



# Pre-Application for a Savings Account at Ameriprise Bank, FSB



Pre-Applicant ID

26217922

001

- i** This is not an application to open a savings account..
  - If all pre-applicants are authorized to advance to the application phase, the primary pre-applicant will receive an email with additional instructions.
  - To have your pre-application reviewed:
    - o Complete all required fields
    - o Use blue or black ink.
    - o Print clearly. If illegible, we will request you submit another pre-application form.
    - o Sign and date this form.
    - o Mail pages 1-3 of this form to: Ameriprise Bank, FSB | 70915 Ameriprise Financial Center | Minneapolis, MN 55474.
- Please keep a copy of this completed form for your records.
- Questions? We're here to help. Please call 800.862.7919.

### Pre-applicant's Ownership Type

Individual       Joint

### Primary Pre-applicant

First Name	Middle Name	Last Name	Suffix (optional)
SSN	DOB (mm/dd/yyyy)	Gender	

Residential Address (P.O. Boxes are not allowed)

City	State	Zip Code
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Years at Residential Address

Previous Address (If less than 10 years at current address)

City	State	Zip Code
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Mailing Address       Same as Residential Address

City	State	Zip Code
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Cell Phone Number	Home Phone Number (optional)	Work Phone Number (optional)
Email Address		

Citizenship       U.S. Citizen       Resident Alien       Non-Resident Alien

Employment Status       Employed       Self Employed       Not Employed       Retired       Other

Employer Name      Are you an officer or director of Ameriprise Financial, Inc., or its affiliates?       Yes  No

Driver's License OR State ID OR Passport:

Number	State of Issue	Issue Date	Expiration Date
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**Joint Pre-applicant** (if applicable)

First Name	Middle Name	Last Name	Suffix (optional)
SSN	DOB (mm/dd/yyyy)	Gender	

Residential Address (P.O. Boxes are not allowed)

City	State	Zip Code
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Years at Residential Address

Previous Address (If less than 10 years at current address)

City	State	Zip Code
------	-------	----------

Mailing Address       Same as Residential Address

City	State	Zip Code
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Cell Phone Number	Home Phone Number (optional)	Work Phone Number (optional)
Email Address		



Citizenship	<input type="radio"/> U.S. Citizen	<input type="radio"/> Resident Alien	<input type="radio"/> Non-Resident Alien		
Employment Status	<input type="radio"/> Employed	<input type="radio"/> Self Employed	<input type="radio"/> Not Employed	<input type="radio"/> Retired	<input type="radio"/> Other
Employer Name	Are you an officer or director of Ameriprise Financial, Inc., or its affiliates?				
<input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No				

Driver's License OR State ID OR Passport:

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Number	State of Issue	Issue Date	Expiration Date

Please read these Acknowledgements carefully; then sign and date this section. "You" and "your" refer to all pre-applicants. "I", "we" and "us" refer to Ameriprise Bank, FSB.

By signing below, you certify;

- All information provided by you in this form is complete and accurate,
- Personal information provided is your own & You are at least 18 years of age and of full legal age in your state of residence.
- You are the individual submitting this form.

By signing this document, you acknowledge and agree that:

- THIS PRE-APPLICATION IS NOT AN APPLICATION TO APPLY FOR A SAVINGS ACCOUNT WITH US. If we authorize all pre-applicants to advance to the application phase, the primary pre-applicant will receive additional instructions.
- "If eligible to apply for a savings account with us, we will notify you via email. The email will be sent to the email address provided on this form and contain instructions about how to apply online for a savings account". In that case, you will receive instructions through the email provided on how to apply online for a savings account.
- You have access to the email address provided in this form.
- Only the primary pre-applicant will receive the email(s) regarding this pre-application form.
- You must fill in all required information in this form for it to be considered complete.
- You have received and read the Ameriprise Privacy Notice.
- We may keep this form and retain the information as permitted by laws.

We require certain personal information from you that will be used by us to verify your identity. If you do not provide us the information, we may not be able to proceed with your pre-application. BY SUBMITTING THIS INFORMATION, YOU AUTHORIZE US TO VERIFY YOUR IDENTITY THROUGH A THIRD-PARTY SERVICE.

**Primary Pre-applicant Signature**

**X** \_\_\_\_\_

**Date (mm/dd/yyyy)**

**Joint Pre-applicant Signature**

**X** \_\_\_\_\_

**Date (mm/dd/yyyy)**

Mail completed form to: **Ameriprise Bank, FSB** | 70915 Ameriprise Financial Center | Minneapolis, MN 55474



<b>FACTS</b>	<b>WHAT DOES AMERIPRISE DO WITH YOUR PERSONAL INFORMATION?</b>
<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"> <li>• Social Security number and income</li> <li>• Assets and transaction history</li> <li>• Credit history and investment experience</li> <li>• Biometrics, including voice analysis</li> </ul>
<b>How</b>	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Ameriprise chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Ameriprise share?	Can you limit this sharing?
<b>For everyday business purposes -</b> such as to process your transactions, maintain your account(s), verify your identity, respond to court orders and legal investigations or report to credit bureaus	Yes	No
<b>For our marketing purposes -</b> to offer our products' services to you	Yes	No
<b>For joint marketing with other financial companies</b>	Yes	No
<b>For our affiliates' everyday business purposes -</b> information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes -</b> information about your credit-worthiness	Yes	Yes
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We don't share

<b>To limit our sharing</b>	<ul style="list-style-type: none"> <li>• Call <b>800.297.8018</b>. Our menu will prompt you through your choices.</li> </ul> <p><b>Please note:</b> If you provide your personal information to Ameriprise as a prospect, we will not share your information with our affiliates for marketing purposes. If you are a <i>new</i> client, we can begin sharing your information 30 days from the date we sent this notice.</p> <p>You can contact us at any time to limit our sharing.</p>
<b>Questions?</b>	Call 800.862.7919 or go to <a href="http://ameriprise.com/privacy">ameriprise.com/privacy</a> .

<b>Who we are</b>	
<b>Who is providing this notice?</b>	Ameriprise Financial Services, LLC, Ameriprise Bank, FSB, Ameriprise Certificate Company, American Enterprise Investment Services, Inc., Ameriprise Trust Company, RiverSource Life Insurance Company and RiverSource Life Insurance Company of New York.



What we do	
<b>How does Ameriprise protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.  For more information on how we protect your personal information please go to <a href="http://ameriprise.com/privacy">ameriprise.com/privacy</a> .
<b>How does Ameriprise collect my personal information?</b>	We may collect your personal information when you: <ul style="list-style-type: none"> <li>• Open an account or make deposits to or withdrawals from your account</li> <li>• Apply for insurance or enter into an investment advisory contract</li> <li>• Tell us about your investment or retirement portfolio</li> </ul> We also collect your personal information from others, such as credit bureaus, affiliates, or other companies
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>• Sharing for affiliates' everyday business purposes - information about your creditworthiness</li> <li>• Affiliates from using your information to market to you</li> <li>• Sharing for nonaffiliates to market to you</li> </ul> State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to you alone unless you tell us otherwise.

Definitions	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>• <i>Our affiliates include companies with an Ameriprise, RiverSource, Columbia Threadneedle or American Enterprise name; financial companies such as banks, broker-dealers, asset managers and insurance companies.</i></li> </ul>
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>• <i>Ameriprise does not share with nonaffiliates, so they can market to you.</i></li> </ul>
<b>Joint Marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>• <i>Our joint marketing partners include federal and state regulated mortgage lenders, banks and credit unions.</i></li> </ul>

Other important information
<p>If any of your accounts with us have a Vermont mailing address, we will automatically treat those accounts as if you elected not to share information about your creditworthiness and not to receive marketing from our affiliates; we will also not obtain consumer credit reports about you without your consent. If any of your accounts with us have a California, North Dakota or Vermont mailing address, we will not include those accounts in any joint market activities with nonaffiliated financial companies.</p> <p>As required by federal law, RiverSource Life Insurance Company and RiverSource Life Insurance Company of New York do not use Protected Health Information of its Long Term Care (LTC) policy holders for marketing purposes unless the LTC policy holder authorizes such use.</p> <p>If your financial advisor's affiliation with Ameriprise ends and your financial advisor joins a nonaffiliated securities broker-dealer or registered investment advisor, they may be permitted to use limited information to contact you. The information they may use is limited to your name, address, email address, phone number and account title.</p>



## California Privacy Rights Act (CPRA) Privacy Notice Addendum for California Residents

The California Privacy Rights Act (CPRA) provides rights for California residents to understand our data collection practices and to receive information from Ameriprise Financial, Inc., and its affiliates, about the information we collect and use about you. This CPRA Privacy Notice addendum also provides information to California residents about what information you can obtain from Ameriprise Financial, Inc. Please click on the Ameriprise Financial Privacy Notices link to learn more.

California Resident's Right	Detailed Information	Use Purpose
<b>Right to Know What is Collected</b>	<p>Ameriprise Financial, Inc. ("Ameriprise") may collect one or more of the types of information about you based on information you provided to us:</p> <ul style="list-style-type: none"> <li>• Personal contact data (e.g., name, home address, home, work and cell phone number, email address, etc.)</li> <li>• Personal profile data (e.g., age, marital status, how many children you have, employment status, a sample of your signature, hobbies, interests, etc.)</li> <li>• Commercial data (e.g., home value)</li> <li>• Internet-related data (e.g., number of logins to web sites or software applications by reference to computer IP addresses we associate with you, etc.)</li> <li>• Professional data (e.g., current and former employers, occupations, and work history, etc.)</li> <li>• Educational history data (e.g., education institutions attended, education levels attained, etc.)</li> <li>• Audio/Visual/Electronic data (e.g., your photo, a sample)</li> </ul>	<p>Servicing client accounts, required reporting, and marketing</p>
<b>Right to Know Sensitive Personal Data Collected</b>	<p>Ameriprise may collect one or more types of sensitive personal data about you based on the information you provided to us:</p> <ul style="list-style-type: none"> <li>• Financial profile data (e.g., financial risk tolerance, financial goals, financial situation, such as amounts held in checking, savings, and investment accounts we manage for you and that others manage for you, credit card debt, home value and mortgage balances, loan information, insurance information, your income and cash flow situation, account and social security numbers, etc.)</li> <li>• Biometric data (e.g., fingerprints, voice analysis, etc.)</li> <li>• Location data (e.g., geographic locations associated with a computer's IP address)</li> </ul>	<p>Servicing client accounts, required reporting, and marketing</p>
<b>Right to Request Information Regarding Personal Information Collected and Disclosed</b>	<p>At your request, Ameriprise will provide a report regarding the information we have collected, used, or disclosed to others in the prior 12 months about you which will cover:</p> <ol style="list-style-type: none"> <li>1. The categories of personal information collected about you;</li> <li>2. The specific pieces of personal information we have about you;</li> <li>3. Categories of sources from which personal information is collected;</li> <li>4. Our purpose for collecting or sharing personal information;</li> <li>5. Identification and categories of third parties with whom Ameriprise shares your personal information.</li> </ol> <p>Upon receipt of a Verified Request, Ameriprise will initiate the process of gathering such personal information to provide to you.</p> <p>Please see the section below entitled "Submission of a Verifiable Request" for instructions on how to submit a request to exercise any of your rights. Once the request is verified as described below, it will be considered a "Verified Request" for purposes of this notice.</p>	<p>Honoring Right to Access</p>



California Resident's Right	Detailed Information	Use Purpose
<b>Right to Request Deletion of Personal Information</b>	You can request that Ameriprise delete personal information it has collected and maintains about you. In order to request that we delete such information, you need to follow the instructions provided. Upon receipt of a Verifiable Request, and so long as we have no right or obligation to keep your personal information, Ameriprise is required by law to have you confirm your previously submitted Verifiable Request to delete your information. Once you provide that confirmation, we will start the process of deleting your personal information, and we will also instruct all of our service providers that maintain your personal information on our behalf to also delete your personal information from their records.	Honoring Right to Deletion
<b>Right to Correct Inaccurate Information</b>	You can request that Ameriprise correct inaccuracies to personal information it has collected and maintains about you. To request that we correct such information, you need to follow the instructions provided. Upon receipt of a Verifiable Request, and so long as we have no right or obligation to maintain the disputed information despite your right to request correction, Ameriprise is required by law to have you confirm your previously submitted Verifiable Request to correct your information. Once you provide that confirmation, we will start the process of correcting your personal information, and we will also instruct all of our service providers that maintain your personal information on our behalf to also correct your personal information in their records.	Honoring Right to Correction
<b>Right to Know Ameriprise's Sale or Sharing of Your Personal Information</b>	Ameriprise does not sell or share for cross-contextual behavioral advertising personal information it collects from clients or prospects.	We don't sell or share
<b>Right to Opt-Out of Inferring Characteristics from Sensitive Personal Data</b>	Ameriprise does not use Sensitive Personal Information to infer characteristics about clients or prospects.	We don't infer characteristics from Sensitive Personal Data
<b>Right to Limit Automated Processing</b>	Ameriprise does not use computer-led or Automated Processing to make determinations or infer performance of any clients or other individuals.	We do not use automated processing
<b>Right to Non-Discrimination</b>	Ameriprise shall not discriminate against you by altering the price of any of its products or services because you chose to exercise any of your rights under the CPRA.	N/A

**Definitions.** For purposes of this CPRA Privacy Notice addendum, the terms below have the following meaning:

*Verified Request* (or Verifiable Request) means a request that is made by a California resident on their own behalf, or on behalf of a California resident from whom they have received authorization, and that Ameriprise can verify pursuant to its standard verification procedures. For your protection, we request and verify specific pieces of information about you prior to sharing any data with you.

*Sensitive Personal Information* (*sensitive personal data*) means personal information that reveals a consumers social security, driver's license, state ID card, or passport number; account login, financial account, debit card or credit card number combined with any security or access code, password or credentials allowing access to an account; precise geolocation; racial or ethnic origin, religious or philosophical beliefs or union membership; contents of mail, email, and text messages; genetic data, including biometric information for identification purposes; and health, sex life or sexual orientation.

Sensitive personal information collected must not be incompatible with the disclosed purpose of which the sensitive personal information was collected. We do not infer characteristics from sensitive personal data.

**Use of personal information.** The use of personal information for the business's or a service provider's service to your accounts and applications for products and services. Your financial information will be used by the company to provide you better service, address your questions and needs, and for uses you specifically request us to perform, such as applications for products.

Contact details will be used to contact you about your applications, accounts, or provision of services. Further, information on your financial history and applications will be processed, without automated means, for the business purpose of assessing your suitability for the products and financial needs. Finally, there is a business purpose to use your personal information, in some cases, to comply with regulations binding on our company and practices.

Data collected from the use of our website, such as IP address, location, and browsing history, will be used to improve your experience and comply with your requests through our website. View our website Cookie Notice for more details.

**With whom will we share your personal information?**

We may share your information with other companies within the Ameriprise group of companies and affiliates. We may also share your information with service providers that Ameriprise employs to service the account, perform a necessary function to fulfill your requests, or otherwise assist in our services to you. The sharing of your data in this way is for the business purpose of servicing your account.

We also share data with service providers to assist the firm with data analytics to understand the value to our customer base of our products and services. Further, we may share your data with service providers to assist with our marketing campaigns and to provide you with our products that you may wish to receive. Your receipt of marketing email communications can be limited through the preference center on our website if you wish. Finally, we may also share your data with third parties if needed and appropriate to comply with our legal obligations, defend our legal rights, protect your vital interests in the event of an emergency, or if we have otherwise obtained your consent.

**Reasonable Security Procedures and Practices.**

We will maintain the data in a manner commensurate with the data held with regard to the sensitivity. Access to the data will be reserved for those with a business need for the Information. The data will be kept in an encrypted manner and any transfer or disclosure will be done in a secure manner.

**Retention Criteria.**

For brokerage and wealth management clients, any data collected will be held for 6 years after you are no longer an active client.

For bank clients, any data collected will be held for 5 years after you are no longer an active client.

For prospective clients, any data collected will be held indefinitely.

For insurance and annuities clients, any data collected will be held indefinitely.

**Exceptions to Our Obligation to Provide or Delete Information.** You should be aware that Ameriprise's obligations to you are subject to certain important exemptions that will limit the things we are required to provide to or do for you under this law. Specifically, the CPRA does not apply to personal information collected pursuant to Gramm-Leach-Bliley Act (GLBA), such as transaction, experience and health information that falls within the definitions of Personal Health Information (PHI) under the Health Insurance Portability and Accountability Act (otherwise known as HIPAA). This means that even if you submit a Verifiable Request, Ameriprise is not required to provide information to you or delete your information if your information is required by us to provide any of the financial products and services we provide to consumers or clients. This will likely limit the amount of information you receive in response to a Verifiable Request under the CPRA. In addition, Ameriprise is not obligated to delete information in response to a Verifiable Request if other regulations require us to maintain these records for a period of time. In many instances that will be the case.

**Submission of a Verifiable Request.** You may submit a Verifiable Request by calling 1.800.862.7919 and providing all of the information below. You may also send your Verifiable Request by electronic mail to [Privacy Consumer Inquiry](#). Each Verifiable Request, no matter how submitted, must include all of the following information:

- First and Last Name
- Mailing address (street, city, state, zip code)
- Email address
- Phone number
- Client or Account ID (optional if an Ameriprise client)

Upon receipt of your request, Ameriprise must ensure it is a Verifiable Request. Ameriprise will acknowledge our receipt of your request within ten business (10) days, and we have forty-five (45) days to respond to you or request that you confirm your request to correct or delete information we hold. If reasonably necessary to respond to your Verifiable Request, Ameriprise may extend the deadline for our response to you by an additional forty-five (45) days, and if we choose to do so, we will notify you