

REMEDIAL MEASURES TO BE PART OF IN RE AMERIPRISE SETTLEMENT

1. Ameriprise shall provide a Mutual Fund Selection training course to all of its financial advisors. The training course shall be substantially similar to that approved by the New Hampshire Bureau of Securities Regulation in its settlement with Ameriprise with regard to New Hampshire financial advisors. The training course shall explicitly emphasize and reinforce that client suitability and individual investment objectives must be a priority when selecting mutual funds to recommend or sell to clients. The training course shall be mandatory for all financial advisors. Although the parties recognize that those financial advisors who have independent contractor status generally are not subject to mandatory training (and that Ameriprise has only limited authority to enforce and verify such training with respect to independent contractors), Ameriprise shall take reasonable steps to ensure that all financial advisors (including those with independent contractor status) take the training course within 6 months of Final Approval of the Settlement Agreement.

2. Within 90 days of Final Approval of the Settlement Agreement, Ameriprise shall send a bulletin or other communication to all of its financial advisors explicitly reminding them that individual suitability factors are the primary determinant when recommending mutual funds or other financial products to Ameriprise customers or potential customers.

3. Within 90 days of Final Approval of the Settlement Agreement, Ameriprise shall send a bulletin or other communication to all of its financial advisors reinforcing that: 1) only the corporate office may hold product sales contests in which attaining pre-set sales goals for particular products are a basis for receiving cash or non-cash compensation; and 2) if mutual fund sales are an element of any sales contest, the sales measured will include all mutual funds, both proprietary and non-proprietary funds, weighed equally.

4. Within 90 days of Final Approval of the Settlement Agreement, Ameriprise shall send a bulletin or other communication to all of its field managers reminding them that recommendations of mutual funds to clients or potential clients need to be accompanied by written disclosures (via a fund prospectus, mutual fund fact sheets, Form ADV Part II, the Investor's Guide to Mutual Funds or other appropriate authorized written materials) explaining financial advisor compensation and the fees and costs associated with and applicable to any mutual funds being recommended.

5. Ameriprise shall prominently display on its website a link to "An Investor's Guide to Purchasing Mutual Funds" which includes disclosures on mutual fund sales charges, operating expenses and other costs as well as information on the fund companies that make payments to Ameriprise and the way Ameriprise financial advisors are compensated for mutual fund sales. Information on how to access the Investor's Guide shall be set forth in the first text section of the Ameriprise Form ADV (also referred to as the Ameriprise Financial Advisory Service Brochure). The Guide may be updated and amended as needed to meet with current regulatory and legal requirements. As part of the Class Notice mailing or in another mailing sent to each putative class member, Ameriprise shall also mail a copy of the Investor's Guide to Purchasing Mutual Funds or direct the recipients' attention to the Investor's Guide to Purchasing Mutual Funds on Ameriprise's website.

6. The Ameriprise Compliance Policy Manual (or its equivalent), which contains sections on "Making Suitable Recommendations", "Providing Full and Fair Disclosures", "Guidelines for Product Sales," and other important legal and regulatory information shall be moved to the main page of the Ameriprise advisor website (currently called AdvisorLink Jazz) via a link or tab that is clearly and prominently displayed. The Compliance Resource Guide may be updated and amended as needed to reflect current regulatory and legal requirements.

7. To the extent that Defendants agree to any further remedial procedures with any other state or federal authority prior to the date of final approval of the Settlement, any such procedures shall be incorporated herein, where reasonably feasible.