COM      | 23282W100 | 11    | 4285    | SH  | DEFINED | 01 | 0 |
| CYTOKINETICS INC               | COM      | 23282W100 | 0     | 100     | SH  | DEFINED | 01 | 1 |
| CYTORI THERAPEUTICS INC        | COM      | 23283K105 | 16    | 3275    | SH  | DEFINED | 01 | 0 |
| CYTORI THERAPEUTICS INC        | COM      | 23283K105 | 49    | 10029   | SH  | DEFINED | 01 | 1 |
| DBS GROUP HOLDINGS-SPON ADR    | COM      | 23304Y100 | 38    | 898     | SH  | DEFINED | 01 | 0 |
| DCA TOTAL RETURN FD COM        | COM      | 233066109 | 5     | 1800    | SH  | DEFINED | 01 | 1 |
| DCP MIDSTREAM PARTNERS L       | COM      | 23311P100 | 31    | 930     | SH  | DEFINED | 01 | 1 |
| DCT INDUSTRIAL TRUST INC       | COM      | 233153105 | 14305 | 2986473 | SH  | DEFINED | 01 | 0 |
| DCT INDUSTRIAL TRUST INC       | COM      | 233153105 | 923   | 192678  | SH  | DEFINED | 01 | 1 |
| DDI CORP                       | COM      | 233162502 | 10    | 1075    | SH  | DEFINED | 01 | 0 |
| DNP SELECT INCOME FD INC       | COM      | 23325P104 | 226   | 23016   | SH  | DEFINED | 01 | 1 |
| DG FASTCHANNEL INC             | COM      | 23326R109 | 3621  | 166505  | SH  | DEFINED | 01 | 0 |
| DG FASTCHANNEL INC             | COM      | 23326R109 | 2965  | 136390  | SH  | DEFINED | 01 | 1 |
| DG FASTCHANNEL INC             | COM      | 23326R109 | 7     | 330     | SH  | DEFINED | 01 | 1 |
| DPL INC                        | COM      | 233293109 | 20939 | 801382  | SH  | DEFINED | 01 | 0 |
| DPL INC                        | COM      | 233293109 | 118   | 4503    | SH  | DEFINED | 01 | 1 |
| DR HORTON INC                  | COM      | 23331A109 | 60821 | 5469528 | SH  | DEFINED | 01 | 0 |
| DR HORTON INC                  | COM      | 23331A109 | 164   | 14724   | SH  | DEFINED | 01 | 0 |
| DR HORTON INC                  | COM      | 23331A109 | 16    | 1400    | SH  | DEFINED | 01 | 1 |
| D R HORTON INC                 | CONV BND | 23331ABB4 | 2195  | 2000000 | PRN | DEFINED | 01 | 0 |
| DST SYSTEMS INC                | COM      | 233326107 | 16124 | 359566  | SH  | DEFINED | 01 | 0 |
| DST SYSTEMS INC                | CONV BND | 233326AE7 | 6483  | 5860000 | PRN | DEFINED | 01 | 0 |
| DSP GROUP INC                  | COM      | 23332B106 | 786   | 112196  | SH  | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM      | 233331107 | 41513 | 903857  | SH  | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM      | 233331107 | 408   | 8877    | SH  | DEFINED | 01 | 0 |
| DTE ENERGY COMPANY             | COM      | 233331107 | 940   | 20455   | SH  | DEFINED | 01 | 1 |
| DSW INC-CLASS A                | COM      | 23334L102 | 1276  | 44437   | SH  | DEFINED | 01 | 0 |
| DTS INC                        | COM      | 23335C101 | 12858 | 336849  | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| DXP ENTERPRISES INC            | COM | 233377407 | 12     | 650     | SH | DEFINED | 01 | 0 |
| DXP ENTERPRISES INC            | COM | 233377407 | 23     | 1200    | SH | DEFINED | 01 | 1 |
| DWS HIGH INCOME TR SHS NEW     | COM | 23337C208 | 6      | 633     | SH | DEFINED | 01 | 1 |
| DWS MUN INCOME TR COM          | COM | 23338M106 | 17     | 1247    | SH | DEFINED | 01 | 1 |
| DWS STRATEGIC MUNI INCOM       | COM | 23338T101 | 123    | 8900    | SH | DEFINED | 01 | 1 |
| DWS DREMAN VALUE INCOME EDG    | COM | 23339M204 | 190    | 14192   | SH | DEFINED | 01 | 1 |
| DWS RREEF WORLD REALESTATE FUN | COM | 23339T209 | 28     | 1651    | SH | DEFINED | 01 | 1 |
| DAI NIPPON PRTG LTD            | COM | 233806306 | 5      | 390     | SH | DEFINED | 01 | 0 |
| DAIICHI SANKYO KABUSHIKI       | COM | 23380A109 | 82     | 4066    | SH | DEFINED | 01 | 0 |
| DAIRY FARM INTL HLDGS LT       | COM | 233859404 | 1      | 30      | SH | DEFINED | 01 | 0 |
| DAIWA HOUSE IND LTD            | COM | 234062206 | 24     | 240     | SH | DEFINED | 01 | 0 |
| DAIWA SECS GROUP INC           | COM | 234064301 | 22     | 5470    | SH | DEFINED | 01 | 0 |
| DAKTRONICS INC                 | COM | 234264109 | 2290   | 233164  | SH | DEFINED | 01 | 0 |
| DAKTRONICS INC                 | COM | 234264109 | 1      | 100     | SH | DEFINED | 01 | 1 |
| DANA HOLDING CORP              | COM | 235825205 | 29753  | 2415047 | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   | COM | 235851102 | 76534  | 1884632 | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   | COM | 235851102 | 1276   | 31417   | SH | DEFINED | 01 | 0 |
| DANAHER CORP                   | COM | 235851102 | 120569 | 2971156 | SH | DEFINED | 01 | 1 |
| DANAHER CORP                   | COM | 235851102 | 513    | 12638   | SH | DEFINED | 01 | 1 |
| DANSKE BK A/S                  | COM | 236363107 | 18     | 1530    | SH | DEFINED | 01 | 0 |
| DANONE-SPONS ADR               | COM | 23636T100 | 160    | 13328   | SH | DEFINED | 01 | 0 |
| DANVERS BANCORP INC            | COM | 236442109 | 23     | 1490    | SH | DEFINED | 01 | 0 |
| DANVERS BANCORP INC            | COM | 236442109 | 31     | 2000    | SH | DEFINED | 01 | 1 |
| DARDEN RESTAURANTS INC         | COM | 237194105 | 13894  | 324744  | SH | DEFINED | 01 | 0 |
| DARDEN RESTAURANTS INC         | COM | 237194105 | 311    | 7267    | SH | DEFINED | 01 | 0 |
| DARDEN RESTAURANTS INC         | COM | 237194105 | 45     | 1063    | SH | DEFINED | 01 | 1 |
| DARLING INTERNATIONAL INC      | COM | 237266101 | 5820   | 683163  | SH | DEFINED | 01 | 0 |
| DARLING INTERNATIONAL INC      | COM | 237266101 | 7      | 800     | SH | DEFINED | 01 | 1 |
| DASSAULT SYSTEMES SA-ADR       | COM | 237545108 | 34     | 455     | SH | DEFINED | 01 | 0 |
| DATANG INTL PWR GENERATI       | COM | 23808Q207 | 3      | 400     | SH | DEFINED | 01 | 0 |
| DAVITA INC                     | COM | 23918K108 | 24235  | 351086  | SH | DEFINED | 01 | 0 |
| DAVITA INC                     | COM | 23918K108 | 373    | 5402    | SH | DEFINED | 01 | 0 |
| DAVITA INC                     | COM | 23918K108 | 31790  | 461001  | SH | DEFINED | 01 | 1 |
| DAVITA INC                     | COM | 23918K108 | 77     | 1109    | SH | DEFINED | 01 | 1 |
| DAWSON GEOPHYSICAL CO          | COM | 239359102 | 7486   | 280884  | SH | DEFINED | 01 | 0 |
| DAWSON GEOPHYSICAL CO          | COM | 239359102 | 27     | 1030    | SH | DEFINED | 01 | 1 |
| DEALERTRACK HOLDINGS INC       | COM | 242309102 | 4972   | 291036  | SH | DEFINED | 01 | 0 |
| DEAN FOODS CO                  | COM | 242370104 | 1726   | 169105  | SH | DEFINED | 01 | 0 |
| DEAN FOODS CO                  | COM | 242370104 | 98     | 9580    | SH | DEFINED | 01 | 0 |
| DEAN FOODS CO                  | COM | 242370104 | 72     | 7019    | SH | DEFINED | 01 | 1 |
| DECKERS OUTDOOR CORP           | COM | 243537107 | 30031  | 601089  | SH | DEFINED | 01 | 0 |
| DECKERS OUTDOOR CORP           | COM | 243537107 | 175    | 3500    | SH | DEFINED | 01 | 1 |
| DEER CONSUMER PRODUCTS INC     | COM | 24379J200 | 701    | 72896   | SH | DEFINED | 01 | 0 |
| DEER CONSUMER PRODUCTS INC     | COM | 24379J200 | 21     | 2236    | SH | DEFINED | 01 | 0 |
| DEER CONSUMER PRODUCTS INC     | COM | 24379J200 | 1      | 100     | SH | DEFINED | 01 | 1 |
| DEERE & CO                     | COM | 244199105 | 213345 | 3057399 | SH | DEFINED | 01 | 0 |
| DEERE & CO                     | COM | 244199105 | 1938   | 27786   | SH | DEFINED | 01 | 0 |
| DEERE & CO                     | COM | 244199105 | 42     | 600     | SH | DEFINED | 01 | 1 |
| DEERE & CO                     | COM | 244199105 | 2560   | 36693   | SH | DEFINED | 01 | 1 |
| DEL MONTE FOODS CO             | COM | 24522P103 | 10849  | 827465  | SH | DEFINED | 01 | 0 |
| DEL MONTE FOODS CO             | COM | 24522P103 | 18     | 1393    | SH | DEFINED | 01 | 1 |
| DELAWARE ENHANCED GLOBAL DIV   | COM | 246060107 | 21     | 1605    | SH | DEFINED | 01 | 1 |
| DELAWARE INVTS COLO MUN INCOME | COM | 246101109 | 5      | 365     | SH | DEFINED | 01 | 1 |
| DELAWARE INVTS MINN MUN INCOME | COM | 24610V103 | 10     | 735     | SH | DEFINED | 01 | 1 |
| DELCATH SYSTEMS INC            | COM | 24661P104 | 825    | 114181  | SH | DEFINED | 01 | 0 |
| DELCATH SYSTEMS INC            | COM | 24661P104 | 10     | 1400    | SH | DEFINED | 01 | 1 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| DELEK US HOLDINGS INC          | COM | 246647101 | 7      | 1085     | SH | DEFINED | 01 | 0 |
| DELL INC                       | COM | 24702R101 | 41848  | 3228867  | SH | DEFINED | 01 | 0 |
| DELL INC                       | COM | 24702R101 | 3985   | 307465   | SH | DEFINED | 01 | 0 |
| DELL INC                       | COM | 24702R101 | 1152   | 88892    | SH | DEFINED | 01 | 0 |
| DELL INC                       | COM | 24702R101 | 39455  | 3046683  | SH | DEFINED | 01 | 1 |
| DELL INC                       | COM | 24702R101 | 793    | 61160    | SH | DEFINED | 01 | 1 |
| DELPHI CORP-W/I                | COM | 247126303 | 196    | 13       | SH | DEFINED | 01 | 0 |
| DELPHI FINANCIAL GROUP-CL A    | COM | 247131105 | 33258  | 1330876  | SH | DEFINED | 01 | 0 |
| DELTA AIR LINES INC            | COM | 247361702 | 122859 | 10555036 | SH | DEFINED | 01 | 0 |
| DELTA AIR LINES INC            | COM | 247361702 | 563    | 48300    | SH | DEFINED | 01 | 0 |
| DELTA AIR LINES INC            | COM | 247361702 | 95     | 8164     | SH | DEFINED | 01 | 1 |
| DELTA APPAREL INC              | COM | 247368103 | 6      | 400      | SH | DEFINED | 01 | 0 |
| DELTEK INC                     | COM | 24784L105 | 150    | 18725    | SH | DEFINED | 01 | 0 |
| DELTIC TIMBER CORP             | COM | 247850100 | 2416   | 53928    | SH | DEFINED | 01 | 0 |
| DELTA PETROLEUM CORP           | COM | 247907207 | 13     | 16535    | SH | DEFINED | 01 | 0 |
| DELTA PETROLEUM CORP           | COM | 247907207 | 5      | 6366     | SH | DEFINED | 01 | 0 |
| DENBURY RESOURCES INC          | COM | 247916208 | 30420  | 1914422  | SH | DEFINED | 01 | 0 |
| DENBURY RESOURCES INC          | COM | 247916208 | 379    | 23869    | SH | DEFINED | 01 | 0 |
| DENBURY RESOURCES INC          | COM | 247916208 | 58     | 3660     | SH | DEFINED | 01 | 1 |
| DELUXE CORP                    | COM | 248019101 | 25097  | 1311904  | SH | DEFINED | 01 | 0 |
| DELUXE CORP                    | COM | 248019101 | 1      | 29       | SH | DEFINED | 01 | 1 |
| DEMANDTEC INC                  | COM | 24802R506 | 14     | 1450     | SH | DEFINED | 01 | 0 |
| DENALI FD INC COM              | COM | 24823A102 | 2      | 150      | SH | DEFINED | 01 | 1 |
| DENDREON CORP                  | COM | 24823Q107 | 34660  | 841681   | SH | DEFINED | 01 | 0 |
| DENDREON CORP                  | COM | 24823Q107 | 190    | 4610     | SH | DEFINED | 01 | 0 |
| DENDREON CORP                  | COM | 24823Q107 | 373    | 9069     | SH | DEFINED | 01 | 1 |
| DENISON MINES CORPORATIO       | COM | 248356107 | 7      | 4080     | SH | DEFINED | 01 | 1 |
| DENNY'S CORP                   | COM | 24869P104 | 25     | 8090     | SH | DEFINED | 01 | 0 |
| DENNY'S CORP                   | COM | 24869P104 | 2      | 500      | SH | DEFINED | 01 | 1 |
| DENSO CORP                     | COM | 24872B100 | 41     | 350      | SH | DEFINED | 01 | 0 |
| DENTSPLY INTERNATIONAL INC     | COM | 249030107 | 2263   | 70766    | SH | DEFINED | 01 | 0 |
| DENTSPLY INTERNATIONAL INC     | COM | 249030107 | 240    | 7498     | SH | DEFINED | 01 | 0 |
| DENTSPLY INTERNATIONAL INC     | COM | 249030107 | 461    | 14429    | SH | DEFINED | 01 | 1 |
| DEPOMED INC                    | COM | 249908104 | 18     | 4195     | SH | DEFINED | 01 | 0 |
| DESARROLLADORA HOMEX-ADR       | COM | 25030W100 | 14     | 420      | SH | DEFINED | 01 | 0 |
| DESARROLLADORA HOMEX-ADR       | COM | 25030W100 | 11     | 326      | SH | DEFINED | 01 | 1 |
| DESTINATION MATERNITY CORP     | COM | 25065D100 | 12     | 345      | SH | DEFINED | 01 | 0 |
| DEUTSCHE BOERSE AG-UNSPN ADR   | COM | 251542106 | 10     | 1440     | SH | DEFINED | 01 | 0 |
| DEUTSCHE BANK AG LONDON POW    | COM | 25154H749 | 12     | 320      | SH | DEFINED | 01 | 1 |
| DB MAND EX NOTE 8.0% DEC222010 | PRF | 25154N241 | 13417  | 503200   | SH | DEFINED | 01 | 0 |
| DB MAND EX NOTE 8.0% DEC222010 | PRF | 25154N258 | 8103   | 362600   | SH | DEFINED | 01 | 0 |
| LUFTHANSA-SPONS ADR            | COM | 251561304 | 9      | 470      | SH | DEFINED | 01 | 0 |
| DEUTSCHE TELEKOM AG-SPON ADR   | COM | 251566105 | 28678  | 2102773  | SH | DEFINED | 01 | 0 |
| DEUTSCHE TELEKOM AG-SPON ADR   | COM | 251566105 | 50     | 3610     | SH | DEFINED | 01 | 1 |
| DEUTSCHE POST AG               | COM | 25157Y202 | 28     | 1560     | SH | DEFINED | 01 | 0 |
| DEVELOPERS DIVERSIFIED RLTY    | COM | 251591103 | 181    | 16237    | SH | DEFINED | 01 | 0 |
| DEVELOPERS DIVERSIFIED RLTY    | COM | 251591103 | 163    | 14538    | SH | DEFINED | 01 | 1 |
| DEVON ENERGY CORPORATION       | COM | 25179M103 | 373253 | 5765407  | SH | DEFINED | 01 | 0 |
| DEVON ENERGY CORPORATION       | COM | 25179M103 | 3807   | 58807    | SH | DEFINED | 01 | 0 |
| DEVON ENERGY CORPORATION       | COM | 25179M103 | 1713   | 26466    | SH | DEFINED | 01 | 0 |
| DEVON ENERGY CORPORATION       | COM | 25179M103 | 17923  | 276860   | SH | DEFINED | 01 | 1 |
| DEVON ENERGY CORPORATION       | COM | 25179M103 | 760    | 11741    | SH | DEFINED | 01 | 1 |
| DEVRY INC                      | COM | 251893103 | 17656  | 358812   | SH | DEFINED | 01 | 0 |
| DEVRY INC                      | COM | 251893103 | 163    | 3317     | SH | DEFINED | 01 | 0 |
| DEVRY INC                      | COM | 251893103 | 12     | 236      | SH | DEFINED | 01 | 1 |
| DEX ONE CORP                   | COM | 25212W100 | 40     | 3275     | SH | DEFINED | 01 | 0 |

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

|                                 |          |           |        |         |     |         |    |   |
|---------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| DEXCOM INC                      | COM      | 252131107 | 13479  | 1019623 | SH  | DEFINED | 01 | 0 |
| DEXCOM INC                      | COM      | 252131107 | 43     | 3223    | SH  | DEFINED | 01 | 0 |
| DEXCOM INC                      | COM      | 252131107 | 5      | 350     | SH  | DEFINED | 01 | 1 |
| DIAGEO PLC-SPONSORED ADR        | COM      | 25243Q205 | 156423 | 2266663 | SH  | DEFINED | 01 | 0 |
| DIAGEO PLC-SPONSORED ADR        | COM      | 25243Q205 | 1688   | 24463   | SH  | DEFINED | 01 | 1 |
| DIAMOND FOODS INC               | COM      | 252603105 | 6563   | 160133  | SH  | DEFINED | 01 | 0 |
| DIAMOND FOODS INC               | COM      | 252603105 | 8      | 200     | SH  | DEFINED | 01 | 1 |
| DIAMOND HILL FINL TRENDS FD     | COM      | 25264C101 | 11     | 1200    | SH  | DEFINED | 01 | 1 |
| DIAMOND HILL INVESTMENT GRP     | COM      | 25264R207 | 14     | 185     | SH  | DEFINED | 01 | 0 |
| DIAMOND MANAGEMENT & TECHNOL    | COM      | 25269L106 | 134    | 10680   | SH  | DEFINED | 01 | 0 |
| DIAMOND OFFSHORE DRILLING       | COM      | 25271C102 | 67163  | 991045  | SH  | DEFINED | 01 | 0 |
| DIAMOND OFFSHORE DRILLING       | COM      | 25271C102 | 354    | 5222    | SH  | DEFINED | 01 | 0 |
| DIAMOND OFFSHORE DRILLING       | COM      | 25271C102 | 293    | 4322    | SH  | DEFINED | 01 | 1 |
| DIAMONDROCK HOSPITALITY CO      | COM      | 252784301 | 67768  | 7140988 | SH  | DEFINED | 01 | 0 |
| DIAMONDROCK HOSPITALITY CO      | COM      | 252784301 | 11     | 1163    | SH  | DEFINED | 01 | 1 |
| DICE HOLDINGS INC               | COM      | 253017107 | 12     | 1365    | SH  | DEFINED | 01 | 0 |
| DICK'S SPORTING GOODS INC       | COM      | 253393102 | 48204  | 1719102 | SH  | DEFINED | 01 | 0 |
| DICK'S SPORTING GOODS INC       | COM      | 253393102 | 190    | 6771    | SH  | DEFINED | 01 | 0 |
| DICK'S SPORTING GOODS INC       | COM      | 253393102 | 0      | 1       | SH  | DEFINED | 01 | 1 |
| DIEBOLD INC                     | COM      | 253651103 | 60674  | 1951592 | SH  | DEFINED | 01 | 0 |
| DIEBOLD INC                     | COM      | 253651103 | 49     | 1570    | SH  | DEFINED | 01 | 1 |
| DIGI INTERNATIONAL INC          | COM      | 253798102 | 1445   | 152341  | SH  | DEFINED | 01 | 0 |
| DIGIMARC CORP                   | COM      | 25381B101 | 24     | 1010    | SH  | DEFINED | 01 | 0 |
| DIGIMARC CORP                   | COM      | 25381B101 | 13     | 571     | SH  | DEFINED | 01 | 1 |
| DIGITAL ANGEL CORP NEW COM NE   | COM      | 25383A200 | 4      | 7953    | SH  | DEFINED | 01 | 1 |
| DIGITAL POWER CORP              | COM      | 253862106 | 0      | 100     | SH  | DEFINED | 01 | 1 |
| DIGITAL REALTY TRUST INC        | COM      | 253868103 | 43607  | 706749  | SH  | DEFINED | 01 | 0 |
| DIGITAL REALTY TRUST INC        | COM      | 253868103 | 11     | 185     | SH  | DEFINED | 01 | 1 |
| DIGITAL RIVER INC               | COM      | 25388B104 | 23679  | 695645  | SH  | DEFINED | 01 | 0 |
| DIGITAL RIVER INC               | COM      | 25388B104 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| DIGITAL RIVER INC               | CONV BND | 25388BAB0 | 1993   | 1900000 | PRN | DEFINED | 01 | 0 |
| DIGITAL REALTY TRUST LP         | CONV BND | 25389JAC0 | 3838   | 2500000 | PRN | DEFINED | 01 | 0 |
| DIGITALGLOBE INC                | COM      | 25389M877 | 55     | 1800    | SH  | DEFINED | 01 | 0 |
| DIME COMMUNITY BANCSHARES       | COM      | 253922108 | 12081  | 872239  | SH  | DEFINED | 01 | 0 |
| DILLARDS INC-CL A               | COM      | 254067101 | 23368  | 988457  | SH  | DEFINED | 01 | 0 |
| DIME BANCORP-WT                 | WT       | 25429Q110 | 1      | 1880    | SH  | DEFINED | 01 | 0 |
| DINEEQUITY INC                  | COM      | 254423106 | 10444  | 232215  | SH  | DEFINED | 01 | 0 |
| DIODES INC                      | COM      | 254543101 | 5110   | 298968  | SH  | DEFINED | 01 | 0 |
| DIODES INC                      | COM      | 254543101 | 5      | 300     | SH  | DEFINED | 01 | 1 |
| DIONEX CORP                     | COM      | 254546104 | 9103   | 105323  | SH  | DEFINED | 01 | 0 |
| DIONEX CORP                     | COM      | 254546104 | 9      | 100     | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY EMERGING M       | COM      | 25459W300 | 410    | 11857   | SH  | DEFINED | 01 | 1 |
| DIREXION SHS ETF TR DAILY SMAL  | COM      | 25459W326 | 6      | 227     | SH  | DEFINED | 01 | 1 |
| DIREXION SHS ETF TR DAILY FINL  | COM      | 25459W516 | 12     | 570     | SH  | DEFINED | 01 | 1 |
| DIREXION SHS ETF TR DAILY 20+   | COM      | 25459W532 | 8      | 250     | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY MID CAP BULL 3   | COM      | 25459W730 | 157    | 4582    | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY DEVELOPED        | COM      | 25459W789 | 436    | 7463    | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY SML CAP BULL 3   | COM      | 25459W847 | 185    | 3931    | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY LARGE CAP BEAR 3 | COM      | 25459W854 | 52     | 4196    | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY LARGE CAP BULL 3 | COM      | 25459W862 | 422    | 8008    | SH  | DEFINED | 01 | 1 |
| DIREXION DAILY ENERGY BUL       | COM      | 25459W888 | 7      | 210     | SH  | DEFINED | 01 | 1 |
| DISCOVERY LAB INC               | COM      | 254668106 | 0      | 400     | SH  | DEFINED | 01 | 1 |
| WALT DISNEY CO/THE              | COM      | 254687106 | 106148 | 3205998 | SH  | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM      | 254687106 | 6128   | 185070  | SH  | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM      | 254687106 | 3327   | 100489  | SH  | DEFINED | 01 | 0 |
| WALT DISNEY CO/THE              | COM      | 254687106 | 22186  | 670298  | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| WALT DISNEY CO/THE             | COM      | 254687106 | 2203   | 66550    | SH  | DEFINED | 01 | 1 |
| DISCOVER FINANCIAL SERVICES    | COM      | 254709108 | 200655 | 12029580 | SH  | DEFINED | 01 | 0 |
| DISCOVER FINANCIAL SERVICES    | COM      | 254709108 | 477    | 28581    | SH  | DEFINED | 01 | 0 |
| DISCOVER FINANCIAL SERVICES    | COM      | 254709108 | 284    | 17034    | SH  | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-A     | COM      | 25470F104 | 24100  | 553379   | SH  | DEFINED | 01 | 0 |
| DISCOVERY COMMUNICATIONS-A     | COM      | 25470F104 | 652    | 14960    | SH  | DEFINED | 01 | 0 |
| DISCOVERY COMMUNICATIONS-A     | COM      | 25470F104 | 23958  | 550259   | SH  | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-A     | COM      | 25470F104 | 70     | 1617     | SH  | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-C     | COM      | 25470F302 | 619    | 16188    | SH  | DEFINED | 01 | 0 |
| DISCOVERY COMMUNICATIONS-C     | COM      | 25470F302 | 62278  | 1630748  | SH  | DEFINED | 01 | 1 |
| DISCOVERY COMMUNICATIONS-C     | COM      | 25470F302 | 135    | 3530     | SH  | DEFINED | 01 | 1 |
| DISH NETWORK CORP-A            | COM      | 25470M109 | 56042  | 2924723  | SH  | DEFINED | 01 | 0 |
| DISH NETWORK CORP-A            | COM      | 25470M109 | 1399   | 73060    | SH  | DEFINED | 01 | 1 |
| DISH NETWORK CORP-A            | COM      | 25470M109 | 15     | 778      | SH  | DEFINED | 01 | 1 |
| DIRECTV GROUP INC/THE          | COM      | 25490A101 | 129238 | 3104431  | SH  | DEFINED | 01 | 0 |
| DIRECTV GROUP INC/THE          | COM      | 25490A101 | 1896   | 45540    | SH  | DEFINED | 01 | 0 |
| DIRECTV GROUP INC/THE          | COM      | 25490A101 | 96066  | 2307554  | SH  | DEFINED | 01 | 1 |
| DIRECTV GROUP INC/THE          | COM      | 25490A101 | 347    | 8342     | SH  | DEFINED | 01 | 1 |
| DIVX INC                       | COM      | 255413106 | 25     | 2670     | SH  | DEFINED | 01 | 0 |
| DOCTOR REDDY'S LAB-ADR         | COM      | 256135203 | 25     | 753      | SH  | DEFINED | 01 | 0 |
| DOCTOR REDDY'S LAB-ADR         | COM      | 256135203 | 33     | 1038     | SH  | DEFINED | 01 | 1 |
| DOCUMENT SEC SYS INC           | COM      | 25614T101 | 0      | 50       | SH  | DEFINED | 01 | 1 |
| DOLAN CO/THE                   | COM      | 25659P402 | 3318   | 291846   | SH  | DEFINED | 01 | 0 |
| DOLBY LABORATORIES INC-CL A    | COM      | 25659T107 | 13547  | 238449   | SH  | DEFINED | 01 | 0 |
| DOLBY LABORATORIES INC-CL A    | COM      | 25659T107 | 5277   | 114300   | SH  | DEFINED | 01 | 1 |
| DOLBY LABORATORIES INC-CL A    | COM      | 25659T107 | 73     | 1292     | SH  | DEFINED | 01 | 1 |
| DOLE FOOD CO INC               | COM      | 256603101 | 15225  | 1663972  | SH  | DEFINED | 01 | 0 |
| DOLE FOOD CO INC               | COM      | 256603101 | 87     | 9511     | SH  | DEFINED | 01 | 1 |
| DOLLAR FINANCIAL CORP          | COM      | 256664103 | 231    | 11100    | SH  | DEFINED | 01 | 0 |
| DOLLAR FINANCIAL CORP          | COM      | 256664103 | 10     | 500      | SH  | DEFINED | 01 | 1 |
| DOLLAR FINANCIAL CORP          | CONV BND | 256664AC7 | 5744   | 5737000  | PRN | DEFINED | 01 | 0 |
| DOLLAR GENERAL CORP            | COM      | 256677105 | 1610   | 55048    | SH  | DEFINED | 01 | 0 |
| DOLLAR GENERAL CORP            | COM      | 256677105 | 15     | 525      | SH  | DEFINED | 01 | 1 |
| DOLLAR THRIFTY AUTOMOTIVE GP   | COM      | 256743105 | 9562   | 190691   | SH  | DEFINED | 01 | 0 |
| DOLLAR TREE INC                | COM      | 256746108 | 47728  | 978860   | SH  | DEFINED | 01 | 0 |
| DOLLAR TREE INC                | COM      | 256746108 | 14     | 292      | SH  | DEFINED | 01 | 1 |
| DOMINION RES BLACK WARRIOR TR  | COM      | 25746Q108 | 26     | 1935     | SH  | DEFINED | 01 | 1 |
| DOMINION RESOURCES INC/VA      | COM      | 25746U109 | 102502 | 2347748  | SH  | DEFINED | 01 | 0 |
| DOMINION RESOURCES INC/VA      | COM      | 25746U109 | 1782   | 40809    | SH  | DEFINED | 01 | 0 |
| DOMINION RESOURCES INC/VA      | COM      | 25746U109 | 1746   | 40000    | SH  | DEFINED | 01 | 1 |
| DOMINION RESOURCES INC/VA      | COM      | 25746U109 | 1410   | 32297    | SH  | DEFINED | 01 | 1 |
| DOMINO'S PIZZA INC             | COM      | 25754A201 | 16996  | 1285572  | SH  | DEFINED | 01 | 0 |
| DOMINO'S PIZZA INC             | COM      | 25754A201 | 1      | 50       | SH  | DEFINED | 01 | 1 |
| DOMTAR CORP                    | COM      | 257559203 | 33424  | 517519   | SH  | DEFINED | 01 | 0 |
| DOMTAR CORP                    | COM      | 257559203 | 1129   | 17500    | SH  | DEFINED | 01 | 1 |
| DONALDSON CO INC               | COM      | 257651109 | 17371  | 368602   | SH  | DEFINED | 01 | 0 |
| DONALDSON CO INC               | COM      | 257651109 | 12530  | 296872   | SH  | DEFINED | 01 | 1 |
| DONALDSON CO INC               | COM      | 257651109 | 14     | 287      | SH  | DEFINED | 01 | 1 |
| DONEGAL GROUP INC-CL A         | COM      | 257701201 | 38     | 2874     | SH  | DEFINED | 01 | 0 |
| RR DONNELLEY & SONS CO         | COM      | 257867101 | 145813 | 8597440  | SH  | DEFINED | 01 | 0 |
| RR DONNELLEY & SONS CO         | COM      | 257867101 | 184    | 10834    | SH  | DEFINED | 01 | 0 |
| RR DONNELLEY & SONS CO         | COM      | 257867101 | 18     | 1041     | SH  | DEFINED | 01 | 1 |
| DORAL FINANCIAL CORP           | COM      | 25811P886 | 98     | 59095    | SH  | DEFINED | 01 | 0 |
| DORAL FINANCIAL CORP           | COM      | 25811P886 | 0      | 163      | SH  | DEFINED | 01 | 1 |
| DORCHESTER MINERALS LP COM UNI | COM      | 25820R105 | 7      | 250      | SH  | DEFINED | 01 | 1 |
| DORMAN PRODUCTS INC            | COM      | 258278100 | 13598  | 441225   | SH  | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| DOUBLE EAGLE PETROLEUM         | COM      | 258570209 | 9      | 2000    | SH  | DEFINED | 01 | 1 |
| DOUGLAS EMMETT INC             | COM      | 25960P109 | 29507  | 1685221 | SH  | DEFINED | 01 | 0 |
| DOUGLAS EMMETT INC             | COM      | 25960P109 | 6      | 353     | SH  | DEFINED | 01 | 1 |
| DOUGLAS DYNAMICS INC           | COM      | 25960R105 | 7915   | 640770  | SH  | DEFINED | 01 | 0 |
| DOVER CORP                     | COM      | 260003108 | 108484 | 2077858 | SH  | DEFINED | 01 | 0 |
| DOVER CORP                     | COM      | 260003108 | 512    | 9810    | SH  | DEFINED | 01 | 0 |
| DOVER CORP                     | COM      | 260003108 | 195    | 3727    | SH  | DEFINED | 01 | 1 |
| DOVER SADDLERY INC COM         | COM      | 260412101 | 0      | 100     | SH  | DEFINED | 01 | 1 |
| DOW 30SM ENHANCED PREM & INC   | COM      | 260537105 | 63     | 6202    | SH  | DEFINED | 01 | 1 |
| DOW CHEMICAL                   | COM      | 260543103 | 173193 | 6307120 | SH  | DEFINED | 01 | 0 |
| DOW CHEMICAL                   | COM      | 260543103 | 2339   | 85209   | SH  | DEFINED | 01 | 0 |
| DOW CHEMICAL                   | COM      | 260543103 | 577    | 21018   | SH  | DEFINED | 01 | 1 |
| DOW 30 PREMIUM & DIVIDEND      | COM      | 260582101 | 31     | 2159    | SH  | DEFINED | 01 | 1 |
| DR PEPPER SNAPPLE GROUP INC    | COM      | 26138E109 | 14005  | 394235  | SH  | DEFINED | 01 | 0 |
| DR PEPPER SNAPPLE GROUP INC    | COM      | 26138E109 | 446    | 12559   | SH  | DEFINED | 01 | 0 |
| DR PEPPER SNAPPLE GROUP INC    | COM      | 26138E109 | 1314   | 37000   | SH  | DEFINED | 01 | 1 |
| DR PEPPER SNAPPLE GROUP INC    | COM      | 26138E109 | 204    | 5737    | SH  | DEFINED | 01 | 1 |
| DRAGONWAVE INC                 | COM      | 26144M103 | 800    | 113028  | SH  | DEFINED | 01 | 0 |
| DRAGONWAVE INC                 | COM      | 26144M103 | 23     | 3276    | SH  | DEFINED | 01 | 0 |
| DRDGOLD LTD-SPONSORED ADR      | COM      | 26152H301 | 1      | 200     | SH  | DEFINED | 01 | 0 |
| DRDGOLD LTD-SPONSORED ADR      | COM      | 26152H301 | 1      | 114     | SH  | DEFINED | 01 | 1 |
| DREAMWORKS ANIMATION SKG-A     | COM      | 26153C103 | 5651   | 177055  | SH  | DEFINED | 01 | 0 |
| DREAMWORKS ANIMATION SKG-A     | COM      | 26153C103 | 19     | 595     | SH  | DEFINED | 01 | 1 |
| DRESS BARN INC                 | COM      | 261570105 | 9442   | 397547  | SH  | DEFINED | 01 | 0 |
| DRESS BARN INC                 | COM      | 261570105 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| DRESSER-RAND GROUP INC         | COM      | 261608103 | 63567  | 1723106 | SH  | DEFINED | 01 | 0 |
| DRESSER-RAND GROUP INC         | COM      | 261608103 | 15     | 398     | SH  | DEFINED | 01 | 1 |
| DREW INDUSTRIES INC            | COM      | 26168L205 | 4543   | 217798  | SH  | DEFINED | 01 | 0 |
| DREYFUS STRATEGIC MUNS INC     | COM      | 261932107 | 44     | 4897    | SH  | DEFINED | 01 | 1 |
| DREYFUS HIGH YIELD STRATEGIES  | COM      | 26200S101 | 4      | 1000    | SH  | DEFINED | 01 | 1 |
| DREYFUS MUN INCOME INC         | COM      | 26201R102 | 216    | 21747   | SH  | DEFINED | 01 | 1 |
| DREYFUS STRATEGIC MUN BD FD    | COM      | 26202F107 | 51     | 5863    | SH  | DEFINED | 01 | 1 |
| DRIL-QUIP INC                  | COM      | 262037104 | 16579  | 266932  | SH  | DEFINED | 01 | 0 |
| DRIL-QUIP INC                  | COM      | 262037104 | 22     | 350     | SH  | DEFINED | 01 | 1 |
| DRUGSTORE.COM INC              | COM      | 262241102 | 18     | 9265    | SH  | DEFINED | 01 | 0 |
| DRYSHIPS INC                   | CONV BND | 262498AB4 | 4904   | 5230000 | PRN | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      | COM      | 263534109 | 352961 | 7910307 | SH  | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      | COM      | 263534109 | 3101   | 69510   | SH  | DEFINED | 01 | 0 |
| DU PONT (E.I.) DE NEMOURS      | COM      | 263534109 | 2940   | 65879   | SH  | DEFINED | 01 | 1 |
| DUCOMMUN INC                   | COM      | 264147109 | 574    | 26395   | SH  | DEFINED | 01 | 0 |
| DUFF & PHELPS UTIL &CORP BD TR | COM      | 26432K108 | 96     | 7480    | SH  | DEFINED | 01 | 1 |
| DUFF & PHELPS CORP-CLASS A     | COM      | 26433B107 | 752    | 55860   | SH  | DEFINED | 01 | 0 |
| DUFF & PHELPS CORP-CLASS A     | COM      | 26433B107 | 19     | 1434    | SH  | DEFINED | 01 | 0 |
| DUKE REALTY CORP               | COM      | 264411505 | 18928  | 1633238 | SH  | DEFINED | 01 | 0 |
| DUKE REALTY CORP               | COM      | 264411505 | 108    | 9351    | SH  | DEFINED | 01 | 1 |
| DUKE ENERGY CORP               | COM      | 26441C105 | 22992  | 1298339 | SH  | DEFINED | 01 | 0 |
| DUKE ENERGY CORP               | COM      | 26441C105 | 1227   | 69296   | SH  | DEFINED | 01 | 0 |
| DUKE ENERGY CORP               | COM      | 26441C105 | 3368   | 190165  | SH  | DEFINED | 01 | 1 |
| DUN & BRADSTREET CORP          | COM      | 26483E100 | 76925  | 1037540 | SH  | DEFINED | 01 | 0 |
| DUN & BRADSTREET CORP          | COM      | 26483E100 | 196    | 2641    | SH  | DEFINED | 01 | 0 |
| DUN & BRADSTREET CORP          | COM      | 26483E100 | 4      | 55      | SH  | DEFINED | 01 | 1 |
| DUNCAN ENERGY PARTNERS L       | COM      | 265026104 | 66     | 2100    | SH  | DEFINED | 01 | 1 |
| DUOYUAN GLOBAL WATER INC-ADR   | COM      | 266043108 | 4      | 270     | SH  | DEFINED | 01 | 0 |
| DUPONT FABROS TECHNOLOGY       | COM      | 26613Q106 | 28120  | 1118085 | SH  | DEFINED | 01 | 0 |
| DURECT CORPORATION             | COM      | 266605104 | 17     | 6990    | SH  | DEFINED | 01 | 0 |
| DURECT CORPORATION             | COM      | 266605104 | 0      | 30      | SH  | DEFINED | 01 | 1 |

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

|                             |          |           |        |          |     |         |    |   |
|-----------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| DYAX CORP                   | COM      | 26746E103 | 20     | 8120     | SH  | DEFINED | 01 | 0 |
| DYCOM INDUSTRIES INC        | COM      | 267475101 | 10828  | 1083937  | SH  | DEFINED | 01 | 0 |
| DYCOM INDUSTRIES INC        | COM      | 267475101 | 0      | 2        | SH  | DEFINED | 01 | 1 |
| DYNAMEX INC                 | COM      | 26784F103 | 16     | 1000     | SH  | DEFINED | 01 | 0 |
| DYNAMIC MATERIALS CORP      | COM      | 267888105 | 13     | 855      | SH  | DEFINED | 01 | 0 |
| DYNAMICS RESEARCH CORP      | COM      | 268057106 | 1      | 80       | SH  | DEFINED | 01 | 0 |
| DYNAVAX TECHNOLOGIES CORP   | COM      | 268158102 | 11     | 5800     | SH  | DEFINED | 01 | 0 |
| DYNAVOX INC-CLASS A         | COM      | 26817F104 | 1272   | 156617   | SH  | DEFINED | 01 | 0 |
| DYNEGY INC                  | COM      | 26817G300 | 8704   | 1787324  | SH  | DEFINED | 01 | 0 |
| DYNEGY INC                  | COM      | 26817G300 | 3      | 528      | SH  | DEFINED | 01 | 1 |
| DYNEX CAPITAL INC           | COM      | 26817Q506 | 45     | 4240     | SH  | DEFINED | 01 | 0 |
| DYNEX CAPITAL INC           | COM      | 26817Q506 | 3      | 292      | SH  | DEFINED | 01 | 1 |
| DYNEX CAP INC PFD SER D     | PRF      | 26817Q605 | 5      | 426      | SH  | DEFINED | 01 | 1 |
| EDAP TMS SA -ADR            | COM      | 268311107 | 0      | 10       | SH  | DEFINED | 01 | 0 |
| EDCI HLDGS INC COM          | COM      | 268315108 | 0      | 5        | SH  | DEFINED | 01 | 1 |
| ENERGIAS DE PORTUGAL-SP ADR | COM      | 268353109 | 19     | 570      | SH  | DEFINED | 01 | 0 |
| EFG EUROBANK ERGASIAS S     | COM      | 26844B100 | 6      | 2140     | SH  | DEFINED | 01 | 0 |
| E-HOUSE CHINA HOLDINGS L    | COM      | 26852W103 | 2      | 100      | SH  | DEFINED | 01 | 1 |
| EMC CORP/MASS               | COM      | 268648102 | 455729 | 22438660 | SH  | DEFINED | 01 | 0 |
| EMC CORP/MASS               | COM      | 268648102 | 2192   | 107908   | SH  | DEFINED | 01 | 0 |
| EMC CORP/MASS               | COM      | 268648102 | 17     | 860      | SH  | DEFINED | 01 | 0 |
| EMC CORP/MASS               | COM      | 268648102 | 207    | 10800    | SH  | DEFINED | 01 | 1 |
| EMC CORP/MASS               | COM      | 268648102 | 2092   | 102983   | SH  | DEFINED | 01 | 1 |
| EMC CORP                    | CONV BND | 268648AK8 | 21797  | 16607334 | PRN | DEFINED | 01 | 0 |
| EMC CORP                    | CONV BND | 268648AM4 | 25782  | 18734000 | PRN | DEFINED | 01 | 0 |
| EMC INS GROUP INC           | COM      | 268664109 | 9320   | 437173   | SH  | DEFINED | 01 | 0 |
| EMS TECHNOLOGIES INC        | COM      | 26873N108 | 9597   | 515177   | SH  | DEFINED | 01 | 0 |
| EMS TECHNOLOGIES INC        | COM      | 26873N108 | 3      | 151      | SH  | DEFINED | 01 | 1 |
| ENI SPA-SPONSORED ADR       | COM      | 26874R108 | 237    | 5484     | SH  | DEFINED | 01 | 0 |
| ENI SPA-SPONSORED ADR       | COM      | 26874R108 | 15     | 350      | SH  | DEFINED | 01 | 1 |
| EOG RESOURCES INC           | COM      | 26875P101 | 394106 | 4239068  | SH  | DEFINED | 01 | 0 |
| EOG RESOURCES INC           | COM      | 26875P101 | 1238   | 13313    | SH  | DEFINED | 01 | 0 |
| EOG RESOURCES INC           | COM      | 26875P101 | 27237  | 293100   | SH  | DEFINED | 01 | 1 |
| EOG RESOURCES INC           | COM      | 26875P101 | 375    | 4030     | SH  | DEFINED | 01 | 1 |
| E.ON AG -SPONSORED ADR      | COM      | 268780103 | 265    | 8937     | SH  | DEFINED | 01 | 0 |
| EPIQ SYSTEMS INC            | COM      | 26882D109 | 1967   | 160518   | SH  | DEFINED | 01 | 0 |
| ESB FINANCIAL CORP          | COM      | 26884F102 | 9      | 675      | SH  | DEFINED | 01 | 0 |
| EQT CORP                    | COM      | 26884L109 | 16805  | 466039   | SH  | DEFINED | 01 | 0 |
| EQT CORP                    | COM      | 26884L109 | 283    | 7846     | SH  | DEFINED | 01 | 0 |
| EQT CORP                    | COM      | 26884L109 | 210    | 5833     | SH  | DEFINED | 01 | 1 |
| EAGLE BANCORP INC           | COM      | 268948106 | 18     | 1585     | SH  | DEFINED | 01 | 0 |
| ETFS PLATINUM TR SH BEN INT | COM      | 26922V101 | 41     | 250      | SH  | DEFINED | 01 | 1 |
| ETFS SILVER TR SILVER SHS   | COM      | 26922X107 | 286    | 13190    | SH  | DEFINED | 01 | 1 |
| ETFS GOLD TR SHS            | COM      | 26922Y105 | 361    | 2771     | SH  | DEFINED | 01 | 1 |
| ETFS PALLADIUM TR SHBEN INT | COM      | 26923A106 | 25     | 447      | SH  | DEFINED | 01 | 1 |
| E*TRADE FINANCIAL CORP      | COM      | 269246401 | 12120  | 833597   | SH  | DEFINED | 01 | 0 |
| E*TRADE FINANCIAL CORP      | COM      | 269246401 | 349    | 23943    | SH  | DEFINED | 01 | 0 |
| E*TRADE FINANCIAL CORP      | COM      | 269246401 | 25     | 1720     | SH  | DEFINED | 01 | 1 |
| EV ENERGY PARTNER LP        | LP       | 26926V107 | 1986   | 56650    | SH  | DEFINED | 01 | 0 |
| EV ENERGY PARTNER LP        | LP       | 26926V107 | 360    | 10255    | SH  | DEFINED | 01 | 1 |
| EXCO RESOURCES INC          | COM      | 269279402 | 15926  | 1071146  | SH  | DEFINED | 01 | 0 |
| EAGLE MATERIALS INC         | COM      | 26969P108 | 9448   | 398685   | SH  | DEFINED | 01 | 0 |
| EAGLE MATERIALS INC         | COM      | 26969P108 | 17     | 721      | SH  | DEFINED | 01 | 1 |
| EAGLE TELEPHONICS INC       | COM      | 270005101 | 0      | 3000     | SH  | DEFINED | 01 | 0 |
| EARTHLINK INC               | COM      | 270321102 | 19592  | 2155340  | SH  | DEFINED | 01 | 0 |
| EARTHLINK INC               | COM      | 270321102 | 18     | 1980     | SH  | DEFINED | 01 | 1 |

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

|                                 |     |           |        |         |    |         |    |   |
|---------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| EAST JAPAN RY CO                | COM | 273202101 | 37     | 3670    | SH | DEFINED | 01 | 0 |
| EAST WEST BANCORP INC           | COM | 27579R104 | 27057  | 1661972 | SH | DEFINED | 01 | 0 |
| EAST WEST BANCORP INC           | COM | 27579R104 | 21     | 1307    | SH | DEFINED | 01 | 1 |
| EASTERN AMERN NAT GAS TR        | COM | 276217106 | 25     | 1127    | SH | DEFINED | 01 | 1 |
| EASTGROUP PROPERTIES INC        | COM | 277276101 | 5242   | 140248  | SH | DEFINED | 01 | 0 |
| EASTGROUP PROPERTIES INC        | COM | 277276101 | 11     | 302     | SH | DEFINED | 01 | 1 |
| EASTMAN CHEMICAL COMPANY        | COM | 277432100 | 164934 | 2228868 | SH | DEFINED | 01 | 0 |
| EASTMAN CHEMICAL COMPANY        | COM | 277432100 | 281    | 3792    | SH | DEFINED | 01 | 0 |
| EASTMAN CHEMICAL COMPANY        | COM | 277432100 | 52     | 709     | SH | DEFINED | 01 | 1 |
| EASTMAN KODAK CO                | COM | 277461109 | 575    | 136965  | SH | DEFINED | 01 | 0 |
| EASTMAN KODAK CO                | COM | 277461109 | 59     | 14125   | SH | DEFINED | 01 | 0 |
| EASTMAN KODAK CO                | COM | 277461109 | 143    | 33937   | SH | DEFINED | 01 | 1 |
| EATON CORP                      | COM | 278058102 | 448403 | 5435872 | SH | DEFINED | 01 | 0 |
| EATON CORP                      | COM | 278058102 | 1253   | 15190   | SH | DEFINED | 01 | 0 |
| EATON CORP                      | COM | 278058102 | 512    | 6202    | SH | DEFINED | 01 | 1 |
| EATON VANCE CORP                | COM | 278265103 | 53660  | 1847802 | SH | DEFINED | 01 | 0 |
| EATON VANCE CORP                | COM | 278265103 | 59     | 2031    | SH | DEFINED | 01 | 1 |
| EATON VANCE MASS MUNINCOME TR   | COM | 27826E104 | 30     | 2000    | SH | DEFINED | 01 | 1 |
| EATON VANCE CAL MUNIINCOME      | COM | 27826F101 | 5      | 350     | SH | DEFINED | 01 | 1 |
| EATON VANCE MUN INCOME TR       | COM | 27826U108 | 34     | 2650    | SH | DEFINED | 01 | 1 |
| EATON VANCE ENHANCED EQUITY INC | COM | 278274105 | 52     | 4016    | SH | DEFINED | 01 | 1 |
| EATON VANCE ENHANCED E          | COM | 278277108 | 98     | 7550    | SH | DEFINED | 01 | 1 |
| EATON VANCE FLOATING RATE INCO  | COM | 278279104 | 45     | 2844    | SH | DEFINED | 01 | 1 |
| EATON VANCE MUNICIPAL           | COM | 27827X101 | 677    | 48716   | SH | DEFINED | 01 | 1 |
| EATON VANCE NEW YORK MUNICIPAL  | COM | 27827Y109 | 213    | 15200   | SH | DEFINED | 01 | 1 |
| EATON VANCE CALIF MUNICIPAL     | COM | 27828A100 | 7      | 500     | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX ADVANTAGE       | COM | 27828G107 | 486    | 30937   | SH | DEFINED | 01 | 1 |
| EATON VANCE LTD DURATION I      | COM | 27828H105 | 420    | 25609   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED DI      | COM | 27828N102 | 341    | 29242   | SH | DEFINED | 01 | 1 |
| EATON VANCE SR FLOATING R       | COM | 27828Q105 | 548    | 34928   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX ADVANTAGED      | COM | 27828S101 | 97     | 6913    | SH | DEFINED | 01 | 1 |
| EATON VANCE SHORT DURATION D    | COM | 27828V104 | 233    | 13302   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED BU      | COM | 27828X100 | 65     | 4228    | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED BU      | COM | 27828Y108 | 268    | 19711   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED GL      | COM | 27829C105 | 317    | 24613   | SH | DEFINED | 01 | 1 |
| EATON VANCE TAX MANAGED GL      | COM | 27829F108 | 423    | 38699   | SH | DEFINED | 01 | 1 |
| EATON VANCE RISK MANAGED DI     | COM | 27829G106 | 8659   | 622089  | SH | DEFINED | 01 | 1 |
| EATON VANCE NATL MUNOPPORTUNIT  | COM | 27829L105 | 22     | 1000    | SH | DEFINED | 01 | 1 |
| EBAY INC                        | COM | 278642103 | 45797  | 1876886 | SH | DEFINED | 01 | 0 |
| EBAY INC                        | COM | 278642103 | 1480   | 60664   | SH | DEFINED | 01 | 0 |
| EBAY INC                        | COM | 278642103 | 630    | 25825   | SH | DEFINED | 01 | 1 |
| EBIX INC                        | COM | 278715206 | 3919   | 167073  | SH | DEFINED | 01 | 0 |
| ECHELON CORP                    | COM | 27874N105 | 19     | 2335    | SH | DEFINED | 01 | 0 |
| ECHELON CORP                    | COM | 27874N105 | 149    | 17415   | SH | DEFINED | 01 | 1 |
| ECHO GLOBAL LOGISTICS INC       | COM | 27875T101 | 9      | 700     | SH | DEFINED | 01 | 0 |
| ECHOSTAR CORP-A                 | COM | 278768106 | 36     | 1865    | SH | DEFINED | 01 | 0 |
| ECHOSTAR CORP-A                 | COM | 278768106 | 0      | 5       | SH | DEFINED | 01 | 1 |
| ECOLAB INC                      | COM | 278865100 | 31655  | 623890  | SH | DEFINED | 01 | 0 |
| ECOLAB INC                      | COM | 278865100 | 810    | 15975   | SH | DEFINED | 01 | 0 |
| ECOLAB INC                      | COM | 278865100 | 44321  | 901057  | SH | DEFINED | 01 | 1 |
| ECOLAB INC                      | COM | 278865100 | 143    | 2819    | SH | DEFINED | 01 | 1 |
| ECOPETROL S A                   | COM | 279158109 | 73     | 1742    | SH | DEFINED | 01 | 0 |
| ECOPETROL S A                   | COM | 279158109 | 11     | 275     | SH | DEFINED | 01 | 1 |
| ECOTALITY INC COM NEW           | COM | 27922Y202 | 7      | 2112    | SH | DEFINED | 01 | 1 |
| EDIETS COM INC                  | COM | 280597105 | 0      | 26      | SH | DEFINED | 01 | 1 |
| EDISON INTERNATIONAL            | COM | 281020107 | 56019  | 1628881 | SH | DEFINED | 01 | 0 |



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

|                                |          |           |        |         |    |         |    |   |
|--------------------------------|----------|-----------|--------|---------|----|---------|----|---|
| EDISON INTERNATIONAL           | COM      | 281020107 | 589    | 17126   | SH | DEFINED | 01 | 0 |
| EDISON INTERNATIONAL           | COM      | 281020107 | 569    | 16558   | SH | DEFINED | 01 | 1 |
| EDUCATION MEDIA INC-UNIT       | COM      | 28140C113 | 162    | 29515   | SH | DEFINED | 01 | 0 |
| EDUCATION REALTY TRUST INC     | COM      | 28140H104 | 1158   | 162050  | SH | DEFINED | 01 | 0 |
| EDUCATION REALTY TRUST INC     | COM      | 28140H104 | 3      | 358     | SH | DEFINED | 01 | 1 |
| EDUCATION MANAGEMENT CORP      | COM      | 28140M103 | 6      | 430     | SH | DEFINED | 01 | 0 |
| EDUCATIONAL DEV CORP DEL       | COM      | 281479105 | 2      | 300     | SH | DEFINED | 01 | 1 |
| EDWARDS LIFESCIENCES CORP      | COM      | 28176E108 | 57355  | 855420  | SH | DEFINED | 01 | 0 |
| EDWARDS LIFESCIENCES CORP      | COM      | 28176E108 | 66     | 978     | SH | DEFINED | 01 | 0 |
| EDWARDS LIFESCIENCES CORP      | COM      | 28176E108 | 438    | 6539    | SH | DEFINED | 01 | 1 |
| EHEALTH INC                    | COM      | 28238P109 | 19791  | 1531863 | SH | DEFINED | 01 | 0 |
| EISAI LTD                      | COM      | 282579309 | 56     | 1610    | SH | DEFINED | 01 | 0 |
| EINSTEIN NOAH RESTAURANT GRO   | COM      | 28257U104 | 4      | 390     | SH | DEFINED | 01 | 0 |
| EINSTEIN NOAH RESTAURANT GRO   | COM      | 28257U104 | 2      | 200     | SH | DEFINED | 01 | 1 |
| EL PASO CORP                   | COM      | 28336L109 | 45063  | 3639913 | SH | DEFINED | 01 | 0 |
| EL PASO CORP                   | COM      | 28336L109 | 575    | 46426   | SH | DEFINED | 01 | 0 |
| EL PASO CORP                   | COM      | 28336L109 | 91     | 7350    | SH | DEFINED | 01 | 1 |
| EL PASO CORP                   | CONV PRF | 28336L406 | 4605   | 4000    | SH | DEFINED | 01 | 0 |
| EL PASO CORP                   | CONV PRF | 28336L604 | 219    | 190     | SH | DEFINED | 01 | 0 |
| EL PASO ELECTRIC CO            | COM      | 283677854 | 11933  | 501770  | SH | DEFINED | 01 | 0 |
| EL PASO PIPELINE PARTNERS L    | COM      | 283702108 | 97     | 3025    | SH | DEFINED | 01 | 1 |
| ELAN CORP PLC -SPONS ADR       | COM      | 284131208 | 2      | 470     | SH | DEFINED | 01 | 0 |
| ELAN CORP PLC -SPONS ADR       | COM      | 284131208 | 391    | 68047   | SH | DEFINED | 01 | 1 |
| ELDORADO GOLD CORP COM NPV IS  | COM      | 284902103 | 313    | 16943   | SH | DEFINED | 01 | 1 |
| ELECTRICITE DE FRANCE          | COM      | 285039103 | 43     | 4910    | SH | DEFINED | 01 | 0 |
| ELECTRO RENT CORP              | COM      | 285218103 | 3082   | 232038  | SH | DEFINED | 01 | 0 |
| ELECTRO SCIENTIFIC INDS INC    | COM      | 285229100 | 6797   | 611678  | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM      | 285512109 | 29519  | 1796366 | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM      | 285512109 | 285    | 17359   | SH | DEFINED | 01 | 0 |
| ELECTRONIC ARTS INC            | COM      | 285512109 | 7      | 406     | SH | DEFINED | 01 | 1 |
| ELECTRONICS FOR IMAGING        | COM      | 286082102 | 101022 | 8335205 | SH | DEFINED | 01 | 0 |
| ELECTRONICS FOR IMAGING        | COM      | 286082102 | 447    | 35734   | SH | DEFINED | 01 | 1 |
| ELECTRONICS FOR IMAGING        | COM      | 286082102 | 4      | 301     | SH | DEFINED | 01 | 1 |
| ELIZABETH ARDEN INC            | COM      | 28660G106 | 8729   | 436633  | SH | DEFINED | 01 | 0 |
| PERRY ELLIS INTERNATIONAL      | COM      | 288853104 | 1342   | 61462   | SH | DEFINED | 01 | 0 |
| ELRON ELECTRONIC INDS LTD      | COM      | 290160100 | 0      | 67      | SH | DEFINED | 01 | 0 |
| ELSTER GROUP SE                | COM      | 290348101 | 20682  | 1498631 | SH | DEFINED | 01 | 0 |
| EMAGIN CORP COM NEW            | COM      | 29076N206 | 0      | 80      | SH | DEFINED | 01 | 1 |
| EMBRAER-EMPRESA BRASDE AERONAU | COM      | 29081M102 | 46     | 1603    | SH | DEFINED | 01 | 1 |
| EMBOTELLADORA ANDINA-ADR A     | COM      | 29081P204 | 1      | 30      | SH | DEFINED | 01 | 0 |
| EMBOTELLADORA ANDINA-ADR B     | COM      | 29081P303 | 11     | 380     | SH | DEFINED | 01 | 0 |
| EMBOTELLADORA ANDINA-ADR B     | COM      | 29081P303 | 1      | 41      | SH | DEFINED | 01 | 1 |
| EMCORE CORP                    | COM      | 290846104 | 0      | 450     | SH | DEFINED | 01 | 1 |
| EMCOR GROUP INC                | COM      | 29084Q100 | 49869  | 2028022 | SH | DEFINED | 01 | 0 |
| EMCOR GROUP INC                | COM      | 29084Q100 | 2      | 100     | SH | DEFINED | 01 | 1 |
| EMDEON INC                     | COM      | 29084T104 | 5853   | 480634  | SH | DEFINED | 01 | 0 |
| EMDEON INC                     | COM      | 29084T104 | 103    | 8435    | SH | DEFINED | 01 | 0 |
| EMDEON INC                     | COM      | 29084T104 | 32     | 2619    | SH | DEFINED | 01 | 1 |
| EMERGENT BIOSOLUTIONS INC      | COM      | 29089Q105 | 1596   | 92531   | SH | DEFINED | 01 | 0 |
| EMERITUS CORP                  | COM      | 291005106 | 31     | 1825    | SH | DEFINED | 01 | 0 |
| EMERITUS CORP                  | COM      | 291005106 | 143    | 8355    | SH | DEFINED | 01 | 1 |
| EMERGENCY MEDICAL SERVICES-A   | COM      | 29100P102 | 3861   | 72500   | SH | DEFINED | 01 | 0 |
| EMERGENCY MEDICAL SERVICES-A   | COM      | 29100P102 | 4013   | 75509   | SH | DEFINED | 01 | 1 |
| EMERGENCY MEDICAL SERVICES-A   | COM      | 29100P102 | 16     | 300     | SH | DEFINED | 01 | 1 |
| EMERSON ELECTRIC CO            | COM      | 291011104 | 264957 | 5031460 | SH | DEFINED | 01 | 0 |
| EMERSON ELECTRIC CO            | COM      | 291011104 | 2386   | 45321   | SH | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| EMERSON ELECTRIC CO            | COM | 291011104 | 51805 | 983930  | SH | DEFINED | 01 | 1 |
| EMERSON ELECTRIC CO            | COM | 291011104 | 1694  | 32172   | SH | DEFINED | 01 | 1 |
| EMERSON RADIO CORP             | COM | 291087203 | 18    | 7916    | SH | DEFINED | 01 | 1 |
| EMMIS COMMUNICATIONS-CLASS A   | COM | 291525103 | 0     | 280     | SH | DEFINED | 01 | 0 |
| EMPIRE DISTRICT ELECTRIC CO    | COM | 291641108 | 320   | 15840   | SH | DEFINED | 01 | 0 |
| EMPIRE DISTRICT ELECTRIC CO    | COM | 291641108 | 39    | 1959    | SH | DEFINED | 01 | 1 |
| EMPIRE RESORTS INC             | COM | 292052107 | 32    | 28280   | SH | DEFINED | 01 | 0 |
| EMPIRE RESORTS INC             | COM | 292052107 | 24    | 21401   | SH | DEFINED | 01 | 1 |
| EMPLOYERS HOLDINGS INC         | COM | 292218104 | 3060  | 194026  | SH | DEFINED | 01 | 0 |
| EMPRESAS ICA S.A. -SPONS ADR   | COM | 292448206 | 1     | 70      | SH | DEFINED | 01 | 0 |
| EMPRESA NAC ELEC-CHIL-SP ADR   | COM | 29244T101 | 33    | 610     | SH | DEFINED | 01 | 0 |
| EMRISE CORP COM NEW            | COM | 29246J200 | 0     | 267     | SH | DEFINED | 01 | 1 |
| EMULEX CORP                    | COM | 292475209 | 59    | 5674    | SH | DEFINED | 01 | 0 |
| EMULEX CORP                    | COM | 292475209 | 3     | 300     | SH | DEFINED | 01 | 1 |
| ENAGAS S A                     | COM | 29248L104 | 6     | 580     | SH | DEFINED | 01 | 0 |
| ENCANA CORP                    | COM | 292505104 | 34093 | 1127778 | SH | DEFINED | 01 | 0 |
| ENCANA CORP                    | COM | 292505104 | 275   | 9097    | SH | DEFINED | 01 | 1 |
| ENBRIDGE INC                   | COM | 29250N105 | 81571 | 1559663 | SH | DEFINED | 01 | 0 |
| ENBRIDGE INC                   | COM | 29250N105 | 192   | 3673    | SH | DEFINED | 01 | 1 |
| ENBRIDGE ENERGY PARTNERS L     | COM | 29250R106 | 344   | 6153    | SH | DEFINED | 01 | 1 |
| ENBRIDGE ENERGY MGMTLLC SHS UT | COM | 29250X103 | 44    | 802     | SH | DEFINED | 01 | 1 |
| ENCORE CAPITAL GROUP INC       | COM | 292554102 | 28    | 1545    | SH | DEFINED | 01 | 0 |
| ENCORE BANCSHARES INC          | COM | 29255V201 | 10    | 1335    | SH | DEFINED | 01 | 0 |
| ENCORE WIRE CORP               | COM | 292562105 | 1850  | 90165   | SH | DEFINED | 01 | 0 |
| ENCORE WIRE CORP               | COM | 292562105 | 3     | 152     | SH | DEFINED | 01 | 1 |
| ENCORE ENERGY PARTNERS L       | COM | 29257A106 | 15    | 800     | SH | DEFINED | 01 | 1 |
| ENDEAVOUR SILVER CORP COM N    | COM | 29258Y103 | 10    | 2390    | SH | DEFINED | 01 | 1 |
| ENDEAVOUR INTERNATIONAL CORP   | COM | 29259G101 | 21    | 16365   | SH | DEFINED | 01 | 0 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 27955 | 841007  | SH | DEFINED | 01 | 0 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 1539  | 46286   | SH | DEFINED | 01 | 1 |
| ENDO PHARMACEUT HLDGS INC      | COM | 29264F205 | 1     | 36      | SH | DEFINED | 01 | 1 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 4697  | 935376  | SH | DEFINED | 01 | 0 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 74    | 14659   | SH | DEFINED | 01 | 0 |
| ENERGY CONVERSION DEVICES      | COM | 292659109 | 159   | 31645   | SH | DEFINED | 01 | 1 |
| ENERGEN CORP                   | COM | 29265N108 | 8973  | 196257  | SH | DEFINED | 01 | 0 |
| ENERGEN CORP                   | COM | 29265N108 | 218   | 4774    | SH | DEFINED | 01 | 1 |
| ENEL SOCIETA PER AZIONI ADR    | COM | 29265W207 | 179   | 33490   | SH | DEFINED | 01 | 0 |
| ENERGIZER HOLDINGS INC         | COM | 29266R108 | 29454 | 438108  | SH | DEFINED | 01 | 0 |
| ENERGIZER HOLDINGS INC         | COM | 29266R108 | 886   | 13177   | SH | DEFINED | 01 | 1 |
| ENERGIZER HOLDINGS INC         | COM | 29266R108 | 97    | 1440    | SH | DEFINED | 01 | 1 |
| ENDOLOGIX INC                  | COM | 29266S106 | 18    | 3900    | SH | DEFINED | 01 | 0 |
| ENER1 INC                      | COM | 29267A203 | 18    | 4815    | SH | DEFINED | 01 | 0 |
| ENERGY INCOME & GROWTH FD      | COM | 292697109 | 40    | 1521    | SH | DEFINED | 01 | 1 |
| ENERGY RECOVERY INC            | COM | 29270J100 | 30    | 8390    | SH | DEFINED | 01 | 0 |
| ENERGY RECOVERY INC            | COM | 29270J100 | 12    | 3400    | SH | DEFINED | 01 | 1 |
| ENERGY PARTNERS LTD            | COM | 29270U303 | 3298  | 274600  | SH | DEFINED | 01 | 0 |
| ENERGY PARTNERS LTD            | COM | 29270U303 | 0     | 29      | SH | DEFINED | 01 | 1 |
| ENERGY TRANSFER PARTNERS L     | COM | 29273R109 | 839   | 17369   | SH | DEFINED | 01 | 1 |
| ENERGY TRANSFER EQUITY LP      | LP  | 29273V100 | 23    | 630     | SH | DEFINED | 01 | 0 |
| ENERGY TRANSFER EQUITY LP      | LP  | 29273V100 | 48    | 1300    | SH | DEFINED | 01 | 1 |
| ENERPLUS RESOURCES FUND TRUST  | COM | 29274D604 | 621   | 24108   | SH | DEFINED | 01 | 1 |
| ENERSIS S.A. -SPONS ADR        | COM | 29274F104 | 5     | 230     | SH | DEFINED | 01 | 0 |
| ENERSIS S.A. -SPONS ADR        | COM | 29274F104 | 8880  | 495800  | SH | DEFINED | 01 | 1 |
| ENERSIS S.A. -SPONS ADR        | COM | 29274F104 | 9     | 375     | SH | DEFINED | 01 | 1 |
| ENERGYSOLUTIONS INC            | COM | 292756202 | 80    | 15950   | SH | DEFINED | 01 | 0 |
| ENERSYS                        | COM | 29275Y102 | 33327 | 1334687 | SH | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| ENERSYS                        | COM      | 29275Y102 | 0      | 20      | SH  | DEFINED | 01 | 1 |
| ENERNOC INC                    | COM      | 292764107 | 2140   | 68135   | SH  | DEFINED | 01 | 0 |
| ENERNOC INC                    | COM      | 292764107 | 264    | 8425    | SH  | DEFINED | 01 | 1 |
| ENGLOBAL CORP COM              | COM      | 293306106 | 5      | 2012    | SH  | DEFINED | 01 | 1 |
| ENNIS INC                      | COM      | 293389102 | 12291  | 687025  | SH  | DEFINED | 01 | 0 |
| ENNIS INC                      | COM      | 293389102 | 31     | 1729    | SH  | DEFINED | 01 | 1 |
| ENPRO INDUSTRIES INC           | COM      | 29355X107 | 13857  | 443001  | SH  | DEFINED | 01 | 0 |
| ENPRO INDUSTRIES INC           | COM      | 29355X107 | 6      | 206     | SH  | DEFINED | 01 | 1 |
| ENSIGN GROUP INC/THE           | COM      | 29358P101 | 2965   | 165170  | SH  | DEFINED | 01 | 0 |
| ENSIGN GROUP INC/THE           | COM      | 29358P101 | 2      | 100     | SH  | DEFINED | 01 | 1 |
| ENSCO INTERNATIONAL PLC-SPON A | COM      | 29358Q109 | 61537  | 1375771 | SH  | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM      | 29358Q109 | 2712   | 60641   | SH  | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM      | 29358Q109 | 163    | 3655    | SH  | DEFINED | 01 | 0 |
| ENSCO INTERNATIONAL PLC-SPON A | COM      | 29358Q109 | 61010  | 1365194 | SH  | DEFINED | 01 | 1 |
| ENSCO INTERNATIONAL PLC-SPON A | COM      | 29358Q109 | 650    | 14542   | SH  | DEFINED | 01 | 1 |
| ENTEGRIS INC                   | COM      | 29362U104 | 6885   | 1474326 | SH  | DEFINED | 01 | 0 |
| ENTERCOM COMMUNICATIONS-CL A   | COM      | 293639100 | 32     | 4070    | SH  | DEFINED | 01 | 0 |
| ENTERCOM COMMUNICATIONS-CL A   | COM      | 293639100 | 2      | 200     | SH  | DEFINED | 01 | 1 |
| ENERGY CORP                    | COM      | 29364G103 | 62578  | 817701  | SH  | DEFINED | 01 | 0 |
| ENERGY CORP                    | COM      | 29364G103 | 751    | 9813    | SH  | DEFINED | 01 | 0 |
| ENERGY CORP                    | COM      | 29364G103 | 291    | 3807    | SH  | DEFINED | 01 | 1 |
| ENTERPRISE FINANCIAL SERVICE   | COM      | 293712105 | 161    | 17295   | SH  | DEFINED | 01 | 0 |
| ENTERPRISE GP HLDGS L P UNIT L | COM      | 293716106 | 61     | 1044    | SH  | DEFINED | 01 | 1 |
| ENTERPRISE PRODUCTS PARTNERS   | LP       | 293792107 | 414    | 10436   | SH  | DEFINED | 01 | 0 |
| ENTERPRISE PRODUCTS PARTNERS   | LP       | 293792107 | 334    | 8408    | SH  | DEFINED | 01 | 0 |
| ENTERPRISE PRODUCTS PARTNERS   | LP       | 293792107 | 1075   | 27125   | SH  | DEFINED | 01 | 1 |
| ENTERPRISE PRODUCTS PARTNERS   | LP       | 293792107 | 1818   | 45817   | SH  | DEFINED | 01 | 1 |
| ENTERTAINMENT PROPERTIES TR    | COM      | 29380T105 | 33050  | 765401  | SH  | DEFINED | 01 | 0 |
| ENTERTAINMENT PROPERTIES TR    | COM      | 29380T105 | 27     | 632     | SH  | DEFINED | 01 | 1 |
| ENTREMED INC COM NEW           | COM      | 29382F202 | 6      | 1549    | SH  | DEFINED | 01 | 1 |
| ENTRAVISION COMMUNICAT -CL A   | COM      | 29382R107 | 605    | 304175  | SH  | DEFINED | 01 | 0 |
| ENTREE GOLD INC COM NPV ISIN # | COM      | 29383G100 | 15     | 5200    | SH  | DEFINED | 01 | 1 |
| ENTROPIC COMMUNICATIONS INC    | COM      | 29384R105 | 22864  | 2381756 | SH  | DEFINED | 01 | 0 |
| ENZON PHARMACEUTICALS INC      | COM      | 293904108 | 859    | 76372   | SH  | DEFINED | 01 | 0 |
| EQUAL ENERGY LTD COMNPV ISIN # | COM      | 29390Q109 | 3      | 749     | SH  | DEFINED | 01 | 1 |
|                                |          |           |        |         |     |         |    |   |
| ENVESTNET INC                  | COM      | 29404K106 | 749    | 71600   | SH  | DEFINED | 01 | 0 |
| ENZO BIOCHEM INC               | COM      | 294100102 | 604    | 159143  | SH  | DEFINED | 01 | 0 |
| ENZO BIOCHEM INC               | COM      | 294100102 | 4      | 1050    | SH  | DEFINED | 01 | 1 |
| EPLUS INC                      | COM      | 294268107 | 8      | 400     | SH  | DEFINED | 01 | 0 |
| EPICOR SOFTWARE CORP           | COM      | 29426L108 | 8627   | 991552  | SH  | DEFINED | 01 | 0 |
| EPICOR SOFTWARE CORP           | COM      | 29426L108 | 8      | 975     | SH  | DEFINED | 01 | 1 |
| EPOCH HOLDING CORP             | COM      | 29428R103 | 14     | 1070    | SH  | DEFINED | 01 | 0 |
| EPOCH HOLDING CORP             | COM      | 29428R103 | 1      | 59      | SH  | DEFINED | 01 | 1 |
| EQUIFAX INC                    | COM      | 294429105 | 1984   | 63610   | SH  | DEFINED | 01 | 0 |
| EQUIFAX INC                    | COM      | 294429105 | 205    | 6559    | SH  | DEFINED | 01 | 0 |
| EQUIFAX INC                    | COM      | 294429105 | 38     | 1231    | SH  | DEFINED | 01 | 1 |
| EQUINIX INC                    | COM      | 29444U502 | 15344  | 149912  | SH  | DEFINED | 01 | 0 |
| EQUINIX INC                    | CONV BND | 29444UAG1 | 4625   | 4190000 | PRN | DEFINED | 01 | 0 |
| EQUITY LIFESTYLE PROPERTIES    | COM      | 29472R108 | 30817  | 565677  | SH  | DEFINED | 01 | 0 |
| EQUITY LIFESTYLE PROPERTIES    | COM      | 29472R108 | 7      | 128     | SH  | DEFINED | 01 | 1 |
| EQUITY ONE INC                 | COM      | 294752100 | 1947   | 115392  | SH  | DEFINED | 01 | 0 |
| EQUITY ONE INC                 | COM      | 294752100 | 3      | 196     | SH  | DEFINED | 01 | 1 |
| EQUUS TOTAL RETURN INC         | COM      | 294766100 | 2      | 898     | SH  | DEFINED | 01 | 1 |
| EQUITY RESIDENTIAL             | COM      | 29476L107 | 196430 | 4129311 | SH  | DEFINED | 01 | 0 |
| EQUITY RESIDENTIAL             | COM      | 29476L107 | 709    | 14898   | SH  | DEFINED | 01 | 0 |
| EQUITY RESIDENTIAL             | COM      | 29476L107 | 541    | 11384   | SH  | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| EQUITY RESIDENTIAL             | COM | 29476L107 | 121    | 2551    | SH | DEFINED | 01 | 1 |
| ERESEARCH TECHNOLOGY INC       | COM | 29481V108 | 1746   | 233369  | SH | DEFINED | 01 | 0 |
| ERICSSON (LM) TEL-SP ADR       | COM | 294821608 | 11678  | 1064572 | SH | DEFINED | 01 | 0 |
| ERICSSON (LM) TEL-SP ADR       | COM | 294821608 | 37     | 3416    | SH | DEFINED | 01 | 1 |
| ERIE INDEMNITY COMPANY-CL A    | COM | 29530P102 | 64     | 1146    | SH | DEFINED | 01 | 0 |
| ERIE INDEMNITY COMPANY-CL A    | COM | 29530P102 | 28     | 500     | SH | DEFINED | 01 | 1 |
| ERSTE GROUP BANK               | COM | 296036304 | 12     | 579     | SH | DEFINED | 01 | 0 |
| ESCO TECHNOLOGIES INC          | COM | 296315104 | 12996  | 390750  | SH | DEFINED | 01 | 0 |
| EURAND NV                      | COM | 296421993 | 14     | 1420    | SH | DEFINED | 01 | 0 |
| ESPRIT HLDGS LTD               | COM | 29666V204 | 9      | 802     | SH | DEFINED | 01 | 0 |
| ESSA BANCORP INC               | COM | 29667D104 | 7497   | 633260  | SH | DEFINED | 01 | 0 |
| ESSEX PROPERTY TRUST INC       | COM | 297178105 | 9573   | 87479   | SH | DEFINED | 01 | 0 |
| ESSEX PROPERTY TRUST INC       | COM | 297178105 | 9      | 78      | SH | DEFINED | 01 | 1 |
| ESSILOR INTL S A ADR           | COM | 297284200 | 95     | 2760    | SH | DEFINED | 01 | 0 |
| ESTERLINE TECHNOLOGIES CORP    | COM | 297425100 | 39223  | 685362  | SH | DEFINED | 01 | 0 |
| DELHAIZE GROUP - SPONS ADR     | COM | 29759W101 | 44     | 612     | SH | DEFINED | 01 | 0 |
| DELHAIZE GROUP - SPONS ADR     | COM | 29759W101 | 95     | 1312    | SH | DEFINED | 01 | 1 |
| ETHAN ALLEN INTERIORS INC      | COM | 297602104 | 3575   | 204740  | SH | DEFINED | 01 | 0 |
| EURASIA DRILLING CO LTD-GDR 14 | COM | 29843U103 | 189    | 8109    | SH | DEFINED | 01 | 0 |
| EURASIA DRILLING CO LTD-GDR 14 | COM | 29843U103 | 12700  | 546224  | SH | DEFINED | 01 | 0 |
| EURONET WORLDWIDE INC          | COM | 298736109 | 102    | 5695    | SH | DEFINED | 01 | 0 |
| EURONET WORLDWIDE INC          | COM | 298736109 | 431    | 23985   | SH | DEFINED | 01 | 1 |
| EUROPEAN AERONAUTIC DEFE       | COM | 29875W100 | 31     | 1258    | SH | DEFINED | 01 | 0 |
| EVERCORE PARTNERS INC-CL A     | COM | 29977A105 | 40     | 1402    | SH | DEFINED | 01 | 0 |
| EVERGREEN ENERGY INCNEW COM NE | COM | 30024B203 | 1      | 670     | SH | DEFINED | 01 | 1 |
| EVERGREEN SOLAR INC            | COM | 30033R108 | 3295   | 4490816 | SH | DEFINED | 01 | 0 |
| EVERGREEN SOLAR INC            | COM | 30033R108 | 61     | 83301   | SH | DEFINED | 01 | 0 |
| EVERGREEN SOLAR INC            | COM | 30033R108 | 10     | 14196   | SH | DEFINED | 01 | 1 |
| EVOLUTION PETROLEUM CORP       | COM | 30049A107 | 2792   | 464548  | SH | DEFINED | 01 | 0 |
| EVRAZ GROUP SA - GDR 144A      | COM | 30050A103 | 195    | 6530    | SH | DEFINED | 01 | 0 |
| EVRAZ GROUP SA - GDR 144A      | COM | 30050A103 | 18255  | 611547  | SH | DEFINED | 01 | 0 |
| EXACT SCIENCES CORP            | COM | 30063P105 | 1221   | 168535  | SH | DEFINED | 01 | 0 |
| EXAR CORP                      | COM | 300645108 | 6543   | 1092453 | SH | DEFINED | 01 | 0 |
| EXAR CORP                      | COM | 300645108 | 8      | 1350    | SH | DEFINED | 01 | 1 |
| EXACTECH INC                   | COM | 30064E109 | 12     | 710     | SH | DEFINED | 01 | 0 |
| EXCEL TRUST INC REIT           | COM | 30068C109 | 11     | 975     | SH | DEFINED | 01 | 0 |
| EXELON CORP                    | COM | 30161N101 | 203562 | 4780729 | SH | DEFINED | 01 | 0 |
| EXELON CORP                    | COM | 30161N101 | 1479   | 34725   | SH | DEFINED | 01 | 0 |
| EXELON CORP                    | COM | 30161N101 | 2091   | 49098   | SH | DEFINED | 01 | 1 |
| EXELIXIS INC                   | COM | 30161Q104 | 35     | 8910    | SH | DEFINED | 01 | 0 |
| EXELIXIS INC                   | COM | 30161Q104 | 7      | 1700    | SH | DEFINED | 01 | 1 |
| EXIDE TECHNOLOGIES WTS EXP 01  | WT  | 302051123 | 0      | 4       | SH | DEFINED | 01 | 1 |
| EXIDE TECHNOLOGIES             | COM | 302051206 | 31     | 6460    | SH | DEFINED | 01 | 0 |
| EXIDE TECHNOLOGIES             | COM | 302051206 | 0      | 1       | SH | DEFINED | 01 | 1 |
| EXLSERVICE HOLDINGS INC        | COM | 302081104 | 12815  | 658893  | SH | DEFINED | 01 | 0 |
| EXPEDIA INC                    | COM | 30212P105 | 3493   | 123761  | SH | DEFINED | 01 | 0 |
| EXPEDIA INC                    | COM | 30212P105 | 308    | 10912   | SH | DEFINED | 01 | 0 |
| EXPEDIA INC                    | COM | 30212P105 | 11     | 389     | SH | DEFINED | 01 | 1 |
| EXPEDITORS INTL WASH INC       | COM | 302130109 | 167507 | 3623308 | SH | DEFINED | 01 | 0 |
| EXPEDITORS INTL WASH INC       | COM | 302130109 | 714    | 15432   | SH | DEFINED | 01 | 0 |
| EXPEDITORS INTL WASH INC       | COM | 302130109 | 174    | 3770    | SH | DEFINED | 01 | 1 |
| EXPONENT INC                   | COM | 30214U102 | 2383   | 70979   | SH | DEFINED | 01 | 0 |
| EXPERIAN PLC                   | COM | 30215C101 | 16     | 1460    | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC            | COM | 302182100 | 192741 | 3957740 | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC            | COM | 302182100 | 1388   | 28507   | SH | DEFINED | 01 | 0 |
| EXPRESS SCRIPTS INC            | COM | 302182100 | 548    | 11246   | SH | DEFINED | 01 | 1 |

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

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| EXPRESS INC                  | COM | 30219E103 | 580    | 38150    | SH | DEFINED | 01 | 0 |
| EXTRA SPACE STORAGE INC      | COM | 30225T102 | 30456  | 1898635  | SH | DEFINED | 01 | 0 |
| EXTERRAN HOLDINGS INC        | COM | 30225X103 | 20517  | 903405   | 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 | 21     | 6804     | SH | DEFINED | 01 | 0 |
| EXTREME NETWORKS INC         | COM | 30226D106 | 9      | 2800     | SH | DEFINED | 01 | 1 |
| EZCORP INC-CL A              | COM | 302301106 | 15559  | 776383   | SH | DEFINED | 01 | 0 |
| EZCORP INC-CL A              | COM | 302301106 | 85     | 4250     | SH | DEFINED | 01 | 1 |
| EXXARO RESOURCES LTD-SP ADR  | COM | 30231D109 | 1      | 80       | SH | DEFINED | 01 | 0 |
| EXXON MOBIL CORP             | COM | 30231G102 | 980544 | 15868980 | SH | DEFINED | 01 | 0 |
| EXXON MOBIL CORP             | COM | 30231G102 | 17582  | 284533   | SH | DEFINED | 01 | 0 |
| EXXON MOBIL CORP             | COM | 30231G102 | 94638  | 1531587  | SH | DEFINED | 01 | 1 |
| EXXON MOBIL CORP             | COM | 30231G102 | 19225  | 311139   | SH | DEFINED | 01 | 1 |
| FBL FINANCIAL GROUP INC-CL A | COM | 30239F106 | 12569  | 483834   | SH | DEFINED | 01 | 0 |
| FEI COMPANY                  | COM | 30241L109 | 3714   | 189766   | SH | DEFINED | 01 | 0 |
| FEI COMPANY                  | COM | 30241L109 | 3      | 145      | SH | DEFINED | 01 | 1 |
| FLIR SYSTEMS INC             | COM | 302445101 | 8989   | 349727   | SH | DEFINED | 01 | 0 |
| FLIR SYSTEMS INC             | COM | 302445101 | 213    | 8305     | SH | DEFINED | 01 | 0 |
| FLIR SYSTEMS INC             | COM | 302445101 | 9020   | 329519   | SH | DEFINED | 01 | 1 |
| FLIR SYSTEMS INC             | COM | 302445101 | 311    | 12090    | SH | DEFINED | 01 | 1 |
| FBR CAPITAL MARKETS CORP     | COM | 30247C301 | 19     | 6090     | SH | DEFINED | 01 | 0 |
| FMC CORP                     | COM | 302491303 | 6417   | 93810    | SH | DEFINED | 01 | 0 |
| FMC CORP                     | COM | 302491303 | 260    | 3804     | SH | DEFINED | 01 | 0 |
| FMC CORP                     | COM | 302491303 | 5      | 72       | SH | DEFINED | 01 | 1 |
| FMC TECHNOLOGIES INC         | COM | 30249U101 | 231037 | 3383172  | SH | DEFINED | 01 | 0 |
| FMC TECHNOLOGIES INC         | COM | 30249U101 | 431    | 6314     | SH | DEFINED | 01 | 0 |
| FMC TECHNOLOGIES INC         | COM | 30249U101 | 22     | 321      | SH | DEFINED | 01 | 1 |
| FNB UNITED CORP COM          | COM | 302519103 | 0      | 512      | SH | DEFINED | 01 | 1 |
| FNB CORP                     | COM | 302520101 | 99     | 11512    | SH | DEFINED | 01 | 0 |
| FPIC INSURANCE GROUP INC     | COM | 302563101 | 2778   | 79154    | SH | DEFINED | 01 | 0 |
| FSI INTL INC                 | COM | 302633102 | 7      | 2525     | SH | DEFINED | 01 | 0 |
| FX ENERGY INC                | COM | 302695101 | 15     | 3525     | SH | DEFINED | 01 | 0 |
| FTI CONSULTING INC           | COM | 302941109 | 24413  | 703770   | SH | DEFINED | 01 | 0 |
| FTI CONSULTING INC           | COM | 302941109 | 10     | 276      | SH | DEFINED | 01 | 1 |
| FACTSET RESEARCH SYSTEMS INC | COM | 303075105 | 9482   | 116880   | SH | DEFINED | 01 | 0 |
| FACTSET RESEARCH SYSTEMS INC | COM | 303075105 | 19     | 236      | SH | DEFINED | 01 | 1 |
| FAIR ISAAC CORP              | COM | 303250104 | 25274  | 1024881  | SH | DEFINED | 01 | 0 |
| FAIR ISAAC CORP              | COM | 303250104 | 1      | 22       | SH | DEFINED | 01 | 1 |
| FAIRCHILD SEMICON INTERNATIO | COM | 303726103 | 15324  | 1630293  | SH | DEFINED | 01 | 0 |
| FAIRFAX FINANCIAL HLDGS LTD  | COM | 303901102 | 8539   | 20990    | SH | DEFINED | 01 | 0 |
| FAIRPOINT COMMUNICATIONS INC | COM | 305560104 | 0      | 11634    | SH | DEFINED | 01 | 0 |
| FAIRPOINT COMMUNICATIONS INC | COM | 305560104 | 0      | 164      | SH | DEFINED | 01 | 0 |
| FALCONSTOR SOFTWARE INC      | COM | 306137100 | 9      | 3135     | SH | DEFINED | 01 | 0 |
| FAMILY DOLLAR STORES         | COM | 307000109 | 42331  | 958562   | SH | DEFINED | 01 | 0 |
| FAMILY DOLLAR STORES         | COM | 307000109 | 308    | 6974     | SH | DEFINED | 01 | 0 |
| FAMILY DOLLAR STORES         | COM | 307000109 | 31     | 694      | SH | DEFINED | 01 | 1 |
| FANUC LTD JAPAN              | COM | 307305102 | 33     | 524      | SH | DEFINED | 01 | 0 |
| FARMER BROS CO               | COM | 307675108 | 9      | 537      | SH | DEFINED | 01 | 0 |
| FARMERS CAPITAL BANK CORP    | COM | 309562106 | 13     | 2630     | SH | DEFINED | 01 | 0 |
| FARO TECHNOLOGIES INC        | COM | 311642102 | 21785  | 998822   | SH | DEFINED | 01 | 0 |
| FAST RETAILING CO LTD        | COM | 31188H101 | 13     | 950      | SH | DEFINED | 01 | 0 |
| FASTENAL CO                  | COM | 311900104 | 20538  | 386112   | SH | DEFINED | 01 | 0 |
| FASTENAL CO                  | COM | 311900104 | 412    | 7751     | SH | DEFINED | 01 | 0 |
| FASTENAL CO                  | COM | 311900104 | 6338   | 154000   | SH | DEFINED | 01 | 1 |
| FASTENAL CO                  | COM | 311900104 | 236    | 4436     | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |    |         |      |
|--------------------------------|----------|-----------|--------|----------|----|---------|------|
| FEDERAL AGRIC MTG CORP-CL C    | COM      | 313148306 | 197    | 18125    | SH | DEFINED | 01 0 |
| FREDDIE MAC                    | COM      | 313400301 | 0      | 1376     | SH | DEFINED | 01 0 |
| FREDDIE MAC                    | COM      | 313400301 | 25     | 83749    | SH | DEFINED | 01 1 |
| FEDERAL-MOGUL CORP             | COM      | 313549404 | 19     | 980      | SH | DEFINED | 01 0 |
| FANNIE MAE                     | COM      | 313586109 | 1      | 2538     | SH | DEFINED | 01 0 |
| FANNIE MAE                     | COM      | 313586109 | 3      | 12535    | SH | DEFINED | 01 1 |
| FEDERAL NATL MTG ASSN FOR F    | PRF      | 313586745 | 7      | 17500    | SH | DEFINED | 01 1 |
| FEDERAL REALTY INVS TRUST - RE | COM      | 313747206 | 50228  | 615093   | SH | DEFINED | 01 0 |
| FEDERAL REALTY INVS TRUST - RE | COM      | 313747206 | 36     | 436      | SH | DEFINED | 01 1 |
| FEDERAL SIGNAL CORP            | COM      | 313855108 | 1584   | 294013   | SH | DEFINED | 01 0 |
| FEDERATED INVESTORS INC-CL B   | COM      | 314211103 | 31813  | 1397785  | SH | DEFINED | 01 0 |
| FEDERATED INVESTORS INC-CL B   | COM      | 314211103 | 110    | 4814     | SH | DEFINED | 01 0 |
| FEDERATED INVESTORS INC-CL B   | COM      | 314211103 | 8      | 341      | SH | DEFINED | 01 1 |
| FEDERATED PREMIER INTER MUN    | COM      | 31423M105 | 103    | 7195     | SH | DEFINED | 01 1 |
| FEDEX CORP                     | COM      | 31428X106 | 46069  | 538822   | SH | DEFINED | 01 0 |
| FEDEX CORP                     | COM      | 31428X106 | 1412   | 16520    | SH | DEFINED | 01 0 |
| FEDEX CORP                     | COM      | 31428X106 | 596    | 6970     | SH | DEFINED | 01 1 |
| FELCOR LODGING TRUST INC       | COM      | 31430F101 | 7907   | 1718785  | SH | DEFINED | 01 0 |
| FELCOR LODGING TRUST INC       | COM      | 31430F101 | 19     | 4200     | SH | DEFINED | 01 0 |
| FELCOR LODGING TRUST INC       | COM      | 31430F101 | 12     | 2650     | SH | DEFINED | 01 1 |
| FELCOR LODGING TR \$1.95 SER   | PRF      | 31430F200 | 22     | 1000     | SH | DEFINED | 01 1 |
| FEMALE HEALTH COMPANY          | COM      | 314462102 | 7      | 1375     | SH | DEFINED | 01 0 |
| FERRELLGAS PARTNERS L P UNIT L | COM      | 315293100 | 172    | 6805     | SH | DEFINED | 01 1 |
| FERRO CORP                     | COM      | 315405100 | 12974  | 1006523  | SH | DEFINED | 01 0 |
| FERRO CORP                     | COM      | 315405100 | 84     | 6483     | SH | DEFINED | 01 1 |
| F5 NETWORKS INC                | COM      | 315616102 | 179940 | 1733375  | SH | DEFINED | 01 0 |
| F5 NETWORKS INC                | COM      | 315616102 | 188    | 1811     | SH | DEFINED | 01 1 |
| FIAT SPA-SPONS ADR             | COM      | 315621888 | 28     | 1810     | SH | DEFINED | 01 0 |
| FIBERTOWER CORP                | COM      | 31567R209 | 14     | 3275     | SH | DEFINED | 01 0 |
| FIBERTOWER CORP                | COM      | 31567R209 | 1      | 275      | SH | DEFINED | 01 1 |
| VOTORANTIM CELULOSE-SPON ADR   | COM      | 31573A109 | 228    | 13185    | SH | DEFINED | 01 0 |
| VOTORANTIM CELULOSE-SPON ADR   | COM      | 31573A109 | 15450  | 893558   | SH | DEFINED | 01 0 |
| VOTORANTIM CELULOSE-SPON ADR   | COM      | 31573A109 | 25702  | 1486529  | SH | DEFINED | 01 1 |
| VOTORANTIM CELULOSE-SPON ADR   | COM      | 31573A109 | 6      | 352      | SH | DEFINED | 01 1 |
| FIDELITY NATIONAL INFORMATIO   | COM      | 31620M106 | 33817  | 1246420  | SH | DEFINED | 01 0 |
| FIDELITY NATIONAL INFORMATIO   | COM      | 31620M106 | 376    | 13856    | SH | DEFINED | 01 0 |
| FIDELITY NATIONAL INFORMATIO   | COM      | 31620M106 | 51     | 1900     | SH | DEFINED | 01 1 |
| FIDELITY NATIONAL INFORMATIO   | COM      | 31620M106 | 79     | 2929     | SH | DEFINED | 01 1 |
| FIDELITY NATIONAL FINL-A       | COM      | 31620R105 | 8851   | 563363   | SH | DEFINED | 01 0 |
| FIDELITY NATIONAL FINL-A       | COM      | 31620R105 | 77     | 4913     | SH | DEFINED | 01 1 |
| FIDELITY SOUTHERN CORP NEW     | COM      | 316394105 | 7      | 1140     | SH | DEFINED | 01 1 |
| FIDUCIARY / CLAYMOREMLP OPPORT | COM      | 31647Q106 | 63     | 3250     | SH | DEFINED | 01 1 |
| FIFTH THIRD BANCORP            | COM      | 316773100 | 154732 | 12862258 | SH | DEFINED | 01 0 |
| FIFTH THIRD BANCORP            | COM      | 316773100 | 503    | 41849    | SH | DEFINED | 01 0 |
| FIFTH THIRD BANCORP            | COM      | 316773100 | 296    | 24569    | SH | DEFINED | 01 1 |
| FIFTH THIRD BANCORP            | CONV PRF | 316773209 | 22551  | 176000   | SH | DEFINED | 01 0 |
| FIFTH STREET FINANCE CORP      | COM      | 31678A103 | 40     | 3560     | SH | DEFINED | 01 0 |
| FIFTH STREET FINANCE CORP      | COM      | 31678A103 | 46     | 4150     | SH | DEFINED | 01 1 |
| FITB 7 1/4 PFD 11/15/67        | PRF      | 31678V206 | 148    | 5994     | SH | DEFINED | 01 0 |
| 51JOB INC ADR EA REP2 ORD USD0 | COM      | 316827104 | 43     | 1150     | SH | DEFINED | 01 1 |
| FINANCIAL ENGINES INC          | COM      | 317485100 | 1866   | 140550   | SH | DEFINED | 01 0 |
| FINANCIAL INSTITUTIONS INC     | COM      | 317585404 | 23     | 1300     | SH | DEFINED | 01 0 |
| FINISAR CORPORATION            | COM      | 31787A507 | 16640  | 885570   | SH | DEFINED | 01 0 |
| FINISAR CORPORATION            | COM      | 31787A507 | 165    | 8783     | SH | DEFINED | 01 0 |
| FINISAR CORPORATION            | COM      | 31787A507 | 9      | 467      | SH | DEFINED | 01 1 |
| FINISH LINE/THE - CL A         | COM      | 317923100 | 40964  | 2944950  | SH | DEFINED | 01 0 |

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

|                                 |     |           |       |         |    |         |    |   |
|---------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| FINMECCANICA SPA                | COM | 318027208 | 9     | 1500    | SH | DEFINED | 01 | 0 |
| FIRST AMERICAN FINANCIAL        | COM | 31847R102 | 5650  | 378165  | SH | DEFINED | 01 | 0 |
| FIRST AMERICAN FINANCIAL        | COM | 31847R102 | 67    | 4477    | SH | DEFINED | 01 | 1 |
| FIRST BANCORP INC/ME            | COM | 31866P102 | 80    | 5795    | SH | DEFINED | 01 | 0 |
| FIRST BANCORP PUERTO RICO       | COM | 318672102 | 432   | 1541774 | SH | DEFINED | 01 | 0 |
| FIRST BANCORP/NC                | COM | 318910106 | 283   | 20797   | SH | DEFINED | 01 | 0 |
| FIRST BUSEY CORP                | COM | 319383105 | 1285  | 282213  | SH | DEFINED | 01 | 0 |
| FIRST CASH FINL SVCS INC        | COM | 31942D107 | 4192  | 151065  | SH | DEFINED | 01 | 0 |
| FIRST CASH FINL SVCS INC        | COM | 31942D107 | 2     | 55      | SH | DEFINED | 01 | 1 |
| FIRST CITIZENS BCSHS -CL A      | COM | 31946M103 | 20281 | 109467  | SH | DEFINED | 01 | 0 |
| FIRST COMMONWEALTH FINL CORP    | COM | 319829107 | 14097 | 2586711 | SH | DEFINED | 01 | 0 |
| FIRST COMMUNITY BANCSHARES      | COM | 31983A103 | 103   | 8015    | SH | DEFINED | 01 | 0 |
| FIRST DEFIANCE FINL CORP        | COM | 32006W106 | 1     | 140     | SH | DEFINED | 01 | 0 |
| FIRST FINANCIAL BANCORP         | COM | 320209109 | 5871  | 352036  | SH | DEFINED | 01 | 0 |
| FIRST FINL BANKSHARES INC       | COM | 32020R109 | 4674  | 99454   | SH | DEFINED | 01 | 0 |
| FIRST FINANCIAL CORP INDIANA    | COM | 320218100 | 13669 | 463375  | SH | DEFINED | 01 | 0 |
| FIRST FINANCIAL CORP INDIANA    | COM | 320218100 | 46    | 1572    | SH | DEFINED | 01 | 1 |
| FIRST FINANCIAL HOLDINGS INC    | COM | 320239106 | 31    | 2748    | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL CORP     | COM | 320517105 | 18206 | 1595603 | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL CORP     | COM | 320517105 | 139   | 12213   | SH | DEFINED | 01 | 0 |
| FIRST HORIZON NATIONAL CORP     | COM | 320517105 | 26    | 2284    | SH | DEFINED | 01 | 1 |
| FIRST INDUSTRIAL REALTY TR      | COM | 32054K103 | 7966  | 1571023 | SH | DEFINED | 01 | 0 |
| FIRST INDUSTRIAL REALTY TR      | COM | 32054K103 | 1     | 100     | SH | DEFINED | 01 | 1 |
| FIRST INTERSTATE BANCYS/MT      | COM | 32055Y201 | 11    | 825     | SH | DEFINED | 01 | 0 |
| FIRST OF LONG ISLAND CORP       | COM | 320734106 | 66    | 2668    | SH | DEFINED | 01 | 0 |
| FIRST MARBLEHEAD CORP/THE       | COM | 320771108 | 12    | 5220    | SH | DEFINED | 01 | 0 |
| FIRST MARBLEHEAD CORP/THE       | COM | 320771108 | 2     | 1012    | SH | DEFINED | 01 | 1 |
|                                 |     |           |       |         |    |         |    |   |
| FIRST MERCHANTS CORP            | COM | 320817109 | 126   | 16614   | SH | DEFINED | 01 | 0 |
| FIRST MERCURY FINANCIAL CORP    | COM | 320841109 | 15202 | 1508080 | SH | DEFINED | 01 | 0 |
| FIRST MERCURY FINANCIAL CORP    | COM | 320841109 | 0     | 2       | SH | DEFINED | 01 | 1 |
| FIRST MIDWEST BANCORP INC/IL    | COM | 320867104 | 4338  | 376273  | SH | DEFINED | 01 | 0 |
| FIRST MIDWEST BANCORP INC/IL    | COM | 320867104 | 2     | 149     | SH | DEFINED | 01 | 1 |
| FIRST NATIONAL BANK ALASKA      | COM | 32112J106 | 6088  | 3211    | SH | DEFINED | 01 | 0 |
| FIRST NIAGARA FINANCIAL GRP     | COM | 33582V108 | 23438 | 2011897 | SH | DEFINED | 01 | 0 |
| FIRST NIAGARA FINANCIAL GRP     | COM | 33582V108 | 30    | 2554    | SH | DEFINED | 01 | 0 |
| FIRST NIAGARA FINANCIAL GRP     | COM | 33582V108 | 89    | 7644    | SH | DEFINED | 01 | 1 |
| FIRST PAC LTD                   | COM | 335889200 | 1     | 310     | SH | DEFINED | 01 | 0 |
| FIRST POTOMAC REALTY TRUST      | COM | 33610F109 | 11512 | 767525  | SH | DEFINED | 01 | 0 |
| FIRST POTOMAC REALTY TRUST      | COM | 33610F109 | 149   | 9920    | SH | DEFINED | 01 | 1 |
| FIRST SOLAR INC                 | COM | 336433107 | 23384 | 158691  | SH | DEFINED | 01 | 0 |
| FIRST SOLAR INC                 | COM | 336433107 | 757   | 5139    | SH | DEFINED | 01 | 0 |
| FIRST SOLAR INC                 | COM | 336433107 | 362   | 2457    | SH | DEFINED | 01 | 1 |
| FIRST SOUTH BANCORP INC /NC     | COM | 33646W100 | 6     | 670     | SH | DEFINED | 01 | 0 |
| 1ST SOURCE CORP                 | COM | 336901103 | 103   | 5995    | SH | DEFINED | 01 | 0 |
| 1ST SOURCE CORP                 | COM | 336901103 | 26    | 1469    | SH | DEFINED | 01 | 1 |
| FIRST TR MORNINGSTAR DIVID LEAD | COM | 336917109 | 144   | 9514    | SH | DEFINED | 01 | 1 |
| FIRST TR ENHANCED EQUITY INC    | COM | 337318109 | 47    | 3964    | SH | DEFINED | 01 | 1 |
| FIRST TR / ABERDEEN GLOBAL OPP  | COM | 337319107 | 44    | 2428    | SH | DEFINED | 01 | 1 |
| FIRST TR ISE CHINDIA IN         | COM | 33733A102 | 280   | 11240   | SH | DEFINED | 01 | 1 |
| FIRST TR ISE WTR INDEX FD       | COM | 33733B100 | 14    | 753     | SH | DEFINED | 01 | 1 |
| FIRST TR MULTI CAP VALUE ALPH   | COM | 33733C108 | 18    | 690     | SH | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD     | COM | 33733E203 | 353   | 10114   | SH | DEFINED | 01 | 1 |
| FIRST TR NASDAQ CLEAN EDGE      | COM | 33733E500 | 28    | 1850    | SH | DEFINED | 01 | 1 |
| FIRST TR MULTI CAP GROWTH ALP   | COM | 33733F101 | 19    | 696     | SH | DEFINED | 01 | 1 |
| FIRST TR BICK INDEX FD COM SHS  | COM | 33733H107 | 721   | 22800   | SH | DEFINED | 01 | 1 |
| FIRST TR ISE GLOBAL COPPER IND  | COM | 33733J103 | 88    | 2610    | SH | DEFINED | 01 | 1 |

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

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| FIRST TR / FOUR CORNERS SR     | COM      | 33733U108 | 86    | 6543    | SH  | DEFINED | 01 | 1 |
| FIRST TRUST/FIDAC MTG INCOME   | COM      | 33734E103 | 406   | 18652   | SH  | DEFINED | 01 | 1 |
| FIRST TR S&P 103 INDEX FD      | COM      | 33734G108 | 96    | 6895    | SH  | DEFINED | 01 | 1 |
| FIRST TR VALUE LINE DIVID INDE | COM      | 33734H106 | 54    | 3799    | SH  | DEFINED | 01 | 1 |
| FIRST TR ISE REVERSE NAT       | COM      | 33734J102 | 209   | 12728   | SH  | DEFINED | 01 | 1 |
| FIRST TR LARGE CAP CORE ALPHA  | COM      | 33734K109 | 763   | 30477   | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X101 | 89    | 5218    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X119 | 40    | 2062    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X127 | 87    | 5092    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X135 | 99    | 7341    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X143 | 164   | 7024    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X150 | 8     | 512     | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X168 | 29    | 1415    | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X176 | 415   | 21385   | SH  | DEFINED | 01 | 1 |
| FIRST TR EXCHANGE TRADED FD    | COM      | 33734X184 | 44    | 2702    | SH  | DEFINED | 01 | 1 |
| FIRST TR SMALL CAP CORE ALPHA  | COM      | 33734Y109 | 237   | 9131    | 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 | 70    | 2447    | SH  | DEFINED | 01 | 1 |
| FIRST TR VALUE LINE 100 EXCHAN | COM      | 33735G107 | 39    | 3363    | SH  | DEFINED | 01 | 1 |
| FIRST TR LARGE CAP GROWTH OPP  | COM      | 33735K108 | 17    | 665     | SH  | DEFINED | 01 | 1 |
| FIRST TR ISE GLOBAL WIND ENERG | COM      | 33736G106 | 26    | 2500    | SH  | DEFINED | 01 | 1 |
| FIRST TR ISE GLOBAL ENGR & CON | COM      | 33736M103 | 242   | 6122    | SH  | DEFINED | 01 | 1 |
| FIRST TR FTSE EPRA NA103 DEVE  | COM      | 33736N101 | 527   | 15494   | SH  | DEFINED | 01 | 1 |
| FIRST TR NASDAQ CLEAN EDGE     | COM      | 33737A108 | 18    | 587     | SH  | DEFINED | 01 | 1 |
| 1ST UNITED BANCORP INC/NORTH   | COM      | 33740N105 | 9     | 1425    | SH  | DEFINED | 01 | 0 |
| 1ST UNITED BANCORP INC/NORTH   | COM      | 33740N105 | 6     | 1000    | SH  | DEFINED | 01 | 1 |
| FIRSTSERVICE CORPORATION-VTG   | COM      | 33761N109 | 2032  | 84250   | SH  | DEFINED | 01 | 0 |
| FISERV INC                     | COM      | 337738108 | 5105  | 94843   | SH  | DEFINED | 01 | 0 |
| FISERV INC                     | COM      | 337738108 | 424   | 7880    | SH  | DEFINED | 01 | 0 |
| FISERV INC                     | COM      | 337738108 | 62352 | 1158986 | SH  | DEFINED | 01 | 1 |
| FISERV INC                     | COM      | 337738108 | 323   | 5994    | SH  | DEFINED | 01 | 1 |
| FISHER COMMUNICATIONS INC      | COM      | 337756209 | 14    | 745     | SH  | DEFINED | 01 | 0 |
| FIRSTMERIT CORP                | COM      | 337915102 | 4943  | 269891  | SH  | DEFINED | 01 | 0 |
| FIRSTMERIT CORP                | COM      | 337915102 | 6     | 314     | SH  | DEFINED | 01 | 1 |
| FLAGSTAR BANCORP INC           | COM      | 337930507 | 6     | 3076    | SH  | DEFINED | 01 | 0 |
| FLAGSTAR BANCORP INC           | COM      | 337930507 | 1     | 510     | SH  | DEFINED | 01 | 1 |
| FIRSTENERGY CORP               | COM      | 337932107 | 68948 | 1789037 | SH  | DEFINED | 01 | 0 |
| FIRSTENERGY CORP               | COM      | 337932107 | 617   | 16018   | SH  | DEFINED | 01 | 0 |
| FIRSTENERGY CORP               | COM      | 337932107 | 784   | 20341   | SH  | DEFINED | 01 | 1 |
| THERMO FISHER SCIENTIFIC INC   | CONV BND | 338032AX3 | 6208  | 4947000 | PRN | DEFINED | 01 | 0 |
| FIVE STAR QUALITY CARE         | COM      | 33832D106 | 11    | 2275    | SH  | DEFINED | 01 | 0 |
| FIVE STAR QUALITY CARE         | COM      | 33832D106 | 0     | 8       | SH  | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE / CLAYMORE | COM      | 338478100 | 87    | 5131    | SH  | DEFINED | 01 | 1 |
| FLAHERTY CRUMINE/CLAYMORE T    | COM      | 338479108 | 29    | 1595    | SH  | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE PFD INCOME | COM      | 338480106 | 9     | 686     | SH  | DEFINED | 01 | 1 |
| FLAMEL TECHNOLOGIES-SP ADR     | COM      | 338488109 | 0     | 10      | SH  | DEFINED | 01 | 0 |
| FLAMEL TECHNOLOGIES-SP ADR     | COM      | 338488109 | 11    | 1500    | SH  | DEFINED | 01 | 1 |
| FLAHERTY & CRUMRINE PFD INCOME | COM      | 33848E106 | 1     | 100     | SH  | DEFINED | 01 | 1 |
| FLANDERS CORPORATION           | COM      | 338494107 | 6893  | 2259890 | SH  | DEFINED | 01 | 0 |
| FLASHPOINT TECHNOLOGY          | COM      | 33899A979 | 0     | 246914  | SH  | DEFINED | 01 | 0 |
| FLEETWOOD ENTERPRISES          | COM      | 339099103 | 0     | 70      | SH  | DEFINED | 01 | 0 |
| FLOTEK INDS INC DEL            | COM      | 343389102 | 0     | 100     | SH  | DEFINED | 01 | 1 |
| FLUOR CORP                     | COM      | 343412102 | 94953 | 1917021 | SH  | DEFINED | 01 | 0 |
| FLUOR CORP                     | COM      | 343412102 | 596   | 12031   | SH  | DEFINED | 01 | 0 |
| FLUOR CORP                     | COM      | 343412102 | 214   | 4316    | SH  | DEFINED | 01 | 1 |
| FLOW INTL CORP                 | COM      | 343468104 | 8     | 3195    | SH  | DEFINED | 01 | 0 |



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

|                                |          |           |         |           |     |         |    |   |
|--------------------------------|----------|-----------|---------|-----------|-----|---------|----|---|
| FLOW INTL CORP                 | COM      | 343468104 | 0       | 100       | SH  | DEFINED | 01 | 1 |
| FLOWERS FOODS INC              | COM      | 343498101 | 6150    | 247641    | SH  | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 | COM      | 34354P105 | 46562   | 425523    | SH  | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 | COM      | 34354P105 | 4057    | 37078     | SH  | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 | COM      | 34354P105 | 415     | 3792      | SH  | DEFINED | 01 | 0 |
| FLOWSERVE CORP                 | COM      | 34354P105 | 117689  | 1075576   | SH  | DEFINED | 01 | 1 |
| FLOWSERVE CORP                 | COM      | 34354P105 | 826     | 7548      | SH  | DEFINED | 01 | 1 |
| FLSMIDTH & CO A/S-UNSPON ADR   | COM      | 343793105 | 2       | 240       | SH  | DEFINED | 01 | 0 |
| FLUSHING FINANCIAL CORP        | COM      | 343873105 | 408     | 35173     | SH  | DEFINED | 01 | 0 |
| FLUSHING FINANCIAL CORP        | COM      | 343873105 | 29      | 2516      | SH  | DEFINED | 01 | 1 |
| FLY LEASING LTD-ADR            | COM      | 34407D109 | 9006    | 682251    | SH  | DEFINED | 01 | 0 |
| FLY LEASING LTD-ADR            | COM      | 34407D109 | 26      | 2000      | SH  | DEFINED | 01 | 1 |
| FOCUS MEDIA HOLDING-ADR        | COM      | 34415V109 | 4665    | 192000    | SH  | DEFINED | 01 | 0 |
| FOCUS MEDIA HOLDING-ADR        | COM      | 34415V109 | 7953    | 327289    | SH  | DEFINED | 01 | 0 |
| FOCUS MEDIA HOLDING-ADR        | COM      | 34415V109 | 11231   | 463481    | SH  | DEFINED | 01 | 1 |
| FOCUS MEDIA HOLDING-ADR        | COM      | 34415V109 | 2       | 100       | SH  | DEFINED | 01 | 1 |
| FOMENTO ECONOMICO MEX-SP ADR   | COM      | 344419106 | 9549    | 188251    | SH  | DEFINED | 01 | 0 |
| FOMENTO ECONOMICO MEX-SP ADR   | COM      | 344419106 | 3       | 62        | SH  | DEFINED | 01 | 1 |
| FONAR CORP COM NEW             | COM      | 344437405 | 1       | 408       | SH  | DEFINED | 01 | 1 |
| FOOT LOCKER INC                | COM      | 344849104 | 105035  | 7228900   | SH  | DEFINED | 01 | 0 |
| FOOT LOCKER INC                | COM      | 344849104 | 266     | 18306     | SH  | DEFINED | 01 | 0 |
| FOOT LOCKER INC                | COM      | 344849104 | 73746   | 5075413   | SH  | DEFINED | 01 | 1 |
| FOOT LOCKER INC                | COM      | 344849104 | 3       | 182       | SH  | DEFINED | 01 | 1 |
| FOOTSTAR INC                   | COM      | 344912209 | 0       | 20        | SH  | DEFINED | 01 | 0 |
| FORCE PROTECTION INC           | COM      | 345203202 | 3777    | 749219    | SH  | DEFINED | 01 | 0 |
| FORCE PROTECTION INC           | COM      | 345203202 | 5       | 920       | SH  | DEFINED | 01 | 1 |
| FORD MOTOR CO                  | COM      | 345370860 | 214344  | 17511700  | SH  | DEFINED | 01 | 0 |
| FORD MOTOR CO                  | COM      | 345370860 | 2421    | 197769    | SH  | DEFINED | 01 | 0 |
| FORD MOTOR CO                  | COM      | 345370860 | 7096    | 579773    | SH  | DEFINED | 01 | 1 |
| FORD MOTOR CO                  | CONV BND | 345370CN8 | 1481841 | 100031000 | PRN | DEFINED | 01 | 0 |
| FORD MOTOR CO                  | CONV BND | 345370CN8 | 98      | 66000     | PRN | DEFINED | 01 | 0 |
| FORD MOTOR COM CAPITAL TRUST I | CONV PRF | 345395206 | 49983   | 1041125   | SH  | DEFINED | 01 | 0 |
| FORD MOTOR COM CAPITAL TRUST I | CONV PRF | 345395206 | 370     | 7730      | SH  | DEFINED | 01 | 1 |
| FOREST CITY ENTERPRISES-CL A   | COM      | 345550107 | 4628    | 360644    | SH  | DEFINED | 01 | 0 |
| FOREST CITY ENTERPRISES-CL A   | COM      | 345550107 | 126     | 9812      | SH  | DEFINED | 01 | 1 |
| FOREST CITY ENTERPRISES INC    | CONV BND | 345550AK3 | 3056    | 2880000   | PRN | DEFINED | 01 | 0 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 76262   | 2465625   | SH  | DEFINED | 01 | 0 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 464     | 15002     | SH  | DEFINED | 01 | 0 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 1160    | 37515     | SH  | DEFINED | 01 | 1 |
| FOREST LABORATORIES INC        | COM      | 345838106 | 225     | 7267      | SH  | DEFINED | 01 | 1 |
| FOREST OIL CORP                | COM      | 346091705 | 45124   | 1519370   | SH  | DEFINED | 01 | 0 |
| FORESTAR REAL ESTATE GROUP     | COM      | 346233109 | 3008    | 176398    | SH  | DEFINED | 01 | 0 |
| FORMFACTOR INC                 | COM      | 346375108 | 27492   | 3196715   | SH  | DEFINED | 01 | 0 |
| FORMFACTOR INC                 | COM      | 346375108 | 498     | 57963     | SH  | DEFINED | 01 | 0 |
| FORMULA SYSTEMS 1985-SP ADR    | COM      | 346414105 | 3       | 210       | SH  | DEFINED | 01 | 0 |
| FORMULA SYSTEMS 1985-SP ADR    | COM      | 346414105 | 23      | 1600      | SH  | DEFINED | 01 | 1 |
| FORRESTER RESEARCH INC         | COM      | 346563109 | 24281   | 734035    | SH  | DEFINED | 01 | 0 |
| FORT DEARBORN INCOME SEC       | COM      | 347200107 | 3       | 200       | SH  | DEFINED | 01 | 1 |
| AGEAS -SPON ADR                | COM      | 34956J309 | 15      | 5090      | SH  | DEFINED | 01 | 0 |
| FORTRESS INVESTMENT GRP-CL A   | LP       | 34958B106 | 718     | 200079    | SH  | DEFINED | 01 | 0 |
| FORTRESS INVESTMENT GRP-CL A   | LP       | 34958B106 | 18      | 5034      | SH  | DEFINED | 01 | 0 |
| FORTINET INC                   | COM      | 34959E109 | 14035   | 561363    | SH  | DEFINED | 01 | 0 |
| FORTUM OYJ                     | COM      | 34959F106 | 12      | 2350      | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 4196    | 85225     | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 394     | 8008      | SH  | DEFINED | 01 | 0 |
| FORTUNE BRANDS INC             | COM      | 349631101 | 170     | 3460      | SH  | DEFINED | 01 | 1 |

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

|                                   |     |           |        |         |    |         |    |   |
|-----------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| FORTUNE BRANDS INC PFD CONV \$    | PRF | 349631200 | 36     | 111     | SH | DEFINED | 01 | 1 |
| FORWARD AIR CORPORATION           | COM | 349853101 | 15813  | 608157  | SH | DEFINED | 01 | 0 |
| FORWARD AIR CORPORATION           | COM | 349853101 | 31     | 1202    | SH | DEFINED | 01 | 0 |
| FORWARD AIR CORPORATION           | COM | 349853101 | 14     | 549     | SH | DEFINED | 01 | 1 |
| FOSSIL INC                        | COM | 349882100 | 12735  | 236764  | SH | DEFINED | 01 | 0 |
| FOSSIL INC                        | COM | 349882100 | 27     | 500     | SH | DEFINED | 01 | 1 |
| FOSTER (LB) CO -CL A              | COM | 350060109 | 7232   | 249923  | SH | DEFINED | 01 | 0 |
| FOSTERS GROUP LTD                 | COM | 350258307 | 31     | 5280    | SH | DEFINED | 01 | 0 |
| FOX CHASE BANCORP INC             | COM | 35137T108 | 3      | 344     | SH | DEFINED | 01 | 0 |
| FOX CHASE BANCORP INC             | COM | 35137T108 | 1      | 53      | SH | DEFINED | 01 | 1 |
| FOXCONN INTL HLDGS LTD            | COM | 351649108 | 1      | 50      | SH | DEFINED | 01 | 0 |
| FRANCE TELECOM SA-SPONS ADR       | COM | 35177Q105 | 169    | 7870    | SH | DEFINED | 01 | 0 |
| FRANCE TELECOM SA-SPONS ADR       | COM | 35177Q105 | 9      | 432     | SH | DEFINED | 01 | 1 |
| FRANKLIN COVEY CO                 | COM | 353469109 | 13     | 1630    | SH | DEFINED | 01 | 0 |
| FRANKLIN ELECTRIC CO INC          | COM | 353514102 | 5746   | 173294  | SH | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC            | COM | 354613101 | 121402 | 1135651 | SH | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC            | COM | 354613101 | 822    | 7686    | SH | DEFINED | 01 | 0 |
| FRANKLIN RESOURCES INC            | COM | 354613101 | 80     | 750     | SH | DEFINED | 01 | 1 |
| FRANKLIN STREET PROPERTIES C      | COM | 35471R106 | 14822  | 1193496 | SH | DEFINED | 01 | 0 |
| FRANKLIN TEMPLETON LTD DURATI     | COM | 35472T101 | 88     | 6565    | SH | DEFINED | 01 | 1 |
| FRANKLIN UNVL TR SH BEN INT       | COM | 355145103 | 99     | 15250   | SH | DEFINED | 01 | 1 |
|                                   |     |           |        |         |    |         |    |   |
| FRED'S INC-CLASS A                | COM | 356108100 | 8440   | 715362  | SH | DEFINED | 01 | 0 |
| FREEPORT-MCMORAN COPPER           | COM | 35671D857 | 587415 | 6879203 | SH | DEFINED | 01 | 0 |
| FREEPORT-MCMORAN COPPER           | COM | 35671D857 | 2636   | 30859   | SH | DEFINED | 01 | 0 |
| FREEPORT-MCMORAN COPPER           | COM | 35671D857 | 2420   | 28342   | SH | DEFINED | 01 | 1 |
| FREIGHTCAR AMERICA INC            | COM | 357023100 | 7039   | 286176  | SH | DEFINED | 01 | 0 |
| FREIGHTCAR AMERICA INC            | COM | 357023100 | 9      | 380     | SH | DEFINED | 01 | 1 |
| FRESENIUS MEDICAL CARE-ADR        | COM | 358029106 | 64     | 1041    | SH | DEFINED | 01 | 0 |
| FRESENIUS MEDICAL CARE-ADR        | COM | 358029106 | 93     | 1507    | SH | DEFINED | 01 | 1 |
| FRESENIUS KABI PHARMA-CVR RIGH WT | COM | 35802M115 | 0      | 1400    | SH | DEFINED | 01 | 0 |
| FRESENIUS KABI PHARMA-CVR RIGH WT | COM | 35802M115 | 0      | 177     | SH | DEFINED | 01 | 1 |
| FRISCH'S RESTAURANTS INC          | COM | 358748101 | 1163   | 59255   | SH | DEFINED | 01 | 0 |
| FRONTEER GOLD INC COM NPV IS      | COM | 359032109 | 31     | 4320    | SH | DEFINED | 01 | 1 |
| FRONTIER COMMUNICATIONS CORP      | COM | 35906A108 | 31912  | 3906045 | SH | DEFINED | 01 | 0 |
| FRONTIER COMMUNICATIONS CORP      | COM | 35906A108 | 180    | 22067   | SH | DEFINED | 01 | 0 |
| FRONTIER COMMUNICATIONS CORP      | COM | 35906A108 | 461    | 56469   | SH | DEFINED | 01 | 0 |
| FRONTIER COMMUNICATIONS CORP      | COM | 35906A108 | 416    | 51037   | SH | DEFINED | 01 | 1 |
| FRONTIER COMMUNICATIONS CORP      | COM | 35906A108 | 1010   | 123578  | SH | DEFINED | 01 | 1 |
| FRONTIER OIL CORP                 | COM | 35914P105 | 19105  | 1425717 | SH | DEFINED | 01 | 0 |
| FRONTIER OIL CORP                 | COM | 35914P105 | 212    | 15826   | SH | DEFINED | 01 | 0 |
| FRONTIER OIL CORP                 | COM | 35914P105 | 245    | 18270   | SH | DEFINED | 01 | 1 |
| FUEL TECH INC                     | COM | 359523107 | 8      | 1380    | SH | DEFINED | 01 | 0 |
| FUEL TECH INC                     | COM | 359523107 | 85     | 13480   | SH | DEFINED | 01 | 1 |
| FUELCELL ENERGY INC               | COM | 35952H106 | 18     | 14575   | SH | DEFINED | 01 | 0 |
| FUELCELL ENERGY INC               | COM | 35952H106 | 10     | 8340    | SH | DEFINED | 01 | 1 |
| FUEL SYSTEMS SOLUTIONS INC        | COM | 35952W103 | 4216   | 107805  | SH | DEFINED | 01 | 0 |
| FUEL SYSTEMS SOLUTIONS INC        | COM | 35952W103 | 11     | 287     | SH | DEFINED | 01 | 1 |
| FUJI HEAVY INDS LTD               | COM | 359556206 | 11     | 180     | SH | DEFINED | 01 | 0 |
| FUJIFILM HOLDINGS CORP-ADR        | COM | 35958N107 | 170    | 5133    | SH | DEFINED | 01 | 0 |
| FUJITSU LTD                       | COM | 359590304 | 33     | 950     | SH | DEFINED | 01 | 0 |
| H.B. FULLER CO.                   | COM | 359694106 | 36316  | 1827608 | SH | DEFINED | 01 | 0 |
| H.B. FULLER CO.                   | COM | 359694106 | 28     | 1431    | SH | DEFINED | 01 | 1 |
| FUYO GENERAL LEASE CO LTD         | COM | 360121990 | 5525   | 221020  | SH | DEFINED | 01 | 0 |
| FULTON FINANCIAL CORP             | COM | 360271100 | 9178   | 1012940 | SH | DEFINED | 01 | 0 |
| FULTON FINANCIAL CORP             | COM | 360271100 | 213    | 23455   | SH | DEFINED | 01 | 1 |
| FURNITURE BRANDS INTL INC         | COM | 360921100 | 64     | 11955   | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| FUQI INTL INC COM NEW          | COM | 36102A207 | 130    | 20000   | SH | DEFINED | 01 | 1 |
| FURIEX PHARMACEUTICALS         | COM | 36106P101 | 6      | 575     | SH | DEFINED | 01 | 0 |
| FURIEX PHARMACEUTICALS         | COM | 36106P101 | 0      | 36      | SH | DEFINED | 01 | 1 |
| FURMANITE CORP                 | COM | 361086101 | 14     | 2895    | SH | DEFINED | 01 | 0 |
| G & K SERVICES INC -CL A       | COM | 361268105 | 11437  | 500317  | SH | DEFINED | 01 | 0 |
| GAMCO INVESTORS INC-A          | COM | 361438104 | 50     | 1290    | SH | DEFINED | 01 | 0 |
| GAMCO INVESTORS INC-A          | COM | 361438104 | 0      | 2       | SH | DEFINED | 01 | 1 |
| GAM HLDG LTD                   | COM | 36143A109 | 3      | 940     | SH | DEFINED | 01 | 0 |
| GATX CORP                      | COM | 361448103 | 6387   | 217763  | SH | DEFINED | 01 | 0 |
| GATX CORP                      | COM | 361448103 | 23     | 800     | SH | DEFINED | 01 | 1 |
| GEO GROUP INC/THE              | COM | 36159R103 | 31666  | 1356117 | SH | DEFINED | 01 | 0 |
| GEO GROUP INC/THE              | COM | 36159R103 | 10     | 420     | SH | DEFINED | 01 | 1 |
| GDF SUEZ                       | COM | 36160B105 | 193    | 5360    | SH | DEFINED | 01 | 0 |
| GFI GROUP INC                  | COM | 361652209 | 6701   | 1444326 | SH | DEFINED | 01 | 0 |
| GKN PLC                        | COM | 361755606 | 5      | 1880    | SH | DEFINED | 01 | 0 |
| GMAC INC                       | PRF | 36186R209 | 161    | 175     | SH | DEFINED | 01 | 0 |
| GP STRATEGIES CORP             | COM | 36225V104 | 1184   | 130150  | SH | DEFINED | 01 | 0 |
| GSE SYSTEMS INC                | COM | 36227K106 | 501    | 148570  | SH | DEFINED | 01 | 0 |
| G-III APPAREL GROUP LTD        | COM | 36237H101 | 33     | 1045    | SH | DEFINED | 01 | 0 |
|                                |     |           |        |         |    |         |    |   |
| GSI COMMERCE INC               | COM | 36238G102 | 14361  | 581403  | SH | DEFINED | 01 | 0 |
| GSI COMMERCE INC               | COM | 36238G102 | 21     | 843     | SH | DEFINED | 01 | 0 |
| GSI COMMERCE INC               | COM | 36238G102 | 4883   | 197995  | SH | DEFINED | 01 | 1 |
| GSI COMMERCE INC               | COM | 36238G102 | 0      | 11      | SH | DEFINED | 01 | 1 |
| GABELLI EQUITY TR INC          | COM | 362397101 | 148    | 29396   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL MULTIMEDIA      | COM | 36239Q109 | 35     | 4535    | SH | DEFINED | 01 | 1 |
| GT SOLAR INTERNATIONAL INC     | COM | 3623E0209 | 3099   | 370280  | SH | DEFINED | 01 | 0 |
| GT SOLAR INTERNATIONAL INC     | COM | 3623E0209 | 44     | 5300    | SH | DEFINED | 01 | 1 |
| GABELLI UTIL TR                | COM | 36240A101 | 43     | 6830    | SH | DEFINED | 01 | 1 |
| GABELLI CONV & INCOME SEC      | COM | 36240B109 | 7      | 1250    | SH | DEFINED | 01 | 1 |
| GSI TECHNOLOGY INC             | COM | 36241U106 | 16     | 2985    | SH | DEFINED | 01 | 0 |
| GABELLI DIVID & INCOME TR      | COM | 36242H104 | 267    | 19173   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL UTIL & INCOME T | COM | 36242L105 | 14     | 681     | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL GOLD NAT RES &  | COM | 36244N109 | 200    | 11470   | SH | DEFINED | 01 | 1 |
| GABELLI GLOBAL DEAL FD CO      | COM | 36245G103 | 23     | 1657    | SH | DEFINED | 01 | 1 |
| GABELLI HEALTHCARE &WELLNESS T | COM | 36246K103 | 4      | 659     | SH | DEFINED | 01 | 1 |
| GAFISA SA-ADR                  | COM | 362607301 | 14     | 890     | SH | DEFINED | 01 | 0 |
| GAFISA SA-ADR                  | COM | 362607301 | 47     | 3008    | SH | DEFINED | 01 | 1 |
| GAIAM INC-CLASS A              | COM | 36268Q103 | 71     | 10575   | SH | DEFINED | 01 | 0 |
| GALAXY ENTMT GROUP LTD         | COM | 36318L104 | 2      | 180     | SH | DEFINED | 01 | 0 |
| ARTHUR J GALLAGHER & CO        | COM | 363576109 | 38510  | 1460365 | SH | DEFINED | 01 | 0 |
| ARTHUR J GALLAGHER & CO        | COM | 363576109 | 20     | 752     | SH | DEFINED | 01 | 1 |
| GAMMON GOLD INC                | COM | 36467T106 | 5655   | 806770  | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A          | COM | 36467W109 | 96742  | 4908279 | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A          | COM | 36467W109 | 299    | 15179   | SH | DEFINED | 01 | 0 |
| GAMESTOP CORP-CLASS A          | COM | 36467W109 | 177    | 8956    | SH | DEFINED | 01 | 1 |
| GAMESA CORPORACION TECHN       | COM | 36468A106 | 24     | 16980   | SH | DEFINED | 01 | 0 |
| GANNETT CO                     | COM | 364730101 | 21623  | 1768068 | SH | DEFINED | 01 | 0 |
| GANNETT CO                     | COM | 364730101 | 153    | 12534   | SH | DEFINED | 01 | 0 |
| GANNETT CO                     | COM | 364730101 | 62     | 5057    | SH | DEFINED | 01 | 1 |
| GAP INC/THE                    | COM | 364760108 | 115801 | 6212077 | SH | DEFINED | 01 | 0 |
| GAP INC/THE                    | COM | 364760108 | 431    | 23096   | SH | DEFINED | 01 | 0 |
| GAP INC/THE                    | COM | 364760108 | 115    | 6178    | SH | DEFINED | 01 | 1 |
| GARDNER DENVER INC             | COM | 365558105 | 24858  | 463068  | SH | DEFINED | 01 | 0 |
| GARDNER DENVER INC             | COM | 365558105 | 54     | 1000    | SH | DEFINED | 01 | 1 |
| GARTNER INC                    | COM | 366651107 | 19185  | 651679  | SH | DEFINED | 01 | 0 |
| GARTNER INC                    | COM | 366651107 | 0      | 2       | SH | DEFINED | 01 | 1 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| GASTAR EXPLORATION LTD        | COM      | 367299203 | 1651   | 410950   | SH  | DEFINED | 01 | 0 |
| GAYLORD ENTERTAINMENT CO      | COM      | 367905106 | 14003  | 459128   | SH  | DEFINED | 01 | 0 |
| GAYLORD ENTERTAINMENT CO      | COM      | 367905106 | 52     | 1712     | SH  | DEFINED | 01 | 0 |
| GAZPROM OAO-SPON ADR          | COM      | 368287207 | 205    | 9906     | SH  | DEFINED | 01 | 0 |
| GAZPROM OAO-SPON ADR          | COM      | 368287207 | 10089  | 311851   | SH  | DEFINED | 01 | 1 |
| GAZPROM OAO-SPON ADR          | COM      | 368287991 | 19145  | 912100   | SH  | DEFINED | 01 | 0 |
| GAZPROM NEFT-SPONSORED ADR    | COM      | 36829G107 | 4      | 220      | SH  | DEFINED | 01 | 0 |
| GEEKNET INC COM               | COM      | 36846Q104 | 0      | 10       | SH  | DEFINED | 01 | 1 |
| GEN-PROBE INC                 | COM      | 36866T103 | 37408  | 771983   | SH  | DEFINED | 01 | 0 |
| GEN-PROBE INC                 | COM      | 36866T103 | 301    | 6222     | SH  | DEFINED | 01 | 0 |
| GEN-PROBE INC                 | COM      | 36866T103 | 4      | 90       | SH  | DEFINED | 01 | 1 |
| GENCORP INC                   | COM      | 368682100 | 1376   | 279338   | SH  | DEFINED | 01 | 0 |
| GENCORP INC                   | COM      | 368682100 | 22     | 4527     | SH  | DEFINED | 01 | 1 |
| GENERAC HOLDINGS INC          | COM      | 368736104 | 17     | 1275     | SH  | DEFINED | 01 | 0 |
| GENERAC HOLDINGS INC          | COM      | 368736104 | 3      | 200      | SH  | DEFINED | 01 | 1 |
| GENERAL AMER INVSTRSCO        | COM      | 368802104 | 27     | 1112     | SH  | DEFINED | 01 | 1 |
| GENERAL CABLE CORP            | COM      | 369300108 | 114    | 4173     | SH  | DEFINED | 01 | 0 |
| GENERAL CABLE CORP            | COM      | 369300108 | 505    | 18626    | SH  | DEFINED | 01 | 1 |
| GENERAL CABLE CORP            | CONV BND | 369300AL2 | 3182   | 3170000  | PRN | DEFINED | 01 | 0 |
| GENERAL COMMUNICATION INC-A   | COM      | 369385109 | 12695  | 1273333  | SH  | DEFINED | 01 | 0 |
| GENERAL COMMUNICATION INC-A   | COM      | 369385109 | 384    | 38500    | SH  | DEFINED | 01 | 1 |
| GENERAL DYNAMICS CORP         | COM      | 369550108 | 308275 | 4907958  | SH  | DEFINED | 01 | 0 |
| GENERAL DYNAMICS CORP         | COM      | 369550108 | 1255   | 19988    | SH  | DEFINED | 01 | 0 |
| GENERAL DYNAMICS CORP         | COM      | 369550108 | 1026   | 15221    | SH  | DEFINED | 01 | 1 |
| GENERAL DYNAMICS CORP         | COM      | 369550108 | 272    | 4332     | SH  | DEFINED | 01 | 1 |
| GENERAL ELECTRIC CO           | COM      | 369604103 | 551480 | 33937131 | SH  | DEFINED | 01 | 0 |
| GENERAL ELECTRIC CO           | COM      | 369604103 | 9513   | 585429   | SH  | DEFINED | 01 | 0 |
| GENERAL ELECTRIC CO           | COM      | 369604103 | 6753   | 415599   | SH  | DEFINED | 01 | 1 |
| GENERAL ELECTRIC CO           | COM      | 369604103 | 15327  | 943230   | SH  | DEFINED | 01 | 1 |
| GENERAL GROWTH PROPERTIES     | COM      | 370021107 | 389    | 24930    | SH  | DEFINED | 01 | 0 |
| GENERAL GROWTH PROPERTIES     | COM      | 370021107 | 30     | 1951     | SH  | DEFINED | 01 | 1 |
| GENERAL MILLS INC             | COM      | 370334104 | 132245 | 3619162  | SH  | DEFINED | 01 | 0 |
| GENERAL MILLS INC             | COM      | 370334104 | 1233   | 33732    | SH  | DEFINED | 01 | 0 |
| GENERAL MILLS INC             | COM      | 370334104 | 641    | 17549    | SH  | DEFINED | 01 | 1 |
| GENERAL MOLY INC              | COM      | 370373102 | 15     | 4250     | SH  | DEFINED | 01 | 0 |
| GENEREX BIOTECHNOL            | COM      | 371485103 | 0      | 500      | SH  | DEFINED | 01 | 1 |
| GENESCO INC                   | COM      | 371532102 | 15976  | 534658   | SH  | DEFINED | 01 | 0 |
| GENESEE & WYOMING INC-CL A    | COM      | 371559105 | 9439   | 217537   | SH  | DEFINED | 01 | 0 |
| GENESEE & WYOMING INC-CL A    | COM      | 371559105 | 14     | 325      | SH  | DEFINED | 01 | 1 |
| GENETIC TECH LTD-SP ADR       | COM      | 37185R109 | 0      | 10       | SH  | DEFINED | 01 | 0 |
| GENTEX CORP                   | COM      | 371901109 | 23022  | 1179997  | SH  | DEFINED | 01 | 0 |
| GENTEX CORP                   | COM      | 371901109 | 27     | 1382     | SH  | DEFINED | 01 | 0 |
| GENTEX CORP                   | COM      | 371901109 | 10     | 500      | SH  | DEFINED | 01 | 1 |
| GENESIS ENERGY L P UNIT L P I | COM      | 371927104 | 7      | 305      | SH  | DEFINED | 01 | 1 |
| GENOPTIX INC                  | COM      | 37243V100 | 1181   | 83152    | SH  | DEFINED | 01 | 0 |
| GENOMIC HEALTH INC            | COM      | 37244C101 | 12     | 915      | SH  | DEFINED | 01 | 0 |
| GENUINE PARTS CO              | COM      | 372460105 | 66792  | 1497938  | SH  | DEFINED | 01 | 0 |
| GENUINE PARTS CO              | COM      | 372460105 | 369    | 8286     | SH  | DEFINED | 01 | 0 |
| GENUINE PARTS CO              | COM      | 372460105 | 98     | 2208     | SH  | DEFINED | 01 | 1 |
| GENVEC INC                    | COM      | 37246C109 | 2      | 4000     | SH  | DEFINED | 01 | 1 |
| GEORESOURCES INC              | COM      | 372476101 | 16     | 985      | SH  | DEFINED | 01 | 0 |
| GEORESOURCES INC              | COM      | 372476101 | 16     | 1000     | SH  | DEFINED | 01 | 1 |
| GENTIVA HEALTH SERVICES       | COM      | 37247A102 | 3234   | 148039   | SH  | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A   | COM      | 37247D106 | 10772  | 881505   | SH  | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A   | COM      | 37247D106 | 314    | 25721    | SH  | DEFINED | 01 | 0 |
| GENWORTH FINANCIAL INC-CL A   | COM      | 37247D106 | 915    | 74867    | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| GEOPETRO RES CO COM            | COM      | 37248H304 | 1      | 2800     | SH  | DEFINED | 01 | 1 |
| GEOEYE INC                     | COM      | 37250W108 | 134    | 3293     | SH  | DEFINED | 01 | 0 |
| GEOEYE INC                     | COM      | 37250W108 | 49     | 1215     | SH  | DEFINED | 01 | 1 |
| GEOKINETICS INC                | COM      | 372910307 | 13     | 2175     | SH  | DEFINED | 01 | 0 |
| GENZYME CORP                   | COM      | 372917104 | 10133  | 143141   | SH  | DEFINED | 01 | 0 |
| GENZYME CORP                   | COM      | 372917104 | 948    | 13393    | SH  | DEFINED | 01 | 0 |
| GENZYME CORP                   | COM      | 372917104 | 264    | 3734     | SH  | DEFINED | 01 | 1 |
| GEORGIA GULF CORP              | COM      | 373200302 | 2559   | 156591   | SH  | DEFINED | 01 | 0 |
| GEORGIA GULF CORP              | COM      | 373200302 | 5      | 312      | SH  | DEFINED | 01 | 1 |
| GERBER SCIENTIFIC INC          | COM      | 373730100 | 1068   | 173226   | SH  | DEFINED | 01 | 0 |
| GERDAU SA -SPON ADR            | COM      | 373737105 | 35     | 2589     | SH  | DEFINED | 01 | 0 |
| GERDAU SA -SPON ADR            | COM      | 373737105 | 20489  | 1507670  | SH  | DEFINED | 01 | 1 |
| GERDAU SA -SPON ADR            | COM      | 373737105 | 18     | 1300     | SH  | DEFINED | 01 | 1 |
| GERMAN AMERICAN BANCORP        | COM      | 373865104 | 71     | 4121     | SH  | DEFINED | 01 | 0 |
| GERON CORP                     | COM      | 374163103 | 45     | 8165     | SH  | DEFINED | 01 | 0 |
| GERON CORP                     | COM      | 374163103 | 5      | 900      | SH  | DEFINED | 01 | 1 |
| GETTY REALTY CORP              | COM      | 374297109 | 22387  | 834404   | SH  | DEFINED | 01 | 0 |
| GETTY REALTY CORP              | COM      | 374297109 | 68     | 2535     | SH  | DEFINED | 01 | 1 |
| G4S PLC                        | COM      | 37441W108 | 7      | 350      | SH  | DEFINED | 01 | 0 |
| GIANT INTERACTIVE GROUP-ADR    | COM      | 374511103 | 0      | 50       | SH  | DEFINED | 01 | 0 |
| GIBRALTAR INDUSTRIES INC       | COM      | 374689107 | 5309   | 591079   | SH  | DEFINED | 01 | 0 |
| GIBRALTAR INDUSTRIES INC       | COM      | 374689107 | 20     | 2179     | SH  | DEFINED | 01 | 1 |
| GILEAD SCIENCES INC            | COM      | 375558103 | 144315 | 4052698  | SH  | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM      | 375558103 | 2785   | 78205    | SH  | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM      | 375558103 | 2052   | 57636    | SH  | DEFINED | 01 | 0 |
| GILEAD SCIENCES INC            | COM      | 375558103 | 21591  | 552544   | SH  | DEFINED | 01 | 1 |
| GILEAD SCIENCES INC            | COM      | 375558103 | 2028   | 56964    | SH  | DEFINED | 01 | 1 |
| GILEAD SCIENCES INC            | CONV BND | 375558AM5 | 10355  | 10150000 | PRN | DEFINED | 01 | 0 |
| GLACIER BANCORP INC            | COM      | 37637Q105 | 5201   | 356362   | SH  | DEFINED | 01 | 0 |
| GLADSTONE CAPITAL CORP         | COM      | 376535100 | 36     | 3189     | SH  | DEFINED | 01 | 0 |
| GLADSTONE COMMERCIAL CORP      | COM      | 376536108 | 24     | 1450     | SH  | DEFINED | 01 | 0 |
| GLADSTONE INVESTMENT CORP      | COM      | 376546107 | 124    | 18395    | SH  | DEFINED | 01 | 0 |
| GLATFELTER                     | COM      | 377316104 | 12061  | 991860   | SH  | DEFINED | 01 | 0 |
| GLATFELTER                     | COM      | 377316104 | 1      | 72       | SH  | DEFINED | 01 | 1 |
| GLAXOSMITHKLINE PLC-SPON ADR   | COM      | 37733W105 | 94970  | 2403087  | SH  | DEFINED | 01 | 0 |
| GLAXOSMITHKLINE PLC-SPON ADR   | COM      | 37733W105 | 832    | 21047    | SH  | DEFINED | 01 | 1 |
| GLEACHER & CO INC              | COM      | 377341102 | 621    | 385599   | SH  | DEFINED | 01 | 0 |
| GLEACHER & CO INC              | COM      | 377341102 | 16     | 10030    | SH  | DEFINED | 01 | 0 |
| GLOBAL CASH ACCESS HOLDINGS    | COM      | 378967103 | 29     | 7123     | SH  | DEFINED | 01 | 0 |
| GLOBAL INCOME & CURRENCY F     | COM      | 378968101 | 37     | 2492     | SH  | DEFINED | 01 | 1 |
| GLOBALSTAR INC                 | COM      | 378973408 | 69     | 39850    | SH  | DEFINED | 01 | 0 |
| GLG PARTNERS INC               | COM      | 37929X107 | 114    | 25300    | SH  | DEFINED | 01 | 0 |
| GLIMCHER REALTY TRUST          | COM      | 379302102 | 2564   | 416990   | SH  | DEFINED | 01 | 0 |
| GLIMCHER REALTY TRUST          | COM      | 379302102 | 8      | 1250     | SH  | DEFINED | 01 | 1 |
| GLOBAL INDUSTRIES LTD          | COM      | 379336100 | 55     | 10240    | SH  | DEFINED | 01 | 0 |
| GLOBAL INDUSTRIES LTD          | COM      | 379336100 | 32     | 5850     | SH  | DEFINED | 01 | 1 |
| GLOBAL HIGH INCOME FUND INC    | COM      | 37933G108 | 51     | 3625     | SH  | DEFINED | 01 | 1 |
| GLOBAL PAYMENTS INC            | COM      | 37940X102 | 10857  | 253125   | SH  | DEFINED | 01 | 0 |
| GLOBAL PAYMENTS INC            | COM      | 37940X102 | 536    | 12494    | SH  | DEFINED | 01 | 1 |
| GLOBAL PARTNERS LP COM UNIT R  | COM      | 37946R109 | 37     | 1500     | SH  | DEFINED | 01 | 1 |
| GLOBAL GEOPHYSICAL SERVICES    | COM      | 37946S107 | 4      | 500      | SH  | DEFINED | 01 | 0 |
| GLOBALTRANS-SPONS GDR 144A     | COM      | 37949E105 | 2257   | 149566   | SH  | DEFINED | 01 | 0 |
| GLOBAL DEFENSE TECHNOLOGY      | COM      | 37950B107 | 13977  | 1020269  | SH  | DEFINED | 01 | 0 |
| GLOBAL X FDS INTERBOLSA        | COM      | 37950E200 | 11     | 250      | SH  | DEFINED | 01 | 1 |
| GLOBAL X FDS GLOBAL X CHINA CO | COM      | 37950E408 | 13     | 658      | SH  | DEFINED | 01 | 1 |
| GLOBAL X FDS GLOBAL X SILVER M | COM      | 37950E853 | 33     | 1795     | SH  | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| GLOBE SPECIALTY METALS INC     | COM | 37954N206 | 72     | 5105    | SH | DEFINED | 01 | 0 |
| GLOBECOMM SYSTEMS INC          | COM | 37956X103 | 5869   | 701201  | SH | DEFINED | 01 | 0 |
| GMX RESOURCES INC              | COM | 38011M108 | 11     | 2150    | SH | DEFINED | 01 | 0 |
| GMX RESOURCES INC              | COM | 38011M108 | 2      | 320     | SH | DEFINED | 01 | 0 |
| GMX RESOURCES INC              | COM | 38011M108 | 34     | 6900    | SH | DEFINED | 01 | 1 |
| GOL LINHAS AEREAS INTEL-ADR    | COM | 38045R107 | 8      | 500     | SH | DEFINED | 01 | 0 |
| GOL LINHAS AEREAS INTEL-ADR    | COM | 38045R107 | 2      | 133     | SH | DEFINED | 01 | 1 |
| GOLD FIELDS LTD-SPONS ADR      | COM | 38059T106 | 11177  | 731929  | SH | DEFINED | 01 | 0 |
| GOLD FIELDS LTD-SPONS ADR      | COM | 38059T106 | 11     | 719     | SH | DEFINED | 01 | 1 |
| GOLD RESERVE INC CLASS A CO    | COM | 38068N108 | 6      | 5000    | SH | DEFINED | 01 | 1 |
| GOLDCORP INC                   | COM | 380956409 | 25264  | 580514  | SH | DEFINED | 01 | 0 |
| GOLDCORP INC                   | COM | 380956409 | 1408   | 32344   | SH | DEFINED | 01 | 1 |
| GOLDEN STAR RESOURCES LTD      | COM | 38119T104 | 85     | 17270   | SH | DEFINED | 01 | 0 |
| GOLDEN STAR RESOURCES LTD      | COM | 38119T104 | 12     | 2455    | SH | DEFINED | 01 | 1 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 634092 | 4385731 | SH | DEFINED | 01 | 0 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 4710   | 32580   | SH | DEFINED | 01 | 0 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 780    | 5398    | SH | DEFINED | 01 | 1 |
| GOLDMAN SACHS GROUP INC        | COM | 38141G104 | 2376   | 16433   | SH | DEFINED | 01 | 1 |
| GOLDMAN SACHS GROUP INC        | PRF | 38145X608 | 3594   | 183921  | SH | DEFINED | 01 | 0 |
| GOLUB CAPITAL BDC INC          | COM | 38173M102 | 7      | 475     | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 174612 | 2368269 | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 485    | 6580    | SH | DEFINED | 01 | 0 |
| GOODRICH CORP                  | COM | 382388106 | 345    | 4673    | SH | DEFINED | 01 | 1 |
| GOODRICH PETROLEUM CORP        | COM | 382410405 | 1212   | 83247   | SH | DEFINED | 01 | 0 |
| GOODRICH PETROLEUM CORP        | COM | 382410405 | 45     | 3082    | SH | DEFINED | 01 | 1 |
| GOODYEAR TIRE & RUBBER CO      | COM | 382550101 | 21264  | 1978169 | SH | DEFINED | 01 | 0 |
| GOODYEAR TIRE & RUBBER CO      | COM | 382550101 | 137    | 12770   | SH | DEFINED | 01 | 0 |
| GOODYEAR TIRE & RUBBER CO      | COM | 382550101 | 71     | 6622    | SH | DEFINED | 01 | 1 |
| GOOGLE INC-CL A                | COM | 38259P508 | 807183 | 1535176 | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM | 38259P508 | 6526   | 12411   | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM | 38259P508 | 6864   | 13054   | SH | DEFINED | 01 | 0 |
| GOOGLE INC-CL A                | COM | 38259P508 | 190398 | 361510  | SH | DEFINED | 01 | 1 |
| GOOGLE INC-CL A                | COM | 38259P508 | 3016   | 5737    | SH | DEFINED | 01 | 1 |
| GORDMANS STORES INC            | COM | 38269P100 | 8730   | 755868  | SH | DEFINED | 01 | 0 |
| GORMAN-RUPP CO                 | COM | 383082104 | 275    | 9980    | SH | DEFINED | 01 | 0 |
| GORMAN-RUPP CO                 | COM | 383082104 | 26     | 950     | SH | DEFINED | 01 | 1 |
| GOVERNMENT PROPERTIES INCOME - | COM | 38376A103 | 5498   | 205930  | SH | DEFINED | 01 | 0 |
| GOVERNMENT PROPERTIES INCOME - | COM | 38376A103 | 66     | 2475    | SH | DEFINED | 01 | 1 |
| WR GRACE & CO                  | COM | 38388F108 | 625    | 22333   | SH | DEFINED | 01 | 0 |
| GRACO INC                      | COM | 384109104 | 5171   | 162955  | SH | DEFINED | 01 | 0 |
| GRACO INC                      | COM | 384109104 | 0      | 8       | SH | DEFINED | 01 | 1 |
| GRAFTECH INTERNATIONAL LTD     | COM | 384313102 | 22918  | 1466271 | SH | DEFINED | 01 | 0 |
| GRAFTECH INTERNATIONAL LTD     | COM | 384313102 | 19     | 1236    | SH | DEFINED | 01 | 0 |
| GRAFTECH INTERNATIONAL LTD     | COM | 384313102 | 8      | 500     | SH | DEFINED | 01 | 1 |
| GRAHAM CORP                    | COM | 384556106 | 14     | 935     | SH | DEFINED | 01 | 0 |
| GRAHAM PACKAGING CO INC        | COM | 384701108 | 5995   | 507225  | SH | DEFINED | 01 | 0 |
| WW GRAINGER INC                | COM | 384802104 | 37377  | 313806  | SH | DEFINED | 01 | 0 |
| WW GRAINGER INC                | COM | 384802104 | 374    | 3139    | SH | DEFINED | 01 | 0 |
| WW GRAINGER INC                | COM | 384802104 | 85     | 715     | SH | DEFINED | 01 | 1 |
| GRAMERCY CAPITAL CORP          | COM | 384871109 | 1      | 875     | SH | DEFINED | 01 | 0 |
| GRAMERCY CAPITAL CORP          | COM | 384871109 | 1      | 504     | SH | DEFINED | 01 | 1 |
| GRAN TIERRA ENERGY INC         | COM | 38500T101 | 111    | 14425   | SH | DEFINED | 01 | 0 |
| GRAN TIERRA ENERGY INC         | COM | 38500T101 | 83     | 10800   | SH | DEFINED | 01 | 1 |
| GRAND CANYON EDUCATION INC     | COM | 38526M106 | 25257  | 1151733 | SH | DEFINED | 01 | 0 |
| GRANITE CITY FOOD & BREWERY LT | COM | 38724Q404 | 0      | 250     | SH | DEFINED | 01 | 1 |
| GRANITE CONSTRUCTION INC       | COM | 387328107 | 1946   | 85612   | SH | DEFINED | 01 | 0 |

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

|                                |          |           |       |         |    |         |    |   |
|--------------------------------|----------|-----------|-------|---------|----|---------|----|---|
| GRANITE CONSTRUCTION INC       | COM      | 387328107 | 2     | 108     | SH | DEFINED | 01 | 1 |
| GRAPHIC PACKAGING HOLDING CO   | COM      | 388689101 | 38    | 11320   | SH | DEFINED | 01 | 0 |
| GRAPHIC PACKAGING HOLDING CO   | COM      | 388689101 | 16    | 4900    | SH | DEFINED | 01 | 1 |
| GRAY TELEVISION INC            | COM      | 389375106 | 6     | 3175    | SH | DEFINED | 01 | 0 |
| GREAT ATLANTIC & PAC TEA CO    | COM      | 390064103 | 487   | 122946  | SH | DEFINED | 01 | 0 |
| GREAT ATLANTIC & PAC TEA CO    | COM      | 390064103 | 158   | 39982   | SH | DEFINED | 01 | 1 |
| GREAT LAKES DREDGE & DOCK CO   | COM      | 390607109 | 9918  | 1707036 | SH | DEFINED | 01 | 0 |
| GREAT SOUTHERN BANCORP INC     | COM      | 390905107 | 140   | 6434    | SH | DEFINED | 01 | 0 |
| GREAT NORTHERN IRON ORE PROPER | COM      | 391064102 | 293   | 2468    | SH | DEFINED | 01 | 1 |
| GREAT PLAINS ENERGY INC        | COM      | 391164100 | 8062  | 426611  | SH | DEFINED | 01 | 0 |
| GREAT PLAINS ENERGY INC        | COM      | 391164100 | 262   | 13885   | SH | DEFINED | 01 | 1 |
|                                |          |           |       |         |    |         |    |   |
| GREAT PLAINS ENERGY INC        | CONV PRF | 391164803 | 3412  | 53900   | SH | DEFINED | 01 | 0 |
| GREAT-WEST LIFECO INC          | COM      | 39138C981 | 2     | 100     | SH | DEFINED | 01 | 0 |
| GREATBATCH INC                 | COM      | 39153L106 | 12973 | 559380  | SH | DEFINED | 01 | 0 |
| GREATBATCH INC                 | COM      | 39153L106 | 175   | 7552    | SH | DEFINED | 01 | 1 |
| GREATER CHINA FUND             | COM      | 39167B102 | 38    | 2996    | SH | DEFINED | 01 | 1 |
| GREEN DOT CORP-CLASS A         | COM      | 39304D102 | 533   | 11000   | SH | DEFINED | 01 | 0 |
| GREEN DOT CORP-CLASS A         | COM      | 39304D102 | 6     | 117     | SH | DEFINED | 01 | 1 |
| GREEN MOUNTAIN COFFEE ROASTE   | COM      | 393122106 | 16773 | 537781  | SH | DEFINED | 01 | 0 |
| GREEN MOUNTAIN COFFEE ROASTE   | COM      | 393122106 | 151   | 4835    | SH | DEFINED | 01 | 1 |
| GREEN PLAINS RENEWABLE ENERG   | COM      | 393222104 | 359   | 29581   | SH | DEFINED | 01 | 0 |
| GREENBRIER COMPANIES INC       | COM      | 393657101 | 36    | 2315    | SH | DEFINED | 01 | 0 |
| GREEN BANKSHARES INC           | COM      | 394361208 | 573   | 84486   | SH | DEFINED | 01 | 0 |
| GREENHILL & CO INC             | COM      | 395259104 | 36024 | 454163  | SH | DEFINED | 01 | 0 |
| GREENHILL & CO INC             | COM      | 395259104 | 10    | 126     | SH | DEFINED | 01 | 1 |
| GREIF INC-CL A                 | COM      | 397624107 | 31312 | 532150  | SH | DEFINED | 01 | 0 |
| GREIF INC-CL B                 | COM      | 397624206 | 21547 | 375391  | SH | DEFINED | 01 | 0 |
| GRIFFIN LAND & NURSERIES       | COM      | 398231100 | 4     | 155     | SH | DEFINED | 01 | 0 |
| GRIFFON CORPORATION            | COM      | 398433102 | 2662  | 218328  | SH | DEFINED | 01 | 0 |
| GRIFFON CORPORATION            | COM      | 398433102 | 21    | 1760    | SH | DEFINED | 01 | 1 |
| GROUP 1 AUTOMOTIVE INC         | COM      | 398905109 | 7180  | 240312  | SH | DEFINED | 01 | 0 |
| CGI GROUP INC CLASS A SUB VTG  | COM      | 39945C109 | 23    | 1500    | SH | DEFINED | 01 | 1 |
| GRUBB & ELLIS CO (GBE)         | CONV PRF | 400095402 | 189   | 2200    | SH | DEFINED | 01 | 0 |
| GRUMA S A B DE C V             | COM      | 400131306 | 1     | 100     | SH | DEFINED | 01 | 0 |
| GRUPO CARSO -SPONS ADR         | COM      | 400485207 | 4     | 410     | SH | DEFINED | 01 | 0 |
| GRUPO CASA SABA SA-SPON ADR    | COM      | 40048P104 | 4     | 340     | SH | DEFINED | 01 | 0 |
| GRUPO RADIO CENTRO SAB DE CV   | COM      | 40049C102 | 2     | 200     | SH | DEFINED | 01 | 1 |
| GRUPO TELEVISA SA-SPONS ADR    | COM      | 40049J206 | 20297 | 1072754 | SH | DEFINED | 01 | 0 |
| GRUPO TELEVISA SA-SPONS ADR    | COM      | 40049J206 | 33    | 1746    | SH | DEFINED | 01 | 1 |
| GRUPO AEROPORTUARIO PAC-ADR    | COM      | 400506101 | 0     | 10      | SH | DEFINED | 01 | 0 |
| GRUPO AEROPORTUARIO PAC-ADR    | COM      | 400506101 | 19331 | 561293  | SH | DEFINED | 01 | 1 |
| GRUPO TMM S A                  | COM      | 40051D303 | 1     | 200     | SH | DEFINED | 01 | 0 |
| GRUPO AEROPORTUARIO SUR-ADR    | COM      | 40051E202 | 4819  | 101500  | SH | DEFINED | 01 | 0 |
| GRUPO AEROPORTUARIO SUR-ADR    | COM      | 40051E202 | 9     | 190     | SH | DEFINED | 01 | 1 |
| GRUPO MODELO S.A.B.-SPON ADR   | COM      | 40051F100 | 1     | 10      | SH | DEFINED | 01 | 0 |
| GTX INC                        | COM      | 40052B108 | 3     | 630     | SH | DEFINED | 01 | 0 |
| GRUPO FINANCIERO BANORTE       | COM      | 40052P107 | 4     | 210     | SH | DEFINED | 01 | 0 |
| GUANGSHEN RAILWAY-SPONS ADR    | COM      | 40065W107 | 3     | 150     | SH | DEFINED | 01 | 0 |
| GUANGSHEN RAILWAY-SPONS ADR    | COM      | 40065W107 | 4     | 200     | SH | DEFINED | 01 | 1 |
| GUARANTY BANCORP               | COM      | 40075T102 | 463   | 291000  | SH | DEFINED | 01 | 0 |
| GUARANTY FINANCIAL GROUP       | COM      | 40108N106 | 0     | 196     | SH | DEFINED | 01 | 0 |
| GUJARAT NRE COKE LIMITED       | COM      | 401221999 | 1592  | 1149400 | SH | DEFINED | 01 | 0 |
| GUESS? INC                     | COM      | 401617105 | 32111 | 790378  | SH | DEFINED | 01 | 0 |
| GUESS? INC                     | COM      | 401617105 | 7     | 175     | SH | DEFINED | 01 | 1 |
| GUGGENHEIM ENHANCED EQUITY INC | COM      | 40167B100 | 7     | 807     | SH | DEFINED | 01 | 1 |
| GUIDANCE SOFTWARE INC          | COM      | 401692108 | 7     | 1175    | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| GULF ISLAND FABRICATION INC    | COM | 402307102 | 11340  | 623088   | SH | DEFINED | 01 | 0 |
| GULF KEYSTONE PET-SPON ADR     | COM | 402312102 | 1      | 20       | SH | DEFINED | 01 | 0 |
| GULF RES INC COM PAR\$0.0005   | COM | 40251W309 | 4      | 500      | SH | DEFINED | 01 | 1 |
| GULFMARK OFFSHORE INC          | COM | 402629208 | 9993   | 325266   | SH | DEFINED | 01 | 0 |
| GULFPORT ENERGY CORP           | COM | 402635304 | 50     | 3630     | SH | DEFINED | 01 | 0 |
| GULFPORT ENERGY CORP           | COM | 402635304 | 21     | 1500     | SH | DEFINED | 01 | 1 |
| GYMBOREE CORP                  | COM | 403777105 | 7906   | 190308   | SH | DEFINED | 01 | 0 |
| GYMBOREE CORP                  | COM | 403777105 | 7601   | 171700   | SH | DEFINED | 01 | 1 |
| GYMBOREE CORP                  | COM | 403777105 | 3      | 75       | SH | DEFINED | 01 | 1 |
| GYRODYNE CO OF AMERICA INC - R | COM | 403820103 | 931    | 11957    | SH | DEFINED | 01 | 0 |
| H&E EQUIPMENT SERVICES INC     | COM | 404030108 | 2294   | 287889   | SH | DEFINED | 01 | 0 |
| H & Q HEALTHCARE FD SH BEN INT | COM | 404052102 | 613    | 50754    | SH | DEFINED | 01 | 1 |
| H & Q LIFE SCIENCES INVS SH BE | COM | 404053100 | 55     | 5786     | SH | DEFINED | 01 | 1 |
| HCC INSURANCE HOLDINGS INC     | COM | 404132102 | 7396   | 283516   | SH | DEFINED | 01 | 0 |
| HCC INSURANCE HOLDINGS INC     | COM | 404132102 | 583    | 22335    | SH | DEFINED | 01 | 1 |
| HCP INC - REIT                 | COM | 40414L109 | 10956  | 304483   | SH | DEFINED | 01 | 0 |
| HCP INC - REIT                 | COM | 40414L109 | 586    | 16296    | SH | DEFINED | 01 | 0 |
| HCP INC - REIT                 | COM | 40414L109 | 137    | 3808     | SH | DEFINED | 01 | 1 |
| HCP INC - REIT                 | COM | 40414L109 | 1058   | 29396    | SH | DEFINED | 01 | 1 |
| HDFC BANK LTD-ADR              | COM | 40415F101 | 10078  | 54659    | SH | DEFINED | 01 | 0 |
| HDFC BANK LTD-ADR              | COM | 40415F101 | 5506   | 29907    | SH | DEFINED | 01 | 1 |
| HDFC BANK LTD-ADR              | COM | 40415F101 | 100    | 544      | SH | DEFINED | 01 | 1 |
| HFF INC-CLASS A                | COM | 40418F108 | 14     | 1475     | SH | DEFINED | 01 | 0 |
| HKN INC                        | COM | 40420K103 | 0      | 44       | SH | DEFINED | 01 | 1 |
| H LUNDBECK A/S                 | COM | 40422M107 | 12     | 670      | SH | DEFINED | 01 | 0 |
| HMN FINL INC                   | COM | 40424G108 | 0      | 100      | SH | DEFINED | 01 | 1 |
| HNI CORP                       | COM | 404251100 | 3480   | 121033   | SH | DEFINED | 01 | 0 |
| HNI CORP                       | COM | 404251100 | 9      | 300      | SH | DEFINED | 01 | 1 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 21978  | 372890   | SH | DEFINED | 01 | 0 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 5318   | 90290    | SH | DEFINED | 01 | 1 |
| HMS HOLDINGS CORP              | COM | 40425J101 | 79     | 1348     | SH | DEFINED | 01 | 1 |
| HQ SUSTAINABLE MARITIME I      | COM | 40426A208 | 1      | 250      | SH | DEFINED | 01 | 1 |
| HSBC HOLDINGS PLC-SPONS ADR    | COM | 404280406 | 1072   | 21193    | SH | DEFINED | 01 | 0 |
| HSBC HOLDINGS PLC-SPONS ADR    | COM | 404280406 | 405    | 8010     | SH | DEFINED | 01 | 1 |
| HSBC HOLDINGS PLC ADR SER A    | PRF | 404280604 | 206    | 8456     | SH | DEFINED | 01 | 1 |
| ELEMENTS S&P CTI ETNCALLABLE D | COM | 4042EP602 | 51     | 6947     | SH | DEFINED | 01 | 1 |
| HSN INC                        | COM | 404303109 | 10665  | 356694   | SH | DEFINED | 01 | 0 |
| HSN INC                        | COM | 404303109 | 2      | 61       | SH | DEFINED | 01 | 1 |
| HACHIJUNI BK LTD               | COM | 404508202 | 9      | 170      | SH | DEFINED | 01 | 0 |
| HACKETT GROUP INC/THE          | COM | 404609109 | 909    | 220045   | SH | DEFINED | 01 | 0 |
| HACKETT GROUP INC/THE          | COM | 404609109 | 0      | 10       | SH | DEFINED | 01 | 1 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 28032  | 478940   | SH | DEFINED | 01 | 0 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 324    | 5540     | SH | DEFINED | 01 | 0 |
| HAEMONETICS CORP/MASS          | COM | 405024100 | 4      | 76       | SH | DEFINED | 01 | 1 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 7331   | 305750   | SH | DEFINED | 01 | 0 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 11     | 447      | SH | DEFINED | 01 | 0 |
| HAIN CELESTIAL GROUP INC       | COM | 405217100 | 6      | 253      | SH | DEFINED | 01 | 1 |
| HALLADOR ENERGY CO             | COM | 40609P105 | 3      | 250      | SH | DEFINED | 01 | 0 |
| HALLIBURTON CO                 | COM | 406216101 | 362361 | 10957316 | SH | DEFINED | 01 | 0 |
| HALLIBURTON CO                 | COM | 406216101 | 2254   | 68149    | SH | DEFINED | 01 | 0 |
| HALLIBURTON CO                 | COM | 406216101 | 35654  | 1078152  | SH | DEFINED | 01 | 1 |
| HALLIBURTON CO                 | COM | 406216101 | 849    | 25685    | SH | DEFINED | 01 | 1 |
| HALLMARK FINL SERVICES INC     | COM | 40624Q203 | 8      | 850      | SH | DEFINED | 01 | 0 |
| HALOZYME THERAPEUTICS INC      | COM | 40637H109 | 6032   | 782474   | SH | DEFINED | 01 | 0 |
| HALOZYME THERAPEUTICS INC      | COM | 40637H109 | 1      | 100      | SH | DEFINED | 01 | 1 |
| HAMPDEN BANCORP INC            | COM | 40867E107 | 20     | 2000     | SH | DEFINED | 01 | 1 |



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

|   |           |        |         |    |         |    |   |
|---|-----------|--------|---------|----|---------|----|---|
| HANCOCK JOHN BK & THRIFT OPP COM        | 409735206 | 11     | 745     | SH | DEFINED | 01 | 1 |
| HANCOCK HOLDING CO COM                  | 410120109 | 19790  | 658162  | SH | DEFINED | 01 | 0 |
| HANCOCK JOHN INCOME SECS TR MA COM      | 410123103 | 180    | 11960   | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN INVT TRTAX ADVANT COM      | 41013P749 | 32     | 2500    | SH | DEFINED | 01 | 1 |
| JOHN HANCOCK PATRIOTPREM DIVID COM      | 41013T105 | 88     | 7610    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN TAX ADVANTAGE COM          | 41013V100 | 126    | 8267    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN PFD EQUITY INC COM         | 41013W108 | 278    | 13750   | SH | DEFINED | 01 | 1 |
|   |           |        |         |    |         |    |   |
| HANCOCK JOHN PFD INCOME FD COM          | 41013X106 | 136    | 6775    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN INVS TR SBI COM            | 410142103 | 36     | 1600    | SH | DEFINED | 01 | 1 |
| HANCOCK JOHN PFD INCME FD III COM       | 41021P103 | 25     | 1437    | SH | DEFINED | 01 | 1 |
| HANESBRANDS INC COM                     | 410345102 | 52188  | 2018032 | SH | DEFINED | 01 | 0 |
| HANESBRANDS INC COM                     | 410345102 | 84     | 3248    | SH | DEFINED | 01 | 1 |
| HANG SENG BK LTD COM                    | 41043C304 | 26     | 1740    | SH | DEFINED | 01 | 0 |
| HANG LUNG GROUP LTD COM                 | 41043E102 | 8      | 260     | SH | DEFINED | 01 | 0 |
| HANGER ORTHOPEDIC GROUP INC COM         | 41043F208 | 10512  | 723027  | SH | DEFINED | 01 | 0 |
| HANG LUNG PPTYS LTD COM                 | 41043M104 | 15     | 630     | SH | DEFINED | 01 | 0 |
| HANMI FINANCIAL CORPORATION COM         | 410495105 | 913    | 712972  | SH | DEFINED | 01 | 0 |
| HANNOVER RUECKVERSICHERU COM            | 410693105 | 18     | 770     | SH | DEFINED | 01 | 0 |
| HANOVER INSURANCE GROUP INC/ COM        | 410867105 | 34651  | 737213  | SH | DEFINED | 01 | 0 |
| HANOVER INSURANCE GROUP INC/ COM        | 410867105 | 172    | 3658    | SH | DEFINED | 01 | 1 |
| HANSEN MEDICAL INC COM                  | 411307101 | 419    | 293282  | SH | DEFINED | 01 | 0 |
| HANSEN MEDICAL INC COM                  | 411307101 | 1      | 850     | SH | DEFINED | 01 | 1 |
| HANSEN NATURAL CORPORATION COM          | 411310105 | 35927  | 770642  | SH | DEFINED | 01 | 0 |
| HANSEN NATURAL CORPORATION COM          | 411310105 | 26     | 559     | SH | DEFINED | 01 | 0 |
| HANSEN NATURAL CORPORATION COM          | 411310105 | 33     | 708     | SH | DEFINED | 01 | 1 |
| HARBIN ELECTRIC INC COM                 | 41145W109 | 6902   | 385787  | SH | DEFINED | 01 | 0 |
| HARBIN ELECTRIC INC COM                 | 41145W109 | 21     | 1200    | SH | DEFINED | 01 | 1 |
| HARBINGER GROUP INC COM                 | 41146A106 | 2076   | 374110  | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC COM                 | 412822108 | 76101  | 2675835 | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC COM                 | 412822108 | 352    | 12367   | SH | DEFINED | 01 | 0 |
| HARLEY-DAVIDSON INC COM                 | 412822108 | 431    | 15142   | SH | DEFINED | 01 | 1 |
| HARLEYSVILLE GROUP INC COM              | 412824104 | 7558   | 230463  | SH | DEFINED | 01 | 0 |
| HARLEYSVILLE GROUP INC COM              | 412824104 | 10     | 290     | SH | DEFINED | 01 | 1 |
| HARMAN INTERNATIONAL COM                | 413086109 | 21983  | 657965  | SH | DEFINED | 01 | 0 |
| HARMAN INTERNATIONAL COM                | 413086109 | 288    | 8625    | SH | DEFINED | 01 | 0 |
| HARMAN INTERNATIONAL COM                | 413086109 | 0      | 13      | SH | DEFINED | 01 | 1 |
| HARMONIC INC COM                        | 413160102 | 3454   | 501990  | SH | DEFINED | 01 | 0 |
| HARMONIC INC COM                        | 413160102 | 106    | 15342   | SH | DEFINED | 01 | 1 |
| HARMONY GOLD MNG-SPON ADR COM           | 413216300 | 29     | 2510    | SH | DEFINED | 01 | 0 |
| HARMONY GOLD MNG-SPON ADR COM           | 413216300 | 46     | 4050    | SH | DEFINED | 01 | 1 |
| HARRIS & HARRIS GROUP INC COM           | 413833104 | 37     | 8680    | SH | DEFINED | 01 | 0 |
| HARRIS & HARRIS GROUP INC COM           | 413833104 | 1      | 300     | SH | DEFINED | 01 | 1 |
| HARRIS CORP COM                         | 413875105 | 315565 | 7124973 | SH | DEFINED | 01 | 0 |
| HARRIS CORP COM                         | 413875105 | 300    | 6780    | SH | DEFINED | 01 | 0 |
| HARRIS CORP COM                         | 413875105 | 322    | 7277    | SH | DEFINED | 01 | 1 |
| HARSCO CORP COM                         | 415864107 | 16794  | 683244  | SH | DEFINED | 01 | 0 |
| HARSCO CORP COM                         | 415864107 | 10     | 408     | SH | DEFINED | 01 | 1 |
| HARTE-HANKS INC COM                     | 416196103 | 1136   | 97390   | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP COM         | 416515104 | 78462  | 3418803 | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP COM         | 416515104 | 4193   | 182682  | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP COM         | 416515104 | 726    | 31623   | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SVCS GRP COM         | 416515104 | 69722  | 3039295 | SH | DEFINED | 01 | 1 |
| HARTFORD FINANCIAL SVCS GRP COM         | 416515104 | 272    | 11836   | SH | DEFINED | 01 | 1 |
| HARTFORD FINANCIAL SERVICES GR CONV PRF | 416515708 | 41563  | 1761815 | SH | DEFINED | 01 | 0 |
| HARTFORD FINANCIAL SERVICES GR CONV PRF | 416515708 | 93     | 3900    | SH | DEFINED | 01 | 1 |
| HARTFORD INCOME SHS FD INC COM          | 416537108 | 81     | 13600   | SH | DEFINED | 01 | 1 |

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

|                               |          |           |        |         |     |         |    |   |
|-------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| HARVEST NATURAL RESOURCES IN  | COM      | 41754V103 | 35     | 3299    | SH  | DEFINED | 01 | 0 |
| HARVEST OPERATIONS CORP       | CONV BND | 41754WAM3 | 1021   | 1000000 | PRN | DEFINED | 01 | 0 |
| HASBRO INC                    | COM      | 418056107 | 99266  | 2230186 | SH  | DEFINED | 01 | 0 |
| HASBRO INC                    | COM      | 418056107 | 327    | 7355    | SH  | DEFINED | 01 | 0 |
| HASBRO INC                    | COM      | 418056107 | 80     | 1800    | SH  | DEFINED | 01 | 1 |
|                               |          |           |        |         |     |         |    |   |
| HATTERAS FINANCIAL CORP       | COM      | 41902R103 | 4211   | 147926  | SH  | DEFINED | 01 | 0 |
| HATTERAS FINANCIAL CORP       | COM      | 41902R103 | 281    | 9855    | SH  | DEFINED | 01 | 1 |
| HAVERTY FURNITURE             | COM      | 419596101 | 1086   | 99644   | SH  | DEFINED | 01 | 0 |
| HAWAIIAN ELECTRIC INDS        | COM      | 419870100 | 5272   | 233924  | SH  | DEFINED | 01 | 0 |
| HAWAIIAN ELECTRIC INDS        | COM      | 419870100 | 75     | 3325    | SH  | DEFINED | 01 | 1 |
| HAWAIIAN HOLDINGS INC         | COM      | 419879101 | 346    | 57812   | SH  | DEFINED | 01 | 0 |
| HAWAIIAN HOLDINGS INC         | COM      | 419879101 | 13     | 2100    | SH  | DEFINED | 01 | 1 |
| HAWK CORP - CLASS A           | COM      | 420089104 | 79     | 1825    | SH  | DEFINED | 01 | 0 |
| HAWKINS INC                   | COM      | 420261109 | 431    | 12175   | SH  | DEFINED | 01 | 0 |
| HAWKINS INC                   | COM      | 420261109 | 44     | 1250    | SH  | DEFINED | 01 | 1 |
| HAYNES INTERNATIONAL INC      | COM      | 420877201 | 10018  | 286885  | SH  | DEFINED | 01 | 0 |
| HEALTHCARE SERVICES GROUP     | COM      | 421906108 | 4818   | 211417  | SH  | DEFINED | 01 | 0 |
| HEALTHCARE SERVICES GROUP     | COM      | 421906108 | 9      | 415     | SH  | DEFINED | 01 | 1 |
| HEALTHSOUTH CORP              | COM      | 421924309 | 11107  | 578465  | SH  | DEFINED | 01 | 0 |
| HEALTHSOUTH CORP              | COM      | 421924309 | 6289   | 327700  | SH  | DEFINED | 01 | 1 |
| HEALTHSOUTH CORP              | COM      | 421924309 | 63     | 3276    | SH  | DEFINED | 01 | 1 |
| HEALTH MGMT ASSOCIATES INC-A  | COM      | 421933102 | 6707   | 875626  | SH  | DEFINED | 01 | 0 |
| HEALTH MGMT ASSOCIATES INC-A  | COM      | 421933102 | 16     | 2150    | SH  | DEFINED | 01 | 1 |
| HEALTHCARE REALTY TRUST INC - | COM      | 421946104 | 9736   | 416260  | SH  | DEFINED | 01 | 0 |
| HEALTHCARE REALTY TRUST INC - | COM      | 421946104 | 87     | 3714    | SH  | DEFINED | 01 | 1 |
| HEAD NV-NY REG                | COM      | 422070102 | 626    | 894200  | SH  | DEFINED | 01 | 0 |
| HEADWATERS INC                | COM      | 42210P102 | 1041   | 289100  | SH  | DEFINED | 01 | 0 |
| HEADWATERS INC                | COM      | 42210P102 | 22     | 6180    | SH  | DEFINED | 01 | 1 |
| HEALTH CARE REIT INC - REIT   | COM      | 42217K106 | 37521  | 792573  | SH  | DEFINED | 01 | 0 |
| HEALTH CARE REIT INC - REIT   | COM      | 42217K106 | 309    | 6536    | SH  | DEFINED | 01 | 0 |
| HEALTH CARE REIT INC - REIT   | COM      | 42217K106 | 246    | 5189    | SH  | DEFINED | 01 | 1 |
| HEALTH GRADES INC             | COM      | 42218Q102 | 316    | 38575   | SH  | DEFINED | 01 | 0 |
| HEALTH NET INC                | COM      | 42222G108 | 8256   | 303614  | SH  | DEFINED | 01 | 0 |
| HEALTH NET INC                | COM      | 42222G108 | 5502   | 202347  | SH  | DEFINED | 01 | 1 |
| HEALTH NET INC                | COM      | 42222G108 | 23     | 830     | SH  | DEFINED | 01 | 1 |
| HEALTHWAYS INC                | COM      | 422245100 | 2121   | 182282  | SH  | DEFINED | 01 | 0 |
| HEALTHSPRING INC              | COM      | 42224N101 | 46878  | 1814236 | SH  | DEFINED | 01 | 0 |
| HEALTHSPRING INC              | COM      | 42224N101 | 33     | 1264    | SH  | DEFINED | 01 | 1 |
| HEARTLAND EXPRESS INC         | COM      | 422347104 | 16472  | 1107785 | SH  | DEFINED | 01 | 0 |
| HEARTLAND EXPRESS INC         | COM      | 422347104 | 18     | 1185    | SH  | DEFINED | 01 | 1 |
| HEARTLAND FINANCIAL USA INC   | COM      | 42234Q102 | 71     | 4620    | SH  | DEFINED | 01 | 0 |
| HEARTLAND PAYMENT SYSTEMS IN  | COM      | 42235N108 | 2759   | 181305  | SH  | DEFINED | 01 | 0 |
| HEARTLAND PAYMENT SYSTEMS IN  | COM      | 42235N108 | 15     | 1001    | SH  | DEFINED | 01 | 1 |
| HEARTWARE INTERNATIONAL INC   | COM      | 422368100 | 3497   | 50869   | SH  | DEFINED | 01 | 0 |
| HECKMANN CORP                 | COM      | 422680108 | 3548   | 909668  | SH  | DEFINED | 01 | 0 |
| HECKMANN CORP                 | COM      | 422680108 | 57     | 14726   | SH  | DEFINED | 01 | 0 |
| HECKMANN CORP                 | COM      | 422680108 | 13     | 3360    | SH  | DEFINED | 01 | 1 |
| HECLA MINING CO               | COM      | 422704106 | 134    | 21235   | SH  | DEFINED | 01 | 0 |
| HECLA MINING CO               | COM      | 422704106 | 88     | 13960   | SH  | DEFINED | 01 | 1 |
| HEICO CORP                    | COM      | 422806109 | 98     | 2144    | SH  | DEFINED | 01 | 0 |
| HEICO CORP-CLASS A            | COM      | 422806208 | 1431   | 42000   | SH  | DEFINED | 01 | 0 |
| HEIDRICK & STRUGGLES INTL     | COM      | 422819102 | 2344   | 120371  | SH  | DEFINED | 01 | 0 |
| HEIDRICK & STRUGGLES INTL     | COM      | 422819102 | 21     | 1066    | SH  | DEFINED | 01 | 1 |
| HEINEKEN NV-UNSPONSORED ADR   | COM      | 423012202 | 70     | 2693    | SH  | DEFINED | 01 | 0 |
| HJ HEINZ CO                   | COM      | 423074103 | 134851 | 2846771 | SH  | DEFINED | 01 | 0 |
| HJ HEINZ CO                   | COM      | 423074103 | 792    | 16716   | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| HJ HEINZ CO                    | COM | 423074103 | 1081   | 22831    | SH | DEFINED | 01 | 1 |
| HELIOS TOTAL RETURN FD INC COM | COM | 42327V109 | 21     | 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 | 1      | 240      | SH | DEFINED | 01 | 1 |
| HELIOS HIGH YIELD FDCOM        | COM | 42328Q109 | 39     | 4240     | SH | DEFINED | 01 | 1 |
| HELIX ENERGY SOLUTIONS GROUP   | COM | 42330P107 | 40509  | 3636260  | SH | DEFINED | 01 | 0 |
| HELIX ENERGY SOLUTIONS GROUP   | COM | 42330P107 | 3      | 300      | SH | DEFINED | 01 | 1 |
| HELLENIC TELECOM ORG-SP ADR    | COM | 423325307 | 2      | 660      | SH | DEFINED | 01 | 0 |
| HELLENIC TELECOM ORG-SP ADR    | COM | 423325307 | 38     | 10870    | SH | DEFINED | 01 | 1 |
| HELMERICH & PAYNE              | COM | 423452101 | 32947  | 814332   | SH | DEFINED | 01 | 0 |
| HELMERICH & PAYNE              | COM | 423452101 | 224    | 5548     | SH | DEFINED | 01 | 0 |
| HELMERICH & PAYNE              | COM | 423452101 | 114    | 2823     | SH | DEFINED | 01 | 1 |
| HENDERSON LD DEV LTD           | COM | 425166303 | 15     | 2131     | SH | DEFINED | 01 | 0 |
| HENKEL LTD PARTNERSHIP SPONSOR | COM | 42550U109 | 51     | 1143     | SH | DEFINED | 01 | 0 |
| HENKEL AG & CO KGAA            | COM | 42550U208 | 22     | 410      | SH | DEFINED | 01 | 0 |
| HENNES & MAURITZ AB            | COM | 425883105 | 94     | 12990    | SH | DEFINED | 01 | 0 |
| JACK HENRY & ASSOCIATES INC    | COM | 426281101 | 12574  | 493109   | SH | DEFINED | 01 | 0 |
| JACK HENRY & ASSOCIATES INC    | COM | 426281101 | 106    | 4151     | SH | DEFINED | 01 | 1 |
| HENRY BROS ELECTRONIC          | COM | 426286100 | 3      | 700      | SH | DEFINED | 01 | 1 |
| HERCULES OFFSHORE INC          | COM | 427093109 | 7810   | 2947037  | SH | DEFINED | 01 | 0 |
| HERCULES OFFSHORE INC          | COM | 427093109 | 148    | 55988    | SH | DEFINED | 01 | 0 |
| HERCULES OFFSHORE INC          | COM | 427093109 | 11     | 4100     | SH | DEFINED | 01 | 1 |
| HERCULES TECHNOLOGY GROWTH     | COM | 427096508 | 140    | 13810    | SH | DEFINED | 01 | 0 |
| HERCULES TECHNOLOGY GROWTH     | COM | 427096508 | 80     | 7940     | SH | DEFINED | 01 | 1 |
| HERITAGE FINANCIAL CORP        | COM | 42722X106 | 9      | 650      | SH | DEFINED | 01 | 0 |
| HERITAGE FINANCIAL GROUP       | COM | 42725U109 | 1      | 150      | SH | DEFINED | 01 | 0 |
| HERLEY INDUSTRIES INC          | COM | 427398102 | 20     | 1180     | SH | DEFINED | 01 | 0 |
| HERSHA HOSPITALITY TRUST       | COM | 427825104 | 63     | 12224    | SH | DEFINED | 01 | 0 |
| HERSHA HOSPITALITY TRUST       | COM | 427825104 | 4      | 777      | SH | DEFINED | 01 | 1 |
| HERSHEY CO/THE                 | COM | 427866108 | 189374 | 3979279  | SH | DEFINED | 01 | 0 |
| HERSHEY CO/THE                 | COM | 427866108 | 387    | 8127     | SH | DEFINED | 01 | 0 |
| HERSHEY CO/THE                 | COM | 427866108 | 282    | 5927     | SH | DEFINED | 01 | 1 |
| HERTZ GLOBAL HOLDINGS INC      | COM | 42805T105 | 31061  | 2933078  | SH | DEFINED | 01 | 0 |
| HERTZ GLOBAL HOLDINGS INC      | COM | 42805T105 | 250    | 23614    | SH | DEFINED | 01 | 1 |
| HESS CORP                      | COM | 42809H107 | 46172  | 780964   | SH | DEFINED | 01 | 0 |
| HESS CORP                      | COM | 42809H107 | 908    | 15355    | SH | DEFINED | 01 | 0 |
| HESS CORP                      | COM | 42809H107 | 577    | 9766     | SH | DEFINED | 01 | 1 |
| HEWITT ASSOCIATES INC-CL A     | COM | 42822Q100 | 13387  | 265445   | SH | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 772404 | 18360022 | SH | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 2922   | 69454    | SH | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 6053   | 143866   | SH | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 21     | 500      | SH | DEFINED | 01 | 0 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 73465  | 1741238  | SH | DEFINED | 01 | 1 |
| HEWLETT-PACKARD CO             | COM | 428236103 | 2126   | 50536    | SH | DEFINED | 01 | 1 |
| HEXCEL CORP                    | COM | 428291108 | 128    | 7195     | SH | DEFINED | 01 | 0 |
| HEXCEL CORP                    | COM | 428291108 | 804    | 45210    | SH | DEFINED | 01 | 1 |
| HHGREGG INC                    | COM | 42833L108 | 3775   | 152443   | SH | DEFINED | 01 | 0 |
| HHGREGG INC                    | COM | 42833L108 | 26     | 1055     | SH | DEFINED | 01 | 0 |
| HHGREGG INC                    | COM | 42833L108 | 5199   | 210325   | SH | DEFINED | 01 | 1 |
| HI-TECH PHARMACAL CO INC       | COM | 42840B101 | 6936   | 342700   | SH | DEFINED | 01 | 0 |
| HI-TECH PHARMACAL CO INC       | COM | 42840B101 | 23     | 1150     | SH | DEFINED | 01 | 1 |
| HIBBETT SPORTS INC             | COM | 428567101 | 5458   | 218763   | SH | DEFINED | 01 | 0 |
| HIBBETT SPORTS INC             | COM | 428567101 | 3      | 105      | SH | DEFINED | 01 | 1 |
| HIGHER ONE HOLDINGS INC        | COM | 42983D104 | 34     | 675      | SH | DEFINED | 01 | 0 |
| HIGHLAND CREDIT STRATEGIES     | COM | 43005Q107 | 34     | 4674     | SH | DEFINED | 01 | 1 |

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

|                                    |          |           |        |         |     |         |    |   |
|------------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| HIGHWOODS PROPERTIES INC - REI COM |          | 431284108 | 22691  | 698816  | SH  | DEFINED | 01 | 0 |
| HIGHWOODS PROPERTIES INC - REI COM |          | 431284108 | 4      | 116     | SH  | DEFINED | 01 | 1 |
| HILL INTERNATIONAL INC             | COM      | 431466101 | 4469   | 997455  | SH  | DEFINED | 01 | 0 |
| HILL INTERNATIONAL INC             | COM      | 431466101 | 1      | 300     | SH  | DEFINED | 01 | 1 |
| HILL-ROM HOLDINGS INC              | COM      | 431475102 | 12414  | 345876  | SH  | DEFINED | 01 | 0 |
| HILL-ROM HOLDINGS INC              | COM      | 431475102 | 16     | 450     | SH  | DEFINED | 01 | 1 |
| HILLENBRAND INC                    | COM      | 431571108 | 6580   | 305883  | SH  | DEFINED | 01 | 0 |
| HILLENBRAND INC                    | COM      | 431571108 | 32     | 1505    | SH  | DEFINED | 01 | 1 |
| HILLTOP HOLDINGS INC               | COM      | 432748101 | 2154   | 224773  | SH  | DEFINED | 01 | 0 |
| HILLTOP HOLDINGS INC               | COM      | 432748101 | 24     | 2500    | SH  | DEFINED | 01 | 1 |
| HINO MTRS LTD                      | COM      | 433406204 | 2      | 50      | SH  | DEFINED | 01 | 0 |
| HITACHI LTD -SPONS ADR             | COM      | 433578507 | 110    | 2520    | SH  | DEFINED | 01 | 0 |
| HITACHI LTD -SPONS ADR             | COM      | 433578507 | 10     | 231     | SH  | DEFINED | 01 | 1 |
| HISOFT TECHNOLOGY INT-ADR          | COM      | 43358R108 | 11315  | 460100  | SH  | DEFINED | 01 | 0 |
| HISOFT TECHNOLOGY INT-ADR          | COM      | 43358R108 | 75     | 3030    | SH  | DEFINED | 01 | 0 |
| HISOFT TECHNOLOGY INT-ADR          | COM      | 43358R108 | 204    | 18000   | SH  | DEFINED | 01 | 1 |
| HITTITE MICROWAVE CORP             | COM      | 43365Y104 | 5905   | 123923  | SH  | DEFINED | 01 | 0 |
| HITTITE MICROWAVE CORP             | COM      | 43365Y104 | 10     | 215     | SH  | DEFINED | 01 | 1 |
| HOKU CORP                          | COM      | 434711107 | 3      | 1125    | SH  | DEFINED | 01 | 0 |
| HOLCIM LTD                         | COM      | 434741203 | 23     | 1810    | SH  | DEFINED | 01 | 0 |
| HOLLY CORP                         | COM      | 435758305 | 16927  | 588720  | SH  | DEFINED | 01 | 0 |
| HOLLY CORP                         | COM      | 435758305 | 604    | 21003   | SH  | DEFINED | 01 | 1 |
| HOLLY ENERGY PARTNERS L            | COM      | 435763107 | 36     | 700     | SH  | DEFINED | 01 | 1 |
| HOLOGIC INC                        | COM      | 436440101 | 18670  | 1166189 | SH  | DEFINED | 01 | 0 |
| HOLOGIC INC                        | COM      | 436440101 | 49     | 3071    | SH  | DEFINED | 01 | 1 |
| HOLOGIC INC                        | CONV BND | 436440AA9 | 2449   | 2647000 | PRN | DEFINED | 01 | 0 |
| HOME BANCSHARES INC                | COM      | 436893200 | 3294   | 162110  | SH  | DEFINED | 01 | 0 |
| HOME BANCSHARES INC                | COM      | 436893200 | 19     | 915     | SH  | DEFINED | 01 | 1 |
| HOME BANCORP INC                   | COM      | 43689E107 | 11     | 810     | SH  | DEFINED | 01 | 0 |
| HOME DEPOT INC                     | COM      | 437076102 | 272707 | 8608243 | SH  | DEFINED | 01 | 0 |
| HOME DEPOT INC                     | COM      | 437076102 | 3148   | 99384   | SH  | DEFINED | 01 | 0 |
| HOME DEPOT INC                     | COM      | 437076102 | 2140   | 67538   | SH  | DEFINED | 01 | 1 |
| HOME FEDERAL BANCORP INC/MD        | COM      | 43710G105 | 11395  | 936275  | SH  | DEFINED | 01 | 0 |
| HOME INNS & HOTELS MANAG-ADR       | COM      | 43713W107 | 11691  | 236473  | SH  | DEFINED | 01 | 0 |
| HOME PRODUCT CENTER PCL-FOR        | COM      | 437298995 | 3349   | 9236620 | SH  | DEFINED | 01 | 0 |
| HOME PROPERTIES INC - REIT         | COM      | 437306103 | 11352  | 214569  | SH  | DEFINED | 01 | 0 |
| HOME PROPERTIES INC - REIT         | COM      | 437306103 | 43     | 810     | SH  | DEFINED | 01 | 1 |
| HOME RETAIL GROUP PLC SPONSORE     | COM      | 43731T102 | 26     | 1930    | SH  | DEFINED | 01 | 0 |
| HONDA MOTOR CO LTD-SPONS ADR       | COM      | 438128308 | 1008   | 28339   | SH  | DEFINED | 01 | 0 |
| HONDA MOTOR CO LTD-SPONS ADR       | COM      | 438128308 | 141    | 3963    | SH  | DEFINED | 01 | 1 |
| HONEYWELL INTERNATIONAL INC        | COM      | 438516106 | 314615 | 7159902 | SH  | DEFINED | 01 | 0 |
| HONEYWELL INTERNATIONAL INC        | COM      | 438516106 | 2206   | 50217   | SH  | DEFINED | 01 | 0 |
| HONEYWELL INTERNATIONAL INC        | COM      | 438516106 | 1344   | 30593   | SH  | DEFINED | 01 | 1 |
| HONG KONG & CHINA GAS LT           | COM      | 438550303 | 19     | 7590    | SH  | DEFINED | 01 | 0 |
| HONGKONG ELEC HOLDGS LTD           | COM      | 438580300 | 30     | 4970    | SH  | DEFINED | 01 | 0 |
| HONGKONG LAND HOLDINGS LTD         | COM      | 438584997 | 35710  | 5750594 | SH  | DEFINED | 01 | 0 |
| HONG KONG EXCHANGES & CL           | COM      | 43858F109 | 28     | 1430    | SH  | DEFINED | 01 | 0 |
| HOOVER FURNITURE CORP              | COM      | 439038100 | 19     | 1755    | SH  | DEFINED | 01 | 0 |
| HOOPER HOLMES INC                  | COM      | 439104100 | 0      | 435     | SH  | DEFINED | 01 | 0 |
| HOPEWELL HWY INFRAST-ADR           | COM      | 439554106 | 0      | 40      | SH  | DEFINED | 01 | 0 |
| HOPEWELL HLDGS LTD SPONSORED A     | COM      | 439555301 | 37     | 11397   | SH  | DEFINED | 01 | 0 |
| HORACE MANN EDUCATORS              | COM      | 440327104 | 34152  | 1920799 | SH  | DEFINED | 01 | 0 |
| HORIZON LINES INC-CL A             | COM      | 44044K101 | 18     | 4425    | SH  | DEFINED | 01 | 0 |
| HORIZON LINES INC-CL A             | COM      | 44044K101 | 13     | 3020    | SH  | DEFINED | 01 | 1 |
| HORMEL FOODS CORP                  | COM      | 440452100 | 14694  | 329456  | SH  | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| HORMEL FOODS CORP              | COM      | 440452100 | 162    | 3642    | SH  | DEFINED | 01 | 0 |
| HORMEL FOODS CORP              | COM      | 440452100 | 55     | 1234    | SH  | DEFINED | 01 | 1 |
| HORNBECK OFFSHORE SERVICES     | COM      | 440543106 | 11508  | 590410  | SH  | DEFINED | 01 | 0 |
| HORNBECK OFFSHORE SERVICES INC | CONV BND | 440543AD8 | 4357   | 5000000 | PRN | DEFINED | 01 | 0 |
| HORNBECK OFFSHORE SERVICES INC | CONV BND | 440543AE6 | 2057   | 2360000 | PRN | DEFINED | 01 | 0 |
| HORSEHEAD HOLDING CORP         | COM      | 440694305 | 701    | 71030   | SH  | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM      | 441060100 | 56763  | 995685  | SH  | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM      | 441060100 | 726    | 12741   | SH  | DEFINED | 01 | 0 |
| HOSPIRA INC                    | COM      | 441060100 | 134    | 2345    | SH  | DEFINED | 01 | 1 |
| HOSPITALITY PROPERTIES TRUST   | COM      | 44106M102 | 14582  | 653023  | SH  | DEFINED | 01 | 0 |
| HOSPITALITY PROPERTIES TRUST   | COM      | 44106M102 | 77     | 3451    | SH  | DEFINED | 01 | 1 |
| HOST HOTELS & RESORTS INC - RE | COM      | 44107P104 | 80030  | 5526892 | SH  | DEFINED | 01 | 0 |
| HOST HOTELS & RESORTS INC - RE | COM      | 44107P104 | 501    | 34580   | SH  | DEFINED | 01 | 0 |
| HOST HOTELS & RESORTS INC - RE | COM      | 44107P104 | 547    | 37805   | SH  | DEFINED | 01 | 1 |
| HOST HOTELS & RESORTS INC - RE | COM      | 44107P104 | 685    | 47337   | SH  | DEFINED | 01 | 1 |
| HOT TOPIC INC                  | COM      | 441339108 | 1446   | 241492  | SH  | DEFINED | 01 | 0 |
| HOUSTON AMERICAN ENERGY CORP   | COM      | 44183U100 | 905    | 90487   | SH  | DEFINED | 01 | 0 |
| HOUSTON WIRE & CABLE CO        | COM      | 44244K109 | 9726   | 969760  | SH  | DEFINED | 01 | 0 |
| HOUSTON WIRE & CABLE CO        | COM      | 44244K109 | 2      | 165     | SH  | DEFINED | 01 | 1 |
| HOVNANIAN ENTERPRISES-A        | COM      | 442487203 | 34     | 8614    | SH  | DEFINED | 01 | 0 |
| HOYA CORP                      | COM      | 443251103 | 20     | 810     | SH  | DEFINED | 01 | 0 |
| HUANENG POWER INTL-SPONS ADR   | COM      | 443304100 | 18     | 720     | SH  | DEFINED | 01 | 0 |
| HUANENG POWER INTL-SPONS ADR   | COM      | 443304100 | 17     | 675     | SH  | DEFINED | 01 | 1 |
| HUB GROUP INC-CL A             | COM      | 443320106 | 5377   | 183772  | SH  | DEFINED | 01 | 0 |
| HUBBELL INC CL A FRMLY HUBB    | COM      | 443510102 | 7      | 133     | SH  | DEFINED | 01 | 1 |
| HUBBELL INC -CL B              | COM      | 443510201 | 47586  | 937656  | SH  | DEFINED | 01 | 0 |
| HUBBELL INC -CL B              | COM      | 443510201 | 4264   | 84046   | SH  | DEFINED | 01 | 1 |
| HUBBELL INC -CL B              | COM      | 443510201 | 10     | 193     | SH  | DEFINED | 01 | 1 |
| HUDSON CITY BANCORP INC        | COM      | 443683107 | 28883  | 2355950 | SH  | DEFINED | 01 | 0 |
| HUDSON CITY BANCORP INC        | COM      | 443683107 | 339    | 27659   | SH  | DEFINED | 01 | 0 |
| HUDSON CITY BANCORP INC        | COM      | 443683107 | 333    | 27126   | SH  | DEFINED | 01 | 1 |
| HUDSON HIGHLAND GROUP INC      | COM      | 443792106 | 9      | 2625    | SH  | DEFINED | 01 | 0 |
| HUDSON HIGHLAND GROUP INC      | COM      | 443792106 | 0      | 3       | SH  | DEFINED | 01 | 1 |
| HUDSON PACIFIC PROPERTIES INC  | COM      | 444097109 | 588    | 35880   | SH  | DEFINED | 01 | 0 |
| HUDSON PACIFIC PROPERTIES INC  | COM      | 444097109 | 1      | 78      | SH  | DEFINED | 01 | 1 |
| HUDSON VALLEY HOLDING CORP     | COM      | 444172100 | 38     | 1955    | SH  | DEFINED | 01 | 0 |
| HUGHES COMMUNICATIONS INC      | COM      | 444398101 | 27     | 955     | SH  | DEFINED | 01 | 0 |
| HUGOTON ROYALTY TRUST          | COM      | 444717102 | 42     | 2105    | SH  | DEFINED | 01 | 0 |
| HUGOTON ROYALTY TRUST          | COM      | 444717102 | 679    | 33959   | SH  | DEFINED | 01 | 1 |
| HUMANA INC                     | COM      | 444859102 | 192679 | 3835001 | SH  | DEFINED | 01 | 0 |
| HUMANA INC                     | COM      | 444859102 | 446    | 8885    | SH  | DEFINED | 01 | 0 |
| HUMANA INC                     | COM      | 444859102 | 1390   | 27713   | SH  | DEFINED | 01 | 1 |
| HUMANA INC                     | COM      | 444859102 | 30     | 594     | SH  | DEFINED | 01 | 1 |
| HUMAN GENOME SCIENCES INC      | COM      | 444903108 | 25717  | 863235  | SH  | DEFINED | 01 | 0 |
| HUMAN GENOME SCIENCES INC      | COM      | 444903108 | 79     | 2650    | SH  | DEFINED | 01 | 1 |
| HUNT (JB) TRANSPRT SVCS INC    | COM      | 445658107 | 13616  | 392373  | SH  | DEFINED | 01 | 0 |
| HUNT (JB) TRANSPRT SVCS INC    | COM      | 445658107 | 4      | 105     | SH  | DEFINED | 01 | 1 |
| HUNTINGTON BANCSHARES INC      | COM      | 446150104 | 38887  | 6857832 | SH  | DEFINED | 01 | 0 |
| HUNTINGTON BANCSHARES INC      | COM      | 446150104 | 214    | 37674   | SH  | DEFINED | 01 | 0 |
| HUNTINGTON BANCSHARES INC      | COM      | 446150104 | 95     | 16746   | SH  | DEFINED | 01 | 1 |
| HUNTSMAN CORP                  | COM      | 447011107 | 83770  | 7246653 | SH  | DEFINED | 01 | 0 |
| HUNTSMAN CORP                  | COM      | 447011107 | 133    | 11491   | SH  | DEFINED | 01 | 0 |
| HUNTSMAN CORP                  | COM      | 447011107 | 78     | 6773    | SH  | DEFINED | 01 | 1 |
| HURCO COMPANIES INC            | COM      | 447324104 | 4      | 210     | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| HURON CONSULTING GROUP INC     | COM | 447462102 | 4473  | 203471  | SH | DEFINED | 01 | 0 |
| HURON CONSULTING GROUP INC     | COM | 447462102 | 0     | 1       | SH | DEFINED | 01 | 1 |
| HUSQVARNA AB                   | COM | 448103101 | 8     | 520     | SH | DEFINED | 01 | 0 |
| HUTCHINSON TECH                | COM | 448407106 | 495   | 142852  | SH | DEFINED | 01 | 0 |
| HUTCHINSON TECH                | COM | 448407106 | 86    | 24720   | SH | DEFINED | 01 | 1 |
| HUTCHISON WHAMPOA -UNSP ADR    | COM | 448415208 | 74    | 1570    | SH | DEFINED | 01 | 0 |
| HUTCHISON TELECOMMUNI-ADR      | COM | 44841V102 | 4     | 1073    | SH | DEFINED | 01 | 0 |
| HUTTIG BUILDING PRODUCTS INC   | COM | 448451104 | 108   | 119803  | SH | DEFINED | 01 | 0 |
| HYATT HOTELS CORP - CL A       | COM | 448579102 | 230   | 6160    | SH | DEFINED | 01 | 0 |
| HYATT HOTELS CORP - CL A       | COM | 448579102 | 3     | 73      | SH | DEFINED | 01 | 1 |
| HYDROGENICS CORPORATIO         | COM | 448883207 | 3     | 800     | SH | DEFINED | 01 | 1 |
| IDT CORP-CLASS B               | COM | 448947507 | 319   | 17935   | SH | DEFINED | 01 | 0 |
| HYPERCOM CORP                  | COM | 44913M105 | 10220 | 1572389 | SH | DEFINED | 01 | 0 |
| HYPERCOM CORP                  | COM | 44913M105 | 6     | 1000    | SH | DEFINED | 01 | 1 |
| IAC/INTERACTIVECORP            | COM | 44919P508 | 133   | 5077    | SH | DEFINED | 01 | 0 |
| IAC/INTERACTIVECORP            | COM | 44919P508 | 2761  | 105105  | SH | DEFINED | 01 | 1 |
| IAC/INTERACTIVECORP            | COM | 44919P508 | 29    | 1100    | SH | DEFINED | 01 | 1 |
| ICF INTERNATIONAL INC          | COM | 44925C103 | 357   | 14245   | SH | DEFINED | 01 | 0 |
| ICU MEDICAL INC                | COM | 44930G107 | 22285 | 597605  | SH | DEFINED | 01 | 0 |
| ICO GLOBAL COM HLDG LTD-NEW    | COM | 44930K108 | 27    | 16810   | SH | DEFINED | 01 | 0 |
| ICAD INC                       | COM | 44934S107 | 11    | 6539    | SH | DEFINED | 01 | 1 |
| ICX TECHNOLOGIES INC           | COM | 44934T105 | 8     | 995     | SH | DEFINED | 01 | 0 |
| IESI - BFC LTD                 | COM | 44951D108 | 15976 | 697918  | SH | DEFINED | 01 | 0 |
| IESI - BFC LTD                 | COM | 44951D108 | 92    | 4000    | SH | DEFINED | 01 | 0 |
| IESI - BFC LTD                 | COM | 44951D108 | 43139 | 1888792 | SH | DEFINED | 01 | 1 |
| IESI - BFC LTD                 | COM | 44951D108 | 79    | 3453    | SH | DEFINED | 01 | 1 |
| IGO INC COM                    | COM | 449593102 | 1     | 500     | SH | DEFINED | 01 | 1 |
| ING PRIME RATE TR SH BEN INT   | COM | 44977W106 | 79    | 13712   | SH | DEFINED | 01 | 1 |
| IPG PHOTONICS CORP             | COM | 44980X109 | 10868 | 450205  | SH | DEFINED | 01 | 0 |
| IPG PHOTONICS CORP             | COM | 44980X109 | 20    | 808     | SH | DEFINED | 01 | 1 |
| ING RISK MANAGED NAT RES FD    | COM | 449810100 | 45    | 2919    | SH | DEFINED | 01 | 1 |
| ING CLARION GLOBAL REA         | COM | 44982G104 | 313   | 41472   | SH | DEFINED | 01 | 1 |
| ING GLOBAL ADVANTAGE& PREM OPP | COM | 44982N109 | 25    | 1776    | SH | DEFINED | 01 | 1 |
| ING ASIA PAC HIGH DIVID EQUI   | COM | 44983J107 | 32    | 1710    | SH | DEFINED | 01 | 1 |
| IPC THE HOSPITALIST CO         | COM | 44984A105 | 17918 | 655841  | SH | DEFINED | 01 | 0 |
| IPC THE HOSPITALIST CO         | COM | 44984A105 | 5     | 200     | SH | DEFINED | 01 | 1 |
| IRSA -SP ADR                   | COM | 450047204 | 5     | 330     | SH | DEFINED | 01 | 0 |
| ISTAR FINANCIAL INC            | COM | 45031U101 | 32    | 10320   | SH | DEFINED | 01 | 0 |
| ISTAR FINANCIAL INC            | COM | 45031U101 | 5     | 1760    | SH | DEFINED | 01 | 1 |
| ITT EDUCATIONAL SERVICES INC   | COM | 45068B109 | 14549 | 207048  | SH | DEFINED | 01 | 0 |
| ITT EDUCATIONAL SERVICES INC   | COM | 45068B109 | 106   | 1502    | SH | DEFINED | 01 | 1 |
| IVAX DIAGNOSTICS INC           | COM | 45070W109 | 0     | 100     | SH | DEFINED | 01 | 1 |
| IXIA                           | COM | 45071R109 | 1618  | 130491  | SH | DEFINED | 01 | 0 |
| IBERDROLA S A                  | COM | 450737101 | 161   | 5230    | SH | DEFINED | 01 | 0 |
| IBERDROLA RENOVABLES S A       | COM | 45074F102 | 3     | 190     | SH | DEFINED | 01 | 0 |
| IBERIABANK CORP                | COM | 450828108 | 20925 | 418700  | SH | DEFINED | 01 | 0 |
| ITT CORP                       | COM | 450911102 | 24066 | 513897  | SH | DEFINED | 01 | 0 |
| ITT CORP                       | COM | 450911102 | 451   | 9630    | SH | DEFINED | 01 | 0 |
| ITT CORP                       | COM | 450911102 | 163   | 3476    | SH | DEFINED | 01 | 1 |
| IAMGOLD CORP COM NPVISIN #CA45 | COM | 450913108 | 1     | 42      | SH | DEFINED | 01 | 1 |
| ICAP PLC                       | COM | 450936109 | 8     | 590     | SH | DEFINED | 01 | 0 |
| ICON PLC - SPONSORED ADR       | COM | 45103T107 | 23160 | 1071194 | SH | DEFINED | 01 | 0 |
| ICON PLC - SPONSORED ADR       | COM | 45103T107 | 0     | 10      | SH | DEFINED | 01 | 1 |
| ICICI BANK LTD-SPON ADR        | COM | 45104G104 | 5495  | 110239  | SH | DEFINED | 01 | 0 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ICICI BANK LTD-SPON ADR       | COM | 45104G104 | 5957   | 119498  | SH | DEFINED | 01 | 0 |
| ICICI BANK LTD-SPON ADR       | COM | 45104G104 | 39530  | 793271  | SH | DEFINED | 01 | 1 |
| ICICI BANK LTD-SPON ADR       | COM | 45104G104 | 1973   | 39601   | SH | DEFINED | 01 | 1 |
| ICICI BANK LTD-SPON ADR       | COM | 45104G104 | 78     | 1562    | SH | DEFINED | 01 | 1 |
| ICONIX BRAND GROUP INC        | COM | 451055107 | 6188   | 353620  | SH | DEFINED | 01 | 0 |
| IDACORP INC                   | COM | 451107106 | 13684  | 380933  | SH | DEFINED | 01 | 0 |
| IDACORP INC                   | COM | 451107106 | 108    | 3012    | SH | DEFINED | 01 | 1 |
| IDENIX PHARMACEUTICALS INC    | COM | 45166R204 | 489    | 157638  | SH | DEFINED | 01 | 0 |
| IDEX CORP                     | COM | 45167R104 | 16199  | 456175  | SH | DEFINED | 01 | 0 |
| IDEX CORP                     | COM | 45167R104 | 4910   | 138260  | SH | DEFINED | 01 | 1 |
| IDEX CORP                     | COM | 45167R104 | 449    | 12649   | SH | DEFINED | 01 | 1 |
| IDEXX LABORATORIES INC        | COM | 45168D104 | 15752  | 255225  | SH | DEFINED | 01 | 0 |
| IDEXX LABORATORIES INC        | COM | 45168D104 | 5      | 85      | SH | DEFINED | 01 | 1 |
| IGATE CORP                    | COM | 45169U105 | 13723  | 756525  | SH | DEFINED | 01 | 0 |
| IHS INC-CLASS A               | COM | 451734107 | 10490  | 154259  | SH | DEFINED | 01 | 0 |
| IHS INC-CLASS A               | COM | 451734107 | 32712  | 481057  | SH | DEFINED | 01 | 1 |
| IHS INC-CLASS A               | COM | 451734107 | 6      | 89      | SH | DEFINED | 01 | 1 |
| IKANOS COMMUNICATIONS INC     | COM | 45173E105 | 26     | 22245   | SH | DEFINED | 01 | 0 |
| ILLINOIS TOOL WORKS           | COM | 452308109 | 277016 | 5891437 | SH | DEFINED | 01 | 0 |
| ILLINOIS TOOL WORKS           | COM | 452308109 | 1947   | 41418   | SH | DEFINED | 01 | 0 |
| ILLINOIS TOOL WORKS           | COM | 452308109 | 172    | 3650    | SH | DEFINED | 01 | 1 |
| ILLUMINA INC                  | COM | 452327109 | 152043 | 3090333 | SH | DEFINED | 01 | 0 |
| ILLUMINA INC                  | COM | 452327109 | 190    | 3860    | SH | DEFINED | 01 | 0 |
| ILLUMINA INC                  | COM | 452327109 | 39     | 800     | SH | DEFINED | 01 | 1 |
| IMATION CORP                  | COM | 45245A107 | 4529   | 485414  | SH | DEFINED | 01 | 0 |
| IMATION CORP                  | COM | 45245A107 | 5      | 588     | SH | DEFINED | 01 | 1 |
| IMAX CORP                     | COM | 45245E109 | 12163  | 721410  | SH | DEFINED | 01 | 0 |
| IMAX CORP                     | COM | 45245E109 | 2298   | 136133  | SH | DEFINED | 01 | 1 |
| IMAX CORP                     | COM | 45245E109 | 31     | 1851    | SH | DEFINED | 01 | 1 |
| IMMERSION CORPORATION         | COM | 452521107 | 18     | 2970    | SH | DEFINED | 01 | 0 |
| IMMUCOR INC                   | COM | 452526106 | 8114   | 409210  | SH | DEFINED | 01 | 0 |
| IMMUCOR INC                   | COM | 452526106 | 9      | 450     | SH | DEFINED | 01 | 1 |
| IMMUNOGEN INC                 | COM | 45253H101 | 35     | 5566    | SH | DEFINED | 01 | 0 |
| IMMUNOGEN INC                 | COM | 45253H101 | 16     | 2554    | SH | DEFINED | 01 | 1 |
| IMPAC MTG HLDGS INC COM NEW   | COM | 45254P508 | 1      | 222     | SH | DEFINED | 01 | 1 |
| IMPALA PLATINUM-SPON ADR      | COM | 452553308 | 34     | 1310    | SH | DEFINED | 01 | 0 |
| IMPAX LABORATORIES INC        | COM | 45256B101 | 15327  | 774059  | SH | DEFINED | 01 | 0 |
| IMPAX LABORATORIES INC        | COM | 45256B101 | 26     | 1300    | SH | DEFINED | 01 | 1 |
| IMPERIAL HLDGS LTD            | COM | 452833205 | 6      | 380     | SH | DEFINED | 01 | 0 |
| IMMUNOMEDICS INC              | COM | 452907108 | 18     | 5400    | SH | DEFINED | 01 | 0 |
| IMPERIAL OIL LTD              | COM | 453038408 | 272    | 7200    | SH | DEFINED | 01 | 0 |
| IMPERIAL OIL LTD              | COM | 453038408 | 65     | 1723    | SH | DEFINED | 01 | 1 |
| IMPERIAL SUGAR CO             | COM | 453096208 | 13     | 997     | SH | DEFINED | 01 | 0 |
| IMPERIAL TOBACCO GROUP-ADR    | COM | 453142101 | 50     | 833     | SH | DEFINED | 01 | 0 |
| INCYTE CORP                   | COM | 45337C102 | 3345   | 209195  | SH | DEFINED | 01 | 0 |
| INCYTE CORP                   | COM | 45337C102 | 11     | 710     | SH | DEFINED | 01 | 1 |
| INDEPENDENT BANK CORP/MA      | COM | 453836108 | 19743  | 876691  | SH | DEFINED | 01 | 0 |
| INDEPENDENT BANK CORP/MA      | COM | 453836108 | 9      | 400     | SH | DEFINED | 01 | 1 |
| INDIA FUND INC                | COM | 454089103 | 8855   | 243400  | SH | DEFINED | 01 | 0 |
| INDIA FUND INC                | COM | 454089103 | 275    | 7566    | SH | DEFINED | 01 | 1 |
| INDEXIQ ETF TR IQ HEDGE MULT  | COM | 45409B107 | 92     | 3300    | SH | DEFINED | 01 | 1 |
| INDEXIQ ETF TR IQ HEDGE MACR  | COM | 45409B206 | 10     | 375     | SH | DEFINED | 01 | 1 |
| INDEXIQ ETF TR IQ CANADA SMA  | COM | 45409B867 | 8      | 290     | SH | DEFINED | 01 | 1 |
| INDITEX-UNSPON ADR            | COM | 455793109 | 17     | 1090    | SH | DEFINED | 01 | 0 |
| INDUSTRIAL SVCS OF AMERICA IN | COM | 456314103 | 23     | 1500    | SH | DEFINED | 01 | 1 |

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

|                                |          |           |       |          |     |         |    |   |
|--------------------------------|----------|-----------|-------|----------|-----|---------|----|---|
| INDUSTRIAS BACHOCO SAB SP AD   | COM      | 456463108 | 2736  | 144348   | SH  | DEFINED | 01 | 0 |
| INERGY LP                      | COM      | 456615103 | 294   | 7404     | SH  | DEFINED | 01 | 1 |
| INERGY HLDGS LP                | COM      | 45661Q107 | 103   | 3422     | SH  | DEFINED | 01 | 1 |
| INFINEON TECHNOLOGIES-ADR      | COM      | 45662N103 | 18    | 2576     | SH  | DEFINED | 01 | 0 |
| INFINITY PHARMACEUTICALS INC   | COM      | 45665G303 | 7     | 1250     | SH  | DEFINED | 01 | 0 |
| INFINITY PROPERTY & CASUALTY   | COM      | 45665Q103 | 26313 | 539492   | SH  | DEFINED | 01 | 0 |
| INFORMATICA CORP               | COM      | 45666Q102 | 33737 | 878269   | SH  | DEFINED | 01 | 0 |
| INFORMATICA CORP               | COM      | 45666Q102 | 51    | 1316     | SH  | DEFINED | 01 | 0 |
| INFORMATICA CORP               | COM      | 45666Q102 | 1238  | 32228    | SH  | DEFINED | 01 | 1 |
| INFORMATICA CORP CNV BD        | CONV BND | 45666QAB8 | 3375  | 1750000  | PRN | DEFINED | 01 | 0 |
| INFINERA CORP                  | COM      | 45667G103 | 27129 | 2324734  | SH  | DEFINED | 01 | 0 |
| INFINERA CORP                  | COM      | 45667G103 | 343   | 29388    | SH  | DEFINED | 01 | 0 |
| INFINERA CORP                  | COM      | 45667G103 | 23    | 1937     | SH  | DEFINED | 01 | 1 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM      | 456788108 | 29346 | 435980   | SH  | DEFINED | 01 | 0 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM      | 456788108 | 2518  | 37404    | SH  | DEFINED | 01 | 0 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM      | 456788108 | 3186  | 47391    | SH  | DEFINED | 01 | 1 |
| INFOSYS TECHNOLOGIES-SP ADR    | COM      | 456788108 | 182   | 2710     | SH  | DEFINED | 01 | 1 |
| INFOSPACE INC                  | COM      | 45678T300 | 7973  | 920597   | SH  | DEFINED | 01 | 0 |
| INFOSPACE INC                  | COM      | 45678T300 | 2     | 179      | SH  | DEFINED | 01 | 1 |
| FHLB MEMBERSHIP STK            | COM      | 4567FHLB4 | 3421  | 3421384  | SH  | DEFINED | 01 | 0 |
| ING GROEP N.V.-SPONSORED ADR   | COM      | 456837103 | 163   | 15838    | SH  | DEFINED | 01 | 0 |
| ING GROEP N.V.-SPONSORED ADR   | COM      | 456837103 | 45    | 4404     | SH  | DEFINED | 01 | 1 |
| ING GLOBAL EQUITY DIVID & PR   | COM      | 45684E107 | 189   | 16323    | SH  | DEFINED | 01 | 1 |
| ING INTL HIGH DIVID EQUITY INC | COM      | 45684Q100 | 17    | 1500     | SH  | DEFINED | 01 | 1 |
| INGERSOLL RAND GLOBAL HOLDING  | CONV BND | 45687AAD4 | 2139  | 1050000  | PRN | DEFINED | 01 | 0 |
| FHLB MEMBERSHIP STOCK          | COM      | 4568FHLB2 | 10249 | 10248984 | SH  | DEFINED | 01 | 0 |
| INGLES MARKETS INC-CLASS A     | COM      | 457030104 | 19    | 1145     | SH  | DEFINED | 01 | 0 |
| INGLES MARKETS INC-CLASS A     | COM      | 457030104 | 8     | 477      | SH  | DEFINED | 01 | 1 |
| INGRAM MICRO INC-CL A          | COM      | 457153104 | 9620  | 570508   | SH  | DEFINED | 01 | 0 |
| INGRAM MICRO INC-CL A          | COM      | 457153104 | 1     | 30       | SH  | DEFINED | 01 | 1 |
| INHIBITEX INC                  | COM      | 45719T103 | 6     | 3225     | SH  | DEFINED | 01 | 0 |
| INLAND REAL ESTATE CORP - REIT | COM      | 457461200 | 2927  | 352216   | SH  | DEFINED | 01 | 0 |
| INLAND REAL ESTATE CORP - REIT | COM      | 457461200 | 172   | 20711    | SH  | DEFINED | 01 | 1 |
| INSIGHT ENTERPRISES INC        | COM      | 45765U103 | 4426  | 283041   | SH  | DEFINED | 01 | 0 |
| INSIGNIA SYS INC               | COM      | 45765Y105 | 800   | 115400   | SH  | DEFINED | 01 | 1 |
| INSITUFORM TECHNOLOGIES-CL A   | COM      | 457667103 | 58921 | 2436741  | SH  | DEFINED | 01 | 0 |
| INSITUFORM TECHNOLOGIES-CL A   | COM      | 457667103 | 25    | 1033     | SH  | DEFINED | 01 | 1 |
| INNOSPEC INC                   | COM      | 45768S105 | 143   | 9414     | SH  | DEFINED | 01 | 0 |
| INNOSPEC INC                   | COM      | 45768S105 | 2     | 100      | SH  | DEFINED | 01 | 1 |
| INSPIRE PHARMACEUTICALS INC    | COM      | 457733103 | 890   | 149534   | SH  | DEFINED | 01 | 0 |
| INOVIO PHARMACEUTICALS INC     | COM      | 45773H102 | 7     | 5250     | SH  | DEFINED | 01 | 0 |
| INOVIO PHARMACEUTICALS INC     | COM      | 45773H102 | 4     | 3200     | SH  | DEFINED | 01 | 1 |
| INNERWORKINGS INC              | COM      | 45773Y105 | 13    | 1945     | SH  | DEFINED | 01 | 0 |
| INNERWORKINGS INC              | COM      | 45773Y105 | 2     | 325      | SH  | DEFINED | 01 | 1 |
| INNOPHOS HOLDINGS INC          | COM      | 45774N108 | 7488  | 226232   | SH  | DEFINED | 01 | 0 |
| INSTEEL INDUSTRIES INC         | COM      | 45774W108 | 78    | 8683     | SH  | DEFINED | 01 | 0 |
| INSTEEL INDUSTRIES INC         | COM      | 45774W108 | 0     | 40       | SH  | DEFINED | 01 | 1 |
| INSULET CORP                   | COM      | 45784P101 | 9603  | 679214   | SH  | DEFINED | 01 | 0 |
| INSULET CORP                   | COM      | 45784P101 | 5     | 384      | SH  | DEFINED | 01 | 1 |
| INPEX CORP                     | COM      | 45790H101 | 38    | 810      | SH  | DEFINED | 01 | 0 |
| INTEGRA LIFESCIENCES HOLDING   | COM      | 457985208 | 7734  | 196020   | SH  | DEFINED | 01 | 0 |
| INTEGRA LIFESCIENCES HOLDING   | COM      | 457985208 | 40    | 1023     | SH  | DEFINED | 01 | 0 |
| INTEGRA LIFESCIENCES HOLDING   | COM      | 457985208 | 4     | 100      | SH  | DEFINED | 01 | 1 |
| INTEGRAL SYSTEMS INC/MD        | COM      | 45810H107 | 7224  | 978869   | SH  | DEFINED | 01 | 0 |
| INTEGRAMED AMERICA INC         | COM      | 45810N302 | 10    | 1017     | SH  | DEFINED | 01 | 1 |
| INTEGRATED DEVICE TECH INC     | COM      | 458118106 | 22119 | 3780806  | SH  | DEFINED | 01 | 0 |



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

|                                |          |           |         |          |     |         |    |   |
|--------------------------------|----------|-----------|---------|----------|-----|---------|----|---|
| INTEGRATED DEVICE TECH INC     | COM      | 458118106 | 2       | 426      | SH  | DEFINED | 01 | 1 |
| INTEGRATED SILICON SOLUTION    | COM      | 45812P107 | 61      | 7100     | SH  | DEFINED | 01 | 0 |
| INTEGRATED SILICON SOLUTION    | COM      | 45812P107 | 349     | 40570    | SH  | DEFINED | 01 | 1 |
| INTEL CORP                     | COM      | 458140100 | 584275  | 30386603 | SH  | DEFINED | 01 | 0 |
| INTEL CORP                     | COM      | 458140100 | 6320    | 328634   | SH  | DEFINED | 01 | 0 |
| INTEL CORP                     | COM      | 458140100 | 47657   | 2477026  | SH  | DEFINED | 01 | 1 |
| INTEL CORP                     | COM      | 458140100 | 6797    | 354024   | SH  | DEFINED | 01 | 1 |
| INTELLIPHARMACEUTICSINTL INC C | COM      | 458173101 | 0       | 6        | SH  | DEFINED | 01 | 1 |
| INTEGRYS ENERGY GROUP INC      | COM      | 45822P105 | 4044    | 77674    | SH  | DEFINED | 01 | 0 |
| INTEGRYS ENERGY GROUP INC      | COM      | 45822P105 | 211     | 4057     | SH  | DEFINED | 01 | 0 |
| INTEGRYS ENERGY GROUP INC      | COM      | 45822P105 | 1457    | 28000    | SH  | DEFINED | 01 | 1 |
| INTEGRYS ENERGY GROUP INC      | COM      | 45822P105 | 123     | 2363     | SH  | DEFINED | 01 | 1 |
| INTER PARFUMS INC              | COM      | 458334109 | 357     | 20269    | SH  | DEFINED | 01 | 0 |
| INTERACTIVE INTELLIGENCE INC   | COM      | 45839M103 | 1095    | 62242    | SH  | DEFINED | 01 | 0 |
| INTERACTIVE BROKERS GRO-CL A   | COM      | 45841N107 | 3412    | 198260   | SH  | DEFINED | 01 | 0 |
| INTERCONTINENTAL HOTELS-ADR    | COM      | 45857P301 | 36      | 1995     | SH  | DEFINED | 01 | 0 |
| INTERCONTINENTAL HOTELS-ADR    | COM      | 45857P301 | 9       | 482      | SH  | DEFINED | 01 | 1 |
| INTERCONTINENTALEXCHANGE INC   | COM      | 45865V100 | 120220  | 1148005  | SH  | DEFINED | 01 | 0 |
| INTERCONTINENTALEXCHANGE INC   | COM      | 45865V100 | 582     | 5552     | SH  | DEFINED | 01 | 0 |
| INTERCONTINENTALEXCHANGE INC   | COM      | 45865V100 | 142     | 1357     | SH  | DEFINED | 01 | 1 |
| INTERFACE INC-CL A             | COM      | 458665106 | 5453    | 383192   | SH  | DEFINED | 01 | 0 |
| INTERDIGITAL INC               | COM      | 45867G101 | 31565   | 1065977  | SH  | DEFINED | 01 | 0 |
| INTERDIGITAL INC               | COM      | 45867G101 | 216     | 7300     | SH  | DEFINED | 01 | 1 |
| INTERLEUKIN GENETICS INC       | COM      | 458738101 | 3       | 6500     | SH  | DEFINED | 01 | 1 |
| INTERLINE BRANDS INC           | COM      | 458743101 | 41      | 2285     | SH  | DEFINED | 01 | 0 |
| INTERMEC INC                   | COM      | 458786100 | 2880    | 234999   | SH  | DEFINED | 01 | 0 |
| INTERMEC INC                   | COM      | 458786100 | 33      | 2668     | SH  | DEFINED | 01 | 1 |
| INTERMUNE INC                  | COM      | 45884X103 | 1462    | 107315   | SH  | DEFINED | 01 | 0 |
| INTERMUNE INC                  | COM      | 45884X103 | 14      | 1000     | SH  | DEFINED | 01 | 1 |
| INTERNAP NETWORK SERVICES      | COM      | 45885A300 | 23      | 4665     | SH  | DEFINED | 01 | 0 |
| INTERNAP NETWORK SERVICES      | COM      | 45885A300 | 0       | 5        | SH  | DEFINED | 01 | 1 |
| INTERMEDIA COMM ESCROW         | COM      | 458ESCBB5 | 0       | 2200000  | SH  | DEFINED | 01 | 0 |
| INTL ASSETS HOLDING CORP       | COM      | 459028106 | 10465   | 578189   | SH  | DEFINED | 01 | 0 |
| INTERNATIONAL BANCSHARES CRP   | COM      | 459044103 | 4535    | 268461   | SH  | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM      | 459200101 | 1246089 | 9289444  | SH  | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM      | 459200101 | 7742    | 57718    | SH  | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM      | 459200101 | 9796    | 73030    | SH  | DEFINED | 01 | 0 |
| INTL BUSINESS MACHINES CORP    | COM      | 459200101 | 261100  | 1946779  | SH  | DEFINED | 01 | 1 |
| INTL BUSINESS MACHINES CORP    | COM      | 459200101 | 9106    | 67886    | SH  | DEFINED | 01 | 1 |
| INTERNATIONAL COAL GROUP INC   | COM      | 45928H106 | 9969    | 1874079  | SH  | DEFINED | 01 | 0 |
| INTERNATIONAL COAL GROUP INC   | COM      | 45928H106 | 19      | 3506     | SH  | DEFINED | 01 | 1 |
| INTERNATIONAL COAL GROUP INC   | CONV BND | 45928HAG1 | 4354    | 3770000  | PRN | DEFINED | 01 | 0 |
| INTL FLAVORS & FRAGRANCES      | COM      | 459506101 | 55647   | 1146866  | SH  | DEFINED | 01 | 0 |
| INTL FLAVORS & FRAGRANCES      | COM      | 459506101 | 204     | 4198     | SH  | DEFINED | 01 | 0 |
| INTL FLAVORS & FRAGRANCES      | COM      | 459506101 | 3       | 67       | SH  | DEFINED | 01 | 1 |
| INTL GAME TECHNOLOGY           | COM      | 459902102 | 45068   | 3118980  | SH  | DEFINED | 01 | 0 |
| INTL GAME TECHNOLOGY           | COM      | 459902102 | 292     | 20211    | SH  | DEFINED | 01 | 0 |
| INTL GAME TECHNOLOGY           | COM      | 459902102 | 2520    | 174643   | SH  | DEFINED | 01 | 1 |
| INTL GAME TECHNOLOGY           | COM      | 459902102 | 56      | 3886     | SH  | DEFINED | 01 | 1 |
| INDUSTRIVARDEN AB-C SHS        | COM      | 460121981 | 9       | 645      | SH  | DEFINED | 01 | 0 |
| INDUSTRIVARDEN AB-A SHS        | COM      | 460121999 | 8       | 544      | SH  | DEFINED | 01 | 0 |
| INTERNATIONAL PAPER CO         | COM      | 460146103 | 28968   | 1331875  | SH  | DEFINED | 01 | 0 |
| INTERNATIONAL PAPER CO         | COM      | 460146103 | 500     | 22968    | SH  | DEFINED | 01 | 0 |
| INTERNATIONAL PAPER CO         | COM      | 460146103 | 126     | 5774     | SH  | DEFINED | 01 | 1 |
| INTERNATIONAL PWR PLC ADR SPON | COM      | 46018M104 | 76      | 1238     | SH  | DEFINED | 01 | 0 |
| INTL RECTIFIER CORP            | COM      | 460254105 | 3574    | 169443   | SH  | DEFINED | 01 | 0 |

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

|                               |          |           |       |         |     |         |    |   |
|-------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| INTL RECTIFIER CORP           | COM      | 460254105 | 14    | 680     | SH  | DEFINED | 01 | 1 |
| INTL SHIPHOLDING CORP         | COM      | 460321201 | 120   | 4227    | SH  | DEFINED | 01 | 0 |
| INTL SHIPHOLDING CORP         | COM      | 460321201 | 28    | 1000    | SH  | DEFINED | 01 | 1 |
| INTL SPEEDWAY CORP-CL A       | COM      | 460335201 | 4085  | 167412  | SH  | DEFINED | 01 | 0 |
| INTL SPEEDWAY CORP-CL A       | COM      | 460335201 | 7     | 275     | SH  | DEFINED | 01 | 0 |
| INTERNET CAPITAL GROUP INC    | COM      | 46059C205 | 33    | 3025    | SH  | DEFINED | 01 | 0 |
| INTERNET CAPITAL GROUP INC    | COM      | 46059C205 | 2     | 180     | SH  | DEFINED | 01 | 1 |
| INTERNET INITIATIVE-SPON ADR  | COM      | 46059T109 | 0     | 30      | SH  | DEFINED | 01 | 0 |
| INTERNET INITIATIVE-SPON ADR  | COM      | 46059T109 | 0     | 11      | SH  | DEFINED | 01 | 1 |
| INTERNET HOLDERS TR           | COM      | 46059W102 | 25    | 400     | SH  | DEFINED | 01 | 1 |
| INTERNET BRANDS INC-CL A      | COM      | 460608102 | 28    | 2130    | SH  | DEFINED | 01 | 0 |
| INTERPUBLIC GROUP OF COS INC  | COM      | 460690100 | 3151  | 314146  | SH  | DEFINED | 01 | 0 |
| INTERPUBLIC GROUP OF COS INC  | COM      | 460690100 | 258   | 25689   | SH  | DEFINED | 01 | 0 |
| INTERPUBLIC GROUP OF COS INC  | COM      | 460690100 | 319   | 31769   | SH  | DEFINED | 01 | 1 |
| INTERPUBLIC GROUP OF CO INC   | CONV BND | 460690BA7 | 4178  | 3860000 | PRN | DEFINED | 01 | 0 |
| INTERSIL CORP -CL A           | COM      | 46069S109 | 3547  | 303453  | SH  | DEFINED | 01 | 0 |
| INTERSIL CORP -CL A           | COM      | 46069S109 | 0     | 2       | SH  | DEFINED | 01 | 1 |
| INTEROIL CORP                 | COM      | 460951106 | 90    | 1320    | SH  | DEFINED | 01 | 0 |
| INTEROIL CORP                 | COM      | 460951106 | 16793 | 246008  | SH  | DEFINED | 01 | 1 |
| INTEROIL CORP                 | COM      | 460951106 | 755   | 11025   | SH  | DEFINED | 01 | 1 |
| INTERVAL LEISURE GROUP        | COM      | 46113M108 | 2601  | 193113  | SH  | DEFINED | 01 | 0 |
| INTERVAL LEISURE GROUP        | COM      | 46113M108 | 1     | 61      | SH  | DEFINED | 01 | 1 |
| INTEVAC INC                   | COM      | 461148108 | 1059  | 105851  | SH  | DEFINED | 01 | 0 |
| INTESA SANPAOLO               | COM      | 46115H107 | 88    | 4540    | SH  | DEFINED | 01 | 0 |
| INTRALINKS HOLDINGS INC       | COM      | 46118H104 | 18944 | 1120320 | SH  | DEFINED | 01 | 0 |
| INTRALINKS HOLDINGS INC       | COM      | 46118H104 | 24    | 1410    | SH  | DEFINED | 01 | 0 |
| INTRALINKS HOLDINGS INC       | COM      | 46118H104 | 180   | 13798   | SH  | DEFINED | 01 | 1 |
| INTUIT INC                    | COM      | 461202103 | 93290 | 2129417 | SH  | DEFINED | 01 | 0 |
| INTUIT INC                    | COM      | 461202103 | 651   | 14862   | SH  | DEFINED | 01 | 0 |
| INTUIT INC                    | COM      | 461202103 | 171   | 3908    | SH  | DEFINED | 01 | 1 |
| INVACARE CORP                 | COM      | 461203101 | 49745 | 1876476 | SH  | DEFINED | 01 | 0 |
| INVACARE CORP                 | COM      | 461203101 | 24    | 900     | SH  | DEFINED | 01 | 1 |
| INVENSYS PLC -SPON ADR        | COM      | 461204208 | 2     | 510     | SH  | DEFINED | 01 | 0 |
| INTUITIVE SURGICAL INC        | COM      | 46120E602 | 27872 | 98235   | SH  | DEFINED | 01 | 0 |
| INTUITIVE SURGICAL INC        | COM      | 46120E602 | 636   | 2243    | SH  | DEFINED | 01 | 0 |
| INTUITIVE SURGICAL INC        | COM      | 46120E602 | 493   | 1739    | SH  | DEFINED | 01 | 1 |
| INVENTURE FOODS INC COM       | COM      | 461212102 | 4     | 1000    | SH  | DEFINED | 01 | 1 |
| INTREPID POTASH INC           | COM      | 46121Y102 | 16317 | 625870  | SH  | DEFINED | 01 | 0 |
| INTREPID POTASH INC           | COM      | 46121Y102 | 131   | 5008    | SH  | DEFINED | 01 | 0 |
| INTREPID POTASH INC           | COM      | 46121Y102 | 74    | 2820    | SH  | DEFINED | 01 | 1 |
| INVERNESS MEDICAL INNOVATIONS | CONV BND | 46126PAC0 | 4839  | 5100000 | PRN | DEFINED | 01 | 0 |
| INVESCO INSD MUN BD TR COM    | COM      | 46130Y101 | 17    | 1200    | SH  | DEFINED | 01 | 1 |
| INVESCO MORTGAGE CAPITAL REIT | COM      | 46131B100 | 420   | 19510   | SH  | DEFINED | 01 | 0 |
| INVESCO MORTGAGE CAPITAL REIT | COM      | 46131B100 | 87    | 4050    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN HIGH INCOM | COM      | 46131F101 | 156   | 9326    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN SR INCOME  | COM      | 46131H107 | 82    | 17797   | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN MUN TR COM | COM      | 46131J103 | 22    | 1555    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN OHIO QUALI | COM      | 46131K100 | 2     | 150     | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN TR INSD MU | COM      | 46131L108 | 14    | 1000    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN TR INVT GR | COM      | 46131M106 | 67    | 4476    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN MUN OPPORT | COM      | 46132C107 | 5     | 337     | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN ADVANTAGE  | COM      | 46132E103 | 73    | 5666    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN SELECT SEC | COM      | 46132G108 | 72    | 5659    | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN MASS VALUE | COM      | 46132J102 | 10    | 770     | SH  | DEFINED | 01 | 1 |
| INVESCO VAN KAMPEN BD FD COM  | COM      | 46132L107 | 4     | 200     | SH  | DEFINED | 01 | 1 |
| INVESCO INSD MUN INCOME TR    | COM      | 46132P108 | 69    | 4498    | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| INVESCO VAN KAMPEN DYNAMIC CR  | COM      | 46132R104 | 50    | 4150    | SH  | DEFINED | 01 | 1 |
| INVESCO INSD MUN SECS COM      | COM      | 46132T100 | 42    | 2910    | SH  | DEFINED | 01 | 1 |
| INVESCO INSD MUN TR COM        | COM      | 46132W103 | 32    | 2100    | SH  | DEFINED | 01 | 1 |
| INVESCO MUN INCOME OPPORTUNIT  | COM      | 46133C106 | 95    | 11187   | SH  | DEFINED | 01 | 1 |
| INVESCO MUNICIPAL PREMIUM IN   | COM      | 46133E102 | 11    | 1200    | SH  | DEFINED | 01 | 1 |
| INVESCO NY QUALITY MUN SECS C  | COM      | 46133F109 | 43    | 2844    | SH  | DEFINED | 01 | 1 |
| INVESCO QUALITY MUN INCOME TR  | COM      | 46133G107 | 7     | 479     | SH  | DEFINED | 01 | 1 |
| INVESCO QUALITY MUN INVT TR CO | COM      | 46133H105 | 5     | 330     | SH  | DEFINED | 01 | 1 |
| INVESCO QUALITY MUN SECS COM   | COM      | 46133J101 | 86    | 5800    | SH  | DEFINED | 01 | 1 |
| INVESTOR AB                    | COM      | 46145A106 | 11    | 1090    | SH  | DEFINED | 01 | 0 |
| INVESTMENT TECHNOLOGY GROUP    | COM      | 46145F105 | 23941 | 1683634 | SH  | DEFINED | 01 | 0 |
| INVESTMENT TECHNOLOGY GROUP    | COM      | 46145F105 | 1     | 100     | SH  | DEFINED | 01 | 1 |
| INVESTORS BANCORP INC          | COM      | 46146P102 | 7545  | 637234  | SH  | DEFINED | 01 | 0 |
| INVESTORS REAL ESTATE TRUST -  | COM      | 461730103 | 44    | 5274    | SH  | DEFINED | 01 | 0 |
| LIFE TECHNOLOGIES CORP         | CONV BND | 46185RAM2 | 10409 | 9346000 | PRN | DEFINED | 01 | 0 |
| INVESTORS ECON SYSTS           | COM      | 461990103 | 0     | 2305    | SH  | DEFINED | 01 | 0 |
| ION GEOPHYSICAL CORP           | COM      | 462044108 | 16725 | 3253745 | SH  | DEFINED | 01 | 0 |
| ION GEOPHYSICAL CORP           | COM      | 462044108 | 24    | 4671    | SH  | DEFINED | 01 | 1 |
| IPASS INC                      | COM      | 46261V108 | 1     | 1000    | SH  | DEFINED | 01 | 1 |
| IRELAND BK                     | COM      | 46267Q103 | 4     | 1240    | SH  | DEFINED | 01 | 0 |
| IRELAND BK                     | COM      | 46267Q103 | 0     | 47      | SH  | DEFINED | 01 | 1 |
| IRIDIUM COMMUNICATIONS INC     | COM      | 46269C102 | 16694 | 1954939 | SH  | DEFINED | 01 | 0 |
| IRIDIUM COMMUNICATIONS INC     | COM      | 46269C102 | 80    | 9421    | SH  | DEFINED | 01 | 1 |
| IRIS INTERNATIONAL INC         | COM      | 46270W105 | 10    | 1065    | SH  | DEFINED | 01 | 0 |
| IROBOT CORP                    | COM      | 462726100 | 27    | 1495    | SH  | DEFINED | 01 | 0 |
| IROBOT CORP                    | COM      | 462726100 | 40    | 2128    | SH  | DEFINED | 01 | 1 |
| IRON MOUNTAIN INC              | COM      | 462846106 | 50079 | 2241654 | SH  | DEFINED | 01 | 0 |
| IRON MOUNTAIN INC              | COM      | 462846106 | 304   | 13609   | SH  | DEFINED | 01 | 0 |
| IRON MOUNTAIN INC              | COM      | 462846106 | 109   | 4871    | SH  | DEFINED | 01 | 1 |
| IRONWOOD PHARMACEUTICALS INC   | COM      | 46333X108 | 4430  | 435139  | SH  | DEFINED | 01 | 0 |
| IRVINE SENSORS CORP COM PAR \$ | COM      | 463664607 | 0     | 4       | SH  | DEFINED | 01 | 1 |
| ISHARES GOLD TRUST ISHARES IS  | COM      | 464285105 | 2077  | 162281  | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI AUSTRALIA     | COM      | 464286103 | 1013  | 42655   | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI BELGIUM IN    | COM      | 464286301 | 7     | 500     | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI BRAZIL ETF        | COM      | 464286400 | 69    | 900     | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI BRAZIL ETF        | COM      | 464286400 | 2811  | 36527   | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI CANADA IND    | COM      | 464286509 | 1044  | 37259   | SH  | DEFINED | 01 | 1 |
| ISHARES INC JAPAN SALL CAP IN  | COM      | 464286582 | 7     | 175     | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI EMUINDEX FD   | COM      | 464286608 | 144   | 4148    | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI ISRISRAEL CAP | COM      | 464286632 | 50    | 915     | SH  | DEFINED | 01 | 1 |
| ISHARES INC MCSI CHILE INVE    | COM      | 464286640 | 22    | 300     | SH  | DEFINED | 01 | 1 |
| ISHARES INC MCSI BRIC          | COM      | 464286657 | 1350  | 28267   | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI PACIFIC EX JPN ET | COM      | 464286665 | 175   | 3957    | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI PACIFIC EX JPN ET | COM      | 464286665 | 500   | 11286   | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI SINGAPORE     | COM      | 464286673 | 119   | 8984    | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI UNITED KINGDOM    | COM      | 464286699 | 234   | 14288   | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI UNITED KINGDOM    | COM      | 464286699 | 1     | 51      | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI TURKEY IND    | COM      | 464286715 | 47    | 673     | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI TAIWAN IDX ETF    | COM      | 464286731 | 38    | 2820    | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI TAIWAN IDX ETF    | COM      | 464286731 | 4189  | 309132  | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI TAIWAN IDX ETF    | COM      | 464286731 | 4186  | 309132  | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI TAIWAN IDX ETF    | COM      | 464286731 | 149   | 11005   | SH  | DEFINED | 01 | 1 |
| ISHARES INC MSCI SWITZERLAN    | COM      | 464286749 | 2308  | 101135  | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI SOUTH KOREA IND   | COM      | 464286772 | 13    | 250     | SH  | DEFINED | 01 | 0 |
| ISHARES MSCI SOUTH KOREA IND   | COM      | 464286772 | 53    | 994     | SH  | DEFINED | 01 | 1 |
| ISHARES MSCI SOUTH AFRICA IN   | COM      | 464286780 | 50    | 740     | SH  | DEFINED | 01 | 0 |

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

|         |                        |     |           |       |        |    |         |    |   |
|---------|------------------------|-----|-----------|-------|--------|----|---------|----|---|
| ISHARES | MSCI SOUTH AFRICA IN   | COM | 464286780 | 66    | 988    | SH | DEFINED | 01 | 1 |
| ISHARES | INC MSCI GERMANY IN    | COM | 464286806 | 110   | 4993   | SH | DEFINED | 01 | 1 |
| ISHARES | INC MSCI NETHERLAND    | COM | 464286814 | 0     | 1      | SH | DEFINED | 01 | 1 |
| ISHARES | MSCI MEXICO ETF        | COM | 464286822 | 36    | 680    | SH | DEFINED | 01 | 0 |
| ISHARES | MSCI MEXICO ETF        | COM | 464286822 | 2281  | 43037  | SH | DEFINED | 01 | 1 |
| ISHARES | INC MSCI MALAYSIA F    | COM | 464286830 | 116   | 8471   | SH | DEFINED | 01 | 1 |
| ISHARES | MSCI JAPAN IDX FD ETF  | COM | 464286848 | 335   | 33837  | SH | DEFINED | 01 | 0 |
| ISHARES | MSCI JAPAN IDX FD ETF  | COM | 464286848 | 926   | 93650  | SH | DEFINED | 01 | 1 |
| ISHARES | INC MSCI HONG KONG     | COM | 464286871 | 114   | 6292   | SH | DEFINED | 01 | 1 |
| ISHARES | MSCI INDIA ETF         | COM | 464286889 | 2135  | 268200 | SH | DEFINED | 01 | 0 |
| ISHARES | S&P 100 INDEX FUND     | COM | 464287101 | 454   | 8825   | SH | DEFINED | 01 | 0 |
| ISHARES | S&P 100 INDEX FUND     | COM | 464287101 | 1659  | 32215  | SH | DEFINED | 01 | 1 |
| ISHARES | TR LARGE GROWTH IND    | COM | 464287119 | 1122  | 19140  | SH | DEFINED | 01 | 1 |
| ISHARES | TR LARGE CORE INDEX    | COM | 464287127 | 253   | 3920   | SH | DEFINED | 01 | 1 |
| ISHARES | TR NYSE 100 I          | COM | 464287135 | 14    | 250    | SH | DEFINED | 01 | 1 |
| ISHARES | TR NYSE COMPO          | COM | 464287143 | 104   | 1560   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P 1500 I          | COM | 464287150 | 7     | 128    | SH | DEFINED | 01 | 1 |
| ISHARES | DJ SELECT DIVIDEND     | COM | 464287168 | 2697  | 57581  | SH | DEFINED | 01 | 0 |
| ISHARES | DJ SELECT DIVIDEND     | COM | 464287168 | 3666  | 78261  | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS TIPS BOND ETF | COM | 464287176 | 8044  | 73779  | SH | DEFINED | 01 | 0 |
| ISHARES | BARCLAYS TIPS BOND ETF | COM | 464287176 | 34774 | 318848 | SH | DEFINED | 01 | 1 |
| ISHARES | FTSE/XINHUA CHINA 25 I | COM | 464287184 | 1893  | 44184  | SH | DEFINED | 01 | 0 |
| ISHARES | FTSE/XINHUA CHINA 25 I | COM | 464287184 | 4436  | 103608 | SH | DEFINED | 01 | 1 |
| ISHARES | TR TRANSPORTA          | COM | 464287192 | 250   | 3066   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P 500 IDX FD ETF     | COM | 464287200 | 4362  | 38100  | SH | DEFINED | 01 | 0 |
| ISHARES | S&P 500 IDX FD ETF     | COM | 464287200 | 15164 | 132446 | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS U S AGGREG    | COM | 464287226 | 14016 | 129006 | SH | DEFINED | 01 | 1 |
| ISHARES | MSCI EMERG MKT IN ETF  | COM | 464287234 | 1367  | 30525  | SH | DEFINED | 01 | 0 |
| ISHARES | MSCI EMERG MKT IN ETF  | COM | 464287234 | 12399 | 276952 | SH | DEFINED | 01 | 1 |
| ISHARES | IBOXX \$ INVESTOP I    | COM | 464287242 | 9873  | 87303  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL TEL      | COM | 464287275 | 67    | 1180   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL INF      | COM | 464287291 | 1996  | 35924  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P 500/ GROWTH IND | COM | 464287309 | 11387 | 191804 | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL HEA      | COM | 464287325 | 2145  | 42356  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL FIN      | COM | 464287333 | 394   | 8940   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL ENE      | COM | 464287341 | 3126  | 92324  | SH | DEFINED | 01 | 1 |
| ISHARES | S&P NORTH AMERICAN N   | COM | 464287374 | 2399  | 69066  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P/TOPIX150 INDEX  | COM | 464287382 | 26    | 600    | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P LATIN AMER      | COM | 464287390 | 635   | 12561  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P 500/ VALUE IND  | COM | 464287408 | 4067  | 74976  | SH | DEFINED | 01 | 1 |
| ISHARES | LEH 20+ YR TREAS ETF   | COM | 464287432 | 13901 | 131747 | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS 7-10 YEAR     | COM | 464287440 | 21084 | 212950 | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS 1-3YEAR TREAS | COM | 464287457 | 27758 | 329008 | SH | DEFINED | 01 | 1 |
| ISHARES | MSCI EAFE INDEX FUND   | COM | 464287465 | 27403 | 498958 | SH | DEFINED | 01 | 0 |
| ISHARES | MSCI EAFE INDEX FUND   | COM | 464287465 | 15814 | 287954 | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL MIDCAP VALUE E | COM | 464287473 | 2     | 60     | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL MIDCAP VALUE E | COM | 464287473 | 6985  | 173013 | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL MIDCAP GRO  | COM | 464287481 | 6574  | 131956 | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL MIDCAP IDX ETF | COM | 464287499 | 17387 | 192409 | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL MIDCAP IDX ETF | COM | 464287499 | 7519  | 83208  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P MIDCAP 400      | COM | 464287507 | 2344  | 29269  | SH | DEFINED | 01 | 1 |
| ISHARES | S&P NORTH AMERICAN T   | COM | 464287515 | 14    | 261    | SH | DEFINED | 01 | 1 |
| ISHARES | S&P GSTI SEMICONDUCT E | COM | 464287523 | 402   | 8503   | SH | DEFINED | 01 | 0 |
| ISHARES | S&P GSTI SEMICONDUCT E | COM | 464287523 | 90    | 1900   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P NORTH AMERICAN T   | COM | 464287531 | 37    | 1245   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P NORTH AMERICAN T   | COM | 464287549 | 406   | 7425   | SH | DEFINED | 01 | 1 |

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

|         |                        |     |           |       |        |    |         |    |   |
|---------|------------------------|-----|-----------|-------|--------|----|---------|----|---|
| ISHARES | NASDAQ BIOTECH INDX    | COM | 464287556 | 1376  | 15954  | SH | DEFINED | 01 | 1 |
| ISHARES | TR COHEN & STEERS REA  | COM | 464287564 | 2644  | 42711  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL          | COM | 464287572 | 68    | 1167   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESU S CONSUM | COM | 464287580 | 8     | 123    | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL 1000 VALUE ETF | COM | 464287598 | 2719  | 46100  | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL 1000 VALUE ETF | COM | 464287598 | 5805  | 98411  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P MIDCAP 400      | COM | 464287606 | 1055  | 11977  | SH | DEFINED | 01 | 1 |
| ISHARES | RUSL 1000 GROWTH ETF   | COM | 464287614 | 20849 | 405852 | SH | DEFINED | 01 | 0 |
| ISHARES | RUSL 1000 GROWTH ETF   | COM | 464287614 | 5555  | 108133 | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL 1000 INDEX  | COM | 464287622 | 831   | 13166  | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL 2000 VALUE ETF | COM | 464287630 | 1926  | 31110  | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL 2000 VALUE ETF | COM | 464287630 | 1308  | 21100  | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL 2000 GROWTH ET | COM | 464287648 | 2282  | 30530  | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL 2000 GROWTH ET | COM | 464287648 | 1254  | 16780  | SH | DEFINED | 01 | 1 |
| ISHARES | RUSSELL 2000 ETF       | COM | 464287655 | 10890 | 161398 | SH | DEFINED | 01 | 0 |
| ISHARES | RUSSELL 2000 ETF       | COM | 464287655 | 9763  | 144642 | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL 3000 VALUE  | COM | 464287663 | 143   | 1847   | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL 3000 GROWT  | COM | 464287671 | 544   | 12955  | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL 3000 INDEX  | COM | 464287689 | 956   | 14180  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONES           | COM | 464287697 | 332   | 4361   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P MIDCAP 400      | COM | 464287705 | 718   | 10093  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESU S TELECO | COM | 464287713 | 72    | 3321   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS TECHNOL | COM | 464287721 | 53    | 911    | SH | DEFINED | 01 | 1 |
| ISHARES | DJ US REAL ESTATE ETF  | COM | 464287739 | 4421  | 83600  | SH | DEFINED | 01 | 0 |
| ISHARES | DJ US REAL ESTATE ETF  | COM | 464287739 | 1746  | 33016  | SH | DEFINED | 01 | 1 |
| ISHARES | DJ US INDUTRL SEC ETF  | COM | 464287754 | 543   | 9395   | SH | DEFINED | 01 | 1 |
| ISHARES | DJ US HLTHCARE SEC ETF | COM | 464287762 | 852   | 13467  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONES U S FINL  | COM | 464287770 | 67    | 1307   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS FINL SE | COM | 464287788 | 446   | 8571   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONES U S ENERG | COM | 464287796 | 1023  | 31579  | SH | DEFINED | 01 | 1 |
| ISHARES | S&P SMALLCAP 600 ETF   | COM | 464287804 | 14678 | 248400 | SH | DEFINED | 01 | 0 |
| ISHARES | S&P SMALLCAP 600 ETF   | COM | 464287804 | 3089  | 52272  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESU S CONSUM | COM | 464287812 | 383   | 6460   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESU S BASIC  | COM | 464287838 | 1721  | 26648  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONES U S TOTAL | COM | 464287846 | 78    | 1366   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P EUROPE 350      | COM | 464287861 | 140   | 3700   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P SMALLCAP 6      | COM | 464287879 | 354   | 5695   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P SMALLCAP 6      | COM | 464287887 | 657   | 10514  | SH | DEFINED | 01 | 1 |
| ISHARES | TR MORNINGSTAR LRG V   | COM | 464288109 | 96    | 1747   | SH | DEFINED | 01 | 0 |
| ISHARES | TR MORNINGSTAR LRG V   | COM | 464288109 | 307   | 5606   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P CITIGROUP          | COM | 464288117 | 233   | 2192   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P CITIGROUP          | COM | 464288125 | 640   | 6088   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P SHORT TERM NATL    | COM | 464288158 | 584   | 5506   | SH | DEFINED | 01 | 1 |
| ISHARES | TR LEHMAN AGENCY BON   | COM | 464288166 | 5     | 45     | SH | DEFINED | 01 | 1 |
| ISHARES | S&P GLOBAL TIMBER & F  | COM | 464288174 | 40    | 965    | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI ALL COUNTRY AS | COM | 464288182 | 57    | 944    | SH | DEFINED | 01 | 1 |
| ISHARES | TR MID CORE INDEX FD   | COM | 464288208 | 622   | 8300   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P EMERGING M         | COM | 464288216 | 74    | 2280   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P GLOBAL CLE         | COM | 464288224 | 89    | 5126   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P GLOBAL NUCLEAR EN  | COM | 464288232 | 39    | 1005   | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI ACWI EX US     | COM | 464288240 | 61    | 1486   | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI ACWIINDEX FD   | COM | 464288257 | 363   | 8400   | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI EAFESMALL CAP  | COM | 464288273 | 1635  | 42604  | SH | DEFINED | 01 | 1 |
| ISHARES | TR JPMORGAN USD EMERGI | COM | 464288281 | 4490  | 40337  | SH | DEFINED | 01 | 1 |
| ISHARES | TR MID GROWTH IND      | COM | 464288307 | 197   | 2335   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P AMT-FREEMUNI BND F | COM | 464288323 | 225   | 2081   | SH | DEFINED | 01 | 1 |

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

|         |                        |     |           |       |        |    |         |    |   |
|---------|------------------------|-----|-----------|-------|--------|----|---------|----|---|
| ISHARE  | S&P CALIF AMTFREE MUNI | COM | 464288356 | 41    | 375    | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL INF      | COM | 464288372 | 2648  | 77525  | SH | DEFINED | 01 | 1 |
| ISHARES | TR MID VALUEINDEX FD   | COM | 464288406 | 94    | 1371   | SH | DEFINED | 01 | 1 |
| ISHARES | S&P NATL AMTFREE MUNI  | COM | 464288414 | 1344  | 12589  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P WORLDEX-US PPTY | COM | 464288422 | 44    | 1332   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P ASIA 5          | COM | 464288430 | 579   | 13678  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESEPAC SELEC | COM | 464288448 | 206   | 6488   | SH | DEFINED | 01 | 1 |
| ISHARES | FTSE EPRA/NA103        | COM | 464288463 | 138   | 4496   | SH | DEFINED | 01 | 1 |
| ISHARES | FTSE EPRA/NA103        | COM | 464288471 | 191   | 6328   | SH | DEFINED | 01 | 1 |
| ISHARES | FTSE EPRA/NA103        | COM | 464288489 | 741   | 24265  | SH | DEFINED | 01 | 1 |
| ISHARES | FTSE DEVELOPED         | COM | 464288497 | 9     | 265    | SH | DEFINED | 01 | 1 |
| ISHARES | TR SMALL CORE INDEX    | COM | 464288505 | 639   | 8292   | SH | DEFINED | 01 | 1 |
| ISHARES | TR IBOXX \$ HIGH YIE   | COM | 464288513 | 29270 | 326347 | SH | DEFINED | 01 | 1 |
| ISHARES | TR FTSE NA103 REAL     | COM | 464288521 | 8     | 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 | MSCI KLD 400 SOCIAL    | COM | 464288570 | 4     | 100    | SH | DEFINED | 01 | 0 |
| ISHARES | MSCI KLD 400 SOCIAL    | COM | 464288570 | 3     | 60     | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS MBS BOND F    | COM | 464288588 | 401   | 3673   | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS GOVT CR BD    | COM | 464288596 | 103   | 929    | SH | DEFINED | 01 | 1 |
| ISHARES | TR SMALL GROWTH IND    | COM | 464288604 | 186   | 2570   | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS INTERMED G    | COM | 464288612 | 426   | 3852   | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS CR BD FD      | COM | 464288620 | 1912  | 17717  | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS INTERMEDIA    | COM | 464288638 | 3206  | 29569  | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS 1-3YR CD BD F | COM | 464288646 | 4174  | 39734  | 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 | 552   | 4671   | SH | DEFINED | 01 | 1 |
| ISHARES | BARCLAYS SHORT TREA    | COM | 464288679 | 1641  | 14890  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P U S PFD STK ID  | COM | 464288687 | 40    | 1000   | SH | DEFINED | 01 | 0 |
| ISHARES | TR S&P U S PFD STK ID  | COM | 464288687 | 9073  | 228077 | SH | DEFINED | 01 | 1 |
| ISHARES | TRUST S&P GLOBAL MAT   | COM | 464288695 | 2549  | 40286  | SH | DEFINED | 01 | 1 |
| ISHARES | TR SMALL VALUE INDE    | COM | 464288703 | 254   | 3483   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL UTI      | COM | 464288711 | 1155  | 25600  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P GLOBAL IND      | COM | 464288729 | 853   | 17488  | SH | DEFINED | 01 | 1 |
| ISHARES | TRUST S&P GLOBAL CON   | COM | 464288737 | 1681  | 27980  | SH | DEFINED | 01 | 1 |
| ISHARES | TRUST S&P GLOBAL CON   | COM | 464288745 | 130   | 2685   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS HOME CO | COM | 464288752 | 95    | 7908   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS AEROSPA | COM | 464288760 | 15    | 270    | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS REGIONA | COM | 464288778 | 24    | 1100   | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS INS IND | COM | 464288786 | 6     | 200    | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS BROKER  | COM | 464288794 | 4     | 165    | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI USA ESG SELECT | COM | 464288802 | 277   | 5584   | SH | DEFINED | 01 | 1 |
| ISHARES | DJ US MEDICAL DEVICE   | COM | 464288810 | 16    | 298    | SH | DEFINED | 01 | 1 |
| ISHARES | DJ US HEALTH CAR PRO   | COM | 464288828 | 25    | 500    | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS PHARMAC | COM | 464288836 | 43    | 701    | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS OIL EQU | COM | 464288844 | 890   | 20161  | SH | DEFINED | 01 | 1 |
| ISHARES | TR DOW JONESUS OIL & G | COM | 464288851 | 964   | 18581  | SH | DEFINED | 01 | 1 |
| ISHARES | TR RUSSELL MI          | COM | 464288869 | 351   | 8361   | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI EAFEVALUE INDE | COM | 464288877 | 1674  | 34400  | SH | DEFINED | 01 | 1 |
| ISHARES | TR MSCI EAFEGROWTH IND | COM | 464288885 | 673   | 11880  | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P TARGET DAT      | COM | 464289206 | 6     | 200    | SH | DEFINED | 01 | 1 |
| ISHARES | TR 2015 S&P AMT-FREE M | COM | 464289339 | 119   | 2250   | SH | DEFINED | 01 | 1 |
| ISHARES | TR 2014 S&P AMT-FREE M | COM | 464289362 | 75    | 1454   | SH | DEFINED | 01 | 1 |
| ISHARES | TR 2013 S&P AMT FREE M | COM | 464289388 | 75    | 1469   | SH | DEFINED | 01 | 1 |
| ISHARES | TR S&P TARGET DAT      | COM | 464289404 | 14    | 450    | SH | DEFINED | 01 | 1 |
| ISHARES | S&P INDIA NIFTY 50 I   | COM | 464289529 | 14    | 450    | SH | DEFINED | 01 | 1 |

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

|                                   |     |           |        |          |    |         |    |   |
|-----------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| ISHARES TR MSCI ALL PERU CAPPE    | COM | 464289842 | 13     | 300      | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P AGGRESSIVE         | COM | 464289859 | 41     | 1300     | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P ALLOCATION         | COM | 464289867 | 10     | 350      | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P MODERATE A         | COM | 464289875 | 154    | 5306     | SH | DEFINED | 01 | 1 |
| ISHARES TR S&P CONSERVATI         | COM | 464289883 | 242    | 8525     | SH | DEFINED | 01 | 1 |
| ISHARES SILVER TR ISHARES         | COM | 46428Q109 | 7408   | 347627   | SH | DEFINED | 01 | 1 |
| ISHARES S&P GSCI COMMODITY        | COM | 46428R107 | 3317   | 110518   | SH | DEFINED | 01 | 1 |
| ISHARES DIVERSIFIED ALTERNATIV    | COM | 464294107 | 390    | 7706     | SH | DEFINED | 01 | 1 |
| ISILON SYSTEMS INC                | COM | 46432L104 | 41     | 1870     | SH | DEFINED | 01 | 0 |
| ISILON SYSTEMS INC                | COM | 46432L104 | 4      | 200      | SH | DEFINED | 01 | 1 |
| ISIS PHARMACEUTICALS INC          | COM | 464330109 | 1708   | 203240   | SH | DEFINED | 01 | 0 |
| ISIS PHARMACEUTICALS INC          | COM | 464330109 | 12     | 1426     | SH | DEFINED | 01 | 0 |
| ISIS PHARMACEUTICALS INC          | COM | 464330109 | 89     | 10632    | SH | DEFINED | 01 | 1 |
| ISLE OF CAPRI CASINOS             | COM | 464592104 | 10     | 1470     | SH | DEFINED | 01 | 0 |
| ISRAMCO INC                       | COM | 465141406 | 14     | 225      | SH | DEFINED | 01 | 0 |
| ISUZU MTRS LTD                    | COM | 465254209 | 2      | 60       | SH | DEFINED | 01 | 0 |
| ITALCEMENTI FABRICHE RIU          | COM | 465272201 | 7      | 740      | SH | DEFINED | 01 | 0 |
| ITAU UNIBANCO HLDNG-PREF ADR      | COM | 465562106 | 30228  | 1250145  | SH | DEFINED | 01 | 0 |
| ITAU UNIBANCO HLDNG-PREF ADR      | COM | 465562106 | 39140  | 1618672  | SH | DEFINED | 01 | 0 |
| ITAU UNIBANCO HLDNG-PREF ADR      | COM | 465562106 | 166230 | 6883276  | SH | DEFINED | 01 | 1 |
| ITAU UNIBANCO HLDNG-PREF ADR      | COM | 465562106 | 15     | 601      | SH | DEFINED | 01 | 1 |
| ITC HOLDINGS CORP                 | COM | 465685105 | 1520   | 24399    | SH | DEFINED | 01 | 0 |
| ITC HOLDINGS CORP                 | COM | 465685105 | 9      | 150      | SH | DEFINED | 01 | 1 |
| ITOCHU CORP-UNSPONDORED ADR       | COM | 465717106 | 80     | 872      | SH | DEFINED | 01 | 0 |
| ITRON INC                         | COM | 465741106 | 6079   | 99304    | SH | DEFINED | 01 | 0 |
| ITRON INC                         | COM | 465741106 | 36     | 581      | SH | DEFINED | 01 | 1 |
| IVANHOE ENERGY INC COM NPV IS     | COM | 465790103 | 2      | 1000     | SH | DEFINED | 01 | 1 |
| IVANHOE MINES LTD                 | COM | 46579N103 | 13315  | 568788   | SH | DEFINED | 01 | 0 |
| IVANHOE MINES LTD                 | COM | 46579N103 | 118    | 5050     | SH | DEFINED | 01 | 1 |
| IXYS CORPORATION                  | COM | 46600W106 | 13472  | 1410705  | SH | DEFINED | 01 | 0 |
| IXYS CORPORATION                  | COM | 46600W106 | 0      | 51       | SH | DEFINED | 01 | 1 |
| J & J SNACK FOODS CORP            | COM | 466032109 | 6849   | 163375   | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR      | COM | 466090107 | 10624  | 1138651  | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR      | COM | 466090107 | 161    | 17257    | SH | DEFINED | 01 | 0 |
| JA SOLAR HOLDINGS CO LTD-ADR      | COM | 466090107 | 25     | 2650     | SH | DEFINED | 01 | 1 |
| JBS S A                           | COM | 466110103 | 11     | 1320     | SH | DEFINED | 01 | 0 |
| J CREW GROUP INC                  | COM | 46612H402 | 12839  | 381856   | SH | DEFINED | 01 | 0 |
| J CREW GROUP INC                  | COM | 46612H402 | 84     | 2508     | SH | DEFINED | 01 | 0 |
| J CREW GROUP INC                  | COM | 46612H402 | 5      | 146      | SH | DEFINED | 01 | 1 |
| JDS UNIPHASE CORP                 | COM | 46612J507 | 5787   | 467041   | SH | DEFINED | 01 | 0 |
| JDS UNIPHASE CORP                 | COM | 46612J507 | 224    | 18106    | SH | DEFINED | 01 | 0 |
| JDS UNIPHASE CORP                 | COM | 46612J507 | 196    | 15829    | SH | DEFINED | 01 | 1 |
| JDA SOFTWARE GROUP INC            | COM | 46612K108 | 154305 | 6084636  | SH | DEFINED | 01 | 0 |
| JDA SOFTWARE GROUP INC            | COM | 46612K108 | 49     | 1950     | SH | DEFINED | 01 | 0 |
| JDA SOFTWARE GROUP INC            | COM | 46612K108 | 598    | 21800    | SH | DEFINED | 01 | 1 |
| JDA SOFTWARE GROUP INC            | COM | 46612K108 | 0      | 7        | SH | DEFINED | 01 | 1 |
| JL FRENCH AUTOMOTIVE WTS EXP 0 WT | COM | 46620Q154 | 0      | 24838    | SH | DEFINED | 01 | 0 |
| J SAINSBURY PLC                   | COM | 466249208 | 22     | 930      | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO               | COM | 46625H100 | 993457 | 26096058 | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO               | COM | 46625H100 | 5795   | 152224   | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO               | COM | 46625H100 | 9212   | 241966   | SH | DEFINED | 01 | 0 |
| JPMORGAN CHASE & CO               | COM | 46625H100 | 131171 | 3448236  | SH | DEFINED | 01 | 1 |
| JPMORGAN CHASE & CO               | COM | 46625H100 | 5114   | 134379   | SH | DEFINED | 01 | 1 |
| JPMORGAN CHASE & CO ALERIAN ML    | COM | 46625H365 | 3015   | 89369    | SH | DEFINED | 01 | 1 |
| MMC NORILSK NICKEL JSC-ADR        | COM | 46626D108 | 288    | 17044    | SH | DEFINED | 01 | 0 |
| MMC NORILSK NICKEL JSC-ADR        | COM | 46626D108 | 17984  | 1062577  | SH | DEFINED | 01 | 0 |

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

|                               |          |           |        |         |     |         |    |   |
|-------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| J2 GLOBAL COMMUNICATIONS INC  | COM      | 46626E205 | 20974  | 881627  | SH  | DEFINED | 01 | 0 |
| RUSHYDRO-SP ADR               | COM      | 466294998 | 849    | 164880  | SH  | DEFINED | 01 | 0 |
| JMP GROUP INC                 | COM      | 46629U107 | 10     | 1525    | SH  | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC             | COM      | 466313103 | 46020  | 3193624 | SH  | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC             | COM      | 466313103 | 148    | 10278   | SH  | DEFINED | 01 | 0 |
| JABIL CIRCUIT INC             | COM      | 466313103 | 49     | 3800    | SH  | DEFINED | 01 | 1 |
| JABIL CIRCUIT INC             | COM      | 466313103 | 9      | 630     | SH  | DEFINED | 01 | 1 |
| JACK IN THE BOX INC           | COM      | 466367109 | 12077  | 563366  | SH  | DEFINED | 01 | 0 |
| JACK IN THE BOX INC           | COM      | 466367109 | 19     | 900     | SH  | DEFINED | 01 | 1 |
| JACKSON HEWITT TAX SERVICE    | COM      | 468202106 | 1      | 1510    | SH  | DEFINED | 01 | 0 |
| JACOBS ENGINEERING GROUP INC  | COM      | 469814107 | 34696  | 896548  | SH  | DEFINED | 01 | 0 |
| JACOBS ENGINEERING GROUP INC  | COM      | 469814107 | 256    | 6609    | SH  | DEFINED | 01 | 0 |
| JACOBS ENGINEERING GROUP INC  | COM      | 469814107 | 375    | 9682    | SH  | DEFINED | 01 | 1 |
| JAGUAR MINING INC             | COM      | 47009M103 | 734    | 112776  | SH  | DEFINED | 01 | 0 |
| JAGUAR MINING INC             | COM      | 47009M103 | 18     | 2794    | SH  | DEFINED | 01 | 0 |
| JAGUAR MINING INC             | COM      | 47009M103 | 9      | 1400    | SH  | DEFINED | 01 | 1 |
| JAKKS PACIFIC INC             | COM      | 47012E106 | 14008  | 794084  | SH  | DEFINED | 01 | 0 |
| JAKKS PACIFIC INC             | COM      | 47012E106 | 44     | 2500    | SH  | DEFINED | 01 | 1 |
| JAMBA INC                     | COM      | 47023A101 | 770    | 351410  | SH  | DEFINED | 01 | 0 |
| JAMBA INC                     | COM      | 47023A101 | 23     | 10503   | SH  | DEFINED | 01 | 0 |
| JAMES HARDIE INDS SE          | COM      | 47030M106 | 5      | 180     | SH  | DEFINED | 01 | 0 |
| JAMES RIVER COAL CO           | COM      | 470355207 | 2360   | 134595  | SH  | DEFINED | 01 | 0 |
| JANUS CAPITAL GROUP INC       | COM      | 47102X105 | 14283  | 1304545 | SH  | DEFINED | 01 | 0 |
| JANUS CAPITAL GROUP INC       | COM      | 47102X105 | 106    | 9637    | SH  | DEFINED | 01 | 0 |
| JANUS CAPITAL GROUP INC       | CONV BND | 47102XAG0 | 3283   | 2880000 | PRN | DEFINED | 01 | 0 |
| JAPAN SMALLER CAPITALIZA      | COM      | 47109U104 | 580    | 71500   | SH  | DEFINED | 01 | 1 |
| JARDEN CORP                   | COM      | 471109108 | 6517   | 209377  | SH  | DEFINED | 01 | 0 |
| JARDEN CORP                   | COM      | 471109108 | 5      | 158     | SH  | DEFINED | 01 | 1 |
| JARDINE MATHESON HLDGS L      | COM      | 471115402 | 33     | 740     | SH  | DEFINED | 01 | 0 |
| JARDINE MATHESON HLDGS LTD    | COM      | 471115998 | 524    | 11600   | SH  | DEFINED | 01 | 0 |
| JARDINE STRATEGIC HLDGS       | COM      | 471122200 | 11     | 200     | SH  | DEFINED | 01 | 0 |
| JAZZ PHARMACEUTICALS INC      | COM      | 472147107 | 10     | 975     | SH  | DEFINED | 01 | 0 |
| JAZZ PHARMACEUTICALS INC      | COM      | 472147107 | 2      | 200     | SH  | DEFINED | 01 | 1 |
| JEFFERIES GROUP INC (NEW)     | COM      | 472319102 | 6963   | 306873  | SH  | DEFINED | 01 | 0 |
| JEFFERIES GROUP INC (NEW)     | COM      | 472319102 | 0      | 22      | SH  | DEFINED | 01 | 1 |
| JEFFERSON BANCSHARES INC/TN   | COM      | 472375104 | 1320   | 382772  | SH  | DEFINED | 01 | 0 |
| JERONIMO MARTINS SGPS SA      | COM      | 476493101 | 6      | 230     | SH  | DEFINED | 01 | 0 |
|                               |          |           |        |         |     |         |    |   |
| JETBLUE AIRWAYS CORP          | COM      | 477143101 | 33044  | 4939530 | SH  | DEFINED | 01 | 0 |
| JETBLUE AIRWAYS CORP          | COM      | 477143101 | 100    | 14965   | SH  | DEFINED | 01 | 1 |
| JIANGXI COPPER CO LTD         | COM      | 47737M102 | 9      | 90      | SH  | DEFINED | 01 | 0 |
| JIANGBO PHARMACEUT            | COM      | 47737R101 | 2      | 300     | SH  | DEFINED | 01 | 1 |
| JO-ANN STORES INC             | COM      | 47758P307 | 31670  | 710884  | SH  | DEFINED | 01 | 0 |
| JO-ANN STORES INC             | COM      | 47758P307 | 45     | 1000    | SH  | DEFINED | 01 | 1 |
| JINKOSOLAR HOLDING CO LTD ADS | COM      | 47759T100 | 34     | 1070    | SH  | DEFINED | 01 | 1 |
| JOE'S JEANS INC               | COM      | 47777N101 | 6      | 2855    | SH  | DEFINED | 01 | 0 |
| JOHN BEAN TECHNOLOGIES CORP   | COM      | 477839104 | 2158   | 134024  | SH  | DEFINED | 01 | 0 |
| JOHN BEAN TECHNOLOGIES CORP   | COM      | 477839104 | 0      | 31      | SH  | DEFINED | 01 | 1 |
| JOHNSON & JOHNSON             | COM      | 478160104 | 494872 | 7986962 | SH  | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON             | COM      | 478160104 | 2875   | 46405   | SH  | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON             | COM      | 478160104 | 8967   | 144729  | SH  | DEFINED | 01 | 0 |
| JOHNSON & JOHNSON             | COM      | 478160104 | 147240 | 2376719 | SH  | DEFINED | 01 | 1 |
| JOHNSON & JOHNSON             | COM      | 478160104 | 10348  | 167015  | SH  | DEFINED | 01 | 1 |
| JOHNSON CONTROLS INC          | COM      | 478366107 | 25530  | 837049  | SH  | DEFINED | 01 | 0 |
| JOHNSON CONTROLS INC          | COM      | 478366107 | 1079   | 35372   | SH  | DEFINED | 01 | 0 |
| JOHNSON CONTROLS INC          | COM      | 478366107 | 713    | 23383   | SH  | DEFINED | 01 | 1 |
| JOHNSON MATTHEY PUB LTD       | COM      | 479142309 | 10     | 180     | SH  | DEFINED | 01 | 0 |



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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| JOHNSON OUTDOORS INC -CL A     | COM | 479167108 | 5      | 375     | SH | DEFINED | 01 | 0 |
| JONES APPAREL GROUP INC        | COM | 480074103 | 3062   | 155961  | SH | DEFINED | 01 | 0 |
| JONES LANG LASALLE INC         | COM | 48020Q107 | 16232  | 188148  | SH | DEFINED | 01 | 0 |
| JONES LANG LASALLE INC         | COM | 48020Q107 | 52147  | 604449  | SH | DEFINED | 01 | 1 |
| JONES LANG LASALLE INC         | COM | 48020Q107 | 4      | 47      | SH | DEFINED | 01 | 1 |
| JONES SODA CO                  | COM | 48023P106 | 0      | 200     | SH | DEFINED | 01 | 1 |
| JOS A BANK CLOTHIERS INC       | COM | 480838101 | 6542   | 153509  | SH | DEFINED | 01 | 0 |
| JOS A BANK CLOTHIERS INC       | COM | 480838101 | 10     | 233     | SH | DEFINED | 01 | 1 |
| JOURNAL COMMUNICATIONS INC-A   | COM | 481130102 | 13     | 3013    | SH | DEFINED | 01 | 0 |
| JOY GLOBAL INC                 | COM | 481165108 | 37453  | 532625  | SH | DEFINED | 01 | 0 |
| JOY GLOBAL INC                 | COM | 481165108 | 146    | 2078    | SH | DEFINED | 01 | 0 |
| JOY GLOBAL INC                 | COM | 481165108 | 354    | 5028    | SH | DEFINED | 01 | 1 |
| JUNIPER NETWORKS INC           | COM | 48203R104 | 151373 | 4987281 | SH | DEFINED | 01 | 0 |
| JUNIPER NETWORKS INC           | COM | 48203R104 | 1087   | 35827   | SH | DEFINED | 01 | 0 |
| JUNIPER NETWORKS INC           | COM | 48203R104 | 179    | 5914    | SH | DEFINED | 01 | 1 |
| KAR AUCTION SERVICES INC       | COM | 48238T109 | 996    | 78960   | SH | DEFINED | 01 | 0 |
| KB FINANCIAL GROUP INC-ADR     | COM | 48241A105 | 48     | 1106    | SH | DEFINED | 01 | 0 |
| KB FINANCIAL GROUP INC-ADR     | COM | 48241A105 | 63     | 1468    | SH | DEFINED | 01 | 1 |
| KB FINANCIAL GROUP INC-ADR     | COM | 48241A105 | 1      | 19      | SH | DEFINED | 01 | 1 |
| KBW INC                        | COM | 482423100 | 31397  | 1226449 | SH | DEFINED | 01 | 0 |
| KBR INC                        | COM | 48242W106 | 71047  | 2883424 | SH | DEFINED | 01 | 0 |
| KBR INC                        | COM | 48242W106 | 589    | 23919   | SH | DEFINED | 01 | 1 |
| KBR INC                        | COM | 48242W106 | 20     | 828     | SH | DEFINED | 01 | 1 |
| K-FED BANCORP                  | COM | 48246S101 | 120    | 15250   | SH | DEFINED | 01 | 0 |
| KIT DIGITAL INC                | COM | 482470200 | 1183   | 98640   | SH | DEFINED | 01 | 0 |
| KLA-TENCOR CORPORATION         | COM | 482480100 | 181064 | 5139521 | SH | DEFINED | 01 | 0 |
| KLA-TENCOR CORPORATION         | COM | 482480100 | 310    | 8807    | SH | DEFINED | 01 | 0 |
| KLA-TENCOR CORPORATION         | COM | 482480100 | 23425  | 667325  | SH | DEFINED | 01 | 1 |
| KLA-TENCOR CORPORATION         | COM | 482480100 | 86     | 2439    | SH | DEFINED | 01 | 1 |
| KKR FINANCIAL HOLDINGS LLC     | LP  | 48248A306 | 1      | 120     | SH | DEFINED | 01 | 0 |
| KKR FINANCIAL HOLDINGS LLC     | LP  | 48248A306 | 66     | 7525    | SH | DEFINED | 01 | 1 |
| KKR & CO LP COMMON UNITS       | COM | 48248M102 | 22     | 2100    | SH | DEFINED | 01 | 1 |
| KMG CHEMICALS INC              | COM | 482564101 | 7      | 500     | SH | DEFINED | 01 | 0 |
| KMG CHEMICALS INC              | COM | 482564101 | 14     | 1000    | SH | DEFINED | 01 | 1 |
| K+S AG-SPONSORED ADR           | COM | 48265W108 | 15     | 490     | SH | DEFINED | 01 | 0 |
| K-SWISS INC -CL A              | COM | 482686102 | 1634   | 128125  | SH | DEFINED | 01 | 0 |
| KT CORP-SP ADR                 | COM | 48268K101 | 19     | 941     | SH | DEFINED | 01 | 0 |
| KT CORP-SP ADR                 | COM | 48268K101 | 2193   | 107199  | SH | DEFINED | 01 | 0 |
| KT CORP-SP ADR                 | COM | 48268K101 | 9089   | 444241  | SH | DEFINED | 01 | 1 |
| K SEA TRANSN PARTNERS L        | COM | 48268Y101 | 1      | 200     | SH | DEFINED | 01 | 1 |
| KVH INDUSTRIES INC             | COM | 482738101 | 14     | 950     | SH | DEFINED | 01 | 0 |
| KVH INDUSTRIES INC             | COM | 482738101 | 8      | 500     | SH | DEFINED | 01 | 1 |
| K12 INC                        | COM | 48273U102 | 61     | 2080    | SH | DEFINED | 01 | 0 |
| K12 INC                        | COM | 48273U102 | 22     | 750     | SH | DEFINED | 01 | 1 |
| KV PHARMACEUTICAL CO-CL A      | COM | 482740206 | 5      | 2080    | SH | DEFINED | 01 | 0 |
| KADANT INC                     | COM | 48282T104 | 9173   | 485099  | SH | DEFINED | 01 | 0 |
| KADANT INC                     | COM | 48282T104 | 1      | 75      | SH | DEFINED | 01 | 1 |
| KAISER ALUMINUM CORP           | COM | 483007704 | 5329   | 124547  | SH | DEFINED | 01 | 0 |
| KAMAN CORP                     | COM | 483548103 | 25409  | 969452  | SH | DEFINED | 01 | 0 |
| KANSAS CITY LIFE INS CO        | COM | 484836101 | 28     | 918     | SH | DEFINED | 01 | 0 |
| KANSAS CITY LIFE INS CO        | COM | 484836101 | 138    | 4425    | SH | DEFINED | 01 | 1 |
| KANSAS CITY SOUTHERN           | COM | 485170302 | 97066  | 2594624 | SH | DEFINED | 01 | 0 |
| KANSAS CITY SOUTHERN           | COM | 485170302 | 17723  | 473738  | SH | DEFINED | 01 | 1 |
| KANSAS CITY SOUTHERN           | COM | 485170302 | 110    | 2943    | SH | DEFINED | 01 | 1 |
| KAO CORP SPONS ADR REPSTG 10 S | COM | 485537302 | 88     | 3637    | SH | DEFINED | 01 | 0 |
| KAPSTONE PAPER AND PACKAGING   | COM | 48562P103 | 757    | 62397   | SH | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| KAPSTONE PAPER AND PACKAGING | COM | 48562P103 | 121    | 10000   | SH | DEFINED | 01 | 1 |
| KAWASAKI HEAVY INDS-SP ADR   | COM | 486359201 | 3      | 240     | SH | DEFINED | 01 | 0 |
| KAYDON CORP                  | COM | 486587108 | 6639   | 191891  | SH | DEFINED | 01 | 0 |
| KAYDON CORP                  | COM | 486587108 | 25     | 735     | SH | DEFINED | 01 | 0 |
| KAYDON CORP                  | COM | 486587108 | 11     | 304     | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON MLP INVT CO   | COM | 486606106 | 479    | 18287   | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON ENERGY TOT    | COM | 48660P104 | 139    | 5357    | SH | DEFINED | 01 | 1 |
| KAYNE ANDERSON ENERGY DEVELO | COM | 48660Q102 | 90     | 5563    | SH | DEFINED | 01 | 0 |
| KAYNE ANDERSON ENERGY DEVELO | COM | 48660Q102 | 641    | 39943   | SH | DEFINED | 01 | 1 |
| KB HOME                      | COM | 48666K109 | 19007  | 1677609 | SH | DEFINED | 01 | 0 |
| KB HOME                      | COM | 48666K109 | 88     | 7743    | SH | DEFINED | 01 | 0 |
| KB HOME                      | COM | 48666K109 | 126    | 11137   | SH | DEFINED | 01 | 1 |
| KAZMUNAIGAS EXPLORATION -GDR | COM | 48666V204 | 1508   | 85350   | SH | DEFINED | 01 | 0 |
| KDDI CORP                    | COM | 48667L106 | 56     | 1160    | SH | DEFINED | 01 | 0 |
| KEARNY FINANCIAL CORP        | COM | 487169104 | 13     | 1372    | SH | DEFINED | 01 | 0 |
| KEITHLEY INSTRUMENTS INC     | COM | 487584104 | 26766  | 1244321 | SH | DEFINED | 01 | 0 |
| KELLOGG CO                   | COM | 487836108 | 52551  | 1040416 | SH | DEFINED | 01 | 0 |
| KELLOGG CO                   | COM | 487836108 | 692    | 13705   | SH | DEFINED | 01 | 0 |
| KELLOGG CO                   | COM | 487836108 | 293    | 5793    | SH | DEFINED | 01 | 1 |
| KELLY SERVICES INC -CL A     | COM | 488152208 | 1576   | 134306  | SH | DEFINED | 01 | 0 |
| KEMET CORP                   | COM | 488360108 | 0      | 44      | SH | DEFINED | 01 | 1 |
| KENDLE INTERNATIONAL INC     | COM | 48880L107 | 3473   | 372717  | SH | DEFINED | 01 | 0 |
| KENEXA CORP                  | COM | 488879107 | 5770   | 329347  | SH | DEFINED | 01 | 0 |
| KENEXA CORP                  | COM | 488879107 | 0      | 2       | SH | DEFINED | 01 | 1 |
| KENNAMETAL INC               | COM | 489170100 | 55018  | 1778815 | SH | DEFINED | 01 | 0 |
| KENNAMETAL INC               | COM | 489170100 | 145    | 4689    | SH | DEFINED | 01 | 0 |
| KENNAMETAL INC               | COM | 489170100 | 21     | 680     | SH | DEFINED | 01 | 1 |
| KENNEDY-WILSON HOLDINGS INC  | COM | 489398107 | 14     | 1350    | SH | DEFINED | 01 | 0 |
| KENSEY NASH CORP             | COM | 490057106 | 12144  | 420370  | SH | DEFINED | 01 | 0 |
| KEPPEL LTD SPONSORED ADR     | COM | 492051305 | 39     | 2840    | SH | DEFINED | 01 | 0 |
| KERRY GROUP PLC              | COM | 492460100 | 8      | 240     | SH | DEFINED | 01 | 0 |
| KERYX BIOPHARMACEUTICALS     | COM | 492515101 | 16     | 3350    | SH | DEFINED | 01 | 0 |
| KERYX BIOPHARMACEUTICALS     | COM | 492515101 | 1      | 200     | SH | DEFINED | 01 | 1 |
| KEY ENERGY SERVICES INC      | COM | 492914106 | 4267   | 448852  | SH | DEFINED | 01 | 0 |
| KEY ENERGY SERVICES INC      | COM | 492914106 | 461    | 48430   | SH | DEFINED | 01 | 1 |
| KEWPIE CORP                  | COM | 493054100 | 3      | 110     | SH | DEFINED | 01 | 0 |
| KEY TECHNOLOGY INC           | COM | 493143101 | 5684   | 439955  | SH | DEFINED | 01 | 0 |
| KEY TECHNOLOGY INC           | COM | 493143101 | 19     | 1500    | SH | DEFINED | 01 | 1 |
| KEYCORP                      | COM | 493267108 | 9572   | 1202539 | SH | DEFINED | 01 | 0 |
| KEYCORP                      | COM | 493267108 | 368    | 46261   | SH | DEFINED | 01 | 0 |
| KEYCORP                      | COM | 493267108 | 176    | 22157   | SH | DEFINED | 01 | 1 |
| KEYCORP NEW NON CUMULATIVE   | PRF | 493267405 | 11     | 100     | SH | DEFINED | 01 | 1 |
| KEYNOTE SYSTEMS INC          | COM | 493308100 | 10     | 830     | SH | DEFINED | 01 | 0 |
| KEYUAN PETROCHEMI            | COM | 493722102 | 10     | 2000    | SH | DEFINED | 01 | 1 |
| KFORCE INC                   | COM | 493732101 | 19711  | 1436687 | SH | DEFINED | 01 | 0 |
| KID BRANDS INC               | COM | 49375T100 | 1096   | 127526  | SH | DEFINED | 01 | 0 |
| KIMBALL INTERNATIONAL-B      | COM | 494274103 | 164    | 28170   | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM | 49427F108 | 14228  | 429361  | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM | 49427F108 | 7      | 217     | SH | DEFINED | 01 | 0 |
| KILROY REALTY CORP - REIT    | COM | 49427F108 | 3      | 91      | SH | DEFINED | 01 | 1 |
| KIMBERLY-CLARK CORP          | COM | 494368103 | 115199 | 1770927 | SH | DEFINED | 01 | 0 |
| KIMBERLY-CLARK CORP          | COM | 494368103 | 1399   | 21509   | SH | DEFINED | 01 | 0 |
| KIMBERLY-CLARK CORP          | COM | 494368103 | 1235   | 18980   | SH | DEFINED | 01 | 1 |
| KIMBERLY-CLARK DE MEXICO-ADR | COM | 494386204 | 2      | 60      | SH | DEFINED | 01 | 0 |
| KIMCO REALTY CORP - REIT     | COM | 49446R109 | 4083   | 259298  | SH | DEFINED | 01 | 0 |
| KIMCO REALTY CORP - REIT     | COM | 49446R109 | 336    | 21330   | SH | DEFINED | 01 | 0 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| KIMCO REALTY CORP - REIT     | COM      | 49446R109 | 216    | 13757   | SH  | DEFINED | 01 | 1 |
| KIMCO REALTY CORP - REIT     | COM      | 49446R109 | 60     | 3833    | SH  | DEFINED | 01 | 1 |
| KINDER MORGAN ENERGY PRTNRS  | LP       | 494550106 | 626    | 9144    | SH  | DEFINED | 01 | 0 |
| KINDER MORGAN ENERGY PRTNRS  | LP       | 494550106 | 571    | 8329    | SH  | DEFINED | 01 | 0 |
| KINDER MORGAN ENERGY PRTNRS  | LP       | 494550106 | 1322   | 19318   | SH  | DEFINED | 01 | 1 |
| KINDER MORGAN ENERGY PRTNRS  | LP       | 494550106 | 4363   | 63689   | SH  | DEFINED | 01 | 1 |
| KINDER MORGAN MANAGEMENT LLC | LP       | 49455U100 | 4212   | 69913   | SH  | DEFINED | 01 | 0 |
| KINDER MORGAN MANAGEMENT LLC | LP       | 49455U100 | 902    | 14979   | SH  | DEFINED | 01 | 1 |
| KINDRED HEALTHCARE INC       | COM      | 494580103 | 26329  | 2022213 | SH  | DEFINED | 01 | 0 |
| KINDRED HEALTHCARE INC       | COM      | 494580103 | 1      | 106     | SH  | DEFINED | 01 | 1 |
| KINETIC CONCEPTS INC         | COM      | 49460W208 | 15742  | 430340  | SH  | DEFINED | 01 | 0 |
| KINETIC CONCEPTS INC         | COM      | 49460W208 | 15     | 400     | SH  | DEFINED | 01 | 1 |
| KINNEVIK INVESTMENT AB       | COM      | 495321994 | 14     | 682     | SH  | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM      | 495582108 | 2902   | 291337  | SH  | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM      | 495582108 | 131    | 13114   | SH  | DEFINED | 01 | 0 |
| KING PHARMACEUTICALS INC     | COM      | 495582108 | 22     | 2200    | SH  | DEFINED | 01 | 1 |
| KINGFISHER PLC               | COM      | 495724403 | 37     | 4986    | SH  | DEFINED | 01 | 0 |
| KINROSS GOLD CORP            | COM      | 496902404 | 24937  | 1327133 | SH  | DEFINED | 01 | 0 |
| KINROSS GOLD CORP            | COM      | 496902404 | 202    | 10752   | SH  | DEFINED | 01 | 0 |
| KINROSS GOLD CORP            | COM      | 496902404 | 137    | 7308    | SH  | DEFINED | 01 | 1 |
| KIRBY CORP                   | COM      | 497266106 | 8270   | 206428  | SH  | DEFINED | 01 | 0 |
| KIRBY CORP                   | COM      | 497266106 | 1      | 14      | SH  | DEFINED | 01 | 1 |
| KIRIN HLDGS CO LTD           | COM      | 497350306 | 42     | 2960    | SH  | DEFINED | 01 | 0 |
| KIRKLAND'S INC               | COM      | 497498105 | 1176   | 84890   | SH  | DEFINED | 01 | 0 |
| KIRKLAND'S INC               | COM      | 497498105 | 42     | 3000    | SH  | DEFINED | 01 | 1 |
| KITE REALTY GROUP TRUST      | COM      | 49803T102 | 3850   | 867032  | SH  | DEFINED | 01 | 0 |
| KITE REALTY GROUP TRUST      | COM      | 49803T102 | 6      | 1457    | SH  | DEFINED | 01 | 1 |
| KLABIN S A                   | COM      | 49834M100 | 2      | 90      | SH  | DEFINED | 01 | 0 |
| KNOLL INC                    | COM      | 498904200 | 11786  | 759874  | SH  | DEFINED | 01 | 0 |
| KNOLL INC                    | COM      | 498904200 | 4      | 255     | SH  | DEFINED | 01 | 1 |
| KNIGHT CAPITAL GROUP INC-A   | COM      | 499005106 | 16401  | 1323668 | SH  | DEFINED | 01 | 0 |
| KNIGHT CAPITAL GROUP INC-A   | COM      | 499005106 | 15     | 1175    | SH  | DEFINED | 01 | 1 |
| KNIGHT CAPITAL GROUP INC     | CONV BND | 499005AD8 | 4086   | 4450000 | PRN | DEFINED | 01 | 0 |
| KNIGHT TRANSPORTATION INC    | COM      | 499064103 | 9918   | 513085  | SH  | DEFINED | 01 | 0 |
| KNIGHT TRANSPORTATION INC    | COM      | 499064103 | 27     | 1418    | SH  | DEFINED | 01 | 0 |
| KNIGHT TRANSPORTATION INC    | COM      | 499064103 | 12     | 600     | SH  | DEFINED | 01 | 1 |
| KNOLOGY INC                  | COM      | 499183804 | 7070   | 526423  | SH  | DEFINED | 01 | 0 |
| KNOT INC/THE                 | COM      | 499184109 | 1312   | 143590  | SH  | DEFINED | 01 | 0 |
| KNOT INC/THE                 | COM      | 499184109 | 1      | 100     | SH  | DEFINED | 01 | 1 |
| KOBE STL LTD                 | COM      | 499892107 | 21     | 1770    | SH  | DEFINED | 01 | 0 |
| KOC HLDG                     | COM      | 49989A109 | 10     | 410     | SH  | DEFINED | 01 | 0 |
| KODIAK OIL & GAS CORP        | COM      | 50015Q100 | 33     | 9700    | SH  | DEFINED | 01 | 0 |
| KODIAK OIL & GAS CORP        | COM      | 50015Q100 | 2      | 700     | SH  | DEFINED | 01 | 1 |
| KOHLBERG CAPITAL CORP        | COM      | 500233101 | 13     | 1900    | SH  | DEFINED | 01 | 0 |
| KOHLBERG CAPITAL CORP        | COM      | 500233101 | 40     | 6046    | SH  | DEFINED | 01 | 1 |
| KOHL'S CORP                  | COM      | 500255104 | 109475 | 2078138 | SH  | DEFINED | 01 | 0 |
| KOHL'S CORP                  | COM      | 500255104 | 1272   | 24143   | SH  | DEFINED | 01 | 0 |
| KOHL'S CORP                  | COM      | 500255104 | 227    | 4311    | SH  | DEFINED | 01 | 1 |
| KOMATSU LTD -SPONS ADR       | COM      | 500458401 | 96     | 4100    | SH  | DEFINED | 01 | 0 |
| KONINKLIJKE AHOLD-SP ADR     | COM      | 500467402 | 63     | 4704    | SH  | DEFINED | 01 | 0 |
| KONAMI CORP                  | COM      | 50046R101 | 1      | 70      | SH  | DEFINED | 01 | 0 |
| PHILIPS ELECTRONICS-NY SHR   | COM      | 500472303 | 305    | 9731    | SH  | DEFINED | 01 | 0 |
| PHILIPS ELECTRONICS-NY SHR   | COM      | 500472303 | 134    | 4290    | SH  | DEFINED | 01 | 1 |
| KONGZHONG CORP ADR EA REP 40 | COM      | 50047P104 | 1      | 200     | SH  | DEFINED | 01 | 1 |
| KONICA MINOLTA HLDGS INC     | COM      | 50048B104 | 1      | 10      | SH  | DEFINED | 01 | 0 |
| KOPIN CORP                   | COM      | 500600101 | 1122   | 315928  | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| KOPIN CORP                   | COM | 500600101 | 2      | 700      | SH | DEFINED | 01 | 1 |
| KOPPERS HOLDINGS INC         | COM | 50060P106 | 36     | 1340     | SH | DEFINED | 01 | 0 |
| KOREA ELEC POWER CORP-SP ADR | COM | 500631106 | 2746   | 212417   | SH | DEFINED | 01 | 0 |
| KOREA ELEC POWER CORP-SP ADR | COM | 500631106 | 3      | 246      | SH | DEFINED | 01 | 1 |
| KOREA FD INC COM NEW         | COM | 500634209 | 9      | 211      | SH | DEFINED | 01 | 1 |
| KOREA EQUITY FD INC          | COM | 50063B104 | 60     | 5386     | SH | DEFINED | 01 | 1 |
| KORN/FERRY INTERNATIONAL     | COM | 500643200 | 35368  | 2138370  | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A      | COM | 50075N104 | 141534 | 4586327  | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A      | COM | 50075N104 | 2828   | 91644    | SH | DEFINED | 01 | 0 |
| KRAFT FOODS INC-CLASS A      | COM | 50075N104 | 3710   | 120224   | SH | DEFINED | 01 | 1 |
| KRATOS DEFENSE & SECURITY    | COM | 50077B207 | 14     | 1350     | SH | DEFINED | 01 | 0 |
| KRATOS DEFENSE & SECURITY    | COM | 50077B207 | 1      | 90       | SH | DEFINED | 01 | 1 |
| KRATON PERFORMANCE POLYMERS  | COM | 50077C106 | 332    | 12225    | SH | DEFINED | 01 | 0 |
| KRATON PERFORMANCE POLYMERS  | COM | 50077C106 | 27     | 1000     | SH | DEFINED | 01 | 1 |
| KRISPY KREME DOUGHNUTS INC   | COM | 501014104 | 18     | 3830     | SH | DEFINED | 01 | 0 |
| KRISPY KREME DOUGHNUTS INC   | COM | 501014104 | 5      | 1177     | SH | DEFINED | 01 | 1 |
| KRISPY KREME DOUGHNUTS-CW12  | WT  | 501014112 | 0      | 2109     | SH | DEFINED | 01 | 0 |
| KRISPY KREME DOUGHNUTS-CW12  | WT  | 501014112 | 0      | 149      | SH | DEFINED | 01 | 0 |
| KROGER CO                    | COM | 501044101 | 8128   | 375236   | SH | DEFINED | 01 | 0 |
| KROGER CO                    | COM | 501044101 | 731    | 33744    | SH | DEFINED | 01 | 0 |
| KROGER CO                    | COM | 501044101 | 108746 | 5023021  | SH | DEFINED | 01 | 1 |
| KROGER CO                    | COM | 501044101 | 382    | 17613    | SH | DEFINED | 01 | 1 |
| KRONES AG                    | COM | 501051981 | 267    | 4500     | SH | DEFINED | 01 | 0 |
| KUBOTA CORP-SPONS ADR        | COM | 501173207 | 57     | 1237     | SH | DEFINED | 01 | 0 |
| KUBOTA CORP-SPONS ADR        | COM | 501173207 | 70     | 1518     | SH | DEFINED | 01 | 1 |
| KULICKE & SOFFA INDUSTRIES   | COM | 501242101 | 2285   | 369124   | SH | DEFINED | 01 | 0 |
| KULICKE & SOFFA INDUSTRIES   | COM | 501242101 | 15     | 2394     | SH | DEFINED | 01 | 1 |
| KUMBA IRON ORE               | COM | 50125N104 | 5      | 100      | SH | DEFINED | 01 | 0 |
| KYOCERA CORP -SPONS ADR      | COM | 501556203 | 85     | 890      | SH | DEFINED | 01 | 0 |
| KYOCERA CORP -SPONS ADR      | COM | 501556203 | 43     | 457      | SH | DEFINED | 01 | 1 |
| L&L ENERGY INC               | COM | 50162D100 | 9      | 1150     | SH | DEFINED | 01 | 0 |
| L&L ENERGY INC               | COM | 50162D100 | 1      | 100      | SH | DEFINED | 01 | 1 |
| LAN AIRLINES SA-SPON ADR     | COM | 501723100 | 3      | 100      | SH | DEFINED | 01 | 0 |
| LCA-VISION INC               | COM | 501803308 | 492    | 88491    | SH | DEFINED | 01 | 0 |
| LCA-VISION INC               | COM | 501803308 | 3      | 480      | SH | DEFINED | 01 | 1 |
| LDK SOLAR CO LTD - ADR       | COM | 50183L107 | 7      | 660      | SH | DEFINED | 01 | 0 |
| LDK SOLAR CO LTD - ADR       | COM | 50183L107 | 72     | 7000     | SH | DEFINED | 01 | 1 |
| LG DISPLAY CO LTD-ADR        | COM | 50186V102 | 1619   | 92854    | SH | DEFINED | 01 | 0 |
| LG DISPLAY CO LTD-ADR        | COM | 50186V102 | 5      | 302      | SH | DEFINED | 01 | 1 |
| LHC GROUP INC                | COM | 50187A107 | 9928   | 428162   | SH | DEFINED | 01 | 0 |
| LHC GROUP INC                | COM | 50187A107 | 102    | 4420     | SH | DEFINED | 01 | 1 |
| LKQ CORP                     | COM | 501889208 | 7635   | 367130   | SH | DEFINED | 01 | 0 |
| LKQ CORP                     | COM | 501889208 | 10     | 458      | SH | DEFINED | 01 | 0 |
| LKQ CORP                     | COM | 501889208 | 62     | 2967     | SH | DEFINED | 01 | 1 |
| LI & FUNG LTD UNSP ADR       | COM | 501897102 | 14     | 2400     | SH | DEFINED | 01 | 0 |
| LL&E ROYALTY TRUST           | COM | 502003106 | 0      | 4        | SH | DEFINED | 01 | 0 |
| LLX LOGISTICA SA - SPON ADR  | COM | 502024102 | 1      | 180      | SH | DEFINED | 01 | 0 |
| LMI AEROSPACE INC            | COM | 502079106 | 16668  | 1046956  | SH | DEFINED | 01 | 0 |
| LMP REAL ESTATE INCOME FD    | COM | 50208C108 | 3      | 340      | SH | DEFINED | 01 | 1 |
| L'OREAL-UNSPONSORED ADR      | COM | 502117203 | 65     | 2850     | SH | DEFINED | 01 | 0 |
| L-1 IDENTITY SOLUTIONS INC   | COM | 50212A106 | 60     | 5070     | SH | DEFINED | 01 | 0 |
| L-1 IDENTITY SOLUTIONS INC   | COM | 50212A106 | 64     | 5473     | SH | DEFINED | 01 | 1 |
| LSB INDUSTRIES INC           | COM | 502160104 | 1489   | 80190    | SH | DEFINED | 01 | 0 |
| LSB INDUSTRIES INC           | COM | 502160104 | 23     | 1250     | SH | DEFINED | 01 | 1 |
| LSI CORP                     | COM | 502161102 | 69188  | 15173203 | SH | DEFINED | 01 | 0 |
| LSI CORP                     | COM | 502161102 | 358    | 78530    | SH | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| LSI CORP                     | COM | 502161102 | 83     | 18329   | SH | DEFINED | 01 | 1 |
| LSI INDUSTRIES INC           | COM | 50216C108 | 11488  | 1789380 | SH | DEFINED | 01 | 0 |
| LTC PROPERTIES INC           | COM | 502175102 | 6045   | 236851  | SH | DEFINED | 01 | 0 |
| LTC PROPERTIES INC           | COM | 502175102 | 5      | 200     | SH | DEFINED | 01 | 1 |
| LSR GROUP OJSC-SPON GDR 144A | COM | 50218G107 | 171    | 20088   | SH | DEFINED | 01 | 0 |
| LSR GROUP OJSC-SPON GDR 144A | COM | 50218G107 | 7176   | 844288  | SH | DEFINED | 01 | 0 |
| LS CORP                      | COM | 502321995 | 2313   | 22537   | SH | DEFINED | 01 | 0 |
| LTX-CREDENCE CORP            | COM | 502403108 | 24     | 11641   | SH | DEFINED | 01 | 0 |
| LTX-CREDENCE CORP            | COM | 502403108 | 0      | 122     | SH | DEFINED | 01 | 1 |
| L-3 COMMUNICATIONS HOLDINGS  | COM | 502424104 | 37720  | 521941  | SH | DEFINED | 01 | 0 |
| L-3 COMMUNICATIONS HOLDINGS  | COM | 502424104 | 434    | 6006    | SH | DEFINED | 01 | 0 |
| L-3 COMMUNICATIONS HOLDINGS  | COM | 502424104 | 684    | 9461    | SH | DEFINED | 01 | 1 |
| LVMH MOET HENNESSY LOUIS     | COM | 502441306 | 723    | 24615   | SH | DEFINED | 01 | 0 |
| LABARGE INC                  | COM | 502470107 | 5875   | 470348  | SH | DEFINED | 01 | 0 |
| LABARGE INC                  | COM | 502470107 | 9      | 750     | SH | DEFINED | 01 | 1 |
| LA-Z-BOY INC                 | COM | 505336107 | 2311   | 273685  | SH | DEFINED | 01 | 0 |
| LA-Z-BOY INC                 | COM | 505336107 | 34     | 4000    | SH | DEFINED | 01 | 1 |
| LABORATORY CRP OF AMER HLDGS | COM | 50540R409 | 49488  | 630974  | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS | COM | 50540R409 | 5745   | 73245   | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS | COM | 50540R409 | 424    | 5404    | SH | DEFINED | 01 | 0 |
| LABORATORY CRP OF AMER HLDGS | COM | 50540R409 | 158336 | 2020119 | SH | DEFINED | 01 | 1 |
| LABORATORY CRP OF AMER HLDGS | COM | 50540R409 | 110    | 1408    | SH | DEFINED | 01 | 1 |
| LABRANCHE & CO INC           | COM | 505447102 | 684    | 175441  | SH | DEFINED | 01 | 0 |
| LACLEDE GROUP INC/THE        | COM | 505597104 | 16531  | 480285  | SH | DEFINED | 01 | 0 |
| LACLEDE GROUP INC/THE        | COM | 505597104 | 38     | 1110    | SH | DEFINED | 01 | 1 |
| LACROSSE FOOTWEAR INC        | COM | 505688101 | 4      | 300     | SH | DEFINED | 01 | 0 |
| LACROSSE FOOTWEAR INC        | COM | 505688101 | 1      | 100     | SH | DEFINED | 01 | 1 |

|                              |     |           |       |         |    |         |    |   |
|------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| LADBROKES PLC                | COM | 505730101 | 1     | 420     | SH | DEFINED | 01 | 0 |
| LADISH CO INC                | COM | 505754200 | 20221 | 649587  | SH | DEFINED | 01 | 0 |
| LADISH CO INC                | COM | 505754200 | 16    | 500     | SH | DEFINED | 01 | 1 |
| LADENBURG THALMANN FINANCIAL | COM | 50575Q102 | 20    | 19535   | SH | DEFINED | 01 | 0 |
| LADENBURG THALMANN FINANCIAL | COM | 50575Q102 | 2     | 2242    | SH | DEFINED | 01 | 1 |
| LAFARGE S.A. SPONSORED ADR   | COM | 505861401 | 62    | 4350    | SH | DEFINED | 01 | 0 |
| LAKELAND BANCORP INC         | COM | 511637100 | 81    | 9728    | SH | DEFINED | 01 | 0 |
| LAKELAND FINANCIAL CORP      | COM | 511656100 | 3194  | 171149  | SH | DEFINED | 01 | 0 |
| LAKES ENTMT INC COM          | COM | 51206P109 | 2     | 1000    | SH | DEFINED | 01 | 1 |
| LAM RESEARCH CORP            | COM | 512807108 | 21029 | 502453  | SH | DEFINED | 01 | 0 |
| LAM RESEARCH CORP            | COM | 512807108 | 20    | 480     | SH | DEFINED | 01 | 0 |
| LAM RESEARCH CORP            | COM | 512807108 | 182   | 5200    | SH | DEFINED | 01 | 1 |
| LAM RESEARCH CORP            | COM | 512807108 | 111   | 2655    | SH | DEFINED | 01 | 1 |
| LAMAR ADVERTISING CO-CL A    | COM | 512815101 | 14201 | 446302  | SH | DEFINED | 01 | 0 |
| LAMAR ADVERTISING CO-CL A    | COM | 512815101 | 5     | 150     | SH | DEFINED | 01 | 1 |
| LANCASTER COLONY CORP        | COM | 513847103 | 6319  | 133039  | SH | DEFINED | 01 | 0 |
| LANCE INC                    | COM | 514606102 | 3260  | 153054  | SH | DEFINED | 01 | 0 |
| LANDEC CORP                  | COM | 514766104 | 11    | 1750    | SH | DEFINED | 01 | 0 |
| LANDAUER INC                 | COM | 51476K103 | 3126  | 49914   | SH | DEFINED | 01 | 0 |
| LANDAUER INC                 | COM | 51476K103 | 3     | 45      | SH | DEFINED | 01 | 1 |
| LANDRY'S RESTAURANTS INC     | COM | 51508L103 | 876   | 35753   | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC          | COM | 515098101 | 38649 | 1000729 | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC          | COM | 515098101 | 156   | 4028    | SH | DEFINED | 01 | 0 |
| LANDSTAR SYSTEM INC          | COM | 515098101 | 25    | 658     | SH | DEFINED | 01 | 1 |
| LANNETT CO INC               | COM | 516012101 | 3     | 695     | SH | DEFINED | 01 | 0 |
| LANTRONIX INC - WTS          | WT  | 516548906 | 0     | 2188    | SH | DEFINED | 01 | 0 |
| LAS VEGAS SANDS CORP         | COM | 517834107 | 93465 | 2681902 | SH | DEFINED | 01 | 0 |
| LAS VEGAS SANDS CORP         | COM | 517834107 | 896   | 25699   | SH | DEFINED | 01 | 1 |
| LAS VEGAS SANDS CORP         | COM | 517834107 | 1696  | 48680   | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| LASALLE HOTEL PROPERTIES - REI | COM      | 517942108 | 37380  | 1598111 | SH  | DEFINED | 01 | 0 |
| LASALLE HOTEL PROPERTIES - REI | COM      | 517942108 | 3      | 139     | SH  | DEFINED | 01 | 1 |
| LATIN AMERN DISCOVERY          | COM      | 51828C106 | 12     | 650     | SH  | DEFINED | 01 | 1 |
| LATTICE SEMICONDUCTOR CORP     | COM      | 518415104 | 17821  | 3751653 | SH  | DEFINED | 01 | 0 |
| LATTICE SEMICONDUCTOR CORP     | COM      | 518415104 | 57     | 12000   | SH  | DEFINED | 01 | 1 |
| ESTEE LAUDER COMPANIES-CL A    | COM      | 518439104 | 107859 | 1705813 | SH  | DEFINED | 01 | 0 |
| ESTEE LAUDER COMPANIES-CL A    | COM      | 518439104 | 380    | 6004    | SH  | DEFINED | 01 | 0 |
| ESTEE LAUDER COMPANIES-CL A    | COM      | 518439104 | 85     | 1350    | SH  | DEFINED | 01 | 1 |
| LAWSON PRODUCTS INC            | COM      | 520776105 | 291    | 18994   | SH  | DEFINED | 01 | 0 |
| LAWSON SOFTWARE INC            | COM      | 52078P102 | 51415  | 6070290 | SH  | DEFINED | 01 | 0 |
| LAWSON SOFTWARE INC            | COM      | 52078P102 | 2      | 293     | SH  | DEFINED | 01 | 1 |
| LAYNE CHRISTENSEN COMPANY      | COM      | 521050104 | 8287   | 320110  | SH  | DEFINED | 01 | 0 |
| LAZARD WORLD DIVID &INCOME FD  | COM      | 521076109 | 4      | 296     | SH  | DEFINED | 01 | 1 |
| LEAP WIRELESS INTL INC         | COM      | 521863308 | 7      | 610     | SH  | DEFINED | 01 | 0 |
| LEAP WIRELESS INTERNATIONAL IN | CONV BND | 521863AL4 | 2222   | 2500000 | PRN | DEFINED | 01 | 0 |
| LEAR CORP                      | COM      | 521865204 | 17950  | 227412  | SH  | DEFINED | 01 | 0 |
| LEAR CORP                      | COM      | 521865204 | 753    | 11032   | SH  | DEFINED | 01 | 1 |
| LEAPFROG ENTERPRISES INC       | COM      | 52186N106 | 3659   | 667817  | SH  | DEFINED | 01 | 0 |
| LEAPFROG ENTERPRISES INC       | COM      | 52186N106 | 58     | 10744   | SH  | DEFINED | 01 | 0 |
| LEAPFROG ENTERPRISES INC       | COM      | 52186N106 | 4      | 650     | SH  | DEFINED | 01 | 1 |
| LEARNING TREE INTERNATIONAL    | COM      | 522015106 | 4      | 400     | SH  | DEFINED | 01 | 0 |
| LECG CORP                      | COM      | 523234102 | 1029   | 935468  | SH  | DEFINED | 01 | 0 |
| LECROY CORP                    | COM      | 52324W109 | 4270   | 540491  | SH  | DEFINED | 01 | 0 |
| LEE & MAN PAPER MFG LTD        | COM      | 523352102 | 1      | 80      | SH  | DEFINED | 01 | 0 |
| LEE ENTERPRISES                | COM      | 523768109 | 10     | 3650    | SH  | DEFINED | 01 | 0 |
| LEE ENTERPRISES                | COM      | 523768109 | 1      | 392     | SH  | DEFINED | 01 | 1 |
| LEGAL & GEN GROUP PLC          | COM      | 52463H103 | 26     | 3200    | SH  | DEFINED | 01 | 0 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 6284   | 276108  | SH  | DEFINED | 01 | 0 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 175    | 7699    | SH  | DEFINED | 01 | 0 |
| LEGGETT & PLATT INC            | COM      | 524660107 | 47     | 2082    | SH  | DEFINED | 01 | 1 |
| LEGACY RESVS LP UNITLTD PARTNE | COM      | 524707304 | 212    | 8600    | SH  | DEFINED | 01 | 1 |
| LEGG MASON INC                 | COM      | 524901105 | 27704  | 914059  | SH  | DEFINED | 01 | 0 |
| LEGG MASON INC                 | COM      | 524901105 | 246    | 8118    | SH  | DEFINED | 01 | 0 |
| LEGG MASON INC CORP UNIT       | COM      | 524901303 | 57     | 1925    | SH  | DEFINED | 01 | 1 |
| LEHMAN BROTHERS HOLDINGS INC   | COM      | 524908100 | 0      | 2160    | SH  | DEFINED | 01 | 0 |
| LEHMAN BROTHERS HOLDINGS       | CONV BND | 524935AA1 | 2582   | 164670  | PRN | DEFINED | 01 | 0 |
| LEHMAN BROTHERS HOLDINGS       | CONV BND | 524935AM5 | 2865   | 164670  | PRN | DEFINED | 01 | 0 |
| LEND LEASE LTD                 | COM      | 526023205 | 7      | 1010    | SH  | DEFINED | 01 | 0 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 35183  | 1058768 | SH  | DEFINED | 01 | 0 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 85     | 2100    | SH  | DEFINED | 01 | 1 |
| LENDER PROCESSING SERVICES     | COM      | 52602E102 | 19     | 573     | SH  | DEFINED | 01 | 1 |
| LENNAR CORP-CL A               | COM      | 526057104 | 1269   | 82511   | SH  | DEFINED | 01 | 0 |
| LENNAR CORP-CL A               | COM      | 526057104 | 129    | 8365    | SH  | DEFINED | 01 | 0 |
| LENNAR CORP-CL A               | COM      | 526057104 | 4      | 265     | SH  | DEFINED | 01 | 1 |
| LENNAR CORP CL B               | COM      | 526057302 | 0      | 20      | SH  | DEFINED | 01 | 1 |
| LENNAR CORP                    | CONV BND | 526057BC7 | 2221   | 2360000 | PRN | DEFINED | 01 | 0 |
| LENNOX INTERNATIONAL INC       | COM      | 526107107 | 10951  | 262662  | SH  | DEFINED | 01 | 0 |
| LENNOX INTERNATIONAL INC       | COM      | 526107107 | 1      | 12      | SH  | DEFINED | 01 | 1 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 6635   | 280923  | SH  | DEFINED | 01 | 0 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 245    | 10352   | SH  | DEFINED | 01 | 0 |
| LEUCADIA NATIONAL CORP         | COM      | 527288104 | 50     | 2103    | SH  | DEFINED | 01 | 1 |
| LEVEL 3 COMMUNICATIONS INC     | COM      | 52729N100 | 38     | 40495   | SH  | DEFINED | 01 | 0 |
| LEVEL 3 COMMUNICATIONS INC     | COM      | 52729N100 | 53     | 56378   | SH  | DEFINED | 01 | 1 |
| LEXICON PHARMACEUTICALS INC    | COM      | 528872104 | 23     | 14355   | SH  | DEFINED | 01 | 0 |
| LEXICON PHARMACEUTICALS INC    | COM      | 528872104 | 11     | 7000    | SH  | DEFINED | 01 | 1 |
| LEXINGTON REALTY TRUST - REIT  | COM      | 529043101 | 7649   | 1068207 | SH  | DEFINED | 01 | 0 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| LEXINGTON REALTY TRUST - REIT | COM      | 529043101 | 3      | 477      | SH  | DEFINED | 01 | 1 |
| LEXMARK INTERNATIONAL INC-A   | COM      | 529771107 | 77057  | 1726957  | SH  | DEFINED | 01 | 0 |
| LEXMARK INTERNATIONAL INC-A   | COM      | 529771107 | 184    | 4130     | SH  | DEFINED | 01 | 0 |
| LEXMARK INTERNATIONAL INC-A   | COM      | 529771107 | 3      | 76       | SH  | DEFINED | 01 | 1 |
| LG FASHION CORP               | COM      | 529840993 | 13477  | 451990   | SH  | DEFINED | 01 | 0 |
| LIBBEY INC                    | COM      | 529898108 | 280    | 21275    | SH  | DEFINED | 01 | 0 |
| LIBERTY ALL-STAR GROWTH FUN   | COM      | 529900102 | 0      | 65       | SH  | DEFINED | 01 | 1 |
| LIBERTY ALL STAR EQUITY FD    | COM      | 530158104 | 86     | 19514    | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC-A          | COM      | 530555101 | 545    | 17696    | SH  | DEFINED | 01 | 0 |
| LIBERTY GLOBAL INC-A          | COM      | 530555101 | 1593   | 51678    | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC-A          | COM      | 530555101 | 6      | 180      | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC-SERIES C   | COM      | 530555309 | 75     | 2460     | SH  | DEFINED | 01 | 0 |
| LIBERTY GLOBAL INC-SERIES C   | COM      | 530555309 | 5      | 167      | SH  | DEFINED | 01 | 1 |
| LIBERTY GLOBAL INC            | CONV BND | 530555AA9 | 2488   | 1850000  | PRN | DEFINED | 01 | 0 |
| LIBERTY MEDIA CORP-INTER A    | COM      | 53071M104 | 42028  | 3065443  | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA CORP-INTER A    | COM      | 53071M104 | 35     | 2588     | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA CORP-CAP SER A  | COM      | 53071M302 | 657    | 12618    | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA CORP-CAP SER A  | COM      | 53071M302 | 354    | 6795     | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA-STARZ SERIES A  | COM      | 53071M708 | 14436  | 222515   | SH  | DEFINED | 01 | 0 |
| LIBERTY MEDIA-STARZ SERIES A  | COM      | 53071M708 | 1987   | 30614    | SH  | DEFINED | 01 | 1 |
| LIBERTY MEDIA-STARZ SERIES A  | COM      | 53071M708 | 3      | 45       | SH  | DEFINED | 01 | 1 |
| LIBERTY PROPERTY TRUST        | COM      | 531172104 | 11008  | 345120   | SH  | DEFINED | 01 | 0 |
| LIBERTY PROPERTY TRUST        | COM      | 531172104 | 15     | 466      | SH  | DEFINED | 01 | 1 |
|                               |          |           |        |          |     |         |    |   |
| LIC HOUSING FINANCE           | COM      | 531698991 | 330    | 10244    | SH  | DEFINED | 01 | 0 |
| LIFEWAY FOODS INC             | COM      | 531914109 | 3      | 330      | SH  | DEFINED | 01 | 0 |
| LIFEWAY FOODS INC             | COM      | 531914109 | 1      | 100      | SH  | DEFINED | 01 | 1 |
| LIFE PARTNERS HOLDINGS INC    | COM      | 53215T106 | 150    | 7893     | SH  | DEFINED | 01 | 0 |
| LIFE TIME FITNESS INC         | COM      | 53217R207 | 9872   | 250115   | SH  | DEFINED | 01 | 0 |
| LIFE TIME FITNESS INC         | COM      | 53217R207 | 6      | 160      | SH  | DEFINED | 01 | 1 |
| LIFE TECHNOLOGIES CORP        | COM      | 53217V109 | 294328 | 6303777  | SH  | DEFINED | 01 | 0 |
| LIFE TECHNOLOGIES CORP        | COM      | 53217V109 | 499    | 10674    | SH  | DEFINED | 01 | 0 |
| LIFE TECHNOLOGIES CORP        | COM      | 53217V109 | 23440  | 502061   | SH  | DEFINED | 01 | 1 |
| LIFE TECHNOLOGIES CORP        | COM      | 53217V109 | 133    | 2854     | SH  | DEFINED | 01 | 1 |
| LIFEPOINT HOSPITALS INC       | COM      | 53219L109 | 10322  | 294399   | SH  | DEFINED | 01 | 0 |
| LIFEPOINT HOSPITALS INC       | COM      | 53219L109 | 32     | 919      | SH  | DEFINED | 01 | 1 |
| LIGAND PHARMACEUTICALS-CL B   | COM      | 53220K207 | 14     | 9235     | SH  | DEFINED | 01 | 0 |
| LIGAND PHARMACEUTICALS-CL B   | COM      | 53220K207 | 0      | 3        | SH  | DEFINED | 01 | 1 |
| LIFETIME BRANDS INC           | COM      | 53222Q103 | 12     | 800      | SH  | DEFINED | 01 | 0 |
| LIGHTBRIDGE CORP COM          | COM      | 53224K104 | 7      | 1134     | SH  | DEFINED | 01 | 1 |
| LIGHTPATH TECHNOLOGI          | COM      | 532257805 | 0      | 5        | SH  | DEFINED | 01 | 1 |
| ELI LILLY & CO                | COM      | 532457108 | 219446 | 6007261  | SH  | DEFINED | 01 | 0 |
| ELI LILLY & CO                | COM      | 532457108 | 1948   | 53317    | SH  | DEFINED | 01 | 0 |
| ELI LILLY & CO                | COM      | 532457108 | 1277   | 35000    | SH  | DEFINED | 01 | 1 |
| ELI LILLY & CO                | COM      | 532457108 | 1371   | 37542    | SH  | DEFINED | 01 | 1 |
| LIMELIGHT NETWORKS INC        | COM      | 53261M104 | 22809  | 3878938  | SH  | DEFINED | 01 | 0 |
| LIMELIGHT NETWORKS INC        | COM      | 53261M104 | 428    | 72823    | SH  | DEFINED | 01 | 0 |
| LIME ENERGY CO COM NEW        | COM      | 53261U205 | 0      | 10       | SH  | DEFINED | 01 | 1 |
| LIMITED BRANDS INC            | COM      | 532716107 | 290148 | 10834437 | SH  | DEFINED | 01 | 0 |
| LIMITED BRANDS INC            | COM      | 532716107 | 372    | 13895    | SH  | DEFINED | 01 | 0 |
| LIMITED BRANDS INC            | COM      | 532716107 | 54392  | 2031046  | SH  | DEFINED | 01 | 1 |
| LIMITED BRANDS INC            | COM      | 532716107 | 41     | 1536     | SH  | DEFINED | 01 | 1 |
| LIMONEIRA CO                  | COM      | 532746104 | 11     | 525      | SH  | DEFINED | 01 | 0 |
| LIN TV CORP-CL A              | COM      | 532774106 | 17     | 3881     | SH  | DEFINED | 01 | 0 |
| LIN TV CORP-CL A              | COM      | 532774106 | 22     | 4861     | SH  | DEFINED | 01 | 1 |
| LINC ENERGY LTD-SPON ADR      | COM      | 532782109 | 9      | 550      | SH  | DEFINED | 01 | 0 |
| LINCARE HOLDINGS INC          | COM      | 532791100 | 8884   | 354066   | SH  | DEFINED | 01 | 0 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| LINCARE HOLDINGS INC          | CONV BND | 532791AF7 | 3188   | 3040000  | PRN | DEFINED | 01 | 0 |
| LINCOLN EDUCATIONAL SERVICES  | COM      | 533535100 | 482    | 33330    | SH  | DEFINED | 01 | 0 |
| LINCOLN ELECTRIC HOLDINGS     | COM      | 533900106 | 6068   | 104956   | SH  | DEFINED | 01 | 0 |
| LINCOLN ELECTRIC HOLDINGS     | COM      | 533900106 | 751    | 12982    | SH  | DEFINED | 01 | 1 |
| LINCOLN NATIONAL CORP         | COM      | 534187109 | 160778 | 6721561  | SH  | DEFINED | 01 | 0 |
| LINCOLN NATIONAL CORP         | COM      | 534187109 | 398    | 16645    | SH  | DEFINED | 01 | 0 |
| LINCOLN NATIONAL CORP         | COM      | 534187109 | 166    | 6933     | SH  | DEFINED | 01 | 1 |
| LINDE AG                      | COM      | 535223200 | 36     | 2710     | SH  | DEFINED | 01 | 0 |
| LINDSAY CORP                  | COM      | 535555106 | 11925  | 275255   | SH  | DEFINED | 01 | 0 |
| LINDSAY CORP                  | COM      | 535555106 | 18     | 405      | SH  | DEFINED | 01 | 1 |
| LINEAR TECHNOLOGY CORP        | COM      | 535678106 | 40753  | 1326168  | SH  | DEFINED | 01 | 0 |
| LINEAR TECHNOLOGY CORP        | COM      | 535678106 | 363    | 11800    | SH  | DEFINED | 01 | 0 |
| LINEAR TECHNOLOGY CORP        | COM      | 535678106 | 35     | 1125     | SH  | DEFINED | 01 | 1 |
| LINK ENERGY LLC               | LP       | 535763106 | 0      | 169325   | SH  | DEFINED | 01 | 0 |
| LIONS GATE ENTERTAINMENT COR  | COM      | 535919203 | 36     | 4800     | SH  | DEFINED | 01 | 0 |
| LIONS GATE ENTERTAINMENT COR  | COM      | 535919203 | 8      | 1040     | SH  | DEFINED | 01 | 1 |
| LINN ENERGY LLC-UNITS         | LP       | 536020100 | 1      | 30       | SH  | DEFINED | 01 | 0 |
| LINN ENERGY LLC-UNITS         | LP       | 536020100 | 418    | 13081    | SH  | DEFINED | 01 | 0 |
| LINN ENERGY LLC-UNITS         | LP       | 536020100 | 1334   | 41803    | SH  | DEFINED | 01 | 1 |
| LINN ENERGY LLC-UNITS         | LP       | 536020100 | 1135   | 35508    | SH  | DEFINED | 01 | 1 |
| LIONBRIDGE TECHNOLOGIES INC   | COM      | 536252109 | 17     | 3900     | SH  | DEFINED | 01 | 0 |
|                               |          |           |        |          |     |         |    |   |
| LIQUIDITY SERVICES INC        | COM      | 53635B107 | 1318   | 82325    | SH  | DEFINED | 01 | 0 |
| LITHIA MOTORS INC-CL A        | COM      | 536797103 | 1009   | 105195   | SH  | DEFINED | 01 | 0 |
| LITHIA MOTORS INC-CL A        | COM      | 536797103 | 35     | 3600     | SH  | DEFINED | 01 | 1 |
| LITTELFUSE INC                | COM      | 537008104 | 31948  | 731073   | SH  | DEFINED | 01 | 0 |
| LIVE NATION ENTERTAINMENT INC | COM      | 538034109 | 7169   | 725639   | SH  | DEFINED | 01 | 0 |
| LIVE NATION ENTERTAINMENT INC | COM      | 538034109 | 15     | 1475     | SH  | DEFINED | 01 | 1 |
| LIVEPERSON INC                | COM      | 538146101 | 2362   | 281155   | SH  | DEFINED | 01 | 0 |
| LIZ CLAIBORNE INC             | COM      | 539320101 | 14714  | 2420178  | SH  | DEFINED | 01 | 0 |
| LIZ CLAIBORNE INC             | COM      | 539320101 | 1809   | 297568   | SH  | DEFINED | 01 | 1 |
| LIZ CLAIBORNE INC             | COM      | 539320101 | 58     | 9615     | SH  | DEFINED | 01 | 1 |
| LLOYDS TSB GROUP PLC -SP ADR  | COM      | 539439109 | 158    | 34378    | SH  | DEFINED | 01 | 0 |
| LLOYDS TSB GROUP PLC -SP ADR  | COM      | 539439109 | 19     | 4128     | SH  | DEFINED | 01 | 1 |
| LOJACK CORPORATION            | COM      | 539451104 | 331    | 86658    | SH  | DEFINED | 01 | 0 |
| LOCAL.COM CORP                | COM      | 53954R105 | 6      | 1350     | SH  | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP          | COM      | 539830109 | 170287 | 2389004  | SH  | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP          | COM      | 539830109 | 1113   | 15617    | SH  | DEFINED | 01 | 0 |
| LOCKHEED MARTIN CORP          | COM      | 539830109 | 375    | 5261     | SH  | DEFINED | 01 | 1 |
| LODGENET INTERACTIVE CORP     | COM      | 540211109 | 6      | 2050     | SH  | DEFINED | 01 | 0 |
| LODGENET INTERACTIVE CORP     | COM      | 540211109 | 12     | 4140     | SH  | DEFINED | 01 | 1 |
| LOEWS CORP                    | COM      | 540424108 | 157633 | 4159171  | SH  | DEFINED | 01 | 0 |
| LOEWS CORP                    | COM      | 540424108 | 633    | 16699    | SH  | DEFINED | 01 | 0 |
| LOEWS CORP                    | COM      | 540424108 | 1128   | 29775    | SH  | DEFINED | 01 | 1 |
| LOGIC DEVICES INC             | COM      | 541402103 | 1      | 800      | SH  | DEFINED | 01 | 1 |
| LOGMEIN INC                   | COM      | 54142L109 | 16209  | 450474   | SH  | DEFINED | 01 | 0 |
| LOGMEIN INC                   | COM      | 54142L109 | 12     | 326      | SH  | DEFINED | 01 | 0 |
| LONGTOP FINANCIAL-SPON ADR    | COM      | 54318P108 | 3738   | 94980    | SH  | DEFINED | 01 | 0 |
| LONGTOP FINANCIAL-SPON ADR    | COM      | 54318P108 | 18     | 470      | SH  | DEFINED | 01 | 0 |
| LONGTOP FINANCIAL-SPON ADR    | COM      | 54318P108 | 136    | 3800     | SH  | DEFINED | 01 | 1 |
| LONGWEI PETE INVT HLDG LTD C  | COM      | 543354104 | 1      | 500      | SH  | DEFINED | 01 | 1 |
| LONMIN PUB LTD CO             | COM      | 54336Q203 | 11     | 390      | SH  | DEFINED | 01 | 0 |
| LOOPNET INC                   | COM      | 543524300 | 1694   | 143049   | SH  | DEFINED | 01 | 0 |
| LORAL SPACE & COMMUNICATIONS  | COM      | 543881106 | 553    | 10613    | SH  | DEFINED | 01 | 0 |
| LORILLARD INC                 | COM      | 544147101 | 853197 | 10623802 | SH  | DEFINED | 01 | 0 |
| LORILLARD INC                 | COM      | 544147101 | 1909   | 23761    | SH  | DEFINED | 01 | 0 |
| LORILLARD INC                 | COM      | 544147101 | 2793   | 34800    | SH  | DEFINED | 01 | 1 |



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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| LORILLARD INC                  | COM      | 544147101 | 414    | 5159    | SH  | DEFINED | 01 | 1 |
| LOTTOMATICA S P A              | COM      | 545697104 | 5      | 340     | SH  | DEFINED | 01 | 0 |
| LOUISIANA-PACIFIC CORP         | COM      | 546347105 | 36349  | 4801545 | SH  | DEFINED | 01 | 0 |
| LOUISIANA-PACIFIC CORP         | COM      | 546347105 | 9      | 1145    | SH  | DEFINED | 01 | 1 |
| LOWE'S COS INC                 | COM      | 548661107 | 118889 | 5333424 | SH  | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM      | 548661107 | 5290   | 237337  | SH  | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM      | 548661107 | 1643   | 73721   | SH  | DEFINED | 01 | 0 |
| LOWE'S COS INC                 | COM      | 548661107 | 74484  | 3344596 | SH  | DEFINED | 01 | 1 |
| LOWE'S COS INC                 | COM      | 548661107 | 671    | 30082   | SH  | DEFINED | 01 | 1 |
| LUBRIZOL CORP                  | COM      | 549271104 | 164861 | 1555734 | SH  | DEFINED | 01 | 0 |
| LUBRIZOL CORP                  | COM      | 549271104 | 1055   | 9953    | SH  | DEFINED | 01 | 1 |
| LUBRIZOL CORP                  | COM      | 549271104 | 903    | 8525    | SH  | DEFINED | 01 | 1 |
| LUBY'S INC                     | COM      | 549282101 | 0      | 41      | SH  | DEFINED | 01 | 0 |
| LUFKIN INDUSTRIES INC          | COM      | 549764108 | 6520   | 148504  | SH  | DEFINED | 01 | 0 |
| LULULEMON ATHLETICA INC        | COM      | 550021109 | 299849 | 6705044 | SH  | DEFINED | 01 | 0 |
| LULULEMON ATHLETICA INC        | COM      | 550021109 | 101    | 2259    | SH  | DEFINED | 01 | 0 |
| LULULEMON ATHLETICA INC        | COM      | 550021109 | 6      | 125     | SH  | DEFINED | 01 | 1 |
| LUMBER LIQUIDATORS HOLDINGS    | COM      | 55003T107 | 5740   | 233586  | SH  | DEFINED | 01 | 0 |
| LUMINEX CORP                   | COM      | 55027E102 | 45     | 2815    | SH  | DEFINED | 01 | 0 |
|                                |          |           |        |         |     |         |    |   |
| LUXOTTICA GROUP SPA-SPON ADR   | COM      | 55068R202 | 7      | 240     | SH  | DEFINED | 01 | 0 |
| LYDALL INC                     | COM      | 550819106 | 593    | 80607   | SH  | DEFINED | 01 | 0 |
| M & F WORLDWIDE CORP           | COM      | 552541104 | 33     | 1375    | SH  | DEFINED | 01 | 0 |
| MACC PRIVATE EQUITIES I        | COM      | 552617102 | 0      | 91      | SH  | DEFINED | 01 | 1 |
| M & T BANK CORP                | COM      | 55261F104 | 12618  | 154234  | SH  | DEFINED | 01 | 0 |
| M & T BANK CORP                | COM      | 55261F104 | 368    | 4502    | SH  | DEFINED | 01 | 0 |
| M & T BANK CORP                | COM      | 55261F104 | 136    | 1668    | SH  | DEFINED | 01 | 1 |
| MBIA INC                       | COM      | 55262C100 | 4412   | 438929  | SH  | DEFINED | 01 | 0 |
| MBIA INC                       | COM      | 55262C100 | 1      | 135     | SH  | DEFINED | 01 | 1 |
| MB FINANCIAL INC               | COM      | 55264U108 | 3257   | 200847  | SH  | DEFINED | 01 | 0 |
| MDC HOLDINGS INC               | COM      | 552676108 | 4129   | 142243  | SH  | DEFINED | 01 | 0 |
| MDC HOLDINGS INC               | COM      | 552676108 | 68     | 2353    | SH  | DEFINED | 01 | 1 |
| MDU RESOURCES GROUP INC        | COM      | 552690109 | 9409   | 471609  | SH  | DEFINED | 01 | 0 |
| MDU RESOURCES GROUP INC        | COM      | 552690109 | 107    | 5355    | SH  | DEFINED | 01 | 1 |
| MEMC ELECTRONIC MATERIALS      | COM      | 552715104 | 1441   | 120949  | SH  | DEFINED | 01 | 0 |
| MEMC ELECTRONIC MATERIALS      | COM      | 552715104 | 143    | 11959   | SH  | DEFINED | 01 | 0 |
| MEMC ELECTRONIC MATERIALS      | COM      | 552715104 | 190    | 15952   | SH  | DEFINED | 01 | 1 |
| MFS CHARTER INCOME TRUST SH B  | COM      | 552727109 | 5      | 500     | SH  | DEFINED | 01 | 1 |
| MFA FINANCIAL INC              | COM      | 55272X102 | 13846  | 1814672 | SH  | DEFINED | 01 | 0 |
| MFA FINANCIAL INC              | COM      | 55272X102 | 142    | 18649   | SH  | DEFINED | 01 | 1 |
| MFS MULTIMARKET INCOME TR      | COM      | 552737108 | 5      | 753     | SH  | DEFINED | 01 | 1 |
| MFS MUN INCOME TR SH BEN INT   | COM      | 552738106 | 6      | 886     | SH  | DEFINED | 01 | 1 |
| MFS INTER INCOME TR SH BEN INT | COM      | 55273C107 | 28     | 4101    | SH  | DEFINED | 01 | 1 |
| MF GLOBAL HOLDINGS LTD         | COM      | 55277J108 | 1999   | 277585  | SH  | DEFINED | 01 | 0 |
| MGE ENERGY INC                 | COM      | 55277P104 | 12170  | 307420  | SH  | DEFINED | 01 | 0 |
| MGE ENERGY INC                 | COM      | 55277P104 | 38     | 968     | SH  | DEFINED | 01 | 1 |
| MELA SCIENCES INC              | COM      | 55277R100 | 11     | 1650    | SH  | DEFINED | 01 | 0 |
| MELA SCIENCES INC              | COM      | 55277R100 | 39     | 6000    | SH  | DEFINED | 01 | 1 |
| MGIC INVESTMENT CORP           | COM      | 552848103 | 40231  | 4358819 | SH  | DEFINED | 01 | 0 |
| MGIC INVESTMENT CORP           | COM      | 552848103 | 150    | 16300   | SH  | DEFINED | 01 | 0 |
| MGIC INVESTMENT CORP           | COM      | 552848103 | 2050   | 222828  | SH  | DEFINED | 01 | 1 |
| MGIC INVESTMENT CORP           | COM      | 552848103 | 3      | 356     | SH  | DEFINED | 01 | 1 |
| MGIC INVESTMENT CORP           | CONV BND | 552848AD5 | 6513   | 5970000 | PRN | DEFINED | 01 | 0 |
| MFS GOVT MKTS INCOMETR SH BEN  | COM      | 552939100 | 23     | 3000    | SH  | DEFINED | 01 | 1 |
| MGM RESORTS INTERNATIONAL      | COM      | 552953101 | 4583   | 406300  | SH  | DEFINED | 01 | 0 |
| MGM RESORTS INTERNATIONAL      | COM      | 552953101 | 1036   | 91851   | SH  | DEFINED | 01 | 1 |
| MGM MIRAGE                     | CONV BND | 552953BR1 | 5546   | 6020000 | PRN | DEFINED | 01 | 0 |

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

|                                   |     |           |        |         |    |         |    |   |
|-----------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MGP INGREDIENTS INC               | COM | 55302G103 | 8      | 975     | SH | DEFINED | 01 | 0 |
| MI DEVELOPMENTS INC-CL A          | COM | 55304X104 | 8156   | 743500  | SH | DEFINED | 01 | 0 |
| M/I HOMES INC                     | COM | 55305B101 | 918    | 88548   | SH | DEFINED | 01 | 0 |
| MKS INSTRUMENTS INC               | COM | 55306N104 | 9490   | 527772  | SH | DEFINED | 01 | 0 |
| MPG OFFICE TRUST INC              | COM | 553274101 | 8      | 3150    | SH | DEFINED | 01 | 0 |
| MPG OFFICE TRUST INC              | COM | 553274101 | 3      | 1248    | SH | DEFINED | 01 | 1 |
| MS&AD INSURANCE-UNSPONS ADR       | COM | 553491101 | 30     | 2550    | SH | DEFINED | 01 | 0 |
| MSC INDUSTRIAL DIRECT CO-A        | COM | 553530106 | 6044   | 111863  | SH | DEFINED | 01 | 0 |
| MSC INDUSTRIAL DIRECT CO-A        | COM | 553530106 | 7586   | 145500  | SH | DEFINED | 01 | 1 |
| MSC INDUSTRIAL DIRECT CO-A        | COM | 553530106 | 12     | 214     | SH | DEFINED | 01 | 1 |
| MSCI INC-A                        | COM | 55354G100 | 20518  | 617818  | SH | DEFINED | 01 | 0 |
| MSCI INC-A                        | COM | 55354G100 | 12     | 364     | SH | DEFINED | 01 | 1 |
| MTR CORP LTD                      | COM | 553768300 | 17     | 460     | SH | DEFINED | 01 | 0 |
| MTS SYSTEMS CORP                  | COM | 553777103 | 11446  | 369249  | SH | DEFINED | 01 | 0 |
| MVC CAPITAL INC                   | COM | 553829102 | 466    | 35933   | SH | DEFINED | 01 | 0 |
| MVC CAPITAL INC                   | COM | 553829102 | 5      | 400     | SH | DEFINED | 01 | 1 |
| MWI VETERINARY SUPPLY INC         | COM | 55402X105 | 3673   | 63630   | SH | DEFINED | 01 | 0 |
| MYR GROUP INC/DELAWARE            | COM | 55405W104 | 3070   | 187347  | SH | DEFINED | 01 | 0 |
| MYR GROUP INC/DELAWARE            | COM | 55405W104 | 20     | 1204    | SH | DEFINED | 01 | 0 |
| MAC-GRAY CORP                     | COM | 554153106 | 4267   | 351815  | SH | DEFINED | 01 | 0 |
| MACATAWA BANK CORP                | COM | 554225102 | 2      | 1271    | SH | DEFINED | 01 | 1 |
| MACERICH CO/THE                   | COM | 554382101 | 21263  | 495075  | SH | DEFINED | 01 | 0 |
| MACERICH CO/THE                   | COM | 554382101 | 12     | 278     | SH | DEFINED | 01 | 1 |
| MACK-CALI REALTY CORP             | COM | 554489104 | 17006  | 519945  | SH | DEFINED | 01 | 0 |
| MACK-CALI REALTY CORP             | COM | 554489104 | 128    | 3919    | SH | DEFINED | 01 | 1 |
| MACQUARIE GROUP LIMITED ADR       | COM | 55607P105 | 23     | 650     | SH | DEFINED | 01 | 0 |
| MACQUARIE/FIRST TR GLOBAL INF     | COM | 55607W100 | 7      | 506     | SH | DEFINED | 01 | 1 |
| MACQUARIE INFRASTRUC              | COM | 55608B105 | 8      | 500     | SH | DEFINED | 01 | 1 |
| MACQUARIE GLOBAL INFRASTRUC       | COM | 55608D101 | 43     | 2620    | SH | DEFINED | 01 | 1 |
| MACY'S INC                        | COM | 55616P104 | 128886 | 5581996 | SH | DEFINED | 01 | 0 |
| MACY'S INC                        | COM | 55616P104 | 513    | 22212   | SH | DEFINED | 01 | 0 |
| MACY'S INC                        | COM | 55616P104 | 968    | 41945   | SH | DEFINED | 01 | 1 |
| STEVEN MADDEN LTD                 | COM | 556269108 | 5648   | 137566  | SH | DEFINED | 01 | 0 |
| STEVEN MADDEN LTD                 | COM | 556269108 | 30     | 724     | SH | DEFINED | 01 | 1 |
| MADISON SQUARE GAR INC-A          | COM | 55826P100 | 296    | 14020   | SH | DEFINED | 01 | 0 |
| MADISON SQUARE GAR INC-A          | COM | 55826P100 | 20     | 972     | SH | DEFINED | 01 | 1 |
| MAG SILVER CORP COM NPV ISIN #    | COM | 55903Q104 | 15     | 2000    | SH | DEFINED | 01 | 1 |
| MAGELLAN HEALTH SERVICES INC      | COM | 559079207 | 33900  | 717610  | SH | DEFINED | 01 | 0 |
| MAGELLAN MIDSTREAM PARTNERS L     | COM | 559080106 | 1000   | 19442   | SH | DEFINED | 01 | 1 |
| MAGMA DESIGN AUTOMATION INC       | COM | 559181102 | 17     | 4735    | SH | DEFINED | 01 | 0 |
| MAGNA INTERNATIONAL INC-CL A      | COM | 559222401 | 1815   | 22072   | SH | DEFINED | 01 | 0 |
| MAGNA INTERNATIONAL INC-CL A      | COM | 559222401 | 1062   | 12936   | SH | DEFINED | 01 | 1 |
| MAGNA INTERNATIONAL INC-CL A      | COM | 559222401 | 70     | 855     | SH | DEFINED | 01 | 1 |
| MAGNACHIP SEMICONDUCTOR CORP W WT | COM | 55932R7F8 | 0      | 120000  | SH | DEFINED | 01 | 0 |
| MAGNACHIP SEMICONDUCTOR CORP      | COM | 55932R8F7 | 0      | 24000   | SH | DEFINED | 01 | 0 |
| MAGNETEK INC                      | COM | 559424106 | 0      | 15      | SH | DEFINED | 01 | 0 |
| MAGNIT OJSC-SPON GDR 144A         | COM | 55953Q103 | 2340   | 92851   | SH | DEFINED | 01 | 0 |
| MAGNUM HUNTER RESOURCES           | COM | 55973B102 | 14     | 3450    | SH | DEFINED | 01 | 0 |
| MAGNUM HUNTER RESOURCES           | COM | 55973B102 | 6      | 1565    | SH | DEFINED | 01 | 1 |
| MAGYAR TELEKOM TELE-SPON ADR      | COM | 559776109 | 15     | 940     | SH | DEFINED | 01 | 0 |
| MAHANAGAR TEL NIGAM LTD           | COM | 559778402 | 2      | 700     | SH | DEFINED | 01 | 0 |
| MAHANAGAR TEL NIGAM LTD           | COM | 559778402 | 0      | 100     | SH | DEFINED | 01 | 1 |
| MAIDENFORM BRANDS INC             | COM | 560305104 | 4789   | 166020  | SH | DEFINED | 01 | 0 |
| MAIDENFORM BRANDS INC             | COM | 560305104 | 20     | 686     | SH | DEFINED | 01 | 0 |
| MAIN STREET CAPITAL CORP          | COM | 56035L104 | 22     | 1415    | SH | DEFINED | 01 | 0 |
| MAINE & MARITIMES CORP            | COM | 560377103 | 9      | 200     | SH | DEFINED | 01 | 1 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MAINSOURCE FINANCIAL GROUP I  | COM | 56062Y102 | 303    | 39665   | SH | DEFINED | 01 | 0 |
| MAKITA CORP-SPONS ADR         | COM | 560877300 | 68     | 2121    | SH | DEFINED | 01 | 0 |
| MAKITA CORP-SPONS ADR         | COM | 560877300 | 27     | 846     | SH | DEFINED | 01 | 1 |
| MAKO SURGICAL CORP            | COM | 560879108 | 1122   | 117072  | SH | DEFINED | 01 | 0 |
| MAKHTESHIM-AGAN-UNSPON ADR    | COM | 56087N107 | 2      | 280     | SH | DEFINED | 01 | 0 |
| MAN SE                        | COM | 561641101 | 11     | 990     | SH | DEFINED | 01 | 0 |
| MAN GROUP PLC                 | COM | 56164U107 | 15     | 4530    | SH | DEFINED | 01 | 0 |
| MANAGED HIGH YIELD PLUS FD IN | COM | 561911108 | 232    | 102988  | SH | DEFINED | 01 | 1 |
| MANHATTAN ASSOCIATES INC      | COM | 562750109 | 32863  | 1119675 | SH | DEFINED | 01 | 0 |
| MANITOWOC COMPANY INC         | COM | 563571108 | 20675  | 1707196 | SH | DEFINED | 01 | 0 |
| MANITOWOC COMPANY INC         | COM | 563571108 | 420    | 34691   | SH | DEFINED | 01 | 1 |
| MANNATECH INC                 | COM | 563771104 | 159    | 77510   | SH | DEFINED | 01 | 0 |
| MANNATECH INC                 | COM | 563771104 | 3      | 1625    | SH | DEFINED | 01 | 1 |
| MANNKIND CORP                 | COM | 56400P201 | 34     | 5168    | SH | DEFINED | 01 | 0 |
| MANNKIND CORP                 | COM | 56400P201 | 67     | 9900    | SH | DEFINED | 01 | 1 |
| MANPOWER INC                  | COM | 56418H100 | 91165  | 1746437 | SH | DEFINED | 01 | 0 |
| MANPOWER INC                  | COM | 56418H100 | 18     | 351     | SH | DEFINED | 01 | 1 |
| MANTECH INTERNATIONAL CORP-A  | COM | 564563104 | 2350   | 59330   | SH | DEFINED | 01 | 0 |
| MANTECH INTERNATIONAL CORP-A  | COM | 564563104 | 0      | 1       | SH | DEFINED | 01 | 1 |
| MANULIFE FINANCIAL CORP       | COM | 56501R106 | 0      | 1       | SH | DEFINED | 01 | 0 |
| MANULIFE FINANCIAL CORP       | COM | 56501R106 | 381    | 30199   | SH | DEFINED | 01 | 1 |
| MAP PHARMACEUTICALS INC       | COM | 56509R108 | 7159   | 467860  | SH | DEFINED | 01 | 0 |
| MARATHON OIL CORP             | COM | 565849106 | 220423 | 6659123 | SH | DEFINED | 01 | 0 |
| MARATHON OIL CORP             | COM | 565849106 | 1234   | 37288   | SH | DEFINED | 01 | 0 |
| MARATHON OIL CORP             | COM | 565849106 | 1818   | 54933   | SH | DEFINED | 01 | 1 |
| MARCHEX INC-CLASS B           | COM | 56624R108 | 9      | 1665    | SH | DEFINED | 01 | 0 |
| MARCUS CORPORATION            | COM | 566330106 | 1289   | 108813  | SH | DEFINED | 01 | 0 |
| MARINEMAX INC                 | COM | 567908108 | 751    | 106588  | SH | DEFINED | 01 | 0 |
| MARINE PRODUCTS CORP          | COM | 568427108 | 5      | 739     | SH | DEFINED | 01 | 0 |
| MARINER ENERGY INC            | COM | 56845T305 | 6103   | 251863  | SH | DEFINED | 01 | 0 |
| MARINER ENERGY INC            | COM | 56845T305 | 5      | 200     | SH | DEFINED | 01 | 1 |
| MARKEL CORP                   | COM | 570535104 | 3597   | 10440   | SH | DEFINED | 01 | 0 |
| MARKEL CORP                   | COM | 570535104 | 44     | 127     | SH | DEFINED | 01 | 1 |
| MARKETAXESS HOLDINGS INC      | COM | 57060D108 | 33     | 1940    | SH | DEFINED | 01 | 0 |
| MARKET VECTORS ETF TR GOLD MI | COM | 57060U100 | 2473   | 44211   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR ENVIRON | COM | 57060U209 | 19     | 408     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR STEEL E | COM | 57060U308 | 60     | 949     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR GLOBAL  | COM | 57060U407 | 449    | 21792   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS RUSSIA ETF     | COM | 57060U506 | 929    | 28565   | SH | DEFINED | 01 | 0 |
| MARKET VECTORS RUSSIA ETF     | COM | 57060U506 | 28     | 850     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR EMERGIN | COM | 57060U522 | 19     | 707     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR JR GOLD | COM | 57060U589 | 85     | 2547    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS AGRIBUSINESS   | COM | 57060U605 | 115    | 2500    | SH | DEFINED | 01 | 0 |
| MARKET VECTORS AGRIBUSINESS   | COM | 57060U605 | 1013   | 22098   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR BRAZIL  | COM | 57060U613 | 180    | 3204    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR NUCLEAR | COM | 57060U704 | 95     | 4505    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR INDONES | COM | 57060U753 | 20     | 234     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS VIETNAM ETF    | COM | 57060U761 | 9      | 350     | SH | DEFINED | 01 | 0 |
| MARKET VECTORS VIETNAM ETF    | COM | 57060U761 | 82     | 3363    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR RVE HAR | COM | 57060U795 | 29     | 860     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS SHORT MUNI     | COM | 57060U803 | 299    | 16858   | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR SOLAR E | COM | 57060U811 | 12     | 924     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR GAMING  | COM | 57060U829 | 6      | 200     | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR COAL ET | COM | 57060U837 | 88     | 2348    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS INTERMEDIA     | COM | 57060U845 | 156    | 6955    | SH | DEFINED | 01 | 1 |
| MARKET VECTORS ETF TR LEHMAN  | COM | 57060U878 | 480    | 15406   | SH | DEFINED | 01 | 1 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| MARKET VECTORS LONG MUNIC    | COM      | 57060U886 | 56     | 2927    | SH  | DEFINED | 01 | 1 |
| MARKWEST ENERGY PARTNERS L   | COM      | 570759100 | 18     | 500     | SH  | DEFINED | 01 | 1 |
| MARKS & SPENCER GROUP P      | COM      | 570912105 | 18     | 1490    | SH  | DEFINED | 01 | 0 |
| MARLIN BUSINESS SERVICES     | COM      | 571157106 | 7      | 550     | SH  | DEFINED | 01 | 0 |
| MARSH & MCLENNAN COS         | COM      | 571748102 | 18188  | 754100  | SH  | DEFINED | 01 | 0 |
| MARSH & MCLENNAN COS         | COM      | 571748102 | 687    | 28497   | SH  | DEFINED | 01 | 0 |
| MARSH & MCLENNAN COS         | COM      | 571748102 | 223    | 9225    | SH  | DEFINED | 01 | 1 |
| MARSHALL & ILSLEY CORP       | COM      | 571837103 | 5991   | 850910  | SH  | DEFINED | 01 | 0 |
| MARSHALL & ILSLEY CORP       | COM      | 571837103 | 256    | 36332   | SH  | DEFINED | 01 | 0 |
| MARSHALL & ILSLEY CORP       | COM      | 571837103 | 63     | 9014    | SH  | DEFINED | 01 | 1 |
| MARRIOTT INTERNATIONAL-CL A  | COM      | 571903202 | 11215  | 312997  | SH  | DEFINED | 01 | 0 |
| MARRIOTT INTERNATIONAL-CL A  | COM      | 571903202 | 639    | 17824   | SH  | DEFINED | 01 | 0 |
| MARRIOTT INTERNATIONAL-CL A  | COM      | 571903202 | 142    | 3961    | SH  | DEFINED | 01 | 1 |
| HUGO BOSS AG -ORD            | COM      | 572668994 | 3252   | 65164   | SH  | DEFINED | 01 | 0 |
| MARTEK BIOSCIENCES CORP      | COM      | 572901106 | 15383  | 679752  | SH  | DEFINED | 01 | 0 |
| MARTEN TRANSPORT LTD         | COM      | 573075108 | 38     | 1650    | SH  | DEFINED | 01 | 0 |
| MARTHA STEWART LIVING -CL A  | COM      | 573083102 | 10     | 2240    | SH  | DEFINED | 01 | 0 |
| MARTHA STEWART LIVING -CL A  | COM      | 573083102 | 6      | 1163    | SH  | DEFINED | 01 | 1 |
| MARTIN MARIETTA MATERIALS    | COM      | 573284106 | 42970  | 558254  | SH  | DEFINED | 01 | 0 |
| MARTIN MARIETTA MATERIALS    | COM      | 573284106 | 148    | 1926    | SH  | DEFINED | 01 | 0 |
| MARTIN MARIETTA MATERIALS    | COM      | 573284106 | 7      | 93      | SH  | DEFINED | 01 | 1 |
| MARTIN MIDSTREAM PARTNERS L  | COM      | 573331105 | 423    | 12957   | SH  | DEFINED | 01 | 1 |
| MARUBENI CORP-UNSPONS ADR    | COM      | 573810207 | 59     | 1040    | SH  | DEFINED | 01 | 0 |
| MARUI GROUP CO LTD           | COM      | 573814308 | 4      | 280     | SH  | DEFINED | 01 | 0 |
| MASCO CORP                   | COM      | 574599106 | 2290   | 208037  | SH  | DEFINED | 01 | 0 |
| MASCO CORP                   | COM      | 574599106 | 207    | 18829   | SH  | DEFINED | 01 | 0 |
| MASCO CORP                   | COM      | 574599106 | 13     | 1208    | SH  | DEFINED | 01 | 1 |
| MASIMO CORPORATION           | COM      | 574795100 | 44216  | 1619040 | SH  | DEFINED | 01 | 0 |
| MASIMO CORPORATION           | COM      | 574795100 | 146    | 5342    | SH  | DEFINED | 01 | 0 |
| MASIMO CORPORATION           | COM      | 574795100 | 3      | 111     | SH  | DEFINED | 01 | 1 |
| MASS HLTH & ED TAX EXEMPT TR | COM      | 575672100 | 54     | 3960    | SH  | DEFINED | 01 | 1 |
| MASS FINANCIAL CORP-CL A     | COM      | 575854997 | 3727   | 500231  | SH  | DEFINED | 01 | 0 |
| MASSEY ENERGY CO             | CONV BND | 576203AJ2 | 2325   | 2620000 | PRN | DEFINED | 01 | 0 |
| MASSEY ENERGY CO             | COM      | 576206106 | 1978   | 63704   | SH  | DEFINED | 01 | 0 |
| MASSEY ENERGY CO             | COM      | 576206106 | 167    | 5375    | SH  | DEFINED | 01 | 0 |
| MASSEY ENERGY CO             | COM      | 576206106 | 13     | 430     | SH  | DEFINED | 01 | 1 |
| MASSMART HLDGS LTD           | COM      | 576290100 | 2      | 50      | SH  | DEFINED | 01 | 0 |
| MASSMUTUAL CORP INVS         | COM      | 576292106 | 22     | 743     | SH  | DEFINED | 01 | 1 |
| MASSMUTUAL PARTN INVS        | COM      | 576299101 | 15     | 1073    | SH  | DEFINED | 01 | 1 |
| MASTEC INC                   | COM      | 576323109 | 7356   | 712818  | SH  | DEFINED | 01 | 0 |
| MASTERCARD INC-CLASS A       | COM      | 57636Q104 | 452973 | 2022202 | SH  | DEFINED | 01 | 0 |
| MASTERCARD INC-CLASS A       | COM      | 57636Q104 | 1620   | 7233    | SH  | DEFINED | 01 | 0 |
| MASTERCARD INC-CLASS A       | COM      | 57636Q104 | 9773   | 43720   | SH  | DEFINED | 01 | 1 |
| MASTERCARD INC-CLASS A       | COM      | 57636Q104 | 666    | 2972    | SH  | DEFINED | 01 | 1 |
| MATRIX SERVICE CO            | COM      | 576853105 | 6114   | 698752  | SH  | DEFINED | 01 | 0 |
| MATRIX INITIATIVES INC       | COM      | 57685L105 | 5      | 960     | SH  | DEFINED | 01 | 0 |
| MATTEL INC                   | COM      | 577081102 | 39701  | 1692289 | SH  | DEFINED | 01 | 0 |
| MATTEL INC                   | COM      | 577081102 | 443    | 18902   | SH  | DEFINED | 01 | 0 |
| MATTEL INC                   | COM      | 577081102 | 61     | 2597    | SH  | DEFINED | 01 | 1 |
| MATTHEWS INTL CORP-CL A      | COM      | 577128101 | 2611   | 73830   | SH  | DEFINED | 01 | 0 |
| MATTHEWS INTL CORP-CL A      | COM      | 577128101 | 13     | 365     | SH  | DEFINED | 01 | 1 |
| MATTSON TECHNOLOGY INC       | COM      | 577223100 | 9      | 3275    | SH  | DEFINED | 01 | 0 |
| MAUI LAND & PINEAPPLE CO     | COM      | 577345101 | 1      | 123     | SH  | DEFINED | 01 | 0 |
| MAXIM INTEGRATED PRODUCTS    | COM      | 57772K101 | 13847  | 748100  | SH  | DEFINED | 01 | 0 |
| MAXIM INTEGRATED PRODUCTS    | COM      | 57772K101 | 73     | 3938    | SH  | DEFINED | 01 | 1 |
| MAXWELL TECHNOLOGIES INC     | COM      | 577767106 | 25     | 1720    | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| MAXWELL TECHNOLOGIES INC     | COM | 577767106 | 0      | 1       | SH | DEFINED | 01 | 1 |
| MAXLINEAR INC-CLASS A        | COM | 57776J100 | 2659   | 236956  | SH | DEFINED | 01 | 0 |
| MAXYGEN INC                  | COM | 577776107 | 16     | 2627    | SH | DEFINED | 01 | 0 |
| MAXIMUS INC                  | COM | 577933104 | 26365  | 428130  | SH | DEFINED | 01 | 0 |
| M B T FINANCIAL CORP         | COM | 578877102 | 29     | 16000   | SH | DEFINED | 01 | 1 |
| MCAFEE INC                   | COM | 579064106 | 3592   | 75991   | SH | DEFINED | 01 | 0 |
| MCAFEE INC                   | COM | 579064106 | 378    | 8001    | SH | DEFINED | 01 | 0 |
| MCAFEE INC                   | COM | 579064106 | 10     | 218     | SH | DEFINED | 01 | 1 |
| MCCLATCHY CO-CLASS A         | COM | 579489105 | 792    | 201506  | SH | DEFINED | 01 | 0 |
| MCCLATCHY CO-CLASS A         | COM | 579489105 | 4      | 1050    | SH | DEFINED | 01 | 1 |
| MCCORMICK & CO INC VTG       | COM | 579780107 | 39     | 913     | SH | DEFINED | 01 | 1 |
| MCCORMICK & CO-NON VTG SHRS  | COM | 579780206 | 2475   | 58854   | SH | DEFINED | 01 | 0 |
| MCCORMICK & CO-NON VTG SHRS  | COM | 579780206 | 294    | 6989    | SH | DEFINED | 01 | 0 |
| MCCORMICK & CO-NON VTG SHRS  | COM | 579780206 | 154    | 3659    | SH | DEFINED | 01 | 1 |
| MCCORMICK & SCHMICK'S SEAFOO | COM | 579793100 | 8      | 975     | SH | DEFINED | 01 | 0 |
| MCDERMOTT INTL INC           | COM | 580037109 | 121125 | 8195273 | SH | DEFINED | 01 | 0 |
| MCDERMOTT INTL INC           | COM | 580037109 | 339    | 22912   | SH | DEFINED | 01 | 1 |
| MCDONALD'S CORP              | COM | 580135101 | 314669 | 4223164 | SH | DEFINED | 01 | 0 |
| MCDONALD'S CORP              | COM | 580135101 | 240    | 3217    | SH | DEFINED | 01 | 0 |
| MCDONALD'S CORP              | COM | 580135101 | 4168   | 55934   | SH | DEFINED | 01 | 0 |
| MCDONALD'S CORP              | COM | 580135101 | 88084  | 1199237 | SH | DEFINED | 01 | 1 |
| MCDONALD'S CORP              | COM | 580135101 | 6366   | 85439   | SH | DEFINED | 01 | 1 |
| MCG CAPITAL CORP             | COM | 58047P107 | 510    | 87577   | SH | DEFINED | 01 | 0 |
| MCG CAPITAL CORP             | COM | 58047P107 | 62     | 10640   | SH | DEFINED | 01 | 1 |
| MCGRATH RENTCORP             | COM | 580589109 | 15481  | 646377  | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC    | COM | 580645109 | 69200  | 2093150 | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC    | COM | 580645109 | 537    | 16247   | SH | DEFINED | 01 | 0 |
| MCGRAW-HILL COMPANIES INC    | COM | 580645109 | 71     | 2158    | SH | DEFINED | 01 | 1 |
| MCKESSON CORP                | COM | 58155Q103 | 37591  | 608461  | SH | DEFINED | 01 | 0 |
| MCKESSON CORP                | COM | 58155Q103 | 848    | 13732   | SH | DEFINED | 01 | 0 |
| MCKESSON CORP                | COM | 58155Q103 | 99     | 1604    | SH | DEFINED | 01 | 1 |
| MCMORAN EXPLORATION CO       | COM | 582411104 | 139    | 8090    | SH | DEFINED | 01 | 0 |
| MCMORAN EXPLORATION CO       | COM | 582411104 | 816    | 47421   | SH | DEFINED | 01 | 1 |
| MEAD JOHNSON NUTRITION CO-A  | COM | 582839106 | 58413  | 1026380 | SH | DEFINED | 01 | 0 |
| MEAD JOHNSON NUTRITION CO-A  | COM | 582839106 | 611    | 10735   | SH | DEFINED | 01 | 0 |
| MEAD JOHNSON NUTRITION CO-A  | COM | 582839106 | 21     | 373     | SH | DEFINED | 01 | 1 |
| MEADOWBROOK INSURANCE GROUP  | COM | 58319P108 | 484    | 53912   | SH | DEFINED | 01 | 0 |
| MEADOWBROOK INSURANCE GROUP  | COM | 58319P108 | 5      | 600     | SH | DEFINED | 01 | 1 |
| MEADWESTVACO CORP            | COM | 583334107 | 9949   | 408000  | SH | DEFINED | 01 | 0 |
| MEADWESTVACO CORP            | COM | 583334107 | 219    | 8980    | SH | DEFINED | 01 | 0 |
| MEADWESTVACO CORP            | COM | 583334107 | 191    | 7845    | SH | DEFINED | 01 | 1 |
| MEASUREMENT SPECIALTIES INC  | COM | 583421102 | 415    | 22455   | SH | DEFINED | 01 | 0 |
| MEASUREMENT SPECIALTIES INC  | COM | 583421102 | 0      | 1       | SH | DEFINED | 01 | 1 |
| MECHEL-SPONSORED ADR         | COM | 583840103 | 3522   | 141434  | SH | DEFINED | 01 | 0 |
| MECHEL-SPONSORED ADR         | COM | 583840103 | 6415   | 257646  | SH | DEFINED | 01 | 0 |
| MECHEL-SPONSORED ADR         | COM | 583840103 | 874    | 35175   | SH | DEFINED | 01 | 1 |
| MEDALLION FINANCIAL CORP     | COM | 583928106 | 7738   | 993415  | SH | DEFINED | 01 | 0 |
| MEDALLION FINANCIAL CORP     | COM | 583928106 | 1      | 125     | SH | DEFINED | 01 | 1 |
| MEDASSETS INC                | COM | 584045108 | 151    | 7174    | SH | DEFINED | 01 | 0 |
| MEDASSETS INC                | COM | 584045108 | 5202   | 247500  | SH | DEFINED | 01 | 1 |
| MEDASSETS INC                | COM | 584045108 | 2      | 100     | SH | DEFINED | 01 | 1 |
| MEDCATH CORPORATION          | COM | 58404W109 | 9521   | 945589  | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC   | COM | 58405U102 | 268618 | 5159740 | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC   | COM | 58405U102 | 1187   | 22797   | SH | DEFINED | 01 | 0 |
| MEDCO HEALTH SOLUTIONS INC   | COM | 58405U102 | 959    | 18428   | SH | DEFINED | 01 | 1 |
| MEDIA GENERAL INC -CL A      | COM | 584404107 | 40     | 4426    | SH | DEFINED | 01 | 0 |

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

|                               |     |           |        |          |    |         |    |   |
|-------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| MEDIASET S P A SP ADR RP 3 SH | COM | 584469407 | 41     | 1903     | SH | DEFINED | 01 | 0 |
| MEDIACOM COMMUNICATIONS-CL A  | COM | 58446K105 | 163    | 24583    | SH | DEFINED | 01 | 0 |
| MEDICAL ACTION IND INC        | COM | 58449L100 | 6637   | 733232   | SH | DEFINED | 01 | 0 |
| MEDICAL PROPERTIES TRUST INC  | COM | 58463J304 | 7819   | 771174   | SH | DEFINED | 01 | 0 |
| MEDICAL PROPERTIES TRUST INC  | COM | 58463J304 | 172    | 16932    | SH | DEFINED | 01 | 1 |
| MEDICINES COMPANY             | COM | 584688105 | 79     | 5470     | SH | DEFINED | 01 | 0 |
| MEDICINES COMPANY             | COM | 584688105 | 21     | 1500     | SH | DEFINED | 01 | 1 |
| MEDICIS PHARMACEUTICAL-CL A   | COM | 584690309 | 43053  | 1452014  | SH | DEFINED | 01 | 0 |
| MEDICIS PHARMACEUTICAL-CL A   | COM | 584690309 | 132    | 4440     | SH | DEFINED | 01 | 1 |
| MEDIFAST INC                  | COM | 58470H101 | 1860   | 68565    | SH | DEFINED | 01 | 0 |
| MEDIFAST INC                  | COM | 58470H101 | 145    | 5350     | SH | DEFINED | 01 | 1 |
| MEDIDATA SOLUTIONS INC        | COM | 58471A105 | 9607   | 500293   | SH | DEFINED | 01 | 0 |
| MEDIDATA SOLUTIONS INC        | COM | 58471A105 | 33     | 1741     | SH | DEFINED | 01 | 0 |
| MEDIDATA SOLUTIONS INC        | COM | 58471A105 | 279    | 14550    | SH | DEFINED | 01 | 1 |
| MEDQUIST INC                  | COM | 584949101 | 7      | 750      | SH | DEFINED | 01 | 0 |
| MEDQUIST INC                  | COM | 584949101 | 4      | 500      | SH | DEFINED | 01 | 1 |
| MEDIVATION INC                | COM | 58501N101 | 30     | 2340     | SH | DEFINED | 01 | 0 |
| MEDNAX INC                    | COM | 58502B106 | 44368  | 832455   | SH | DEFINED | 01 | 0 |
| MEDNAX INC                    | COM | 58502B106 | 101    | 1900     | SH | DEFINED | 01 | 0 |
| MEDNAX INC                    | COM | 58502B106 | 21     | 400      | SH | DEFINED | 01 | 1 |
| MEDTRONIC INC                 | COM | 585055106 | 71419  | 2126787  | SH | DEFINED | 01 | 0 |
| MEDTRONIC INC                 | COM | 585055106 | 1905   | 56737    | SH | DEFINED | 01 | 0 |
| MEDTRONIC INC                 | COM | 585055106 | 10275  | 240500   | SH | DEFINED | 01 | 1 |
| MEDTRONIC INC                 | COM | 585055106 | 867    | 25807    | SH | DEFINED | 01 | 1 |
| MEDTRONIC INC SR NT CV 1      | COM | 585055AL0 | 20     | 20000    | SH | DEFINED | 01 | 1 |
| MELCO CROWN ENTERTAINME-ADR   | COM | 585464100 | 5341   | 1049486  | SH | DEFINED | 01 | 0 |
| MELCO CROWN ENTERTAINME-ADR   | COM | 585464100 | 19     | 3635     | SH | DEFINED | 01 | 0 |
| MELCO CROWN ENTERTAINME-ADR   | COM | 585464100 | 132    | 26012    | SH | DEFINED | 01 | 1 |
| MEMSIC INC                    | COM | 586264103 | 7383   | 3013355  | SH | DEFINED | 01 | 0 |
| MEN'S WEARHOUSE INC/THE       | COM | 587118100 | 32832  | 1380101  | SH | DEFINED | 01 | 0 |
| MENTOR GRAPHICS CORP          | COM | 587200106 | 84359  | 7981078  | SH | DEFINED | 01 | 0 |
| MENTOR GRAPHICS CORP          | COM | 587200106 | 179    | 21752    | SH | DEFINED | 01 | 1 |
| MENTOR GRAPHICS CORP          | COM | 587200106 | 4      | 404      | SH | DEFINED | 01 | 1 |
| MERCADOLIBRE INC              | COM | 58733R102 | 18165  | 251661   | SH | DEFINED | 01 | 0 |
| MERCADOLIBRE INC              | COM | 58733R102 | 72     | 1000     | SH | DEFINED | 01 | 1 |
| MERCER INERNATIONAL INC       | COM | 588056101 | 1      | 250      | SH | DEFINED | 01 | 0 |
| MERCHANTS BANCSHARES INC      | COM | 588448100 | 10060  | 403379   | SH | DEFINED | 01 | 0 |
| MERCK KGAA                    | COM | 589339100 | 15     | 550      | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.              | COM | 58933Y105 | 703043 | 19099214 | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.              | COM | 58933Y105 | 3218   | 87429    | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.              | COM | 58933Y105 | 6814   | 185123   | SH | DEFINED | 01 | 0 |
| MERCK & CO. INC.              | COM | 58933Y105 | 15177  | 412460   | SH | DEFINED | 01 | 1 |
| MERCK & CO. INC.              | COM | 58933Y105 | 3471   | 94287    | SH | DEFINED | 01 | 1 |
| MERCURY COMPUTER SYSTEMS INC  | COM | 589378108 | 6472   | 537938   | SH | DEFINED | 01 | 0 |
| MERCURY COMPUTER SYSTEMS INC  | COM | 589378108 | 0      | 4        | SH | DEFINED | 01 | 1 |
| MERCURY GENERAL CORP          | COM | 589400100 | 3516   | 86039    | SH | DEFINED | 01 | 0 |
| MERCURY GENERAL CORP          | COM | 589400100 | 56     | 1375     | SH | DEFINED | 01 | 1 |
| MEREDITH CORP                 | COM | 589433101 | 26224  | 787233   | SH | DEFINED | 01 | 0 |
| MEREDITH CORP                 | COM | 589433101 | 64     | 1920     | SH | DEFINED | 01 | 0 |
| MERGE HEALTHCARE INC          | COM | 589499102 | 10     | 3455     | SH | DEFINED | 01 | 0 |
| MERGE HEALTHCARE INC          | COM | 589499102 | 2      | 800      | SH | DEFINED | 01 | 1 |
| MERIDIAN BIOSCIENCE INC       | COM | 589584101 | 8421   | 384867   | SH | DEFINED | 01 | 0 |
| MERIDIAN BIOSCIENCE INC       | COM | 589584101 | 7618   | 407900   | SH | DEFINED | 01 | 1 |
| MERIDIAN BIOSCIENCE INC       | COM | 589584101 | 77     | 3540     | SH | DEFINED | 01 | 1 |
| MERIDIAN INTERSTATE BANCORP   | COM | 58964Q104 | 9      | 875      | SH | DEFINED | 01 | 0 |
| MERIT MEDICAL SYSTEMS INC     | COM | 589889104 | 2115   | 133117   | SH | DEFINED | 01 | 0 |

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

|                              |          |           |         |          |     |         |    |   |
|------------------------------|----------|-----------|---------|----------|-----|---------|----|---|
| MERITAGE HOMES CORP          | COM      | 59001A102 | 15735   | 801976   | SH  | DEFINED | 01 | 0 |
| MERU NETWORKS INC            | COM      | 59047Q103 | 366     | 21218    | SH  | DEFINED | 01 | 0 |
| MESABI TRUST                 | COM      | 590672101 | 445     | 12246    | SH  | DEFINED | 01 | 0 |
| MESABI TRUST                 | COM      | 590672101 | 1055    | 29109    | SH  | DEFINED | 01 | 1 |
| MESABI TRUST                 | COM      | 590672101 | 95      | 2630     | SH  | DEFINED | 01 | 1 |
| MET-PRO CORP                 | COM      | 590876306 | 13      | 1255     | SH  | DEFINED | 01 | 0 |
| MET-PRO CORP                 | COM      | 590876306 | 482     | 47813    | SH  | DEFINED | 01 | 1 |
| METABOLIX INC                | COM      | 591018809 | 892     | 70900    | SH  | DEFINED | 01 | 0 |
| METABOLIX INC                | COM      | 591018809 | 28      | 2246     | SH  | DEFINED | 01 | 0 |
| METABOLIX INC                | COM      | 591018809 | 18      | 1425     | SH  | DEFINED | 01 | 1 |
| METALICO INC                 | COM      | 591176102 | 34      | 9045     | SH  | DEFINED | 01 | 0 |
| METALICO INC                 | COM      | 591176102 | 74      | 19306    | SH  | DEFINED | 01 | 1 |
| METALS USA HOLDINGS CORP     | COM      | 59132A104 | 10191   | 785170   | SH  | DEFINED | 01 | 0 |
| METHANEX CORP                | COM      | 59151K108 | 28504   | 1163900  | SH  | DEFINED | 01 | 0 |
| METHANEX CORP                | COM      | 59151K108 | 13      | 525      | SH  | DEFINED | 01 | 1 |
| METHODE ELECTRONICS INC      | COM      | 591520200 | 8638    | 951303   | SH  | DEFINED | 01 | 0 |
| METHODE ELECTRONICS INC      | COM      | 591520200 | 2       | 250      | SH  | DEFINED | 01 | 1 |
| METLIFE INC                  | COM      | 59156R108 | 435612  | 11329125 | SH  | DEFINED | 01 | 0 |
| METLIFE INC                  | COM      | 59156R108 | 1832    | 47648    | SH  | DEFINED | 01 | 0 |
| METLIFE INC                  | COM      | 59156R108 | 29634   | 770871   | SH  | DEFINED | 01 | 1 |
| METLIFE INC                  | COM      | 59156R108 | 464     | 12075    | SH  | DEFINED | 01 | 1 |
| METRO BANCORP INC            | COM      | 59161R101 | 20      | 1875     | SH  | DEFINED | 01 | 0 |
| METROGAS INC ADR             | COM      | 591673207 | 0       | 10       | SH  | DEFINED | 01 | 0 |
| METROPICS COMMUNICATIONS INC | COM      | 591708102 | 6523    | 623544   | SH  | DEFINED | 01 | 0 |
| METROPICS COMMUNICATIONS INC | COM      | 591708102 | 144     | 13756    | SH  | DEFINED | 01 | 0 |
| METRO HEALTH NETWORKS INC    | COM      | 592142103 | 17      | 4415     | SH  | DEFINED | 01 | 0 |
| METSO CORP                   | COM      | 592671101 | 23      | 493      | SH  | DEFINED | 01 | 0 |
| METTLER-TOLEDO INTERNATIONAL | COM      | 592688105 | 47223   | 379481   | SH  | DEFINED | 01 | 0 |
| METTLER-TOLEDO INTERNATIONAL | COM      | 592688105 | 11618   | 93363    | SH  | DEFINED | 01 | 1 |
| METTLER-TOLEDO INTERNATIONAL | COM      | 592688105 | 46      | 367      | SH  | DEFINED | 01 | 1 |
| MEXICO FUND INC              | COM      | 592835102 | 7       | 287      | SH  | DEFINED | 01 | 1 |
| MFS INTER HIGH INCOME FD     | COM      | 59318T109 | 176     | 59200    | SH  | DEFINED | 01 | 1 |
| MICHELIN COMPAGNIE GENER     | COM      | 59410T106 | 33      | 2175     | SH  | DEFINED | 01 | 0 |
| MICREL INC                   | COM      | 594793101 | 18548   | 1881180  | SH  | DEFINED | 01 | 0 |
| MICROS SYSTEMS INC           | COM      | 594901100 | 21507   | 508070   | SH  | DEFINED | 01 | 0 |
| MICROS SYSTEMS INC           | COM      | 594901100 | 5       | 110      | SH  | DEFINED | 01 | 1 |
| MICROSOFT CORP               | COM      | 594918104 | 1163640 | 47515001 | SH  | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM      | 594918104 | 3291    | 134388   | SH  | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM      | 594918104 | 10331   | 421837   | SH  | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM      | 594918104 | 15      | 597      | SH  | DEFINED | 01 | 0 |
| MICROSOFT CORP               | COM      | 594918104 | 26557   | 1050200  | SH  | DEFINED | 01 | 1 |
| MICROSOFT CORP               | COM      | 594918104 | 8389    | 342554   | SH  | DEFINED | 01 | 1 |
| MICROVISION INC              | COM      | 594960106 | 13      | 6010     | SH  | DEFINED | 01 | 0 |
| MICROVISION INC              | COM      | 594960106 | 4       | 1800     | SH  | DEFINED | 01 | 1 |
| MICROSTRATEGY INC-CL A       | COM      | 594972408 | 4318    | 49861    | SH  | DEFINED | 01 | 0 |
| MICROSTRATEGY INC-CL A       | COM      | 594972408 | 22395   | 259130   | SH  | DEFINED | 01 | 1 |
| MICROCHIP TECHNOLOGY INC     | COM      | 595017104 | 101608  | 3230734  | SH  | DEFINED | 01 | 0 |
| MICROCHIP TECHNOLOGY INC     | COM      | 595017104 | 437     | 13911    | SH  | DEFINED | 01 | 0 |
| MICROCHIP TECHNOLOGY INC     | COM      | 595017104 | 411     | 13068    | SH  | DEFINED | 01 | 1 |
| MICROMET INC                 | COM      | 59509C105 | 998     | 148410   | SH  | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM      | 595112103 | 17073   | 2368164  | SH  | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM      | 595112103 | 3260    | 452126   | SH  | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM      | 595112103 | 324     | 44930    | SH  | DEFINED | 01 | 0 |
| MICRON TECHNOLOGY INC        | COM      | 595112103 | 16808   | 2334663  | SH  | DEFINED | 01 | 1 |
| MICRON TECHNOLOGY INC        | COM      | 595112103 | 129     | 17953    | SH  | DEFINED | 01 | 1 |
| MICRON TECHNOLOGY INC        | CONV BND | 595112AH6 | 6106    | 6870000  | PRN | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| MICROSEMI CORP                 | COM | 595137100 | 82678 | 4820919 | SH | DEFINED | 01 | 0 |
| MICROSEMI CORP                 | COM | 595137100 | 12    | 700     | SH | DEFINED | 01 | 1 |
| MICROTUNE INC                  | COM | 59514P109 | 10    | 3540    | SH | DEFINED | 01 | 0 |
| MID-AMERICA APARTMENT COMM     | COM | 59522J103 | 48793 | 837224  | SH | DEFINED | 01 | 0 |
| MID-AMERICA APARTMENT COMM     | COM | 59522J103 | 16    | 276     | SH | DEFINED | 01 | 1 |
| MIDAS INC                      | COM | 595626102 | 548   | 71939   | SH | DEFINED | 01 | 0 |
| MIDAS INC                      | COM | 595626102 | 0     | 31      | SH | DEFINED | 01 | 1 |
| MIDDLEBY CORP                  | COM | 596278101 | 88    | 1390    | SH | DEFINED | 01 | 0 |
| MIDDLEBY CORP                  | COM | 596278101 | 12    | 197     | SH | DEFINED | 01 | 1 |
| MIDDLESEX WATER CO             | COM | 596680108 | 40    | 2380    | SH | DEFINED | 01 | 0 |
| MIDDLESEX WATER CO             | COM | 596680108 | 33    | 1972    | SH | DEFINED | 01 | 1 |
| MIDSOUTH BANCORP INC           | COM | 598039105 | 10    | 700     | SH | DEFINED | 01 | 0 |
| MIDWESTONE FINANCIAL GROUP I   | COM | 598511103 | 259   | 17650   | SH | DEFINED | 01 | 0 |
| HERMAN MILLER INC              | COM | 600544100 | 5199  | 264149  | SH | DEFINED | 01 | 0 |
| MILLER INDUSTRIES INC/TENN     | COM | 600551204 | 6340  | 468532  | SH | DEFINED | 01 | 0 |
| MILLER PETROLEUM INC           | COM | 600577100 | 2808  | 520926  | SH | DEFINED | 01 | 0 |
| MILLER PETROLEUM INC           | COM | 600577100 | 10    | 1800    | SH | DEFINED | 01 | 1 |
| MINDRAY MEDICAL INTL LTD-ADR   | COM | 602675100 | 6985  | 236186  | SH | DEFINED | 01 | 0 |
| MINDRAY MEDICAL INTL LTD-ADR   | COM | 602675100 | 109   | 3700    | SH | DEFINED | 01 | 1 |
| MINDSPEED TECHNOLOGIES INC     | COM | 602682205 | 20    | 2600    | SH | DEFINED | 01 | 0 |
| MINDSPEED TECHNOLOGIES INC     | COM | 602682205 | 3     | 379     | SH | DEFINED | 01 | 1 |
| MINE SAFETY APPLIANCES CO      | COM | 602720104 | 3674  | 135617  | SH | DEFINED | 01 | 0 |
| MINE SAFETY APPLIANCES CO      | COM | 602720104 | 3     | 100     | SH | DEFINED | 01 | 1 |
| MINEFINDERS CORP COMNPV ISIN # | COM | 602900102 | 8     | 815     | SH | DEFINED | 01 | 1 |
| MINERALS TECHNOLOGIES INC      | COM | 603158106 | 36073 | 612236  | SH | DEFINED | 01 | 0 |
| MIPS TECHNOLOGIES INC          | COM | 604567107 | 9763  | 1003405 | SH | DEFINED | 01 | 0 |
| MIRANT CORP                    | COM | 60467R100 | 1337  | 134186  | SH | DEFINED | 01 | 0 |
| MIRANT CORP                    | COM | 60467R100 | 3     | 293     | SH | DEFINED | 01 | 1 |
| MIRANT CORP-CW11               | WT  | 60467R118 | 0     | 4       | SH | DEFINED | 01 | 0 |
| MIRANT CORP-CW11               | WT  | 60467R118 | 0     | 1487    | SH | DEFINED | 01 | 1 |
| MISSION WEST PROPERTIES        | COM | 605203108 | 17    | 2559    | SH | DEFINED | 01 | 0 |
| MISTRAS GROUP INC              | COM | 60649T107 | 18    | 1530    | SH | DEFINED | 01 | 0 |
| MINITUBISHI CHEM HLDGS CO      | COM | 606763100 | 8     | 310     | SH | DEFINED | 01 | 0 |
| MINITUBISHI CORP-SPONS ADR     | COM | 606769305 | 163   | 3445    | SH | DEFINED | 01 | 0 |
| MINITUBISHI ELECTRIC-UNSP ADR  | COM | 606776201 | 46    | 540     | SH | DEFINED | 01 | 0 |
| MINITUBISHI ESTATE LTD         | COM | 606783207 | 59    | 360     | SH | DEFINED | 01 | 0 |
| MINITUBISHI UFJ FINL GRP-ADR   | COM | 606822104 | 203   | 43802   | SH | DEFINED | 01 | 0 |
| MINITUBISHI UFJ FINL GRP-ADR   | COM | 606822104 | 92    | 19935   | SH | DEFINED | 01 | 1 |
| MITSUI & CO LTD-SPONS ADR      | COM | 606827202 | 165   | 548     | SH | DEFINED | 01 | 0 |
| MIZUHO FINL GROUP INC          | COM | 60687Y109 | 34    | 11720   | SH | DEFINED | 01 | 0 |
| MIZUHO FINL GROUP INC          | COM | 60687Y109 | 4     | 1326    | SH | DEFINED | 01 | 1 |
| MOBILE TELESYSTEMS-SP ADR      | COM | 607409109 | 14148 | 666396  | SH | DEFINED | 01 | 0 |
| MOBILE TELESYSTEMS-SP ADR      | COM | 607409109 | 129   | 6098    | SH | DEFINED | 01 | 1 |
| MOBILE MINI INC                | COM | 60740F105 | 12471 | 812957  | SH | DEFINED | 01 | 0 |
| MODINE MANUFACTURING CO        | COM | 607828100 | 43    | 3311    | SH | DEFINED | 01 | 0 |
| MODUSLINK GLOBAL SOLUTIONS I   | COM | 60786L107 | 71    | 11284   | SH | DEFINED | 01 | 0 |
| MODUSLINK GLOBAL SOLUTIONS I   | COM | 60786L107 | 2     | 276     | SH | DEFINED | 01 | 1 |
| MOHAWK INDUSTRIES INC          | COM | 608190104 | 29882 | 560653  | SH | DEFINED | 01 | 0 |
| MOHAWK INDUSTRIES INC          | COM | 608190104 | 4979  | 93441   | SH | DEFINED | 01 | 1 |
| MOHAWK INDUSTRIES INC          | COM | 608190104 | 6     | 108     | SH | DEFINED | 01 | 1 |
| MOL HUNGARIAN OIL-SP ADR       | COM | 608465993 | 18    | 340     | SH | DEFINED | 01 | 0 |
| MOLEX INC                      | COM | 608554101 | 49704 | 2374796 | SH | DEFINED | 01 | 0 |
| MOLEX INC                      | COM | 608554101 | 152   | 7245    | SH | DEFINED | 01 | 0 |
| MOLEX INC                      | COM | 608554101 | 6     | 293     | SH | DEFINED | 01 | 1 |
| MOLEX INC -CL A                | COM | 608554200 | 17    | 983     | SH | DEFINED | 01 | 0 |
| MOLINA HEALTHCARE INC          | COM | 60855R100 | 2700  | 100104  | SH | DEFINED | 01 | 0 |



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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| MOLINA HEALTHCARE INC          | COM | 60855R100 | 2      | 70       | SH | DEFINED | 01 | 1 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 71562  | 1515517  | SH | DEFINED | 01 | 0 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 392    | 8306     | SH | DEFINED | 01 | 0 |
| MOLSON COORS BREWING CO -B     | COM | 60871R209 | 97     | 2059     | SH | DEFINED | 01 | 1 |
| MOMENTA PHARMACEUTICALS INC    | COM | 60877T100 | 462    | 30696    | SH | DEFINED | 01 | 0 |
| MONADELPHOUS GROUP LIMITED     | COM | 608931994 | 291    | 18749    | SH | DEFINED | 01 | 0 |
| MONARCH CASINO & RESORT INC    | COM | 609027107 | 2490   | 222093   | SH | DEFINED | 01 | 0 |
| MONARCH CASINO & RESORT INC    | COM | 609027107 | 6      | 500      | SH | DEFINED | 01 | 1 |
| MONEYGRAM INTERNATIONAL INC    | COM | 60935Y109 | 8655   | 3547095  | SH | DEFINED | 01 | 0 |
| MONEYGRAM INTERNATIONAL INC    | COM | 60935Y109 | 1      | 265      | SH | DEFINED | 01 | 1 |
| MONMOUTH REIT -CL A            | COM | 609720107 | 42     | 5215     | SH | DEFINED | 01 | 0 |
| MONOLITHIC POWER SYSTEMS INC   | COM | 609839105 | 7146   | 437646   | SH | DEFINED | 01 | 0 |
| MONOTYPE IMAGING HOLDINGS IN   | COM | 61022P100 | 6274   | 685731   | SH | DEFINED | 01 | 0 |
| MONRO MUFFLER BRAKE INC        | COM | 610236101 | 4373   | 94837    | SH | DEFINED | 01 | 0 |
| MONRO MUFFLER BRAKE INC        | COM | 610236101 | 4      | 97       | SH | DEFINED | 01 | 1 |
| MONSANTO CO                    | COM | 61166W101 | 62418  | 1302264  | SH | DEFINED | 01 | 0 |
| MONSANTO CO                    | COM | 61166W101 | 1361   | 28393    | SH | DEFINED | 01 | 0 |
| MONSANTO CO                    | COM | 61166W101 | 7550   | 99000    | SH | DEFINED | 01 | 1 |
| MONSANTO CO                    | COM | 61166W101 | 1591   | 33192    | SH | DEFINED | 01 | 1 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 9565   | 738052   | SH | DEFINED | 01 | 0 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 89     | 6832     | SH | DEFINED | 01 | 0 |
| MONSTER WORLDWIDE INC          | COM | 611742107 | 6      | 489      | SH | DEFINED | 01 | 1 |
| MOODY'S CORP                   | COM | 615369105 | 20839  | 834176   | SH | DEFINED | 01 | 0 |
| MOODY'S CORP                   | COM | 615369105 | 268    | 10718    | SH | DEFINED | 01 | 0 |
| MOODY'S CORP                   | COM | 615369105 | 7      | 262      | SH | DEFINED | 01 | 1 |
| MOOG INC-CLASS A               | COM | 615394202 | 24996  | 703914   | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY EASTN EURO      | COM | 616988101 | 2      | 100      | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY                 | COM | 617446448 | 398364 | 16140875 | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY                 | COM | 617446448 | 2509   | 101633   | SH | DEFINED | 01 | 0 |
| MORGAN STANLEY                 | COM | 617446448 | 1074   | 43511    | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 61744G107 | 8      | 500      | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 61744H105 | 45     | 4012     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY INDIAINVT FD IN | COM | 61745C105 | 55     | 2000     | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY DEAN WITTER INC | COM | 61745P874 | 3      | 175      | SH | DEFINED | 01 | 1 |
| MORGAN STANLEY EMERGING M      | COM | 617477104 | 69     | 4025     | SH | DEFINED | 01 | 1 |
| MORGANS HOTEL GROUP CO         | COM | 61748W108 | 3310   | 452181   | SH | DEFINED | 01 | 0 |
| MS PERQS LSI 9.60% 144A        | PRF | 61757J600 | 7694   | 1679920  | SH | DEFINED | 01 | 0 |
| MORNINGSTAR INC                | COM | 617700109 | 4      | 80       | SH | DEFINED | 01 | 0 |
| MORNINGSTAR INC                | COM | 617700109 | 35     | 776      | SH | DEFINED | 01 | 1 |
| MOSAIC CO/THE                  | COM | 61945A107 | 21253  | 361695   | SH | DEFINED | 01 | 0 |
| MOSAIC CO/THE                  | COM | 61945A107 | 908    | 15451    | SH | DEFINED | 01 | 1 |
| MOSYS INC                      | COM | 619718109 | 11     | 2275     | SH | DEFINED | 01 | 0 |
| MOTORCAR PARTS OF AMERICA IN   | COM | 620071100 | 9      | 1000     | SH | DEFINED | 01 | 1 |
| MOTOROLA INC                   | COM | 620076109 | 14564  | 1707234  | SH | DEFINED | 01 | 0 |
| MOTOROLA INC                   | COM | 620076109 | 1046   | 122623   | SH | DEFINED | 01 | 0 |
| MOTOROLA INC                   | COM | 620076109 | 806    | 94438    | SH | DEFINED | 01 | 1 |
| MOTRICITY INC                  | COM | 620107102 | 535    | 44603    | SH | DEFINED | 01 | 0 |
| MOTRICITY INC                  | COM | 620107102 | 15     | 1289     | SH | DEFINED | 01 | 0 |
| MOTORS LIQUIDATION CO          | COM | 62010A105 | 0      | 1757     | SH | DEFINED | 01 | 0 |
| MOVADO GROUP INC               | COM | 624580106 | 8129   | 747203   | SH | DEFINED | 01 | 0 |
| MOVE INC                       | COM | 62458M108 | 25     | 10965    | SH | DEFINED | 01 | 0 |
| MTU AERO ENGINES HLDGS A       | COM | 62473G102 | 4      | 150      | SH | DEFINED | 01 | 0 |
| MTN GROUP LTD-SPONS ADR        | COM | 62474M108 | 82     | 4530     | SH | DEFINED | 01 | 0 |
| MUELLER INDUSTRIES INC         | COM | 624756102 | 33635  | 1269743  | SH | DEFINED | 01 | 0 |
| MUELLER INDUSTRIES INC         | COM | 624756102 | 19     | 726      | SH | DEFINED | 01 | 1 |
| MUELLER WATER PRODUCTS INC-A   | COM | 624758108 | 1243   | 411493   | SH | DEFINED | 01 | 0 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| MUELLER WATER PRODUCTS INC-A | COM      | 624758108 | 10     | 3406    | SH  | DEFINED | 01 | 0 |
| MULTI-COLOR CORP             | COM      | 625383104 | 18     | 1195    | SH  | DEFINED | 01 | 0 |
| MULTI-FINELINE ELECTRONIX IN | COM      | 62541B101 | 15     | 675     | SH  | DEFINED | 01 | 0 |
| MULTIMEDIA GAMES INC         | COM      | 625453105 | 481    | 130192  | SH  | DEFINED | 01 | 0 |
| MUNICH RE GROUP              | COM      | 626188106 | 54     | 3850    | SH  | DEFINED | 01 | 0 |
| MURPHY OIL CORP              | COM      | 626717102 | 182507 | 2947458 | SH  | DEFINED | 01 | 0 |
| MURPHY OIL CORP              | COM      | 626717102 | 624    | 10083   | SH  | DEFINED | 01 | 0 |
| MURPHY OIL CORP              | COM      | 626717102 | 703    | 11348   | SH  | DEFINED | 01 | 1 |
| MURRAY & ROBERTS HLDGS L     | COM      | 626805204 | 20     | 3050    | SH  | DEFINED | 01 | 0 |
| MYERS INDUSTRIES INC         | COM      | 628464109 | 1438   | 167365  | SH  | DEFINED | 01 | 0 |
| MYLAN INC                    | COM      | 628530107 | 130606 | 6943305 | SH  | DEFINED | 01 | 0 |
| MYLAN INC                    | COM      | 628530107 | 450    | 23899   | SH  | DEFINED | 01 | 0 |
| MYLAN INC                    | COM      | 628530107 | 137    | 7291    | SH  | DEFINED | 01 | 1 |
| MYLAN INC                    | CONV BND | 628530AG2 | 3088   | 2980000 | PRN | DEFINED | 01 | 0 |
| MYLAN INC                    | CONV BND | 628530AJ6 | 3184   | 2020000 | PRN | DEFINED | 01 | 0 |
| MYRIAD GENETICS INC          | COM      | 62855J104 | 10268  | 625700  | SH  | DEFINED | 01 | 0 |
| MYRIAD GENETICS INC          | COM      | 62855J104 | 65     | 3953    | SH  | DEFINED | 01 | 1 |
| MYRIAD PHARMACEUTICALS       | COM      | 62856H107 | 6      | 1428    | SH  | DEFINED | 01 | 0 |
| MYRIAD PHARMACEUTICALS       | COM      | 62856H107 | 1      | 185     | SH  | DEFINED | 01 | 1 |
| N B T BANCORP INC            | COM      | 628778102 | 6124   | 277488  | SH  | DEFINED | 01 | 0 |
| N B T BANCORP INC            | COM      | 628778102 | 21     | 970     | SH  | DEFINED | 01 | 1 |
| NBTY INC                     | COM      | 628782104 | 8667   | 157652  | SH  | DEFINED | 01 | 0 |
| NBTY INC                     | COM      | 628782104 | 6      | 101     | SH  | DEFINED | 01 | 1 |
| NCI BUILDING SYSTEMS INC     | COM      | 628852204 | 758    | 79553   | SH  | DEFINED | 01 | 0 |
| NCR CORPORATION              | COM      | 62886E108 | 6318   | 463474  | SH  | DEFINED | 01 | 0 |
| NCR CORPORATION              | COM      | 62886E108 | 12     | 864     | SH  | DEFINED | 01 | 1 |
| NCI INC-CLASS A              | COM      | 62886K104 | 9296   | 491347  | SH  | DEFINED | 01 | 0 |
| NASB FINANCIAL INC           | COM      | 628968109 | 13     | 816     | SH  | DEFINED | 01 | 0 |
| NGP CAPITAL RESOURCES CO     | COM      | 62912R107 | 94     | 10326   | SH  | DEFINED | 01 | 0 |
| NGP CAPITAL RESOURCES CO     | COM      | 62912R107 | 5      | 509     | SH  | DEFINED | 01 | 0 |
| NII HOLDINGS INC             | COM      | 62913F201 | 76597  | 1863711 | SH  | DEFINED | 01 | 0 |
| NII HOLDINGS INC             | COM      | 62913F201 | 102    | 2490    | SH  | DEFINED | 01 | 0 |
| NII HOLDINGS INC             | COM      | 62913F201 | 976    | 23742   | SH  | DEFINED | 01 | 1 |
| NIC INC                      | COM      | 62914B100 | 213    | 25760   | SH  | DEFINED | 01 | 0 |
| NIC INC                      | COM      | 62914B100 | 10     | 1200    | SH  | DEFINED | 01 | 1 |
| NL INDUSTRIES                | COM      | 629156407 | 4      | 454     | SH  | DEFINED | 01 | 0 |
| NN INC                       | COM      | 629337106 | 1      | 125     | SH  | DEFINED | 01 | 0 |
| NN INC                       | COM      | 629337106 | 8      | 1000    | SH  | DEFINED | 01 | 1 |
| NPS PHARMACEUTICALS INC      | COM      | 62936P103 | 1494   | 218370  | SH  | DEFINED | 01 | 0 |
| NPS PHARMACEUTICALS INC      | COM      | 62936P103 | 7      | 1000    | SH  | DEFINED | 01 | 1 |
| NRG ENERGY INC               | COM      | 629377508 | 7918   | 380262  | SH  | DEFINED | 01 | 0 |
| NRG ENERGY INC               | COM      | 629377508 | 277    | 13295   | SH  | DEFINED | 01 | 0 |
| NRG ENERGY INC               | COM      | 629377508 | 1155   | 55510   | SH  | DEFINED | 01 | 1 |
| NRG ENERGY INC               | COM      | 629377508 | 32     | 1525    | SH  | DEFINED | 01 | 1 |
| NTT DOCOMO INC-SPON ADR      | COM      | 62942M201 | 134    | 7982    | SH  | DEFINED | 01 | 0 |
| NTT DOCOMO INC-SPON ADR      | COM      | 62942M201 | 4      | 236     | SH  | DEFINED | 01 | 1 |
| NVE CORP                     | COM      | 629445206 | 27     | 610     | SH  | DEFINED | 01 | 0 |
| NVR INC                      | COM      | 62944T105 | 14850  | 22936   | SH  | DEFINED | 01 | 0 |
| NYMAGIC INC                  | COM      | 629484106 | 89     | 3467    | SH  | DEFINED | 01 | 0 |
| NYSE EURONEXT                | COM      | 629491101 | 34408  | 1204344 | SH  | DEFINED | 01 | 0 |
| NYSE EURONEXT                | COM      | 629491101 | 391    | 13697   | SH  | DEFINED | 01 | 0 |
| NYSE EURONEXT                | COM      | 629491101 | 493    | 17240   | SH  | DEFINED | 01 | 1 |
| NABI BIOPHARMACEUTICALS      | COM      | 629519109 | 120    | 24934   | SH  | DEFINED | 01 | 0 |
| NABI BIOPHARMACEUTICALS      | COM      | 629519109 | 5      | 1000    | SH  | DEFINED | 01 | 1 |
| NACCO INDUSTRIES-CL A        | COM      | 629579103 | 951    | 10872   | SH  | DEFINED | 01 | 0 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| NACCO INDUSTRIES-CL A          | COM      | 629579103 | 138    | 1578     | SH  | DEFINED | 01 | 1 |
| NALCO HOLDING CO               | COM      | 62985Q101 | 11386  | 451626   | SH  | DEFINED | 01 | 0 |
| NALCO HOLDING CO               | COM      | 62985Q101 | 23592  | 937309   | SH  | DEFINED | 01 | 1 |
| NALCO HOLDING CO               | COM      | 62985Q101 | 24     | 944      | SH  | DEFINED | 01 | 1 |
| NAM TAI ELECTRONICS INC        | COM      | 629865205 | 6756   | 1462289  | SH  | DEFINED | 01 | 0 |
| NPF12 2002-2 A ESCROW          | COM      | 629ESC9J5 | 0      | 10000000 | SH  | DEFINED | 01 | 0 |
| NANOMETRICS INC                | COM      | 630077105 | 18     | 1175     | SH  | DEFINED | 01 | 0 |
| NANOMETRICS INC                | COM      | 630077105 | 99     | 6600     | SH  | DEFINED | 01 | 1 |
| NANOPHASE TECH CORP            | COM      | 630079101 | 3      | 2800     | SH  | DEFINED | 01 | 1 |
| NANOSPHERE INC                 | COM      | 63009F105 | 479    | 95105    | SH  | DEFINED | 01 | 0 |
| NAPCO SEC TECHNOLOGI           | COM      | 630402105 | 1      | 450      | SH  | DEFINED | 01 | 1 |
| NARA BANCORP INC               | COM      | 63080P105 | 1289   | 182598   | SH  | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM      | 631103108 | 2010   | 103427   | SH  | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM      | 631103108 | 147    | 7556     | SH  | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM      | 631103108 | 12     | 600      | SH  | DEFINED | 01 | 0 |
| NASDAQ OMX GROUP/THE           | COM      | 631103108 | 44     | 2246     | SH  | DEFINED | 01 | 1 |
| NASDAQ PREM INCOME & GROWTH FD | COM      | 63110R105 | 1541   | 115451   | SH  | DEFINED | 01 | 1 |
| NASH FINCH CO                  | COM      | 631158102 | 2911   | 68455    | SH  | DEFINED | 01 | 0 |
| NASPERS LTD                    | COM      | 631512100 | 48     | 990      | SH  | DEFINED | 01 | 0 |
| NATHAN'S FAMOUS INC            | COM      | 632347100 | 892    | 55722    | SH  | DEFINED | 01 | 0 |
| NATIONAL AMERICAN UNIVERSITY   | COM      | 63245Q105 | 3      | 500      | SH  | DEFINED | 01 | 0 |
| NATIONAL AUSTRALIA BK-SP ADR   | COM      | 632525408 | 728    | 29638    | SH  | DEFINED | 01 | 0 |
| NATIONAL BANK OF GREECE-ADR    | COM      | 633643408 | 402    | 177152   | SH  | DEFINED | 01 | 0 |
| NATIONAL BANK OF GREECE-ADR    | COM      | 633643408 | 1      | 578      | SH  | DEFINED | 01 | 1 |
| NATIONAL BANKSHARES INC/VA     | COM      | 634865109 | 127    | 4916     | SH  | DEFINED | 01 | 0 |
| NATIONAL BANKSHARES INC/VA     | COM      | 634865109 | 19     | 746      | SH  | DEFINED | 01 | 1 |
| NATIONAL BEVERAGE CORP         | COM      | 635017106 | 19     | 1346     | SH  | DEFINED | 01 | 0 |
| NATIONAL CINEMEDIA INC         | COM      | 635309107 | 46525  | 2599171  | SH  | DEFINED | 01 | 0 |
| NATIONAL CINEMEDIA INC         | COM      | 635309107 | 4      | 200      | SH  | DEFINED | 01 | 1 |
| NATIONAL CITY CORP SR NT CV I  | COM      | 635405AW3 | 40     | 40000    | SH  | DEFINED | 01 | 1 |
| NATIONAL HEALTHCARE CORP       | COM      | 635906100 | 1757   | 47382    | SH  | DEFINED | 01 | 0 |
| NATIONAL HEALTHCARE CORP       | COM      | 635906100 | 4      | 106      | SH  | DEFINED | 01 | 1 |
| NATL HEALTHCARE CORP           | COM      | 635906209 | 2      | 175      | SH  | DEFINED | 01 | 0 |
| NATL HEALTHCARE CORP           | COM      | 635906209 | 1      | 110      | SH  | DEFINED | 01 | 1 |
| NATIONAL FINANCIAL PARTNERS    | COM      | 63607P208 | 18902  | 1491863  | SH  | DEFINED | 01 | 0 |
| NATIONAL FINANCIAL PARTNERS CO | CONV BND | 63607PAB5 | 2478   | 2100000  | PRN | DEFINED | 01 | 0 |
| NATIONAL FUEL GAS CO           | COM      | 636180101 | 34830  | 672261   | SH  | DEFINED | 01 | 0 |
| NATIONAL FUEL GAS CO           | COM      | 636180101 | 187    | 3601     | SH  | DEFINED | 01 | 1 |
| NATIONAL GRID PLC-SP ADR       | COM      | 636274300 | 80     | 1890     | SH  | DEFINED | 01 | 0 |
| NATIONAL GRID PLC-SP ADR       | COM      | 636274300 | 207    | 4851     | SH  | DEFINED | 01 | 1 |
| NATL HEALTH INVESTORS INC      | COM      | 63633D104 | 11337  | 257316   | SH  | DEFINED | 01 | 0 |
| NATL HEALTH INVESTORS INC      | COM      | 63633D104 | 308    | 6999     | SH  | DEFINED | 01 | 1 |
| NATIONAL INSTRUMENTS CORP      | COM      | 636518102 | 4670   | 143003   | SH  | DEFINED | 01 | 0 |
| NATIONAL INSTRUMENTS CORP      | COM      | 636518102 | 3      | 86       | SH  | DEFINED | 01 | 1 |
| NATIONAL INTERSTATE CORP       | COM      | 63654U100 | 5327   | 244700   | SH  | DEFINED | 01 | 0 |
| NATIONAL OILWELL VARCO INC     | COM      | 637071101 | 231665 | 5209491  | SH  | DEFINED | 01 | 0 |
| NATIONAL OILWELL VARCO INC     | COM      | 637071101 | 1097   | 24653    | SH  | DEFINED | 01 | 0 |
| NATIONAL OILWELL VARCO INC     | COM      | 637071101 | 510    | 11460    | SH  | DEFINED | 01 | 1 |
| NATL PENN BCSHS INC            | COM      | 637138108 | 3756   | 600920   | SH  | DEFINED | 01 | 0 |
| NATL PENN BCSHS INC            | COM      | 637138108 | 44     | 7061     | SH  | DEFINED | 01 | 1 |
| NATIONAL PRESTO INDS INC       | COM      | 637215104 | 4024   | 37804    | SH  | DEFINED | 01 | 0 |
| NATIONAL RESEARCH CORP         | COM      | 637372103 | 113    | 4311     | SH  | DEFINED | 01 | 0 |
| NATIONAL RESEARCH CORP         | COM      | 637372103 | 4      | 160      | SH  | DEFINED | 01 | 1 |
| NATIONAL RETAIL PROPERTIES     | COM      | 637417106 | 33289  | 1325650  | SH  | DEFINED | 01 | 0 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| NATIONAL RETAIL PROPERTIES    | COM      | 637417106 | 434    | 17284    | SH  | DEFINED | 01 | 1 |
| NATIONAL SEMICONDUCTOR CORP   | COM      | 637640103 | 56570  | 4430030  | SH  | DEFINED | 01 | 0 |
| NATIONAL SEMICONDUCTOR CORP   | COM      | 637640103 | 161    | 12596    | SH  | DEFINED | 01 | 0 |
| NATIONAL SEMICONDUCTOR CORP   | COM      | 637640103 | 395    | 27638    | SH  | DEFINED | 01 | 1 |
| NATL WESTERN LIFE INS-CL A    | COM      | 638522102 | 6215   | 44179    | SH  | DEFINED | 01 | 0 |
| NATL WESTMINSTER BK PLC 7.760 | PRF      | 638539882 | 48     | 2000     | SH  | DEFINED | 01 | 1 |
| NATIONWIDE HEALTH PPTYS INC   | COM      | 638620104 | 31621  | 817736   | SH  | DEFINED | 01 | 0 |
| NATIONWIDE HEALTH PPTYS INC   | COM      | 638620104 | 5094   | 131726   | SH  | DEFINED | 01 | 1 |
| NATURAL GAS SERVICES GROUP    | COM      | 63886Q109 | 83     | 5590     | SH  | DEFINED | 01 | 0 |
| NAVIGATORS GROUP INC          | COM      | 638904102 | 19247  | 431275   | SH  | DEFINED | 01 | 0 |
| NATURAL RESOURCE PARTNERS L   | COM      | 63900P103 | 83     | 3111     | SH  | DEFINED | 01 | 1 |
| NATURES SUNSHINE PRODS INC    | COM      | 639027101 | 4      | 500      | SH  | DEFINED | 01 | 0 |
| NATUS MEDICAL INC             | COM      | 639050103 | 10468  | 718459   | SH  | DEFINED | 01 | 0 |
| NAUTILUS INC                  | COM      | 63910B102 | 129    | 96303    | SH  | DEFINED | 01 | 0 |
| NAUTILUS INC                  | COM      | 63910B102 | 0      | 102      | SH  | DEFINED | 01 | 1 |
| NAVISTAR INTERNATIONAL        | COM      | 63934E108 | 51338  | 1176410  | SH  | DEFINED | 01 | 0 |
| NAVISTAR INTERNATIONAL        | COM      | 63934E108 | 6113   | 140121   | SH  | DEFINED | 01 | 1 |
| NAVISTAR INTERNATIONAL        | COM      | 63934E108 | 4      | 101      | SH  | DEFINED | 01 | 1 |
| NAVISTAR INTERNATIONAL CORP   | CONV BND | 63934EAL2 | 19228  | 17111000 | PRN | DEFINED | 01 | 0 |
| NAVIGANT CONSULTING INC       | COM      | 63935N107 | 26633  | 2290033  | SH  | DEFINED | 01 | 0 |
| NEDBANK GROUP LTD             | COM      | 63975K104 | 2      | 50       | SH  | DEFINED | 01 | 0 |
| NEENAH PAPER INC              | COM      | 640079109 | 2221   | 146130   | SH  | DEFINED | 01 | 0 |
| NEKTAR THERAPEUTICS           | COM      | 640268108 | 2293   | 155276   | SH  | DEFINED | 01 | 0 |
| NEKTAR THERAPEUTICS           | COM      | 640268108 | 14     | 980      | SH  | DEFINED | 01 | 1 |
| NELNET INC-CL A               | COM      | 64031N108 | 1532   | 66900    | SH  | DEFINED | 01 | 0 |
| NELNET INC-CL A               | COM      | 64031N108 | 15     | 650      | SH  | DEFINED | 01 | 1 |
| NEOGEN CORP                   | COM      | 640491106 | 3739   | 110480   | SH  | DEFINED | 01 | 0 |
| NEOGEN CORP                   | COM      | 640491106 | 34     | 1005     | SH  | DEFINED | 01 | 1 |
| NEOSTEM INC                   | COM      | 640650305 | 4      | 1775     | SH  | DEFINED | 01 | 0 |
| NEPTUNE ORIENT LINES LTD      | COM      | 640773206 | 2      | 340      | SH  | DEFINED | 01 | 0 |
| NESS TECHNOLOGIES INC         | COM      | 64104X108 | 1      | 140      | SH  | DEFINED | 01 | 0 |
| NESTLE SA-SPONS ADR FOR REG   | COM      | 641069406 | 1858   | 34664    | SH  | DEFINED | 01 | 0 |
| NET SERVICOS DE COMUNICA      | COM      | 64109T201 | 4      | 290      | SH  | DEFINED | 01 | 0 |
| NETAPP INC                    | COM      | 64110D104 | 128860 | 2588064  | SH  | DEFINED | 01 | 0 |
| NETAPP INC                    | COM      | 64110D104 | 935    | 18772    | SH  | DEFINED | 01 | 0 |
| NETAPP INC                    | COM      | 64110D104 | 374    | 7509     | SH  | DEFINED | 01 | 1 |
| NETFLIX INC                   | COM      | 64110L106 | 29174  | 179894   | SH  | DEFINED | 01 | 0 |
| NETFLIX INC                   | COM      | 64110L106 | 15303  | 94366    | SH  | DEFINED | 01 | 1 |
| NETFLIX INC                   | COM      | 64110L106 | 463    | 2854     | SH  | DEFINED | 01 | 1 |
| NETEASE.COM INC-ADR           | COM      | 64110W102 | 2      | 40       | SH  | DEFINED | 01 | 0 |
| NETEASE.COM INC-ADR           | COM      | 64110W102 | 7      | 185      | SH  | DEFINED | 01 | 1 |
| NETEZZA CORP                  | COM      | 64111N101 | 861    | 31955    | SH  | DEFINED | 01 | 0 |
| NETEZZA CORP                  | COM      | 64111N101 | 3      | 123      | SH  | DEFINED | 01 | 1 |
| NETGEAR INC                   | COM      | 64111Q104 | 7818   | 289439   | SH  | DEFINED | 01 | 0 |
| NETGEAR INC                   | COM      | 64111Q104 | 24     | 883      | SH  | DEFINED | 01 | 0 |
| NETGEAR INC                   | COM      | 64111Q104 | 7      | 250      | SH  | DEFINED | 01 | 1 |
| NETSOL TECHNOLOGIES INC COM   | COM      | 64115A204 | 0      | 200      | SH  | DEFINED | 01 | 1 |
| NETSCOUT SYSTEMS INC          | COM      | 64115T104 | 13771  | 671420   | SH  | DEFINED | 01 | 0 |
| NETLOGIC MICROSYSTEMS INC     | COM      | 64118B100 | 24350  | 882849   | SH  | DEFINED | 01 | 0 |
| NETSUITE INC                  | COM      | 64118Q107 | 12710  | 539185   | SH  | DEFINED | 01 | 0 |
| NETSUITE INC                  | COM      | 64118Q107 | 228    | 9677     | SH  | DEFINED | 01 | 0 |
| NETWORK EQUIPMENT TECH INC    | COM      | 641208103 | 492    | 142319   | SH  | DEFINED | 01 | 0 |
| NETWORK ENGINES INC           | COM      | 64121A107 | 5      | 3740     | SH  | DEFINED | 01 | 0 |
| NEUBERGER BERMAN CALIF INTE   | COM      | 64123C101 | 21     | 1404     | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| NEUROGESX INC                  | COM      | 641252101 | 5      | 725     | SH  | DEFINED | 01 | 0 |
| NEUROGESX INC                  | COM      | 641252101 | 4      | 600     | SH  | DEFINED | 01 | 1 |
| NEUROCRINE BIOSCIENCES INC     | COM      | 64125C109 | 20     | 3310    | SH  | DEFINED | 01 | 0 |
| NEUROCRINE BIOSCIENCES INC     | COM      | 64125C109 | 0      | 13      | SH  | DEFINED | 01 | 1 |
| NEUSTAR INC-CLASS A            | COM      | 64126X201 | 13815  | 555720  | SH  | DEFINED | 01 | 0 |
| NEUSTAR INC-CLASS A            | COM      | 64126X201 | 680    | 27360   | SH  | DEFINED | 01 | 1 |
| NEURALSTEM INC                 | COM      | 64127R302 | 8      | 3025    | SH  | DEFINED | 01 | 0 |
| NEURALSTEM INC                 | COM      | 64127R302 | 7      | 2950    | SH  | DEFINED | 01 | 1 |
| NEUTRAL TANDEM INC             | COM      | 64128B108 | 1879   | 157303  | SH  | DEFINED | 01 | 0 |
| NEUTRAL TANDEM INC             | COM      | 64128B108 | 6      | 490     | SH  | DEFINED | 01 | 1 |
| NEUBERGER BERMAN HIGH YIELD    | COM      | 64128C106 | 325    | 23182   | SH  | DEFINED | 01 | 1 |
| NEVSUN RESOURCES COMNPV ISIN # | COM      | 64156L101 | 12     | 2500    | SH  | DEFINED | 01 | 1 |
| NEW AMER HIGH INCOMEFD INC COM | COM      | 641876800 | 251    | 24750   | SH  | DEFINED | 01 | 1 |
| NEUBERGER BERMAN REAL ESTAT    | COM      | 64190A103 | 81     | 22255   | SH  | DEFINED | 01 | 1 |
| NEW ENG BANCSHARES INC COM NE  | COM      | 643863202 | 8      | 1184    | SH  | DEFINED | 01 | 1 |
| NEW FRONTIER MEDIA INC         | COM      | 644398109 | 1      | 500     | SH  | DEFINED | 01 | 1 |
| NEW GOLD INC                   | COM      | 644535106 | 6289   | 934491  | SH  | DEFINED | 01 | 0 |
| NEW HAMPSHIRE THRIFT B         | COM      | 644722100 | 45     | 4177    | SH  | DEFINED | 01 | 1 |
| NEW IRELAND FD INC             | COM      | 645673104 | 34     | 5364    | SH  | DEFINED | 01 | 1 |
| NEW JERSEY RESOURCES CORP      | COM      | 646025106 | 36170  | 922222  | SH  | DEFINED | 01 | 0 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM      | 647581107 | 19415  | 198972  | SH  | DEFINED | 01 | 0 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM      | 647581107 | 3123   | 32003   | SH  | DEFINED | 01 | 0 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM      | 647581107 | 12231  | 125563  | SH  | DEFINED | 01 | 1 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM      | 647581107 | 2420   | 24840   | SH  | DEFINED | 01 | 1 |
| NEW ORIENTAL EDUCATIO-SP ADR   | COM      | 647581107 | 18     | 180     | SH  | DEFINED | 01 | 1 |
| NEW WORLD DEV LTD              | COM      | 649274305 | 2      | 540     | SH  | DEFINED | 01 | 0 |
| NEW YORK & CO                  | COM      | 649295102 | 7      | 2680    | SH  | DEFINED | 01 | 0 |
| NEW YORK COMMUNITY BANCORP     | COM      | 649445103 | 44799  | 2756837 | SH  | DEFINED | 01 | 0 |
| NEW YORK COMMUNITY BANCORP     | COM      | 649445103 | 224    | 13794   | SH  | DEFINED | 01 | 1 |
| NEW YORK REGIONAL RAIL CORP    | COM      | 649768108 | 0      | 375000  | SH  | DEFINED | 01 | 0 |
| NEW YORK TIMES CO -CL A        | COM      | 650111107 | 425    | 55005   | SH  | DEFINED | 01 | 0 |
| NEW YORK TIMES CO -CL A        | COM      | 650111107 | 48     | 6203    | SH  | DEFINED | 01 | 0 |
| NEW YORK TIMES CO -CL A        | COM      | 650111107 | 9      | 1115    | SH  | DEFINED | 01 | 1 |
| NEWALLIANCE BANCSHARES INC     | COM      | 650203102 | 10576  | 838081  | SH  | DEFINED | 01 | 0 |
| NEWALLIANCE BANCSHARES INC     | COM      | 650203102 | 45     | 3599    | SH  | DEFINED | 01 | 1 |
| NEWBRIDGE BANCORP COM          | COM      | 65080T102 | 1      | 166     | SH  | DEFINED | 01 | 1 |
| NEWCASTLE INVESTMENT CORP      | COM      | 65105M108 | 23     | 7235    | SH  | DEFINED | 01 | 0 |
| NEWCASTLE INVESTMENT CORP      | COM      | 65105M108 | 1      | 300     | SH  | DEFINED | 01 | 1 |
| NEWCREST MNG LTD               | COM      | 651191108 | 89     | 2335    | SH  | DEFINED | 01 | 0 |
| NEWELL RUBBERMAID INC          | COM      | 651229106 | 123052 | 6909185 | SH  | DEFINED | 01 | 0 |
| NEWELL RUBBERMAID INC          | COM      | 651229106 | 260    | 14624   | SH  | DEFINED | 01 | 0 |
| NEWELL RUBBERMAID INC          | COM      | 651229106 | 69     | 3864    | SH  | DEFINED | 01 | 1 |
| NEWFIELD EXPLORATION CO        | COM      | 651290108 | 141449 | 2462553 | SH  | DEFINED | 01 | 0 |
| NEWFIELD EXPLORATION CO        | COM      | 651290108 | 24     | 411     | SH  | DEFINED | 01 | 1 |
| NEWMARKET CORP                 | COM      | 651587107 | 12868  | 113196  | SH  | DEFINED | 01 | 0 |
| NEWMARKET CORP                 | COM      | 651587107 | 10     | 85      | SH  | DEFINED | 01 | 1 |
| NEWMONT MINING CORP            | COM      | 651639106 | 140662 | 2239500 | SH  | DEFINED | 01 | 0 |
| NEWMONT MINING CORP            | COM      | 651639106 | 1625   | 25870   | SH  | DEFINED | 01 | 0 |
| NEWMONT MINING CORP            | COM      | 651639106 | 15836  | 252322  | SH  | DEFINED | 01 | 1 |
| NEWMONT MINING CORP            | COM      | 651639106 | 1308   | 20820   | SH  | DEFINED | 01 | 1 |
| NEWMONT MINING CORP            | CONV BND | 651639AK2 | 4470   | 3140000 | PRN | DEFINED | 01 | 0 |
| NEWPARK RESOURCES INC          | COM      | 651718504 | 12563  | 1495588 | SH  | DEFINED | 01 | 0 |
| NEWPARK RESOURCES INC          | COM      | 651718504 | 0      | 7       | SH  | DEFINED | 01 | 1 |
| NEWPARK RESOURCES INC          | CONV BND | 651718AC2 | 1056   | 1000000 | PRN | DEFINED | 01 | 0 |
| NEWPORT CORP                   | COM      | 651824104 | 18294  | 1613199 | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| NEWPORT CORP                   | COM | 651824104 | 0      | 28      | SH | DEFINED | 01 | 1 |
| NEWS CORP-CL A                 | COM | 65248E104 | 46951  | 3595080 | SH | DEFINED | 01 | 0 |
| NEWS CORP-CL A                 | COM | 65248E104 | 1565   | 119817  | SH | DEFINED | 01 | 0 |
| NEWS CORP-CL A                 | COM | 65248E104 | 18     | 1383    | SH | DEFINED | 01 | 1 |
| NEWS CORP-CLASS B              | COM | 65248E203 | 72     | 4730    | SH | DEFINED | 01 | 0 |
| NEWS CORP-CLASS B              | COM | 65248E203 | 20     | 1335    | SH | DEFINED | 01 | 1 |
| NEWSTAR FINANCIAL INC          | COM | 65251F105 | 45     | 6049    | SH | DEFINED | 01 | 0 |
| NEWTEK BUSINESS SERVICES INC   | COM | 652526104 | 7      | 5000    | SH | DEFINED | 01 | 0 |
| NEXEN INC                      | COM | 65334H102 | 3846   | 191311  | SH | DEFINED | 01 | 0 |
| NEXEN INC                      | COM | 65334H102 | 1356   | 67483   | SH | DEFINED | 01 | 1 |
| NEXSTAR BROADCASTING GROUP-A   | COM | 65336K103 | 5      | 900     | SH | DEFINED | 01 | 0 |
| NFJ DIVID INT & PREMSTRATEGY F | COM | 65337H109 | 217    | 13793   | SH | DEFINED | 01 | 1 |
| NEXTERA ENERGY INC             | COM | 65339F101 | 114674 | 2108389 | SH | DEFINED | 01 | 0 |
| NEXTERA ENERGY INC             | COM | 65339F101 | 1188   | 21840   | SH | DEFINED | 01 | 0 |
| NEXTERA ENERGY INC             | COM | 65339F101 | 10294  | 189267  | SH | DEFINED | 01 | 1 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 10713  | 342400  | SH | DEFINED | 01 | 0 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 66     | 2100    | SH | DEFINED | 01 | 0 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 346    | 12600   | SH | DEFINED | 01 | 1 |
| NICE SYSTEMS LTD-SPONS ADR     | COM | 653656108 | 1      | 40      | SH | DEFINED | 01 | 1 |
| NICOR INC                      | COM | 654086107 | 35438  | 773422  | SH | DEFINED | 01 | 0 |
| NICOR INC                      | COM | 654086107 | 110    | 2395    | SH | DEFINED | 01 | 0 |
| NICOR INC                      | COM | 654086107 | 417    | 9092    | SH | DEFINED | 01 | 1 |
| NIDEC CORP                     | COM | 654090109 | 29     | 1319    | SH | DEFINED | 01 | 0 |
| NIDEC CORP                     | COM | 654090109 | 6      | 268     | SH | DEFINED | 01 | 1 |
| NIKE INC -CL B                 | COM | 654106103 | 146375 | 1826519 | SH | DEFINED | 01 | 0 |
| NIKE INC -CL B                 | COM | 654106103 | 1627   | 20303   | SH | DEFINED | 01 | 0 |
| NIKE INC -CL B                 | COM | 654106103 | 77658  | 1005990 | SH | DEFINED | 01 | 1 |
| NIKE INC -CL B                 | COM | 654106103 | 1776   | 22161   | SH | DEFINED | 01 | 1 |
| NIKON CORP                     | COM | 654111202 | 11     | 60      | SH | DEFINED | 01 | 0 |
| NIGHTHAWK RADIOLOGY HLDGS INC  | COM | 65411N105 | 1      | 100     | SH | DEFINED | 01 | 1 |
| 99 CENTS ONLY STORES           | COM | 65440K106 | 4808   | 254643  | SH | DEFINED | 01 | 0 |
| 99 CENTS ONLY STORES           | COM | 65440K106 | 5      | 283     | SH | DEFINED | 01 | 1 |
| NINTENDO CO LTD-UNSPONS ADR    | COM | 654445303 | 25862  | 829137  | SH | DEFINED | 01 | 0 |
| NIPPON STL CORP                | COM | 654619105 | 31     | 900     | SH | DEFINED | 01 | 0 |
| NIPPON TELEGRAPH & TELE-ADR    | COM | 654624105 | 5342   | 243692  | SH | DEFINED | 01 | 0 |
| NIPPON TELEGRAPH & TELE-ADR    | COM | 654624105 | 47     | 2144    | SH | DEFINED | 01 | 1 |
| NIPPON YUSEN KABUS-SPN ADR     | COM | 654633304 | 57     | 6910    | SH | DEFINED | 01 | 0 |
| NISOURCE INC                   | COM | 65473P105 | 10917  | 627416  | SH | DEFINED | 01 | 0 |
| NISOURCE INC                   | COM | 65473P105 | 254    | 14594   | SH | DEFINED | 01 | 0 |
| NISOURCE INC                   | COM | 65473P105 | 85     | 4902    | SH | DEFINED | 01 | 1 |
| NISSAN MOTOR CO LTD-SPON ADR   | COM | 654744408 | 155    | 8913    | SH | DEFINED | 01 | 0 |
| NITTO DENKO CORP               | COM | 654802206 | 3      | 7       | SH | DEFINED | 01 | 0 |
| NOBEL LEARNING COMMUNITIES     | COM | 654889104 | 3880   | 561517  | SH | DEFINED | 01 | 0 |
| NOBEL BIO CARE                 | COM | 65488C107 | 2      | 260     | SH | DEFINED | 01 | 0 |
| NOKIA CORP-SPON ADR            | COM | 654902204 | 48791  | 4864516 | SH | DEFINED | 01 | 0 |
| NOKIA CORP-SPON ADR            | COM | 654902204 | 159    | 15877   | SH | DEFINED | 01 | 0 |
| NOKIA CORP-SPON ADR            | COM | 654902204 | 284    | 28298   | SH | DEFINED | 01 | 1 |
| NOBLE ENERGY INC               | COM | 655044105 | 169532 | 2257708 | SH | DEFINED | 01 | 0 |
| NOBLE ENERGY INC               | COM | 655044105 | 690    | 9189    | SH | DEFINED | 01 | 0 |
| NOBLE ENERGY INC               | COM | 655044105 | 40822  | 543639  | SH | DEFINED | 01 | 1 |
| NOBLE ENERGY INC               | COM | 655044105 | 161    | 2144    | SH | DEFINED | 01 | 1 |
| NOMURA HOLDINGS INC-ADR        | COM | 65535H208 | 48     | 10083   | SH | DEFINED | 01 | 0 |
| NOMURA HOLDINGS INC-ADR        | COM | 65535H208 | 32     | 6801    | SH | DEFINED | 01 | 1 |
| NORANDA ALUMINIUM HOLDING      | COM | 65542W107 | 6      | 750     | SH | DEFINED | 01 | 0 |
| NORDEA BK AB SWEDEN            | COM | 65557A107 | 55     | 5230    | SH | DEFINED | 01 | 0 |
| NORDSON CORP                   | COM | 655663102 | 26562  | 360480  | SH | DEFINED | 01 | 0 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| NORDSON CORP                  | COM | 655663102 | 4      | 57      | SH | DEFINED | 01 | 1 |
| NORDSTROM INC                 | COM | 655664100 | 214025 | 5753248 | SH | DEFINED | 01 | 0 |
| NORDSTROM INC                 | COM | 655664100 | 411    | 11049   | SH | DEFINED | 01 | 0 |
| NORDSTROM INC                 | COM | 655664100 | 125    | 3349    | SH | DEFINED | 01 | 1 |
| NORFOLK SOUTHERN CORP         | COM | 655844108 | 36168  | 607758  | SH | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP         | COM | 655844108 | 6259   | 105172  | SH | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP         | COM | 655844108 | 1153   | 19373   | SH | DEFINED | 01 | 0 |
| NORFOLK SOUTHERN CORP         | COM | 655844108 | 21728  | 365458  | SH | DEFINED | 01 | 1 |
| NORFOLK SOUTHERN CORP         | COM | 655844108 | 605    | 10170   | SH | DEFINED | 01 | 1 |
| NORSK HYDRO AS-SPONS ADR      | COM | 656531605 | 56     | 9353    | SH | DEFINED | 01 | 0 |
| NORTEL NETWORKS CORP          | COM | 656568508 | 0      | 2491    | SH | DEFINED | 01 | 0 |
| NORTH AMERICAN PALLADIUM      | COM | 656912102 | 7      | 1650    | SH | DEFINED | 01 | 1 |
| NORTH EUROPEAN OIL RTY TRUST  | COM | 659310106 | 81     | 3000    | SH | DEFINED | 01 | 0 |
| NORTH EUROPEAN OIL RTY TRUST  | COM | 659310106 | 75     | 2810    | SH | DEFINED | 01 | 1 |
| NAVIOS MARITIME HOLDINGS INC  | COM | 662301993 | 0      | 40      | SH | DEFINED | 01 | 0 |
| NORTHEAST UTILITIES           | COM | 664397106 | 59077  | 1997888 | SH | DEFINED | 01 | 0 |
| NORTHEAST UTILITIES           | COM | 664397106 | 274    | 9261    | SH | DEFINED | 01 | 0 |
| NORTHEAST UTILITIES           | COM | 664397106 | 364    | 12308   | SH | DEFINED | 01 | 1 |
| NORTHERN DYNASTY MINS COM N   | COM | 66510M204 | 4      | 525     | SH | DEFINED | 01 | 1 |
| NORTHERN OIL AND GAS INC      | COM | 665531109 | 6681   | 394331  | SH | DEFINED | 01 | 0 |
| NORTHERN TRUST CORP           | COM | 665859104 | 56817  | 1177778 | SH | DEFINED | 01 | 0 |
| NORTHERN TRUST CORP           | COM | 665859104 | 614    | 12722   | SH | DEFINED | 01 | 0 |
| NORTHERN TRUST CORP           | COM | 665859104 | 28     | 586     | SH | DEFINED | 01 | 1 |
| NORTHFIELD BANCORP INC/NJ     | COM | 66611L105 | 6620   | 611835  | SH | DEFINED | 01 | 0 |
| NORTHGATE MINERALS CORP COM N | COM | 666416102 | 11     | 3515    | SH | DEFINED | 01 | 1 |
| NORTHRIM BANCORP INC          | COM | 666762109 | 8069   | 486099  | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP         | COM | 666807102 | 71273  | 1175541 | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP         | COM | 666807102 | 937    | 15459   | SH | DEFINED | 01 | 0 |
| NORTHROP GRUMMAN CORP         | COM | 666807102 | 392    | 6464    | SH | DEFINED | 01 | 1 |
| NORTHSTAR REALTY FINANCE COR  | COM | 66704R100 | 29     | 7779    | SH | DEFINED | 01 | 0 |
| NORTHSTAR REALTY FINANCE COR  | COM | 66704R100 | 87     | 23282   | SH | DEFINED | 01 | 1 |
| NORTHWEST BANCSHARES INC      | COM | 667340103 | 16728  | 1494828 | SH | DEFINED | 01 | 0 |
| NORTHWEST BANCSHARES INC      | COM | 667340103 | 6      | 500     | SH | DEFINED | 01 | 1 |
| NORTHWEST NATURAL GAS CO      | COM | 667655104 | 9799   | 206507  | SH | DEFINED | 01 | 0 |
| NORTHWEST NATURAL GAS CO      | COM | 667655104 | 133    | 2800    | SH | DEFINED | 01 | 1 |
| NORTHWEST PIPE COMPANY        | COM | 667746101 | 4505   | 257464  | SH | DEFINED | 01 | 0 |
| NORTHWEST PIPE COMPANY        | COM | 667746101 | 2      | 100     | SH | DEFINED | 01 | 1 |
| NORTHWESTERN CORP             | COM | 668074305 | 19292  | 676898  | SH | DEFINED | 01 | 0 |
| NOVAMED INC                   | COM | 66986W207 | 4751   | 490302  | SH | DEFINED | 01 | 0 |
| NOVAGOLD RESOURCES INC        | COM | 66987E206 | 2654   | 303706  | SH | DEFINED | 01 | 0 |
| NOVAGOLD RESOURCES INC        | COM | 66987E206 | 305    | 34911   | SH | DEFINED | 01 | 1 |
| NOVATEL WIRELESS INC          | COM | 66987M604 | 1179   | 149652  | SH | DEFINED | 01 | 0 |
| NOVARTIS AG-ADR               | COM | 66987V109 | 739    | 12808   | SH | DEFINED | 01 | 0 |
| NOVARTIS AG-ADR               | COM | 66987V109 | 845    | 14650   | SH | DEFINED | 01 | 1 |
| NOVARTIS AG-ADR               | COM | 66987V109 | 1473   | 25546   | SH | DEFINED | 01 | 1 |
| NOVAVAX INC                   | COM | 670002104 | 13     | 5925    | SH | DEFINED | 01 | 0 |
| NOVAVAX INC                   | COM | 670002104 | 0      | 9       | SH | DEFINED | 01 | 1 |
| NOVELL INC                    | COM | 670006105 | 13577  | 2274383 | SH | DEFINED | 01 | 0 |
| NOVELL INC                    | COM | 670006105 | 340    | 56974   | SH | DEFINED | 01 | 0 |
| NOVELL INC                    | COM | 670006105 | 1294   | 216572  | SH | DEFINED | 01 | 1 |
| NOVELL INC                    | COM | 670006105 | 7      | 1168    | SH | DEFINED | 01 | 1 |
| NOVELLUS SYSTEMS INC          | COM | 670008101 | 176880 | 6654648 | SH | DEFINED | 01 | 0 |
| NOVELLUS SYSTEMS INC          | COM | 670008101 | 128    | 4826    | SH | DEFINED | 01 | 0 |
| NOVELLUS SYSTEMS INC          | COM | 670008101 | 617    | 26000   | SH | DEFINED | 01 | 1 |
| NOVELLUS SYSTEMS INC          | COM | 670008101 | 180    | 6757    | SH | DEFINED | 01 | 1 |
| NOVO-NORDISK A/S-SPONS ADR    | COM | 670100205 | 157301 | 1597941 | SH | DEFINED | 01 | 0 |

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

|   |     |           |        |          |     |         |    |   |
|---|-----|-----------|--------|----------|-----|---------|----|---|
| NOVO-NORDISK A/S-SPONS ADR              | COM | 670100205 | 344    | 3499     | SH  | DEFINED | 01 | 1 |
| NOVOZYMES A/S                           | COM | 670108109 | 25     | 194      | SH  | DEFINED | 01 | 0 |
| NOVOGEN LTD ADR EACHREP 5 NPV           | COM | 67010F103 | 0      | 200      | SH  | DEFINED | 01 | 1 |
| NOVOLIPETSK STEEL-GDR 144A              | COM | 67011E980 | 179    | 4975     | SH  | DEFINED | 01 | 0 |
| NOVOLIPETSK STEEL-GDR 144A              | COM | 67011E980 | 13572  | 377008   | SH  | DEFINED | 01 | 0 |
| NSK LTD                                 | COM | 670184100 | 8      | 120      | SH  | DEFINED | 01 | 0 |
| NU SKIN ENTERPRISES INC - A             | COM | 67018T105 | 20198  | 701325   | SH  | DEFINED | 01 | 0 |
| NU SKIN ENTERPRISES INC - A             | COM | 67018T105 | 8      | 275      | SH  | DEFINED | 01 | 1 |
| NSTAR                                   | COM | 67019E107 | 18630  | 473469   | SH  | DEFINED | 01 | 0 |
| NSTAR                                   | COM | 67019E107 | 260    | 6603     | SH  | DEFINED | 01 | 1 |
| NTELOS HOLDINGS CORP                    | COM | 67020Q107 | 14565  | 860801   | SH  | DEFINED | 01 | 0 |
| NTELOS HOLDINGS CORP                    | COM | 67020Q107 | 157    | 9277     | SH  | DEFINED | 01 | 1 |
| NUANCE COMMUNICATIONS INC               | COM | 67020Y100 | 284401 | 18184194 | SH  | DEFINED | 01 | 0 |
| NUANCE COMMUNICATIONS INC               | COM | 67020Y100 | 17     | 1110     | SH  | DEFINED | 01 | 0 |
| NUANCE COMMUNICATIONS INC               | COM | 67020Y100 | 3807   | 239804   | SH  | DEFINED | 01 | 1 |
| NUANCE COMMUNICATIONS INC               | COM | 67020Y100 | 37     | 2383     | SH  | DEFINED | 01 | 1 |
| NUANCE COMMUNICATIONS INC (NEW CONV BND | COM | 67020YAB6 | 2200   | 2025000  | PRN | DEFINED | 01 | 0 |
| NUCOR CORP                              | COM | 670346105 | 75407  | 1974014  | SH  | DEFINED | 01 | 0 |
| NUCOR CORP                              | COM | 670346105 | 838    | 21960    | SH  | DEFINED | 01 | 0 |
| NUCOR CORP                              | COM | 670346105 | 2987   | 78190    | SH  | DEFINED | 01 | 1 |
| NUSTAR ENERGY LP UNIT                   | COM | 67058H102 | 380    | 6148     | SH  | DEFINED | 01 | 1 |
| NUSTAR GP HLDGS LLC UNIT R              | COM | 67059L102 | 105    | 3083     | SH  | DEFINED | 01 | 1 |
| NUPATHE INC                             | COM | 67059M100 | 242    | 33480    | SH  | DEFINED | 01 | 0 |
| NUVEEN CONN PREMIUM INC MUN FD          | COM | 67060D107 | 36     | 2500     | SH  | DEFINED | 01 | 1 |
| NUVEEN GA PREMIUM INC MUNICI            | COM | 67060F102 | 38     | 2569     | SH  | DEFINED | 01 | 1 |
| NUVEEN NO CAROLINA PREMIUM IN           | COM | 67060P100 | 5      | 333      | SH  | DEFINED | 01 | 1 |
| NUTRACEUTICAL INTL CORP                 | COM | 67060Y101 | 87     | 5600     | SH  | DEFINED | 01 | 0 |
| NUVEEN PA PREMIUM INC MUN FD            | COM | 67061F101 | 19     | 1371     | SH  | DEFINED | 01 | 1 |
| NUVEEN MD PREMIUM INC MUN FD            | COM | 67061Q107 | 13     | 843      | 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 | 30     | 2099     | SH  | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN VALUE FD I             | COM | 67062C107 | 25     | 2594     | SH  | DEFINED | 01 | 1 |
| NUVEEN INVT QUALITY MUNICIPAL           | COM | 67062E103 | 168    | 10970    | SH  | DEFINED | 01 | 1 |
| NUVEEN SELECT TAX FREE INCOM            | COM | 67062F100 | 24     | 1600     | SH  | DEFINED | 01 | 1 |
| NUVEEN MUN ADVANTAGEFD INC              | COM | 67062H106 | 84     | 5497     | SH  | DEFINED | 01 | 1 |
| NUVEEN N Y MUN VALUEFD INC              | COM | 67062M105 | 9      | 950      | SH  | DEFINED | 01 | 1 |
| NUVEEN INSD QUALITY MUNICIPAL           | COM | 67062N103 | 65     | 4488     | SH  | DEFINED | 01 | 1 |
| NUVEEN PERFORMANCE PLUS MUN F           | COM | 67062P108 | 31     | 1991     | SH  | DEFINED | 01 | 1 |
| NUVEEN N Y PERFORMANC                   | COM | 67062R104 | 41     | 2641     | SH  | DEFINED | 01 | 1 |
| NUVEEN PREM INCOME MUN FD INC           | COM | 67062T100 | 133    | 9065     | SH  | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN MKT OPPORT             | COM | 67062U107 | 395    | 27537    | SH  | DEFINED | 01 | 1 |
| NUVEEN MUN MKT OPPORTUNIT               | COM | 67062W103 | 181    | 12138    | SH  | DEFINED | 01 | 1 |
| NUVEEN N Y INVT QUALITY MU              | COM | 67062X101 | 141    | 9469     | 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 | 97     | 7000     | SH  | DEFINED | 01 | 1 |
| NUVEEN N Y SELECT TAX FREE I            | COM | 67063V104 | 29     | 2000     | SH  | DEFINED | 01 | 1 |
| NUVEEN PREM INCOME MUN FD 2 I           | COM | 67063W102 | 21     | 1396     | SH  | DEFINED | 01 | 1 |
| NUVEEN SELECT TAX FREE INCOM            | COM | 67063X100 | 11     | 713      | SH  | DEFINED | 01 | 1 |
| NUVEEN INUSRED NEW YORK T               | COM | 670656107 | 19     | 1300     | SH  | DEFINED | 01 | 1 |
| NUVEEN INSD TAX FREEADVANTAGE           | COM | 670657105 | 15     | 1000     | SH  | DEFINED | 01 | 1 |
| NVIDIA CORP                             | COM | 67066G104 | 11921  | 1020535  | SH  | DEFINED | 01 | 0 |
| NVIDIA CORP                             | COM | 67066G104 | 506    | 43342    | SH  | DEFINED | 01 | 0 |
| NVIDIA CORP                             | COM | 67066G104 | 12510  | 1071094  | SH  | DEFINED | 01 | 1 |
| NVIDIA CORP                             | COM | 67066G104 | 248    | 21229    | SH  | DEFINED | 01 | 1 |
| NUVEEN DIVID ADVANTAGE                  | COM | 67066V101 | 56     | 3790     | SH  | DEFINED | 01 | 1 |
| NUVEEN CALIF MUN ADVANTAGE              | COM | 67066Y105 | 355    | 25275    | SH  | DEFINED | 01 | 1 |



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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| NUVEEN SR INCOME FD COM        | COM | 67067Y104 | 92    | 12864   | SH | DEFINED | 01 | 1 |
| NUVEEN MUN HIGH INCOME OPP     | COM | 670682103 | 22    | 1666    | SH | DEFINED | 01 | 1 |
| NUVEEN MUN HIGH INCOME OPP     | COM | 670683101 | 25    | 2000    | SH | DEFINED | 01 | 1 |
| NUTRISYSTEM INC                | COM | 67069D108 | 2629  | 136670  | SH | DEFINED | 01 | 0 |
| NUVEEN CONN DIVID ADVANTAGE    | COM | 67069T103 | 112   | 7400    | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF DIVID ADVANTAGE   | COM | 67069X104 | 31    | 2090    | SH | DEFINED | 01 | 1 |
| NUVEEN GLOBAL VALUE OPPORTUNIT | COM | 6706EH103 | 77    | 4000    | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY PREM OPPORTUNIT  | COM | 6706EM102 | 52    | 3905    | SH | DEFINED | 01 | 1 |
| NUVEEN FLOATING RATEINCOME OPP | COM | 6706EN100 | 27    | 2342    | SH | DEFINED | 01 | 1 |
| NUVEEN DIVERSIFIED DIVID & IN  | COM | 6706EP105 | 7     | 600     | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY PREMIUM IN       | COM | 6706ER101 | 562   | 42283   | SH | DEFINED | 01 | 1 |
| NUVEEN EQTY PREM ADVANTAGE     | COM | 6706ET107 | 25    | 1900    | SH | DEFINED | 01 | 1 |
| NUVEEN EQUITY PREM & GROWTH FD | COM | 6706EW100 | 26    | 1971    | SH | DEFINED | 01 | 1 |
| NUVEEN PREM INCOME MUN FD 4 I  | COM | 6706K4105 | 28    | 2083    | SH | DEFINED | 01 | 1 |
| NUVASIVE INC                   | COM | 670704105 | 38498 | 1095542 | SH | DEFINED | 01 | 0 |
| NUVASIVE INC                   | COM | 670704105 | 4     | 100     | SH | DEFINED | 01 | 1 |
| NUVEEN NEW YORK DIVID ADVA     | COM | 67070A101 | 22    | 1534    | SH | DEFINED | 01 | 1 |
| NUVEEN OHIO DIVID ADVANTAGE    | COM | 67070C107 | 14    | 900     | SH | DEFINED | 01 | 1 |
| NUVEEN DIVID ADVANTAGE         | COM | 67070F100 | 34    | 2305    | SH | DEFINED | 01 | 1 |
| NUVEEN GA DIVID ADVANTAGE      | COM | 67070T100 | 57    | 3800    | SH | DEFINED | 01 | 1 |
| NUVEEN DIVID ADVANTAGE         | COM | 67070X101 | 39    | 2650    | SH | DEFINED | 01 | 1 |
| NUVEEN CALIF DIVID ADVANTAGE   | COM | 67070Y109 | 41    | 3058    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD CALIF DIVID ADVA   | COM | 67071M104 | 19    | 1277    | SH | DEFINED | 01 | 1 |
| NUVEEN CONN DIVID ADVANTAGE    | COM | 67071R103 | 74    | 4800    | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY PFD INCOME FD   | COM | 67071S101 | 66    | 8201    | SH | DEFINED | 01 | 1 |
| NUVEEN CONN DIVID ADVANTAGE    | COM | 67071Y108 | 84    | 5900    | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY PFD INCOME FD   | COM | 67072C105 | 108   | 12538   | SH | DEFINED | 01 | 1 |
| NUVEEN INSD MASS TAX FREE ADVA | COM | 67072F108 | 78    | 4830    | SH | DEFINED | 01 | 1 |
| NXSTAGE MEDICAL INC            | COM | 67072V103 | 3132  | 163982  | SH | DEFINED | 01 | 0 |
| NUVEEN QUALITY PFD INCOME FD   | COM | 67072W101 | 58    | 6838    | SH | DEFINED | 01 | 1 |
| NUVEEN MULTI STRATEGY I        | COM | 67073B106 | 90    | 10759   | SH | DEFINED | 01 | 1 |
| NUVEEN GLOBAL GOVT ENHANCED I  | COM | 67073C104 | 17    | 1000    | SH | DEFINED | 01 | 1 |
| NUVEEN MULTI STRATEGY I        | COM | 67073D102 | 97    | 11023   | SH | DEFINED | 01 | 1 |
| NUVEEN TAX ADVANTAGED          | COM | 67073G105 | 31    | 2500    | SH | DEFINED | 01 | 1 |
| NV ENERGY INC                  | COM | 67073Y106 | 30004 | 2281525 | SH | DEFINED | 01 | 0 |
| NV ENERGY INC                  | COM | 67073Y106 | 113   | 8593    | SH | DEFINED | 01 | 1 |
| NUVEEN BUILD AMER BDFD COM     | COM | 67074C103 | 13    | 629     | SH | DEFINED | 01 | 1 |
| NYMOX PHARMACEUTICAL CORP      | COM | 67076P102 | 4     | 1225    | SH | DEFINED | 01 | 0 |
| NYMOX PHARMACEUTICAL CORP      | COM | 67076P102 | 4     | 1000    | SH | DEFINED | 01 | 1 |
| O'CHARLEYS INC                 | COM | 670823103 | 6769  | 941369  | SH | DEFINED | 01 | 0 |
| O'CHARLEYS INC                 | COM | 670823103 | 3     | 450     | SH | DEFINED | 01 | 1 |
| OGE ENERGY CORP                | COM | 670837103 | 16342 | 409865  | SH | DEFINED | 01 | 0 |
| OGE ENERGY CORP                | COM | 670837103 | 937   | 23513   | SH | DEFINED | 01 | 1 |
| OGX PETROLEO E GAS PARTI       | COM | 670849108 | 131   | 10040   | SH | DEFINED | 01 | 0 |
| OM GROUP INC                   | COM | 670872100 | 50456 | 1675183 | SH | DEFINED | 01 | 0 |
| OMV AG-BEARER SHRS ADR         | COM | 670875509 | 29    | 780     | SH | DEFINED | 01 | 0 |
| NUVEEN TAX ADVANTAGED          | COM | 67090H102 | 52    | 4850    | SH | DEFINED | 01 | 1 |
|                                |     |           |       |         |    |         |    |   |
| NUVEEN MULTI CURRENCY S        | COM | 67090N109 | 153   | 10392   | SH | DEFINED | 01 | 1 |
| NUVEEN CORE EQUITY ALPHA FD C  | COM | 67090X107 | 15    | 1187    | SH | DEFINED | 01 | 1 |
| NUVEEN MUN VALUE FD            | COM | 670928100 | 185   | 18284   | SH | DEFINED | 01 | 1 |
| NUVEEN N J INVT QLTYMUN FD INC | COM | 670971100 | 33    | 2236    | SH | DEFINED | 01 | 1 |
| NUVEEN SELECT QUALITY MU       | COM | 670973106 | 5     | 334     | SH | DEFINED | 01 | 1 |
| NUVEEN QUALITY INCOME MUN      | COM | 670977107 | 540   | 35925   | SH | DEFINED | 01 | 1 |
| NUVEEN MICH QUALITY INCOME MUN | COM | 670979103 | 46    | 3200    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD MUN OPPTY FD I     | COM | 670984103 | 117   | 7903    | SH | DEFINED | 01 | 1 |
| NUVEEN N Y QUALITY INCOME MUN  | COM | 670986108 | 0     | 3       | SH | DEFINED | 01 | 1 |

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

|                                    |     |           |        |         |    |         |    |   |
|------------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| NUVEEN PREMIER INSD MUN INCOME COM | COM | 670987106 | 63     | 3991    | SH | DEFINED | 01 | 1 |
| NUVEEN INSD N Y PREMINCOME MUN COM | COM | 67101R107 | 72     | 4775    | SH | DEFINED | 01 | 1 |
| OSI SYSTEMS INC                    | COM | 671044105 | 4522   | 124492  | SH | DEFINED | 01 | 0 |
| OSI SYSTEMS INC                    | COM | 671044105 | 7      | 200     | SH | DEFINED | 01 | 1 |
| OYO GEOSPACE CORP                  | COM | 671074102 | 40     | 685     | SH | DEFINED | 01 | 0 |
| OASIS PETROLEUM INC                | COM | 674215108 | 12025  | 620836  | SH | DEFINED | 01 | 0 |
| OASIS PETROLEUM INC                | COM | 674215108 | 194    | 10000   | SH | DEFINED | 01 | 1 |
| OBAGI MEDICAL PRODUCTS INC         | COM | 67423R108 | 9319   | 887646  | SH | DEFINED | 01 | 0 |
| OCCAM NETWORKS INC                 | COM | 67457P309 | 834    | 106525  | SH | DEFINED | 01 | 0 |
| OCCAM NETWORKS INC                 | COM | 67457P309 | 24     | 3052    | SH | DEFINED | 01 | 0 |
| OCCAM NETWORKS INC                 | COM | 67457P309 | 2      | 195     | SH | DEFINED | 01 | 1 |
| OCCIDENTAL PETROLEUM CORP          | COM | 674599105 | 388025 | 4955659 | SH | DEFINED | 01 | 0 |
| OCCIDENTAL PETROLEUM CORP          | COM | 674599105 | 3342   | 42687   | SH | DEFINED | 01 | 0 |
| OCCIDENTAL PETROLEUM CORP          | COM | 674599105 | 64687  | 836070  | SH | DEFINED | 01 | 1 |
| OCCIDENTAL PETROLEUM CORP          | COM | 674599105 | 1518   | 19385   | SH | DEFINED | 01 | 1 |
| OCE NV-SPON ADR                    | COM | 674627203 | 0      | 26      | SH | DEFINED | 01 | 0 |
| OCEAN POWER TECHNOLOGI             | COM | 674870308 | 8      | 1540    | SH | DEFINED | 01 | 1 |
| OCEANEERING INTL INC               | COM | 675232102 | 40088  | 744332  | SH | DEFINED | 01 | 0 |
| OCEANEERING INTL INC               | COM | 675232102 | 51     | 947     | SH | DEFINED | 01 | 0 |
| OCEANEERING INTL INC               | COM | 675232102 | 16     | 303     | SH | DEFINED | 01 | 1 |
| OCEANFIRST FINANCIAL CORP          | COM | 675234108 | 16     | 1240    | SH | DEFINED | 01 | 0 |
| OCH-ZIFF CAPITAL MANAGEMEN-A       | LP  | 67551U105 | 3      | 190     | SH | DEFINED | 01 | 0 |
| OCH-ZIFF CAPITAL MANAGEMEN-A       | LP  | 67551U105 | 16     | 1100    | SH | DEFINED | 01 | 1 |
| OCLARO INC                         | COM | 67555N206 | 3408   | 212878  | SH | DEFINED | 01 | 0 |
| OCLARO INC                         | COM | 67555N206 | 31     | 1909    | SH | DEFINED | 01 | 0 |
| OCLARO INC                         | COM | 67555N206 | 2      | 114     | SH | DEFINED | 01 | 1 |
| OCWEN FINANCIAL CORP               | COM | 675746309 | 12306  | 1213713 | SH | DEFINED | 01 | 0 |
| OCWEN FINANCIAL CORP               | COM | 675746309 | 3      | 300     | SH | DEFINED | 01 | 1 |
| OCULUS INNOVATIVE SCIENCES I       | COM | 67575P108 | 44     | 28202   | SH | DEFINED | 01 | 1 |
| ODYSSEY MARINE EXPLORATIO          | COM | 676118102 | 0      | 200     | SH | DEFINED | 01 | 1 |
| OFFICE DEPOT INC                   | COM | 676220106 | 583    | 127057  | SH | DEFINED | 01 | 0 |
| OFFICE DEPOT INC                   | COM | 676220106 | 67     | 14493   | SH | DEFINED | 01 | 0 |
| OFFICE DEPOT INC                   | COM | 676220106 | 0      | 62      | SH | DEFINED | 01 | 1 |
| OFFICEMAX INC                      | COM | 67622P101 | 22262  | 1700716 | SH | DEFINED | 01 | 0 |
| OFFICEMAX INC                      | COM | 67622P101 | 9      | 684     | SH | DEFINED | 01 | 1 |
| OGK-3-CLS                          | COM | 676604994 | 72     | 1324447 | SH | DEFINED | 01 | 0 |
| LUKOIL OAO-SPON ADR                | COM | 677862104 | 16671  | 294031  | SH | DEFINED | 01 | 0 |
| LUKOIL OAO-SPON ADR                | COM | 677862104 | 15718  | 276721  | SH | DEFINED | 01 | 0 |
| LUKOIL OAO-SPON ADR                | COM | 677862997 | 3705   | 65229   | SH | DEFINED | 01 | 0 |
| OIL-DRI CORP OF AMERICA            | COM | 677864100 | 130    | 5995    | SH | DEFINED | 01 | 0 |
| OIL SVC HOLDRS TR OIL SVC HO       | COM | 678002106 | 215    | 1900    | SH | DEFINED | 01 | 1 |
| OIL STATES INTERNATIONAL INC       | COM | 678026105 | 39867  | 856446  | SH | DEFINED | 01 | 0 |
| OILSANDS QUEST INC                 | COM | 678046103 | 0      | 100     | SH | DEFINED | 01 | 1 |
| POLYUS GOLD-SPONSORED ADR          | COM | 678129107 | 16     | 680     | SH | DEFINED | 01 | 0 |
| ROSNEFT OJSC-REG S GDR             | COM | 67812M983 | 15506  | 2324838 | SH | DEFINED | 01 | 0 |
| OLD DOMINION FREIGHT LINE          | COM | 679580100 | 34681  | 1364357 | SH | DEFINED | 01 | 0 |
| OLD MUT PLC                        | COM | 680031200 | 27     | 1520    | SH | DEFINED | 01 | 0 |
| OLD NATL BANCORP/IN                | COM | 680033107 | 4485   | 427236  | SH | DEFINED | 01 | 0 |
| OLD NATL BANCORP/IN                | COM | 680033107 | 84     | 7994    | SH | DEFINED | 01 | 1 |
| OLD REPUBLIC INTL CORP             | COM | 680223104 | 8910   | 643326  | SH | DEFINED | 01 | 0 |
| OLD REPUBLIC INTL CORP             | COM | 680223104 | 30     | 2199    | SH | DEFINED | 01 | 1 |
| OLD SECOND BANCORP INC             | COM | 680277100 | 4      | 3180    | SH | DEFINED | 01 | 0 |
| OLIN CORP                          | COM | 680665205 | 21082  | 1045658 | SH | DEFINED | 01 | 0 |
| OLIN CORP                          | COM | 680665205 | 136    | 6745    | SH | DEFINED | 01 | 1 |
| OLYMPIC STEEL INC                  | COM | 68162K106 | 9683   | 421187  | SH | DEFINED | 01 | 0 |
| OLYMPIC STEEL INC                  | COM | 68162K106 | 0      | 1       | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |     |         |      |
|--------------------------------|----------|-----------|--------|----------|-----|---------|------|
| OLYMPUS CORP                   | COM      | 68163W109 | 18     | 690      | SH  | DEFINED | 01 0 |
| OMNICARE INC                   | COM      | 681904108 | 7060   | 295616   | SH  | DEFINED | 01 0 |
| OMNICARE INC                   | COM      | 681904108 | 38     | 1581     | SH  | DEFINED | 01 1 |
| OMNICARE INC                   | CONV BND | 681904AL2 | 2253   | 2620000  | PRN | DEFINED | 01 0 |
| OMNICOM GROUP                  | COM      | 681919106 | 24342  | 616605   | SH  | DEFINED | 01 0 |
| OMNICOM GROUP                  | COM      | 681919106 | 625    | 15828    | SH  | DEFINED | 01 0 |
| OMNICOM GROUP                  | COM      | 681919106 | 294    | 7455     | SH  | DEFINED | 01 1 |
| OMEGA HEALTHCARE INVESTORS     | COM      | 681936100 | 25335  | 1128488  | SH  | DEFINED | 01 0 |
| OMEGA HEALTHCARE INVESTORS     | COM      | 681936100 | 18     | 814      | SH  | DEFINED | 01 1 |
| OMEGA FLEX INC                 | COM      | 682095104 | 3      | 185      | SH  | DEFINED | 01 0 |
| OMEGA PROTEIN CORP             | COM      | 68210P107 | 1      | 100      | SH  | DEFINED | 01 0 |
| OMNI ENERGY SVCS CRP COM NEW   | COM      | 68210T208 | 629    | 230533   | SH  | DEFINED | 01 1 |
| OMNIVISION TECHNOLOGIES INC    | COM      | 682128103 | 22658  | 983364   | SH  | DEFINED | 01 0 |
| OMNOVA SOLUTIONS INC           | COM      | 682129101 | 26     | 3625     | SH  | DEFINED | 01 0 |
| OMNICELL INC                   | COM      | 68213N109 | 16691  | 1276118  | SH  | DEFINED | 01 0 |
| OMEROS CORP                    | COM      | 682143102 | 9      | 1225     | SH  | DEFINED | 01 0 |
| OMNICARE CAPITAL TRUST II      | CONV PRF | 68214Q200 | 2153   | 57600    | SH  | DEFINED | 01 0 |
| OMRON CORP                     | COM      | 682151303 | 11     | 490      | SH  | DEFINED | 01 0 |
| ON ASSIGNMENT INC              | COM      | 682159108 | 919    | 174877   | SH  | DEFINED | 01 0 |
| OMNIAMERICAN BANCORP INC       | COM      | 68216R107 | 62     | 5475     | SH  | DEFINED | 01 0 |
| ON SEMICONDUCTOR CORPORATION   | COM      | 682189105 | 57148  | 7926191  | SH  | DEFINED | 01 0 |
| ON SEMICONDUCTOR CORPORATION   | COM      | 682189105 | 40     | 5600     | SH  | DEFINED | 01 0 |
| ON SEMICONDUCTOR CORPORATION   | COM      | 682189105 | 12     | 1600     | SH  | DEFINED | 01 0 |
| ON SEMICONDUCTOR CORPORATION   | COM      | 682189105 | 100    | 12100    | SH  | DEFINED | 01 1 |
| ON SEMICONDUCTOR CORPORATION   | COM      | 682189105 | 28     | 3943     | SH  | DEFINED | 01 1 |
| ON SEMICONDUCTOR CORP          | CONV BND | 682189AG0 | 4373   | 4335000  | PRN | DEFINED | 01 0 |
| ONCOTHYREON INC COM STK NPV IS | COM      | 682324108 | 19     | 5500     | SH  | DEFINED | 01 1 |
| ONE LIBERTY PROPERTIES INC     | COM      | 682406103 | 553    | 34757    | SH  | DEFINED | 01 0 |
| 1-800-FLOWERS.COM INC-CL A     | COM      | 68243Q106 | 12     | 6090     | SH  | DEFINED | 01 0 |
| ONEOK INC                      | COM      | 682680103 | 5464   | 121315   | SH  | DEFINED | 01 0 |
| ONEOK INC                      | COM      | 682680103 | 251    | 5583     | SH  | DEFINED | 01 0 |
| ONEOK INC                      | COM      | 682680103 | 177    | 3941     | SH  | DEFINED | 01 1 |
| ONEOK PARTNERS L P UNIT LTD P  | COM      | 68268N103 | 430    | 5740     | SH  | DEFINED | 01 1 |
| ONLINE RESOURCES CORP          | COM      | 68273G101 | 11     | 2370     | SH  | DEFINED | 01 0 |
| ONSTREAM MEDIA CORP COM NEW    | COM      | 682875208 | 0      | 4        | SH  | DEFINED | 01 1 |
| ONYX PHARMACEUTICALS INC       | COM      | 683399109 | 27069  | 1026171  | SH  | DEFINED | 01 0 |
| ONYX PHARMACEUTICALS INC       | COM      | 683399109 | 131    | 4955     | SH  | DEFINED | 01 1 |
| OPEN TEXT CORP                 | COM      | 683715106 | 117929 | 2507013  | SH  | DEFINED | 01 0 |
| OPEN TEXT CORP                 | COM      | 683715106 | 81     | 1724     | SH  | DEFINED | 01 0 |
| OPEN TEXT CORP                 | COM      | 683715106 | 713    | 14653    | SH  | DEFINED | 01 1 |
| OPEN TEXT CORP                 | COM      | 683715106 | 4      | 93       | SH  | DEFINED | 01 1 |
| OPENWAVE SYSTEMS INC           | COM      | 683718308 | 9      | 5540     | SH  | DEFINED | 01 0 |
| OPENWAVE SYSTEMS INC           | COM      | 683718308 | 0      | 6        | SH  | DEFINED | 01 1 |
| OPENTABLE INC                  | COM      | 68372A104 | 38964  | 572311   | SH  | DEFINED | 01 0 |
| OPENTABLE INC                  | COM      | 68372A104 | 91     | 1336     | SH  | DEFINED | 01 0 |
| OPENTABLE INC                  | COM      | 68372A104 | 6294   | 92496    | SH  | DEFINED | 01 1 |
| OPENTABLE INC                  | COM      | 68372A104 | 2      | 36       | SH  | DEFINED | 01 1 |
| OPNET TECHNOLOGIES INC         | COM      | 683757108 | 21     | 1185     | SH  | DEFINED | 01 0 |
| OPKO HEALTH INC                | COM      | 68375N103 | 16     | 7235     | SH  | DEFINED | 01 0 |
| OPLINK COMMUNICATIONS INC      | COM      | 68375Q403 | 4057   | 204469   | SH  | DEFINED | 01 0 |
| OPLINK COMMUNICATIONS INC      | COM      | 68375Q403 | 97     | 4900     | SH  | DEFINED | 01 0 |
| OPNEXT INC                     | COM      | 68375V105 | 3994   | 2543739  | SH  | DEFINED | 01 0 |
| OPNEXT INC                     | COM      | 68375V105 | 77     | 48974    | SH  | DEFINED | 01 0 |
| OPPENHEIMER HOLDINGS-CL A      | COM      | 683797104 | 2628   | 94032    | SH  | DEFINED | 01 0 |
| ORACLE CORP                    | COM      | 68389X105 | 662555 | 24676070 | SH  | DEFINED | 01 0 |
| ORACLE CORP                    | COM      | 68389X105 | 4732   | 176247   | SH  | DEFINED | 01 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| ORACLE CORP                    | COM      | 68389X105 | 6729   | 250630  | SH  | DEFINED | 01 | 0 |
| ORACLE CORP                    | COM      | 68389X105 | 35     | 1290    | SH  | DEFINED | 01 | 0 |
| ORACLE CORP                    | COM      | 68389X105 | 174360 | 6589080 | SH  | DEFINED | 01 | 1 |
| ORACLE CORP                    | COM      | 68389X105 | 2133   | 79459   | SH  | DEFINED | 01 | 1 |
| OPTIONSXPRESS HOLDINGS INC     | COM      | 684010101 | 15546  | 1012159 | SH  | DEFINED | 01 | 0 |
| OPTIONSXPRESS HOLDINGS INC     | COM      | 684010101 | 80     | 5216    | SH  | DEFINED | 01 | 0 |
| OPTIONSXPRESS HOLDINGS INC     | COM      | 684010101 | 7      | 470     | SH  | DEFINED | 01 | 1 |
| OPTIMER PHARMACEUTICALS INC    | COM      | 68401H104 | 22     | 2380    | SH  | DEFINED | 01 | 0 |
| ORASCOM CONSTRUCTIO-144A GDR   | COM      | 68554N205 | 97     | 2151    | SH  | DEFINED | 01 | 0 |
| ORASCOM CONSTRUCTIO-144A GDR   | COM      | 68554N205 | 7544   | 167674  | SH  | DEFINED | 01 | 0 |
| ORASURE TECHNOLOGIES INC       | COM      | 68554V108 | 299    | 73815   | SH  | DEFINED | 01 | 0 |
| ORBCOMM INC                    | COM      | 68555P100 | 5619   | 2475496 | SH  | DEFINED | 01 | 0 |
| ORBCOMM INC                    | COM      | 68555P100 | 104    | 46248   | SH  | DEFINED | 01 | 0 |
| ORBITAL CORP LTD-SPON ADR      | COM      | 685563504 | 0      | 120     | SH  | DEFINED | 01 | 0 |
| ORBITAL SCIENCES CORP          | COM      | 685564106 | 4175   | 272859  | SH  | DEFINED | 01 | 0 |
| ORBITAL SCIENCES CORP          | COM      | 685564106 | 22     | 1436    | SH  | DEFINED | 01 | 1 |
| ORBITZ WORLDWIDE INC           | COM      | 68557K109 | 11     | 1725    | SH  | DEFINED | 01 | 0 |
| ORCHID CELLMARK INC            | COM      | 68573C107 | 0      | 32      | SH  | DEFINED | 01 | 1 |
| O'REILLY AUTOMOTIVE INC        | COM      | 686091109 | 55217  | 1037929 | SH  | DEFINED | 01 | 0 |
| O'REILLY AUTOMOTIVE INC        | COM      | 686091109 | 388    | 7299    | SH  | DEFINED | 01 | 0 |
| O'REILLY AUTOMOTIVE INC        | COM      | 686091109 | 293    | 5509    | SH  | DEFINED | 01 | 1 |
| OREXIGEN THERAPEUTICS INC      | COM      | 686164104 | 19     | 3135    | SH  | DEFINED | 01 | 0 |
| OREXIGEN THERAPEUTICS INC      | COM      | 686164104 | 12     | 2100    | SH  | DEFINED | 01 | 1 |
| ORIENTAL FINANCIAL GROUP       | COM      | 68618W100 | 11104  | 834780  | SH  | DEFINED | 01 | 0 |
| ORIFLAME COSMETICS SA          | COM      | 686194101 | 2      | 60      | SH  | DEFINED | 01 | 0 |
| ORION MARINE GROUP INC         | COM      | 68628V308 | 2795   | 225251  | SH  | DEFINED | 01 | 0 |
| ORION MARINE GROUP INC         | COM      | 68628V308 | 28     | 2291    | SH  | DEFINED | 01 | 0 |
| ORIX CORP ADR SPONSORED        | COM      | 686330101 | 29     | 751     | SH  | DEFINED | 01 | 0 |
| ORIX CORP ADR SPONSORED        | COM      | 686330101 | 1      | 20      | SH  | DEFINED | 01 | 1 |
| ORKLA A S                      | COM      | 686331109 | 12     | 1330    | SH  | DEFINED | 01 | 0 |
| ORITANI FINANCIAL CORP         | COM      | 68633D103 | 3061   | 306642  | SH  | DEFINED | 01 | 0 |
| ORMAT TECHNOLOGIES INC         | COM      | 686688102 | 0      | 20      | SH  | DEFINED | 01 | 0 |
| ORMAT TECHNOLOGIES INC         | COM      | 686688102 | 15     | 500     | SH  | DEFINED | 01 | 1 |
| ORRSTOWN FINL SERVICES INC     | COM      | 687380105 | 15     | 690     | SH  | DEFINED | 01 | 0 |
| ORTHOVITA INC                  | COM      | 68750U102 | 29     | 13170   | SH  | DEFINED | 01 | 0 |
| ORTHOVITA INC                  | COM      | 68750U102 | 52     | 22970   | SH  | DEFINED | 01 | 1 |
| OSHKOSH CORP                   | COM      | 688239201 | 16546  | 601579  | SH  | DEFINED | 01 | 0 |
| OSHKOSH CORP                   | COM      | 688239201 | 93     | 3381    | SH  | DEFINED | 01 | 1 |
| OSIRIS THERAPEUTICS INC        | COM      | 68827R108 | 18     | 2480    | SH  | DEFINED | 01 | 0 |
| OSTEOTECH INC                  | COM      | 688582105 | 545    | 84449   | SH  | DEFINED | 01 | 0 |
| OTELCO INC INCOME DEP          | COM      | 688823202 | 40     | 2601    | SH  | DEFINED | 01 | 1 |
| OTIX GLOBAL INC COM NEW        | COM      | 68906N200 | 2      | 200     | SH  | DEFINED | 01 | 1 |
| OTTER TAIL CORP                | COM      | 689648103 | 124    | 6084    | SH  | DEFINED | 01 | 0 |
| OTTER TAIL CORP                | COM      | 689648103 | 80     | 3922    | SH  | DEFINED | 01 | 1 |
| OUTDOOR CHANNEL HOLDINGS INC   | COM      | 690027206 | 5      | 975     | SH  | DEFINED | 01 | 0 |
| OVERSEAS SHIPHOLDING GROUP     | COM      | 690368105 | 21367  | 622589  | SH  | DEFINED | 01 | 0 |
| OVERSEAS SHIPHOLDING GROUP     | COM      | 690368105 | 76     | 2227    | SH  | DEFINED | 01 | 1 |
| OVERSTOCK.COM INC              | COM      | 690370101 | 124    | 7905    | SH  | DEFINED | 01 | 0 |
| OVERSTOCK.COM INC              | COM      | 690370101 | 3      | 200     | SH  | DEFINED | 01 | 1 |
| OWENS & MINOR INC              | COM      | 690732102 | 33482  | 1176444 | SH  | DEFINED | 01 | 0 |
| OWENS & MINOR INC              | COM      | 690732102 | 43     | 1507    | SH  | DEFINED | 01 | 1 |
| OWENS-BROCKWAY GLASS CONTAINER | CONV BND | 69073TAQ6 | 4616   | 4710000 | PRN | DEFINED | 01 | 0 |
| OWENS CORNING                  | COM      | 690742101 | 4961   | 193591  | SH  | DEFINED | 01 | 0 |
| OWENS CORNING                  | COM      | 690742101 | 5      | 200     | SH  | DEFINED | 01 | 1 |
| OWENS CORNING NEW WT EXP SER   | WT       | 690742127 | 0      | 304     | SH  | DEFINED | 01 | 1 |
| OWENS-ILLINOIS INC             | COM      | 690768403 | 25419  | 905832  | SH  | DEFINED | 01 | 0 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| OWENS-ILLINOIS INC           | COM      | 690768403 | 241    | 8601    | SH  | DEFINED | 01 | 0 |
| OWENS-ILLINOIS INC           | COM      | 690768403 | 16     | 577     | SH  | DEFINED | 01 | 1 |
| OXFORD INDUSTRIES INC        | COM      | 691497309 | 1858   | 78145   | SH  | DEFINED | 01 | 0 |
| OXFORD INDUSTRIES INC        | COM      | 691497309 | 2      | 100     | SH  | DEFINED | 01 | 1 |
| OXIGENE INC                  | COM      | 691828107 | 1      | 5250    | SH  | DEFINED | 01 | 1 |
| OZ MINERALS LTD              | COM      | 692476104 | 9      | 1230    | SH  | DEFINED | 01 | 0 |
| PAA NATURAL GAS STORAGE L.   | COM      | 693139107 | 12     | 500     | SH  | DEFINED | 01 | 1 |
| P.A.M. TRANSPORTATION SVCS   | COM      | 693149106 | 7      | 590     | SH  | DEFINED | 01 | 0 |
| PC CONNECTION INC            | COM      | 69318J100 | 5      | 820     | SH  | DEFINED | 01 | 0 |
| PC MALL INC                  | COM      | 69323K100 | 1      | 100     | SH  | DEFINED | 01 | 0 |
| PC-TEL INC                   | COM      | 69325Q105 | 555    | 90290   | SH  | DEFINED | 01 | 0 |
| PDF SOLUTIONS INC            | COM      | 693282105 | 6      | 1875    | SH  | DEFINED | 01 | 0 |
| PDI INC                      | COM      | 69329V100 | 10     | 1065    | SH  | DEFINED | 01 | 0 |
| PDL BIOPHARMA INC            | COM      | 69329Y104 | 5003   | 951046  | SH  | DEFINED | 01 | 0 |
| PDL BIOPHARMA INC            | COM      | 69329Y104 | 27     | 5110    | SH  | DEFINED | 01 | 1 |
| P G & E CORP                 | COM      | 69331C108 | 163785 | 3606019 | SH  | DEFINED | 01 | 0 |
| P G & E CORP                 | COM      | 69331C108 | 933    | 20543   | SH  | DEFINED | 01 | 0 |
| P G & E CORP                 | COM      | 69331C108 | 790    | 17393   | SH  | DEFINED | 01 | 1 |
| PHH CORP                     | COM      | 693320202 | 291    | 13807   | SH  | DEFINED | 01 | 0 |
| PHH CORP                     | COM      | 693320202 | 1      | 55      | SH  | DEFINED | 01 | 1 |
| PF CHANG'S CHINA BISTRO INC  | COM      | 69333Y108 | 20956  | 453582  | SH  | DEFINED | 01 | 0 |
| PF CHANG'S CHINA BISTRO INC  | COM      | 69333Y108 | 4      | 81      | SH  | DEFINED | 01 | 1 |
| PICO HOLDINGS INC            | COM      | 693366205 | 16972  | 568392  | SH  | DEFINED | 01 | 0 |
| PICO HOLDINGS INC            | COM      | 693366205 | 1      | 30      | SH  | DEFINED | 01 | 1 |
| PHI INC-NON VOTING           | COM      | 69336T205 | 473    | 29174   | SH  | DEFINED | 01 | 0 |
| PGT INC                      | COM      | 69336V101 | 4      | 1550    | SH  | DEFINED | 01 | 0 |
| PLX TECHNOLOGY INC           | COM      | 693417107 | 11     | 3035    | SH  | DEFINED | 01 | 0 |
| PMA CAPITAL CORPORATION-CL A | COM      | 693419202 | 22     | 2896    | SH  | DEFINED | 01 | 0 |
| PMA CAPITAL CORPORATION-CL A | COM      | 693419202 | 0      | 7       | SH  | DEFINED | 01 | 1 |
| PMC - SIERRA INC             | COM      | 69344F106 | 52766  | 7169443 | SH  | DEFINED | 01 | 0 |
| PMC - SIERRA INC             | COM      | 69344F106 | 967    | 131407  | SH  | DEFINED | 01 | 0 |
| PMC - SIERRA INC             | COM      | 69344F106 | 21     | 2872    | SH  | DEFINED | 01 | 1 |
| PMI GROUP INC/THE            | COM      | 69344M101 | 44     | 12085   | SH  | DEFINED | 01 | 0 |
| PMI GROUP INC/THE            | COM      | 69344M101 | 1      | 390     | SH  | DEFINED | 01 | 1 |
| PMI GROUP INC                | CONV BND | 69344MAK7 | 2329   | 272000  | PRN | DEFINED | 01 | 0 |
| PMFG INC                     | COM      | 69345P103 | 7918   | 464410  | SH  | DEFINED | 01 | 0 |
| PNC FINANCIAL SERVICES GROUP | COM      | 693475105 | 345721 | 6660021 | SH  | DEFINED | 01 | 0 |
| PNC FINANCIAL SERVICES GROUP | COM      | 693475105 | 1433   | 27611   | SH  | DEFINED | 01 | 0 |
| PNC FINANCIAL SERVICES GROUP | COM      | 693475105 | 851    | 16404   | SH  | DEFINED | 01 | 1 |
| PNC FINANCIAL SERVICES GROUP | COM      | 693475105 | 820    | 15794   | SH  | DEFINED | 01 | 1 |
| POSCO-ADR                    | COM      | 693483109 | 212    | 1857    | SH  | DEFINED | 01 | 0 |
| POSCO-ADR                    | COM      | 693483109 | 74     | 649     | SH  | DEFINED | 01 | 1 |
| PNM RESOURCES INC            | COM      | 69349H107 | 13736  | 1205995 | SH  | DEFINED | 01 | 0 |
| PNM RESOURCES INC            | COM      | 69349H107 | 4      | 325     | SH  | DEFINED | 01 | 1 |
| PPG INDUSTRIES INC           | COM      | 693506107 | 305499 | 4196437 | SH  | DEFINED | 01 | 0 |
| PPG INDUSTRIES INC           | COM      | 693506107 | 632    | 8682    | SH  | DEFINED | 01 | 0 |
| PPG INDUSTRIES INC           | COM      | 693506107 | 262    | 3598    | SH  | DEFINED | 01 | 1 |
| PPL CORPORATION              | COM      | 69351T106 | 50022  | 1837066 | SH  | DEFINED | 01 | 0 |
| PPL CORPORATION              | COM      | 69351T106 | 690    | 25355   | SH  | DEFINED | 01 | 0 |
| PPL CORPORATION              | COM      | 69351T106 | 461    | 16920   | SH  | DEFINED | 01 | 1 |
| PPL CORP                     | CONV PRF | 69351T601 | 7192   | 126500  | SH  | DEFINED | 01 | 0 |
| TAMBANG BATUBARA BUKIT ASAM  | COM      | 693525990 | 2626   | 1205000 | SH  | DEFINED | 01 | 0 |
| PRGX GLOBAL INC              | COM      | 69357C503 | 1      | 225     | SH  | DEFINED | 01 | 0 |
| PS BUSINESS PARKS INC/CA     | COM      | 69360J107 | 6751   | 119336  | SH  | DEFINED | 01 | 0 |
| PS BUSINESS PARKS INC/CA     | COM      | 69360J107 | 6      | 112     | SH  | DEFINED | 01 | 1 |
| PSS WORLD MEDICAL INC        | COM      | 69366A100 | 26310  | 1230644 | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| PSS WORLD MEDICAL INC          | COM | 69366A100 | 13848  | 648301   | SH | DEFINED | 01 | 1 |
| PSS WORLD MEDICAL INC          | COM | 69366A100 | 4      | 205      | SH | DEFINED | 01 | 1 |
| PT UTD TRACTORS TBK            | COM | 69367T108 | 1      | 30       | SH | DEFINED | 01 | 0 |
| PT BK MANDIRI PERSERO TB       | COM | 69367U105 | 6      | 790      | SH | DEFINED | 01 | 0 |
| PACCAR INC                     | COM | 693718108 | 9572   | 198800   | SH | DEFINED | 01 | 0 |
| PACCAR INC                     | COM | 693718108 | 923    | 19165    | SH | DEFINED | 01 | 0 |
| PACCAR INC                     | COM | 693718108 | 27289  | 567232   | SH | DEFINED | 01 | 1 |
| PACCAR INC                     | COM | 693718108 | 82     | 1712     | SH | DEFINED | 01 | 1 |
| PACER INTERNATIONAL INC        | COM | 69373H106 | 8291   | 1372903  | SH | DEFINED | 01 | 0 |
| PACIFIC CAPITAL BANCORP        | COM | 69404P101 | 2      | 2794     | SH | DEFINED | 01 | 1 |
| PACIFIC CONTINENTAL CORP       | COM | 69412V108 | 3965   | 438144   | SH | DEFINED | 01 | 0 |
| PACIFIC ETHANOL INC            | COM | 69423U107 | 46     | 51650    | SH | DEFINED | 01 | 1 |
| PACIFIC MERCANTILE BANCORP     | COM | 694552100 | 38     | 12582    | SH | DEFINED | 01 | 1 |
| PACIFIC OFFICE PPTYSTR INC COM | COM | 694714106 | 0      | 100      | SH | DEFINED | 01 | 1 |
| PACIFIC SUNWEAR OF CALIF       | COM | 694873100 | 18702  | 3575734  | SH | DEFINED | 01 | 0 |
| PACIFIC SUNWEAR OF CALIF       | COM | 694873100 | 26     | 5045     | SH | DEFINED | 01 | 0 |
| PACKAGING CORP OF AMERICA      | COM | 695156109 | 136813 | 5904709  | SH | DEFINED | 01 | 0 |
| PACTIV CORPORATION             | COM | 695257105 | 3147   | 95452    | SH | DEFINED | 01 | 0 |
| PACTIV CORPORATION             | COM | 695257105 | 236    | 7149     | SH | DEFINED | 01 | 0 |
| PACTIV CORPORATION             | COM | 695257105 | 47     | 1416     | SH | DEFINED | 01 | 1 |
| PACWEST BANCORP                | COM | 695263103 | 1491   | 78211    | SH | DEFINED | 01 | 0 |
| PAETEC HOLDING CORP            | COM | 695459107 | 3427   | 833855   | SH | DEFINED | 01 | 0 |
| PAETEC HOLDING CORP            | COM | 695459107 | 84     | 20500    | SH | DEFINED | 01 | 1 |
| PAIN THERAPEUTICS INC          | COM | 69562K100 | 18     | 2925     | SH | DEFINED | 01 | 0 |
| PALL CORP                      | COM | 696429307 | 15319  | 367878   | SH | DEFINED | 01 | 0 |
| PALL CORP                      | COM | 696429307 | 256    | 6142     | SH | DEFINED | 01 | 0 |
| PALL CORP                      | COM | 696429307 | 144    | 3464     | SH | DEFINED | 01 | 1 |
| PALOMAR MEDICAL TECHNOLOGIES   | COM | 697529303 | 909    | 88092    | SH | DEFINED | 01 | 0 |
| PALOMAR MEDICAL TECHNOLOGIES   | COM | 697529303 | 6      | 613      | SH | DEFINED | 01 | 1 |
| PAN AMERICAN SILVER CORP       | COM | 697900108 | 2817   | 95192    | SH | DEFINED | 01 | 0 |
| PAN AMERICAN SILVER CORP       | COM | 697900108 | 65     | 2203     | SH | DEFINED | 01 | 1 |
| PANASONIC CORP-SPON ADR        | COM | 69832A205 | 161    | 11835    | SH | DEFINED | 01 | 0 |
| PANASONIC CORP-SPON ADR        | COM | 69832A205 | 10     | 721      | SH | DEFINED | 01 | 1 |
| PANASONIC ELECTRIC WKS CO LTAD | COM | 69832B104 | 5      | 40       | SH | DEFINED | 01 | 0 |
| PANERA BREAD COMPANY-CL A      | COM | 69840W108 | 26086  | 294394   | SH | DEFINED | 01 | 0 |
| PANERA BREAD COMPANY-CL A      | COM | 69840W108 | 110    | 1244     | SH | DEFINED | 01 | 0 |
| PANERA BREAD COMPANY-CL A      | COM | 69840W108 | 7615   | 99600    | SH | DEFINED | 01 | 1 |
| PANERA BREAD COMPANY-CL A      | COM | 69840W108 | 16     | 176      | SH | DEFINED | 01 | 1 |
| PANHANDLE OIL AND GAS INC-A    | COM | 698477106 | 15     | 635      | SH | DEFINED | 01 | 0 |
| PANHANDLE OIL AND GAS INC-A    | COM | 698477106 | 43     | 1750     | SH | DEFINED | 01 | 1 |
| PANTRY INC                     | COM | 698657103 | 25096  | 1040875  | SH | DEFINED | 01 | 0 |
| PAPA JOHN'S INTL INC           | COM | 698813102 | 7531   | 285453   | SH | DEFINED | 01 | 0 |
| PAPERLINK LTD                  | COM | 698833100 | 0      | 190      | SH | DEFINED | 01 | 0 |
| PAR PHARMACEUTICAL COS INC     | COM | 69888P106 | 8656   | 297673   | SH | DEFINED | 01 | 0 |
| PAR PHARMACEUTICAL COS INC     | COM | 69888P106 | 10     | 350      | SH | DEFINED | 01 | 1 |
| PARAGON SHIPPING INC           | COM | 69913R309 | 1      | 300      | SH | DEFINED | 01 | 1 |
| PARAMETRIC TECHNOLOGY CORP     | COM | 699173209 | 263543 | 13487422 | SH | DEFINED | 01 | 0 |
| PARAMETRIC TECHNOLOGY CORP     | COM | 699173209 | 32     | 1621     | SH | DEFINED | 01 | 0 |
| PARAMETRIC TECHNOLOGY CORP     | COM | 699173209 | 1382   | 75878    | SH | DEFINED | 01 | 1 |
| PARAMETRIC TECHNOLOGY CORP     | COM | 699173209 | 0      | 2        | SH | DEFINED | 01 | 1 |
| PAREXEL INTERNATIONAL CORP     | COM | 699462107 | 13160  | 568926   | SH | DEFINED | 01 | 0 |
| PARK ELECTROCHEMICAL CORP      | COM | 700416209 | 14897  | 565552   | SH | DEFINED | 01 | 0 |
| PARK NATIONAL CORP             | COM | 700658107 | 1902   | 29705    | SH | DEFINED | 01 | 0 |
| PARK-OHIO HOLDINGS CORP        | COM | 700666100 | 10     | 725      | SH | DEFINED | 01 | 0 |
| PARK-OHIO HOLDINGS CORP        | COM | 700666100 | 116    | 8700     | SH | DEFINED | 01 | 1 |
| PARKER DRILLING CO             | COM | 701081101 | 304    | 69987    | SH | DEFINED | 01 | 0 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| PARKER DRILLING CO           | COM      | 701081101 | 29     | 6600    | SH  | DEFINED | 01 | 1 |
| PARKER HANNIFIN CORP         | COM      | 701094104 | 309867 | 4422909 | SH  | DEFINED | 01 | 0 |
| PARKER HANNIFIN CORP         | COM      | 701094104 | 941    | 13434   | SH  | DEFINED | 01 | 0 |
| PARKER HANNIFIN CORP         | COM      | 701094104 | 805    | 11486   | SH  | DEFINED | 01 | 1 |
| PARKERVISION INC             | COM      | 701354102 | 2      | 2160    | SH  | DEFINED | 01 | 0 |
| PARKERVISION INC             | COM      | 701354102 | 4      | 4844    | SH  | DEFINED | 01 | 0 |
| PARKERVISION INC             | COM      | 701354102 | 2      | 3000    | SH  | DEFINED | 01 | 1 |
| PARKWAY PROPERTIES INC       | COM      | 70159Q104 | 1569   | 106012  | SH  | DEFINED | 01 | 0 |
| PARTNER COMMUNICATIONS-ADR   | COM      | 70211M109 | 2      | 90      | SH  | DEFINED | 01 | 0 |
| PARTNER COMMUNICATIONS-ADR   | COM      | 70211M109 | 7      | 400     | SH  | DEFINED | 01 | 1 |
| PATRIOT COAL CORP            | COM      | 70336T104 | 13216  | 1158279 | SH  | DEFINED | 01 | 0 |
| PATRIOT COAL CORP            | COM      | 70336T104 | 114    | 10000   | SH  | DEFINED | 01 | 1 |
| PATRIOT COAL CORP            | COM      | 70336T104 | 11     | 970     | SH  | DEFINED | 01 | 1 |
| PATRIOT TRANSPORTATION HLDG  | COM      | 70337B102 | 8      | 113     | SH  | DEFINED | 01 | 0 |
| PATTERSON COS INC            | COM      | 703395103 | 16400  | 572438  | SH  | DEFINED | 01 | 0 |
| PATTERSON COS INC            | COM      | 703395103 | 146    | 5087    | SH  | DEFINED | 01 | 0 |
| PATTERSON COS INC            | COM      | 703395103 | 42     | 1470    | SH  | DEFINED | 01 | 1 |
| PATTERSON-UTI ENERGY INC     | COM      | 703481101 | 20009  | 1171448 | SH  | DEFINED | 01 | 0 |
| PATTERSON-UTI ENERGY INC     | COM      | 703481101 | 41     | 2399    | SH  | DEFINED | 01 | 0 |
| PATTERSON-UTI ENERGY INC     | COM      | 703481101 | 53     | 3109    | SH  | DEFINED | 01 | 1 |
| PAYCHEX INC                  | COM      | 704326107 | 6437   | 234178  | SH  | DEFINED | 01 | 0 |
| PAYCHEX INC                  | COM      | 704326107 | 465    | 16900   | SH  | DEFINED | 01 | 0 |
| PAYCHEX INC                  | COM      | 704326107 | 7152   | 251000  | SH  | DEFINED | 01 | 1 |
| PAYCHEX INC                  | COM      | 704326107 | 1422   | 51721   | SH  | DEFINED | 01 | 1 |
| PEABODY ENERGY CORP          | COM      | 704549104 | 131720 | 2687620 | SH  | DEFINED | 01 | 0 |
| PEABODY ENERGY CORP          | COM      | 704549104 | 693    | 14141   | SH  | DEFINED | 01 | 0 |
| PEABODY ENERGY CORP          | COM      | 704549104 | 757    | 15436   | SH  | DEFINED | 01 | 1 |
| PEABODY ENERGY CORP          | CONV BND | 704549AG9 | 49     | 44000   | PRN | DEFINED | 01 | 0 |
| PCCW LTD                     | COM      | 70454G207 | 36     | 10030   | SH  | DEFINED | 01 | 0 |
| PEAPACK GLADSTONE FINL CORP  | COM      | 704699107 | 16     | 1379    | SH  | DEFINED | 01 | 0 |
| PEARSON PLC-SPONSORED ADR    | COM      | 705015105 | 18     | 1170    | SH  | DEFINED | 01 | 0 |
| PEBBLEBROOK HOTEL TRUST      | COM      | 70509V100 | 29092  | 1615441 | SH  | DEFINED | 01 | 0 |
| PEBBLEBROOK HOTEL TRUST      | COM      | 70509V100 | 79     | 4380    | SH  | DEFINED | 01 | 0 |
| PEBBLEBROOK HOTEL TRUST      | COM      | 70509V100 | 3      | 170     | SH  | DEFINED | 01 | 1 |
| PEETS COFFEE & TEA INC       | COM      | 705560100 | 2269   | 66291   | SH  | DEFINED | 01 | 0 |
| PEETS COFFEE & TEA INC       | COM      | 705560100 | 10     | 300     | SH  | DEFINED | 01 | 1 |
| PEGASYSTEMS INC              | COM      | 705573103 | 9529   | 306880  | SH  | DEFINED | 01 | 0 |
| PEGASYSTEMS INC              | COM      | 705573103 | 0      | 2       | SH  | DEFINED | 01 | 1 |
| PENGROWTH ENERGY TRUST SBI   | COM      | 706902509 | 484    | 43723   | SH  | DEFINED | 01 | 1 |
| PENFORD CORP                 | COM      | 707051108 | 246    | 53341   | SH  | DEFINED | 01 | 0 |
| PENN NATIONAL GAMING INC     | COM      | 707569109 | 88683  | 2994994 | SH  | DEFINED | 01 | 0 |
| PENN NATIONAL GAMING INC     | COM      | 707569109 | 25     | 835     | SH  | DEFINED | 01 | 1 |
| PENN VIRGINIA CORP           | COM      | 707882106 | 3823   | 238395  | SH  | DEFINED | 01 | 0 |
| PENN VIRGINIA CORP           | COM      | 707882106 | 14     | 848     | SH  | DEFINED | 01 | 1 |
| PENN VIRGINIA RESOURCE PARTN | LP       | 707884102 | 364    | 14768   | SH  | DEFINED | 01 | 0 |
| PENN VIRGINIA RESOURCE PARTN | LP       | 707884102 | 785    | 31849   | SH  | DEFINED | 01 | 1 |
| PENN VIRGINIA RESOURCE PARTN | LP       | 707884102 | 531    | 21557   | SH  | DEFINED | 01 | 1 |
| PENN WEST ENERGY TRUST SBI   | COM      | 707885109 | 1037   | 51688   | SH  | DEFINED | 01 | 1 |
| PENN VA GP HLDGS L P COM UN  | COM      | 70788P105 | 211    | 9235    | SH  | DEFINED | 01 | 1 |
| PENNANTPARK INVESTMENT CORP  | COM      | 708062104 | 45     | 4162    | SH  | DEFINED | 01 | 0 |
| J.C. PENNEY CO INC           | COM      | 708160106 | 72558  | 2669314 | SH  | DEFINED | 01 | 0 |
| J.C. PENNEY CO INC           | COM      | 708160106 | 338    | 12418   | SH  | DEFINED | 01 | 0 |
| J.C. PENNEY CO INC           | COM      | 708160106 | 109    | 4011    | SH  | DEFINED | 01 | 1 |
| PENNICHUCK CORP              | COM      | 708254206 | 29     | 1261    | SH  | DEFINED | 01 | 1 |
| PENNS WOODS BANCORP INC      | COM      | 708430103 | 9      | 270     | SH  | DEFINED | 01 | 0 |
| PENN REAL ESTATE INVEST TST  | COM      | 709102107 | 4069   | 343170  | SH  | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| PENN REAL ESTATE INVEST TST    | COM | 709102107 | 11     | 920     | SH | DEFINED | 01 | 1 |
| PENNYMAC MORTGAGE INVESTMENT   | COM | 70931T103 | 109    | 6100    | SH | DEFINED | 01 | 0 |
| PENSKE AUTOMOTIVE GROUP INC    | COM | 70959W103 | 8445   | 639805  | SH | DEFINED | 01 | 0 |
| PENSKE AUTOMOTIVE GROUP INC    | COM | 70959W103 | 14     | 1058    | SH | DEFINED | 01 | 1 |
| PENSON WORLDWIDE INC           | COM | 709600100 | 81     | 16080   | SH | DEFINED | 01 | 0 |
| PENTAIR INC                    | COM | 709631105 | 24327  | 723368  | SH | DEFINED | 01 | 0 |
| PENTAIR INC                    | COM | 709631105 | 176    | 5245    | SH | DEFINED | 01 | 1 |
| PEOPLES BANCORP INC            | COM | 709789101 | 84     | 6846    | SH | DEFINED | 01 | 0 |
| PEOPLE'S UNITED FINANCIAL      | COM | 712704105 | 55449  | 4235977 | SH | DEFINED | 01 | 0 |
| PEOPLE'S UNITED FINANCIAL      | COM | 712704105 | 255    | 19494   | SH | DEFINED | 01 | 0 |
| PEOPLE'S UNITED FINANCIAL      | COM | 712704105 | 124    | 9481    | SH | DEFINED | 01 | 1 |
| PEP BOYS-MANNY MOE & JACK      | COM | 713278109 | 2644   | 249942  | SH | DEFINED | 01 | 0 |
| PEP BOYS-MANNY MOE & JACK      | COM | 713278109 | 3      | 250     | SH | DEFINED | 01 | 1 |
| PEPCO HOLDINGS INC             | COM | 713291102 | 39864  | 2143345 | SH | DEFINED | 01 | 0 |
| PEPCO HOLDINGS INC             | COM | 713291102 | 219    | 11762   | SH | DEFINED | 01 | 0 |
| PEPCO HOLDINGS INC             | COM | 713291102 | 392    | 21102   | SH | DEFINED | 01 | 1 |
| PEPSICO INC                    | COM | 713448108 | 215477 | 3243185 | SH | DEFINED | 01 | 0 |
| PEPSICO INC                    | COM | 713448108 | 5554   | 83599   | SH | DEFINED | 01 | 0 |
| PEPSICO INC                    | COM | 713448108 | 118120 | 1785177 | SH | DEFINED | 01 | 1 |
| PEPSICO INC                    | COM | 713448108 | 5081   | 76468   | SH | DEFINED | 01 | 1 |
| PEREGRINE PHARMACEUTICALS      | COM | 713661304 | 6      | 4240    | SH | DEFINED | 01 | 0 |
| PEREGRINE PHARMACEUTICALS      | COM | 713661304 | 2      | 1521    | SH | DEFINED | 01 | 1 |
| PERFECT WORLD CO-SPON ADR      | COM | 71372U104 | 0      | 10      | SH | DEFINED | 01 | 0 |
| PERFECT WORLD CO-SPON ADR      | COM | 71372U104 | 408    | 15891   | SH | DEFINED | 01 | 1 |
| PERFICIENT INC                 | COM | 71375U101 | 2987   | 326747  | SH | DEFINED | 01 | 0 |
| PERFICIENT INC                 | COM | 71375U101 | 1      | 103     | SH | DEFINED | 01 | 1 |
| PERFORMANCE TECHNOLOGIES INC   | COM | 71376K102 | 2708   | 1259764 | SH | DEFINED | 01 | 0 |
| PERICOM SEMICONDUCTOR CORP     | COM | 713831105 | 7750   | 891793  | SH | DEFINED | 01 | 0 |
| PERICOM SEMICONDUCTOR CORP     | COM | 713831105 | 1      | 120     | SH | DEFINED | 01 | 1 |
| PERKINELMER INC                | COM | 714046109 | 1217   | 52549   | SH | DEFINED | 01 | 0 |
| PERKINELMER INC                | COM | 714046109 | 143    | 6198    | SH | DEFINED | 01 | 0 |
| PERKINELMER INC                | COM | 714046109 | 10     | 415     | SH | DEFINED | 01 | 1 |
| PERMIAN BASIN RTY TR           | COM | 714236106 | 785    | 39831   | SH | DEFINED | 01 | 1 |
|                                |     |           |        |         |    |         |    |   |
| PERNOD RICARD S. A.            | COM | 714264207 | 30     | 1800    | SH | DEFINED | 01 | 0 |
| PERNIX THERAPEUTICS HOLDINGS I | COM | 71426V108 | 0      | 50      | SH | DEFINED | 01 | 1 |
| PERRIGO CO                     | COM | 714290103 | 27649  | 430540  | SH | DEFINED | 01 | 0 |
| PERRIGO CO                     | COM | 714290103 | 51     | 796     | SH | DEFINED | 01 | 1 |
| TELEKOMUNIK INDONESIA-SP ADR   | COM | 715684106 | 63     | 1520    | SH | DEFINED | 01 | 0 |
| PERVASIVE SOFTWARE INC         | COM | 715710109 | 1      | 210     | SH | DEFINED | 01 | 0 |
| PETMED EXPRESS INC             | COM | 716382106 | 4425   | 252915  | SH | DEFINED | 01 | 0 |
| PETMED EXPRESS INC             | COM | 716382106 | 16     | 893     | SH | DEFINED | 01 | 1 |
| PETROCHINA CO LTD -ADR         | COM | 71646E100 | 123    | 1055    | SH | DEFINED | 01 | 0 |
| PETROCHINA CO LTD -ADR         | COM | 71646E100 | 146    | 1258    | SH | DEFINED | 01 | 1 |
| PETROBRAS ENERGIA S A          | COM | 71646J109 | 3      | 170     | SH | DEFINED | 01 | 0 |
| PETROBRAS ENERGIA S A          | COM | 71646J109 | 46     | 2777    | SH | DEFINED | 01 | 1 |
| PETROHAWK ENERGY CORP          | COM | 716495106 | 78672  | 4874408 | SH | DEFINED | 01 | 0 |
| PETROHAWK ENERGY CORP          | COM | 716495106 | 88     | 5450    | SH | DEFINED | 01 | 0 |
| PETROHAWK ENERGY CORP          | COM | 716495106 | 404    | 25027   | SH | DEFINED | 01 | 1 |
| PETROLEUM & RES CORP           | COM | 716549100 | 119    | 5149    | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO-SPON ADR   | COM | 71654V101 | 23365  | 711873  | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO-SPON ADR   | COM | 71654V101 | 80380  | 2453892 | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO-SPON ADR   | COM | 71654V101 | 20     | 607     | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO S.A.-ADR   | COM | 71654V408 | 322429 | 8889690 | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO S.A.-ADR   | COM | 71654V408 | 46562  | 1283765 | SH | DEFINED | 01 | 0 |
| PETROLEO BRASILEIRO S.A.-ADR   | COM | 71654V408 | 85564  | 2360403 | SH | DEFINED | 01 | 1 |
| PETROLEO BRASILEIRO S.A.-ADR   | COM | 71654V408 | 1781   | 49117   | SH | DEFINED | 01 | 1 |



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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| PETROLEUM DEVELOPMENT CORP     | COM | 716578109 | 3629   | 131490   | SH | DEFINED | 01 | 0 |
| PETROLEUM DEVELOPMENT CORP     | COM | 716578109 | 17     | 600      | SH | DEFINED | 01 | 1 |
| PETROLEUM GEO SVCS ASA NEW SPR | COM | 716599105 | 28     | 2487     | SH | DEFINED | 01 | 0 |
| PETROQUEST ENERGY INC          | COM | 716748108 | 1760   | 289060   | SH | DEFINED | 01 | 0 |
| PETSMART INC                   | COM | 716768106 | 36056  | 1030138  | SH | DEFINED | 01 | 0 |
| PETSMART INC                   | COM | 716768106 | 205    | 5866     | SH | DEFINED | 01 | 0 |
| PETSMART INC                   | COM | 716768106 | 32     | 911      | SH | DEFINED | 01 | 1 |
| PEUGEOT SA-SPONSORED ADR       | COM | 716825500 | 12     | 350      | SH | DEFINED | 01 | 0 |
| PHARMACYCLICS INC              | COM | 716933106 | 28     | 3425     | SH | DEFINED | 01 | 0 |
| PFIZER INC                     | COM | 717081103 | 517166 | 30120390 | SH | DEFINED | 01 | 0 |
| PFIZER INC                     | COM | 717081103 | 313    | 18214    | SH | DEFINED | 01 | 0 |
| PFIZER INC                     | COM | 717081103 | 7886   | 459267   | SH | DEFINED | 01 | 0 |
| PFIZER INC                     | COM | 717081103 | 148455 | 8646162  | SH | DEFINED | 01 | 1 |
| PFIZER INC                     | COM | 717081103 | 5872   | 341996   | SH | DEFINED | 01 | 1 |
| PHARMACEUTICAL PRODUCT DEVEL   | COM | 717124101 | 7487   | 301979   | SH | DEFINED | 01 | 0 |
| PHARMACEUTICAL PRODUCT DEVEL   | COM | 717124101 | 145    | 5835     | SH | DEFINED | 01 | 1 |
| PHARMACEUTICAL HOLDERS TRU     | COM | 71712A206 | 32     | 500      | SH | DEFINED | 01 | 1 |
| PHARMSTANDARD OJSC-S GDR144A   | COM | 717140107 | 1116   | 50615    | SH | DEFINED | 01 | 0 |
| PHARMERICA CORP                | COM | 71714F104 | 1391   | 145930   | SH | DEFINED | 01 | 0 |
| PHARMERICA CORP                | COM | 71714F104 | 2      | 208      | SH | DEFINED | 01 | 1 |
| PHARMASSET INC                 | COM | 71715N106 | 454    | 15355    | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL    | COM | 718172109 | 892999 | 15940580 | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL    | COM | 718172109 | 471    | 8405     | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL    | COM | 718172109 | 5714   | 101994   | SH | DEFINED | 01 | 0 |
| PHILIP MORRIS INTERNATIONAL    | COM | 718172109 | 174875 | 3121635  | SH | DEFINED | 01 | 1 |
| PHILIP MORRIS INTERNATIONAL    | COM | 718172109 | 5345   | 95417    | SH | DEFINED | 01 | 1 |
| PHILIPPINE LONG DIST -SP ADR   | COM | 718252604 | 16     | 269      | SH | DEFINED | 01 | 0 |
| PHILIPPINE LONG DIST -SP ADR   | COM | 718252604 | 8326   | 148800   | SH | DEFINED | 01 | 1 |
| PHILLIPS-VAN HEUSEN            | COM | 718592108 | 25662  | 426555   | SH | DEFINED | 01 | 0 |
| PHILLIPS-VAN HEUSEN            | COM | 718592108 | 96     | 1602     | SH | DEFINED | 01 | 0 |
| PHILLIPS-VAN HEUSEN            | COM | 718592108 | 2      | 37       | SH | DEFINED | 01 | 1 |
| PHOENIX COMPANIES INC          | COM | 71902E109 | 50     | 23589    | SH | DEFINED | 01 | 0 |
| PHOENIX COMPANIES INC          | COM | 71902E109 | 1      | 586      | SH | DEFINED | 01 | 1 |
| PHOENIX TECHNOLOGIES LTD       | COM | 719153108 | 638    | 163577   | SH | DEFINED | 01 | 0 |
| PHOTRONICS INC                 | COM | 719405102 | 1586   | 299666   | SH | DEFINED | 01 | 0 |
| PHOTRONICS INC                 | COM | 719405102 | 1      | 200      | SH | DEFINED | 01 | 1 |
| PIEDMONT NATURAL GAS CO        | COM | 720186105 | 11844  | 408436   | SH | DEFINED | 01 | 0 |
| PIEDMONT NATURAL GAS CO        | COM | 720186105 | 97     | 3338     | SH | DEFINED | 01 | 1 |
| PIEDMONT OFF RE TRU-A REIT     | COM | 720190206 | 327    | 17300    | SH | DEFINED | 01 | 0 |
| PIEDMONT OFF RE TRU-A REIT     | COM | 720190206 | 3915   | 207047   | SH | DEFINED | 01 | 1 |
| PIER 1 IMPORTS INC             | COM | 720279108 | 26996  | 3296175  | SH | DEFINED | 01 | 0 |
| PIER 1 IMPORTS INC             | COM | 720279108 | 39     | 4800     | SH | DEFINED | 01 | 1 |
| PIKE ELECTRIC CORP             | COM | 721283109 | 8878   | 1219464  | SH | DEFINED | 01 | 0 |
| PIKE ELECTRIC CORP             | COM | 721283109 | 0      | 50       | SH | DEFINED | 01 | 1 |
| PILGRIM'S PRIDE CORP-NEW       | COM | 72147K108 | 23     | 4065     | SH | DEFINED | 01 | 0 |
| PILGRIM'S PRIDE CORP-NEW       | COM | 72147K108 | 14     | 2500     | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD II   | COM | 72200M108 | 6      | 647      | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD      | COM | 72200N106 | 19     | 1324     | SH | DEFINED | 01 | 1 |
| PIMCO MUN INCOME FD COM        | COM | 72200R107 | 22     | 1518     | SH | DEFINED | 01 | 1 |
| PIMCO NEW YORK MUN INCOME FD   | COM | 72200T103 | 69     | 6006     | SH | DEFINED | 01 | 1 |
| PIMCO CORPORATE INCOME FD      | COM | 72200U100 | 215    | 13279    | SH | DEFINED | 01 | 1 |
| PIMCO MUN INCOME FD II         | COM | 72200W106 | 86     | 7283     | SH | DEFINED | 01 | 1 |
| PIMCO STRATEGIC GLOBAL GOV     | COM | 72200X104 | 121    | 11558    | SH | DEFINED | 01 | 1 |
| PIMCO NEW YORK MUN FD II COM   | COM | 72200Y102 | 49     | 3948     | SH | DEFINED | 01 | 1 |
| PIMCO GLOBAL STOCKSPUS         | COM | 722011103 | 473    | 21377    | SH | DEFINED | 01 | 1 |
| PIMCO HIGH INCOME FDCOM SHS    | COM | 722014107 | 329    | 25304    | SH | DEFINED | 01 | 1 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| PIMCO MUN INCOME FD III        | COM | 72201A103 | 524   | 45790   | SH | DEFINED | 01 | 1 |
| PIMCO CORPORATE OPPORTUNIT     | COM | 72201B101 | 1270  | 72304   | SH | DEFINED | 01 | 1 |
| PIMCO CALIF MUN INCOME FD      | COM | 72201C109 | 0     | 6       | SH | DEFINED | 01 | 1 |
| PIMCO INCOME STRATEGY F        | COM | 72201H108 | 465   | 38972   | SH | DEFINED | 01 | 1 |
| PIMCO INCOME STRATEGY F        | COM | 72201J104 | 229   | 22737   | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR 1-3 YEAR U S T    | COM | 72201R106 | 62    | 1210    | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR 1-5 YR US TIPS IN | COM | 72201R205 | 941   | 17996   | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR BROAD US TIPS IN  | COM | 72201R403 | 38    | 693     | SH | DEFINED | 01 | 1 |
| PIMCO ETF TRUST 3-7 YR US TREA | COM | 72201R601 | 40    | 501     | SH | DEFINED | 01 | 1 |
| PIMCO ETF TR ENHANCED S        | COM | 72201R833 | 50    | 500     | SH | DEFINED | 01 | 1 |
| PIMCO ETF TRUST INTER MUNI     | COM | 72201R866 | 62    | 1196    | SH | DEFINED | 01 | 1 |
| PIMCO ETF TRUST SHORT TERM     | COM | 72201R874 | 74    | 1458    | SH | DEFINED | 01 | 1 |
| PIMCO INCOME OPPORTUNIT        | COM | 72202B100 | 26    | 1000    | SH | DEFINED | 01 | 1 |
| PING AN INS GROUP CO CHI       | COM | 72341E304 | 34    | 1660    | SH | DEFINED | 01 | 0 |
| PINNACLE AIRLINES CORP         | COM | 723443107 | 10    | 1725    | SH | DEFINED | 01 | 0 |
| PINNACLE ENTERTAINMENT INC     | COM | 723456109 | 36641 | 3286215 | SH | DEFINED | 01 | 0 |
| PINNACLE ENTERTAINMENT INC     | COM | 723456109 | 17    | 1485    | SH | DEFINED | 01 | 1 |
| PINNACLE FINANCIAL PARTNERS    | COM | 72346Q104 | 1460  | 158748  | SH | DEFINED | 01 | 0 |
| PINNACLE FINANCIAL PARTNERS    | COM | 72346Q104 | 30    | 3214    | SH | DEFINED | 01 | 1 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 32874 | 796528  | SH | DEFINED | 01 | 0 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 236   | 5712    | SH | DEFINED | 01 | 0 |
| PINNACLE WEST CAPITAL          | COM | 723484101 | 189   | 4584    | SH | DEFINED | 01 | 1 |
| PIONEER DIVERSIFIED HIGH INCOM | COM | 723653101 | 126   | 6000    | SH | DEFINED | 01 | 1 |
| PIONEER DRILLING COMPANY       | COM | 723655106 | 5590  | 876180  | SH | DEFINED | 01 | 0 |
| PIONEER DRILLING COMPANY       | COM | 723655106 | 6     | 1000    | SH | DEFINED | 01 | 1 |
| PIONEER HIGH INCOME TR         | COM | 72369H106 | 290   | 17969   | SH | DEFINED | 01 | 1 |
| PIONEER FLOATING RATE TR       | COM | 72369J102 | 25    | 2075    | SH | DEFINED | 01 | 1 |
| PIONEER MUN HIGH INCOME ADV    | COM | 723762100 | 109   | 7770    | SH | DEFINED | 01 | 1 |
| PIONEER MUN HIGH INCOME TR     | COM | 723763108 | 79    | 5305    | SH | DEFINED | 01 | 1 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 87251 | 1341698 | SH | DEFINED | 01 | 0 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 397   | 6104    | SH | DEFINED | 01 | 0 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 2541  | 39071   | SH | DEFINED | 01 | 1 |
| PIONEER NATURAL RESOURCES CO   | COM | 723787107 | 704   | 10820   | SH | DEFINED | 01 | 1 |
| PIPER JAFFRAY COS              | COM | 724078100 | 11867 | 407383  | SH | DEFINED | 01 | 0 |
| PIPER JAFFRAY COS              | COM | 724078100 | 10    | 352     | SH | DEFINED | 01 | 1 |
| PITNEY BOWES INC               | COM | 724479100 | 24589 | 1149981 | SH | DEFINED | 01 | 0 |
| PITNEY BOWES INC               | COM | 724479100 | 232   | 10852   | SH | DEFINED | 01 | 0 |
| PITNEY BOWES INC               | COM | 724479100 | 295   | 13781   | SH | DEFINED | 01 | 1 |
| PIXELWORKS INC                 | COM | 72581M305 | 258   | 75200   | SH | DEFINED | 01 | 0 |
| PLAINS ALL AMER PIPELINE LP    | LP  | 726503105 | 3     | 45      | SH | DEFINED | 01 | 0 |
| PLAINS ALL AMER PIPELINE LP    | LP  | 726503105 | 281   | 4473    | SH | DEFINED | 01 | 1 |
| PLAINS EXPLORATION & PRODUCT   | COM | 726505100 | 9905  | 371423  | SH | DEFINED | 01 | 0 |
| PLAINS EXPLORATION & PRODUCT   | COM | 726505100 | 4     | 137     | 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 | 37516 | 1110672 | SH | DEFINED | 01 | 0 |
| PLAYBOY ENTERPRISES-CLASS B    | COM | 728117300 | 7     | 1410    | SH | DEFINED | 01 | 0 |
| PLEXUS CORP                    | COM | 729132100 | 41980 | 1430320 | SH | DEFINED | 01 | 0 |
| PLUG PWR INC                   | COM | 72919P103 | 1     | 3120    | SH | DEFINED | 01 | 1 |
| PLUM CREEK TIMBER CO           | COM | 729251108 | 12172 | 344847  | SH | DEFINED | 01 | 0 |
| PLUM CREEK TIMBER CO           | COM | 729251108 | 300   | 8501    | SH | DEFINED | 01 | 0 |
| PLUM CREEK TIMBER CO           | COM | 729251108 | 299   | 8484    | SH | DEFINED | 01 | 0 |
| PLUM CREEK TIMBER CO           | COM | 729251108 | 994   | 28161   | SH | DEFINED | 01 | 1 |
| PLUM CREEK TIMBER CO           | COM | 729251108 | 590   | 16715   | SH | DEFINED | 01 | 1 |
| PLUMAS BANCORP                 | COM | 729273102 | 7     | 2250    | SH | DEFINED | 01 | 1 |
| POLARIS INDUSTRIES INC         | COM | 731068102 | 21893 | 336294  | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| POLARIS INDUSTRIES INC         | COM | 731068102 | 859    | 13218   | SH | DEFINED | 01 | 1 |
| POLARIS INDUSTRIES INC         | COM | 731068102 | 15     | 235     | SH | DEFINED | 01 | 1 |
| POLO RALPH LAUREN CORP         | COM | 731572103 | 5416   | 60274   | SH | DEFINED | 01 | 0 |
| POLO RALPH LAUREN CORP         | COM | 731572103 | 308    | 3426    | SH | DEFINED | 01 | 0 |
| POLO RALPH LAUREN CORP         | COM | 731572103 | 112892 | 1256298 | SH | DEFINED | 01 | 1 |
| POLO RALPH LAUREN CORP         | COM | 731572103 | 18     | 200     | SH | DEFINED | 01 | 1 |
| POLYCOM INC                    | COM | 73172K104 | 9315   | 341428  | SH | DEFINED | 01 | 0 |
| POLYCOM INC                    | COM | 73172K104 | 20     | 722     | SH | DEFINED | 01 | 1 |
| POLYONE CORPORATION            | COM | 73179P106 | 24733  | 2045725 | SH | DEFINED | 01 | 0 |
| POLYONE CORPORATION            | COM | 73179P106 | 5      | 386     | SH | DEFINED | 01 | 1 |
| POLYPORE INTERNATIONAL INC     | COM | 73179V103 | 2924   | 96930   | SH | DEFINED | 01 | 0 |
| POLYPORE INTERNATIONAL INC     | COM | 73179V103 | 4865   | 161510  | SH | DEFINED | 01 | 1 |
| POLYMET MINING CORP COM NPV IS | COM | 731916102 | 5      | 2500    | SH | DEFINED | 01 | 1 |
| PONIARD PHARMACEUT             | COM | 732449301 | 25     | 43009   | SH | DEFINED | 01 | 1 |
| POOL CORP                      | COM | 73278L105 | 7774   | 387356  | SH | DEFINED | 01 | 0 |
| POOL CORP                      | COM | 73278L105 | 3      | 166     | SH | DEFINED | 01 | 1 |
| POPULAR INC                    | COM | 733174106 | 176    | 60847   | SH | DEFINED | 01 | 0 |
| POPULAR INC                    | COM | 733174106 | 11     | 3700    | SH | DEFINED | 01 | 1 |
| PORSCHE AUTOMOBIL HLDG S       | COM | 73328P106 | 17     | 3500    | SH | DEFINED | 01 | 0 |
| PORTEC RAIL PRODUCTS INC       | COM | 736212101 | 5      | 390     | SH | DEFINED | 01 | 0 |
| PORTEC RAIL PRODUCTS INC       | COM | 736212101 | 4      | 330     | SH | DEFINED | 01 | 1 |
| PORTER BANCORP INC             | COM | 736233107 | 2      | 237     | SH | DEFINED | 01 | 0 |
| PORTFOLIO RECOVERY ASSOCIATE   | COM | 73640Q105 | 17106  | 264581  | SH | DEFINED | 01 | 0 |
| PORTFOLIO RECOVERY ASSOCIATE   | COM | 73640Q105 | 16     | 250     | SH | DEFINED | 01 | 1 |
| PORTLAND GENERAL ELECTRIC CO   | COM | 736508847 | 2540   | 125302  | SH | DEFINED | 01 | 0 |
| PORTLAND GENERAL ELECTRIC CO   | COM | 736508847 | 0      | 6       | SH | DEFINED | 01 | 1 |
| PORTUGAL TELECOM SGPS-SP ADR   | COM | 737273102 | 43     | 3220    | SH | DEFINED | 01 | 0 |

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| POST PROPERTIES INC            | COM | 737464107 | 7674  | 274872  | SH | DEFINED | 01 | 0 |
| POST PROPERTIES INC            | COM | 737464107 | 7     | 243     | SH | DEFINED | 01 | 1 |
| POTASH CORP OF SASKATCHEWAN    | COM | 73755L107 | 44724 | 310508  | SH | DEFINED | 01 | 0 |
| POTASH CORP OF SASKATCHEWAN    | COM | 73755L107 | 812   | 5639    | SH | DEFINED | 01 | 1 |
| POTLATCH CORP                  | COM | 737630103 | 38888 | 1143740 | SH | DEFINED | 01 | 0 |
| POTLATCH CORP                  | COM | 737630103 | 48    | 1400    | SH | DEFINED | 01 | 1 |
| POWELL INDUSTRIES INC          | COM | 739128106 | 8883  | 285445  | SH | DEFINED | 01 | 0 |
| POWELL INDUSTRIES INC          | COM | 739128106 | 9     | 300     | SH | DEFINED | 01 | 1 |
| POWER INTEGRATIONS INC         | COM | 739276103 | 28656 | 901443  | SH | DEFINED | 01 | 0 |
| POWER INTEGRATIONS INC         | COM | 739276103 | 9     | 272     | SH | DEFINED | 01 | 1 |
| POWER-ONE INC                  | COM | 73930R102 | 1901  | 208989  | SH | DEFINED | 01 | 0 |
| POWER-ONE INC                  | COM | 73930R102 | 17    | 1922    | SH | DEFINED | 01 | 0 |
| POWER-ONE INC                  | COM | 73930R102 | 274   | 30180   | SH | DEFINED | 01 | 1 |
| POWERSHARES QQQ NASDAQ 100     | COM | 73935A104 | 7031  | 143295  | SH | DEFINED | 01 | 1 |
| POWERSHARES INDIA EXCHANGE T   | COM | 73935L100 | 363   | 14388   | SH | DEFINED | 01 | 1 |
| POWERSHARES DB COMMODITY       | COM | 73935S105 | 914   | 37907   | SH | DEFINED | 01 | 1 |
| POWERSHARES DYNAMIC MRKT PORTF | COM | 73935X104 | 141   | 3583    | SH | DEFINED | 01 | 1 |
| POWERSHARES NASDAQ INTERNET P  | COM | 73935X146 | 116   | 3606    | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGE T         | COM | 73935X153 | 195   | 9301    | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X161 | 57    | 2356    | SH | DEFINED | 01 | 1 |
| POWERSHARES MORNINGSTA         | COM | 73935X179 | 13    | 665     | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X195 | 10    | 1043    | SH | DEFINED | 01 | 1 |
| POWERSHARES DYNAMIC OTC POTFOL | COM | 73935X203 | 216   | 4901    | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X229 | 1807  | 99319   | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X278 | 20    | 840     | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X286 | 22    | 1004    | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X302 | 476   | 57006   | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X336 | 15    | 1296    | SH | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD  | COM | 73935X351 | 15    | 600     | SH | DEFINED | 01 | 1 |

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

|             |                    |    |     |           |      |        |    |         |    |   |
|-------------|--------------------|----|-----|-----------|------|--------|----|---------|----|---|
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X369 | 271  | 10891  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X401 | 152  | 5784   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X435 | 199  | 10315  | SH | DEFINED | 01 | 1 |
| POWERSHARES | WILDERH CLEAN EN   |    | COM | 73935X500 | 1    | 150    | SH | DEFINED | 01 | 0 |
| POWERSHARES | WILDERH CLEAN EN   |    | COM | 73935X500 | 450  | 45519  | SH | DEFINED | 01 | 1 |
| POWERSHARES | FTSE RAFI US 15    |    | COM | 73935X567 | 846  | 15257  | SH | DEFINED | 01 | 1 |
| POWERSHARES | WATER PORT         |    | COM | 73935X575 | 2693 | 162737 | SH | DEFINED | 01 | 1 |
| POWERSHARES | FTSE RAFI          |    | COM | 73935X583 | 989  | 19651  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X591 | 26   | 1692   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X609 | 23   | 1600   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X625 | 864  | 49428  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X633 | 132  | 14437  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X641 | 3    | 192    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X658 | 142  | 7665   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X666 | 9    | 750    | SH | DEFINED | 01 | 1 |
| POWERSHARES | S&P 500 HIGH QUALI |    | COM | 73935X682 | 143  | 11587  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X690 | 20   | 1150   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X708 | 84   | 4847   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X716 | 114  | 7796   | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X732 | 10   | 740    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X740 | 225  | 22556  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGED-         |    | COM | 73935X765 | 5    | 305    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X773 | 670  | 29901  | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X799 | 11   | 527    | SH | DEFINED | 01 | 1 |
| POWERSHARES | EXCHANGETRADED     | FD | COM | 73935X807 | 109  | 5858   | SH | DEFINED | 01 | 1 |

|                            |                   |     |     |           |     |       |    |         |    |   |
|----------------------------|-------------------|-----|-----|-----------|-----|-------|----|---------|----|---|
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X823 | 1   | 100   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X849 | 11  | 654   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X856 | 41  | 2116  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X864 | 147 | 10996 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X872 | 190 | 13940 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73935X880 | 368 | 24956 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB G10 CURRENCY H |     | COM | 73935Y102 | 383 | 16499 | SH | DEFINED | 01 | 1 |
| POWERWAVE TECHNOLOGIES INC |                   |     | COM | 739363109 | 20  | 10788 | SH | DEFINED | 01 | 0 |
| POWERWAVE TECHNOLOGIES INC |                   |     | COM | 739363109 | 13  | 7400  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B101 | 83  | 3450  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B200 | 104 | 2307  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B309 | 113 | 2933  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B408 | 822 | 29896 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B507 | 140 | 5535  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B606 | 333 | 7186  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB MULTISECTOR    | COM | COM | 73936B705 | 65  | 2978  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB U S DLR INDEX  |     | COM | 73936D107 | 128 | 5598  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | DB U S DLR INDEX  |     | COM | 73936D206 | 22  | 800   | SH | DEFINED | 01 | 1 |
| POWERSECURE INTERNATIONAL  |                   |     | COM | 73936N105 | 11  | 1190  | SH | DEFINED | 01 | 0 |
| POWERSECURE INTERNATIONAL  |                   |     | COM | 73936N105 | 198 | 21330 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73936Q108 | 6   | 300   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73936Q207 | 34  | 1970  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | RIVERFRONT        |     | COM | 73936Q504 | 48  | 3915  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | MENA FRONTIER C   |     | COM | 73936Q603 | 8   | 578   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | GLOBAL AGRICULTUR |     | COM | 73936Q702 | 11  | 400   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73936Q835 | 44  | 1563  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | EXCHANGETRADED    | FD  | COM | 73936Q843 | 343 | 13109 | SH | DEFINED | 01 | 1 |
| POWERSHARES                | GLOBAL STEEL PORT |     | COM | 73936Q868 | 7   | 342   | SH | DEFINED | 01 | 1 |
| POWERSHARES                | GLOBAL COAL PORTF |     | COM | 73936Q884 | 30  | 1000  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | GLOBAL EXCHANGE T |     | COM | 73936T433 | 48  | 1927  | SH | DEFINED | 01 | 1 |
| POWERSHARES                | GLOBAL EXCHANGE T |     | COM | 73936T441 | 114 | 4636  | SH | DEFINED | 01 | 1 |

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

|                               |          |           |        |         |     |         |    |   |
|-------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T458 | 78     | 3248    | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T474 | 1716   | 69790   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T524 | 194    | 6499    | SH  | DEFINED | 01 | 1 |
| POWERSHARES FUNDAMENTA        | COM      | 73936T557 | 128    | 7000    | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T565 | 2635   | 182228  | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T573 | 2198   | 78842   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T615 | 165    | 11957   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T623 | 251    | 14001   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T763 | 288    | 12022   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL EXCHANGE T | COM      | 73936T789 | 809    | 21492   | SH  | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD | COM      | 73937B100 | 49     | 2554    | SH  | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD | COM      | 73937B209 | 625    | 12945   | SH  | DEFINED | 01 | 1 |
| POWERSHARES GLOBAL WIND ENERG | COM      | 73937B308 | 13     | 1317    | SH  | DEFINED | 01 | 1 |
| POWERSHARES EXCHANGETRADED FD | COM      | 73937B407 | 34     | 1259    | SH  | DEFINED | 01 | 1 |
| POZEN INC                     | COM      | 73941U102 | 12     | 1750    | SH  | DEFINED | 01 | 0 |
| PRANA BIOTECHNOLOGY LTD       | COM      | 739727105 | 0      | 10      | SH  | DEFINED | 01 | 0 |
| PRAXAIR INC                   | COM      | 74005P104 | 306965 | 3400848 | SH  | DEFINED | 01 | 0 |
| PRAXAIR INC                   | COM      | 74005P104 | 1450   | 16070   | SH  | DEFINED | 01 | 0 |
| PRAXAIR INC                   | COM      | 74005P104 | 767    | 8511    | SH  | DEFINED | 01 | 1 |
| PRAXAIR INC                   | COM      | 74005P104 | 521    | 5771    | SH  | DEFINED | 01 | 1 |
| PREPAID LEGAL SERVICES INC    | COM      | 740065107 | 5605   | 89696   | SH  | DEFINED | 01 | 0 |
| PREPAID LEGAL SERVICES INC    | COM      | 740065107 | 19     | 300     | SH  | DEFINED | 01 | 1 |
| PRECISION CASTPARTS CORP      | COM      | 740189105 | 164206 | 1289405 | SH  | DEFINED | 01 | 0 |
| PRECISION CASTPARTS CORP      | COM      | 740189105 | 951    | 7465    | SH  | DEFINED | 01 | 0 |
| PRECISION CASTPARTS CORP      | COM      | 740189105 | 7952   | 71100   | SH  | DEFINED | 01 | 1 |
| PRECISION CASTPARTS CORP      | COM      | 740189105 | 1122   | 8813    | SH  | DEFINED | 01 | 1 |
| PRECISION DRILLING CORP       | COM      | 74022D308 | 0      | 1       | SH  | DEFINED | 01 | 0 |
| PRECISION DRILLING CORP       | COM      | 74022D308 | 235    | 34238   | SH  | DEFINED | 01 | 1 |
| PREFORMED LINE PRODUCTS CO    | COM      | 740444104 | 19     | 560     | SH  | DEFINED | 01 | 0 |
| PREMIER FOODS PLC             | COM      | 74051J101 | 1      | 390     | SH  | DEFINED | 01 | 0 |
| PREMIER OIL PLC-SPONS ADR     | COM      | 740536107 | 2      | 70      | SH  | DEFINED | 01 | 0 |
| PREMIERE GLOBAL SERVICES INC  | COM      | 740585104 | 33     | 4660    | SH  | DEFINED | 01 | 0 |
| PRESIDENTIAL LIFE             | COM      | 740884101 | 991    | 101160  | SH  | DEFINED | 01 | 0 |
| PREMIERWEST BANCORP           | COM      | 740921101 | 3      | 7800    | SH  | DEFINED | 01 | 1 |
| PRESSTEK INC                  | COM      | 741113104 | 2300   | 1050037 | SH  | DEFINED | 01 | 0 |
| PRESTIGE BRANDS HOLDINGS INC  | COM      | 74112D101 | 7059   | 713866  | SH  | DEFINED | 01 | 0 |
| PRETORIA PORTLAND CEM CO      | COM      | 741372205 | 5      | 550     | SH  | DEFINED | 01 | 0 |
| T ROWE PRICE GROUP INC        | COM      | 74144T108 | 302834 | 6048811 | SH  | DEFINED | 01 | 0 |
| T ROWE PRICE GROUP INC        | COM      | 74144T108 | 762    | 15224   | SH  | DEFINED | 01 | 0 |
| T ROWE PRICE GROUP INC        | COM      | 74144T108 | 316    | 6310    | SH  | DEFINED | 01 | 1 |
| PRICELINE.COM INC             | COM      | 741503403 | 332257 | 953825  | SH  | DEFINED | 01 | 0 |
| PRICELINE.COM INC             | COM      | 741503403 | 1041   | 2990    | SH  | DEFINED | 01 | 0 |
| PRICELINE.COM INC             | COM      | 741503403 | 159    | 456     | SH  | DEFINED | 01 | 1 |
| PRICELINE.COM INC             | CONV BND | 741503AM8 | 4172   | 3140000 | PRN | DEFINED | 01 | 0 |
| PRICESMART INC                | COM      | 741511109 | 6984   | 239750  | SH  | DEFINED | 01 | 0 |
| PRICESMART INC                | COM      | 741511109 | 6      | 218     | SH  | DEFINED | 01 | 1 |
| PRIDE INTERNATIONAL INC       | COM      | 74153Q102 | 55579  | 1888561 | SH  | DEFINED | 01 | 0 |
| PRIDE INTERNATIONAL INC       | COM      | 74153Q102 | 92     | 3117    | SH  | DEFINED | 01 | 1 |
| PRIMEDIA INC                  | COM      | 74157K846 | 5      | 1407    | SH  | DEFINED | 01 | 0 |
| PRIMEENERGY CORP              | COM      | 74158E104 | 1      | 80      | SH  | DEFINED | 01 | 0 |
| PRIMORIS SERVICES CORP        | COM      | 74164F103 | 9      | 1325    | SH  | DEFINED | 01 | 0 |
| PRIMERICA INC                 | COM      | 74164M108 | 7064   | 347349  | SH  | DEFINED | 01 | 0 |
| PRIMERICA INC                 | COM      | 74164M108 | 96     | 4703    | SH  | DEFINED | 01 | 1 |
| PRINCETON NATL BANCORP        | COM      | 742282106 | 5      | 1000    | SH  | DEFINED | 01 | 1 |
| PRINCETON REVIEW INC          | COM      | 742352107 | 12     | 6045    | SH  | DEFINED | 01 | 0 |
| PRINCIPAL FINANCIAL GROUP     | COM      | 74251V102 | 54032  | 2084493 | SH  | DEFINED | 01 | 0 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| PRINCIPAL FINANCIAL GROUP     | COM | 74251V102 | 641    | 24733   | SH | DEFINED | 01 | 0 |
| PRINCIPAL FINANCIAL GROUP     | COM | 74251V102 | 71     | 2746    | SH | DEFINED | 01 | 1 |
| PROASSURANCE CORP             | COM | 74267C106 | 12885  | 223754  | SH | DEFINED | 01 | 0 |
| PROASSURANCE CORP             | COM | 74267C106 | 4      | 75      | SH | DEFINED | 01 | 1 |
| PROCERA NETWORKS INC          | COM | 74269U104 | 64     | 12000   | SH | DEFINED | 01 | 1 |
| PROCTER & GAMBLE CO/THE       | COM | 742718109 | 335112 | 5587998 | SH | DEFINED | 01 | 0 |
| PROCTER & GAMBLE CO/THE       | COM | 742718109 | 8944   | 149145  | SH | DEFINED | 01 | 0 |
| PROCTER & GAMBLE CO/THE       | COM | 742718109 | 41965  | 700000  | SH | DEFINED | 01 | 1 |
| PROCTER & GAMBLE CO/THE       | COM | 742718109 | 16736  | 279067  | SH | DEFINED | 01 | 1 |
| PRIVATEBANCORP INC            | COM | 742962103 | 8184   | 718559  | SH | DEFINED | 01 | 0 |
| PRIVATEBANCORP INC            | COM | 742962103 | 55     | 4851    | SH | DEFINED | 01 | 1 |
| PROGENICS PHARMACEUTICALS     | COM | 743187106 | 12     | 2350    | SH | DEFINED | 01 | 0 |
| PROGRESS ENERGY INC           | COM | 743263105 | 25219  | 567722  | SH | DEFINED | 01 | 0 |
| PROGRESS ENERGY INC           | COM | 743263105 | 683    | 15369   | SH | DEFINED | 01 | 0 |
| PROGRESS ENERGY INC           | COM | 743263105 | 311    | 7004    | SH | DEFINED | 01 | 1 |
| PROGRESS ENERGY-CVO           | COM | 743263AA3 | 1      | 5830    | SH | DEFINED | 01 | 0 |
| PROGRESS SOFTWARE CORP        | COM | 743312100 | 47163  | 1424875 | SH | DEFINED | 01 | 0 |
| PROGRESS SOFTWARE CORP        | COM | 743312100 | 0      | 2       | SH | DEFINED | 01 | 1 |
| PROGRESSIVE CORP              | COM | 743315103 | 62951  | 3016351 | SH | DEFINED | 01 | 0 |
| PROGRESSIVE CORP              | COM | 743315103 | 732    | 35067   | SH | DEFINED | 01 | 0 |
| PROGRESSIVE CORP              | COM | 743315103 | 1486   | 71208   | SH | DEFINED | 01 | 1 |
| PROLOGIS                      | COM | 743410102 | 92130  | 7820969 | SH | DEFINED | 01 | 0 |
| PROLOGIS                      | COM | 743410102 | 295    | 25048   | SH | DEFINED | 01 | 0 |
| PROLOGIS                      | COM | 743410102 | 249    | 21144   | SH | DEFINED | 01 | 1 |
| PROLOGIS                      | COM | 743410102 | 66     | 5579    | SH | DEFINED | 01 | 1 |
| PROMISE CO LTD                | COM | 74344G104 | 17     | 4490    | SH | DEFINED | 01 | 0 |
| PROS HOLDINGS INC             | COM | 74346Y103 | 2036   | 219302  | SH | DEFINED | 01 | 0 |
| PROSHARES ULTRA S&P 500 PR    | COM | 74347R107 | 337    | 8567    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA QQQ PROSHA    | COM | 74347R206 | 229    | 3455    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRASHORT          | COM | 74347R297 | 148    | 4738    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA DOW 30 PRO    | COM | 74347R305 | 555    | 11813   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRASHORT          | COM | 74347R313 | 1      | 38      | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT S&P 500 PR    | COM | 74347R503 | 6790   | 138854  | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT QQQ PROSHA    | COM | 74347R602 | 2536   | 65270   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRASHORT FINAN    | COM | 74347R628 | 536    | 27000   | SH | DEFINED | 01 | 0 |
| PROSHARES ULTRASHORT FINAN    | COM | 74347R628 | 101    | 5100    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA SEMICONDUCT   | COM | 74347R669 | 9      | 311     | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA UTILITIES     | COM | 74347R685 | 5460   | 134035  | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA TECH PROSH    | COM | 74347R693 | 21     | 400     | SH | DEFINED | 01 | 1 |
| PROSHARES TRUST SHORT DOW     | COM | 74347R701 | 670    | 13914   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA GAS PROSHA    | COM | 74347R719 | 59     | 1867    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA HEALTH CAR    | COM | 74347R735 | 5578   | 114372  | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA CONS          | COM | 74347R750 | 5445   | 136320  | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA CONSUMER G    | COM | 74347R768 | 5515   | 95230   | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA BASIC MATE    | COM | 74347R776 | 2      | 55      | SH | DEFINED | 01 | 1 |
| PROSHARES SHORT RUSS          | COM | 74347R826 | 178    | 4680    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRASHORT          | COM | 74347R834 | 20     | 1120    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA RUSS          | COM | 74347R842 | 32     | 1000    | SH | DEFINED | 01 | 1 |
| PROSHARES ULTRA SHORT 30 F    | COM | 74347R867 | 66     | 2690    | SH | DEFINED | 01 | 1 |
| PROSHARES TR PROSHARES        | COM | 74347R883 | 387    | 13093   | SH | DEFINED | 01 | 1 |
| PROSHARES TR II PROSHARES     | COM | 74347W502 | 155    | 15314   | SH | DEFINED | 01 | 1 |
| PROSHARES TR II PROSHARES     | COM | 74347W718 | 9      | 280     | SH | DEFINED | 01 | 1 |
| PROSHARES TR II PROSHARES     | COM | 74347W726 | 43     | 1900    | SH | DEFINED | 01 | 1 |
| PROSHARES TR II PROSHARES     | COM | 74347W858 | 1      | 50      | SH | DEFINED | 01 | 1 |
| PROSHARES TR ULTRASHORT       | COM | 74347X583 | 40     | 1849    | SH | DEFINED | 01 | 1 |
| PROSHARES TR ULTRA REAL ESTAT | COM | 74347X625 | 9      | 200     | SH | DEFINED | 01 | 1 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| PROSHARES TRUST ULTRA FINA    | COM | 74347X633 | 115    | 2113    | SH | DEFINED | 01 | 1 |
| PROSHARES TR SHORT 20+ YR TRE | COM | 74347X849 | 2105   | 52292   | SH | DEFINED | 01 | 1 |
| PROSPECT CAPITAL CORP         | COM | 74348T102 | 78     | 8090    | SH | DEFINED | 01 | 0 |
| PROSPECT CAPITAL CORP         | COM | 74348T102 | 181    | 18599   | SH | DEFINED | 01 | 1 |
| PROSPECT MEDICAL HLDGS        | COM | 743494106 | 5      | 625     | SH | DEFINED | 01 | 0 |
| PROSPERITY BANCSHARES INC     | COM | 743606105 | 18381  | 566082  | SH | DEFINED | 01 | 0 |
| PROSPERITY BANCSHARES INC     | COM | 743606105 | 1      | 28      | SH | DEFINED | 01 | 1 |
| PROTALIX BIOTHERAPEUTICS INC  | COM | 74365A101 | 0      | 25      | SH | DEFINED | 01 | 0 |
| PROTECTIVE LIFE CORP          | COM | 743674103 | 22260  | 1022952 | SH | DEFINED | 01 | 0 |
| PROTECTIVE LIFE CORP          | COM | 743674103 | 891    | 40961   | SH | DEFINED | 01 | 1 |
| PROVIDENCE SERVICE CORP       | COM | 743815102 | 13064  | 797062  | SH | DEFINED | 01 | 0 |
| PROVIDENT ENERGY TRUST TRUS   | COM | 74386K104 | 1109   | 157118  | SH | DEFINED | 01 | 1 |
| PROVIDENT FINANCIAL SERVICES  | COM | 74386T105 | 1847   | 149480  | SH | DEFINED | 01 | 0 |
| PROVIDENT NEW YORK BANCORP    | COM | 744028101 | 55     | 6612    | SH | DEFINED | 01 | 0 |
| PRUDENTIAL FINANCIAL INC      | COM | 744320102 | 185525 | 3424100 | SH | DEFINED | 01 | 0 |
| PRUDENTIAL FINANCIAL INC      | COM | 744320102 | 1330   | 24548   | SH | DEFINED | 01 | 0 |
| PRUDENTIAL FINANCIAL INC      | COM | 744320102 | 25047  | 462761  | SH | DEFINED | 01 | 1 |
| PRUDENTIAL FINANCIAL INC      | COM | 744320102 | 301    | 5564    | SH | DEFINED | 01 | 1 |
| PRUDENTIAL PLC                | COM | 74435K204 | 92     | 4631    | SH | DEFINED | 01 | 0 |
| PRUDENTIAL PLC                | COM | 74435K204 | 18     | 887     | SH | DEFINED | 01 | 1 |
| PSYCHEMEDICS CORP COM NEW     | COM | 744375205 | 5      | 500     | SH | DEFINED | 01 | 1 |
| PT INDOSAT-ADR                | COM | 744383100 | 11     | 370     | SH | DEFINED | 01 | 0 |
| PT INDOSAT-ADR                | COM | 744383100 | 3      | 108     | SH | DEFINED | 01 | 1 |
| PSYCHIATRIC SOLUTIONS INC     | COM | 74439H108 | 4863   | 144959  | SH | DEFINED | 01 | 0 |
| PSYCHIATRIC SOLUTIONS INC     | COM | 74439H108 | 223    | 6645    | SH | DEFINED | 01 | 1 |
| PUBLIC SERVICE ENTERPRISE GP  | COM | 744573106 | 216259 | 6537463 | SH | DEFINED | 01 | 0 |
| PUBLIC SERVICE ENTERPRISE GP  | COM | 744573106 | 879    | 26585   | SH | DEFINED | 01 | 0 |
| PUBLIC SERVICE ENTERPRISE GP  | COM | 744573106 | 1004   | 30346   | SH | DEFINED | 01 | 1 |
| PUBLIC STORAGE                | COM | 74460D109 | 39954  | 411716  | SH | DEFINED | 01 | 0 |
| PUBLIC STORAGE                | COM | 74460D109 | 712    | 7341    | SH | DEFINED | 01 | 0 |
| PUBLIC STORAGE                | COM | 74460D109 | 405    | 4178    | SH | DEFINED | 01 | 1 |
| PUBLIC STORAGE                | COM | 74460D109 | 500    | 5156    | SH | DEFINED | 01 | 1 |
| PUBLICIS GROUPE-ADR           | COM | 74463M106 | 18     | 740     | SH | DEFINED | 01 | 0 |
| PUDA COAL INC COM PAR \$.001  | COM | 744674300 | 0      | 58      | SH | DEFINED | 01 | 1 |
| PULTE HOMES INC               | COM | 745867101 | 30402  | 3470541 | SH | DEFINED | 01 | 0 |
| PULTE HOMES INC               | COM | 745867101 | 246    | 28080   | SH | DEFINED | 01 | 0 |
| PULTE HOMES INC               | COM | 745867101 | 0      | 22      | SH | DEFINED | 01 | 1 |
| PURE BIOSCIENCE               | COM | 746218106 | 7      | 2945    | SH | DEFINED | 01 | 0 |
| PURE BIOSCIENCE               | COM | 746218106 | 30     | 13000   | SH | DEFINED | 01 | 1 |
| PUTNAM HIGH INCOME BOND FD    | COM | 746779107 | 192    | 22170   | SH | DEFINED | 01 | 1 |
| PUTNAM MANAGED MUN INCOME TR  | COM | 746823103 | 28     | 3624    | SH | DEFINED | 01 | 1 |
| PUTNAM PREMIER INC TR SH BEN  | COM | 746853100 | 111    | 16299   | SH | DEFINED | 01 | 1 |
| PUTNAM MASTER INTER INCOME TR | COM | 746909100 | 25     | 4000    | SH | DEFINED | 01 | 1 |
| PUTNAM MUNI OPPOR TR          | COM | 746922103 | 59     | 4848    | SH | DEFINED | 01 | 1 |
| QLT INC COM NPV ISIN #CA74    | COM | 746927102 | 1      | 160     | SH | DEFINED | 01 | 1 |
| QLOGIC CORP                   | COM | 747277101 | 1336   | 75669   | SH | DEFINED | 01 | 0 |
| QLOGIC CORP                   | COM | 747277101 | 101    | 5740    | SH | DEFINED | 01 | 0 |
| QLOGIC CORP                   | COM | 747277101 | 8      | 448     | SH | DEFINED | 01 | 1 |
| QCR HLDGS INC                 | COM | 74727A104 | 45     | 5000    | SH | DEFINED | 01 | 1 |
| QAD INC                       | COM | 74727D108 | 5      | 1290    | SH | DEFINED | 01 | 0 |
| QC HOLDINGS INC               | COM | 74729T101 | 1240   | 318683  | SH | DEFINED | 01 | 0 |
| QUAKER CHEMICAL CORP          | COM | 747316107 | 1917   | 58880   | SH | DEFINED | 01 | 0 |
| QUAKER CHEMICAL CORP          | COM | 747316107 | 36     | 1100    | SH | DEFINED | 01 | 1 |
| PZENA INVESTMENT MANAGM-CL A  | COM | 74731Q103 | 4      | 690     | SH | DEFINED | 01 | 0 |
| QKL STORES INC COM            | COM | 74732Y105 | 555    | 115234  | SH | DEFINED | 01 | 1 |
| QLIK TECHNOLOGIES INC         | COM | 74733T105 | 430    | 19875   | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| QEP RESOURCES INC              | COM | 74733V100 | 33718  | 1118759  | SH | DEFINED | 01 | 0 |
| QEP RESOURCES INC              | COM | 74733V100 | 277    | 9200     | SH | DEFINED | 01 | 0 |
| QEP RESOURCES INC              | COM | 74733V100 | 203    | 6744     | SH | DEFINED | 01 | 1 |
| QUALCOMM INC                   | COM | 747525103 | 614280 | 13613965 | SH | DEFINED | 01 | 0 |
| QUALCOMM INC                   | COM | 747525103 | 3640   | 80683    | SH | DEFINED | 01 | 0 |
| QUALCOMM INC                   | COM | 747525103 | 3806   | 84347    | SH | DEFINED | 01 | 0 |
| QUALCOMM INC                   | COM | 747525103 | 25747  | 599598   | SH | DEFINED | 01 | 1 |
| QUALCOMM INC                   | COM | 747525103 | 3539   | 78410    | SH | DEFINED | 01 | 1 |
| QUALITY DISTRIBUTION INC       | COM | 74756M102 | 268    | 42059    | SH | DEFINED | 01 | 0 |
| QUALITY DISTRIBUTION INC       | COM | 74756M102 | 8      | 1266     | SH | DEFINED | 01 | 0 |
| QUALITY SYSTEMS INC            | COM | 747582104 | 18104  | 273000   | SH | DEFINED | 01 | 0 |
| QUALITY SYSTEMS INC            | COM | 747582104 | 53     | 806      | SH | DEFINED | 01 | 1 |
| QUANEX BUILDING PRODUCTS       | COM | 747619104 | 22456  | 1300323  | SH | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM | 74762E102 | 25375  | 1329965  | SH | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM | 74762E102 | 374    | 19582    | SH | DEFINED | 01 | 0 |
| QUANTA SERVICES INC            | COM | 74762E102 | 31     | 1631     | SH | DEFINED | 01 | 1 |
| QUANTUM FUEL SYS TECHNOLOGI    | COM | 74765E109 | 8      | 15080    | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| QUANTUM CORP                   | COM | 747906204 | 3298   | 1555628  | SH | DEFINED | 01 | 0 |
| QUANTUM CORP                   | COM | 747906204 | 4      | 1850     | SH | DEFINED | 01 | 1 |
| QUATERRA RESOURCES INC COM NP  | COM | 747952109 | 45     | 28185    | SH | DEFINED | 01 | 1 |
| QUEST DIAGNOSTICS              | COM | 74834L100 | 3997   | 79204    | SH | DEFINED | 01 | 0 |
| QUEST DIAGNOSTICS              | COM | 74834L100 | 390    | 7733     | SH | DEFINED | 01 | 0 |
| QUEST DIAGNOSTICS              | COM | 74834L100 | 108    | 2142     | SH | DEFINED | 01 | 1 |
| QUEST SOFTWARE INC             | COM | 74834T103 | 44457  | 1807835  | SH | DEFINED | 01 | 0 |
| QUEST SOFTWARE INC             | COM | 74834T103 | 2300   | 93533    | SH | DEFINED | 01 | 1 |
| QUEST SOFTWARE INC             | COM | 74834T103 | 9      | 350      | SH | DEFINED | 01 | 1 |
| QUESTAR CORP                   | COM | 748356102 | 39994  | 2281414  | SH | DEFINED | 01 | 0 |
| QUESTAR CORP                   | COM | 748356102 | 119    | 6808     | SH | DEFINED | 01 | 1 |
| QUESTCOR PHARMACEUTICALS       | COM | 74835Y101 | 375    | 37783    | SH | DEFINED | 01 | 0 |
| QUICKSILVER RESOURCES INC      | COM | 74837R104 | 5916   | 469494   | SH | DEFINED | 01 | 0 |
| QUICKSILVER RESOURCES INC      | COM | 74837R104 | 4      | 300      | SH | DEFINED | 01 | 1 |
| QUIKSILVER INC                 | COM | 74838C106 | 3417   | 874008   | SH | DEFINED | 01 | 0 |
| QUIKSILVER INC                 | COM | 74838C106 | 13     | 3440     | SH | DEFINED | 01 | 0 |
| QUIKSILVER INC                 | COM | 74838C106 | 3      | 775      | SH | DEFINED | 01 | 1 |
| QUIDEL CORP                    | COM | 74838J101 | 1257   | 114311   | SH | DEFINED | 01 | 0 |
| QUIDEL CORP                    | COM | 74838J101 | 38     | 3429     | SH | DEFINED | 01 | 0 |
| QUICKSILVER GAS SVCSLP COM UNI | COM | 74839G106 | 112    | 4595     | SH | DEFINED | 01 | 1 |
| QUINSTREET INC                 | COM | 74874Q100 | 10     | 650      | SH | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM | 749121109 | 171524 | 27356412 | SH | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM | 749121109 | 305    | 48681    | SH | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM | 749121109 | 573    | 91393    | SH | DEFINED | 01 | 0 |
| QWEST COMMUNICATIONS INTL      | COM | 749121109 | 3789   | 604346   | SH | DEFINED | 01 | 1 |
| QWEST COMMUNICATIONS INTL      | COM | 749121109 | 314    | 50128    | SH | DEFINED | 01 | 1 |
| RAM CAPITAL LLC                | LP  | 749200994 | 0      | 3654271  | SH | DEFINED | 01 | 0 |
| RAIT FINANCIAL TRUST           | COM | 749227104 | 23     | 14361    | SH | DEFINED | 01 | 0 |
| RAIT FINANCIAL TRUST           | COM | 749227104 | 9      | 5384     | SH | DEFINED | 01 | 1 |
| RCM TECHNOLOGIES INC           | COM | 749360400 | 1300   | 258000   | SH | DEFINED | 01 | 0 |
| RC2 CORP                       | COM | 749388104 | 18503  | 883198   | SH | DEFINED | 01 | 0 |
| RC2 CORP                       | COM | 749388104 | 2      | 100      | SH | DEFINED | 01 | 1 |
| RLI CORP                       | COM | 749607107 | 6079   | 107378   | SH | DEFINED | 01 | 0 |
| RPC INC                        | COM | 749660106 | 2825   | 133500   | SH | DEFINED | 01 | 0 |
| RPC INC                        | COM | 749660106 | 83     | 3946     | SH | DEFINED | 01 | 1 |
| RPM INTERNATIONAL INC          | COM | 749685103 | 24829  | 1246429  | SH | DEFINED | 01 | 0 |
| RPM INTERNATIONAL INC          | COM | 749685103 | 77     | 3847     | SH | DEFINED | 01 | 1 |
| RELIANT ENERGY INC             | COM | 74971X107 | 8953   | 2522108  | SH | DEFINED | 01 | 0 |
| RELIANT ENERGY INC             | COM | 74971X107 | 29     | 8164     | SH | DEFINED | 01 | 1 |



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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| RSC HOLDINGS INC             | COM | 74972L102 | 6854   | 918793  | SH | DEFINED | 01 | 0 |
| RSC HOLDINGS INC             | COM | 74972L102 | 83     | 11085   | SH | DEFINED | 01 | 0 |
| RSC HOLDINGS INC             | COM | 74972L102 | 3      | 342     | SH | DEFINED | 01 | 1 |
| RTI INTERNATIONAL METALS INC | COM | 74973W107 | 30447  | 994355  | SH | DEFINED | 01 | 0 |
| RTI INTERNATIONAL METALS INC | COM | 74973W107 | 10     | 327     | SH | DEFINED | 01 | 0 |
| RTI INTERNATIONAL METALS INC | COM | 74973W107 | 68     | 2232    | SH | DEFINED | 01 | 1 |
| RWE AG SP ADR ORD DM50       | COM | 74975E303 | 75     | 1098    | SH | DEFINED | 01 | 0 |
| RTI BIOLOGICS INC            | COM | 74975N105 | 24     | 9185    | SH | DEFINED | 01 | 0 |
| RF MICRO DEVICES INC         | COM | 749941100 | 4681   | 762439  | SH | DEFINED | 01 | 0 |
| RF MICRO DEVICES INC         | COM | 749941100 | 57     | 9227    | SH | DEFINED | 01 | 1 |
| RACKSPACE HOSTING INC        | COM | 750086100 | 6235   | 239950  | SH | DEFINED | 01 | 0 |
| RACKSPACE HOSTING INC        | COM | 750086100 | 12     | 455     | SH | DEFINED | 01 | 1 |
| RADIAN GROUP INC             | COM | 750236101 | 13596  | 1738942 | SH | DEFINED | 01 | 0 |
| RADIAN GROUP INC             | COM | 750236101 | 53     | 6717    | SH | DEFINED | 01 | 0 |
| RADIANT SYSTEMS INC          | COM | 75025N102 | 4026   | 235444  | SH | DEFINED | 01 | 0 |
|                              |     |           |        |         |    |         |    |   |
| RADIANT PHARMACEUT           | COM | 750341109 | 0      | 1       | SH | DEFINED | 01 | 1 |
| RADIO ONE INC -CL D          | COM | 75040P405 | 24     | 26730   | SH | DEFINED | 01 | 0 |
| RADIO ONE INC -CL D          | COM | 75040P405 | 13     | 15000   | SH | DEFINED | 01 | 1 |
| RADIO SHACK CORP             | COM | 750438103 | 24566  | 1151717 | SH | DEFINED | 01 | 0 |
| RADIO SHACK CORP             | COM | 750438103 | 140    | 6583    | SH | DEFINED | 01 | 0 |
| RADIO SHACK CORP             | COM | 750438103 | 21     | 1007    | SH | DEFINED | 01 | 1 |
| RADISYS CORP                 | COM | 750459109 | 1079   | 114623  | SH | DEFINED | 01 | 0 |
| RAE SYS INC                  | COM | 75061P102 | 0      | 202     | SH | DEFINED | 01 | 1 |
| RAILAMERICA INC              | COM | 750753402 | 4638   | 481618  | SH | DEFINED | 01 | 0 |
| RAMBUS INC                   | COM | 750917106 | 69     | 3325    | SH | DEFINED | 01 | 0 |
| RAMBUS INC                   | COM | 750917106 | 212    | 10187   | SH | DEFINED | 01 | 1 |
| RALCORP HOLDINGS INC         | COM | 751028101 | 18151  | 310382  | SH | DEFINED | 01 | 0 |
| RALCORP HOLDINGS INC         | COM | 751028101 | 52     | 885     | SH | DEFINED | 01 | 1 |
| RAM ENERGY RESOURCES INC     | COM | 75130P109 | 6      | 3735    | SH | DEFINED | 01 | 0 |
| RAMCO-GERSHENSON PROPERTIES  | COM | 751452202 | 7150   | 667568  | SH | DEFINED | 01 | 0 |
| RANDGOLD RESOURCES LTD-ADR   | COM | 752344309 | 8258   | 81396   | SH | DEFINED | 01 | 0 |
| RANDGOLD RESOURCES LTD-ADR   | COM | 752344309 | 4      | 40      | SH | DEFINED | 01 | 1 |
| RANDSTAD HLDG NV             | COM | 75279Q108 | 3      | 150     | SH | DEFINED | 01 | 0 |
| RANGE RESOURCES CORP         | COM | 75281A109 | 25301  | 663577  | SH | DEFINED | 01 | 0 |
| RANGE RESOURCES CORP         | COM | 75281A109 | 366    | 9609    | SH | DEFINED | 01 | 0 |
| RANGE RESOURCES CORP         | COM | 75281A109 | 14     | 371     | SH | DEFINED | 01 | 1 |
| RARE ELEMENT RESOURCES       | COM | 75381M102 | 27     | 3100    | SH | DEFINED | 01 | 1 |
| RASER TECHNOLOGIES INC       | COM | 754055101 | 2      | 7473    | SH | DEFINED | 01 | 1 |
| RAVEN INDUSTRIES INC         | COM | 754212108 | 661    | 17430   | SH | DEFINED | 01 | 0 |
| RAYMOND JAMES FINANCIAL INC  | COM | 754730109 | 49745  | 1963850 | SH | DEFINED | 01 | 0 |
| RAYMOND JAMES FINANCIAL INC  | COM | 754730109 | 43     | 1713    | SH | DEFINED | 01 | 1 |
| RAYONIER INC                 | COM | 754907103 | 119686 | 2387999 | SH | DEFINED | 01 | 0 |
| RAYONIER INC                 | COM | 754907103 | 478    | 9531    | SH | DEFINED | 01 | 1 |
| RAYTHEON COMPANY-CW11        | WT  | 755111119 | 3      | 365     | SH | DEFINED | 01 | 0 |
| RAYTHEON COMPANY             | COM | 755111507 | 166223 | 3636427 | SH | DEFINED | 01 | 0 |
| RAYTHEON COMPANY             | COM | 755111507 | 899    | 19657   | SH | DEFINED | 01 | 0 |
| RAYTHEON COMPANY             | COM | 755111507 | 489    | 10694   | SH | DEFINED | 01 | 1 |
| RBC BEARINGS INC             | COM | 75524B104 | 645    | 18982   | SH | DEFINED | 01 | 0 |
| RBC BEARINGS INC             | COM | 75524B104 | 32     | 954     | SH | DEFINED | 01 | 0 |
| REACHLOCAL INC               | COM | 75525F104 | 4      | 325     | SH | DEFINED | 01 | 0 |
| REACHLOCAL INC               | COM | 75525F104 | 3      | 250     | SH | DEFINED | 01 | 1 |
| REAL GOODS SOLAR INC-CLASS A | COM | 75601N104 | 4168   | 1129501 | SH | DEFINED | 01 | 0 |
| REAL GOODS SOLAR INC-CLASS A | COM | 75601N104 | 92     | 25115   | SH | DEFINED | 01 | 0 |
| REALD INC                    | COM | 75604L105 | 18     | 950     | SH | DEFINED | 01 | 0 |
| REALD INC                    | COM | 75604L105 | 7      | 392     | SH | DEFINED | 01 | 1 |
| REALNETWORKS INC             | COM | 75605L104 | 18     | 5483    | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| REALNETWORKS INC               | COM | 75605L104 | 1      | 400     | SH | DEFINED | 01 | 1 |
| REALPAGE INC                   | COM | 75606N109 | 6216   | 325756  | SH | DEFINED | 01 | 0 |
| REALPAGE INC                   | COM | 75606N109 | 4770   | 250000  | SH | DEFINED | 01 | 1 |
| REALTY INCOME CORP             | COM | 756109104 | 10108  | 299760  | SH | DEFINED | 01 | 0 |
| REALTY INCOME CORP             | COM | 756109104 | 725    | 21503   | SH | DEFINED | 01 | 1 |
| REAVES UTIL INCOME FD COM SH   | COM | 756158101 | 49     | 2313    | SH | DEFINED | 01 | 1 |
| RECKITT BENCKISER GROUP        | COM | 756255105 | 108    | 9860    | SH | DEFINED | 01 | 0 |
| RED ELECTRICA CORPORACIO       | COM | 756568101 | 8      | 870     | SH | DEFINED | 01 | 0 |
| RED HAT INC                    | COM | 756577102 | 62003  | 1512259 | SH | DEFINED | 01 | 0 |
| RED HAT INC                    | COM | 756577102 | 407    | 9939    | SH | DEFINED | 01 | 0 |
| RED HAT INC                    | COM | 756577102 | 19     | 469     | SH | DEFINED | 01 | 1 |
| RED LION HOTELS CORP           | COM | 756764106 | 9      | 1230    | SH | DEFINED | 01 | 0 |
| RED ROBIN GOURMET BURGERS      | COM | 75689M101 | 8120   | 414068  | SH | DEFINED | 01 | 0 |
| REDDY ICE HOLDINGS INC         | COM | 75734R105 | 0      | 175     | SH | DEFINED | 01 | 0 |
| REDDY ICE HOLDINGS INC         | COM | 75734R105 | 0      | 140     | SH | DEFINED | 01 | 1 |
| REDIFF.COM INDIA ADREACH REPR  | COM | 757479100 | 7      | 1300    | SH | DEFINED | 01 | 1 |
| REDWOOD TRUST INC              | COM | 758075402 | 1343   | 92791   | SH | DEFINED | 01 | 0 |
| REDWOOD TRUST INC              | COM | 758075402 | 10     | 714     | SH | DEFINED | 01 | 0 |
| REDWOOD TRUST INC              | COM | 758075402 | 59     | 4100    | SH | DEFINED | 01 | 1 |
| REED ELSEVIER NV               | COM | 758204200 | 20     | 780     | SH | DEFINED | 01 | 0 |
| REED ELSEVIER NV               | COM | 758204200 | 13     | 532     | SH | DEFINED | 01 | 1 |
| REED ELSEVIER PLC-SPONS ADR    | COM | 758205207 | 10     | 300     | SH | DEFINED | 01 | 0 |
| REED ELSEVIER PLC-SPONS ADR    | COM | 758205207 | 40     | 1184    | SH | DEFINED | 01 | 1 |
| REGAL BELOIT CORP              | COM | 758750103 | 17719  | 301920  | SH | DEFINED | 01 | 0 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 64875  | 4944962 | SH | DEFINED | 01 | 0 |
| REGAL ENTERTAINMENT GROUP-A    | COM | 758766109 | 43     | 3285    | SH | DEFINED | 01 | 1 |
| REGENCY CENTERS CORP           | COM | 758849103 | 14843  | 376051  | SH | DEFINED | 01 | 0 |
| REGENCY CENTERS CORP           | COM | 758849103 | 9      | 236     | SH | DEFINED | 01 | 1 |
| REGENCY ENERGY PART L P COM UN | COM | 75885Y107 | 20     | 800     | SH | DEFINED | 01 | 1 |
| REGENERON PHARMACEUTICALS      | COM | 75886F107 | 8918   | 325481  | SH | DEFINED | 01 | 0 |
| REGENERON PHARMACEUTICALS      | COM | 75886F107 | 91     | 3326    | SH | DEFINED | 01 | 1 |
| REGIS CORP                     | COM | 758932107 | 27857  | 1456266 | SH | DEFINED | 01 | 0 |
| REHABCARE GROUP INC            | COM | 759148109 | 2405   | 118895  | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 10468  | 1439600 | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 539    | 74059   | SH | DEFINED | 01 | 0 |
| REGIONS FINANCIAL CORP         | COM | 7591EP100 | 236    | 32500   | SH | DEFINED | 01 | 1 |
| REINSURANCE GROUP OF AMERICA   | COM | 759351604 | 109110 | 2259459 | SH | DEFINED | 01 | 0 |
| REINSURANCE GROUP OF AMERICA   | COM | 759351604 | 15     | 308     | SH | DEFINED | 01 | 1 |
| RELIANCE INDS-SPONS GDR 144A   | COM | 759470990 | 377    | 8444    | SH | DEFINED | 01 | 0 |
| RELIANCE STEEL & ALUMINUM      | COM | 759509102 | 7880   | 189744  | SH | DEFINED | 01 | 0 |
| RELIANCE STEEL & ALUMINUM      | COM | 759509102 | 525    | 12634   | SH | DEFINED | 01 | 1 |
| RELIV INTL INC                 | COM | 75952R100 | 1      | 300     | SH | DEFINED | 01 | 1 |
| RENAISSANCE LEARNING INC       | COM | 75968L105 | 240    | 23506   | SH | DEFINED | 01 | 0 |
| RENASANT CORP                  | COM | 75970E107 | 42     | 2742    | SH | DEFINED | 01 | 0 |
| RENESOLA LTD-ADR               | COM | 75971T103 | 27     | 2150    | SH | DEFINED | 01 | 0 |
| RENESOLA LTD-ADR               | COM | 75971T103 | 19     | 1525    | SH | DEFINED | 01 | 0 |
| RENESOLA LTD-ADR               | COM | 75971T103 | 32     | 2600    | SH | DEFINED | 01 | 1 |
| RENN GLOBAL ENTREPRENE         | COM | 759720105 | 2      | 1050    | SH | DEFINED | 01 | 1 |
| RENESAS ELECTRONICS CORP       | COM | 75972B101 | 10     | 2470    | SH | DEFINED | 01 | 0 |
| REINET INVESTMENTS SCA         | COM | 759778970 | 1      | 54      | SH | DEFINED | 01 | 0 |
| REPLIGEN CORP                  | COM | 759916109 | 3      | 1000    | SH | DEFINED | 01 | 1 |
| RENT-A-CENTER INC              | COM | 76009N100 | 46876  | 2094623 | SH | DEFINED | 01 | 0 |
| RENT-A-CENTER INC              | COM | 76009N100 | 29     | 1312    | SH | DEFINED | 01 | 0 |
| RENTECH INC                    | COM | 760112102 | 30     | 31105   | SH | DEFINED | 01 | 0 |
| RENTECH INC                    | COM | 760112102 | 11     | 11589   | SH | DEFINED | 01 | 1 |
| RENTECH INC WARRANT            | WT  | 760112110 | 0      | 7000    | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| RENTOKIL INITIAL PLC           | COM | 760125104 | 1      | 80      | SH | DEFINED | 01 | 0 |
| RENTRAK CORP                   | COM | 760174102 | 19     | 725     | SH | DEFINED | 01 | 0 |
| REPSOL YPF SA -SPONSORED ADR   | COM | 76026T205 | 126    | 4885    | SH | DEFINED | 01 | 0 |
| REPUBLIC AIRWAYS HOLDINGS IN   | COM | 760276105 | 2780   | 335704  | SH | DEFINED | 01 | 0 |
| REPUBLIC AIRWAYS HOLDINGS IN   | COM | 760276105 | 10     | 1200    | SH | DEFINED | 01 | 1 |
| REPUBLIC BANCORP INC-CL A      | COM | 760281204 | 1651   | 78093   | SH | DEFINED | 01 | 0 |
| REPUBLIC BANCORP INC-CL A      | COM | 760281204 | 41     | 1927    | SH | DEFINED | 01 | 1 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 45721  | 1499556 | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 3529   | 115731  | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 491    | 16090   | SH | DEFINED | 01 | 0 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 112528 | 3693093 | SH | DEFINED | 01 | 1 |
| REPUBLIC SERVICES INC          | COM | 760759100 | 153    | 5015    | SH | DEFINED | 01 | 1 |
| RES-CARE INC                   | COM | 760943100 | 35072  | 2642995 | SH | DEFINED | 01 | 0 |
| RESEARCH IN MOTION             | COM | 760975102 | 4      | 86      | SH | DEFINED | 01 | 0 |
| RESEARCH IN MOTION             | COM | 760975102 | 285    | 5846    | SH | DEFINED | 01 | 1 |
| RESMED INC                     | COM | 761152107 | 12479  | 380354  | SH | DEFINED | 01 | 0 |
| RESMED INC                     | COM | 761152107 | 5693   | 227100  | SH | DEFINED | 01 | 1 |
| RESMED INC                     | COM | 761152107 | 36     | 1110    | SH | DEFINED | 01 | 1 |
| RESOLUTE ENERGY CORP           | COM | 76116A108 | 7770   | 702502  | SH | DEFINED | 01 | 0 |
| RESOURCE AMERICA INC-CL A      | COM | 761195205 | 1      | 115     | SH | DEFINED | 01 | 0 |
| RESOURCE CAPITAL CORP          | COM | 76120W302 | 667    | 105037  | SH | DEFINED | 01 | 0 |
| RESOURCE CAPITAL CORP          | COM | 76120W302 | 158    | 24900   | SH | DEFINED | 01 | 1 |
| RESOURCES CONNECTION INC       | COM | 76122Q105 | 5483   | 398452  | SH | DEFINED | 01 | 0 |
| RESOURCES CONNECTION INC       | COM | 76122Q105 | 38     | 2795    | SH | DEFINED | 01 | 0 |
| RETAIL VENTURES INC            | COM | 76128Y102 | 20     | 1915    | SH | DEFINED | 01 | 0 |
| RETAIL OPPORTUNITY INVESTMEN   | COM | 76131N101 | 1237   | 129169  | SH | DEFINED | 01 | 0 |
| RETAIL OPPORTUNITY INVESTMEN   | COM | 76131N101 | 0      | 25      | SH | DEFINED | 01 | 1 |
| REVENUESHARES ETF TRMID CAP FD | COM | 761396209 | 99     | 3810    | SH | DEFINED | 01 | 1 |
| REVLON INC-CLASS A             | COM | 761525609 | 155    | 12320   | SH | DEFINED | 01 | 0 |
| REVLON INC-CLASS A             | COM | 761525609 | 3      | 200     | SH | DEFINED | 01 | 1 |
| REWARDS NETWORK INC            | COM | 761557206 | 623    | 43364   | SH | DEFINED | 01 | 0 |
| REX ENERGY CORP                | COM | 761565100 | 61     | 4775    | SH | DEFINED | 01 | 0 |
| REX ENERGY CORP                | COM | 761565100 | 6      | 500     | SH | DEFINED | 01 | 1 |
| REX AMERICAN RESOURCES CORP    | COM | 761624105 | 55     | 3785    | SH | DEFINED | 01 | 0 |
| REXAM PLC                      | COM | 761655406 | 7      | 290     | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 35418  | 596390  | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 400    | 6741    | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 528    | 8893    | SH | DEFINED | 01 | 0 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 34193  | 575740  | SH | DEFINED | 01 | 1 |
| REYNOLDS AMERICAN INC          | COM | 761713106 | 437    | 7359    | SH | DEFINED | 01 | 1 |
| RHODES COMPANIES               | COM | 762356XX6 | 38     | 109053  | SH | DEFINED | 01 | 0 |
| RHODIA                         | COM | 762397206 | 12     | 500     | SH | DEFINED | 01 | 0 |
| RICHARDSON ELEC LTD            | COM | 763165107 | 236    | 22450   | SH | DEFINED | 01 | 0 |
| RICK'S CABARET INTL INC        | COM | 765641303 | 1      | 75      | SH | DEFINED | 01 | 0 |
| RICOH LTD                      | COM | 765658307 | 4      | 50      | SH | DEFINED | 01 | 0 |
| RIGEL PHARMACEUTICALS INC      | COM | 766559603 | 1684   | 200200  | SH | DEFINED | 01 | 0 |
| RIGHTNOW TECHNOLOGIES INC      | COM | 76657R106 | 29     | 1470    | SH | DEFINED | 01 | 0 |
| RIGHTNOW TECHNOLOGIES INC      | COM | 76657R106 | 7      | 370     | SH | DEFINED | 01 | 1 |
| RIMAGE CORP                    | COM | 766721104 | 9707   | 590439  | SH | DEFINED | 01 | 0 |
| RIO TINTO PLC-SPON ADR         | COM | 767204100 | 46766  | 796282  | SH | DEFINED | 01 | 0 |
| RIO TINTO PLC-SPON ADR         | COM | 767204100 | 177    | 3016    | SH | DEFINED | 01 | 0 |
| RIO TINTO PLC-SPON ADR         | COM | 767204100 | 74     | 1263    | SH | DEFINED | 01 | 1 |
| RITCHIE BROS AUCTIONEERS       | COM | 767744105 | 27441  | 1321133 | SH | DEFINED | 01 | 0 |
| RITCHIE BROS AUCTIONEERS       | COM | 767744105 | 5      | 220     | SH | DEFINED | 01 | 1 |
| RITE AID CORP                  | COM | 767754104 | 64     | 68215   | SH | DEFINED | 01 | 0 |
| RITE AID CORP                  | COM | 767754104 | 9      | 9025    | SH | DEFINED | 01 | 1 |

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

|                              |          |           |       |         |     |         |    |   |
|------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| RIVERBED TECHNOLOGY INC      | COM      | 768573107 | 7529  | 165171  | SH  | DEFINED | 01 | 0 |
| RIVERBED TECHNOLOGY INC      | COM      | 768573107 | 1396  | 30630   | SH  | DEFINED | 01 | 1 |
| RMR ASIA PAC REAL ESTATE FD  | COM      | 76970B101 | 6     | 307     | SH  | DEFINED | 01 | 1 |
| ROADRUNNER TRANSPORTATION SY | COM      | 76973Q105 | 8232  | 759364  | SH  | DEFINED | 01 | 0 |
| ROBBINS & MYERS INC          | COM      | 770196103 | 24961 | 932066  | SH  | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC         | COM      | 770323103 | 11775 | 452895  | SH  | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC         | COM      | 770323103 | 202   | 7767    | SH  | DEFINED | 01 | 0 |
| ROBERT HALF INTL INC         | COM      | 770323103 | 4819  | 185343  | SH  | DEFINED | 01 | 1 |
| ROBERT HALF INTL INC         | COM      | 770323103 | 51    | 1965    | SH  | DEFINED | 01 | 1 |
| ROCHE HOLDINGS LTD-SPONS ADR | COM      | 771195104 | 320   | 9312    | SH  | DEFINED | 01 | 0 |
| ROCHESTER MEDICAL CORP       | COM      | 771497104 | 10    | 900     | SH  | DEFINED | 01 | 0 |
| ROCK-TENN COMPANY -CL A      | COM      | 772739207 | 24407 | 489981  | SH  | DEFINED | 01 | 0 |
| ROCK-TENN COMPANY -CL A      | COM      | 772739207 | 85    | 1700    | SH  | DEFINED | 01 | 1 |
| ROCKWELL AUTOMATION INC      | COM      | 773903109 | 60615 | 981917  | SH  | DEFINED | 01 | 0 |
| ROCKWELL AUTOMATION INC      | COM      | 773903109 | 459   | 7443    | SH  | DEFINED | 01 | 0 |
| ROCKWELL AUTOMATION INC      | COM      | 773903109 | 349   | 5655    | SH  | DEFINED | 01 | 1 |
| ROCKVILLE FINANCIAL INC      | COM      | 774186100 | 6     | 543     | SH  | DEFINED | 01 | 0 |
| ROCKWELL COLLINS INC.        | COM      | 774341101 | 32198 | 552730  | SH  | DEFINED | 01 | 0 |
| ROCKWELL COLLINS INC.        | COM      | 774341101 | 481   | 8257    | SH  | DEFINED | 01 | 0 |
| ROCKWELL COLLINS INC.        | COM      | 774341101 | 7207  | 143600  | SH  | DEFINED | 01 | 1 |
| ROCKWELL COLLINS INC.        | COM      | 774341101 | 565   | 9705    | SH  | DEFINED | 01 | 1 |
| ROCKWOOD HOLDINGS INC        | COM      | 774415103 | 16474 | 523479  | SH  | DEFINED | 01 | 0 |
| ROCKY BRANDS INC             | COM      | 774515100 | 1209  | 158648  | SH  | DEFINED | 01 | 0 |
| RODMAN & RENSHAW CAPITAL GRP | COM      | 77487R100 | 3     | 1700    | SH  | DEFINED | 01 | 0 |
| ROFIN-SINAR TECHNOLOGIES INC | COM      | 775043102 | 16973 | 668754  | SH  | DEFINED | 01 | 0 |
| ROFIN-SINAR TECHNOLOGIES INC | COM      | 775043102 | 14    | 533     | SH  | DEFINED | 01 | 1 |
| ROGERS COMMUNICATIONS -CL B  | COM      | 775109200 | 22    | 598     | SH  | DEFINED | 01 | 0 |
| ROGERS COMMUNICATIONS -CL B  | COM      | 775109200 | 934   | 25000   | SH  | DEFINED | 01 | 1 |
| ROGERS CORP                  | COM      | 775133101 | 19944 | 633545  | SH  | DEFINED | 01 | 0 |
| ROHM CO LTD                  | COM      | 775376106 | 4     | 120     | SH  | DEFINED | 01 | 0 |
| ROLLINS INC                  | COM      | 775711104 | 2666  | 114003  | SH  | DEFINED | 01 | 0 |
| ROLLS-ROYCE GROUP-SPONS ADR  | COM      | 775781206 | 52    | 1095    | SH  | DEFINED | 01 | 0 |
| ROMA FINANCIAL CORP          | COM      | 77581P109 | 6     | 545     | SH  | DEFINED | 01 | 0 |
| ROOMSTORE INC                | COM      | 77638R108 | 1     | 737     | SH  | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC         | COM      | 776696106 | 27963 | 428981  | SH  | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC         | COM      | 776696106 | 117   | 1800    | SH  | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC         | COM      | 776696106 | 322   | 4937    | SH  | DEFINED | 01 | 0 |
| ROPER INDUSTRIES INC         | COM      | 776696106 | 64247 | 987015  | SH  | DEFINED | 01 | 1 |
| ROPER INDUSTRIES INC         | COM      | 776696106 | 400   | 6135    | SH  | DEFINED | 01 | 1 |
| ROSETTA RESOURCES INC        | COM      | 777779307 | 4881  | 207775  | SH  | DEFINED | 01 | 0 |
| ROSETTA STONE INC            | COM      | 777780107 | 16    | 765     | SH  | DEFINED | 01 | 0 |
| ROSETTA STONE INC            | COM      | 777780107 | 7     | 351     | SH  | DEFINED | 01 | 1 |
| ROSS STORES INC              | COM      | 778296103 | 74088 | 1356397 | SH  | DEFINED | 01 | 0 |
| ROSS STORES INC              | COM      | 778296103 | 345   | 6320    | SH  | DEFINED | 01 | 0 |
| ROSS STORES INC              | COM      | 778296103 | 622   | 11377   | SH  | DEFINED | 01 | 1 |
| ROSSI RESIDENTIAL SA-GDR     | COM      | 778434209 | 1     | 120     | SH  | DEFINED | 01 | 0 |
| ROSTELECOM-SPONSORED ADR     | COM      | 778529107 | 1     | 20      | SH  | DEFINED | 01 | 0 |
| ROVI CORP                    | COM      | 779376102 | 73571 | 1459489 | SH  | DEFINED | 01 | 0 |
| ROVI CORP                    | COM      | 779376102 | 21    | 426     | SH  | DEFINED | 01 | 1 |
| ROVI CORP                    | CONV BND | 779376AA0 | 4551  | 3670000 | PRN | DEFINED | 01 | 0 |
| ROWAN COMPANIES INC          | COM      | 779382100 | 28883 | 951292  | SH  | DEFINED | 01 | 0 |
| ROWAN COMPANIES INC          | COM      | 779382100 | 183   | 6023    | SH  | DEFINED | 01 | 0 |
| ROWAN COMPANIES INC          | COM      | 779382100 | 2265  | 74600   | SH  | DEFINED | 01 | 1 |
| ROWAN COMPANIES INC          | COM      | 779382100 | 64    | 2120    | SH  | DEFINED | 01 | 1 |
| ROYAL BANK OF CANADA         | COM      | 780087102 | 104   | 2005    | SH  | DEFINED | 01 | 0 |
| ROYAL BANK OF CANADA         | COM      | 780087102 | 188   | 3609    | SH  | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| ROYAL BANK OF SCOT-SPON ADR    | COM | 780097689 | 55     | 3740    | SH | DEFINED | 01 | 0 |
| ROYAL BANK OF SCOT-SPON ADR    | COM | 780097689 | 7      | 505     | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097739 | 149    | 9435    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097747 | 5      | 300     | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097754 | 65     | 4000    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097762 | 3      | 200     | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097770 | 25     | 1600    | SH | DEFINED | 01 | 1 |
| ROYAL BANK OF SCOTLAND G       | PRF | 780097788 | 31     | 1630    | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND GROUP PLC    | PRF | 780097796 | 8      | 500     | SH | DEFINED | 01 | 1 |
| ROYAL BK SCOTLAND 7.25% SER    | PRF | 780097879 | 8      | 357     | SH | DEFINED | 01 | 1 |
| KONINKLIJKE DSM NV-SPONS ADR   | COM | 780249108 | 60     | 4675    | SH | DEFINED | 01 | 0 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259107 | 6020   | 102408  | SH | DEFINED | 01 | 0 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259107 | 553    | 9406    | SH | DEFINED | 01 | 1 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259206 | 124188 | 2059482 | SH | DEFINED | 01 | 0 |
| ROYAL DUTCH SHELL PLC-ADR      | COM | 780259206 | 1148   | 19043   | SH | DEFINED | 01 | 1 |
| ROYAL GOLD INC                 | COM | 780287108 | 116    | 2325    | SH | DEFINED | 01 | 0 |
| ROYAL GOLD INC                 | COM | 780287108 | 79     | 1590    | SH | DEFINED | 01 | 1 |
| KONINKLIJKE KPN NV - SP ADR    | COM | 780641205 | 39     | 2516    | SH | DEFINED | 01 | 0 |
| ROYCE FOCUS TRUST INC          | COM | 78080N108 | 63     | 9855    | SH | DEFINED | 01 | 1 |
| ROYCE VALUE TR INC             | COM | 780910105 | 143    | 11744   | SH | DEFINED | 01 | 1 |
| RUBICON MINERALS CORP COM N    | COM | 780911103 | 4      | 895     | SH | DEFINED | 01 | 1 |
| ROYCE MICRO-CAP TRUST INC      | COM | 780915104 | 56     | 6764    | SH | DEFINED | 01 | 1 |
| RUBICON TECHNOLOGY INC         | COM | 78112T107 | 46     | 2025    | SH | DEFINED | 01 | 0 |
| RUBICON TECHNOLOGY INC         | COM | 78112T107 | 10     | 440     | SH | DEFINED | 01 | 1 |
| RUBY TUESDAY INC               | COM | 781182100 | 4283   | 360817  | SH | DEFINED | 01 | 0 |
| RUDDICK CORP                   | COM | 781258108 | 35236  | 1016006 | SH | DEFINED | 01 | 0 |
| RUDDICK CORP                   | COM | 781258108 | 84     | 2436    | SH | DEFINED | 01 | 1 |
| RUDOLPH TECHNOLOGIES INC       | COM | 781270103 | 1229   | 147855  | SH | DEFINED | 01 | 0 |
| RUE21 INC                      | COM | 781295100 | 15695  | 608091  | SH | DEFINED | 01 | 0 |
| RUE21 INC                      | COM | 781295100 | 221    | 8564    | SH | DEFINED | 01 | 0 |
| RURAL/METRO CORP               | COM | 781748108 | 11     | 1250    | SH | DEFINED | 01 | 0 |
| RUSH ENTERPRISES INC-CL A      | COM | 781846209 | 7220   | 470635  | SH | DEFINED | 01 | 0 |
| RUSH ENTERPRISES INC - CL B    | COM | 781846308 | 2770   | 201451  | SH | DEFINED | 01 | 0 |
| RUTH'S HOSPITALITY GROUP INC   | COM | 783332109 | 587    | 146568  | SH | DEFINED | 01 | 0 |
| RYANAIR HOLDINGS PLC-SP ADR    | COM | 783513104 | 12     | 400     | SH | DEFINED | 01 | 0 |
| RYANAIR HOLDINGS PLC-SP ADR    | COM | 783513104 | 5      | 169     | SH | DEFINED | 01 | 1 |
| RYDER SYSTEM INC               | COM | 783549108 | 67983  | 1589512 | SH | DEFINED | 01 | 0 |
| RYDER SYSTEM INC               | COM | 783549108 | 179    | 4191    | SH | DEFINED | 01 | 0 |
| RYDER SYSTEM INC               | COM | 783549108 | 917    | 21431   | SH | DEFINED | 01 | 1 |
| RYDER SYSTEM INC               | COM | 783549108 | 16     | 377     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P 500 EQ        | COM | 78355W106 | 7665   | 180868  | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RUSSELL TO        | COM | 78355W205 | 40     | 489     | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W403 | 88     | 2303    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P M       | COM | 78355W601 | 3906   | 58069   | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W700 | 41     | 1275    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR INVERSES&P 500 2X | COM | 78355W767 | 1      | 15      | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P 5002X STRATE  | COM | 78355W783 | 42     | 1255    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR RYDEX S&P         | COM | 78355W809 | 44     | 1067    | SH | DEFINED | 01 | 1 |
| RYDEX ETF TR S&P EQUAL WEIG    | COM | 78355W841 | 296    | 5118    | SH | DEFINED | 01 | 1 |
| RYLAND GROUP INC               | COM | 783764103 | 14676  | 818978  | SH | DEFINED | 01 | 0 |
| RYLAND GROUP INC               | COM | 783764103 | 3      | 162     | SH | DEFINED | 01 | 1 |
| S & T BANCORP INC              | COM | 783859101 | 2665   | 152956  | SH | DEFINED | 01 | 0 |
| SBA COMMUNICATIONS CORP-CL A   | COM | 78388J106 | 36947  | 916813  | SH | DEFINED | 01 | 0 |
| SBA COMMUNICATIONS CORP-CL A   | COM | 78388J106 | 949    | 23543   | SH | DEFINED | 01 | 1 |
| SAIC INC                       | COM | 78390X101 | 3431   | 214629  | SH | DEFINED | 01 | 0 |
| SAIC INC                       | COM | 78390X101 | 247    | 15440   | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| SAIC INC                       | COM | 78390X101 | 519    | 32456   | SH | DEFINED | 01 | 1 |
| SCBT FINANCIAL CORP            | COM | 78401V102 | 4441   | 142384  | SH | DEFINED | 01 | 0 |
| SBM OFFSHORE NV                | COM | 78404D109 | 1      | 70      | SH | DEFINED | 01 | 0 |
| SEI INVESTMENTS COMPANY        | COM | 784117103 | 21528  | 1058435 | SH | DEFINED | 01 | 0 |
| SEI INVESTMENTS COMPANY        | COM | 784117103 | 540    | 26536   | SH | DEFINED | 01 | 1 |
|                                |     |           |        |         |    |         |    |   |
| SFN GROUP INC                  | COM | 784153108 | 15784  | 2626332 | SH | DEFINED | 01 | 0 |
| SJW CORP                       | COM | 784305104 | 2608   | 105903  | SH | DEFINED | 01 | 0 |
| SJW CORP                       | COM | 784305104 | 97     | 3954    | SH | DEFINED | 01 | 1 |
| SKF AB-SPONSORED ADR           | COM | 784375404 | 28     | 1231    | SH | DEFINED | 01 | 0 |
| SK TELECOM CO LTD-ADR          | COM | 78440P108 | 5391   | 308559  | SH | DEFINED | 01 | 0 |
| SK TELECOM CO LTD-ADR          | COM | 78440P108 | 3      | 144     | SH | DEFINED | 01 | 1 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 23845  | 376492  | SH | DEFINED | 01 | 0 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 35549  | 561327  | SH | DEFINED | 01 | 1 |
| SL GREEN REALTY CORP           | COM | 78440X101 | 7      | 111     | SH | DEFINED | 01 | 1 |
| SLM CORP                       | COM | 78442P106 | 56689  | 4908061 | SH | DEFINED | 01 | 0 |
| SLM CORP                       | COM | 78442P106 | 295    | 25518   | SH | DEFINED | 01 | 0 |
| SLM CORP                       | COM | 78442P106 | 34     | 2927    | SH | DEFINED | 01 | 1 |
| SM ENERGY CO                   | COM | 78454L100 | 35410  | 945285  | SH | DEFINED | 01 | 0 |
| SM ENERGY CO                   | COM | 78454L100 | 13     | 335     | SH | DEFINED | 01 | 1 |
| SORL AUTO PTS INC              | COM | 78461U101 | 1      | 100     | SH | DEFINED | 01 | 1 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 119456 | 1046769 | SH | DEFINED | 01 | 0 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 7245   | 63500   | SH | DEFINED | 01 | 1 |
| SPDR S&P 500 ETF TRUST         | COM | 78462F103 | 12540  | 109874  | SH | DEFINED | 01 | 1 |
| SPX CORP                       | COM | 784635104 | 8092   | 127891  | SH | DEFINED | 01 | 0 |
| SPX CORP                       | COM | 784635104 | 38     | 602     | SH | DEFINED | 01 | 1 |
| S1 CORPORATION                 | COM | 78463B101 | 6070   | 1164952 | SH | DEFINED | 01 | 0 |
| S1 CORPORATION                 | COM | 78463B101 | 1      | 166     | SH | DEFINED | 01 | 1 |
| SPS COMMERCE INC               | COM | 78463M107 | 4      | 300     | SH | DEFINED | 01 | 0 |
| SPDR GOLD TRUST ETF            | COM | 78463V107 | 39     | 307     | SH | DEFINED | 01 | 0 |
| SPDR GOLD TRUST ETF            | COM | 78463V107 | 35398  | 276738  | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS EURO STOXX  | COM | 78463X202 | 42     | 1156    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X301 | 276    | 3325    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P CHINA   | COM | 78463X400 | 30     | 400     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X509 | 35     | 503     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X632 | 14     | 703     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X657 | 83     | 3361    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X665 | 0      | 7       | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X699 | 92     | 4700    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X707 | 23     | 277     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS SPDR S&P I  | COM | 78463X715 | 120    | 4900    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS DJ WILSHIR  | COM | 78463X749 | 165    | 4579    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X756 | 127    | 2318    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P INTL M  | COM | 78463X764 | 3      | 100     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P INTL D  | COM | 78463X772 | 3      | 64      | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P BRIC 4  | COM | 78463X798 | 740    | 28627   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P EMERGI  | COM | 78463X806 | 39     | 545     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS RUSSELL NO  | COM | 78463X822 | 11     | 282     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS MSCI ACWI   | COM | 78463X848 | 276    | 8711    | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS FTSE / MAC  | COM | 78463X855 | 37     | 905     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS DJ WILSHIR  | COM | 78463X863 | 21     | 535     | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P INTL S  | COM | 78463X871 | 382    | 13664   | SH | DEFINED | 01 | 1 |
| SPDR INDEX SHS FDS S&P WORLD   | COM | 78463X889 | 13     | 522     | SH | DEFINED | 01 | 1 |
| SPDR SER TR MORGAN STA         | COM | 78464A102 | 7      | 126     | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYSCAP INTL C | COM | 78464A151 | 3      | 91      | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIRE S      | COM | 78464A201 | 3950   | 42251   | SH | DEFINED | 01 | 1 |
| SPDR SER TR WELLS FARGO PFD    | COM | 78464A292 | 26     | 560     | SH | DEFINED | 01 | 1 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| SPDR SER TR DJ WILSHIRE S      | COM | 78464A300 | 54    | 876     | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN SHORT TERM  | COM | 78464A334 | 24    | 653     | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYSCAP CONV S | COM | 78464A359 | 23    | 585     | 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 | 37538 | 938209  | SH | DEFINED | 01 | 1 |
| SPDR SER TR NUVEEN BARCLAYS C  | COM | 78464A425 | 969   | 39863   | SH | DEFINED | 01 | 1 |
| SPDR SER TR NUVEEN BARCLAYS C  | COM | 78464A441 | 6     | 242     | SH | DEFINED | 01 | 1 |
| SPDR SER TR NUVEEN BARCLAYS C  | COM | 78464A458 | 622   | 26421   | SH | DEFINED | 01 | 1 |
| SPDR SER TR DB INTL GOVT INFLA | COM | 78464A490 | 320   | 5439    | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIRE L      | COM | 78464A508 | 10    | 177     | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN INTL TREAS  | COM | 78464A516 | 476   | 7938    | SH | DEFINED | 01 | 1 |
| SPDR DJ WILSHIRE REIT ETF      | COM | 78464A607 | 3211  | 56000   | SH | DEFINED | 01 | 0 |
| SPDR DJ WILSHIRE REIT ETF      | COM | 78464A607 | 93    | 1616    | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN AGG         | COM | 78464A649 | 342   | 5927    | SH | DEFINED | 01 | 1 |
| SPDR SER TR BARCLAYS C         | COM | 78464A656 | 2118  | 39229   | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN INT         | COM | 78464A672 | 327   | 5433    | SH | DEFINED | 01 | 1 |
| SPDR SER TR LEHMAN 1-3         | COM | 78464A680 | 55    | 1197    | SH | DEFINED | 01 | 1 |
| SPDR SER TR KBW REGL B         | COM | 78464A698 | 21    | 903     | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ GLOBAL TIT      | COM | 78464A706 | 10    | 193     | SH | DEFINED | 01 | 1 |
| SPDR S&P RETAIL ETF            | COM | 78464A714 | 2     | 40      | SH | DEFINED | 01 | 1 |
| SPDR S&P OIL & GAS EXP ETF     | COM | 78464A730 | 266   | 6291    | SH | DEFINED | 01 | 0 |
| SPDR S&P OIL & GAS EXP ETF     | COM | 78464A730 | 696   | 16464   | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P OIL &          | COM | 78464A748 | 20    | 687     | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P METALS         | COM | 78464A755 | 326   | 6098    | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P DIVID          | COM | 78464A763 | 3687  | 73469   | SH | DEFINED | 01 | 1 |
| SPDR SER TR KBW INS ET         | COM | 78464A789 | 5     | 117     | SH | DEFINED | 01 | 1 |
| SPDR SER TR KBW BK ETF         | COM | 78464A797 | 142   | 6197    | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIR         | COM | 78464A805 | 16145 | 189656  | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIR         | COM | 78464A813 | 12    | 213     | SH | DEFINED | 01 | 1 |
| SPDR SER TR DJ WILSHIR         | COM | 78464A821 | 5     | 69      | 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 | 376   | 8283    | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P BIOTEC         | COM | 78464A870 | 124   | 2092    | SH | DEFINED | 01 | 1 |
| SPDR SER TR S&P HOMEBU         | COM | 78464A888 | 122   | 7732    | SH | DEFINED | 01 | 1 |
| SRS LABS INC                   | COM | 78464M106 | 23    | 2515    | SH | DEFINED | 01 | 0 |
| SRA INTERNATIONAL INC-CL A     | COM | 78464R105 | 4778  | 242272  | SH | DEFINED | 01 | 0 |
| SRA INTERNATIONAL INC-CL A     | COM | 78464R105 | 35    | 1766    | SH | DEFINED | 01 | 0 |
| SRA INTERNATIONAL INC-CL A     | COM | 78464R105 | 0     | 25      | SH | DEFINED | 01 | 1 |
| SS&C TECHNOLOGIES HOLDINGS     | COM | 78467J100 | 13    | 825     | SH | DEFINED | 01 | 0 |
| SPDR DJIA TRUST                | COM | 78467X109 | 8320  | 77105   | SH | DEFINED | 01 | 1 |
| SPDR S&P MIDCAP 400 ETF TR UNI | COM | 78467Y107 | 5291  | 36339   | SH | DEFINED | 01 | 1 |
| STEC INC                       | COM | 784774101 | 16295 | 1308861 | SH | DEFINED | 01 | 0 |
| STEC INC                       | COM | 784774101 | 245   | 19628   | SH | DEFINED | 01 | 0 |
| STEC INC                       | COM | 784774101 | 7     | 585     | SH | DEFINED | 01 | 1 |
| STR HOLDINGS INC               | COM | 78478V100 | 14730 | 683862  | SH | DEFINED | 01 | 0 |
| SVB FINANCIAL GROUP            | COM | 78486Q101 | 60237 | 1423387 | SH | DEFINED | 01 | 0 |
| SVB FINANCIAL GROUP            | COM | 78486Q101 | 4     | 100     | SH | DEFINED | 01 | 1 |
| SABA SOFTWARE INC              | COM | 784932600 | 13    | 2325    | SH | DEFINED | 01 | 0 |
| SPAR GROUP INC                 | COM | 784933103 | 0     | 200     | SH | DEFINED | 01 | 1 |
| SWS GROUP INC                  | COM | 78503N107 | 1258  | 175582  | SH | DEFINED | 01 | 0 |
| SXC HEALTH SOLUTIONS CORP      | COM | 78505P100 | 1937  | 53120   | SH | DEFINED | 01 | 0 |
| SXC HEALTH SOLUTIONS CORP      | COM | 78505P100 | 169   | 4624    | SH | DEFINED | 01 | 1 |
| S.Y. BANCORP INC               | COM | 785060104 | 27    | 1103    | SH | DEFINED | 01 | 0 |
| SABINE ROYALTY TRUST           | COM | 785688102 | 42    | 800     | SH | DEFINED | 01 | 0 |
| SABINE ROYALTY TRUST           | COM | 785688102 | 54    | 1022    | SH | DEFINED | 01 | 1 |
| SABMILLER PLC                  | COM | 78572M105 | 152   | 4721    | SH | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| SAFEGUARD SCIENTIFICS INC      | COM      | 786449207 | 621    | 49555   | SH  | DEFINED | 01 | 0 |
| SAFEGUARD SCIENTIFICS INC      | COM      | 786449207 | 19     | 1538    | SH  | DEFINED | 01 | 0 |
| SAFEGUARD SCIENTIFICS INC      | COM      | 786449207 | 0      | 16      | SH  | DEFINED | 01 | 1 |
| SAFETY INSURANCE GROUP INC     | COM      | 78648T100 | 17410  | 414348  | SH  | DEFINED | 01 | 0 |
| SAFEWAY INC                    | COM      | 786514208 | 3978   | 187992  | SH  | DEFINED | 01 | 0 |
| SAFEWAY INC                    | COM      | 786514208 | 424    | 20059   | SH  | DEFINED | 01 | 0 |
| SAFEWAY INC                    | COM      | 786514208 | 91     | 4282    | SH  | DEFINED | 01 | 1 |
| SAGE GROUP PLC                 | COM      | 78663S102 | 5      | 310     | SH  | DEFINED | 01 | 0 |
| SAIA INC                       | COM      | 78709Y105 | 309    | 20737   | SH  | DEFINED | 01 | 0 |
| SAIA INC                       | COM      | 78709Y105 | 1      | 100     | SH  | DEFINED | 01 | 1 |
| ST JOE CO/THE                  | COM      | 790148100 | 18089  | 727330  | SH  | DEFINED | 01 | 0 |
| ST JOE CO/THE                  | COM      | 790148100 | 76     | 3055    | SH  | DEFINED | 01 | 1 |
| ST JUDE MEDICAL INC            | COM      | 790849103 | 353205 | 8978223 | SH  | DEFINED | 01 | 0 |
| ST JUDE MEDICAL INC            | COM      | 790849103 | 677    | 17199   | SH  | DEFINED | 01 | 0 |
| ST JUDE MEDICAL INC            | COM      | 790849103 | 178    | 4700    | SH  | DEFINED | 01 | 1 |
| ST JUDE MEDICAL INC            | COM      | 790849103 | 252    | 6403    | SH  | DEFINED | 01 | 1 |
| ST MARY LAND & EXPLORATION CO  | CONV BND | 792228AD0 | 5531   | 5230000 | PRN | DEFINED | 01 | 0 |
| SAKS INC                       | COM      | 79377W108 | 13879  | 1613832 | SH  | DEFINED | 01 | 0 |
| SAKS INC                       | COM      | 79377W108 | 138    | 16023   | SH  | DEFINED | 01 | 0 |
| SAKS INC                       | COM      | 79377W108 | 368    | 42780   | SH  | DEFINED | 01 | 1 |
| SALEM COMMUNICATIONS -CL A     | COM      | 794093104 | 570    | 192000  | SH  | DEFINED | 01 | 0 |
| SALESFORCE.COM INC             | COM      | 79466L302 | 241876 | 2163484 | SH  | DEFINED | 01 | 0 |
| SALESFORCE.COM INC             | COM      | 79466L302 | 686    | 6134    | SH  | DEFINED | 01 | 0 |
| SALESFORCE.COM INC             | COM      | 79466L302 | 1714   | 15327   | SH  | DEFINED | 01 | 1 |
| SALIX PHARMACEUTICALS LTD      | COM      | 795435106 | 28285  | 712126  | SH  | DEFINED | 01 | 0 |
| SALIX PHARMACEUTICALS LTD      | COM      | 795435106 | 642    | 16173   | SH  | DEFINED | 01 | 1 |
| SALIX PHARMACEUTICALS LTD      | CONV BND | 795435AC0 | 2396   | 2100000 | PRN | DEFINED | 01 | 0 |
| SALLY BEAUTY HOLDINGS INC      | COM      | 79546E104 | 93     | 8365    | SH  | DEFINED | 01 | 0 |
| SALLY BEAUTY HOLDINGS INC      | COM      | 79546E104 | 6      | 573     | SH  | DEFINED | 01 | 1 |
| SAMPO INSURANCE COMPANY LTD AD | COM      | 79588J102 | 35     | 2554    | SH  | DEFINED | 01 | 0 |
| SAMSUNG ELECTR-GDR 144A        | COM      | 796050979 | 2972   | 8667    | SH  | DEFINED | 01 | 0 |
| SAMSUNG ELECTRONICS-PFD        | PRF      | 796700995 | 168    | 345     | SH  | DEFINED | 01 | 0 |
| SAMSUNG ELECTRONICS-PFD        | PRF      | 796700995 | 4719   | 9658    | SH  | DEFINED | 01 | 0 |
| SAN JUAN BASIN RTY TR UNIT BE  | COM      | 798241105 | 470    | 19011   | SH  | DEFINED | 01 | 1 |
| SANDERS MORRIS HARRIS GRP IN   | COM      | 80000Q104 | 74     | 12903   | SH  | DEFINED | 01 | 0 |
| SANDERSON FARMS INC            | COM      | 800013104 | 4575   | 105714  | SH  | DEFINED | 01 | 0 |
| SANDISK CORP                   | COM      | 80004C101 | 69509  | 1896552 | SH  | DEFINED | 01 | 0 |
| SANDISK CORP                   | COM      | 80004C101 | 449    | 12240   | SH  | DEFINED | 01 | 0 |
| SANDISK CORP                   | COM      | 80004C101 | 659    | 17978   | SH  | DEFINED | 01 | 1 |
| SANDISK CORP                   | CONV BND | 80004CAD3 | 2140   | 2310000 | PRN | DEFINED | 01 | 0 |
| SANDRIDGE ENERGY INC           | COM      | 80007P307 | 2898   | 510180  | SH  | DEFINED | 01 | 0 |
| SANDRIDGE ENERGY INC           | COM      | 80007P307 | 90     | 15788   | SH  | DEFINED | 01 | 1 |
| SANDVIK AB                     | COM      | 800212201 | 35     | 2277    | SH  | DEFINED | 01 | 0 |
| SANDY SPRING BANCORP INC       | COM      | 800363103 | 12689  | 818550  | SH  | DEFINED | 01 | 0 |
| JOHN B. SANFILIPPO & SON INC   | COM      | 800422107 | 7      | 525     | SH  | DEFINED | 01 | 0 |
| SANGAMO BIOSCIENCES INC        | COM      | 800677106 | 13     | 3850    | SH  | DEFINED | 01 | 0 |
| SANMINA-SCI CORP               | COM      | 800907206 | 31178  | 2580952 | SH  | DEFINED | 01 | 0 |
| SANMINA-SCI CORP               | COM      | 800907206 | 1      | 66      | SH  | DEFINED | 01 | 1 |
| SANLAM LTD                     | COM      | 80104Q208 | 5      | 270     | SH  | DEFINED | 01 | 0 |
| SANOFI-AVENTIS-ADR             | COM      | 80105N105 | 2636   | 79249   | SH  | DEFINED | 01 | 0 |
| SANOFI-AVENTIS-ADR             | COM      | 80105N105 | 529    | 15913   | SH  | DEFINED | 01 | 1 |
| SANTARUS INC                   | COM      | 802817304 | 13     | 4325    | SH  | DEFINED | 01 | 0 |
| SANTOS LTD.                    | COM      | 803021708 | 26     | 2130    | SH  | DEFINED | 01 | 0 |
| SANYO ELEC LTD                 | COM      | 803038306 | 20     | 2400    | SH  | DEFINED | 01 | 0 |
| SAP AG-SPONSORED ADR           | COM      | 803054204 | 175    | 3556    | SH  | DEFINED | 01 | 0 |



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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SAP AG-SPONSORED ADR           | COM | 803054204 | 152    | 3089     | SH | DEFINED | 01 | 1 |
| SAPIENT CORPORATION            | COM | 803062108 | 13357  | 1115907  | SH | DEFINED | 01 | 0 |
| SAPPI LTD -SPONSORED ADR       | COM | 803069202 | 16     | 3090     | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 4964   | 369565   | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 467    | 34793    | SH | DEFINED | 01 | 0 |
| SARA LEE CORP                  | COM | 803111103 | 357    | 26618    | SH | DEFINED | 01 | 1 |
| SARATOGA INVT CORP COM NEW     | COM | 80349A208 | 4      | 220      | SH | DEFINED | 01 | 1 |
| SASOL LTD-SPONSORED ADR        | COM | 803866300 | 119    | 2672     | SH | DEFINED | 01 | 0 |
| SASOL LTD-SPONSORED ADR        | COM | 803866300 | 257    | 5749     | SH | DEFINED | 01 | 1 |
| SATCON TECHNOLOGY CORP         | COM | 803893106 | 23     | 5875     | SH | DEFINED | 01 | 0 |
| SATCON TECHNOLOGY CORP         | COM | 803893106 | 0      | 100      | SH | DEFINED | 01 | 1 |
| SATYAM COMPUTER SERVICES L     | COM | 804098101 | 11     | 2825     | SH | DEFINED | 01 | 1 |
| SAUER-DANFOSS INC              | COM | 804137107 | 20     | 964      | SH | DEFINED | 01 | 0 |
| SAUL CENTERS INC               | COM | 804395101 | 755    | 18000    | SH | DEFINED | 01 | 0 |
| SAVIENT PHARMACEUTICALS INC    | COM | 80517Q100 | 7503   | 328032   | SH | DEFINED | 01 | 0 |
| SAVIENT PHARMACEUTICALS INC    | COM | 80517Q100 | 1      | 50       | SH | DEFINED | 01 | 1 |
| SAVVIS INC                     | COM | 805423308 | 52     | 2465     | SH | DEFINED | 01 | 0 |
| SBERBANK-CLS                   | COM | 805650991 | 5985   | 2133711  | SH | DEFINED | 01 | 0 |
| SBERBANK-CLS                   | COM | 805650991 | 41400  | 14759657 | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 13479  | 334335   | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 239    | 5922     | SH | DEFINED | 01 | 0 |
| SCANA CORP                     | COM | 80589M102 | 292    | 7247     | SH | DEFINED | 01 | 1 |
| SCANSOURCE INC                 | COM | 806037107 | 3502   | 126246   | SH | DEFINED | 01 | 0 |
| SCHAWK INC                     | COM | 806373106 | 1874   | 101497   | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 24508  | 418367   | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 5272   | 90000    | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 164    | 2800     | SH | DEFINED | 01 | 0 |
| HENRY SCHEIN INC               | COM | 806407102 | 87747  | 1497912  | SH | DEFINED | 01 | 1 |
| HENRY SCHEIN INC               | COM | 806407102 | 1041   | 17778    | SH | DEFINED | 01 | 1 |
| SCHIFF NUTRITION INTERNATIONAL | COM | 806693107 | 9      | 1125     | SH | DEFINED | 01 | 0 |
| SCHLUMBERGER LTD               | COM | 806857108 | 315403 | 5119347  | SH | DEFINED | 01 | 0 |
| SCHLUMBERGER LTD               | COM | 806857108 | 4800   | 77922    | SH | DEFINED | 01 | 0 |
| SCHLUMBERGER LTD               | COM | 806857108 | 9337   | 157000   | SH | DEFINED | 01 | 1 |
| SCHLUMBERGER LTD               | COM | 806857108 | 1718   | 27887    | SH | DEFINED | 01 | 1 |
| SCHNEIDER ELECTRIC SA ADR      | COM | 80687P106 | 177    | 13953    | SH | DEFINED | 01 | 0 |
| SCHNITZER STEEL INDS INC-A     | COM | 806882106 | 93329  | 1933080  | SH | DEFINED | 01 | 0 |
| SCHOLASTIC CORP                | COM | 807066105 | 20228  | 727126   | SH | DEFINED | 01 | 0 |
| SCHOOL SPECIALTY INC           | COM | 807863105 | 10725  | 824312   | SH | DEFINED | 01 | 0 |
| SCHULMAN (A.) INC              | COM | 808194104 | 3120   | 154813   | SH | DEFINED | 01 | 0 |
| SCHULMAN (A.) INC              | COM | 808194104 | 0      | 1        | SH | DEFINED | 01 | 1 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 14089  | 1013596  | SH | DEFINED | 01 | 0 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 724    | 52068    | SH | DEFINED | 01 | 0 |
| SCHWAB (CHARLES) CORP          | COM | 808513105 | 231    | 16623    | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR US LARGE-C | COM | 808524201 | 30     | 1091     | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR US LARGE-C | COM | 808524409 | 48     | 1842     | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR EMERGING M | COM | 808524706 | 12     | 425      | SH | DEFINED | 01 | 1 |
| SCHWAB STRATEGIC TR INTL EQUIT | COM | 808524805 | 932    | 35517    | SH | DEFINED | 01 | 1 |
| SCHWEITZER-MAUDUIT INTL INC    | COM | 808541106 | 26584  | 455928   | SH | DEFINED | 01 | 0 |
| SCHWEITZER-MAUDUIT INTL INC    | COM | 808541106 | 73     | 1251     | SH | DEFINED | 01 | 0 |
| SCHWEITZER-MAUDUIT INTL INC    | COM | 808541106 | 4246   | 72946    | SH | DEFINED | 01 | 1 |
| SCICLONE PHARMACEUTICALS INC   | COM | 80862K104 | 8      | 3050     | SH | DEFINED | 01 | 0 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 16017  | 1651248  | SH | DEFINED | 01 | 0 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 285    | 29414    | SH | DEFINED | 01 | 0 |
| SCIENTIFIC GAMES CORP-A        | COM | 80874P109 | 2      | 254      | SH | DEFINED | 01 | 1 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| SCIQUEST                       | COM | 80908T101 | 8292  | 686411  | SH | DEFINED | 01 | 0 |
| SCIQUEST                       | COM | 80908T101 | 2     | 125     | SH | DEFINED | 01 | 0 |
| SCIQUEST                       | COM | 80908T101 | 8     | 718     | SH | DEFINED | 01 | 1 |
| SCOR                           | COM | 80917Q106 | 14    | 5750    | SH | DEFINED | 01 | 0 |
| SCOTTISH & SOUTHN ENERGY       | COM | 81012K309 | 77    | 4380    | SH | DEFINED | 01 | 0 |
| SCOTTS MIRACLE-GRO CO-CL A     | COM | 810186106 | 33025 | 638409  | SH | DEFINED | 01 | 0 |
| SCOTTS MIRACLE-GRO CO-CL A     | COM | 810186106 | 52    | 1000    | SH | DEFINED | 01 | 1 |
| EW SCRIPPS CO-CL A             | COM | 811054402 | 1842  | 233660  | SH | DEFINED | 01 | 0 |
| EW SCRIPPS CO-CL A             | COM | 811054402 | 0     | 26      | SH | DEFINED | 01 | 1 |
| SCRIPPS NETWORKS INTER-CL A    | COM | 811065101 | 14069 | 295672  | SH | DEFINED | 01 | 0 |
| SCRIPPS NETWORKS INTER-CL A    | COM | 811065101 | 224   | 4718    | SH | DEFINED | 01 | 0 |
| SEABOARD CORP                  | COM | 811543107 | 1485  | 839     | SH | DEFINED | 01 | 0 |
| SEABRIGHT HOLDING INC          | COM | 811656107 | 17    | 2087    | SH | DEFINED | 01 | 0 |
| SEACHANGE INTERNATIONAL INC    | COM | 811699107 | 18    | 2350    | SH | DEFINED | 01 | 0 |
| SEACHANGE INTERNATIONAL INC    | COM | 811699107 | 49    | 6619    | SH | DEFINED | 01 | 1 |
| SEACOAST BANKING CORP FL       | COM | 811707306 | 4314  | 3535453 | SH | DEFINED | 01 | 0 |
| SEACOR HOLDINGS INC            | COM | 811904101 | 8915  | 104684  | SH | DEFINED | 01 | 0 |
| SEABRIDGE GOLD INC COM NPV IS  | COM | 811916105 | 3     | 100     | SH | DEFINED | 01 | 1 |
| SEAHAWK DRILLING INC           | COM | 81201R107 | 486   | 57464   | SH | DEFINED | 01 | 0 |
| SEAHAWK DRILLING INC           | COM | 81201R107 | 0     | 1       | SH | DEFINED | 01 | 1 |
| SEALED AIR CORP                | COM | 81211K100 | 43768 | 1946953 | SH | DEFINED | 01 | 0 |
| SEALED AIR CORP                | COM | 81211K100 | 188   | 8382    | SH | DEFINED | 01 | 0 |
| SEALED AIR CORP                | COM | 81211K100 | 1124  | 50000   | SH | DEFINED | 01 | 1 |
| SEALED AIR CORP                | COM | 81211K100 | 37    | 1645    | SH | DEFINED | 01 | 1 |
| SEALY CORP                     | COM | 812139301 | 11    | 4289    | SH | DEFINED | 01 | 0 |
| SEALY CORP                     | COM | 812139301 | 1     | 408     | SH | DEFINED | 01 | 1 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 1720  | 23841   | SH | DEFINED | 01 | 0 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 168   | 2326    | SH | DEFINED | 01 | 0 |
| SEARS HOLDINGS CORP            | COM | 812350106 | 58    | 805     | SH | DEFINED | 01 | 1 |
| SEATTLE GENETICS INC           | COM | 812578102 | 4284  | 275798  | SH | DEFINED | 01 | 0 |
| SEATTLE GENETICS INC           | COM | 812578102 | 60    | 3874    | SH | DEFINED | 01 | 1 |
| SECOM LTD                      | COM | 813113206 | 21    | 230     | SH | DEFINED | 01 | 0 |
| SELECT SECTOR SPDR TR SHS BEN  | COM | 81369Y100 | 1233  | 37612   | SH | DEFINED | 01 | 1 |
| HEALTH CARE SELECT SECTOR ETF  | COM | 81369Y209 | 3258  | 106851  | SH | DEFINED | 01 | 1 |
| CONSUMER STAPLES SPDR ETF      | COM | 81369Y308 | 4697  | 168462  | SH | DEFINED | 01 | 1 |
| CONSUMER DISCRETIONARY SELT ET | COM | 81369Y407 | 4919  | 147241  | SH | DEFINED | 01 | 1 |
| SECTOR SPDR TR SHS BEN INT EN  | COM | 81369Y506 | 1547  | 27592   | SH | DEFINED | 01 | 1 |
| SECTOR SPDR TR SHS BEN INT FI  | COM | 81369Y605 | 5637  | 392959  | SH | DEFINED | 01 | 1 |
| INDUSTRIAL SELECT SECT SPDR ET | COM | 81369Y704 | 584   | 18677   | SH | DEFINED | 01 | 1 |
| TECH SELECT SECT SPDR ETF      | COM | 81369Y803 | 1697  | 73700   | SH | DEFINED | 01 | 1 |
| UTILITIES SELECT SECTOR SPDR E | COM | 81369Y886 | 4251  | 135455  | SH | DEFINED | 01 | 1 |
| SEGA SAMMY HLDGS INC           | COM | 815794102 | 20    | 5170    | SH | DEFINED | 01 | 0 |
| SEIKO EPSON CORP               | COM | 81603X108 | 5     | 600     | SH | DEFINED | 01 | 0 |
| SEKISUI HOUSE LTD              | COM | 816078307 | 8     | 890     | SH | DEFINED | 01 | 0 |
| SELECT COMFORT CORPORATION     | COM | 81616X103 | 34    | 5075    | SH | DEFINED | 01 | 0 |
| SELECT COMFORT CORPORATION     | COM | 81616X103 | 5     | 700     | SH | DEFINED | 01 | 1 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 23373 | 3035486 | SH | DEFINED | 01 | 0 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 443   | 57442   | SH | DEFINED | 01 | 0 |
| SELECT MEDICAL HOLDINGS CORP   | COM | 81619Q105 | 1     | 100     | SH | DEFINED | 01 | 1 |
| SELECTICA INC DEL COM NEW      | COM | 816288203 | 1     | 195     | SH | DEFINED | 01 | 1 |
| SELECTIVE INSURANCE GROUP      | COM | 816300107 | 8203  | 503592  | SH | DEFINED | 01 | 0 |
| SELECTIVE INSURANCE GROUP      | COM | 816300107 | 24    | 1469    | SH | DEFINED | 01 | 1 |
| SEMICONDUCTOR HOLDRS TRUST ETF | COM | 816636203 | 53    | 1925    | SH | DEFINED | 01 | 1 |
| SEMICONDUCTOR MANUFACT-ADR     | COM | 81663N206 | 12603 | 3550256 | SH | DEFINED | 01 | 0 |

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

|                               |     |           |        |         |    |         |    |   |
|-------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| SEMTECH CORP                  | COM | 816850101 | 3109   | 153984  | SH | DEFINED | 01 | 0 |
| SEMPRA ENERGY                 | COM | 816851109 | 234000 | 4349401 | SH | DEFINED | 01 | 0 |
| SEMPRA ENERGY                 | COM | 816851109 | 700    | 13013   | SH | DEFINED | 01 | 0 |
| SEMPRA ENERGY                 | COM | 816851109 | 1720   | 31977   | SH | DEFINED | 01 | 1 |
| SENECA FOODS CORP - CL A      | COM | 817070501 | 2564   | 97930   | SH | DEFINED | 01 | 0 |
| SENECO TECHNOLOGIESINC COM NE | COM | 817208408 | 1      | 2500    | SH | DEFINED | 01 | 1 |
| SENIOR HOUSING PROP TRUST     | COM | 81721M109 | 12136  | 516372  | SH | DEFINED | 01 | 0 |
| SENIOR HOUSING PROP TRUST     | COM | 81721M109 | 425    | 18080   | SH | DEFINED | 01 | 1 |
| SENOMYX INC                   | COM | 81724Q107 | 10     | 2525    | SH | DEFINED | 01 | 0 |
| SENSIENT TECHNOLOGIES CORP    | COM | 81725T100 | 18984  | 622644  | SH | DEFINED | 01 | 0 |
| SENSIENT TECHNOLOGIES CORP    | COM | 81725T100 | 41     | 1341    | SH | DEFINED | 01 | 1 |
| SENTRY TECHNOLOGY CORP        | COM | 81731K101 | 0      | 1489    | SH | DEFINED | 01 | 0 |
| SEQUENOM INC                  | COM | 817337405 | 36     | 5035    | SH | DEFINED | 01 | 0 |
| SEQUENOM INC                  | COM | 817337405 | 42     | 6000    | SH | DEFINED | 01 | 1 |
| SERCO GROUP PLC               | COM | 81748L100 | 3      | 320     | SH | DEFINED | 01 | 0 |
| SERVICE CORP INTERNATIONAL    | COM | 817565104 | 9810   | 1138072 | SH | DEFINED | 01 | 0 |
| SERVICE CORP INTERNATIONAL    | COM | 817565104 | 11     | 1306    | SH | DEFINED | 01 | 1 |
| SEVEN & I HLDGS CO LTD ADR    | COM | 81783H105 | 108    | 2319    | SH | DEFINED | 01 | 0 |
| 7 DAYS GROUP HOLDINGS LT      | COM | 81783J101 | 3545   | 197034  | SH | DEFINED | 01 | 0 |
| SGS S A                       | COM | 818800104 | 9      | 540     | SH | DEFINED | 01 | 0 |
| SHANDA INTERACTIVE-SPON ADR   | COM | 81941Q203 | 0      | 10      | SH | DEFINED | 01 | 0 |
| SHANDA GAMES LTD-ADR          | COM | 81941U105 | 1      | 100     | SH | DEFINED | 01 | 0 |
| SHANGRI-LA ASIA LTD           | COM | 81942Q103 | 1      | 20      | SH | DEFINED | 01 | 0 |
| SHANGHAI ELEC GROUP CO L      | COM | 81943J108 | 4      | 330     | SH | DEFINED | 01 | 0 |
| SHARP CORP ADR                | COM | 819882200 | 51     | 5146    | SH | DEFINED | 01 | 0 |
| SHARPS COMPLIANCE CORP        | COM | 820017101 | 49     | 9620    | SH | DEFINED | 01 | 0 |
| SHARPS COMPLIANCE CORP        | COM | 820017101 | 2      | 500     | SH | DEFINED | 01 | 1 |
| SHAW GROUP INC                | COM | 820280105 | 65283  | 1945237 | SH | DEFINED | 01 | 0 |
| SHAW GROUP INC                | COM | 820280105 | 77     | 2297    | SH | DEFINED | 01 | 0 |
| SHAW GROUP INC                | COM | 820280105 | 50     | 1496    | SH | DEFINED | 01 | 1 |
| SHAW COMMUNICATIONS INC CLASS | COM | 82028K200 | 36     | 1637    | SH | DEFINED | 01 | 1 |
| SHENANDOAH TELECOMMUNICATION  | COM | 82312B106 | 7186   | 395443  | SH | DEFINED | 01 | 0 |
| SHENGDA TECH INC              | COM | 823213103 | 14     | 2652    | SH | DEFINED | 01 | 1 |
| SHENGKAI INNOVATIONSINC COM   | COM | 82321P104 | 384    | 60000   | SH | DEFINED | 01 | 1 |
| SHERWIN-WILLIAMS CO/THE       | COM | 824348106 | 193189 | 2570971 | SH | DEFINED | 01 | 0 |
| SHERWIN-WILLIAMS CO/THE       | COM | 824348106 | 357    | 4752    | SH | DEFINED | 01 | 0 |
| SHERWIN-WILLIAMS CO/THE       | COM | 824348106 | 539    | 7176    | SH | DEFINED | 01 | 1 |
| SHILOH INDUSTRIES INC         | COM | 824543102 | 4      | 450     | SH | DEFINED | 01 | 0 |
| SHINHAN FINANCIAL GROUP-ADR   | COM | 824596100 | 59     | 768     | SH | DEFINED | 01 | 0 |
| SHINSEI BK LTD                | COM | 824631105 | 14     | 9850    | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                 | COM | 82481R106 | 9350   | 138961  | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                 | COM | 82481R106 | 167    | 2483    | SH | DEFINED | 01 | 0 |
| SHIRE PLC-ADR                 | COM | 82481R106 | 12     | 175     | SH | DEFINED | 01 | 1 |
| SHISEIDO                      | COM | 824841407 | 32     | 1430    | SH | DEFINED | 01 | 0 |
| SHOE CARNIVAL INC             | COM | 824889109 | 9999   | 494515  | SH | DEFINED | 01 | 0 |
| SHOE CARNIVAL INC             | COM | 824889109 | 0      | 1       | SH | DEFINED | 01 | 1 |
| SHORE BANCSHARES INC          | COM | 825107105 | 2      | 220     | SH | DEFINED | 01 | 0 |
| SHORETEL INC                  | COM | 825211105 | 18     | 3640    | SH | DEFINED | 01 | 0 |
| SHUFFLE MASTER INC            | COM | 825549108 | 3849   | 457570  | SH | DEFINED | 01 | 0 |
| SHUFFLE MASTER INC            | COM | 825549108 | 46     | 5437    | SH | DEFINED | 01 | 0 |
| SHUFFLE MASTER INC            | COM | 825549108 | 19     | 2294    | SH | DEFINED | 01 | 1 |
| SHUN TAK HLDGS LTD SPONS      | COM | 825646102 | 1      | 230     | SH | DEFINED | 01 | 0 |
| SHUTTERFLY INC                | COM | 82568P304 | 17007  | 654346  | SH | DEFINED | 01 | 0 |
| SHUTTERFLY INC                | COM | 82568P304 | 42     | 1606    | SH | DEFINED | 01 | 0 |
| SIEMENS AG-SPONS ADR          | COM | 826197501 | 168108 | 1594947 | SH | DEFINED | 01 | 0 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| SIEMENS AG-SPONS ADR           | COM      | 826197501 | 872    | 8271    | SH  | DEFINED | 01 | 0 |
| SIEMENS AG-SPONS ADR           | COM      | 826197501 | 435    | 4126    | SH  | DEFINED | 01 | 1 |
| SIERRA BANCORP                 | COM      | 82620P102 | 56     | 4490    | SH  | DEFINED | 01 | 0 |
| SIERRA WIRELESS INC COM STK NP | COM      | 826516106 | 16     | 1500    | SH  | DEFINED | 01 | 1 |
| SIGMA-ALDRICH                  | COM      | 826552101 | 17444  | 288897  | SH  | DEFINED | 01 | 0 |
| SIGMA-ALDRICH                  | COM      | 826552101 | 385    | 6384    | SH  | DEFINED | 01 | 0 |
| SIGMA-ALDRICH                  | COM      | 826552101 | 129    | 2138    | SH  | DEFINED | 01 | 1 |
| SIGMA DESIGNS INC              | COM      | 826565103 | 2257   | 196509  | SH  | DEFINED | 01 | 0 |
| SIGMA DESIGNS INC              | COM      | 826565103 | 17     | 1495    | SH  | DEFINED | 01 | 0 |
| SIGNATURE BANK                 | COM      | 82669G104 | 27194  | 700191  | SH  | DEFINED | 01 | 0 |
| SIGNATURE BANK                 | COM      | 82669G104 | 5      | 135     | SH  | DEFINED | 01 | 1 |
| SIGA TECHNOLOGIES INC          | COM      | 826917106 | 21     | 2550    | SH  | DEFINED | 01 | 0 |
| SIGA TECHNOLOGIES INC          | COM      | 826917106 | 17     | 2000    | SH  | DEFINED | 01 | 1 |
| SILICON LABORATORIES INC       | COM      | 826919102 | 10193  | 278120  | SH  | DEFINED | 01 | 0 |
| SILICON LABORATORIES INC       | COM      | 826919102 | 18     | 485     | SH  | DEFINED | 01 | 1 |
| SILGAN HOLDINGS INC            | COM      | 827048109 | 23739  | 748886  | SH  | DEFINED | 01 | 0 |
| SILGAN HOLDINGS INC            | COM      | 827048109 | 19     | 602     | SH  | DEFINED | 01 | 1 |
| SILICON IMAGE INC              | COM      | 82705T102 | 982    | 205340  | SH  | DEFINED | 01 | 0 |
| SILICON IMAGE INC              | COM      | 82705T102 | 11     | 2200    | SH  | DEFINED | 01 | 1 |
| SILICON MOTION TECHNOLOGY      | COM      | 82706C108 | 17     | 3200    | SH  | DEFINED | 01 | 1 |
| SILICON GRAPHICS INTERNATIONAL | COM      | 82706L108 | 20     | 2505    | SH  | DEFINED | 01 | 0 |
| SILICON GRAPHICS INTERNATIONAL | COM      | 82706L108 | 8      | 1000    | SH  | DEFINED | 01 | 1 |
| SILICONWARE PRECISION-SP ADR   | COM      | 827084864 | 13     | 2300    | SH  | DEFINED | 01 | 0 |
| SILICONWARE PRECISION-SP ADR   | COM      | 827084864 | 164    | 30250   | SH  | DEFINED | 01 | 1 |
| SILVER STANDARD RESOURCES      | COM      | 82823L106 | 1234   | 61745   | SH  | DEFINED | 01 | 0 |
| SILVER STANDARD RESOURCES      | COM      | 82823L106 | 10     | 517     | SH  | DEFINED | 01 | 1 |
| SILVER WHEATON CORP            | COM      | 828336107 | 22016  | 826111  | SH  | DEFINED | 01 | 0 |
| SILVER WHEATON CORP            | COM      | 828336107 | 664    | 25000   | SH  | DEFINED | 01 | 1 |
| SILVER WHEATON CORP            | COM      | 828336107 | 963    | 36117   | SH  | DEFINED | 01 | 1 |
| SILVERCORP METALS INC COM NP   | COM      | 82835P103 | 43     | 5173    | SH  | DEFINED | 01 | 1 |
| SIMCERE PHARMACEUTICAL-ADR     | COM      | 82859P104 | 0      | 20      | SH  | DEFINED | 01 | 0 |
| SIMMONS FIRST NATL CORP-CL A   | COM      | 828730200 | 9101   | 321929  | SH  | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM      | 828806109 | 192995 | 2081035 | SH  | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM      | 828806109 | 1426   | 15375   | SH  | DEFINED | 01 | 0 |
| SIMON PROPERTY GROUP INC       | COM      | 828806109 | 873    | 9416    | SH  | DEFINED | 01 | 1 |
| SIMON PROPERTY GROUP INC       | COM      | 828806109 | 313    | 3373    | SH  | DEFINED | 01 | 1 |
| SILVER PEAKS SYSTEMS           | COM      | 82899H930 | 2332   | 2620545 | SH  | DEFINED | 01 | 0 |
| MIASOLE CVT SECURED PROM NT 5. | CONV BND | 82899Q054 | 211    | 210905  | PRN | DEFINED | 01 | 0 |
| MIASOLE                        | COM      | 82899Q997 | 1611   | 805620  | SH  | DEFINED | 01 | 0 |
| MIASOLE SECURE PROM NT WARRANT | WT       | 82899QW59 | 0      | 1       | SH  | DEFINED | 01 | 0 |
| SIMPSON MANUFACTURING CO INC   | COM      | 829073105 | 33555  | 1301621 | SH  | DEFINED | 01 | 0 |
| SIMPSON MANUFACTURING CO INC   | COM      | 829073105 | 5      | 210     | SH  | DEFINED | 01 | 1 |
| SIMS GROUP LTD- SPON ADR       | COM      | 829160100 | 3      | 203     | SH  | DEFINED | 01 | 0 |
| SINCLAIR BROADCAST GROUP-A     | COM      | 829226109 | 26     | 3740    | SH  | DEFINED | 01 | 0 |
| SINCLAIR BROADCAST GROUP-A     | COM      | 829226109 | 43     | 6065    | SH  | DEFINED | 01 | 1 |
| SINGAPORE FD INC               | COM      | 82929L109 | 9      | 600     | SH  | DEFINED | 01 | 1 |
| SINGAPORE TELECOMMUNICAT       | COM      | 82929R304 | 105    | 4375    | SH  | DEFINED | 01 | 0 |
| SINGAPORE AIRLS LTD            | COM      | 82930C106 | 27     | 1080    | SH  | DEFINED | 01 | 0 |
| SINO FOREST CORP               | CONV BND | 82934HAB7 | 2882   | 2561000 | PRN | DEFINED | 01 | 0 |
| SINOPEC SHANGHAI-SPONS ADR     | COM      | 82935M109 | 0      | 10      | SH  | DEFINED | 01 | 0 |
| SINOPEC SHANGHAI-SPONS ADR     | COM      | 82935M109 | 1      | 22      | SH  | DEFINED | 01 | 1 |
| SINOPHARM GROUP CO-H           | COM      | 829421999 | 2546   | 616400  | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 4157   | 115324  | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 4913   | 136327  | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 182    | 5050    | SH  | DEFINED | 01 | 0 |
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 76432  | 2123092 | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |       |          |     |         |    |   |
|--------------------------------|----------|-----------|-------|----------|-----|---------|----|---|
| SIRONA DENTAL SYSTEMS INC      | COM      | 82966C103 | 7     | 200      | SH  | DEFINED | 01 | 1 |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 12274 | 10228403 | SH  | DEFINED | 01 | 0 |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 219   | 182389   | SH  | DEFINED | 01 | 0 |
| SIRIUS XM RADIO INC            | COM      | 82967N108 | 548   | 456843   | SH  | DEFINED | 01 | 1 |
| SIX FLAGS ENTERTAINMENT CORP   | COM      | 83001A102 | 0     | 1        | SH  | DEFINED | 01 | 0 |
| SKECHERS USA INC-CL A          | COM      | 830566105 | 4392  | 187019   | SH  | DEFINED | 01 | 0 |
| SKECHERS USA INC-CL A          | COM      | 830566105 | 31    | 1340     | SH  | DEFINED | 01 | 1 |
| SKILLED HEALTHCARE GROU-CL A   | COM      | 83066R107 | 424   | 108100   | SH  | DEFINED | 01 | 0 |
| SKILLED HEALTHCARE GROU-CL A   | COM      | 83066R107 | 1     | 250      | SH  | DEFINED | 01 | 1 |
| SKYLINE CORP                   | COM      | 830830105 | 664   | 32756    | SH  | DEFINED | 01 | 0 |
| SKYWEST INC                    | COM      | 830879102 | 10612 | 760202   | SH  | DEFINED | 01 | 0 |
| SKYWEST INC                    | COM      | 830879102 | 3     | 200      | SH  | DEFINED | 01 | 1 |
| SKYWORKS SOLUTIONS INC         | COM      | 83088M102 | 10355 | 500751   | SH  | DEFINED | 01 | 0 |
| SKYWORKS SOLUTIONS INC         | COM      | 83088M102 | 246   | 11900    | SH  | DEFINED | 01 | 1 |
| SMART BALANCE INC              | COM      | 83169Y108 | 22    | 5590     | SH  | DEFINED | 01 | 0 |
| SMART BALANCE INC              | COM      | 83169Y108 | 3     | 810      | SH  | DEFINED | 01 | 1 |
| SMARTHEAT INC COM              | COM      | 83172F104 | 6     | 1000     | SH  | DEFINED | 01 | 1 |
| SMART TECHNOLOGIES INC - A     | COM      | 83172R108 | 2254  | 166341   | SH  | DEFINED | 01 | 0 |
| SMITH & WESSON HOLDING CORP    | COM      | 831756101 | 18    | 5025     | SH  | DEFINED | 01 | 0 |
| SMITH & WESSON HOLDING CORP    | COM      | 831756101 | 47    | 13300    | SH  | DEFINED | 01 | 1 |
| SMITH & NEPHEW PLC -SPON ADR   | COM      | 83175M205 | 49    | 1082     | SH  | DEFINED | 01 | 0 |
| SMITH & NEPHEW PLC -SPON ADR   | COM      | 83175M205 | 128   | 2828     | SH  | DEFINED | 01 | 1 |
| SMITH (A.O.) CORP              | COM      | 831865209 | 49408 | 853486   | SH  | DEFINED | 01 | 0 |
| SMITH (A.O.) CORP              | COM      | 831865209 | 12    | 200      | SH  | DEFINED | 01 | 1 |
| SMITH MICRO SOFTWARE INC       | COM      | 832154108 | 1511  | 151954   | SH  | DEFINED | 01 | 0 |
| SMITH MICRO SOFTWARE INC       | COM      | 832154108 | 7     | 744      | SH  | DEFINED | 01 | 1 |
| SMITHFIELD FOODS INC           | COM      | 832248108 | 25270 | 1501513  | SH  | DEFINED | 01 | 0 |
| SMITHFIELD FOODS INC           | CONV BND | 832248AR9 | 3313  | 3140000  | PRN | DEFINED | 01 | 0 |
| SMITHTOWN BANCORP INC          | COM      | 832449102 | 1     | 290      | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 99838 | 1649392  | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 380   | 6279     | SH  | DEFINED | 01 | 0 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 3657  | 60445    | SH  | DEFINED | 01 | 1 |
| JM SMUCKER CO/THE              | COM      | 832696405 | 166   | 2743     | SH  | DEFINED | 01 | 1 |
| SMURFIT-STONE CONTAINER        | COM      | 83272A104 | 0     | 21       | SH  | DEFINED | 01 | 1 |
| SNAM RETE GAS SPA              | COM      | 833031107 | 16    | 1620     | SH  | DEFINED | 01 | 0 |
| SNAP-ON INC                    | COM      | 833034101 | 1177  | 25297    | SH  | DEFINED | 01 | 0 |
| SNAP-ON INC                    | COM      | 833034101 | 142   | 3050     | SH  | DEFINED | 01 | 0 |
| SNAP-ON INC                    | COM      | 833034101 | 36    | 772      | SH  | DEFINED | 01 | 1 |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 8340  | 172898   | SH  | DEFINED | 01 | 0 |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 15502 | 321678   | SH  | DEFINED | 01 | 1 |
| QUIMICA Y MINERA CHIL-SP ADR   | COM      | 833635105 | 296   | 6142     | SH  | DEFINED | 01 | 1 |
| SOCIETE GENERALE-SPONS ADR     | COM      | 83364L109 | 146   | 12730    | SH  | DEFINED | 01 | 0 |
| SODEXO                         | COM      | 833792104 | 15    | 230      | SH  | DEFINED | 01 | 0 |
| SOFTWARE HOLDERS TR DEPOSITARY | COM      | 83404B103 | 8     | 200      | SH  | DEFINED | 01 | 1 |
| SOHU.COM INC                   | COM      | 83408W103 | 5     | 90       | SH  | DEFINED | 01 | 0 |
| SOHU.COM INC                   | COM      | 83408W103 | 84    | 1450     | SH  | DEFINED | 01 | 1 |
| SOLAR CAPITAL LTD              | COM      | 83413U100 | 182   | 8475     | SH  | DEFINED | 01 | 0 |
| SOLAR CAPITAL LTD              | COM      | 83413U100 | 23    | 1050     | SH  | DEFINED | 01 | 1 |
| SOLARFUN POWER HOLD-SPON ADR   | COM      | 83415U108 | 1088  | 82700    | SH  | DEFINED | 01 | 0 |
| SOLARFUN POWER HOLD-SPON ADR   | COM      | 83415U108 | 38    | 2902     | SH  | DEFINED | 01 | 0 |
| SOLARFUN POWER HOLD-SPON ADR   | COM      | 83415U108 | 3     | 250      | SH  | DEFINED | 01 | 1 |
| SOLARWINDS INC                 | COM      | 83416B109 | 46    | 2660     | SH  | DEFINED | 01 | 0 |
| SOLERA HOLDINGS INC            | COM      | 83421A104 | 17448 | 395118   | SH  | DEFINED | 01 | 0 |
| SOLERA HOLDINGS INC            | COM      | 83421A104 | 4701  | 106451   | SH  | DEFINED | 01 | 1 |
| SOLERA HOLDINGS INC            | COM      | 83421A104 | 909   | 20595    | SH  | DEFINED | 01 | 1 |
| SOLUTIA INC                    | COM      | 834376501 | 27775 | 1733829  | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| SOLTA MEDICAL INC            | COM | 83438K103 | 9      | 4280    | SH | DEFINED | 01 | 0 |
| SOLVAY S A                   | COM | 834437105 | 10     | 106     | SH | DEFINED | 01 | 0 |
| SOMAXON PHARMACEUTICALS INC  | COM | 834453102 | 9      | 2350    | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 2841   | 351693  | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 20     | 2465    | SH | DEFINED | 01 | 0 |
| SONIC CORP                   | COM | 835451105 | 2      | 289     | SH | DEFINED | 01 | 1 |
| SONIC AUTOMOTIVE INC-CLASS A | COM | 83545G102 | 1797   | 182818  | SH | DEFINED | 01 | 0 |
| SONIC SOLUTIONS              | COM | 835460106 | 6551   | 575586  | SH | DEFINED | 01 | 0 |
| SONIC SOLUTIONS              | COM | 835460106 | 6      | 525     | SH | DEFINED | 01 | 1 |
| SONOCO PRODUCTS CO           | COM | 835495102 | 33127  | 990616  | SH | DEFINED | 01 | 0 |
| SONOCO PRODUCTS CO           | COM | 835495102 | 36     | 1088    | SH | DEFINED | 01 | 1 |
| SONOSITE INC                 | COM | 83568G104 | 3400   | 101455  | SH | DEFINED | 01 | 0 |
| SONOSITE INC                 | COM | 83568G104 | 73     | 2166    | SH | DEFINED | 01 | 1 |
| SONY CORP-SPONSORED ADR      | COM | 835699307 | 203    | 6571    | SH | DEFINED | 01 | 0 |
| SONY CORP-SPONSORED ADR      | COM | 835699307 | 81     | 2604    | SH | DEFINED | 01 | 1 |
| SONY FINL HLDGS INC          | COM | 835707100 | 2      | 70      | SH | DEFINED | 01 | 0 |
| SOTHEYBY'S                   | COM | 835898107 | 58639  | 1592542 | SH | DEFINED | 01 | 0 |
| SONUS NETWORKS INC           | COM | 835916107 | 60     | 17185   | SH | DEFINED | 01 | 0 |
| SONUS NETWORKS INC           | COM | 835916107 | 18     | 5110    | SH | DEFINED | 01 | 1 |
| SOUFUN HOLDINGS LTD ADR      | COM | 836034108 | 810    | 12425   | SH | DEFINED | 01 | 0 |
| SOURCE CAP INC               | COM | 836144105 | 67     | 1449    | SH | DEFINED | 01 | 1 |
| SOURCEFIRE INC               | COM | 83616T108 | 17230  | 597428  | SH | DEFINED | 01 | 0 |
| SOUTH FINANCIAL GROUP INC    | COM | 837841105 | 68     | 238020  | SH | DEFINED | 01 | 0 |
| SOUTH JERSEY INDUSTRIES      | COM | 838518108 | 41538  | 839668  | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 29050  | 780088  | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 379    | 10182   | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 1625   | 43649   | SH | DEFINED | 01 | 0 |
| SOUTHERN CO                  | COM | 842587107 | 860    | 23119   | SH | DEFINED | 01 | 1 |
| SOUTHERN CO                  | COM | 842587107 | 3568   | 95818   | SH | DEFINED | 01 | 1 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 192211 | 5472993 | SH | DEFINED | 01 | 0 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 17428  | 496252  | SH | DEFINED | 01 | 0 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 29696  | 846749  | SH | DEFINED | 01 | 1 |
| SOUTHERN COPPER CORP         | COM | 84265V105 | 897    | 25545   | SH | DEFINED | 01 | 1 |
| SOUTHERN UNION CO            | COM | 844030106 | 7626   | 316973  | SH | DEFINED | 01 | 0 |
| SOUTHERN UNION CO            | COM | 844030106 | 726    | 30172   | SH | DEFINED | 01 | 1 |
| SOUTHSIDE BANCSHARES INC     | COM | 84470P109 | 38     | 1993    | SH | DEFINED | 01 | 0 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 5162   | 395071  | SH | DEFINED | 01 | 0 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 512    | 39189   | SH | DEFINED | 01 | 0 |
| SOUTHWEST AIRLINES CO        | COM | 844741108 | 266    | 20379   | SH | DEFINED | 01 | 1 |
| SOUTHWEST BANCORP INC/OKLA   | COM | 844767103 | 958    | 73763   | SH | DEFINED | 01 | 0 |
| SOUTHWEST BANCORP INC/OKLA   | COM | 844767103 | 0      | 1       | SH | DEFINED | 01 | 1 |
| SOUTHWEST GAS CORP           | COM | 844895102 | 11816  | 351786  | SH | DEFINED | 01 | 0 |
| SOUTHWEST GAS CORP           | COM | 844895102 | 73     | 2174    | SH | DEFINED | 01 | 1 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 67213  | 2010015 | SH | DEFINED | 01 | 0 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 608    | 18186   | SH | DEFINED | 01 | 0 |
| SOUTHWESTERN ENERGY CO       | COM | 845467109 | 295    | 8825    | SH | DEFINED | 01 | 1 |
| SOVRAN SELF STORAGE INC      | COM | 84610H108 | 7792   | 205545  | SH | DEFINED | 01 | 0 |
| SOVRAN SELF STORAGE INC      | COM | 84610H108 | 88     | 2317    | SH | DEFINED | 01 | 1 |
| SPANISH BROADCASTING SYS-A   | COM | 846425882 | 153    | 176000  | SH | DEFINED | 01 | 0 |
|                              |     |           |        |         |    |         |    |   |
| SPANSION INC-CLASS A         | COM | 84649R101 | 0      | 10      | SH | DEFINED | 01 | 0 |
| SPANSION INC-CLASS A         | COM | 84649R200 | 13     | 850     | SH | DEFINED | 01 | 0 |
| SPARTAN MOTORS INC           | COM | 846819100 | 722    | 155438  | SH | DEFINED | 01 | 0 |
| SPARTAN MOTORS INC           | COM | 846819100 | 1      | 200     | SH | DEFINED | 01 | 1 |
| SPARTAN STORES INC           | COM | 846822104 | 8963   | 618194  | SH | DEFINED | 01 | 0 |
| SPARTAN STORES INC           | COM | 846822104 | 2      | 140     | SH | DEFINED | 01 | 1 |
| SPARTECH CORP                | COM | 847220209 | 8137   | 991114  | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SPECIAL OPPORTUNIT             | COM | 84741T104 | 6      | 400      | SH | DEFINED | 01 | 1 |
| SPECTRA ENERGY CORP            | COM | 847560109 | 107265 | 4756756  | SH | DEFINED | 01 | 0 |
| SPECTRA ENERGY CORP            | COM | 847560109 | 768    | 34051    | SH | DEFINED | 01 | 0 |
| SPECTRA ENERGY CORP            | COM | 847560109 | 641    | 28424    | SH | DEFINED | 01 | 1 |
| SPECTRANETICS CORP             | COM | 84760C107 | 10494  | 1935929  | SH | DEFINED | 01 | 0 |
| SPECTRANETICS CORP             | COM | 84760C107 | 3      | 600      | SH | DEFINED | 01 | 0 |
| SPECTRUM CONTROL INC           | COM | 847615101 | 5879   | 399352   | SH | DEFINED | 01 | 0 |
| SPECTRUM LTD                   | COM | 847626108 | 0      | 1098     | SH | DEFINED | 01 | 0 |
| SPECTRUM PHARMACEUTICALS INC   | COM | 84763A108 | 18     | 4170     | SH | DEFINED | 01 | 0 |
| SPECTRUM BRANDS HLDGS INC      | COM | 84763R101 | 33     | 1200     | SH | DEFINED | 01 | 0 |
| SPEEDWAY MOTORSPORTS INC       | COM | 847788106 | 23     | 1438     | SH | DEFINED | 01 | 0 |
| SPEEDWAY MOTORSPORTS INC       | COM | 847788106 | 16     | 1000     | SH | DEFINED | 01 | 1 |
| SPIRIT AEROSYSTEMS HOLD-CL A   | COM | 848574109 | 31544  | 1582721  | SH | DEFINED | 01 | 0 |
| SPIRIT AEROSYSTEMS HOLD-CL A   | COM | 848574109 | 20     | 1000     | SH | DEFINED | 01 | 1 |
| SPREADTRUM COMMICATION- ADR    | COM | 849415203 | 1008   | 83698    | SH | DEFINED | 01 | 1 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 89160  | 19256991 | SH | DEFINED | 01 | 0 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 958    | 206941   | SH | DEFINED | 01 | 0 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 1667   | 360837   | SH | DEFINED | 01 | 1 |
| SPRINT NEXTEL CORP             | COM | 852061100 | 131    | 28303    | SH | DEFINED | 01 | 1 |
| SPROTT PHYSICAL GOLDTR UNITS I | COM | 85207H104 | 6      | 500      | SH | DEFINED | 01 | 1 |
| SPROTT RESOURCE LENDING CO     | COM | 85207J100 | 15     | 8738     | SH | DEFINED | 01 | 1 |
| STAAR SURGICAL CO              | COM | 852312305 | 14186  | 2622092  | SH | DEFINED | 01 | 0 |
| STAGE STORES INC               | COM | 85254C305 | 16099  | 1238377  | SH | DEFINED | 01 | 0 |
| STAMPS.COM INC                 | COM | 852857200 | 738    | 56830    | SH | DEFINED | 01 | 0 |
| STANCORP FINANCIAL GROUP       | COM | 852891100 | 8360   | 219994   | SH | DEFINED | 01 | 0 |
| STANDARD BK GROUP LTD          | COM | 853118107 | 29     | 900      | SH | DEFINED | 01 | 0 |
| STANDARD MICROSYSTEMS CORP     | COM | 853626109 | 14640  | 641811   | SH | DEFINED | 01 | 0 |
| STANDARD MICROSYSTEMS CORP     | COM | 853626109 | 1      | 45       | SH | DEFINED | 01 | 1 |
| STANDARD MOTOR PRODS           | COM | 853666105 | 1096   | 104030   | SH | DEFINED | 01 | 0 |
| STANDARD MOTOR PRODS           | COM | 853666105 | 5      | 500      | SH | DEFINED | 01 | 1 |
| STANDARD PACIFIC CORP          | COM | 85375C101 | 1908   | 480462   | SH | DEFINED | 01 | 0 |
| STANDARD PACIFIC CORP          | COM | 85375C101 | 161    | 40660    | SH | DEFINED | 01 | 1 |
| STANDARD PARKING CORP          | COM | 853790103 | 1833   | 107195   | SH | DEFINED | 01 | 0 |
| STANDARD REGISTER CO           | COM | 853887107 | 176    | 60382    | SH | DEFINED | 01 | 0 |
| STANDARD REGISTER CO           | COM | 853887107 | 20     | 6800     | SH | DEFINED | 01 | 1 |
| STANDEX INTERNATIONAL CORP     | COM | 854231107 | 1873   | 77395    | SH | DEFINED | 01 | 0 |
| STANDEX INTERNATIONAL CORP     | COM | 854231107 | 2      | 100      | SH | DEFINED | 01 | 1 |
| STANLEY BLACK & DECKER INC     | COM | 854502101 | 236757 | 3863531  | SH | DEFINED | 01 | 0 |
| STANLEY BLACK & DECKER INC     | COM | 854502101 | 534    | 8707     | SH | DEFINED | 01 | 0 |
| STANLEY BLACK & DECKER INC     | COM | 854502101 | 247    | 4024     | SH | DEFINED | 01 | 1 |
| STANTEC INC COM NPV ISIN #CA85 | COM | 85472N109 | 4      | 135      | SH | DEFINED | 01 | 1 |
| STAPLES INC                    | COM | 855030102 | 220409 | 10535691 | SH | DEFINED | 01 | 0 |
| STAPLES INC                    | COM | 855030102 | 1056   | 50512    | SH | DEFINED | 01 | 0 |
| STAPLES INC                    | COM | 855030102 | 133    | 6381     | SH | DEFINED | 01 | 1 |
| STAR GAS PARTNERS L P SBI      | COM | 85512C105 | 2      | 400      | SH | DEFINED | 01 | 1 |
| STAR SCIENTIFIC INC            | COM | 85517P101 | 39     | 18720    | SH | DEFINED | 01 | 0 |
| STAR SCIENTIFIC INC            | COM | 85517P101 | 176    | 84000    | SH | DEFINED | 01 | 1 |
| STAR TRIBUNE CO                | COM | 85519Y100 | 8      | 471      | SH | DEFINED | 01 | 0 |
| STAR TRIBUNE CO                | WT  | 85519Y118 | 47     | 2617     | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 49357  | 1929707  | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 995    | 38885    | SH | DEFINED | 01 | 0 |
| STARBUCKS CORP                 | COM | 855244109 | 29831  | 1249726  | SH | DEFINED | 01 | 1 |
| STARBUCKS CORP                 | COM | 855244109 | 1099   | 43023    | SH | DEFINED | 01 | 1 |
| STARTEK INC                    | COM | 85569C107 | 767    | 183514   | SH | DEFINED | 01 | 0 |
| STATE AUTO FINANCIAL CORP      | COM | 855707105 | 5214   | 342800   | SH | DEFINED | 01 | 0 |
| STATE AUTO FINANCIAL CORP      | COM | 855707105 | 6      | 409      | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| STATE BANCORP INC              | COM      | 855716106 | 14     | 1545    | SH  | DEFINED | 01 | 0 |
| STARWOOD PROPERTY REIT         | COM      | 85571B105 | 14695  | 739559  | SH  | DEFINED | 01 | 0 |
| STARWOOD HOTELS & RESORTS      | COM      | 85590A401 | 156191 | 2972241 | SH  | DEFINED | 01 | 0 |
| STARWOOD HOTELS & RESORTS      | COM      | 85590A401 | 666    | 12680   | SH  | DEFINED | 01 | 0 |
| STARWOOD HOTELS & RESORTS      | COM      | 85590A401 | 1166   | 22183   | SH  | DEFINED | 01 | 1 |
| STATE BK OF INDIA-144A S GDR   | COM      | 856552104 | 12977  | 90558   | SH  | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM      | 857477103 | 36959  | 981368  | SH  | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM      | 857477103 | 993    | 26360   | SH  | DEFINED | 01 | 0 |
| STATE STREET CORP              | COM      | 857477103 | 407    | 10801   | SH  | DEFINED | 01 | 1 |
| STATOIL ASA-SPON ADR           | COM      | 85771P102 | 80     | 3796    | SH  | DEFINED | 01 | 0 |
| STATOIL ASA-SPON ADR           | COM      | 85771P102 | 44     | 2114    | SH  | DEFINED | 01 | 1 |
| STEEL DYNAMICS INC             | COM      | 858119100 | 39628  | 2808492 | SH  | DEFINED | 01 | 0 |
| STEEL DYNAMICS INC             | COM      | 858119100 | 98     | 6916    | SH  | DEFINED | 01 | 0 |
| STEEL DYNAMICS INC             | COM      | 858119100 | 132    | 9361    | SH  | DEFINED | 01 | 1 |
| STEEL DYNAMICS INC             | CONV BND | 858119AP5 | 4027   | 3560000 | PRN | DEFINED | 01 | 0 |
| STEELCASE INC-CL A             | COM      | 858155203 | 1620   | 194496  | SH  | DEFINED | 01 | 0 |
| STEELCASE INC-CL A             | COM      | 858155203 | 2      | 255     | SH  | DEFINED | 01 | 1 |
| STEIN MART INC                 | COM      | 858375108 | 1288   | 145835  | SH  | DEFINED | 01 | 0 |
| STEINWAY MUSICAL INSTRUMENTS   | COM      | 858495104 | 6921   | 401905  | SH  | DEFINED | 01 | 0 |
| STELLARONE CORP                | COM      | 85856G100 | 22     | 1670    | SH  | DEFINED | 01 | 0 |
| STEMCELLS INC                  | COM      | 85857R105 | 7      | 8140    | SH  | DEFINED | 01 | 0 |
| STEMCELLS INC                  | COM      | 85857R105 | 0      | 300     | SH  | DEFINED | 01 | 1 |
| STEPAN CO                      | COM      | 858586100 | 6142   | 103883  | SH  | DEFINED | 01 | 0 |
| STERLING BANCSHARES INC/TX     | COM      | 858907108 | 12583  | 2343397 | SH  | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM      | 858912108 | 19132  | 275354  | SH  | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM      | 858912108 | 311    | 4471    | SH  | DEFINED | 01 | 0 |
| STERICYCLE INC                 | COM      | 858912108 | 35633  | 512862  | SH  | DEFINED | 01 | 1 |
| STERICYCLE INC                 | COM      | 858912108 | 113    | 1620    | SH  | DEFINED | 01 | 1 |
| STERIS CORP                    | COM      | 859152100 | 16193  | 487452  | SH  | DEFINED | 01 | 0 |
| STERIS CORP                    | COM      | 859152100 | 57     | 1711    | SH  | DEFINED | 01 | 1 |
| STERLING BANCORP-N Y           | COM      | 859158107 | 14180  | 1631808 | SH  | DEFINED | 01 | 0 |
| STERLING BANCORP-N Y           | COM      | 859158107 | 1      | 95      | SH  | DEFINED | 01 | 1 |
| STEREOTAXIS INC                | COM      | 85916J102 | 10     | 2365    | SH  | DEFINED | 01 | 0 |
| STERLING CONSTRUCTION CO       | COM      | 859241101 | 27190  | 2196206 | SH  | DEFINED | 01 | 0 |
| STERLING FINL CORP/SPOKANE     | COM      | 859319105 | 1      | 1620    | SH  | DEFINED | 01 | 0 |
| STERLITE INDUSTRIES INDI-ADR   | COM      | 859737207 | 14     | 966     | SH  | DEFINED | 01 | 0 |
| STERLITE INDUSTRIES INDI-ADR   | COM      | 859737207 | 29     | 1940    | SH  | DEFINED | 01 | 1 |
| STERLITE INDUSTRIES (INDIA) LT | CONV BND | 859737AB4 | 4562   | 4710000 | PRN | DEFINED | 01 | 0 |
| STEWARDSHIP FINL CORP          | COM      | 860326107 | 10     | 1302    | SH  | DEFINED | 01 | 1 |
| STEWART ENTERPRISES INC-CL A   | COM      | 860370105 | 14026  | 2602132 | SH  | DEFINED | 01 | 0 |
| STEWART INFORMATION SERVICES   | COM      | 860372101 | 7249   | 640423  | SH  | DEFINED | 01 | 0 |
| STEWART INFORMATION SERVICES   | COM      | 860372101 | 59     | 5205    | SH  | DEFINED | 01 | 1 |
| STIFEL FINANCIAL CORP          | COM      | 860630102 | 29356  | 634177  | SH  | DEFINED | 01 | 0 |
| STILLWATER MINING CO           | COM      | 86074Q102 | 15589  | 925700  | SH  | DEFINED | 01 | 0 |
| STILLWATER MINING CO           | COM      | 86074Q102 | 134    | 7931    | SH  | DEFINED | 01 | 1 |
|                                |          |           |        |         |     |         |    |   |
| STMICROELECTRONICS NV-NY SHS   | COM      | 861012102 | 29     | 3819    | SH  | DEFINED | 01 | 0 |
| STMICROELECTRONICS NV-NY SHS   | COM      | 861012102 | 56     | 7276    | SH  | DEFINED | 01 | 1 |
| STONE ENERGY CORP              | COM      | 861642106 | 26173  | 1776987 | SH  | DEFINED | 01 | 0 |
| STONE ENERGY CORP              | COM      | 861642106 | 24     | 1650    | SH  | DEFINED | 01 | 1 |
| STONERIDGE INC                 | COM      | 86183P102 | 14     | 1310    | SH  | DEFINED | 01 | 0 |
| STONEMOR PARTNERS LPCOM UNITS  | COM      | 86183Q100 | 13     | 500     | SH  | DEFINED | 01 | 1 |
| STORA ENSO OYJ-SPONS ADR       | COM      | 86210M106 | 27     | 2720    | SH  | DEFINED | 01 | 0 |
| STRATASYS INC                  | COM      | 862685104 | 7092   | 255831  | SH  | DEFINED | 01 | 0 |
| STRATASYS INC                  | COM      | 862685104 | 3      | 95      | SH  | DEFINED | 01 | 1 |
| STRATEGIC DIAGNOSTIC           | COM      | 862700101 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| STRATEGIC HOTELS & RESORTS I   | COM      | 86272T106 | 39     | 9218    | SH  | DEFINED | 01 | 0 |



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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| STRATUS PROPERTIES INC         | COM | 863167201 | 3     | 427     | SH | DEFINED | 01 | 0 |
| STRAYER EDUCATION INC          | COM | 863236105 | 5888  | 33742   | SH | DEFINED | 01 | 0 |
| STRAYER EDUCATION INC          | COM | 863236105 | 3101  | 17762   | SH | DEFINED | 01 | 1 |
| STRAYER EDUCATION INC          | COM | 863236105 | 14    | 83      | SH | DEFINED | 01 | 1 |
| STREAM GLOBAL SERVICES INC     | COM | 86323M100 | 1     | 300     | SH | DEFINED | 01 | 0 |
| STRYKER CORP                   | COM | 863667101 | 17340 | 346466  | SH | DEFINED | 01 | 0 |
| STRYKER CORP                   | COM | 863667101 | 898   | 17941   | SH | DEFINED | 01 | 0 |
| STRYKER CORP                   | COM | 863667101 | 7211  | 152200  | SH | DEFINED | 01 | 1 |
| STRYKER CORP                   | COM | 863667101 | 473   | 9460    | SH | DEFINED | 01 | 1 |
| STUDENT LOAN CORP              | COM | 863902102 | 832   | 28020   | SH | DEFINED | 01 | 0 |
| STUDENT LOAN CORP              | COM | 863902102 | 0     | 9       | SH | DEFINED | 01 | 1 |
| STURM RUGER & CO INC           | COM | 864159108 | 4459  | 326906  | SH | DEFINED | 01 | 0 |
| STURM RUGER & CO INC           | COM | 864159108 | 18    | 1320    | SH | DEFINED | 01 | 1 |
| SUBURBAN PROPANE PARTNERS L    | COM | 864482104 | 251   | 4606    | SH | DEFINED | 01 | 1 |
| SUCCESSFACTORS INC             | COM | 864596101 | 54912 | 2186875 | SH | DEFINED | 01 | 0 |
| SUEZ ENVIRONNEMENT CO S        | COM | 864691100 | 4     | 420     | SH | DEFINED | 01 | 0 |
| SUFFOLK BANCORP                | COM | 864739107 | 16    | 635     | SH | DEFINED | 01 | 0 |
| SUCAMPO PHARMACEUTICALS-CL A   | COM | 864909106 | 4     | 985     | SH | DEFINED | 01 | 0 |
| SUMITOMO CORP                  | COM | 865613103 | 36    | 2830    | SH | DEFINED | 01 | 0 |
| SUMITOMO METAL INDS LTD        | COM | 865621304 | 19    | 740     | SH | DEFINED | 01 | 0 |
| SUMITOMO TR & BKG LTD SPONSORE | COM | 865625206 | 26    | 5283    | SH | DEFINED | 01 | 0 |
| SUMITOMO MITSUI-UNSPONS ADR    | COM | 86562M100 | 187   | 63941   | SH | DEFINED | 01 | 0 |
| SUMMER INFANT INC              | COM | 865646103 | 1132  | 144810  | SH | DEFINED | 01 | 0 |
| SUN BANCORP INC-NJ             | COM | 86663B102 | 3     | 635     | SH | DEFINED | 01 | 0 |
| SUN COMMUNITIES INC            | COM | 866674104 | 1554  | 50647   | SH | DEFINED | 01 | 0 |
| SUN HUNG KAI PPTYS LTD         | COM | 86676H302 | 81    | 4710    | SH | DEFINED | 01 | 0 |
| SUN LIFE FINANCIAL INC         | COM | 866796105 | 27    | 1020    | SH | DEFINED | 01 | 0 |
| SUN LIFE FINANCIAL INC         | COM | 866796105 | 21    | 808     | SH | DEFINED | 01 | 1 |
| SUN HEALTHCARE GROUP INC       | COM | 866933401 | 13209 | 1559282 | SH | DEFINED | 01 | 0 |
| SUN HYDRAULICS CORP            | COM | 866942105 | 31    | 1100    | SH | DEFINED | 01 | 0 |
| SUNAMERICA FOCUSED ALPHA GROW  | COM | 867037103 | 28    | 1800    | SH | DEFINED | 01 | 1 |
| SUNAMERICA FOCUSED ALPHA LARG  | COM | 867038101 | 36    | 2492    | SH | DEFINED | 01 | 1 |
| SUNCOR ENERGY INC              | COM | 867224107 | 22522 | 691963  | SH | DEFINED | 01 | 0 |
| SUNCOR ENERGY INC              | COM | 867224107 | 519   | 15958   | SH | DEFINED | 01 | 1 |
| SUNOCO LOGISTICS PARTNERS L    | COM | 86764L108 | 214   | 2717    | SH | DEFINED | 01 | 1 |
| SUNOCO INC                     | COM | 86764P109 | 3193  | 87536   | SH | DEFINED | 01 | 0 |
| SUNOCO INC                     | COM | 86764P109 | 232   | 6347    | SH | DEFINED | 01 | 0 |
| SUNOCO INC                     | COM | 86764P109 | 121   | 3325    | SH | DEFINED | 01 | 1 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 18679 | 1297274 | SH | DEFINED | 01 | 0 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 138   | 9583    | SH | DEFINED | 01 | 0 |
| SUNPOWER CORP-CLASS A          | COM | 867652109 | 274   | 19052   | SH | DEFINED | 01 | 1 |
| SUNPOWER CORP-CLASS B          | COM | 867652307 | 17    | 1236    | SH | DEFINED | 01 | 0 |
| SUNPOWER CORP-CLASS B          | COM | 867652307 | 7     | 483     | SH | DEFINED | 01 | 1 |
| SUNRISE SENIOR LIVING INC      | COM | 86768K106 | 23    | 6542    | SH | DEFINED | 01 | 0 |
| SUNOPTA INC COM NPV ISIN #CA86 | COM | 8676EP108 | 2     | 409     | SH | DEFINED | 01 | 1 |
| SUNSTONE HOTEL INVESTORS INC   | COM | 867892101 | 7311  | 806111  | SH | DEFINED | 01 | 0 |
| SUNSTONE HOTEL INVESTORS INC   | COM | 867892101 | 4     | 395     | SH | DEFINED | 01 | 1 |
| SUNTRUST BANKS INC             | COM | 867914103 | 59101 | 2288065 | SH | DEFINED | 01 | 0 |
| SUNTRUST BANKS INC             | COM | 867914103 | 678   | 26259   | SH | DEFINED | 01 | 0 |
| SUNTRUST BANKS INC             | COM | 867914103 | 54    | 2095    | SH | DEFINED | 01 | 1 |
| SUPERCONDUCTOR TECHNOLOGI      | COM | 867931305 | 0     | 15      | SH | DEFINED | 01 | 1 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 3542  | 367394  | SH | DEFINED | 01 | 0 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 55    | 5704    | SH | DEFINED | 01 | 0 |
| SUNTECH POWER HOLDINGS-ADR     | COM | 86800C104 | 185   | 19173   | SH | DEFINED | 01 | 1 |
| SUPER MICRO COMPUTER INC       | COM | 86800U104 | 3223  | 310168  | SH | DEFINED | 01 | 0 |
| SUPER MICRO COMPUTER INC       | COM | 86800U104 | 23    | 2250    | SH | DEFINED | 01 | 1 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| SUPERGEN INC                   | COM | 868059106 | 12     | 5460     | SH | DEFINED | 01 | 0 |
| SUPERGEN INC                   | COM | 868059106 | 1      | 500      | SH | DEFINED | 01 | 1 |
| SUPERIOR BANCORP               | COM | 86806M205 | 2      | 1780     | SH | DEFINED | 01 | 0 |
| SUPERIOR ENERGY SERVICES INC   | COM | 868157108 | 5413   | 202802   | SH | DEFINED | 01 | 0 |
| SUPERIOR ENERGY SERVICES INC   | COM | 868157108 | 10     | 379      | SH | DEFINED | 01 | 1 |
| SUPERIOR INDUSTRIES INTL       | COM | 868168105 | 1952   | 112874   | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 21     | 1976     | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 17     | 1565     | SH | DEFINED | 01 | 0 |
| SUPERMEDIA INC                 | COM | 868447103 | 9      | 815      | SH | DEFINED | 01 | 0 |
| SUPERTEL HOSPITALITYINC MD     | COM | 868526104 | 0      | 130      | SH | DEFINED | 01 | 1 |
| SUPERTEL HOSPITALITYINC VA PFD | PRF | 868526203 | 13     | 1500     | SH | DEFINED | 01 | 1 |
| SUPERTEX INC                   | COM | 868532102 | 3433   | 155194   | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 1211   | 104863   | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 129    | 11145    | SH | DEFINED | 01 | 0 |
| SUPERVALU INC                  | COM | 868536103 | 241    | 20902    | SH | DEFINED | 01 | 1 |
| SUPPORT.COM INC                | COM | 86858W101 | 19     | 3985     | SH | DEFINED | 01 | 0 |
| SUREWEST COMMUNICATIONS        | COM | 868733106 | 9      | 1200     | SH | DEFINED | 01 | 0 |
| SURGUTNEFTEGAZ JSC             | COM | 868861105 | 6      | 1410     | SH | DEFINED | 01 | 0 |
| SURGUTNEFTEGAZ-SP ADR          | COM | 868861204 | 130    | 13794    | SH | DEFINED | 01 | 0 |
| SURMODICS INC                  | COM | 868873100 | 983    | 82471    | SH | DEFINED | 01 | 0 |
| SUSQUEHANNA BANCSHARES INC     | COM | 869099101 | 5938   | 703606   | SH | DEFINED | 01 | 0 |
| SUSQUEHANNA BANCSHARES INC     | COM | 869099101 | 8      | 1000     | SH | DEFINED | 01 | 1 |
| SUSSER HOLDINGS CORP           | COM | 869233106 | 12     | 900      | SH | DEFINED | 01 | 0 |
| SUSSEX BANCORP                 | COM | 869245100 | 2      | 400      | SH | DEFINED | 01 | 1 |
| SUZANO PAPEL E CELULOSE SA     | PRF | 869410993 | 11534  | 1221303  | SH | DEFINED | 01 | 0 |
| SVENSKA CELLULOSA AKTIEBOLAGAD | COM | 869587402 | 73     | 4818     | SH | DEFINED | 01 | 0 |
| SUZANO PAPEL E CELULO-SP ADR   | COM | 86959K105 | 7      | 260      | SH | DEFINED | 01 | 0 |
| SWEDBANK A B                   | COM | 870195104 | 30     | 2170     | SH | DEFINED | 01 | 0 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297199 | 24     | 2635     | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297215 | 3      | 520      | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297306 | 23     | 4006     | SH | DEFINED | 01 | 1 |
| SWEDISH EXPT CR CORPELEMENTS L | COM | 870297405 | 42     | 3902     | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297603 | 186    | 21265    | SH | DEFINED | 01 | 1 |
| SVENSK EXPORTKREDIT AKTIEBOLAG | COM | 870297801 | 953    | 119484   | SH | DEFINED | 01 | 1 |
| SWIFT ENERGY CO                | COM | 870738101 | 35056  | 1248439  | SH | DEFINED | 01 | 0 |
| SWIRE PAC LTD ADR SPONS A      | COM | 870794302 | 61     | 4430     | SH | DEFINED | 01 | 0 |
| SWISS REINS CO ADR SPONSORED   | COM | 870887205 | 26     | 580      | SH | DEFINED | 01 | 0 |
| SWISSCOM AG                    | COM | 871013108 | 64     | 1570     | SH | DEFINED | 01 | 0 |
| SYCAMORE NETWORKS INC          | COM | 871206405 | 73     | 2231     | SH | DEFINED | 01 | 0 |
| SYCAMORE NETWORKS INC          | COM | 871206405 | 7690   | 237643   | SH | DEFINED | 01 | 1 |
| SYCAMORE NETWORKS INC          | COM | 871206405 | 0      | 11       | SH | DEFINED | 01 | 1 |
|                                |     |           |        |          |    |         |    |   |
| SYKES ENTERPRISES INC          | COM | 871237103 | 3573   | 263108   | SH | DEFINED | 01 | 0 |
| SYKES ENTERPRISES INC          | COM | 871237103 | 26     | 1934     | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                  | COM | 871503108 | 387051 | 25514503 | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                  | COM | 871503108 | 1325   | 87307    | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                  | COM | 871503108 | 70     | 4629     | SH | DEFINED | 01 | 0 |
| SYMANTEC CORP                  | COM | 871503108 | 26472  | 1735526  | SH | DEFINED | 01 | 1 |
| SYMANTEC CORP                  | COM | 871503108 | 602    | 39804    | SH | DEFINED | 01 | 1 |
| SYMETRA FINANCIAL CORP         | COM | 87151Q106 | 1      | 80       | SH | DEFINED | 01 | 0 |
| SYMMETRICOM INC                | COM | 871543104 | 7781   | 1360476  | SH | DEFINED | 01 | 0 |
| SYMMETRICOM INC                | COM | 871543104 | 2      | 414      | SH | DEFINED | 01 | 1 |
| SYMMETRY MEDICAL INC           | COM | 871546206 | 16898  | 1752889  | SH | DEFINED | 01 | 0 |
| SYNALLOY CORP DEL              | COM | 871565107 | 0      | 15       | SH | DEFINED | 01 | 1 |
| SYNCHRONOSS TECHNOLOGIES INC   | COM | 87157B103 | 34     | 1861     | SH | DEFINED | 01 | 0 |
| SYNAPTICS INC                  | COM | 87157D109 | 8379   | 297753   | SH | DEFINED | 01 | 0 |
| SYNAPTICS INC                  | COM | 87157D109 | 115    | 4100     | SH | DEFINED | 01 | 1 |

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

|                              |          |           |        |          |     |         |    |   |
|------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| SYNAPTICS INC                | COM      | 87157D109 | 42     | 1500     | SH  | DEFINED | 01 | 1 |
| SYNOPSIS INC                 | COM      | 871607107 | 535379 | 21613949 | SH  | DEFINED | 01 | 0 |
| SYNOPSIS INC                 | COM      | 871607107 | 31     | 1270     | SH  | DEFINED | 01 | 0 |
| SYNOPSIS INC                 | COM      | 871607107 | 1983   | 87545    | SH  | DEFINED | 01 | 1 |
| SYNOPSIS INC                 | COM      | 871607107 | 36     | 1470     | SH  | DEFINED | 01 | 1 |
| SYNGENTA AG-ADR              | COM      | 87160A100 | 8200   | 164701   | SH  | DEFINED | 01 | 0 |
| SYNGENTA AG-ADR              | COM      | 87160A100 | 43     | 862      | SH  | DEFINED | 01 | 1 |
| SYNOVUS FINANCIAL CORP       | COM      | 87161C105 | 17083  | 6944316  | SH  | DEFINED | 01 | 0 |
| SYNOVUS FINANCIAL CORP       | COM      | 87161C105 | 4448   | 1808159  | SH  | DEFINED | 01 | 1 |
| SYNOVUS FINANCIAL CORP       | COM      | 87161C105 | 39     | 15688    | SH  | DEFINED | 01 | 1 |
| SYNOVIS LIFE TECHNOLOGIES IN | COM      | 87162G105 | 14     | 945      | SH  | DEFINED | 01 | 0 |
| SYNOVIS LIFE TECHNOLOGIES IN | COM      | 87162G105 | 15     | 1000     | SH  | DEFINED | 01 | 1 |
| SYNTEL INC                   | COM      | 87162H103 | 566    | 12730    | SH  | DEFINED | 01 | 0 |
| SYNTA PHARMACEUTICALS CORP   | COM      | 87162T206 | 8      | 1850     | SH  | DEFINED | 01 | 0 |
| SYNNEX CORP                  | COM      | 87162W100 | 3119   | 110848   | SH  | DEFINED | 01 | 0 |
| SYNTROLEUM CORP              | COM      | 871630109 | 14     | 7060     | SH  | DEFINED | 01 | 0 |
| SYNTROLEUM CORP              | COM      | 871630109 | 24     | 12573    | SH  | DEFINED | 01 | 1 |
| SYNIVERSE HOLDINGS INC       | COM      | 87163F106 | 14228  | 627638   | SH  | DEFINED | 01 | 0 |
| SYNIVERSE HOLDINGS INC       | COM      | 87163F106 | 7      | 300      | SH  | DEFINED | 01 | 1 |
| SYNUTRA INTERNATIONAL INC    | COM      | 87164C102 | 16     | 1450     | SH  | DEFINED | 01 | 0 |
| SYPRIS SOLUTIONS INC         | COM      | 871655106 | 0      | 2        | SH  | DEFINED | 01 | 1 |
| SYSCO CORP                   | COM      | 871829107 | 10335  | 362353   | SH  | DEFINED | 01 | 0 |
| SYSCO CORP                   | COM      | 871829107 | 882    | 30927    | SH  | DEFINED | 01 | 0 |
| SYSCO CORP                   | COM      | 871829107 | 42840  | 1502075  | SH  | DEFINED | 01 | 1 |
| SYSCO CORP                   | COM      | 871829107 | 440    | 15412    | SH  | DEFINED | 01 | 1 |
| SYSTEMAX INC                 | COM      | 871851101 | 17     | 1371     | SH  | DEFINED | 01 | 0 |
| SYSTEMAX INC                 | COM      | 871851101 | 7      | 600      | SH  | DEFINED | 01 | 1 |
| TCF FINANCIAL CORP           | COM      | 872275102 | 48524  | 2997195  | SH  | DEFINED | 01 | 0 |
| TCF FINANCIAL CORP           | COM      | 872275102 | 48     | 2983     | SH  | DEFINED | 01 | 1 |
| T C PIPELINES VALUE REFL     | COM      | 87233Q108 | 61     | 1311     | SH  | DEFINED | 01 | 1 |
| TDK CORP-SPONSORED ADR       | COM      | 872351408 | 13     | 240      | SH  | DEFINED | 01 | 0 |
| TD AMERITRADE HOLDING CORP   | COM      | 87236Y108 | 65471  | 4053898  | SH  | DEFINED | 01 | 0 |
| TD AMERITRADE HOLDING CORP   | COM      | 87236Y108 | 62     | 3856     | SH  | DEFINED | 01 | 1 |
| TECO ENERGY INC              | COM      | 872375100 | 3624   | 209257   | SH  | DEFINED | 01 | 0 |
| TECO ENERGY INC              | COM      | 872375100 | 195    | 11280    | SH  | DEFINED | 01 | 0 |
| TECO ENERGY INC              | COM      | 872375100 | 75     | 4310     | SH  | DEFINED | 01 | 1 |
| TEL OFFSHORE TR UBI          | COM      | 872382106 | 0      | 1        | SH  | DEFINED | 01 | 1 |
| TESSCO TECHNOLOGIES INC      | COM      | 872386107 | 5      | 325      | SH  | DEFINED | 01 | 0 |
| TF FINL CORP                 | COM      | 872391107 | 6      | 300      | SH  | DEFINED | 01 | 1 |
|                              |          |           |        |          |     |         |    |   |
| TFS FINANCIAL CORP           | COM      | 87240R107 | 12     | 1280     | SH  | DEFINED | 01 | 0 |
| TFS FINANCIAL CORP           | COM      | 87240R107 | 19     | 2100     | SH  | DEFINED | 01 | 1 |
| T.G.C. INDUSTRIES INC        | COM      | 872417308 | 3992   | 1039584  | SH  | DEFINED | 01 | 0 |
| THL CREDIT INC               | COM      | 872438106 | 7      | 600      | SH  | DEFINED | 01 | 0 |
| THQ INC                      | COM      | 872443403 | 1291   | 321212   | SH  | DEFINED | 01 | 0 |
| THQ INC                      | COM      | 872443403 | 6      | 1500     | SH  | DEFINED | 01 | 1 |
| TICC CAPITAL CORP            | COM      | 87244T109 | 2249   | 217380   | SH  | DEFINED | 01 | 0 |
| TJX COMPANIES INC            | COM      | 872540109 | 396050 | 8874035  | SH  | DEFINED | 01 | 0 |
| TJX COMPANIES INC            | COM      | 872540109 | 939    | 21049    | SH  | DEFINED | 01 | 0 |
| TJX COMPANIES INC            | COM      | 872540109 | 6143   | 180000   | SH  | DEFINED | 01 | 1 |
| TJX COMPANIES INC            | COM      | 872540109 | 1195   | 26767    | SH  | DEFINED | 01 | 1 |
| TNT N V                      | COM      | 87260W101 | 50     | 1872     | SH  | DEFINED | 01 | 0 |
| TRC COS INC                  | COM      | 872625108 | 3      | 1000     | SH  | DEFINED | 01 | 1 |
| TRW AUTOMOTIVE INC           | CONV BND | 87264MAD1 | 4151   | 2640000  | PRN | DEFINED | 01 | 0 |
| TRW AUTOMOTIVE HOLDINGS CORP | COM      | 87264S106 | 11493  | 276506   | SH  | DEFINED | 01 | 0 |
| TRW AUTOMOTIVE HOLDINGS CORP | COM      | 87264S106 | 1035   | 24953    | SH  | DEFINED | 01 | 1 |
| TS&W/ CLAYMORE TAX ADVANT    | COM      | 87280R108 | 295    | 26800    | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |        |         |     |         |    |   |
|--------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| TSR INC                        | COM      | 872885108 | 1      | 523     | SH  | DEFINED | 01 | 1 |
| TNS INC                        | COM      | 872960109 | 12866  | 759026  | SH  | DEFINED | 01 | 0 |
| TTM TECHNOLOGIES               | COM      | 87305R109 | 2210   | 225702  | SH  | DEFINED | 01 | 0 |
| T-3 ENERGY SERVICES INC        | COM      | 87306E107 | 7954   | 304169  | SH  | DEFINED | 01 | 0 |
| T-3 ENERGY SERVICES INC        | COM      | 87306E107 | 3      | 110     | SH  | DEFINED | 01 | 1 |
| TW TELECOM INC                 | COM      | 87311L104 | 21094  | 1135946 | SH  | DEFINED | 01 | 0 |
| TW TELECOM INC                 | COM      | 87311L104 | 76     | 4097    | SH  | DEFINED | 01 | 1 |
| TABCORP HOLDINGS LTD-SP ADR    | COM      | 873306203 | 2      | 140     | SH  | DEFINED | 01 | 0 |
| TAISEI CORP-UNSPONSORED ADR    | COM      | 874018203 | 1      | 40      | SH  | DEFINED | 01 | 0 |
| TAIWAN FD INC                  | COM      | 874036106 | 17     | 1000    | SH  | DEFINED | 01 | 1 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM      | 874039100 | 14361  | 1416323 | SH  | DEFINED | 01 | 0 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM      | 874039100 | 10888  | 1073843 | SH  | DEFINED | 01 | 0 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM      | 874039100 | 4371   | 431022  | SH  | DEFINED | 01 | 1 |
| TAIWAN SEMICONDUCTOR-SP ADR    | COM      | 874039100 | 81     | 7951    | SH  | DEFINED | 01 | 1 |
| TAKE-TWO INTERACTIVE SOFTWARE  | COM      | 874054109 | 7105   | 700600  | SH  | DEFINED | 01 | 0 |
| TAKE-TWO INTERACTIVE SOFTWARE  | CONV BND | 874054AA7 | 2124   | 1800000 | PRN | DEFINED | 01 | 0 |
| TAKEDA PHARMACEUTIC-SP ADR     | COM      | 874060205 | 209    | 9120    | SH  | DEFINED | 01 | 0 |
| TAL INTERNATIONAL GROUP INC    | COM      | 874083108 | 661    | 27321   | SH  | DEFINED | 01 | 0 |
| TAL INTERNATIONAL GROUP INC    | COM      | 874083108 | 103    | 4250    | SH  | DEFINED | 01 | 1 |
| TALBOTS INC                    | COM      | 874161102 | 4039   | 308301  | SH  | DEFINED | 01 | 0 |
| TALBOTS INC                    | COM      | 874161102 | 42     | 3205    | SH  | DEFINED | 01 | 0 |
| TALBOTS INC                    | COM      | 874161102 | 1      | 100     | SH  | DEFINED | 01 | 1 |
| TALECRIS BIOTHERAPEUTICS       | COM      | 874227101 | 24428  | 1067668 | SH  | DEFINED | 01 | 0 |
| TALEO CORP-CLASS A             | COM      | 87424N104 | 21585  | 744588  | SH  | DEFINED | 01 | 0 |
| TALEO CORP-CLASS A             | COM      | 87424N104 | 3      | 100     | SH  | DEFINED | 01 | 0 |
| TALISMAN ENERGY INC            | COM      | 87425E103 | 444    | 25378   | SH  | DEFINED | 01 | 0 |
| TALISMAN ENERGY INC            | COM      | 87425E103 | 93     | 5294    | SH  | DEFINED | 01 | 1 |
| TAM SA-SPONSORED ADR           | COM      | 87484D103 | 14     | 630     | SH  | DEFINED | 01 | 0 |
| TANDY LEATHER FACTORY IN       | COM      | 87538X105 | 4      | 1000    | SH  | DEFINED | 01 | 1 |
| TANGER FACTORY OUTLET CENTER   | COM      | 875465106 | 25247  | 535556  | SH  | DEFINED | 01 | 0 |
| TANGER FACTORY OUTLET CENTER   | COM      | 875465106 | 28     | 587     | SH  | DEFINED | 01 | 1 |
| TARGACEPT INC                  | COM      | 87611R306 | 45     | 2000    | SH  | DEFINED | 01 | 0 |
| TARGACEPT INC                  | COM      | 87611R306 | 2      | 105     | SH  | DEFINED | 01 | 1 |
| TARGA RES PARTNERS LP COM UNI  | COM      | 87611X105 | 14     | 500     | SH  | DEFINED | 01 | 1 |
| TARGET CORP                    | COM      | 87612E106 | 421932 | 7895451 | SH  | DEFINED | 01 | 0 |
| TARGET CORP                    | COM      | 87612E106 | 2520   | 47161   | SH  | DEFINED | 01 | 0 |
| TARGET CORP                    | COM      | 87612E106 | 1063   | 19900   | SH  | DEFINED | 01 | 1 |
|                                |          |           |        |         |     |         |    |   |
| TASEKO MINES COM STKNPV ISIN # | COM      | 876511106 | 87     | 16675   | SH  | DEFINED | 01 | 1 |
| TASER INTERNATIONAL INC        | COM      | 87651B104 | 20     | 5105    | SH  | DEFINED | 01 | 0 |
| TASER INTERNATIONAL INC        | COM      | 87651B104 | 18     | 4536    | SH  | DEFINED | 01 | 1 |
| TATA COMMUNICATIONS-ADR        | COM      | 876564105 | 13     | 960     | SH  | DEFINED | 01 | 0 |
| TATA COMMUNICATIONS-ADR        | COM      | 876564105 | 11     | 800     | SH  | DEFINED | 01 | 1 |
| TATA MOTORS LTD-SPON ADR       | COM      | 876568502 | 37     | 1460    | SH  | DEFINED | 01 | 0 |
| TATA MOTORS LTD-SPON ADR       | COM      | 876568502 | 837    | 32800   | SH  | DEFINED | 01 | 1 |
| TATE & LYLE PLC-SPONS ADR      | COM      | 876570607 | 4      | 150     | SH  | DEFINED | 01 | 0 |
| TAUBMAN CENTERS INC            | COM      | 876664103 | 47308  | 1060476 | SH  | DEFINED | 01 | 0 |
| TAUBMAN CENTERS INC            | COM      | 876664103 | 4      | 81      | SH  | DEFINED | 01 | 1 |
| TAYLOR CAPITAL GROUP INC       | COM      | 876851106 | 12     | 1075    | SH  | DEFINED | 01 | 0 |
| TAYLOR DEVICES INC             | COM      | 877163105 | 1      | 290     | SH  | DEFINED | 01 | 1 |
| TECNICAS REUNIDAS SA           | COM      | 878008994 | 7090   | 132982  | SH  | DEFINED | 01 | 0 |
| TEAM INC                       | COM      | 878155100 | 21     | 1245    | SH  | DEFINED | 01 | 0 |
| TEAM HEALTH HOLDINGS INC       | COM      | 87817A107 | 16     | 1200    | SH  | DEFINED | 01 | 0 |
| TECH DATA CORP                 | COM      | 878237106 | 4618   | 114596  | SH  | DEFINED | 01 | 0 |
| TECH DATA CORP                 | COM      | 878237106 | 3      | 77      | SH  | DEFINED | 01 | 1 |
| TECHNE CORP                    | COM      | 878377100 | 6597   | 106862  | SH  | DEFINED | 01 | 0 |
| TECHNE CORP                    | COM      | 878377100 | 28     | 461     | SH  | DEFINED | 01 | 0 |

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

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| TECHNICOLOR-SPON ADR           | COM      | 878520204 | 15    | 2610    | SH  | DEFINED | 01 | 0 |
| TECHNIP SA-ADR                 | COM      | 878546209 | 9     | 110     | SH  | DEFINED | 01 | 0 |
| TECHNITROL INC                 | COM      | 878555101 | 13568 | 3076546 | SH  | DEFINED | 01 | 0 |
| TECHNITROL INC                 | COM      | 878555101 | 10    | 2200    | SH  | DEFINED | 01 | 1 |
| TECK RESOURCES LTD-CLS B       | COM      | 878742204 | 23426 | 569165  | SH  | DEFINED | 01 | 0 |
| TECK RESOURCES LTD-CLS B       | COM      | 878742204 | 106   | 2581    | SH  | DEFINED | 01 | 1 |
| TECHTARGET                     | COM      | 87874R100 | 7     | 1320    | SH  | DEFINED | 01 | 0 |
| TECUMSEH PRODUCTS CO-CL B      | COM      | 878895101 | 458   | 40925   | SH  | DEFINED | 01 | 0 |
| TECUMSEH PRODUCTS CO-CLASS A   | COM      | 878895200 | 20    | 1704    | SH  | DEFINED | 01 | 0 |
| TEJON RANCH CO                 | COM      | 879080109 | 2869  | 132394  | SH  | DEFINED | 01 | 0 |
| TEKELEC                        | COM      | 879101103 | 15576 | 1201792 | SH  | DEFINED | 01 | 0 |
| TEKELEC                        | COM      | 879101103 | 476   | 36748   | SH  | DEFINED | 01 | 1 |
| TELE NORTE LESTE PARTICIPAC    | COM      | 879246106 | 31    | 2223    | SH  | DEFINED | 01 | 1 |
| TELECOM ARGENTINA SA-SP ADR    | COM      | 879273209 | 5     | 230     | SH  | DEFINED | 01 | 0 |
| TELECOM NEW ZEALAND-SP ADR     | COM      | 879278208 | 55    | 7310    | SH  | DEFINED | 01 | 0 |
| TELECOM NEW ZEALAND-SP ADR     | COM      | 879278208 | 129   | 17107   | SH  | DEFINED | 01 | 1 |
| TELECOM HOLDERS TR DEPOSIT     | COM      | 87927P200 | 11    | 400     | SH  | DEFINED | 01 | 1 |
| TELECOM ITALIA S P A NEW SPONS | COM      | 87927Y102 | 42    | 2989    | SH  | DEFINED | 01 | 0 |
| TELEBRAS-SPONS ADR             | COM      | 879287308 | 0     | 70      | SH  | DEFINED | 01 | 0 |
| TELEBRAS-SPONS ADR             | COM      | 879287308 | 0     | 50      | SH  | DEFINED | 01 | 1 |
| TELECOMUNICACOES DE SAO PAULO- | COM      | 87929A102 | 207   | 8490    | SH  | DEFINED | 01 | 1 |
| TELECOMMUNICATION SYSTEMS-A    | COM      | 87929J103 | 35    | 8870    | SH  | DEFINED | 01 | 0 |
| TELECOMMUNICATION SYSTEMS-A    | COM      | 87929J103 | 0     | 100     | SH  | DEFINED | 01 | 1 |
| TELEDYNE TECHNOLOGIES INC      | COM      | 879360105 | 7708  | 193592  | SH  | DEFINED | 01 | 0 |
| TELEDYNE TECHNOLOGIES INC      | COM      | 879360105 | 7     | 165     | SH  | DEFINED | 01 | 1 |
| TELEFLEX INC                   | COM      | 879369106 | 56120 | 988355  | SH  | DEFINED | 01 | 0 |
| TELEFLEX INC                   | COM      | 879369106 | 6     | 114     | SH  | DEFINED | 01 | 1 |
| TELEFONICA SA-SPON ADR         | COM      | 879382208 | 1635  | 22051   | SH  | DEFINED | 01 | 0 |
| TELEFONICA SA-SPON ADR         | COM      | 879382208 | 687   | 9268    | SH  | DEFINED | 01 | 1 |
| TELEFONOS DE MEXICO SAB DE CV  | COM      | 879403707 | 24    | 1608    | SH  | DEFINED | 01 | 1 |
| TELEFONOS DE MEXICO-SP ADR L   | COM      | 879403780 | 8246  | 552309  | SH  | DEFINED | 01 | 0 |
| TELEFONOS DE MEXICO-SP ADR L   | COM      | 879403780 | 60    | 4006    | SH  | DEFINED | 01 | 1 |
| TELEPHONE AND DATA SYSTEMS     | COM      | 879433100 | 8453  | 257725  | SH  | DEFINED | 01 | 0 |
| TELENOR ASA-ADR                | COM      | 87944W105 | 42    | 892     | SH  | DEFINED | 01 | 0 |
| TELENAV INC                    | COM      | 879455103 | 3     | 525     | SH  | DEFINED | 01 | 0 |
| TELEVISION BRDCSTS-SP ADR      | COM      | 879531309 | 1     | 60      | SH  | DEFINED | 01 | 0 |
| TELESTONE TECHNOLOGI           | COM      | 87953J102 | 2     | 150     | SH  | DEFINED | 01 | 1 |
| TELIK INC                      | COM      | 87959M109 | 7     | 10487   | SH  | DEFINED | 01 | 1 |
| TELKOM SA LTD                  | COM      | 879603108 | 3     | 130     | SH  | DEFINED | 01 | 0 |
| TELLABS INC                    | COM      | 879664100 | 48231 | 6474003 | SH  | DEFINED | 01 | 0 |
| TELLABS INC                    | COM      | 879664100 | 149   | 20041   | SH  | DEFINED | 01 | 0 |
| TELLABS INC                    | COM      | 879664100 | 13    | 1800    | SH  | DEFINED | 01 | 1 |
| TELMEX INTERNACIONAL-ADR       | COM      | 879690105 | 232   | 13146   | SH  | DEFINED | 01 | 0 |
| TELMEX INTERNACIONAL-ADR       | COM      | 879690105 | 0     | 3108    | SH  | DEFINED | 01 | 1 |
| TELMEX INTERNACIONALADR EACH R | COM      | 879690204 | 0     | 980     | SH  | DEFINED | 01 | 1 |
| TELSTRA CORP-ADR               | COM      | 87969N204 | 8     | 620     | SH  | DEFINED | 01 | 0 |
| TELULAR CORP                   | COM      | 87970T208 | 0     | 125     | SH  | DEFINED | 01 | 1 |
| TELUS CORP NON VOTING SHS      | COM      | 87971M202 | 70    | 1650    | SH  | DEFINED | 01 | 1 |
| TELVENT GIT SA                 | CONV BND | 87973FAA4 | 3166  | 3150000 | PRN | DEFINED | 01 | 0 |
| TEMPLE-INLAND INC              | COM      | 879868107 | 16419 | 879877  | SH  | DEFINED | 01 | 0 |
| TEMPLE-INLAND INC              | COM      | 879868107 | 8     | 411     | SH  | DEFINED | 01 | 1 |
| TELETECH HOLDINGS INC          | COM      | 879939106 | 14153 | 953771  | SH  | DEFINED | 01 | 0 |
| TEMPLETON DRAGON FUND INC      | COM      | 88018T101 | 221   | 7659    | SH  | DEFINED | 01 | 1 |
| TEMPLETON EMERGING MARKETS IN  | COM      | 880192109 | 1328  | 78225   | SH  | DEFINED | 01 | 1 |
| TEMPLETON GLOBAL INCOME FD     | COM      | 880198106 | 281   | 26059   | SH  | DEFINED | 01 | 1 |
| TEMPLETON RUSSIAN AND EAST E   | COM      | 88022F105 | 12    | 586     | SH  | DEFINED | 01 | 1 |

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

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| TEMPUR-PEDIC INTERNATIONAL   | COM | 88023U101 | 54655  | 1763061  | SH | DEFINED | 01 | 0 |
| TEMPUR-PEDIC INTERNATIONAL   | COM | 88023U101 | 0      | 3        | SH | DEFINED | 01 | 1 |
| TENARIS SA-ADR               | COM | 88031M109 | 34827  | 906488   | SH | DEFINED | 01 | 0 |
| TENARIS SA-ADR               | COM | 88031M109 | 32     | 845      | SH | DEFINED | 01 | 1 |
| TENCENT HLDGS LTD ADR        | COM | 88032Q109 | 47     | 2168     | SH | DEFINED | 01 | 0 |
| TENET HEALTHCARE CORP        | COM | 88033G100 | 4875   | 1032810  | SH | DEFINED | 01 | 0 |
| TENET HEALTHCARE CORP        | COM | 88033G100 | 120    | 25497    | SH | DEFINED | 01 | 0 |
| TENET HEALTHCARE CORP        | COM | 88033G100 | 13     | 2650     | SH | DEFINED | 01 | 1 |
| TENNANT CO                   | COM | 880345103 | 17221  | 557336   | SH | DEFINED | 01 | 0 |
| TENNECO INC                  | COM | 880349105 | 12620  | 435691   | SH | DEFINED | 01 | 0 |
| TENNECO INC                  | COM | 880349105 | 1      | 44       | SH | DEFINED | 01 | 1 |
| TERADATA CORP                | COM | 88076W103 | 157361 | 4080951  | SH | DEFINED | 01 | 0 |
| TERADATA CORP                | COM | 88076W103 | 339    | 8795     | SH | DEFINED | 01 | 0 |
| TERADATA CORP                | COM | 88076W103 | 39     | 1002     | SH | DEFINED | 01 | 1 |
| TERADYNE INC                 | COM | 880770102 | 8322   | 746850   | SH | DEFINED | 01 | 0 |
| TERADYNE INC                 | COM | 880770102 | 106    | 9530     | SH | DEFINED | 01 | 0 |
| TEREX CORP                   | COM | 880779103 | 56493  | 2464767  | SH | DEFINED | 01 | 0 |
| TEREX CORP                   | COM | 880779103 | 23     | 1007     | SH | DEFINED | 01 | 0 |
| TEREX CORP                   | COM | 880779103 | 1050   | 45790    | SH | DEFINED | 01 | 1 |
| TERNIUM SA-SPONSORED ADR     | COM | 880890108 | 209    | 6402     | SH | DEFINED | 01 | 0 |
| TERNIUM SA-SPONSORED ADR     | COM | 880890108 | 14636  | 448265   | SH | DEFINED | 01 | 0 |
| TERNIUM SA-SPONSORED ADR     | COM | 880890108 | 27195  | 832942   | SH | DEFINED | 01 | 1 |
| TERRA NITROGEN CO L P COM UN | COM | 881005201 | 19     | 207      | SH | DEFINED | 01 | 1 |
| TERRA NOVA ROYALTY CORP      | COM | 88102D103 | 3286   | 440416   | SH | DEFINED | 01 | 0 |
| TERRA NOVA ROYALTY CORP      | COM | 88102D103 | 10     | 1375     | SH | DEFINED | 01 | 1 |
| TERREMARK WORLDWIDE INC      | COM | 881448203 | 42     | 4100     | SH | DEFINED | 01 | 0 |
| TERRITORIAL BANCORP INC      | COM | 88145X108 | 13     | 800      | SH | DEFINED | 01 | 0 |
| TERRENO REALTY CORP REIT     | COM | 88146M101 | 8803   | 483135   | SH | DEFINED | 01 | 0 |
| TERUMO CORP                  | COM | 88156J105 | 25     | 240      | SH | DEFINED | 01 | 0 |
| TESCO PLC                    | COM | 881575302 | 190    | 9481     | SH | DEFINED | 01 | 0 |
| TESCO CORP                   | COM | 88157K101 | 1206   | 100197   | SH | DEFINED | 01 | 0 |
| TESCO CORP                   | COM | 88157K101 | 5      | 375      | SH | DEFINED | 01 | 1 |
| TESORO CORP                  | COM | 881609101 | 33896  | 2537130  | SH | DEFINED | 01 | 0 |
| TESORO CORP                  | COM | 881609101 | 237    | 17776    | SH | DEFINED | 01 | 0 |
| TESORO CORP                  | COM | 881609101 | 36     | 2700     | SH | DEFINED | 01 | 1 |
| TESLA MOTORS INC             | COM | 88160R101 | 6240   | 308058   | SH | DEFINED | 01 | 0 |
| TESLA MOTORS INC             | COM | 88160R101 | 121    | 5973     | SH | DEFINED | 01 | 0 |
| TESLA MOTORS INC             | COM | 88160R101 | 34     | 1685     | SH | DEFINED | 01 | 1 |
| TEVA PHARMACEUTICAL-SP ADR   | COM | 881624209 | 94036  | 1782665  | SH | DEFINED | 01 | 0 |
| TEVA PHARMACEUTICAL-SP ADR   | COM | 881624209 | 2203   | 41763    | SH | DEFINED | 01 | 1 |
| TETRA TECHNOLOGIES INC       | COM | 88162F105 | 51206  | 5020250  | SH | DEFINED | 01 | 0 |
| TETRA TECHNOLOGIES INC       | COM | 88162F105 | 16     | 1608     | SH | DEFINED | 01 | 0 |
| TETRA TECHNOLOGIES INC       | COM | 88162F105 | 1      | 90       | SH | DEFINED | 01 | 1 |
| TETRA TECH INC               | COM | 88162G103 | 19066  | 909269   | SH | DEFINED | 01 | 0 |
| TETRA TECH INC               | COM | 88162G103 | 28     | 1331     | SH | DEFINED | 01 | 1 |
| TESSERA TECHNOLOGIES INC     | COM | 88164L100 | 10578  | 571802   | SH | DEFINED | 01 | 0 |
| TESSERA TECHNOLOGIES INC     | COM | 88164L100 | 28     | 1507     | SH | DEFINED | 01 | 0 |
| TESSERA TECHNOLOGIES INC     | COM | 88164L100 | 9      | 500      | SH | DEFINED | 01 | 1 |
| TEXAS CAPITAL BANCSHARES INC | COM | 88224Q107 | 13990  | 810030   | SH | DEFINED | 01 | 0 |
| TEXAS INDUSTRIES INC         | COM | 882491103 | 4135   | 131163   | SH | DEFINED | 01 | 0 |
| TEXAS INDUSTRIES INC         | COM | 882491103 | 3      | 100      | SH | DEFINED | 01 | 1 |
| TEXAS INSTRUMENTS INC        | COM | 882508104 | 331172 | 12202371 | SH | DEFINED | 01 | 0 |
| TEXAS INSTRUMENTS INC        | COM | 882508104 | 1704   | 62798    | SH | DEFINED | 01 | 0 |
| TEXAS INSTRUMENTS INC        | COM | 882508104 | 829    | 30551    | SH | DEFINED | 01 | 1 |
| TEXAS ROADHOUSE INC-CLASS A  | COM | 882681109 | 41133  | 2925730  | SH | DEFINED | 01 | 0 |
| TEXAS ROADHOUSE INC-CLASS A  | COM | 882681109 | 15     | 1050     | SH | DEFINED | 01 | 1 |

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

|                              |          |           |        |         |     |         |    |   |
|------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| TEXTRON INC                  | COM      | 883203101 | 26320  | 1280173 | SH  | DEFINED | 01 | 0 |
| TEXTRON INC                  | COM      | 883203101 | 296    | 14397   | SH  | DEFINED | 01 | 0 |
| TEXTRON INC                  | COM      | 883203101 | 337    | 16412   | SH  | DEFINED | 01 | 1 |
| TEXTRON INC                  | CONV BND | 883203BN0 | 2301   | 1350000 | PRN | DEFINED | 01 | 0 |
| THERAGENICS CORP             | COM      | 883375107 | 0      | 200     | SH  | DEFINED | 01 | 1 |
| THERAVANCE INC               | COM      | 88338T104 | 140    | 7005    | SH  | DEFINED | 01 | 0 |
| THERMADYNE HOLDINGS CORP     | COM      | 883435307 | 42     | 2940    | SH  | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC | COM      | 883556102 | 287902 | 6013017 | SH  | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC | COM      | 883556102 | 4956   | 103521  | SH  | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC | COM      | 883556102 | 1445   | 30186   | SH  | DEFINED | 01 | 0 |
| THERMO FISHER SCIENTIFIC INC | COM      | 883556102 | 171493 | 3581750 | SH  | DEFINED | 01 | 1 |
| THERMO FISHER SCIENTIFIC INC | COM      | 883556102 | 332    | 6927    | SH  | DEFINED | 01 | 1 |
| THESTREET.COM INC            | COM      | 88368Q103 | 967    | 344000  | SH  | DEFINED | 01 | 0 |
| THOMAS & BETTS CORP          | COM      | 884315102 | 26015  | 634223  | SH  | DEFINED | 01 | 0 |
| THOMAS PROPERTIES GROUP      | COM      | 884453101 | 10     | 2900    | SH  | DEFINED | 01 | 0 |
| THOMAS PROPERTIES GROUP      | COM      | 884453101 | 480    | 134438  | SH  | DEFINED | 01 | 1 |
| THOMPSON CREEK METALS CO INC | COM      | 884768102 | 39046  | 3622046 | SH  | DEFINED | 01 | 0 |
| THOMPSON CREEK METALS CO INC | COM      | 884768102 | 11     | 1000    | SH  | DEFINED | 01 | 1 |
| THOMSON REUTERS CORP         | COM      | 884903105 | 153    | 4072    | SH  | DEFINED | 01 | 0 |
| THOMSON REUTERS CORP         | COM      | 884903105 | 4      | 96      | SH  | DEFINED | 01 | 1 |
| THOR INDUSTRIES INC          | COM      | 885160101 | 45260  | 1355091 | SH  | DEFINED | 01 | 0 |
| THORATEC CORP                | COM      | 885175307 | 42347  | 1145139 | SH  | DEFINED | 01 | 0 |
| THORATEC CORP                | COM      | 885175307 | 118    | 3189    | SH  | DEFINED | 01 | 0 |
| THORATEC CORP                | COM      | 885175307 | 6      | 159     | SH  | DEFINED | 01 | 1 |
| 3D SYSTEMS CORP              | COM      | 88554D205 | 25     | 1580    | SH  | DEFINED | 01 | 0 |
| 3SBIO INC-ADR                | COM      | 88575Y105 | 350    | 26984   | SH  | DEFINED | 01 | 0 |
| 3SBIO INC-ADR                | COM      | 88575Y105 | 22     | 1663    | SH  | DEFINED | 01 | 0 |
| 3M CO                        | COM      | 88579Y101 | 295687 | 3410055 | SH  | DEFINED | 01 | 0 |
| 3M CO                        | COM      | 88579Y101 | 3248   | 37461   | SH  | DEFINED | 01 | 0 |
| 3M CO                        | COM      | 88579Y101 | 6162   | 71060   | SH  | DEFINED | 01 | 1 |
| THRESHOLD PHARMACEUT         | COM      | 885807206 | 8      | 6000    | SH  | DEFINED | 01 | 1 |
| 3PAR INC                     | COM      | 88580F109 | 0      | 10      | SH  | DEFINED | 01 | 0 |
| TIBCO SOFTWARE INC           | COM      | 88632Q103 | 117695 | 6634423 | SH  | DEFINED | 01 | 0 |
| TIBCO SOFTWARE INC           | COM      | 88632Q103 | 638    | 35989   | SH  | DEFINED | 01 | 0 |
| TIBCO SOFTWARE INC           | COM      | 88632Q103 | 2      | 100     | SH  | DEFINED | 01 | 1 |
| TIDELANDS ROYALTY TRUST 'B'  | COM      | 886410109 | 114    | 6500    | SH  | DEFINED | 01 | 0 |
| TIDEWATER INC                | COM      | 886423102 | 18069  | 403233  | SH  | DEFINED | 01 | 0 |
| TIDEWATER INC                | COM      | 886423102 | 2      | 44      | SH  | DEFINED | 01 | 1 |
| TIER TECHNOLOGIES INC-CL B   | COM      | 88650Q100 | 5      | 900     | SH  | DEFINED | 01 | 0 |
| TIFFANY & CO                 | COM      | 886547108 | 32479  | 691205  | SH  | DEFINED | 01 | 0 |
| TIFFANY & CO                 | COM      | 886547108 | 6352   | 135177  | SH  | DEFINED | 01 | 0 |
| TIFFANY & CO                 | COM      | 886547108 | 568    | 12106   | SH  | DEFINED | 01 | 0 |
| TIFFANY & CO                 | COM      | 886547108 | 97511  | 2078714 | SH  | DEFINED | 01 | 1 |
| TIFFANY & CO                 | COM      | 886547108 | 15     | 312     | SH  | DEFINED | 01 | 1 |
| TIGER BRANDS LTD             | COM      | 88673M201 | 2      | 80      | SH  | DEFINED | 01 | 0 |
| TIM HORTONS INC              | COM      | 88706M103 | 12596  | 345967  | SH  | DEFINED | 01 | 0 |
| TIM HORTONS INC              | COM      | 88706M103 | 91     | 2490    | SH  | DEFINED | 01 | 1 |
| TIM PARTICIPACOES SA-ADR     | COM      | 88706P106 | 6      | 185     | SH  | DEFINED | 01 | 0 |
| TIM PARTICIPACOES SA-ADR     | COM      | 88706P106 | 17     | 520     | SH  | DEFINED | 01 | 1 |
| TIMBERLAND CO-CL A           | COM      | 887100105 | 2521   | 127253  | SH  | DEFINED | 01 | 0 |
| TIMBERLAND CO-CL A           | COM      | 887100105 | 10     | 500     | SH  | DEFINED | 01 | 1 |
| TIME WARNER INC              | COM      | 887317303 | 223871 | 7304158 | SH  | DEFINED | 01 | 0 |
| TIME WARNER INC              | COM      | 887317303 | 1985   | 64752   | SH  | DEFINED | 01 | 0 |
| TIME WARNER INC              | COM      | 887317303 | 332    | 10835   | SH  | DEFINED | 01 | 1 |
| TIME WARNER CABLE INC        | COM      | 88732J207 | 35597  | 659319  | SH  | DEFINED | 01 | 0 |
| TIME WARNER CABLE INC        | COM      | 88732J207 | 1008   | 18670   | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |       |        |    |         |    |   |
|------------------------------|-----|-----------|-------|--------|----|---------|----|---|
| TIME WARNER CABLE INC        | COM | 88732J207 | 140   | 2587   | SH | DEFINED | 01 | 1 |
| TIMKEN CO                    | COM | 887389104 | 16256 | 423787 | SH | DEFINED | 01 | 0 |
| TIMKEN CO                    | COM | 887389104 | 40    | 1042   | SH | DEFINED | 01 | 1 |
| TITAN INTERNATIONAL INC      | COM | 88830M102 | 33    | 2465   | SH | DEFINED | 01 | 0 |
| TITAN MACHINERY INC          | COM | 88830R101 | 6456  | 396110 | SH | DEFINED | 01 | 0 |
| TITAN MACHINERY INC          | COM | 88830R101 | 21    | 1300   | SH | DEFINED | 01 | 1 |
| TITANIUM ASSET MGMT WARRANT  | WT  | 888332558 | 0     | 95000  | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP         | COM | 888339207 | 5004  | 250700 | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP         | COM | 888339207 | 95    | 4739   | SH | DEFINED | 01 | 0 |
| TITANIUM METALS CORP         | COM | 888339207 | 568   | 28450  | SH | DEFINED | 01 | 1 |
| TIVO INC                     | COM | 888706108 | 88    | 9708   | SH | DEFINED | 01 | 0 |
| TODD SHIPYARDS CORP          | COM | 889039103 | 30    | 2000   | SH | DEFINED | 01 | 1 |
| TOKIO MARINE HOLDINGS-ADR    | COM | 889094108 | 77    | 2855   | SH | DEFINED | 01 | 0 |
| TOKYO ELECTRON LTD           | COM | 889110102 | 5     | 50     | SH | DEFINED | 01 | 0 |
| TOKYO GAS CO LTD ADR         | COM | 889115101 | 30    | 656    | SH | DEFINED | 01 | 0 |
| TOLL BROTHERS INC            | COM | 889478103 | 6770  | 355961 | SH | DEFINED | 01 | 0 |
| TOLL BROTHERS INC            | COM | 889478103 | 102   | 5381   | SH | DEFINED | 01 | 1 |
| TOLLGRADE COMMUNICATIONS INC | COM | 889542106 | 358   | 48825  | SH | DEFINED | 01 | 0 |
| TOLLGRADE COMMUNICATIONS INC | COM | 889542106 | 1     | 100    | SH | DEFINED | 01 | 1 |
| TOMRA SYS A / S              | COM | 889905204 | 5     | 890    | SH | DEFINED | 01 | 0 |
| TOMKINS PLC-SPONSORED ADR    | COM | 890030208 | 9     | 570    | SH | DEFINED | 01 | 0 |
| TOMKINS PLC-SPONSORED ADR    | COM | 890030208 | 1     | 75     | SH | DEFINED | 01 | 1 |
| TOMOTHERAPY INC              | COM | 890088107 | 28    | 8015   | SH | DEFINED | 01 | 0 |
| TOMPKINS FINANCIAL CORP      | COM | 890110109 | 1835  | 46257  | SH | DEFINED | 01 | 0 |
| TONGJITANG CHINESE MEDIC-ADR | COM | 89025E103 | 3     | 940    | SH | DEFINED | 01 | 0 |
| TOOTSIE ROLL INDS            | COM | 890516107 | 1673  | 67229  | SH | DEFINED | 01 | 0 |
| TOOTSIE ROLL INDS            | COM | 890516107 | 25    | 1000   | SH | DEFINED | 01 | 1 |
| TOPPAN PRTG LTD              | COM | 890747207 | 3     | 70     | SH | DEFINED | 01 | 0 |
| TOR MINERALS INTL INC COM NE | COM | 890878309 | 0     | 67     | SH | DEFINED | 01 | 1 |

|                                |          |           |       |         |     |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|----|---|
| TORAY INDS INC                 | COM      | 890880206 | 10    | 190     | SH  | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM      | 891027104 | 36544 | 687696  | SH  | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM      | 891027104 | 226   | 4255    | SH  | DEFINED | 01 | 0 |
| TORCHMARK CORP                 | COM      | 891027104 | 5235  | 98517   | SH  | DEFINED | 01 | 1 |
| TORCHMARK CORP                 | COM      | 891027104 | 374   | 7040    | SH  | DEFINED | 01 | 1 |
| TOREADOR RES CORP              | COM      | 891050106 | 11    | 1000    | SH  | DEFINED | 01 | 1 |
| TORM A/S ADR EACH REP 1 ORD    | COM      | 891072100 | 1     | 100     | SH  | DEFINED | 01 | 1 |
| TORO CO                        | COM      | 891092108 | 21276 | 378367  | SH  | DEFINED | 01 | 0 |
| TORO CO                        | COM      | 891092108 | 6     | 104     | SH  | DEFINED | 01 | 1 |
| TORONTO-DOMINION BANK          | COM      | 891160509 | 12972 | 179526  | SH  | DEFINED | 01 | 0 |
| TORONTO-DOMINION BANK          | COM      | 891160509 | 219   | 3029    | SH  | DEFINED | 01 | 1 |
| TORTOISE ENERGY INFRASTRUC     | COM      | 89147L100 | 246   | 7174    | SH  | DEFINED | 01 | 1 |
| TORTOISE CAP RES CORP          | COM      | 89147N304 | 27    | 4750    | SH  | DEFINED | 01 | 1 |
| TORTOISE NORTH AMERNENERGY COR | COM      | 89147T103 | 25    | 1000    | SH  | DEFINED | 01 | 1 |
| TORTOISE ENERGY CAP CORP COM   | COM      | 89147U100 | 1     | 45      | SH  | DEFINED | 01 | 1 |
| TORTOISE PWR & ENERGY INF      | COM      | 89147X104 | 11    | 500     | SH  | DEFINED | 01 | 1 |
| TORTOISE MLP FUND INC COM US   | COM      | 89148B101 | 52    | 2150    | SH  | DEFINED | 01 | 1 |
| TOTO LTD                       | COM      | 891515207 | 2     | 30      | SH  | DEFINED | 01 | 0 |
| TOTAL SA-SPON ADR              | COM      | 89151E109 | 94851 | 1838159 | SH  | DEFINED | 01 | 0 |
| TOTAL SA-SPON ADR              | COM      | 89151E109 | 427   | 8275    | SH  | DEFINED | 01 | 1 |
| TOWER BANCORP INC              | COM      | 891709107 | 10    | 475     | SH  | DEFINED | 01 | 0 |
| TOWER GROUP INC                | COM      | 891777104 | 12236 | 523958  | SH  | DEFINED | 01 | 0 |
| TOWER GROUP INC                | COM      | 891777104 | 4     | 170     | SH  | DEFINED | 01 | 1 |
| TOWER GROUP INC                | CONV BND | 891777AB0 | 3247  | 3000000 | PRN | DEFINED | 01 | 0 |
| TOWERS WATSON & CO             | COM      | 891894107 | 5711  | 116133  | SH  | DEFINED | 01 | 0 |
| TOWERS WATSON & CO             | COM      | 891894107 | 29379 | 598582  | SH  | DEFINED | 01 | 1 |
| TOWERS WATSON & CO             | COM      | 891894107 | 225   | 4583    | SH  | DEFINED | 01 | 1 |



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

|                               |          |           |        |         |     |         |    |   |
|-------------------------------|----------|-----------|--------|---------|-----|---------|----|---|
| TOTAL SYSTEM SERVICES INC     | COM      | 891906109 | 9183   | 602567  | SH  | DEFINED | 01 | 0 |
| TOTAL SYSTEM SERVICES INC     | COM      | 891906109 | 133    | 8716    | SH  | DEFINED | 01 | 0 |
| TOTAL SYSTEM SERVICES INC     | COM      | 891906109 | 48     | 3130    | SH  | DEFINED | 01 | 1 |
| TOWNE BANK                    | COM      | 89214P109 | 253    | 16911   | SH  | DEFINED | 01 | 0 |
| TOWNE BANK                    | COM      | 89214P109 | 2      | 152     | SH  | DEFINED | 01 | 1 |
| TOYOTA MOTOR CORP -SPON ADR   | COM      | 892331307 | 2549   | 35612   | SH  | DEFINED | 01 | 0 |
| TOYOTA MOTOR CORP -SPON ADR   | COM      | 892331307 | 883    | 12342   | SH  | DEFINED | 01 | 1 |
| TRACTOR SUPPLY COMPANY        | COM      | 892356106 | 11921  | 300580  | SH  | DEFINED | 01 | 0 |
| TRACTOR SUPPLY COMPANY        | COM      | 892356106 | 47     | 1176    | SH  | DEFINED | 01 | 0 |
| TRACTOR SUPPLY COMPANY        | COM      | 892356106 | 7403   | 217400  | SH  | DEFINED | 01 | 1 |
| TRACTOR SUPPLY COMPANY        | COM      | 892356106 | 25     | 630     | SH  | DEFINED | 01 | 1 |
| TRACTEBEL ENERGIA S A SP      | COM      | 892360108 | 7      | 480     | SH  | DEFINED | 01 | 0 |
| TPC GROUP INC                 | COM      | 89236Y104 | 13     | 525     | SH  | DEFINED | 01 | 0 |
| TRADESTATION GROUP INC        | COM      | 89267P105 | 1278   | 194200  | SH  | DEFINED | 01 | 0 |
| TRANSACT TECH INC             | COM      | 892918103 | 40     | 5000    | SH  | DEFINED | 01 | 1 |
| TRANSAMERICA INCOME SHS INC   | COM      | 893506105 | 27     | 1190    | SH  | DEFINED | 01 | 1 |
| TRANSATLANTIC HOLDINGS INC    | COM      | 893521104 | 45885  | 902868  | SH  | DEFINED | 01 | 0 |
| TRANSCANADA CORP              | COM      | 89353D107 | 9598   | 258583  | SH  | DEFINED | 01 | 0 |
| TRANSCANADA CORP              | COM      | 89353D107 | 170    | 4569    | SH  | DEFINED | 01 | 1 |
| TRANSCEPT PHARMACEUTICALS INC | COM      | 89354M106 | 2      | 350     | SH  | DEFINED | 01 | 0 |
| TRANSDIGM GROUP INC           | COM      | 893641100 | 9217   | 148559  | SH  | DEFINED | 01 | 0 |
| TRANSDIGM GROUP INC           | COM      | 893641100 | 5270   | 85047   | SH  | DEFINED | 01 | 1 |
| TRANSOCEAN INC                | CONV BND | 893830AU3 | 3672   | 3700000 | PRN | DEFINED | 01 | 0 |
| TRANSPORT INTERNATIONAL HLDG  | COM      | 893860999 | 421    | 131287  | SH  | DEFINED | 01 | 0 |
| TRANSCEND SERVICES INC        | COM      | 893929208 | 12     | 800     | SH  | DEFINED | 01 | 0 |
| TRAVELCENTERS AMER LLC        | COM      | 894174101 | 1      | 254     | SH  | DEFINED | 01 | 1 |
| TRAVELERS COS INC/THE         | COM      | 89417E109 | 241401 | 4633282 | SH  | DEFINED | 01 | 0 |
| TRAVELERS COS INC/THE         | COM      | 89417E109 | 1695   | 32533   | SH  | DEFINED | 01 | 0 |
| TRAVELERS COS INC/THE         | COM      | 89417E109 | 1563   | 30000   | SH  | DEFINED | 01 | 1 |
| TRAVELERS COS INC/THE         | COM      | 89417E109 | 938    | 18010   | SH  | DEFINED | 01 | 1 |
| TRAVELZOO INC                 | COM      | 89421Q106 | 1304   | 50610   | SH  | DEFINED | 01 | 0 |
| TREDEGAR CORP                 | COM      | 894650100 | 7994   | 421133  | SH  | DEFINED | 01 | 0 |
| TREE.COM INC                  | COM      | 894675107 | 0      | 83      | SH  | DEFINED | 01 | 0 |
| TREE.COM INC                  | COM      | 894675107 | 4      | 557     | SH  | DEFINED | 01 | 1 |
| TREEHOUSE FOODS INC           | COM      | 89469A104 | 7869   | 170701  | SH  | DEFINED | 01 | 0 |
| TREEHOUSE FOODS INC           | COM      | 89469A104 | 17     | 378     | SH  | DEFINED | 01 | 1 |
| TREND MICRO INC               | COM      | 89486M206 | 1      | 40      | SH  | DEFINED | 01 | 0 |
| TREX COMPANY INC              | COM      | 89531P105 | 22     | 1180    | SH  | DEFINED | 01 | 0 |
| TREX COMPANY INC              | COM      | 89531P105 | 6      | 307     | SH  | DEFINED | 01 | 1 |
| TRI CONTINENTAL CORPCOM       | COM      | 895436103 | 4      | 324     | SH  | DEFINED | 01 | 1 |
| TRI VY CORP                   | COM      | 895735108 | 5      | 7507    | SH  | DEFINED | 01 | 1 |
| TRIANGLE CAPITAL CORP         | COM      | 895848109 | 22     | 1335    | SH  | DEFINED | 01 | 0 |
| TRIDENT MICROSYSTEMS INC      | COM      | 895919108 | 15     | 8470    | SH  | DEFINED | 01 | 0 |
| TRIDENT MICROSYSTEMS INC      | COM      | 895919108 | 2      | 1370    | SH  | DEFINED | 01 | 1 |
| TRICO BANCSHARES              | COM      | 896095106 | 18     | 1186    | SH  | DEFINED | 01 | 0 |
| TRICO BANCSHARES              | COM      | 896095106 | 3      | 171     | SH  | DEFINED | 01 | 1 |
| TRIMAS CORP                   | COM      | 896215209 | 14     | 975     | SH  | DEFINED | 01 | 0 |
| TRIMBLE NAVIGATION LTD        | COM      | 896239100 | 10300  | 293945  | SH  | DEFINED | 01 | 0 |
| TRIMBLE NAVIGATION LTD        | COM      | 896239100 | 84     | 2399    | SH  | DEFINED | 01 | 1 |
| TRINA SOLAR LTD-SPON ADR      | COM      | 89628E104 | 13391  | 443700  | SH  | DEFINED | 01 | 0 |
| TRINA SOLAR LTD-SPON ADR      | COM      | 89628E104 | 16     | 541     | SH  | DEFINED | 01 | 1 |
| TRINITY BIOTECH PLC           | COM      | 896438306 | 0      | 10      | SH  | DEFINED | 01 | 0 |
| TRINITY BIOTECH PLC           | COM      | 896438306 | 0      | 5       | SH  | DEFINED | 01 | 1 |
| TRINITY INDUSTRIES INC        | COM      | 896522109 | 25767  | 1157022 | SH  | DEFINED | 01 | 0 |
| TRINITY INDUSTRIES INC        | COM      | 896522109 | 23     | 1025    | SH  | DEFINED | 01 | 1 |
| TRINITY INDUSTRIES INC        | CONV BND | 896522AF6 | 4380   | 4840000 | PRN | DEFINED | 01 | 0 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| TRINITY MIRROR PLC            | COM      | 89653Q105 | 4      | 1290     | SH  | DEFINED | 01 | 0 |
| TRIPLE-S MANAGEMENT CORP-B    | COM      | 896749108 | 6993   | 414952   | SH  | DEFINED | 01 | 0 |
| TRIQUINT SEMICONDUCTOR INC    | COM      | 89674K103 | 7477   | 778863   | SH  | DEFINED | 01 | 0 |
| TRIQUINT SEMICONDUCTOR INC    | COM      | 89674K103 | 199    | 20682    | SH  | DEFINED | 01 | 1 |
| TRIUMPH GROUP INC             | COM      | 896818101 | 12146  | 162821   | SH  | DEFINED | 01 | 0 |
| TRONOX INC-CLASS B            | COM      | 897051207 | 0      | 50       | SH  | DEFINED | 01 | 0 |
| TROPICANA ENTERTAINMENT LLC   | COM      | 89708X204 | 60     | 4284     | SH  | DEFINED | 01 | 0 |
| TRUE RELIGION APPAREL INC     | COM      | 89784N104 | 5391   | 252668   | SH  | DEFINED | 01 | 0 |
| TRUE RELIGION APPAREL INC     | COM      | 89784N104 | 3      | 124      | SH  | DEFINED | 01 | 1 |
| TRUEBLUE INC                  | COM      | 89785X101 | 2840   | 208058   | SH  | DEFINED | 01 | 0 |
| TRUEBLUE INC                  | COM      | 89785X101 | 219    | 16054    | SH  | DEFINED | 01 | 1 |
| TRUSTCO BANK CORP NY          | COM      | 898349105 | 9751   | 1753594  | SH  | DEFINED | 01 | 0 |
| TRUSTCO BANK CORP NY          | COM      | 898349105 | 9      | 1600     | SH  | DEFINED | 01 | 1 |
| TRUSTMARK CORP                | COM      | 898402102 | 3351   | 154138   | SH  | DEFINED | 01 | 0 |
| TRUSTMARK CORP                | COM      | 898402102 | 72     | 3300     | SH  | DEFINED | 01 | 1 |
| TUCOWS INC COM NPV ISIN #US89 | COM      | 898697107 | 0      | 200      | SH  | DEFINED | 01 | 1 |
| TUESDAY MORNING CORP          | COM      | 899035505 | 822    | 172346   | SH  | DEFINED | 01 | 0 |
| TUFECO TECHNOLOGIES INC       | COM      | 899040109 | 1      | 400      | SH  | DEFINED | 01 | 1 |
| TULLOW OIL PLC-UNSPON ADR     | COM      | 899415202 | 4      | 400      | SH  | DEFINED | 01 | 0 |
| TUPPERWARE BRANDS CORP        | COM      | 899896104 | 39470  | 862544   | SH  | DEFINED | 01 | 0 |
| TUPPERWARE BRANDS CORP        | COM      | 899896104 | 45     | 988      | SH  | DEFINED | 01 | 1 |
| TURKCELL ILETISIM HIZMET-ADR  | COM      | 900111204 | 17     | 1016     | SH  | DEFINED | 01 | 0 |
| TURKISH INVT FD INC           | COM      | 900145103 | 7      | 386      | SH  | DEFINED | 01 | 1 |
| TURKIYE GARANTI BANKASI       | COM      | 900148701 | 20     | 3300     | SH  | DEFINED | 01 | 0 |
| TUTOR PERINI CORP             | COM      | 901109108 | 2356   | 117322   | SH  | DEFINED | 01 | 0 |
| TUTOR PERINI CORP             | COM      | 901109108 | 0      | 15       | SH  | DEFINED | 01 | 1 |
| 21ST CENTURY HLDG CO          | COM      | 90136Q100 | 5      | 1510     | SH  | DEFINED | 01 | 1 |
| TWIN DISC INC                 | COM      | 901476101 | 11     | 755      | SH  | DEFINED | 01 | 0 |
| TWO HARBORS INV CORP REIT     | COM      | 90187B101 | 15     | 1700     | SH  | DEFINED | 01 | 0 |
| II-VI INC                     | COM      | 902104108 | 13463  | 360677   | SH  | DEFINED | 01 | 0 |
| II-VI INC                     | COM      | 902104108 | 4      | 110      | SH  | DEFINED | 01 | 1 |
| DOLE FOOD AUTOMATIC EXCH      | CONV PRF | 90213B208 | 24842  | 2610600  | SH  | DEFINED | 01 | 0 |
| TYLER TECHNOLOGIES INC        | COM      | 902252105 | 2875   | 142583   | SH  | DEFINED | 01 | 0 |
| TYLER TECHNOLOGIES INC        | COM      | 902252105 | 4      | 200      | SH  | DEFINED | 01 | 1 |
| TYSON FOODS INC-CL A          | COM      | 902494103 | 124585 | 7776211  | SH  | DEFINED | 01 | 0 |
| TYSON FOODS INC-CL A          | COM      | 902494103 | 251    | 15673    | SH  | DEFINED | 01 | 0 |
| TYSON FOODS INC-CL A          | COM      | 902494103 | 89     | 5573     | SH  | DEFINED | 01 | 1 |
| UAL CORP                      | COM      | 902549807 | 42898  | 1815363  | SH  | DEFINED | 01 | 0 |
| UAL CORP                      | COM      | 902549807 | 144    | 6114     | SH  | DEFINED | 01 | 0 |
| UAL CORP                      | COM      | 902549807 | 8      | 321      | SH  | DEFINED | 01 | 1 |
| UAL CORP                      | CONV BND | 902549AH7 | 6516   | 6490000  | PRN | DEFINED | 01 | 0 |
| UBS AG JERSEY BRH E TRACS LKD | COM      | 902641646 | 13     | 460      | SH  | DEFINED | 01 | 1 |
| UBS AG JERSEY E TRACS LKD     | COM      | 902641786 | 5      | 275      | SH  | DEFINED | 01 | 1 |
| UDR INC                       | COM      | 902653104 | 12757  | 603975   | SH  | DEFINED | 01 | 0 |
| UDR INC                       | COM      | 902653104 | 252    | 11909    | SH  | DEFINED | 01 | 1 |
| UBS AG                        | CONV PRF | 90265K205 | 1743   | 62800    | SH  | DEFINED | 01 | 0 |
| UGI CORP                      | COM      | 902681105 | 10482  | 366388   | SH  | DEFINED | 01 | 0 |
| UGI CORP                      | COM      | 902681105 | 78     | 2714     | SH  | DEFINED | 01 | 1 |
| UIL HOLDINGS CORP             | COM      | 902748102 | 16103  | 571871   | SH  | DEFINED | 01 | 0 |
| UIL HOLDINGS CORP             | COM      | 902748102 | 190    | 6751     | SH  | DEFINED | 01 | 1 |
| UMB FINANCIAL CORP            | COM      | 902788108 | 8536   | 240368   | SH  | DEFINED | 01 | 0 |
| USA TRUCK INC                 | COM      | 902925106 | 15     | 1045     | SH  | DEFINED | 01 | 0 |
| US GLOBAL INVESTORS INC CL A  | COM      | 902952100 | 4      | 630      | SH  | DEFINED | 01 | 1 |
| US BANCORP                    | COM      | 902973304 | 275511 | 12742985 | SH  | DEFINED | 01 | 0 |
| US BANCORP                    | COM      | 902973304 | 2178   | 100726   | SH  | DEFINED | 01 | 0 |
| US BANCORP                    | COM      | 902973304 | 2028   | 93817    | SH  | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| UMH PROPERTIES INC             | COM | 903002103 | 23     | 2120    | SH | DEFINED | 01 | 0 |
| UQM TECHNOLOGIES INC           | COM | 903213106 | 7      | 2580    | SH | DEFINED | 01 | 0 |
| UQM TECHNOLOGIES INC           | COM | 903213106 | 2      | 662     | SH | DEFINED | 01 | 1 |
| URS CORP                       | COM | 903236107 | 18847  | 496229  | SH | DEFINED | 01 | 0 |
| URS CORP                       | COM | 903236107 | 0      | 9       | SH | DEFINED | 01 | 1 |
| USANA HEALTH SCIENCES INC      | COM | 90328M107 | 103    | 2555    | SH | DEFINED | 01 | 0 |
| USA TECHNOLOGIES INCCOM NO PAR | COM | 90328S500 | 0      | 60      | SH | DEFINED | 01 | 1 |
| USG CORP                       | COM | 903293405 | 61     | 4551    | SH | DEFINED | 01 | 0 |
| USG CORP                       | COM | 903293405 | 74     | 5600    | SH | DEFINED | 01 | 1 |
| USEC INC                       | COM | 90333E108 | 8997   | 1733619 | SH | DEFINED | 01 | 0 |
| USEC INC                       | COM | 90333E108 | 8      | 1585    | SH | DEFINED | 01 | 1 |
| U.S. PHYSICAL THERAPY INC      | COM | 90337L108 | 12260  | 733300  | SH | DEFINED | 01 | 0 |
| U.S. PHYSICAL THERAPY INC      | COM | 90337L108 | 3      | 169     | SH | DEFINED | 01 | 1 |
| USA MOBILITY INC               | COM | 90341G103 | 3224   | 201077  | SH | DEFINED | 01 | 0 |
| US AIRWAYS GROUP INC           | COM | 90341W108 | 47963  | 5185434 | SH | DEFINED | 01 | 0 |
| US AIRWAYS GROUP INC           | COM | 90341W108 | 319    | 34502   | SH | DEFINED | 01 | 0 |
| US AIRWAYS GROUP INC           | COM | 90341W108 | 1      | 82      | SH | DEFINED | 01 | 1 |
| US AUTO PARTS NETWORK INC      | COM | 90343C100 | 9      | 1079    | SH | DEFINED | 01 | 0 |
| ULTA SALON COSMETICS & FRAGR   | COM | 90384S303 | 2569   | 87942   | SH | DEFINED | 01 | 0 |
| ULTA SALON COSMETICS & FRAGR   | COM | 90384S303 | 18     | 600     | SH | DEFINED | 01 | 1 |
| ULTIMATE SOFTWARE GROUP INC    | COM | 90385D107 | 2962   | 76681   | SH | DEFINED | 01 | 0 |
| ULTIMATE SOFTWARE GROUP INC    | COM | 90385D107 | 2      | 50      | SH | DEFINED | 01 | 1 |
| ULTRA CLEAN HOLDINGS           | COM | 90385V107 | 5029   | 583482  | SH | DEFINED | 01 | 0 |
| ULTRA CLEAN HOLDINGS           | COM | 90385V107 | 17     | 2000    | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 28430  | 677251  | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 3375   | 80389   | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 141    | 3365    | SH | DEFINED | 01 | 0 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 45010  | 1074469 | SH | DEFINED | 01 | 1 |
| ULTRA PETROLEUM CORP           | COM | 903914109 | 138    | 3280    | SH | DEFINED | 01 | 1 |
| ULTRAPAR PARTICIPACOE S        | COM | 90400P101 | 17     | 275     | SH | DEFINED | 01 | 0 |
| ULTRAPAR PARTICIPACOE S        | COM | 90400P101 | 42     | 680     | SH | DEFINED | 01 | 1 |
| ULTRATECH INC                  | COM | 904034105 | 9224   | 539420  | SH | DEFINED | 01 | 0 |
| ULTRATECH INC                  | COM | 904034105 | 5451   | 319267  | SH | DEFINED | 01 | 1 |
| UMPQUA HOLDINGS CORP           | COM | 904214103 | 22253  | 1962299 | SH | DEFINED | 01 | 0 |
| UMPQUA HOLDINGS CORP           | COM | 904214103 | 54     | 4734    | SH | DEFINED | 01 | 1 |
| UNDER ARMOUR INC-CLASS A       | COM | 904311107 | 3978   | 88315   | SH | DEFINED | 01 | 0 |
| UNDER ARMOUR INC-CLASS A       | COM | 904311107 | 6170   | 136990  | SH | DEFINED | 01 | 1 |
| UNDER ARMOUR INC-CLASS A       | COM | 904311107 | 552    | 12260   | SH | DEFINED | 01 | 1 |
| UNICA CORP                     | COM | 904583101 | 24     | 1140    | SH | DEFINED | 01 | 0 |
| UNIFI INC                      | COM | 904677101 | 15     | 3350    | SH | DEFINED | 01 | 0 |
| UNIFI INC                      | COM | 904677101 | 23     | 5080    | SH | DEFINED | 01 | 1 |
| UNIFIRST CORP/MA               | COM | 904708104 | 28184  | 638361  | SH | DEFINED | 01 | 0 |
| UNILEVER PLC-SPONSORED ADR     | COM | 904767704 | 168    | 5772    | SH | DEFINED | 01 | 0 |
| UNILEVER PLC-SPONSORED ADR     | COM | 904767704 | 388    | 13327   | SH | DEFINED | 01 | 1 |
| UNILEVER N V -NY SHARES        | COM | 904784709 | 8372   | 280174  | SH | DEFINED | 01 | 0 |
| UNILEVER N V -NY SHARES        | COM | 904784709 | 97     | 3237    | SH | DEFINED | 01 | 1 |
| UNILIFE CORP                   | COM | 90478E103 | 19     | 3175    | SH | DEFINED | 01 | 0 |
| UNION DRILLING INC             | COM | 90653P105 | 5248   | 1171316 | SH | DEFINED | 01 | 0 |
| UNION FIRST MARKET BANKSHARE   | COM | 90662P104 | 4274   | 327246  | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 654028 | 7995377 | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 3111   | 38030   | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 2138   | 26135   | SH | DEFINED | 01 | 0 |
| UNION PACIFIC CORP             | COM | 907818108 | 70609  | 863858  | SH | DEFINED | 01 | 1 |
| UNION PACIFIC CORP             | COM | 907818108 | 1652   | 20190   | SH | DEFINED | 01 | 1 |
| UNISOURCE ENERGY CORP CO       | COM | 909205106 | 11461  | 342830  | SH | DEFINED | 01 | 0 |
| UNISOURCE ENERGY CORP CO       | COM | 909205106 | 5      | 140     | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| UNISYS CORP                    | COM      | 909214306 | 168    | 6030     | SH  | DEFINED | 01 | 0 |
| UNISYS CORP                    | COM      | 909214306 | 11     | 401      | SH  | DEFINED | 01 | 1 |
| UNIT CORP                      | COM      | 909218109 | 9737   | 261109   | SH  | DEFINED | 01 | 0 |
| UNIT CORP                      | COM      | 909218109 | 11     | 300      | SH  | DEFINED | 01 | 1 |
| UNITED COMMUNITY BANKS/GA      | COM      | 90984P105 | 2757   | 1231028  | SH  | DEFINED | 01 | 0 |
| UNITED COMMUNITY BANKS/GA      | COM      | 90984P105 | 0      | 3        | SH  | DEFINED | 01 | 1 |
| UNITED BANKSHARES INC          | COM      | 909907107 | 4650   | 186828   | SH  | DEFINED | 01 | 0 |
| UNITED BANKSHARES INC          | COM      | 909907107 | 351    | 14085    | SH  | DEFINED | 01 | 1 |
| UNITED CAPITAL CORP            | COM      | 909912107 | 5      | 210      | SH  | DEFINED | 01 | 0 |
| UNITED FINANCIAL BANCORP INC   | COM      | 91030T109 | 7768   | 574912   | SH  | DEFINED | 01 | 0 |
| UNITED FIRE & CASUALTY CO      | COM      | 910331107 | 16860  | 794943   | SH  | DEFINED | 01 | 0 |
| UNITED FIRE & CASUALTY CO      | COM      | 910331107 | 8      | 400      | SH  | DEFINED | 01 | 1 |
| UNITED MICROELECTRON-SP ADR    | COM      | 910873405 | 373    | 133969   | SH  | DEFINED | 01 | 0 |
| UNITED MICROELECTRON-SP ADR    | COM      | 910873405 | 15     | 5288     | SH  | DEFINED | 01 | 1 |
| UNITED NATURAL FOODS INC       | COM      | 911163103 | 6851   | 206759   | SH  | DEFINED | 01 | 0 |
| UNITED NATURAL FOODS INC       | COM      | 911163103 | 7      | 197      | SH  | DEFINED | 01 | 1 |
| UNITED ONLINE INC              | COM      | 911268100 | 9794   | 1712210  | SH  | DEFINED | 01 | 0 |
| UNITED ONLINE INC              | COM      | 911268100 | 31     | 5425     | SH  | DEFINED | 01 | 1 |
| UNITED OVERSEAS BANK LTD SPON  | COM      | 911271302 | 50     | 1788     | SH  | DEFINED | 01 | 0 |
| UNITED PARCEL SERVICE-CL B     | COM      | 911312106 | 250443 | 3755355  | SH  | DEFINED | 01 | 0 |
| UNITED PARCEL SERVICE-CL B     | COM      | 911312106 | 3881   | 58199    | SH  | DEFINED | 01 | 0 |
| UNITED PARCEL SERVICE-CL B     | COM      | 911312106 | 7817   | 117221   | SH  | DEFINED | 01 | 1 |
| UNITED RENTALS INC             | COM      | 911363109 | 23516  | 1584623  | SH  | DEFINED | 01 | 0 |
| UNITED RENTALS INC             | COM      | 911363109 | 6904   | 465247   | SH  | DEFINED | 01 | 1 |
| UNITED RENTALS INC             | COM      | 911363109 | 1      | 100      | SH  | DEFINED | 01 | 1 |
| US CELLULAR CORP               | COM      | 911684108 | 490    | 10670    | SH  | DEFINED | 01 | 0 |
| US CELLULAR CORP               | COM      | 911684108 | 68     | 1489     | SH  | DEFINED | 01 | 1 |
| UNITED STS COMMODITYINDEX FD C | COM      | 911717106 | 499    | 9188     | SH  | DEFINED | 01 | 1 |
| U S ENERGY CORP - WYOMING      | COM      | 911805109 | 8      | 1750     | SH  | DEFINED | 01 | 0 |
| UNITED STATES LIME & MINERAL   | COM      | 911922102 | 7      | 175      | SH  | DEFINED | 01 | 0 |
| UNITED STS GASOLINE FD LP      | COM      | 91201T102 | 72     | 2105     | SH  | DEFINED | 01 | 1 |
| U S GOLD CORP                  | COM      | 912023207 | 2043   | 411026   | SH  | DEFINED | 01 | 0 |
| U S GOLD CORP                  | COM      | 912023207 | 0      | 10       | SH  | DEFINED | 01 | 1 |
| UNITED STS HEATING OIL FD LP   | COM      | 91204P107 | 4      | 160      | SH  | DEFINED | 01 | 1 |
| UNITED STS NAT GAS FD LP UNIT  | COM      | 912318102 | 1482   | 240332   | SH  | DEFINED | 01 | 1 |
| UNITED STS OIL FD LPUNITS      | COM      | 91232N108 | 834    | 23941    | SH  | DEFINED | 01 | 1 |
| U-STORE-IT TRUST               | COM      | 91274F104 | 26662  | 3193035  | SH  | DEFINED | 01 | 0 |
| U-STORE-IT TRUST               | COM      | 91274F104 | 13     | 1500     | SH  | DEFINED | 01 | 1 |
| UNITED STATES STEEL CORP       | COM      | 912909108 | 118527 | 2703609  | SH  | DEFINED | 01 | 0 |
| UNITED STATES STEEL CORP       | COM      | 912909108 | 572    | 13047    | SH  | DEFINED | 01 | 0 |
| UNITED STATES STEEL CORP       | COM      | 912909108 | 608    | 13873    | SH  | DEFINED | 01 | 1 |
| UNITED STATES STEEL CORP       | CONV BND | 912909AE8 | 11948  | 7745667  | PRN | DEFINED | 01 | 0 |
| UNITED STATIONERS INC          | COM      | 913004107 | 32699  | 611078   | SH  | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP       | COM      | 913017109 | 730448 | 10254713 | SH  | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP       | COM      | 913017109 | 4098   | 57540    | SH  | DEFINED | 01 | 0 |
| UNITED TECHNOLOGIES CORP       | COM      | 913017109 | 2635   | 36995    | SH  | DEFINED | 01 | 1 |
| UNITED THERAPEUTICS CORP       | COM      | 91307C102 | 22844  | 407872   | SH  | DEFINED | 01 | 0 |
| UNITED THERAPEUTICS CORP       | COM      | 91307C102 | 4      | 80       | SH  | DEFINED | 01 | 1 |
| UNITED UTILS GROUP PLC         | COM      | 91311E102 | 24     | 1330     | SH  | DEFINED | 01 | 0 |
| UNITEDHEALTH GROUP INC         | COM      | 91324P102 | 306876 | 8740307  | SH  | DEFINED | 01 | 0 |
| UNITEDHEALTH GROUP INC         | COM      | 91324P102 | 2074   | 59081    | SH  | DEFINED | 01 | 0 |
| UNITEDHEALTH GROUP INC         | COM      | 91324P102 | 50190  | 1429531  | SH  | DEFINED | 01 | 1 |
| UNITEDHEALTH GROUP INC         | COM      | 91324P102 | 1554   | 44257    | SH  | DEFINED | 01 | 1 |
| UNITIL CORP                    | COM      | 913259107 | 57     | 2610     | SH  | DEFINED | 01 | 0 |
| UNITRIN INC                    | COM      | 913275103 | 5082   | 208365   | SH  | DEFINED | 01 | 0 |
| UNITRIN INC                    | COM      | 913275103 | 49     | 2000     | SH  | DEFINED | 01 | 1 |

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

|                                 |     |           |        |         |    |         |    |   |
|---------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| UNIVERSAL AMERICAN CORP         | COM | 913377107 | 1399   | 94848   | SH | DEFINED | 01 | 0 |
| UNIVERSAL CORP/VA               | COM | 913456109 | 16114  | 401982  | SH | DEFINED | 01 | 0 |
| UNIVERSAL CORP/VA               | COM | 913456109 | 9      | 220     | SH | DEFINED | 01 | 1 |
| UNIVERSAL DISPLAY CORP          | COM | 91347P105 | 2790   | 118762  | SH | DEFINED | 01 | 0 |
| UNIVERSAL DISPLAY CORP          | COM | 91347P105 | 7      | 300     | SH | DEFINED | 01 | 1 |
| UNIVERSAL ELECTRONICS INC       | COM | 913483103 | 3604   | 172867  | SH | DEFINED | 01 | 0 |
| UNIVERSAL FOREST PRODUCTS       | COM | 913543104 | 9826   | 335927  | SH | DEFINED | 01 | 0 |
| UNIVERSAL FOREST PRODUCTS       | COM | 913543104 | 5      | 160     | SH | DEFINED | 01 | 1 |
| UNIVERSAL HEALTH RLTY INCOME    | COM | 91359E105 | 11637  | 338192  | SH | DEFINED | 01 | 0 |
| UNIVERSAL INSURANCE HOLDINGS    | COM | 91359V107 | 6      | 1425    | SH | DEFINED | 01 | 0 |
| UNIVERSAL INSURANCE HOLDINGS    | COM | 91359V107 | 4      | 1000    | SH | DEFINED | 01 | 1 |
| UNIVERSAL STAINLESS & ALLOY     | COM | 913837100 | 15     | 595     | SH | DEFINED | 01 | 0 |
| UNIVERSAL TRUCKLOAD SERVICES    | COM | 91388P105 | 6      | 375     | SH | DEFINED | 01 | 0 |
| UNIVERSAL TRAVEL GROUP COM      | COM | 91388Q202 | 0      | 100     | SH | DEFINED | 01 | 1 |
| UNIVERSAL HEALTH SERVICES-B     | COM | 913903100 | 91846  | 2363504 | SH | DEFINED | 01 | 0 |
| UNIVERSAL HEALTH SERVICES-B     | COM | 913903100 | 3      | 66      | SH | DEFINED | 01 | 1 |
| UNIVERSAL TECHNICAL INSTITUT    | COM | 913915104 | 1926   | 98493   | SH | DEFINED | 01 | 0 |
| UNIVEST CORP OF PENNSYLVANIA    | COM | 915271100 | 25     | 1447    | SH | DEFINED | 01 | 0 |
| UOL GROUP LTD                   | COM | 91529G105 | 3      | 190     | SH | DEFINED | 01 | 0 |
| UNUM GROUP                      | COM | 91529Y106 | 160954 | 7265908 | SH | DEFINED | 01 | 0 |
| UNUM GROUP                      | COM | 91529Y106 | 380    | 17177   | SH | DEFINED | 01 | 0 |
| UNUM GROUP                      | COM | 91529Y106 | 36     | 1613    | SH | DEFINED | 01 | 1 |
| UPM KYMMENE CORP                | COM | 915436109 | 23     | 1330    | SH | DEFINED | 01 | 0 |
| URANERZ ENERGY CORPORATIO       | COM | 91688T104 | 4      | 2200    | SH | DEFINED | 01 | 1 |
| URANIUM ENERGY CORP             | COM | 916896103 | 16     | 4975    | SH | DEFINED | 01 | 0 |
| URANIUM ENERGY CORP             | COM | 916896103 | 4      | 1192    | SH | DEFINED | 01 | 1 |
| URANIUM RES INC COM PAR \$0.001 | COM | 916901507 | 2      | 2000    | SH | DEFINED | 01 | 1 |
| URBAN OUTFITTERS INC            | COM | 917047102 | 27598  | 877815  | SH | DEFINED | 01 | 0 |
| URBAN OUTFITTERS INC            | COM | 917047102 | 264    | 8382    | SH | DEFINED | 01 | 0 |
| URSTADT BIDDLE PROPERTIES-REIT  | COM | 917286106 | 6      | 400     | SH | DEFINED | 01 | 0 |
| URSTADT BIDDLE PROPERTIES-REIT  | COM | 917286106 | 2      | 140     | SH | DEFINED | 01 | 1 |
| URSTADT BIDDLE - CLASS A        | COM | 917286205 | 12159  | 672484  | SH | DEFINED | 01 | 0 |
| USINAS SIDER MINAS-ADR REGS     | COM | 917302200 | 12     | 430     | SH | DEFINED | 01 | 0 |
| US ECOLOGY INC                  | COM | 91732J102 | 230    | 14410   | SH | DEFINED | 01 | 0 |
| US ECOLOGY INC                  | COM | 91732J102 | 20     | 1225    | SH | DEFINED | 01 | 1 |
| UTSTARCOM INC                   | COM | 918076100 | 18     | 8286    | SH | DEFINED | 01 | 0 |
| UTSTARCOM INC                   | COM | 918076100 | 3      | 1600    | SH | DEFINED | 01 | 1 |
| VCA ANTECH INC                  | COM | 918194101 | 4426   | 209899  | SH | DEFINED | 01 | 0 |
| VCA ANTECH INC                  | COM | 918194101 | 64     | 3035    | SH | DEFINED | 01 | 1 |
| VF CORP                         | COM | 918204108 | 73555  | 907880  | SH | DEFINED | 01 | 0 |
| VF CORP                         | COM | 918204108 | 368    | 4545    | SH | DEFINED | 01 | 0 |
| VF CORP                         | COM | 918204108 | 32     | 395     | SH | DEFINED | 01 | 1 |
| VSE CORP                        | COM | 918284100 | 9      | 270     | SH | DEFINED | 01 | 0 |
| VAALCO ENERGY INC               | COM | 91851C201 | 374    | 65245   | SH | DEFINED | 01 | 0 |
| VAIL RESORTS INC                | COM | 91879Q109 | 6050   | 161216  | SH | DEFINED | 01 | 0 |
| VALASSIS COMMUNICATIONS INC     | COM | 918866104 | 24881  | 734153  | SH | DEFINED | 01 | 0 |
| VALHI INC                       | COM | 918905100 | 11     | 520     | SH | DEFINED | 01 | 0 |
| VALHI INC                       | COM | 918905100 | 2      | 108     | SH | DEFINED | 01 | 1 |
| VALENCE TECHNOLOGY INC          | COM | 918914102 | 4      | 3500    | SH | DEFINED | 01 | 0 |
| VALENCE TECHNOLOGY INC          | COM | 918914102 | 1      | 510     | SH | DEFINED | 01 | 1 |
| VALEANT PHARMACEUTICALS INTERN  | COM | 91911K102 | 27855  | 1111983 | SH | DEFINED | 01 | 0 |
| VALEANT PHARMACEUTICALS INTERN  | COM | 91911K102 | 12710  | 507389  | SH | DEFINED | 01 | 1 |
| VALE SA-SP ADR                  | COM | 91912E105 | 154479 | 4940160 | SH | DEFINED | 01 | 0 |
| VALE SA-SP ADR                  | COM | 91912E105 | 51920  | 1660371 | SH | DEFINED | 01 | 0 |
| VALE SA-SP ADR                  | COM | 91912E105 | 167    | 5352    | SH | DEFINED | 01 | 0 |
| VALE SA-SP ADR                  | COM | 91912E105 | 6794   | 217401  | SH | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| VALE SA-SP ADR                 | COM | 91912E105 | 1345   | 43018   | SH | DEFINED | 01 | 1 |
| VALE SA-SP PREF ADR            | COM | 91912E204 | 12074  | 435100  | SH | DEFINED | 01 | 0 |
| VALE SA-SP PREF ADR            | COM | 91912E204 | 192773 | 7081399 | SH | DEFINED | 01 | 1 |
| VALE SA-SP PREF ADR            | COM | 91912E204 | 4      | 142     | SH | DEFINED | 01 | 1 |
| VALE SA                        | COM | 91912E998 | 16372  | 529900  | SH | DEFINED | 01 | 0 |
| VALEO SA - SPON ADR            | COM | 919134304 | 53     | 2273    | SH | DEFINED | 01 | 0 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 84926  | 4849935 | SH | DEFINED | 01 | 0 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 521    | 29748   | SH | DEFINED | 01 | 0 |
| VALERO ENERGY CORP             | COM | 91913Y100 | 304    | 17390   | SH | DEFINED | 01 | 1 |
| VALLEY NATIONAL BANCORP        | COM | 919794107 | 10079  | 781362  | SH | DEFINED | 01 | 0 |
| VALMONT INDUSTRIES             | COM | 920253101 | 4007   | 55331   | SH | DEFINED | 01 | 0 |
| VALMONT INDUSTRIES             | COM | 920253101 | 25     | 345     | SH | DEFINED | 01 | 1 |
| VALSPAR CORP                   | COM | 920355104 | 7853   | 246542  | SH | DEFINED | 01 | 0 |
| VALSPAR CORP                   | COM | 920355104 | 97     | 3040    | SH | DEFINED | 01 | 1 |
| VALUE LINE INC                 | COM | 920437100 | 14     | 1070    | SH | DEFINED | 01 | 0 |
| VALUECLICK INC                 | COM | 92046N102 | 15078  | 1152720 | SH | DEFINED | 01 | 0 |
| VALUECLICK INC                 | COM | 92046N102 | 4      | 331     | SH | DEFINED | 01 | 1 |
| VANCEINFO TECHNOLOGIES-ADR     | COM | 921564100 | 18899  | 584361  | SH | DEFINED | 01 | 0 |
| VANCEINFO TECHNOLOGIES-ADR     | COM | 921564100 | 32     | 1000    | SH | DEFINED | 01 | 1 |
| VANDA PHARMACEUTICALS INC      | COM | 921659108 | 15     | 2335    | SH | DEFINED | 01 | 0 |
| VANDA PHARMACEUTICALS INC      | COM | 921659108 | 33     | 5000    | SH | DEFINED | 01 | 1 |
| VANGUARD SPECIALIZEDPORTFOLIOS | COM | 921908844 | 25250  | 518268  | SH | DEFINED | 01 | 1 |
| VANGUARD WORLD FD MEGA CAP 3   | COM | 921910840 | 19     | 535     | SH | DEFINED | 01 | 1 |
| VANGUARD WORLD FD MEGA CAP 3   | COM | 921910873 | 23     | 600     | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FD INC LON   | COM | 921937793 | 112    | 1303    | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FDINC INTERM | COM | 921937819 | 523    | 6031    | SH | DEFINED | 01 | 1 |
| VANGUARD BD INDEX FDINC SHORT  | COM | 921937827 | 4730   | 57858   | SH | DEFINED | 01 | 1 |
| VANGUARD TOTAL BOND MARKET     | COM | 921937835 | 13800  | 166950  | SH | DEFINED | 01 | 0 |
| VANGUARD TOTAL BOND MARKET     | COM | 921937835 | 50991  | 616881  | SH | DEFINED | 01 | 0 |
| VANGUARD EUROPE PACIFIC ETF    | COM | 921943858 | 3914   | 113375  | SH | DEFINED | 01 | 0 |
| VANGUARD EUROPE PACIFIC ETF    | COM | 921943858 | 5245   | 151946  | SH | DEFINED | 01 | 1 |
| VANGUARD WHITEHALL FDS HIGH D  | COM | 921946406 | 256    | 6574    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FDSF | COM | 922042718 | 748    | 8155    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FDS  | COM | 922042742 | 529    | 11814   | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042775 | 2167   | 47738   | SH | DEFINED | 01 | 1 |
| VANGUARD EMERGING MARKET ETF   | COM | 922042858 | 4214   | 92800   | SH | DEFINED | 01 | 0 |
| VANGUARD EMERGING MARKET ETF   | COM | 922042858 | 14604  | 321254  | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042866 | 332    | 6173    | SH | DEFINED | 01 | 1 |
| VANGUARD INTL EQUITYINDEX FD I | COM | 922042874 | 294    | 6028    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A108 | 137    | 2546    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A207 | 1416   | 20035   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A306 | 2035   | 24600   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A405 | 234    | 7898    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A504 | 1404   | 25750   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A603 | 37     | 643     | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A702 | 3051   | 54876   | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A801 | 185    | 2607    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A876 | 556    | 8373    | SH | DEFINED | 01 | 1 |
| VANGUARD SECTOR INDEX FDS      | COM | 92204A884 | 3      | 48      | SH | DEFINED | 01 | 1 |
| VANGUARD NAT RES LLCCOM UNIT R | COM | 92205F106 | 376    | 14782   | SH | DEFINED | 01 | 1 |
| VANGUARD SHORT TERM COPORATE B | COM | 92206C409 | 853    | 10886   | SH | DEFINED | 01 | 1 |
| VANGUARD LONG TERM CORPORATE   | COM | 92206C813 | 8      | 102     | SH | DEFINED | 01 | 1 |
| VANGUARD LONG TERM GOVERNMENT  | COM | 92206C847 | 90     | 1350    | SH | DEFINED | 01 | 1 |
| VANGUARD INTERMEDIA            | COM | 92206C870 | 97     | 1187    | SH | DEFINED | 01 | 1 |
| VARDE INV PARTNER LP           | LP  | 922155999 | 1162   | 902951  | SH | DEFINED | 01 | 0 |
| VARIAN SEMICONDUCTOR EQUIP     | COM | 922207105 | 72829  | 2530514 | SH | DEFINED | 01 | 0 |

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

|                               |          |           |        |          |     |         |    |   |
|-------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| VARIAN SEMICONDUCTOR EQUIP    | COM      | 922207105 | 66     | 2310     | SH  | DEFINED | 01 | 1 |
| VARIAN MEDICAL SYSTEMS INC    | COM      | 92220P105 | 33355  | 551329   | SH  | DEFINED | 01 | 0 |
| VARIAN MEDICAL SYSTEMS INC    | COM      | 92220P105 | 386    | 6382     | SH  | DEFINED | 01 | 0 |
| VARIAN MEDICAL SYSTEMS INC    | COM      | 92220P105 | 6497   | 134200   | SH  | DEFINED | 01 | 1 |
| VARIAN MEDICAL SYSTEMS INC    | COM      | 92220P105 | 272    | 4503     | SH  | DEFINED | 01 | 1 |
| VASCO DATA SECURITY INTL      | COM      | 92230Y104 | 12     | 1840     | SH  | DEFINED | 01 | 0 |
| VASCO DATA SECURITY INTL      | COM      | 92230Y104 | 3      | 400      | SH  | DEFINED | 01 | 1 |
| VASCULAR SOLUTIONS INC        | COM      | 92231M109 | 21     | 1800     | SH  | DEFINED | 01 | 0 |
| VECTREN CORPORATION           | COM      | 92240G101 | 5236   | 202384   | SH  | DEFINED | 01 | 0 |
| VECTREN CORPORATION           | COM      | 92240G101 | 72     | 2789     | SH  | DEFINED | 01 | 1 |
| VECTOR GROUP LTD              | COM      | 92240M108 | 124    | 6639     | SH  | DEFINED | 01 | 0 |
| VECTOR GROUP LTD              | COM      | 92240M108 | 310    | 16579    | SH  | DEFINED | 01 | 1 |
| VECTOR GROUP LTD              | CONV BND | 92240MAL2 | 3618   | 3040000  | PRN | DEFINED | 01 | 0 |
| VEECO INSTRUMENTS INC         | COM      | 922417100 | 18199  | 521930   | SH  | DEFINED | 01 | 0 |
| VEECO INSTRUMENTS INC         | COM      | 922417100 | 96     | 2750     | SH  | DEFINED | 01 | 1 |
|                               |          |           |        |          |     |         |    |   |
| VENOCO INC                    | COM      | 92275P307 | 2087   | 106317   | SH  | DEFINED | 01 | 0 |
| VENTAS INC                    | COM      | 92276F100 | 79493  | 1541488  | SH  | DEFINED | 01 | 0 |
| VENTAS INC                    | COM      | 92276F100 | 426    | 8263     | SH  | DEFINED | 01 | 0 |
| VENTAS INC                    | COM      | 92276F100 | 216    | 4195     | SH  | DEFINED | 01 | 1 |
| VENTAS INC                    | COM      | 92276F100 | 101    | 1954     | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS MID-CAP VA | COM      | 922908512 | 217    | 4480     | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS MID-CAP GR | COM      | 922908538 | 778    | 14390    | SH  | DEFINED | 01 | 1 |
| VANGUARD REIT ETF             | COM      | 922908553 | 388    | 7452     | SH  | DEFINED | 01 | 0 |
| VANGUARD REIT ETF             | COM      | 922908553 | 4853   | 93178    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD S | COM      | 922908595 | 362    | 5415     | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD S | COM      | 922908611 | 2001   | 33518    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD M | COM      | 922908629 | 3584   | 54053    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD L | COM      | 922908637 | 3273   | 62837    | SH  | DEFINED | 01 | 1 |
| VANGUARD EXTENDED MARKET ETF  | COM      | 922908652 | 527    | 11085    | SH  | DEFINED | 01 | 0 |
| VANGUARD EXTENDED MARKET ETF  | COM      | 922908652 | 1606   | 33775    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD G | COM      | 922908736 | 8789   | 159875   | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD V | COM      | 922908744 | 3830   | 78638    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD S | COM      | 922908751 | 3863   | 60896    | SH  | DEFINED | 01 | 1 |
| VANGUARD INDEX FDS VANGUARD T | COM      | 922908769 | 12246  | 209797   | SH  | DEFINED | 01 | 1 |
| VEOLIA ENVIRONNEMENT-ADR      | COM      | 92334N103 | 14     | 530      | SH  | DEFINED | 01 | 0 |
| VEOLIA ENVIRONNEMENT-ADR      | COM      | 92334N103 | 121    | 4576     | SH  | DEFINED | 01 | 1 |
| VERIFONE HOLDINGS INC         | COM      | 92342Y109 | 33687  | 1084191  | SH  | DEFINED | 01 | 0 |
| VERIFONE HOLDINGS INC         | COM      | 92342Y109 | 55     | 1765     | SH  | DEFINED | 01 | 1 |
| VERISIGN INC                  | COM      | 92343E102 | 79983  | 2520005  | SH  | DEFINED | 01 | 0 |
| VERISIGN INC                  | COM      | 92343E102 | 290    | 9141     | SH  | DEFINED | 01 | 0 |
| VERISIGN INC                  | COM      | 92343E102 | 212    | 7900     | SH  | DEFINED | 01 | 1 |
| VERISIGN INC                  | COM      | 92343E102 | 7      | 227      | SH  | DEFINED | 01 | 1 |
| VERIZON COMMUNICATIONS INC    | COM      | 92343V104 | 553089 | 16970999 | SH  | DEFINED | 01 | 0 |
| VERIZON COMMUNICATIONS INC    | COM      | 92343V104 | 211    | 6475     | SH  | DEFINED | 01 | 0 |
| VERIZON COMMUNICATIONS INC    | COM      | 92343V104 | 5430   | 166609   | SH  | DEFINED | 01 | 0 |
| VERIZON COMMUNICATIONS INC    | COM      | 92343V104 | 4281   | 131337   | SH  | DEFINED | 01 | 1 |
| VERIZON COMMUNICATIONS INC    | COM      | 92343V104 | 11320  | 347344   | SH  | DEFINED | 01 | 1 |
| VERISK ANALYTICS INC-CLASS A  | COM      | 92345Y106 | 9190   | 328100   | SH  | DEFINED | 01 | 0 |
| VERISK ANALYTICS INC-CLASS A  | COM      | 92345Y106 | 56     | 2000     | SH  | DEFINED | 01 | 1 |
| VERSO PAPER CORP              | COM      | 92531L108 | 4      | 1250     | SH  | DEFINED | 01 | 0 |
| VERTEX PHARMACEUTICALS INC    | COM      | 92532F100 | 30695  | 887927   | SH  | DEFINED | 01 | 0 |
| VERTEX PHARMACEUTICALS INC    | COM      | 92532F100 | 146    | 4231     | SH  | DEFINED | 01 | 0 |
| VERTEX PHARMACEUTICALS INC    | COM      | 92532F100 | 17     | 480      | SH  | DEFINED | 01 | 1 |
| VESTAS WIND SYS A/S UTD       | COM      | 925458101 | 6      | 520      | SH  | DEFINED | 01 | 0 |
| VIAD CORP                     | COM      | 92552R406 | 1885   | 97481    | SH  | DEFINED | 01 | 0 |
| VIAD CORP                     | COM      | 92552R406 | 1      | 50       | SH  | DEFINED | 01 | 1 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| VIASAT INC                   | COM | 92552V100 | 8147   | 198163  | SH | DEFINED | 01 | 0 |
| VIASAT INC                   | COM | 92552V100 | 43     | 1054    | SH | DEFINED | 01 | 1 |
| VIASYSTEMS GROUP INC         | COM | 92553H803 | 4      | 275     | SH | DEFINED | 01 | 0 |
| VIACOM INC NEW CL A          | COM | 92553P102 | 10     | 240     | SH | DEFINED | 01 | 1 |
| VIACOM INC-CLASS B           | COM | 92553P201 | 153067 | 4229467 | SH | DEFINED | 01 | 0 |
| VIACOM INC-CLASS B           | COM | 92553P201 | 1431   | 39546   | SH | DEFINED | 01 | 0 |
| VIACOM INC-CLASS B           | COM | 92553P201 | 148    | 4077    | SH | DEFINED | 01 | 1 |
| VICAL INC                    | COM | 925602104 | 10     | 4595    | SH | DEFINED | 01 | 0 |
| VICOR CORP                   | COM | 925815102 | 1461   | 100035  | SH | DEFINED | 01 | 0 |
| VICOR CORP                   | COM | 925815102 | 0      | 3       | SH | DEFINED | 01 | 1 |
| VIENNA INS GROUP             | COM | 926626102 | 6      | 570     | SH | DEFINED | 01 | 0 |
| VIEWPOINT FINANCIAL GROUP    | COM | 92672A101 | 2771   | 299539  | SH | DEFINED | 01 | 0 |
| VILLAGE SUPER MARKET-CLASS A | COM | 927107409 | 4093   | 146478  | SH | DEFINED | 01 | 0 |
|                              |     |           |        |         |    |         |    |   |
| VIMICRO INTERNATIONAL CO-ADR | COM | 92718N109 | 1      | 260     | SH | DEFINED | 01 | 0 |
| VINA CONCHA Y TORO SA-SP ADR | COM | 927191106 | 2      | 50      | SH | DEFINED | 01 | 0 |
| VIMPELCOM LTD-SPON ADR       | COM | 92719A106 | 7667   | 516237  | SH | DEFINED | 01 | 0 |
| VIMPELCOM LTD-SPON ADR       | COM | 92719A106 | 14949  | 1006700 | SH | DEFINED | 01 | 0 |
| VIMPELCOM LTD-SPON ADR       | COM | 92719A106 | 1969   | 132922  | SH | DEFINED | 01 | 1 |
| VIMPELCOM LTD-SPON ADR       | COM | 92719A106 | 2      | 106     | SH | DEFINED | 01 | 1 |
| VINCI S A ADR                | COM | 927320101 | 52     | 4117    | SH | DEFINED | 01 | 0 |
| VIRGIN MEDIA INC             | COM | 92769L101 | 32161  | 1397015 | SH | DEFINED | 01 | 0 |
| VIRGIN MEDIA INC             | COM | 92769L101 | 43     | 2331    | SH | DEFINED | 01 | 1 |
| VIRGIN MEDIA INC             | COM | 92769L101 | 4      | 191     | SH | DEFINED | 01 | 1 |
| VIRGINIA COMMERCE BANCORP    | COM | 92778Q109 | 234    | 48175   | SH | DEFINED | 01 | 0 |
| VISION SCIENCES INC DEL      | COM | 927912105 | 205    | 172500  | SH | DEFINED | 01 | 1 |
| VIRNETX HOLDING CORP         | COM | 92823T108 | 347    | 23600   | SH | DEFINED | 01 | 0 |
| VIRNETX HOLDING CORP         | COM | 92823T108 | 3225   | 219701  | SH | DEFINED | 01 | 1 |
| VIOPHARMA INC                | COM | 928241108 | 9085   | 609245  | SH | DEFINED | 01 | 0 |
| VIOPHARMA INC                | COM | 928241108 | 27     | 1780    | SH | DEFINED | 01 | 1 |
| VIRTUALSCOPICS INC COM       | COM | 928269109 | 6      | 6473    | SH | DEFINED | 01 | 1 |
| VISA INC-CLASS A SHARES      | COM | 92826C839 | 75302  | 1014024 | SH | DEFINED | 01 | 0 |
| VISA INC-CLASS A SHARES      | COM | 92826C839 | 1939   | 26105   | SH | DEFINED | 01 | 0 |
| VISA INC-CLASS A SHARES      | COM | 92826C839 | 24017  | 323909  | SH | DEFINED | 01 | 1 |
| VISA INC-CLASS A SHARES      | COM | 92826C839 | 1567   | 21102   | SH | DEFINED | 01 | 1 |
| VIRTUSA CORP                 | COM | 92827P102 | 12     | 1185    | SH | DEFINED | 01 | 0 |
| VIRTUS INVESTMENT PARTNERS   | COM | 92828Q109 | 18     | 587     | SH | DEFINED | 01 | 0 |
| VIRTUS INVESTMENT PARTNERS   | COM | 92828Q109 | 1      | 29      | SH | DEFINED | 01 | 1 |
| VISHAY INTERTECHNOLOGY INC   | COM | 928298108 | 22297  | 2303299 | SH | DEFINED | 01 | 0 |
| VISHAY INTERTECHNOLOGY INC   | COM | 928298108 | 85     | 8735    | SH | DEFINED | 01 | 1 |
| VISHAY PRECISION GROUP       | COM | 92835K103 | 1804   | 115579  | SH | DEFINED | 01 | 0 |
| VISHAY PRECISION GROUP       | COM | 92835K103 | 6      | 395     | SH | DEFINED | 01 | 1 |
| VISTEON CORP                 | COM | 92839U107 | 0      | 104     | SH | DEFINED | 01 | 0 |
| VITAL IMAGES INC             | COM | 92846N104 | 17     | 1250    | SH | DEFINED | 01 | 0 |
| VITACOST.COM INC             | COM | 92847A200 | 6      | 960     | SH | DEFINED | 01 | 0 |
| VITAMIN SHOPPE INC           | COM | 92849E101 | 11365  | 414035  | SH | DEFINED | 01 | 0 |
| VIVENDI SA                   | COM | 92852T102 | 122    | 4450    | SH | DEFINED | 01 | 0 |
| VIVUS INC                    | COM | 928551100 | 43     | 6505    | SH | DEFINED | 01 | 0 |
| VIVUS INC                    | COM | 928551100 | 33     | 4908    | SH | DEFINED | 01 | 1 |
| VIVO PARTICIPACOES SA-ADR    | COM | 92855S200 | 9989   | 367666  | SH | DEFINED | 01 | 0 |
| VIVO PARTICIPACOES SA-ADR    | COM | 92855S200 | 10     | 383     | SH | DEFINED | 01 | 1 |
| VMWARE INC-CLASS A           | COM | 928563402 | 14733  | 173438  | SH | DEFINED | 01 | 0 |
| VMWARE INC-CLASS A           | COM | 928563402 | 766    | 9023    | SH | DEFINED | 01 | 1 |
| VODAFONE GROUP PLC-SP ADR    | COM | 92857W209 | 7310   | 294632  | SH | DEFINED | 01 | 0 |
| VODAFONE GROUP PLC-SP ADR    | COM | 92857W209 | 1262   | 50849   | SH | DEFINED | 01 | 1 |
| VOCUS INC                    | COM | 92858J108 | 7388   | 399776  | SH | DEFINED | 01 | 0 |
| VOLKSWAGEN AG-PFD            | PRF | 928600980 | 3090   | 25600   | SH | DEFINED | 01 | 0 |



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

|                              |          |           |        |          |     |         |    |   |
|------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| VOLKSWAGEN AG-PFD            | PRF      | 928600980 | 14686  | 121680   | SH  | DEFINED | 01 | 0 |
| VOLCANO CORP                 | COM      | 928645100 | 6603   | 254142   | SH  | DEFINED | 01 | 0 |
| VOLCANO CORP                 | COM      | 928645100 | 3      | 100      | SH  | DEFINED | 01 | 1 |
| VOLCANO CORP                 | CONV BND | 928645AA8 | 1109   | 1000000  | PRN | DEFINED | 01 | 0 |
| VOLCOM INC                   | COM      | 92864N101 | 6353   | 332270   | SH  | DEFINED | 01 | 0 |
| VOLGATELECOM PUB JT STK      | COM      | 928660109 | 14     | 1950     | SH  | DEFINED | 01 | 0 |
| VOLKSWAGEN AG-SPONS ADR      | COM      | 928662303 | 39     | 1770     | SH  | DEFINED | 01 | 0 |
| VOLT INFO SCIENCES INC       | COM      | 928703107 | 2051   | 284789   | SH  | DEFINED | 01 | 0 |
| VOLTERRA SEMICONDUCTOR CORP  | COM      | 928708106 | 12124  | 563387   | SH  | DEFINED | 01 | 0 |
| VOLTERRA SEMICONDUCTOR CORP  | COM      | 928708106 | 40     | 1850     | SH  | DEFINED | 01 | 1 |
| VOLVO AB-SPONSORED ADR       | COM      | 928856400 | 305    | 20722    | SH  | DEFINED | 01 | 0 |
| VONAGE HOLDINGS CORP         | COM      | 92886T201 | 18     | 6900     | SH  | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST         | COM      | 929042109 | 102823 | 1202193  | SH  | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST         | COM      | 929042109 | 729    | 8529     | SH  | DEFINED | 01 | 0 |
| VORNADO REALTY TRUST         | COM      | 929042109 | 519    | 6077     | SH  | DEFINED | 01 | 1 |
| VORNADO REALTY TRUST         | COM      | 929042109 | 163    | 1900     | SH  | DEFINED | 01 | 1 |
| VORNADO REALTY LP            | CONV BND | 929043AC1 | 377    | 330000   | PRN | DEFINED | 01 | 0 |
| VULCAN MATERIALS CO          | COM      | 929160109 | 13784  | 373381   | SH  | DEFINED | 01 | 0 |
| VULCAN MATERIALS CO          | COM      | 929160109 | 348    | 9430     | SH  | DEFINED | 01 | 0 |
| VULCAN MATERIALS CO          | COM      | 929160109 | 246    | 6666     | SH  | DEFINED | 01 | 1 |
| W&T OFFSHORE INC             | COM      | 92922P106 | 447    | 42134    | SH  | DEFINED | 01 | 0 |
| WD-40 CO                     | COM      | 929236107 | 3455   | 90879    | SH  | DEFINED | 01 | 0 |
| WD-40 CO                     | COM      | 929236107 | 2      | 65       | SH  | DEFINED | 01 | 1 |
| WGL HOLDINGS INC             | COM      | 92924F106 | 5271   | 139534   | SH  | DEFINED | 01 | 0 |
| WGL HOLDINGS INC             | COM      | 92924F106 | 4      | 100      | SH  | DEFINED | 01 | 1 |
| WABCO HOLDINGS INC           | COM      | 92927K102 | 8891   | 212008   | SH  | DEFINED | 01 | 0 |
| WABCO HOLDINGS INC           | COM      | 92927K102 | 1      | 12       | SH  | DEFINED | 01 | 1 |
| WMS INDUSTRIES INC           | COM      | 929297109 | 20449  | 537090   | SH  | DEFINED | 01 | 0 |
| WMS INDUSTRIES INC           | COM      | 929297109 | 31     | 806      | SH  | DEFINED | 01 | 1 |
| W P CAREY & CO LLC           | COM      | 92930Y107 | 31     | 1077     | SH  | DEFINED | 01 | 1 |
| WSFS FINANCIAL CORP          | COM      | 929328102 | 62     | 1644     | SH  | DEFINED | 01 | 0 |
| WPP PLC-SPONSORED ADR        | COM      | 92933H101 | 32     | 560      | SH  | DEFINED | 01 | 0 |
| WPP PLC-SPONSORED ADR        | COM      | 92933H101 | 10     | 188      | SH  | DEFINED | 01 | 1 |
| WSP HOLDINGS LTD - ADR       | COM      | 92934F104 | 0      | 10       | SH  | DEFINED | 01 | 0 |
| WUXI PHARMATECH INC-ADR      | COM      | 929352102 | 1      | 60       | SH  | DEFINED | 01 | 0 |
| WUXI PHARMATECH INC-ADR      | COM      | 929352102 | 7      | 400      | SH  | DEFINED | 01 | 1 |
| WABASH NATIONAL CORP         | COM      | 929566107 | 18286  | 2260339  | SH  | DEFINED | 01 | 0 |
| WABASH NATIONAL CORP         | COM      | 929566107 | 6      | 707      | SH  | DEFINED | 01 | 1 |
| WABTEC CORP                  | COM      | 929740108 | 7396   | 154739   | SH  | DEFINED | 01 | 0 |
| WABTEC CORP                  | COM      | 929740108 | 576    | 12060    | SH  | DEFINED | 01 | 1 |
| WACOAL HOLDINGS CORP-SP ADR  | COM      | 930004205 | 1      | 10       | SH  | DEFINED | 01 | 0 |
| WADDELL & REED FINANCIAL-A   | COM      | 930059100 | 26788  | 979124   | SH  | DEFINED | 01 | 0 |
| WADDELL & REED FINANCIAL-A   | COM      | 930059100 | 616    | 22501    | SH  | DEFINED | 01 | 1 |
| WAL-MART STORES INC          | COM      | 931142103 | 608451 | 11368649 | SH  | DEFINED | 01 | 0 |
| WAL-MART STORES INC          | COM      | 931142103 | 5513   | 103007   | SH  | DEFINED | 01 | 0 |
| WAL-MART STORES INC          | COM      | 931142103 | 6029   | 112650   | SH  | DEFINED | 01 | 0 |
| WAL-MART STORES INC          | COM      | 931142103 | 132058 | 2474071  | SH  | DEFINED | 01 | 1 |
| WAL-MART STORES INC          | COM      | 931142103 | 5358   | 100121   | SH  | DEFINED | 01 | 1 |
| WALMART DE MEXICO-SPON ADR V | COM      | 93114W107 | 31     | 1220     | SH  | DEFINED | 01 | 0 |
| WALGREEN CO                  | COM      | 931422109 | 44905  | 1340507  | SH  | DEFINED | 01 | 0 |
| WALGREEN CO                  | COM      | 931422109 | 1713   | 51130    | SH  | DEFINED | 01 | 0 |
| WALGREEN CO                  | COM      | 931422109 | 9441   | 268100   | SH  | DEFINED | 01 | 1 |
| WALGREEN CO                  | COM      | 931422109 | 2135   | 63742    | SH  | DEFINED | 01 | 1 |
| WALTER ENERGY INC            | COM      | 93317Q105 | 12613  | 155149   | SH  | DEFINED | 01 | 0 |
| WALTER ENERGY INC            | COM      | 93317Q105 | 17     | 208      | SH  | DEFINED | 01 | 1 |
| WALTER INVESTMENT MANAGEMENT | COM      | 93317W102 | 43     | 2461     | SH  | DEFINED | 01 | 0 |

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

|                              |     |           |        |         |    |         |    |   |
|------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| WALTER INVESTMENT MANAGEMENT | COM | 93317W102 | 24     | 1393    | SH | DEFINED | 01 | 1 |
| WARNACO GROUP INC/THE        | COM | 934390402 | 23225  | 454257  | SH | DEFINED | 01 | 0 |
| WARNACO GROUP INC/THE        | COM | 934390402 | 0      | 5       | SH | DEFINED | 01 | 1 |
| WARNER MUSIC GROUP CORP      | COM | 934550104 | 17     | 3865    | SH | DEFINED | 01 | 0 |
| WARREN RESOURCES INC         | COM | 93564A100 | 86     | 21875   | SH | DEFINED | 01 | 0 |
| WARREN RESOURCES INC         | COM | 93564A100 | 68     | 17010   | SH | DEFINED | 01 | 1 |
| WARWICK VALLEY TELEPHONE CO  | COM | 936750108 | 6764   | 475032  | SH | DEFINED | 01 | 0 |
| WASHINGTON BANKING CO        | COM | 937303105 | 20     | 1450    | SH | DEFINED | 01 | 0 |
| WASHINGTON FEDERAL INC       | COM | 938824109 | 13800  | 904320  | SH | DEFINED | 01 | 0 |
| WASHINGTON MUTUAL INC        | COM | 939322103 | 2      | 8452    | SH | DEFINED | 01 | 0 |
| WASHINGTON POST -CL B        | COM | 939640108 | 7428   | 18599   | SH | DEFINED | 01 | 0 |
| WASHINGTON POST -CL B        | COM | 939640108 | 121    | 302     | SH | DEFINED | 01 | 0 |
| WASHINGTON REAL ESTATE INV   | COM | 939653101 | 2470   | 77853   | SH | DEFINED | 01 | 0 |
| WASHINGTON REAL ESTATE INV   | COM | 939653101 | 671    | 21160   | SH | DEFINED | 01 | 1 |
| WASHINGTON TRUST BANCORP     | COM | 940610108 | 18     | 936     | SH | DEFINED | 01 | 0 |
| WASTE CONNECTIONS INC        | COM | 941053100 | 31266  | 788362  | SH | DEFINED | 01 | 0 |
| WASTE CONNECTIONS INC        | COM | 941053100 | 87399  | 2203670 | SH | DEFINED | 01 | 1 |
| WASTE CONNECTIONS INC        | COM | 941053100 | 42     | 1058    | SH | DEFINED | 01 | 1 |
| WASTE MANAGEMENT INC         | COM | 94106L109 | 77219  | 2160588 | SH | DEFINED | 01 | 0 |
| WASTE MANAGEMENT INC         | COM | 94106L109 | 896    | 25082   | SH | DEFINED | 01 | 0 |
| WASTE MANAGEMENT INC         | COM | 94106L109 | 792    | 22157   | SH | DEFINED | 01 | 1 |
| WATERS CORP                  | COM | 941848103 | 32477  | 458835  | SH | DEFINED | 01 | 0 |
| WATERS CORP                  | COM | 941848103 | 342    | 4833    | SH | DEFINED | 01 | 0 |
| WATERS CORP                  | COM | 941848103 | 4684   | 66236   | SH | DEFINED | 01 | 1 |
| WATERS CORP                  | COM | 941848103 | 74     | 1051    | SH | DEFINED | 01 | 1 |
| WATERSTONE FINANCIAL INC     | COM | 941888109 | 2      | 661     | SH | DEFINED | 01 | 0 |
| WATSCO INC                   | COM | 942622200 | 7333   | 131686  | SH | DEFINED | 01 | 0 |
| WATSCO INC                   | COM | 942622200 | 60737  | 1092582 | SH | DEFINED | 01 | 1 |
| WATSON PHARMACEUTICALS INC   | COM | 942683103 | 90695  | 2143616 | SH | DEFINED | 01 | 0 |
| WATSON PHARMACEUTICALS INC   | COM | 942683103 | 239    | 5642    | SH | DEFINED | 01 | 0 |
| WATSON PHARMACEUTICALS INC   | COM | 942683103 | 61     | 1450    | SH | DEFINED | 01 | 1 |
| WATTS WATER TECHNOLOGIES-A   | COM | 942749102 | 5183   | 152213  | SH | DEFINED | 01 | 0 |
| WATTS WATER TECHNOLOGIES-A   | COM | 942749102 | 0      | 1       | SH | DEFINED | 01 | 1 |
| WAUSAU PAPER CORP            | COM | 943315101 | 2282   | 275231  | SH | DEFINED | 01 | 0 |
| WAUSAU PAPER CORP            | COM | 943315101 | 0      | 4       | SH | DEFINED | 01 | 1 |
| WAVE SYSTEMS CORP-CLASS A    | COM | 943526301 | 16     | 6966    | SH | DEFINED | 01 | 0 |
| WAVE SYSTEMS CORP-CLASS A    | COM | 943526301 | 11     | 5032    | SH | DEFINED | 01 | 1 |
| WEB COM GROUP INC            | COM | 94733A104 | 0      | 72      | SH | DEFINED | 01 | 1 |
| WEBSENSE INC                 | COM | 947684106 | 14524  | 818690  | SH | DEFINED | 01 | 0 |
| WEBMD HEALTH CORP            | COM | 94770V102 | 280    | 5619    | SH | DEFINED | 01 | 0 |
| WEBMD HEALTH CORP            | COM | 94770V102 | 92     | 1846    | SH | DEFINED | 01 | 1 |
| WEBSTER FINANCIAL CORP       | COM | 947890109 | 8355   | 475765  | SH | DEFINED | 01 | 0 |
| WEBSTER FINANCIAL CORP       | COM | 947890109 | 31     | 1783    | SH | DEFINED | 01 | 1 |
| WEIGHT WATCHERS INTL INC     | COM | 948626106 | 96     | 3089    | SH | DEFINED | 01 | 0 |
| WEIGHT WATCHERS INTL INC     | COM | 948626106 | 30     | 970     | SH | DEFINED | 01 | 1 |
| WEINGARTEN REALTY INVESTORS  | COM | 948741103 | 11840  | 542658  | SH | DEFINED | 01 | 0 |
| WEINGARTEN REALTY INVESTORS  | COM | 948741103 | 4618   | 211660  | SH | DEFINED | 01 | 1 |
| WEINGARTEN REALTY INVESTORS  | COM | 948741103 | 54     | 2464    | SH | DEFINED | 01 | 1 |
| WEIS MARKETS INC             | COM | 948849104 | 174    | 4463    | SH | DEFINED | 01 | 0 |
| WEIS MARKETS INC             | COM | 948849104 | 4      | 103     | SH | DEFINED | 01 | 1 |
| WELLCARE HEALTH PLANS INC    | COM | 94946T106 | 39506  | 1364182 | SH | DEFINED | 01 | 0 |
| WELLCARE HEALTH PLANS INC    | COM | 94946T106 | 243    | 8405    | SH | DEFINED | 01 | 0 |
| WELLCARE HEALTH PLANS INC    | COM | 94946T106 | 9      | 300     | SH | DEFINED | 01 | 1 |
| WELLPOINT INC                | COM | 94973V107 | 75237  | 1328347 | SH | DEFINED | 01 | 0 |
| WELLPOINT INC                | COM | 94973V107 | 1385   | 24460   | SH | DEFINED | 01 | 0 |
| WELLPOINT INC                | COM | 94973V107 | 116324 | 2055899 | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |    |         |    |   |
|--------------------------------|----------|-----------|--------|----------|----|---------|----|---|
| WELLPOINT INC                  | COM      | 94973V107 | 381    | 6724     | SH | DEFINED | 01 | 1 |
| WELLS FARGO & CO               | COM      | 949746101 | 552208 | 21975481 | SH | DEFINED | 01 | 0 |
| WELLS FARGO & CO               | COM      | 949746101 | 7140   | 284110   | SH | DEFINED | 01 | 0 |
| WELLS FARGO & CO               | COM      | 949746101 | 99881  | 3979305  | SH | DEFINED | 01 | 1 |
| WELLS FARGO & CO               | COM      | 949746101 | 3693   | 147063   | SH | DEFINED | 01 | 1 |
| WELLS FARGO & CO               | CONV PRF | 949746804 | 604    | 600      | SH | DEFINED | 01 | 0 |
| WELLS FARGO 8% SERIES PFD      | PRF      | 949746879 | 6501   | 237875   | SH | DEFINED | 01 | 0 |
|                                |          |           |        |          |    |         |    |   |
| WELLS FARGO ADVANTAGE          | COM      | 94987B105 | 701    | 68326    | SH | DEFINED | 01 | 1 |
| WELLS FARGO ADVANTAGE          | COM      | 94987C103 | 0      | 32       | SH | DEFINED | 01 | 1 |
| WELLS FARGO ADVANTAGE          | COM      | 94987D101 | 87     | 5429     | SH | DEFINED | 01 | 1 |
| WELLS FARGO ADVANTAGE          | COM      | 94987E109 | 11     | 965      | SH | DEFINED | 01 | 1 |
| WENDY'S/ARBY'S GROUP INC-A     | COM      | 950587105 | 3589   | 792191   | SH | DEFINED | 01 | 0 |
| WENDY'S/ARBY'S GROUP INC-A     | COM      | 950587105 | 65     | 14361    | SH | DEFINED | 01 | 1 |
| WERNER ENTERPRISES INC         | COM      | 950755108 | 33018  | 1611428  | SH | DEFINED | 01 | 0 |
| WESBANCO INC                   | COM      | 950810101 | 33     | 1988     | SH | DEFINED | 01 | 0 |
| WESBANCO INC                   | COM      | 950810101 | 32     | 1970     | SH | DEFINED | 01 | 1 |
| WESCO FINANCIAL CORP           | COM      | 950817106 | 1875   | 5236     | SH | DEFINED | 01 | 0 |
| WESCO FINANCIAL CORP           | COM      | 950817106 | 20     | 55       | SH | DEFINED | 01 | 1 |
| WESCO INTERNATIONAL INC        | COM      | 95082P105 | 3482   | 88643    | SH | DEFINED | 01 | 0 |
| WESCO INTERNATIONAL INC        | COM      | 95082P105 | 4013   | 102152   | SH | DEFINED | 01 | 0 |
| WESCO INTERNATIONAL INC        | COM      | 95082P105 | 53865  | 1374129  | SH | DEFINED | 01 | 1 |
| WESCO INTERNATIONAL INC        | COM      | 95082P105 | 44     | 1125     | SH | DEFINED | 01 | 1 |
| WEST BANCORPORATION            | COM      | 95123P106 | 84     | 13387    | SH | DEFINED | 01 | 0 |
| WEST COAST BANCORP/OREGON      | COM      | 952145100 | 6068   | 2661505  | SH | DEFINED | 01 | 0 |
| WEST MARINE INC                | COM      | 954235107 | 10     | 950      | SH | DEFINED | 01 | 0 |
| WEST PHARMACEUTICAL SERVICES   | COM      | 955306105 | 13559  | 395227   | SH | DEFINED | 01 | 0 |
| WEST PHARMACEUTICAL SERVICES   | COM      | 955306105 | 85     | 2482     | SH | DEFINED | 01 | 1 |
| WESTAMERICA BANCORPORATION     | COM      | 957090103 | 8489   | 155777   | SH | DEFINED | 01 | 0 |
| WESTAMERICA BANCORPORATION     | COM      | 957090103 | 109    | 2000     | SH | DEFINED | 01 | 1 |
| WESTAR ENERGY INC              | COM      | 95709T100 | 27751  | 1145336  | SH | DEFINED | 01 | 1 |
| WESTAR ENERGY INC              | COM      | 95709T100 | 411    | 16977    | SH | DEFINED | 01 | 1 |
| WESTERN ALLIANCE BANCORP       | COM      | 957638109 | 80     | 11830    | SH | DEFINED | 01 | 0 |
| WESTERN ALLIANCE BANCORP       | COM      | 957638109 | 13     | 2000     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET PREMIER BD       | COM      | 957664105 | 127    | 8482     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET EMERGING M       | COM      | 95766A101 | 36     | 1886     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET GLOBAL HIGH INCO | COM      | 95766B109 | 33     | 2615     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET EMRGNMKTG INC    | COM      | 95766E103 | 78     | 5670     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET HIGH INCOME FD   | COM      | 95766H106 | 140    | 14000    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET HIGH INCOME FD   | COM      | 95766J102 | 133    | 13644    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET HIGH INCOME OPP  | COM      | 95766K109 | 206    | 32806    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MANAGED HI       | COM      | 95766L107 | 59     | 9139     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MANAGED MU       | COM      | 95766M105 | 135    | 10327    | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MUN HIGH INCOM   | COM      | 95766N103 | 31     | 4000     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET MUN PARTNERS F   | COM      | 95766P108 | 0      | 15       | SH | DEFINED | 01 | 1 |
| WESTERN ASSET CLAYMORE I       | COM      | 95766Q106 | 70     | 5414     | SH | DEFINED | 01 | 1 |
| WESTERN ASSET CLAYMORE I       | COM      | 95766R104 | 49     | 3895     | SH | DEFINED | 01 | 1 |
| WESTERN DIGITAL CORP           | COM      | 958102105 | 59485  | 2095253  | SH | DEFINED | 01 | 0 |
| WESTERN DIGITAL CORP           | COM      | 958102105 | 342    | 12052    | SH | DEFINED | 01 | 0 |
| WESTERN DIGITAL CORP           | COM      | 958102105 | 58     | 2038     | SH | DEFINED | 01 | 1 |
| WESTERN GAS PARTNERSLP COM UNI | COM      | 958254104 | 19     | 700      | SH | DEFINED | 01 | 1 |
| WESTERN INTER MUNI FD INC COM  | COM      | 958435109 | 74     | 7620     | SH | DEFINED | 01 | 1 |
| WESTERN REFINING INC           | COM      | 959319104 | 15742  | 3004164  | SH | DEFINED | 01 | 0 |
| WESTERN REFINING INC           | COM      | 959319104 | 245    | 46714    | SH | DEFINED | 01 | 0 |
| WESTERN UNION CO               | COM      | 959802109 | 15695  | 888215   | SH | DEFINED | 01 | 0 |
| WESTERN UNION CO               | COM      | 959802109 | 613    | 34683    | SH | DEFINED | 01 | 0 |
| WESTERN UNION CO               | COM      | 959802109 | 1863   | 105408   | SH | DEFINED | 01 | 1 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| WESTFIELD FINANCIAL INC        | COM | 96008P104 | 9785   | 1254466  | SH | DEFINED | 01 | 0 |
| WESTFIELD HLDGS LTD / WE       | COM | 960224103 | 59     | 2490     | SH | DEFINED | 01 | 0 |
| WESTLAKE CHEMICAL CORP         | COM | 960413102 | 311    | 10405    | SH | DEFINED | 01 | 0 |
| WESTPORT INNOVATIONSINC COM NP | COM | 960908309 | 15     | 858      | SH | DEFINED | 01 | 1 |
| WESTON (GEORGE) LTD            | COM | 961148996 | 10106  | 131700   | SH | DEFINED | 01 | 0 |
| WESTPAC BANKING CORP-SP ADR    | COM | 961214301 | 308    | 2744     | SH | DEFINED | 01 | 0 |
| WESTPAC BANKING CORP-SP ADR    | COM | 961214301 | 59     | 523      | SH | DEFINED | 01 | 1 |
| WESTWOOD HOLDINGS GROUP INC    | COM | 961765104 | 35     | 1025     | SH | DEFINED | 01 | 0 |
| WESTWOOD ONE INC               | COM | 961815305 | 14     | 1570     | SH | DEFINED | 01 | 0 |
| WET SEAL INC/THE-CLASS A       | COM | 961840105 | 845    | 249039   | SH | DEFINED | 01 | 0 |
| WET SEAL INC/THE-CLASS A       | COM | 961840105 | 0      | 75       | SH | DEFINED | 01 | 1 |
| WEYCO GROUP INC                | COM | 962149100 | 20     | 823      | SH | DEFINED | 01 | 0 |
| WEYERHAEUSER CO                | COM | 962166104 | 101901 | 6465854  | SH | DEFINED | 01 | 0 |
| WEYERHAEUSER CO                | COM | 962166104 | 443    | 28139    | SH | DEFINED | 01 | 0 |
| WEYERHAEUSER CO                | COM | 962166104 | 202    | 12814    | SH | DEFINED | 01 | 1 |
| WHEELOCK & CO LTD              | COM | 963271200 | 1      | 40       | SH | DEFINED | 01 | 0 |
| WHIRLPOOL CORP                 | COM | 963320106 | 43695  | 539722   | SH | DEFINED | 01 | 0 |
| WHIRLPOOL CORP                 | COM | 963320106 | 322    | 3982     | SH | DEFINED | 01 | 0 |
| WHIRLPOOL CORP                 | COM | 963320106 | 122    | 1505     | SH | DEFINED | 01 | 1 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 12045  | 126121   | SH | DEFINED | 01 | 0 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 2872   | 30106    | SH | DEFINED | 01 | 1 |
| WHITING PETROLEUM CORP         | COM | 966387102 | 48     | 500      | SH | DEFINED | 01 | 1 |
| WHITING USA TR I TR UNIT       | COM | 966389108 | 253    | 12089    | SH | DEFINED | 01 | 1 |
| WHITNEY HOLDING CORP           | COM | 966612103 | 5801   | 710137   | SH | DEFINED | 01 | 0 |
| WHITNEY HOLDING CORP           | COM | 966612103 | 0      | 1        | SH | DEFINED | 01 | 1 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 24841  | 669385   | SH | DEFINED | 01 | 0 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 285    | 7687     | SH | DEFINED | 01 | 0 |
| WHOLE FOODS MARKET INC         | COM | 966837106 | 875    | 23569    | SH | DEFINED | 01 | 1 |
| WIENERBERGER BAUSTOFFFIND      | COM | 967662107 | 1      | 220      | SH | DEFINED | 01 | 0 |
| WILBER CORP                    | COM | 967797101 | 6      | 1080     | SH | DEFINED | 01 | 0 |
| WILBER CORP                    | COM | 967797101 | 6      | 1000     | SH | DEFINED | 01 | 1 |
| WILEY (JOHN) & SONS -CL A      | COM | 968223206 | 19685  | 481761   | SH | DEFINED | 01 | 0 |
| WILEY (JOHN) & SONS -CL A      | COM | 968223206 | 59     | 1437     | SH | DEFINED | 01 | 1 |
| WILLBROS GROUP INC             | COM | 969203108 | 61     | 6650     | SH | DEFINED | 01 | 0 |
| WILLIAMS COAL SEAM GAS RTY TR  | COM | 969450105 | 13     | 5567     | SH | DEFINED | 01 | 1 |
| WILLIAMS COS INC               | COM | 969457100 | 116442 | 6092916  | SH | DEFINED | 01 | 0 |
| WILLIAMS COS INC               | COM | 969457100 | 642    | 33612    | SH | DEFINED | 01 | 0 |
| WILLIAMS COS INC               | COM | 969457100 | 956    | 50000    | SH | DEFINED | 01 | 1 |
| WILLIAMS COS INC               | COM | 969457100 | 755    | 39505    | SH | DEFINED | 01 | 1 |
| CLAYTON WILLIAMS ENERGY INC    | COM | 969490101 | 91     | 1800     | SH | DEFINED | 01 | 0 |
| WILLIAMS PARTNERS LP           | LP  | 96950F104 | 424    | 10000    | SH | DEFINED | 01 | 0 |
| WILLIAMS PARTNERS LP           | LP  | 96950F104 | 109    | 2579     | SH | DEFINED | 01 | 1 |
| WILLIAMS-SONOMA INC            | COM | 969904101 | 45063  | 1421508  | SH | DEFINED | 01 | 0 |
| WILLIAMS-SONOMA INC            | COM | 969904101 | 1283   | 40477    | SH | DEFINED | 01 | 1 |
| WILLIS LEASE FINANCE CORP      | COM | 970646105 | 1      | 120      | SH | DEFINED | 01 | 0 |
| WILMAR INTL LTD                | COM | 971433107 | 20     | 440      | SH | DEFINED | 01 | 0 |
| WILMINGTON TRUST CORP          | COM | 971807102 | 6757   | 752394   | SH | DEFINED | 01 | 0 |
| WILMINGTON TRUST CORP          | COM | 971807102 | 1      | 75       | SH | DEFINED | 01 | 1 |
| WILSHIRE BANCORP INC           | COM | 97186T108 | 2740   | 419015   | SH | DEFINED | 01 | 0 |
| WILSHIRE BANCORP INC           | COM | 97186T108 | 1      | 200      | SH | DEFINED | 01 | 1 |
| WIMM-BILL-DANN FOODS-ADR       | COM | 97263M109 | 5      | 200      | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 127971 | 10412771 | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 312    | 25395    | SH | DEFINED | 01 | 0 |
| WINDSTREAM CORP                | COM | 97381W104 | 687    | 55928    | SH | DEFINED | 01 | 1 |
| WINMARK CORP                   | COM | 974250102 | 8      | 250      | SH | DEFINED | 01 | 0 |
| WINN-DIXIE STORES INC          | COM | 974280307 | 34     | 4720     | SH | DEFINED | 01 | 0 |

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

|                                 |     |           |        |         |    |         |    |   |
|---------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| WINN-DIXIE STORES INC           | COM | 974280307 | 15     | 2049    | SH | DEFINED | 01 | 1 |
| WINNEBAGO INDUSTRIES            | COM | 974637100 | 1451   | 139171  | SH | DEFINED | 01 | 0 |
| WINNEBAGO INDUSTRIES            | COM | 974637100 | 47     | 4500    | SH | DEFINED | 01 | 1 |
| WINTHROP REALTY TRUST           | COM | 976391300 | 433    | 35059   | SH | DEFINED | 01 | 0 |
| WINTRUST FINANCIAL CORP         | COM | 97650W108 | 32581  | 1005267 | SH | DEFINED | 01 | 0 |
| WIPRO LTD-ADR                   | COM | 97651M109 | 32     | 2174    | SH | DEFINED | 01 | 0 |
| WIPRO LTD-ADR                   | COM | 97651M109 | 100    | 6940    | SH | DEFINED | 01 | 1 |
| WIRELESS TELECOM GROUP INC      | COM | 976524108 | 0      | 300     | SH | DEFINED | 01 | 1 |
| WIRELESS HOLDERS TR             | COM | 97653L208 | 30     | 700     | SH | DEFINED | 01 | 1 |
| WISCONSIN ENERGY CORP           | COM | 976657106 | 131730 | 2279027 | SH | DEFINED | 01 | 0 |
| WISCONSIN ENERGY CORP           | COM | 976657106 | 355    | 6146    | SH | DEFINED | 01 | 0 |
| WISCONSIN ENERGY CORP           | COM | 976657106 | 37544  | 649651  | SH | DEFINED | 01 | 1 |
| WISCONSIN ENERGY CORP           | COM | 976657106 | 301    | 5200    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR TOTAL DIVID FD    | COM | 97717W109 | 41     | 959     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DREYFUS EM        | COM | 97717W133 | 203    | 8874    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR CHINESE YU        | COM | 97717W182 | 15     | 600     | SH | DEFINED | 01 | 1 |
| WISDOMTREE EQUITY INCOME FUN    | COM | 97717W208 | 13     | 340     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR EMERGING M        | COM | 97717W281 | 88     | 1744    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR LARGE CAP D       | COM | 97717W307 | 478    | 11208   | SH | DEFINED | 01 | 1 |
| WISDOMTREE EMERG MKTS EQUIT     | COM | 97717W315 | 670    | 12031   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL REAL ESTAT   | COM | 97717W331 | 78     | 2700    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DIVID EX F        | COM | 97717W406 | 1449   | 32807   | SH | DEFINED | 01 | 1 |
| WISDOMTREE INDIA EARNINGS       | COM | 97717W422 | 718    | 27212   | SH | DEFINED | 01 | 0 |
| WISDOMTREE INDIA EARNINGS       | COM | 97717W422 | 144    | 5445    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR MIDCAP DIV        | COM | 97717W505 | 668    | 14273   | SH | DEFINED | 01 | 1 |
| WISDOMTREE LARGE CAP V          | COM | 97717W547 | 20     | 558     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR SMALLCAP E        | COM | 97717W562 | 8      | 176     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR MIDCAP EAR        | COM | 97717W570 | 91     | 1910    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR TOTAL EARN        | COM | 97717W596 | 53     | 1299    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR SMALLCAP D        | COM | 97717W604 | 72     | 1689    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL UTILITIES    | COM | 97717W653 | 466    | 23357   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR DEFA FD           | COM | 97717W703 | 487    | 10784   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL ENERGY SEC   | COM | 97717W711 | 7      | 289     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL BASIC MATE   | COM | 97717W752 | 89     | 3209    | SH | DEFINED | 01 | 1 |
| WISDOMTREE INTL S/C DVD ETF     | COM | 97717W760 | 4065   | 85725   | SH | DEFINED | 01 | 0 |
| WISDOMTREE INTL S/C DVD ETF     | COM | 97717W760 | 510    | 10752   | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL MIDCA        | COM | 97717W778 | 19     | 388     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL DIVID EX F   | COM | 97717W786 | 132    | 3076    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR INTL LARGE CAP D  | COM | 97717W794 | 9      | 200     | SH | DEFINED | 01 | 1 |
| WISDOMTREE PACIFIC EX-JAPAN E   | COM | 97717W810 | 14     | 254     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR PACIFIC EX        | COM | 97717W828 | 18     | 285     | SH | DEFINED | 01 | 1 |
| WISDOMTREE WORLD EX-US GROW     | COM | 97717W844 | 168    | 3275    | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR EUROPE SMALLCAP D | COM | 97717W869 | 4      | 102     | SH | DEFINED | 01 | 1 |
| WISDOMTREE GLOBAL EQUITY INC    | COM | 97717W877 | 0      | 4       | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR MIDDLEEAST DIVID  | COM | 97717X305 | 2      | 108     | SH | DEFINED | 01 | 1 |
| WISDOMTREE TR EMERGING M        | COM | 97717X867 | 358    | 6813    | SH | DEFINED | 01 | 1 |
| WOLSELEY PLC                    | COM | 97786P100 | 5      | 2060    | SH | DEFINED | 01 | 0 |
| WOLTERS KLUWER NV-SPONS ADR     | COM | 977874205 | 10     | 480     | SH | DEFINED | 01 | 0 |
| WOLVERINE WORLD WIDE INC        | COM | 978097103 | 7406   | 255275  | SH | DEFINED | 01 | 0 |
| WOLVERINE WORLD WIDE INC        | COM | 978097103 | 1      | 50      | SH | DEFINED | 01 | 1 |
| WONDER AUTO TECHNOLOGY INC      | COM | 978166106 | 2449   | 287823  | SH | DEFINED | 01 | 0 |
| WOODSIDE PETROLEUM-SP ADR       | COM | 980228308 | 78     | 1850    | SH | DEFINED | 01 | 0 |
| WOODWARD GOVERNOR CO            | COM | 980745103 | 5131   | 158269  | SH | DEFINED | 01 | 0 |
| WOORI FIN HLDGS CO LTD A        | COM | 981063100 | 9      | 245     | SH | DEFINED | 01 | 0 |
| WORLD ACCEPTANCE CORP           | COM | 981419104 | 4783   | 108293  | SH | DEFINED | 01 | 0 |
| WORLD ACCEPTANCE CORP           | COM | 981419104 | 3      | 70      | SH | DEFINED | 01 | 1 |

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

|                                |          |           |        |          |     |         |    |   |
|--------------------------------|----------|-----------|--------|----------|-----|---------|----|---|
| WORLD FUEL SERVICES CORP       | COM      | 981475106 | 38508  | 1480567  | SH  | DEFINED | 01 | 0 |
| WORLD FUEL SERVICES CORP       | COM      | 981475106 | 104    | 4000     | SH  | DEFINED | 01 | 0 |
| WORLD FUEL SERVICES CORP       | COM      | 981475106 | 21016  | 808000   | SH  | DEFINED | 01 | 1 |
| WORLD FUEL SERVICES CORP       | COM      | 981475106 | 21     | 800      | SH  | DEFINED | 01 | 1 |
| WORLD WRESTLING ENTMNT INC-A   | COM      | 98156Q108 | 64     | 4632     | SH  | DEFINED | 01 | 0 |
| WORLD WRESTLING ENTMNT INC-A   | COM      | 98156Q108 | 132    | 9482     | SH  | DEFINED | 01 | 1 |
| WORTHINGTON INDUSTRIES         | COM      | 981811102 | 5877   | 390993   | 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 | 23648  | 662223   | SH  | DEFINED | 01 | 0 |
| WRIGHT EXPRESS CORP            | COM      | 98233Q105 | 5      | 140      | SH  | DEFINED | 01 | 1 |
| WRIGHT MEDICAL GROUP INC       | COM      | 98235T107 | 40     | 2815     | SH  | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP         | COM      | 98310W108 | 14875  | 541498   | SH  | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP         | COM      | 98310W108 | 258    | 9396     | SH  | DEFINED | 01 | 0 |
| WYNDHAM WORLDWIDE CORP         | COM      | 98310W108 | 37     | 1337     | SH  | DEFINED | 01 | 1 |
| WYNN RESORTS LTD               | COM      | 983134107 | 14871  | 171381   | SH  | DEFINED | 01 | 0 |
| WYNN RESORTS LTD               | COM      | 983134107 | 344    | 3961     | SH  | DEFINED | 01 | 0 |
| WYNN RESORTS LTD               | COM      | 983134107 | 217    | 2507     | SH  | DEFINED | 01 | 1 |
| X-RITE INC                     | COM      | 983857103 | 8      | 2200     | SH  | DEFINED | 01 | 0 |
| XTL BIOPHARMACEUTICALS-ADR     | COM      | 98386D109 | 5      | 22620    | SH  | DEFINED | 01 | 0 |
| X 5 RETAIL GROUP NV-144A GDR   | COM      | 98387E106 | 226    | 5650     | SH  | DEFINED | 01 | 0 |
| X 5 RETAIL GROUP NV-144A GDR   | COM      | 98387E106 | 17284  | 432098   | SH  | DEFINED | 01 | 0 |
| XCEL ENERGY INC                | COM      | 98389B100 | 167710 | 7301359  | SH  | DEFINED | 01 | 0 |
| XCEL ENERGY INC                | COM      | 98389B100 | 555    | 24149    | SH  | DEFINED | 01 | 0 |
| XCEL ENERGY INC                | COM      | 98389B100 | 541    | 23538    | SH  | DEFINED | 01 | 1 |
| XILINX INC                     | COM      | 983919101 | 51964  | 1952710  | SH  | DEFINED | 01 | 0 |
| XILINX INC                     | COM      | 983919101 | 595    | 22366    | SH  | DEFINED | 01 | 0 |
| XILINX INC                     | COM      | 983919101 | 49     | 1831     | SH  | DEFINED | 01 | 1 |
| XILINX INC                     | CONV BND | 983919AD3 | 2093   | 2150000  | PRN | DEFINED | 01 | 0 |
| XINAO GAS HOLDINGS LTD         | COM      | 983921990 | 12756  | 4438000  | SH  | DEFINED | 01 | 0 |
| XENOPORT INC                   | COM      | 98411C100 | 18     | 2455     | SH  | DEFINED | 01 | 0 |
| XEROX CORP                     | COM      | 984121103 | 231459 | 22363138 | SH  | DEFINED | 01 | 0 |
| XEROX CORP                     | COM      | 984121103 | 752    | 72676    | SH  | DEFINED | 01 | 0 |
| XEROX CORP                     | COM      | 984121103 | 32     | 3100     | SH  | DEFINED | 01 | 0 |
| XEROX CORP                     | COM      | 984121103 | 573    | 57400    | SH  | DEFINED | 01 | 1 |
| XEROX CORP                     | COM      | 984121103 | 140    | 13518    | SH  | DEFINED | 01 | 1 |
| XERIUM TECHNOLOGIES INC        | COM      | 98416J118 | 7      | 500      | SH  | DEFINED | 01 | 0 |
| XINYUAN REAL ESTATE CO L       | COM      | 98417P105 | 1      | 400      | SH  | DEFINED | 01 | 0 |
| XINYUAN REAL ESTATE CO L       | COM      | 98417P105 | 1      | 300      | SH  | DEFINED | 01 | 1 |
| XSTRATA PLC                    | COM      | 98418K105 | 98     | 25490    | SH  | DEFINED | 01 | 0 |
| YPF SOCIEDAD ANONIMASPONS ADR- | COM      | 984245100 | 3      | 67       | SH  | DEFINED | 01 | 1 |
| YRC WORLDWIDE INC COM          | COM      | 984249102 | 2      | 7906     | SH  | DEFINED | 01 | 1 |
| YADKIN VY FINL CORP COM        | COM      | 984314104 | 1      | 238      | SH  | DEFINED | 01 | 1 |
| YAHOO! INC                     | COM      | 984332106 | 9429   | 665440   | SH  | DEFINED | 01 | 0 |
| YAHOO! INC                     | COM      | 984332106 | 1004   | 70842    | SH  | DEFINED | 01 | 0 |
| YAHOO! INC                     | COM      | 984332106 | 920    | 64956    | SH  | DEFINED | 01 | 1 |
| YAMANA GOLD INC                | COM      | 98462Y100 | 18885  | 1656511  | SH  | DEFINED | 01 | 0 |
| YAMANA GOLD INC                | COM      | 98462Y100 | 211    | 18481    | SH  | DEFINED | 01 | 0 |
| YAMANA GOLD INC                | COM      | 98462Y100 | 320    | 28048    | SH  | DEFINED | 01 | 1 |
| YANZHOU COAL MINING-SP ADR     | COM      | 984846105 | 224    | 9215     | SH  | DEFINED | 01 | 0 |
| YANZHOU COAL MINING-SP ADR     | COM      | 984846105 | 41     | 1698     | SH  | DEFINED | 01 | 1 |
| YARA INTL ASA                  | COM      | 984851204 | 122    | 2690     | SH  | DEFINED | 01 | 0 |
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 200    | 14421    | SH  | DEFINED | 01 | 0 |
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 5      | 326      | SH  | DEFINED | 01 | 0 |
| YINGLI GREEN ENERGY HOLD-ADR   | COM      | 98584B103 | 209    | 15100    | SH  | DEFINED | 01 | 1 |

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

|                                |          |           |       |         |     |         |         |    |   |
|--------------------------------|----------|-----------|-------|---------|-----|---------|---------|----|---|
| YONGYE INTL INC COM            | COM      | 98607B106 | 4     | 500     | SH  | DEFINED | 01      | 1  |   |
| YORK WATER CO                  | COM      | 987184108 | 31    | 1925    | SH  | DEFINED | 01      | 0  |   |
| YORK WATER CO                  | COM      | 987184108 | 91    | 5698    | SH  | DEFINED | 01      | 1  |   |
| YOUNG INNOVATIONS INC          | COM      | 987520103 | 6156  | 215170  | SH  | DEFINED | 01      | 0  |   |
| YUE YUEN INDL HLDGS LTD ADR    | COM      | 988415105 | 38    | 2054    | SH  | DEFINED | 01      | 0  |   |
| YUM! BRANDS INC                | COM      | 988498101 | 47618 | 1033818 | SH  | DEFINED | 01      | 0  |   |
| YUM! BRANDS INC                | COM      | 988498101 | 1130  | 24536   | SH  | DEFINED | 01      | 0  |   |
| YUM! BRANDS INC                | COM      | 988498101 | 1306  | 28345   | SH  | DEFINED | 01      | 1  |   |
| ZALE CORP                      | COM      | 988858106 | 252   | 119981  | SH  | DEFINED | 01      | 0  |   |
| ZALICUS INC                    | COM      | 98887C105 | 6     | 4300    | SH  | DEFINED | 01      | 0  |   |
| ZARLINK SEMICONDUCTOR INC      | COM      | 989139100 | 0     | 160     | SH  | DEFINED | 01      | 0  |   |
| ZEBRA TECHNOLOGIES CORP-CL A   | COM      | 989207105 | 8724  | 259319  | SH  | DEFINED | 01      | 0  |   |
| ZEBRA TECHNOLOGIES CORP-CL A   | COM      | 989207105 | 22    | 645     | SH  | DEFINED | 01      | 1  |   |
| ZEP INC                        | COM      | 98944B108 | 1798  | 103053  | SH  | DEFINED | 01      | 0  |   |
| ZHEJIANG EXPRESSWY CO LTD SPON | COM      | 98951A100 | 24    | 2545    | SH  | DEFINED | 01      | 0  |   |
| ZHONGPIN INC                   | COM      | 98952K107 | 13    | 800     | SH  | DEFINED | 01      | 0  |   |
| ZHONGPIN INC                   | COM      | 98952K107 | 31    | 1901    | SH  | DEFINED | 01      | 1  |   |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 69227 | 1322902 | SH  | DEFINED | 01      | 0  |   |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 552   | 10547   | SH  | DEFINED | 01      | 0  |   |
| ZIMMER HOLDINGS INC            | COM      | 98956P102 | 306   | 5851    | SH  | DEFINED | 01      | 1  |   |
| ZION OIL & GAS INC COM ISSUE   | COM      | 989696109 | 10    | 1919    | SH  | DEFINED | 01      | 1  |   |
| ZIONS BANCORPORATION           | COM      | 989701107 | 65086 | 3047074 | SH  | DEFINED | 01      | 0  |   |
| ZIONS BANCORPORATION           | COM      | 989701107 | 257   | 12008   | SH  | DEFINED | 01      | 0  |   |
| ZIONS BANCORPORATION           | COM      | 989701107 | 149   | 6994    | SH  | DEFINED | 01      | 1  |   |
| ZIOPHARM ONCOLOGY INC          | COM      | 98973P101 | 15    | 3900    | SH  | DEFINED | 01      | 0  |   |
| ZIX CORP                       | COM      | 98974P100 | 12    | 4470    | SH  | DEFINED | 01      | 0  |   |
| ZIX CORP                       | COM      | 98974P100 | 0     | 100     | SH  | DEFINED | 01      | 1  |   |
| ZORAN CORP                     | COM      | 98975F101 | 6030  | 789208  | SH  | DEFINED | 01      | 0  |   |
| ZORAN CORP                     | COM      | 98975F101 | 14    | 1815    | SH  | DEFINED | 01      | 0  |   |
| ZORAN CORP                     | COM      | 98975F101 | 5     | 602     | SH  | DEFINED | 01      | 1  |   |
| ZOLTEK COMPANIES INC           | COM      | 98975W104 | 428   | 44015   | SH  | DEFINED | 01      | 0  |   |
| ZOLTEK COMPANIES INC           | COM      | 98975W104 | 10    | 1047    | SH  | DEFINED | 01      | 0  |   |
| ZOLTEK COMPANIES INC           | COM      | 98975W104 | 20    | 2050    | SH  | DEFINED | 01      | 1  |   |
| ZON MULTIMEDIA                 | COM      | 98977Q105 | 1     | 220     | SH  | DEFINED | 01      | 0  |   |
| ZUMIEZ INC                     | COM      | 989817101 | 2146  | 101410  | SH  | DEFINED | 01      | 0  |   |
| ZURICH FINL SVCS ADR SPONSORED | COM      | 98982M107 | 94    | 3953    | SH  | DEFINED | 01      | 0  |   |
| ZWEIG FD INC                   | COM      | 989834106 | 16    | 5000    | SH  | DEFINED | 01      | 1  |   |
| ZWEIG TOTAL RETURN FD INC      | COM      | 989837109 | 61    | 15987   | SH  | DEFINED | 01      | 1  |   |
| ZYGO CORP                      | COM      | 989855101 | 13    | 1354    | SH  | DEFINED | 01      | 0  |   |
| ZYMOGENETICS INC               | COM      | 98985T109 | 63    | 6485    | SH  | DEFINED | 01      | 0  |   |
| ZYMOGENETICS INC               | COM      | 98985T109 | 2     | 200     | SH  | DEFINED | 01      | 1  |   |
| ZOLL MEDICAL CORP              | COM      | 989922109 | 15391 | 477006  | SH  | DEFINED | 01      | 0  |   |
| ZOLL MEDICAL CORP              | COM      | 989922109 | 4     | 120     | SH  | DEFINED | 01      | 1  |   |
| WCAS CAPITAL PARTNERS II LP    | LP       | 990003KE4 | 2052  | 4292803 | SH  | DEFINED | 01      | 0  |   |
| BLUD OCT 16 2010 P20           | OPT      | AF0003507 | 176   | 2266    | SH  | PUT     | DEFINED | 01 | 0 |
| SPY OCT 16 2010 P110           | OPT      | AF0003524 | 7     | 100     | SH  | PUT     | DEFINED | 01 | 0 |
| KCP OCT 16 2010 C15            | OPT      | AF0003551 | 46    | 250     | SH  | CALL    | DEFINED | 01 | 0 |
| SPY NOV 20 2010 P112           | OPT      | AF0003573 | 57    | 200     | SH  | PUT     | DEFINED | 01 | 0 |
| IWM 10/16/10 P66               | OPT      | AF0003577 | 19    | 200     | SH  | PUT     | DEFINED | 01 | 0 |
| WILSHIRE LA ADVISERS           | WT       | BOA0DHM93 | 44    | 6       | SH  | DEFINED | 01      | 0  |   |
| WILSHIRE LA ADVISERS           | WT       | BOA0DHM93 | 104   | 14      | SH  | DEFINED | 01      | 0  |   |
| 3I INFOTECH LTD                | CONV BND | BAX2ZMCP2 | 52    | 45000   | PRN | DEFINED | 01      | 0  |   |
| MARK IV INDUSTRIES INC         | COM      | BAX392GQ7 | 26    | 667     | SH  | DEFINED | 01      | 0  |   |
| MARK IV INDUSTRIES INC         | COM      | BAX392GQ7 | 376   | 9586    | SH  | DEFINED | 01      | 0  |   |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| METALDYNE COMPANY              | COM | BAX393QQ4 | 254    | 1014     | SH | DEFINED | 01 | 0 |
| READERS DIGEST ASSN INC        | COM | BAX3940K3 | 527    | 26729    | SH | DEFINED | 01 | 0 |
| MEDIANEWS GROUP                | COM | BAX394RR9 | 214    | 13007    | SH | DEFINED | 01 | 0 |
| MEDIANEWS GROUP                | COM | BAX394RR9 | 45     | 2748     | SH | DEFINED | 01 | 0 |
| F&W PUBLICATIONS INC           | COM | BAX397BX6 | 2      | 4165     | SH | DEFINED | 01 | 0 |
| F&W PUBLICATIONS INC           | WT  | BAX397C64 | 1      | 1805     | SH | DEFINED | 01 | 0 |
| ALERIS INTERNATIONAL INC       | COM | BAX397PJ2 | 783    | 19592    | SH | DEFINED | 01 | 0 |
| ALERIS INTERNATIONAL INC       | COM | BAX397PJ2 | 204    | 5094     | SH | DEFINED | 01 | 0 |
| ENBRIDGE ENERGY. MANAGEMENT FR | COM | CKC50X106 | 0      | 57216    | SH | DEFINED | 01 | 0 |
| DAIMLER AG-REGISTERED SHARES   | COM | D1668R123 | 236    | 3725     | SH | DEFINED | 01 | 0 |
| DEUTSCHE BANK AG-REGISTERED    | COM | D18190898 | 122    | 2226     | SH | DEFINED | 01 | 0 |
| DEUTSCHE BANK AG-REGISTERED    | COM | D18190898 | 41     | 742      | SH | DEFINED | 01 | 1 |
| FIVE STAR QUAL FRACTIONS       | COM | DDJ32D101 | 0      | 23000    | SH | DEFINED | 01 | 0 |
| TELVENT GIT SA ORD EUR3.00505  | COM | E90215109 | 3      | 120      | SH | DEFINED | 01 | 1 |
| KINDER MORGAN FRACTIONS        | COM | EKE55U103 | 0      | 202504   | SH | DEFINED | 01 | 0 |
| AIRCASTLE LTD                  | COM | G0129K104 | 195    | 23055    | SH | DEFINED | 01 | 0 |
| ALLIED WORLD ASSURANCE CO      | COM | G0219G203 | 15414  | 272387   | SH | DEFINED | 01 | 0 |
| ALLIED WORLD ASSURANCE CO      | COM | G0219G203 | 6      | 100      | SH | DEFINED | 01 | 1 |
| ALTERRA CAPITAL HOLDINGS LTD   | COM | G0229R108 | 19541  | 980955   | SH | DEFINED | 01 | 0 |
| ALTERRA CAPITAL HOLDINGS LTD   | COM | G0229R108 | 9      | 455      | SH | DEFINED | 01 | 1 |
| AMDOCS LTD                     | COM | G02602103 | 334931 | 11686312 | SH | DEFINED | 01 | 0 |
| AMDOCS LTD                     | COM | G02602103 | 153    | 5340     | SH | DEFINED | 01 | 0 |
| AMDOCS LTD                     | COM | G02602103 | 3      | 113      | SH | DEFINED | 01 | 1 |
| AMERICAN SAFETY INS HOLDINGS   | COM | G02995101 | 9312   | 569854   | SH | DEFINED | 01 | 0 |
| A-POWER ENERGY GENERATION      | COM | G04136100 | 227    | 27400    | SH | DEFINED | 01 | 1 |
| ARCH CAPITAL GROUP LTD         | COM | G0450A105 | 455    | 5428     | SH | DEFINED | 01 | 0 |
| ARCH CAPITAL GROUP LTD         | COM | G0450A105 | 14     | 163      | SH | DEFINED | 01 | 1 |
| ARGO GROUP INTERNATIONAL       | COM | G0464B107 | 29543  | 850395   | SH | DEFINED | 01 | 0 |
| ARGO GROUP INTERNATIONAL       | COM | G0464B107 | 5      | 138      | SH | DEFINED | 01 | 1 |
| APCO OIL AND GAS INTL INC      | COM | G0471F109 | 21     | 605      | SH | DEFINED | 01 | 0 |
| ASPEN INSURANCE HOLDINGS LTD   | COM | G05384105 | 42276  | 1396127  | SH | DEFINED | 01 | 0 |
| ASPEN INSURANCE HOLDINGS LTD   | COM | G05384105 | 249    | 8220     | SH | DEFINED | 01 | 1 |
| ASSURED GUARANTY LTD           | COM | G0585R106 | 42386  | 2477283  | SH | DEFINED | 01 | 0 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 135368 | 4109539  | SH | DEFINED | 01 | 0 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 1790   | 54372    | SH | DEFINED | 01 | 1 |
| AXIS CAPITAL HOLDINGS LTD      | COM | G0692U109 | 5      | 139      | SH | DEFINED | 01 | 1 |
| ENERGY XXI BERMUDA             | COM | G10082140 | 15150  | 655558   | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 119099 | 2802950  | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 3185   | 74944    | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 427    | 10053    | SH | DEFINED | 01 | 0 |
| ACCENTURE PLC-CL A             | COM | G1151C101 | 540    | 12707    | SH | DEFINED | 01 | 1 |
| BROOKFIELD INFRASTRUCTURE PA   | LP  | G16252101 | 3      | 159      | SH | DEFINED | 01 | 0 |
| BROOKFIELD INFRASTRUCTURE PA   | LP  | G16252101 | 38     | 1960     | SH | DEFINED | 01 | 1 |
| BUNGE LTD                      | COM | G16962105 | 7975   | 134805   | SH | DEFINED | 01 | 0 |
| BUNGE LTD                      | COM | G16962105 | 48     | 819      | SH | DEFINED | 01 | 1 |
| CENTRAL EUROPEAN MEDIA ENT-A   | COM | G20045202 | 220    | 8817     | SH | DEFINED | 01 | 0 |
| CDC CORP-CL A                  | COM | G2022L114 | 8      | 1943     | SH | DEFINED | 01 | 0 |
| CDC CORP-CL A                  | COM | G2022L114 | 2      | 482      | SH | DEFINED | 01 | 1 |
| CHINA YUCHAI INTL LTD          | COM | G21082105 | 19     | 960      | SH | DEFINED | 01 | 0 |
| CHINA YUCHAI INTL LTD          | COM | G21082105 | 37     | 1921     | SH | DEFINED | 01 | 1 |
| CHIPMOS TECHNOLOGIES BERMUDA   | COM | G2110R106 | 2      | 1420     | SH | DEFINED | 01 | 0 |
| CHIPMOS TECHNOLOGIES BERMUDA   | COM | G2110R106 | 2      | 1100     | SH | DEFINED | 01 | 1 |
| CONSOLIDATED WATER CO-ORD SH   | COM | G23773107 | 11     | 1145     | SH | DEFINED | 01 | 0 |
| CONSOLIDATED WATER CO-ORD SH   | COM | G23773107 | 2      | 200      | SH | DEFINED | 01 | 1 |



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

|                              |     |           |        |          |    |         |    |   |
|------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| COOPER INDUSTRIES PLC-CL A   | COM | G24140108 | 208724 | 4265755  | SH | DEFINED | 01 | 0 |
| COOPER INDUSTRIES PLC-CL A   | COM | G24140108 | 66     | 1357     | SH | DEFINED | 01 | 1 |
| CREDICORP LTD                | COM | G2519Y108 | 27226  | 248962   | SH | DEFINED | 01 | 1 |
| CREDICORP LTD                | COM | G2519Y108 | 3      | 29       | SH | DEFINED | 01 | 1 |
| COSAN LTD-CLASS A SHARES     | COM | G25343107 | 0      | 20       | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                 | COM | G2554F105 | 43050  | 1071171  | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                 | COM | G2554F105 | 0      | 7        | SH | DEFINED | 01 | 0 |
| COVIDIEN PLC                 | COM | G2554F105 | 398    | 9901     | SH | DEFINED | 01 | 1 |
| ENDURANCE SPECIALTY HOLDINGS | COM | G30397106 | 64870  | 1629944  | SH | DEFINED | 01 | 0 |
| ENSTAR GROUP INC             | COM | G3075P101 | 54     | 740      | SH | DEFINED | 01 | 0 |
| ASA LIMITED                  | COM | G3156P103 | 13     | 435      | SH | DEFINED | 01 | 1 |
| EVEREST RE GROUP LTD         | COM | G3223R108 | 95244  | 1101471  | SH | DEFINED | 01 | 0 |
| EVEREST RE GROUP LTD         | COM | G3223R108 | 519    | 6002     | SH | DEFINED | 01 | 0 |
| EVEREST RE GROUP LTD         | COM | G3223R108 | 58930  | 681496   | SH | DEFINED | 01 | 1 |
| EVEREST RE GROUP LTD         | COM | G3223R108 | 0      | 3        | SH | DEFINED | 01 | 1 |
| FRESH DEL MONTE PRODUCE INC  | COM | G36738105 | 15166  | 698880   | SH | DEFINED | 01 | 0 |
| FRESH DEL MONTE PRODUCE INC  | COM | G36738105 | 4      | 200      | SH | DEFINED | 01 | 1 |
| FRONTLINE LTD                | COM | G3682E127 | 9685   | 340689   | SH | DEFINED | 01 | 0 |
| FRONTLINE LTD                | COM | G3682E127 | 276    | 9723     | SH | DEFINED | 01 | 1 |
| GEROVA FINANCIAL GROUP LTD   | COM | G38490101 | 2      | 425      | SH | DEFINED | 01 | 0 |
| GLOBAL CROSSING LTD          | COM | G3921A175 | 48     | 3695     | SH | DEFINED | 01 | 0 |
| GENPACT LTD                  | COM | G3922B107 | 20     | 1100     | SH | DEFINED | 01 | 0 |
| GENPACT LTD                  | COM | G3922B107 | 7      | 400      | SH | DEFINED | 01 | 1 |
| GLOBAL SOURCES LTD           | COM | G39300101 | 15     | 1910     | SH | DEFINED | 01 | 0 |
| GLOBAL SOURCES LTD           | COM | G39300101 | 0      | 10       | SH | DEFINED | 01 | 1 |
| GLOBAL INDEMNITY PLC         | COM | G39319101 | 19116  | 1191040  | SH | DEFINED | 01 | 0 |
| GREENLIGHT CAPITAL RE LTD-A  | COM | G4095J109 | 60     | 2385     | SH | DEFINED | 01 | 0 |
| HELEN OF TROY LTD            | COM | G4388N106 | 22089  | 873373   | SH | DEFINED | 01 | 0 |
| HERBALIFE LTD                | COM | G4412G101 | 71520  | 1185097  | SH | DEFINED | 01 | 0 |
| HERBALIFE LTD                | COM | G4412G101 | 108    | 1795     | SH | DEFINED | 01 | 1 |
| HOLLYSYS AUTOMATION TECHNOLO | COM | G45667105 | 5725   | 511622   | SH | DEFINED | 01 | 0 |
| HOLLYSYS AUTOMATION TECHNOLO | COM | G45667105 | 1815   | 162468   | SH | DEFINED | 01 | 1 |
| INGERSOLL-RAND PLC           | COM | G47791101 | 211880 | 5933435  | SH | DEFINED | 01 | 0 |
| INGERSOLL-RAND PLC           | COM | G47791101 | 179    | 5000     | SH | DEFINED | 01 | 0 |
| INGERSOLL-RAND PLC           | COM | G47791101 | 189    | 5279     | SH | DEFINED | 01 | 1 |
| INVESCO LTD                  | COM | G491BT108 | 226300 | 10659433 | SH | DEFINED | 01 | 0 |
| INVESCO LTD                  | COM | G491BT108 | 522    | 24586    | SH | DEFINED | 01 | 0 |
| INVESCO LTD                  | COM | G491BT108 | 11     | 526      | SH | DEFINED | 01 | 1 |
| KNIGHTSBRIDGE TANKERS LTD    | COM | G5299G106 | 214    | 11324    | SH | DEFINED | 01 | 0 |
| KNIGHTSBRIDGE TANKERS LTD    | COM | G5299G106 | 23     | 1200     | SH | DEFINED | 01 | 1 |
| LAZARD LTD-CL A              | LP  | G54050102 | 5588   | 159293   | SH | DEFINED | 01 | 0 |
| LAZARD LTD-CL A              | LP  | G54050102 | 58     | 1648     | SH | DEFINED | 01 | 1 |
| MAIDEN HOLDINGS LTD          | COM | G5753U112 | 33     | 4390     | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD | COM | G5876H105 | 89019  | 5083972  | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD | COM | G5876H105 | 81     | 4651     | SH | DEFINED | 01 | 0 |
| MARVELL TECHNOLOGY GROUP LTD | COM | G5876H105 | 427    | 21802    | SH | DEFINED | 01 | 1 |
| MARVELL TECHNOLOGY GROUP LTD | COM | G5876H105 | 212    | 12119    | SH | DEFINED | 01 | 1 |
| MONTPELIER RE HOLDINGS LTD   | COM | G62185106 | 31324  | 1808478  | SH | DEFINED | 01 | 0 |
| MONTPELIER RE HOLDINGS LTD   | COM | G62185106 | 46     | 2660     | SH | DEFINED | 01 | 1 |
| ALPHA & OMEGA SEMICONDUCTOR  | COM | G6331P104 | 112    | 9825     | SH | DEFINED | 01 | 0 |
| NABORS INDUSTRIES LTD        | COM | G6359F103 | 92025  | 5095487  | SH | DEFINED | 01 | 0 |
| NABORS INDUSTRIES LTD        | COM | G6359F103 | 271    | 14981    | SH | DEFINED | 01 | 0 |
| NABORS INDUSTRIES LTD        | COM | G6359F103 | 134    | 7421     | SH | DEFINED | 01 | 1 |
| NEWLEAD HOLDINGS LTD         | COM | G64626115 | 0      | 1        | SH | DEFINED | 01 | 0 |
| NORDIC AMER TANKER SHIPPING  | COM | G65773106 | 82     | 3080     | SH | DEFINED | 01 | 0 |

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

|                                |     |           |        |          |    |         |    |   |
|--------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| NORDIC AMER TANKER SHIPPING    | COM | G65773106 | 262    | 9782     | SH | DEFINED | 01 | 1 |
| ONEBEACON INSURANCE GROUP-A    | COM | G67742109 | 1356   | 94920    | SH | DEFINED | 01 | 0 |
| ORIENT EXPRESS HOTELS LTD -A   | COM | G67743107 | 95     | 8489     | SH | DEFINED | 01 | 0 |
| ORIENT EXPRESS HOTELS LTD -A   | COM | G67743107 | 1997   | 179140   | SH | DEFINED | 01 | 1 |
| ORIENT EXPRESS HOTELS LTD -A   | COM | G67743107 | 75     | 6732     | SH | DEFINED | 01 | 1 |
| PARTNERRE LTD                  | COM | G6852T105 | 68336  | 852292   | SH | DEFINED | 01 | 0 |
| PARTNERRE LTD                  | COM | G6852T105 | 16036  | 200000   | SH | DEFINED | 01 | 1 |
| PARTNERRE LTD                  | COM | G6852T105 | 683    | 8516     | SH | DEFINED | 01 | 1 |
| PANSOFT COMPANY LIMITED CO     | COM | G6891W101 | 0      | 100      | SH | DEFINED | 01 | 1 |
| PLATINUM UNDERWRITERS HLDGS    | COM | G7127P100 | 37528  | 862314   | SH | DEFINED | 01 | 0 |
| PRIMUS GUARANTY LTD            | COM | G72457107 | 8      | 1635     | SH | DEFINED | 01 | 0 |
| RENAISSANCERE HOLDINGS LTD     | COM | G7496G103 | 11719  | 195440   | SH | DEFINED | 01 | 0 |
| RENAISSANCERE HOLDINGS LTD     | COM | G7496G103 | 3202   | 53400    | SH | DEFINED | 01 | 1 |
| SEADRILL LTD                   | COM | G7945E105 | 14061  | 485065   | SH | DEFINED | 01 | 0 |
| SEADRILL LTD                   | COM | G7945E105 | 179    | 6170     | SH | DEFINED | 01 | 1 |
| SEAGATE TECHNOLOGY             | COM | G7945M107 | 6920   | 587595   | SH | DEFINED | 01 | 0 |
| SEAGATE TECHNOLOGY             | COM | G7945M107 | 195    | 16602    | SH | DEFINED | 01 | 1 |
| DJSP ENTERPRISES INC           | COM | G7982P104 | 449    | 126191   | SH | DEFINED | 01 | 0 |
| DJSP ENTERPRISES INC           | COM | G7982P104 | 12     | 3356     | SH | DEFINED | 01 | 0 |
| SHIP FINANCE INTL LTD          | COM | G81075106 | 2579   | 132765   | SH | DEFINED | 01 | 0 |
| SHIP FINANCE INTL LTD          | COM | G81075106 | 128    | 6601     | SH | DEFINED | 01 | 1 |
| SIGNET JEWELERS LTD            | COM | G81276100 | 338    | 10665    | SH | DEFINED | 01 | 0 |
| SIGNET JEWELERS LTD            | COM | G81276100 | 4      | 115      | SH | DEFINED | 01 | 1 |
| SINA CORP                      | COM | G81477104 | 1299   | 25679    | SH | DEFINED | 01 | 0 |
| SINA CORP                      | COM | G81477104 | 48     | 957      | SH | DEFINED | 01 | 1 |
| SMART MODULAR TECHNOLOGIES     | COM | G82245104 | 26     | 4230     | SH | DEFINED | 01 | 0 |
| TBS INTERNATIONAL PLC-A        | COM | G8657Q104 | 6      | 1100     | SH | DEFINED | 01 | 0 |
| UTI WORLDWIDE INC              | COM | G87210103 | 31     | 1930     | SH | DEFINED | 01 | 0 |
| TEXTAINER GROUP HOLDINGS LTD   | COM | G8766E109 | 21792  | 814924   | SH | DEFINED | 01 | 0 |
| TEXTAINER GROUP HOLDINGS LTD   | COM | G8766E109 | 36     | 1350     | SH | DEFINED | 01 | 1 |
| TRANSATLANTIC PETROLEUM LT     | COM | G89982105 | 29     | 9800     | SH | DEFINED | 01 | 0 |
| TSAKOS ENERGY NAVIGATION       | COM | G9108L108 | 51     | 3824     | SH | DEFINED | 01 | 1 |
| VALIDUS HOLDINGS LTD           | COM | G9319H102 | 276    | 10506    | SH | DEFINED | 01 | 0 |
| VALIDUS HOLDINGS LTD           | COM | G9319H102 | 28     | 1055     | SH | DEFINED | 01 | 1 |
| VANTAGE DRILLING CO            | COM | G93205113 | 2579   | 1611525  | SH | DEFINED | 01 | 0 |
| WARNER CHILCOTT PLC-CLASS A    | COM | G94368100 | 37884  | 1688272  | SH | DEFINED | 01 | 0 |
| WARNER CHILCOTT PLC-CLASS A    | COM | G94368100 | 60     | 2664     | SH | DEFINED | 01 | 1 |
| GOLAR LNG ENERGY LTD           | COM | G94565101 | 2      | 789      | SH | DEFINED | 01 | 0 |
| GOLAR LNG LTD                  | COM | G9456A100 | 48     | 3830     | SH | DEFINED | 01 | 0 |
| GOLAR LNG LTD                  | COM | G9456A100 | 4      | 300      | SH | DEFINED | 01 | 1 |
| WHITE MOUNTAINS INSURANCE GP   | COM | G9618E107 | 5974   | 19364    | SH | DEFINED | 01 | 0 |
| WHITE MOUNTAINS INSURANCE GP   | COM | G9618E107 | 9      | 30       | SH | DEFINED | 01 | 1 |
| WILLIS GROUP HOLDINGS PLC      | COM | G96666105 | 2      | 60       | SH | DEFINED | 01 | 0 |
| WILLIS GROUP HOLDINGS PLC      | COM | G96666105 | 47     | 1541     | SH | DEFINED | 01 | 1 |
| XOMA LTD COM STK USD0.0005     | COM | G9825R206 | 0      | 33       | SH | DEFINED | 01 | 1 |
| XYRATEX LTD                    | COM | G98268108 | 390    | 26286    | SH | DEFINED | 01 | 0 |
| XYRATEX LTD                    | COM | G98268108 | 9      | 633      | SH | DEFINED | 01 | 0 |
| XYRATEX LTD                    | COM | G98268108 | 30     | 2000     | SH | DEFINED | 01 | 1 |
| XL GROUP PLC                   | COM | G98290102 | 614052 | 28349633 | SH | DEFINED | 01 | 0 |
| XL GROUP PLC                   | COM | G98290102 | 1783   | 82343    | SH | DEFINED | 01 | 0 |
| XL GROUP PLC                   | COM | G98290102 | 39     | 1811     | SH | DEFINED | 01 | 1 |
| YUCHENG TECHNOLOGIESLTD COM ST | COM | G98777108 | 0      | 100      | SH | DEFINED | 01 | 1 |
| ACE LTD                        | COM | H0023R105 | 522571 | 8971211  | SH | DEFINED | 01 | 0 |
| ACE LTD                        | COM | H0023R105 | 1669   | 28657    | SH | DEFINED | 01 | 0 |
| ACE LTD                        | COM | H0023R105 | 125    | 2145     | SH | DEFINED | 01 | 1 |
| ALCON INC                      | COM | H01301102 | 3392   | 20344    | SH | DEFINED | 01 | 0 |

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

|                                 |     |           |        |          |    |         |    |   |
|---------------------------------|-----|-----------|--------|----------|----|---------|----|---|
| ALCON INC                       | COM | H01301102 | 5      | 30       | SH | DEFINED | 01 | 1 |
| WEATHERFORD INTL LTD            | COM | H27013103 | 100158 | 5857256  | SH | DEFINED | 01 | 0 |
| WEATHERFORD INTL LTD            | COM | H27013103 | 175    | 10215    | SH | DEFINED | 01 | 0 |
| WEATHERFORD INTL LTD            | COM | H27013103 | 956    | 55910    | SH | DEFINED | 01 | 1 |
| FOSTER WHEELER LTD              | COM | H27178104 | 96283  | 3936414  | SH | DEFINED | 01 | 0 |
| FOSTER WHEELER LTD              | COM | H27178104 | 63     | 2568     | SH | DEFINED | 01 | 0 |
| FOSTER WHEELER LTD              | COM | H27178104 | 132    | 5414     | SH | DEFINED | 01 | 1 |
| GARMIN LTD                      | COM | H2906T109 | 3810   | 125529   | SH | DEFINED | 01 | 0 |
| GARMIN LTD                      | COM | H2906T109 | 474    | 15630    | SH | DEFINED | 01 | 1 |
| LOGITECH INTERNATIONAL-REG      | COM | H50430232 | 2      | 140      | SH | DEFINED | 01 | 0 |
| LOGITECH INTERNATIONAL-REG      | COM | H50430232 | 15     | 888      | SH | DEFINED | 01 | 1 |
| NOBLE CORP                      | COM | H5833N103 | 101502 | 3003866  | SH | DEFINED | 01 | 0 |
| NOBLE CORP                      | COM | H5833N103 | 186    | 5505     | SH | DEFINED | 01 | 1 |
| TRANSOCEAN LTD                  | COM | H8817H100 | 67118  | 1043997  | SH | DEFINED | 01 | 0 |
| TRANSOCEAN LTD                  | COM | H8817H100 | 1753   | 27272    | SH | DEFINED | 01 | 1 |
| TYCO INTERNATIONAL LTD          | COM | H89128104 | 292588 | 7965884  | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD          | COM | H89128104 | 1354   | 36869    | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD          | COM | H89128104 | 0      | 7        | SH | DEFINED | 01 | 0 |
| TYCO INTERNATIONAL LTD          | COM | H89128104 | 153    | 4160     | SH | DEFINED | 01 | 1 |
| TYCO ELECTRONICS LTD            | COM | H8912P106 | 131169 | 4488963  | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD            | COM | H8912P106 | 3415   | 116889   | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD            | COM | H8912P106 | 131    | 4479     | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD            | COM | H8912P106 | 0      | 7        | SH | DEFINED | 01 | 0 |
| TYCO ELECTRONICS LTD            | COM | H8912P106 | 83     | 2837     | SH | DEFINED | 01 | 1 |
| UBS AG-REG                      | COM | H89231338 | 2496   | 146592   | SH | DEFINED | 01 | 0 |
| UBS AG-REG                      | COM | H89231338 | 59     | 3471     | SH | DEFINED | 01 | 0 |
| XL CAPITAL LTD Y 10.75% PFD     | PRF | H9709Y102 | 7870   | 250000   | SH | DEFINED | 01 | 0 |
| ALTISOURCE PORTFOLIO SOL        | COM | L0175J104 | 1409   | 45263    | SH | DEFINED | 01 | 0 |
| ALTISOURCE PORTFOLIO SOL        | COM | L0175J104 | 28     | 900      | SH | DEFINED | 01 | 0 |
| ALTISOURCE PORTFOLIO SOL        | COM | L0175J104 | 8      | 250      | SH | DEFINED | 01 | 1 |
| FLAGSTONE REINSURANCE HOLDIN    | COM | L3466T104 | 1691   | 159510   | SH | DEFINED | 01 | 0 |
| MILLICOM INTL CELLULAR S.A.     | COM | L6388F110 | 37107  | 386737   | SH | DEFINED | 01 | 0 |
| MILLICOM INTL CELLULAR S.A.     | COM | L6388F110 | 34     | 350      | SH | DEFINED | 01 | 1 |
| ALVARION LTD ILS0.01 ISIN #IL00 | COM | M0861T100 | 1      | 400      | SH | DEFINED | 01 | 1 |
| AUDICODES LTD                   | COM | M15342104 | 0      | 90       | SH | DEFINED | 01 | 0 |
| BLUEPHOENIX SOLUTIONS           | COM | M20157109 | 2      | 1000     | SH | DEFINED | 01 | 1 |
| CELLCOM ISRAEL LTD ILS0.01      | COM | M2196U109 | 162    | 5325     | SH | DEFINED | 01 | 1 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 407086 | 11023115 | SH | DEFINED | 01 | 0 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 174    | 4724     | SH | DEFINED | 01 | 0 |
| CHECK POINT SOFTWARE TECH       | COM | M22465104 | 24     | 658      | 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 |
| COMPUGEN ILS0.01 ISIN #IL00     | COM | M25722105 | 2      | 500      | SH | DEFINED | 01 | 1 |
| ELBIT IMAGING LTD ILS1 ISIN     | COM | M37605108 | 1      | 100      | SH | DEFINED | 01 | 1 |
| ELBIT SYSTEMS LTD ILS1 ISIN     | COM | M3760D101 | 3      | 50       | SH | DEFINED | 01 | 1 |
| MELLANOX TECHNOLOGIES LTD       | COM | M51363113 | 10788  | 549306   | SH | DEFINED | 01 | 0 |
| MELLANOX TECHNOLOGIES LTD       | COM | M51363113 | 192    | 9755     | SH | DEFINED | 01 | 0 |
| GILAT SATELLITE NETWORKS O      | COM | M51474118 | 0      | 13       | SH | DEFINED | 01 | 1 |
| GIVEN IMAGING COM ILS0.05 IS    | COM | M52020100 | 20     | 1100     | SH | DEFINED | 01 | 1 |
| INCREDIMAIL LIMITED COM STK IL  | COM | M5364E104 | 16     | 2750     | SH | DEFINED | 01 | 1 |
| ITURAN LOCATION AND CONTROL     | COM | M6158M104 | 1394   | 96774    | SH | DEFINED | 01 | 0 |
| NOVA MEASURING INSTRUMENTS      | COM | M7516K103 | 2846   | 478445   | SH | DEFINED | 01 | 0 |
| NOVA MEASURING INSTRUMENTS      | COM | M7516K103 | 92     | 15430    | SH | DEFINED | 01 | 0 |
| ORBOTECH LTD                    | COM | M75253100 | 0      | 30       | SH | DEFINED | 01 | 0 |
| ORBOTECH LTD                    | COM | M75253100 | 20     | 2020     | SH | DEFINED | 01 | 0 |
| ORBOTECH LTD                    | COM | M75253100 | 1      | 100      | SH | DEFINED | 01 | 1 |

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

|                                |     |           |        |         |    |         |    |   |
|--------------------------------|-----|-----------|--------|---------|----|---------|----|---|
| RRSAT GLOBAL COMM NETWORK LT   | COM | M8183P102 | 10     | 1200    | SH | DEFINED | 01 | 1 |
| RADCOM ILS0.05 ISIN #IL00      | COM | M81865111 | 9      | 1000    | SH | DEFINED | 01 | 1 |
| RETALIX LTD                    | COM | M8215W109 | 57     | 4619    | SH | DEFINED | 01 | 0 |
| SHAMIR OPTICAL INDUSTRY L      | COM | M83683108 | 1      | 100     | SH | DEFINED | 01 | 1 |
| SYNERON MEDICAL LTD            | COM | M87245102 | 4364   | 439918  | SH | DEFINED | 01 | 0 |
| SYNERON MEDICAL LTD            | COM | M87245102 | 7      | 684     | SH | DEFINED | 01 | 1 |
| TOWER SEMICONDUCTOR ORD ILS1 I | COM | M87915100 | 3      | 2500    | SH | DEFINED | 01 | 1 |
| AERCAP HOLDINGS NV             | COM | N00985106 | 116052 | 9809949 | SH | DEFINED | 01 | 0 |
| ASM INTERNATIONAL N.V.         | COM | N07045102 | 24     | 940     | SH | DEFINED | 01 | 0 |
| ASML HOLDING NV-NY REG SHS     | COM | N07059186 | 37419  | 1258613 | SH | DEFINED | 01 | 0 |
| ASML HOLDING NV-NY REG SHS     | COM | N07059186 | 15     | 500     | SH | DEFINED | 01 | 0 |
| ASML HOLDING NV-NY REG SHS     | COM | N07059186 | 171    | 5900    | SH | DEFINED | 01 | 1 |
| ASML HOLDING NV-NY REG SHS     | COM | N07059186 | 7      | 242     | SH | DEFINED | 01 | 1 |
| CNH GLOBAL N.V.                | COM | N20935206 | 1882   | 51346   | SH | DEFINED | 01 | 0 |
| CNH GLOBAL N.V.                | COM | N20935206 | 1265   | 34530   | SH | DEFINED | 01 | 1 |
| CORE LABORATORIES N.V.         | COM | N22717107 | 33925  | 385337  | SH | DEFINED | 01 | 0 |
| CORE LABORATORIES N.V.         | COM | N22717107 | 68     | 771     | SH | DEFINED | 01 | 1 |
| LYONDELLBASELL INDU-CL A       | COM | N53745100 | 2938   | 123033  | SH | DEFINED | 01 | 0 |
| LYONDELLBASELL INDU-CL A       | COM | N53745100 | 202    | 8442    | SH | DEFINED | 01 | 0 |
| LYONDELLBASELL INDU-CL A       | COM | N53745100 | 285    | 11918   | SH | DEFINED | 01 | 0 |
| LYONDELLBASELL INDU-CL B       | COM | N53745118 | 2688   | 112630  | SH | DEFINED | 01 | 0 |
| LYONDELLBASELL INDU-CL B       | COM | N53745118 | 185    | 7737    | SH | DEFINED | 01 | 0 |
| LYONDELLBASELL INDU-CL B       | COM | N53745118 | 261    | 10922   | SH | DEFINED | 01 | 0 |
| NXP SEMICONDUCTOR NV           | COM | N6596X109 | 19183  | 1548220 | SH | DEFINED | 01 | 0 |
| ORTHOFIX INTERNATIONAL NV      | COM | N6748L102 | 2574   | 81905   | SH | DEFINED | 01 | 0 |
| ORTHOFIX INTERNATIONAL NV      | COM | N6748L102 | 91     | 2904    | SH | DEFINED | 01 | 1 |
| QIAGEN N.V.                    | COM | N72482107 | 99392  | 5602724 | SH | DEFINED | 01 | 0 |
| QIAGEN N.V.                    | COM | N72482107 | 103    | 5784    | SH | DEFINED | 01 | 1 |
| SENSATA TECHNOLOGIES HOLDING   | COM | N7902X106 | 35538  | 1798519 | SH | DEFINED | 01 | 0 |
| VISTAPRINT NV                  | COM | N93540107 | 25904  | 670264  | SH | DEFINED | 01 | 0 |
| VISTAPRINT NV                  | COM | N93540107 | 15     | 380     | SH | DEFINED | 01 | 1 |
| BANCO LATINOAMERICANO DE COMER | COM | P16994132 | 297    | 20555   | SH | DEFINED | 01 | 0 |
| BANCO LATINOAMERICANO DE COMER | COM | P16994132 | 4      | 274     | SH | DEFINED | 01 | 1 |
| COPA HOLDINGS SA-CLASS A       | COM | P31076105 | 111915 | 2075936 | SH | DEFINED | 01 | 0 |
| COPA HOLDINGS SA-CLASS A       | COM | P31076105 | 24329  | 451289  | SH | DEFINED | 01 | 0 |
| COPA HOLDINGS SA-CLASS A       | COM | P31076105 | 33851  | 628007  | SH | DEFINED | 01 | 1 |
| SINOVAC BIOTECH COM USD0.001   | COM | P8696W104 | 6      | 1500    | SH | DEFINED | 01 | 1 |
| STEINER LEISURE LTD            | COM | P8744Y102 | 44     | 1135    | SH | DEFINED | 01 | 0 |
| STEINER LEISURE LTD            | COM | P8744Y102 | 4      | 110     | SH | DEFINED | 01 | 1 |
| ULTRAPETROL (BAHAMAS) LTD      | COM | P94398107 | 16     | 2440    | SH | DEFINED | 01 | 0 |
| EXCEL MARITIME CARRIERS LTD    | COM | V3267N107 | 21     | 3690    | SH | DEFINED | 01 | 0 |
| EXCEL MARITIME CARRIERS LTD    | COM | V3267N107 | 36     | 6442    | SH | DEFINED | 01 | 1 |
| MAKEMYTRIP LTD                 | COM | V5633W109 | 47     | 1220    | SH | DEFINED | 01 | 0 |
| MAKEMYTRIP LTD                 | COM | V5633W109 | 5      | 125     | SH | DEFINED | 01 | 1 |
| ROYAL CARIBBEAN CRUISES LTD    | COM | V7780T103 | 71936  | 2281496 | SH | DEFINED | 01 | 0 |
| ROYAL CARIBBEAN CRUISES LTD    | COM | V7780T103 | 984    | 31205   | SH | DEFINED | 01 | 1 |
| VARDE FUND V LP NEW            | COM | VARVLP009 | 772    | 3000000 | SH | DEFINED | 01 | 0 |
| AEGEAN MARINE PETROLEUM NETW.  | COM | Y0017S102 | 15623  | 938903  | SH | DEFINED | 01 | 0 |
| AEGEAN MARINE PETROLEUM NETW.  | COM | Y0017S102 | 15     | 916     | SH | DEFINED | 01 | 0 |
| AEGEAN MARINE PETROLEUM NETW.  | COM | Y0017S102 | 3      | 155     | SH | DEFINED | 01 | 1 |
| AVAGO TECHNOLOGIES LTD         | COM | Y0486S104 | 4955   | 220140  | SH | DEFINED | 01 | 0 |
| BALTIC TRADING LTD             | COM | Y0553W103 | 14     | 1275    | SH | DEFINED | 01 | 0 |
| BALTIC TRADING LTD             | COM | Y0553W103 | 1      | 80      | SH | DEFINED | 01 | 1 |
| CAPITAL PRODUCT PARTNERS L     | COM | Y11082107 | 19     | 2300    | SH | DEFINED | 01 | 1 |
| CRUDE CARRIERS CORP            | COM | Y1820X106 | 24437  | 1357591 | SH | DEFINED | 01 | 0 |
| CRUDE CARRIERS CORP            | COM | Y1820X106 | 357    | 19852   | SH | DEFINED | 01 | 0 |

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

|                                |     |           |       |         |    |         |    |   |
|--------------------------------|-----|-----------|-------|---------|----|---------|----|---|
| DANAOS CORP COM STK USD0.01    | COM | Y1968P105 | 2     | 500     | SH | DEFINED | 01 | 1 |
| DHT HOLDINGS INC               | COM | Y2065G105 | 16    | 4033    | SH | DEFINED | 01 | 0 |
| DHT HOLDINGS INC               | COM | Y2065G105 | 6     | 1400    | SH | DEFINED | 01 | 1 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 15721 | 1237884 | SH | DEFINED | 01 | 0 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 149   | 11759   | SH | DEFINED | 01 | 0 |
| DIANA SHIPPING INC             | COM | Y2066G104 | 25    | 1950    | SH | DEFINED | 01 | 1 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 40228 | 8363437 | SH | DEFINED | 01 | 0 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 731   | 152022  | SH | DEFINED | 01 | 0 |
| DRYSHIPS INC                   | COM | Y2109Q101 | 174   | 36171   | SH | DEFINED | 01 | 1 |
| EAGLE BULK SHIPPING INC        | COM | Y2187A101 | 33    | 6320    | SH | DEFINED | 01 | 0 |
| EAGLE BULK SHIPPING INC        | COM | Y2187A101 | 0     | 32      | SH | DEFINED | 01 | 1 |
| FLEXTRONICS INTL LTD           | COM | Y2573F102 | 15184 | 2513959 | SH | DEFINED | 01 | 0 |
| FLEXTRONICS INTL LTD           | COM | Y2573F102 | 16    | 2705    | SH | DEFINED | 01 | 1 |
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 12142 | 761736  | SH | DEFINED | 01 | 0 |
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 217   | 13601   | SH | DEFINED | 01 | 0 |
| GENCO SHIPPING & TRADING LTD   | COM | Y2685T107 | 62    | 3881    | SH | DEFINED | 01 | 1 |
| GENERAL MARITIME CORP          | COM | Y2693R101 | 1793  | 365275  | SH | DEFINED | 01 | 0 |
| GENERAL MARITIME CORP          | COM | Y2693R101 | 9     | 1768    | SH | DEFINED | 01 | 1 |
| GIGAMEDIA LIMITED TWD10        | COM | Y2711Y104 | 1     | 500     | SH | DEFINED | 01 | 1 |
| GLOBAL SHIP LEASE INC-CL A     | COM | Y27183105 | 2     | 900     | SH | DEFINED | 01 | 0 |
| NAVIOS MARITIME HOLDINGS I     | COM | Y62196103 | 57    | 9765    | SH | DEFINED | 01 | 1 |
| NAVIOS MARITIME PARTNERS L     | COM | Y62267102 | 108   | 5830    | SH | DEFINED | 01 | 1 |
| OCEANFREIGHT INC               | COM | Y64202115 | 2     | 2080    | SH | DEFINED | 01 | 0 |
| OCEANFREIGHT INC               | COM | Y64202115 | 0     | 466     | SH | DEFINED | 01 | 1 |
| SAFE BULKERS INC COMUSD0.001   | COM | Y7388L103 | 8     | 1000    | SH | DEFINED | 01 | 1 |
| SCORPIO TANKERS INC            | COM | Y7542C106 | 12    | 1050    | SH | DEFINED | 01 | 0 |
| SEASPAN CORPORATION COM STK US | COM | Y75638109 | 44    | 3551    | SH | DEFINED | 01 | 1 |
| TEEKAY LNG PARTNERS LP PARTNER | COM | Y8564M105 | 44    | 1398    | SH | DEFINED | 01 | 1 |
| TEEKAY CORP                    | COM | Y8564W103 | 75    | 2800    | SH | DEFINED | 01 | 0 |
| TEEKAY CORP                    | COM | Y8564W103 | 15    | 554     | SH | DEFINED | 01 | 1 |
| TEEKAY OFFSHORE PARTNERS L     | COM | Y8565J101 | 24    | 1031    | SH | DEFINED | 01 | 1 |
| TEEKAY TANKERS LTD-CLASS A     | COM | Y8565N102 | 23    | 1780    | SH | DEFINED | 01 | 0 |
| TEEKAY TANKERS LTD-CLASS A     | COM | Y8565N102 | 36    | 2730    | SH | DEFINED | 01 | 1 |
| VERIGY LTD                     | COM | Y93691106 | 37076 | 4560491 | SH | DEFINED | 01 | 0 |
| VERIGY LTD                     | COM | Y93691106 | 23    | 2863    | SH | DEFINED | 01 | 0 |
| VERIGY LTD                     | COM | Y93691106 | 4     | 438     | SH | DEFINED | 01 | 1 |