

2001 UNIFORM BUSINESS REPORT (UBR)

FILED

May 22, 2001 8:00 am
Secretary of State

05-22-2001 90043 012 ***150.00

DOCUMENT # 831571

1. Entity Name

American Express Financial Advisors Inc.

Principal Place of Business

Mailing Address

1163 AXP Financial Center
Minneapolis, MN 55474

1163 AXP Financial Center
Minneapolis, MN 55474

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number

41-0973005

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional
Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

9. This corporation is eligible to satisfy its Intangible
Tax filing requirement and elects to do so.
(See criteria on back) ☐

FILE NOW!!! FEE IS \$150.00
After MAY 1, 2001 Fee will be \$550.00
Make Check Payable to Department of State

10. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be
Added to Fees

11. OFFICERS AND DIRECTORS

12. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

List Attached

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY - ST - ZIP

☐ Change ☐ Addition

CR2E034 (11/00)

13. I hereby certify that the information supplied with this filing does not qualify for the exemption stated in Section 119.07(3)(i), Florida Statutes. I further certify that the information indicated on this report or supplemental report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears in Block 11 or Block 12 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE: *Steven J. Ritter*

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Steven J. Ritter 4/18/01 (612) 671-2461

Date

Daytime Phone #

Attachment

4/01

AMERICAN EXPRESS FINANCIAL ADVISORS INC.

FE 1 41-0973005

553089

Name	Title	Business Address
Directors		
Steven C. Kumagai James M. Cracchiolo		
Officers		
David R. Hubers	Chairman of the Board	200 AXP Financial Center Minneapolis, MN 55474
James M. Cracchiolo	President and Chief Executive Officer	200 AXP Financial Center Minneapolis, MN 55474
Barry J. Murphy	Executive Vice President - U.S. Retail Group	200 AXP Financial Center Minneapolis, MN 55474
Douglas A. Alger	Sr. Vice President - Human Resources	200 AXP Financial Center Minneapolis, MN 55474
Peter J. Anderson	Sr. Vice President - Investment Operations	200 AXP Financial Center Minneapolis, MN 55474
Ward D. Armstrong	Senior Vice President-Retirement Services	200 AXP Financial Center Minneapolis, MN 55474
Teresa A. Hanratty	Sr. Vice President - Field Management	200 AXP Financial Center Minneapolis, MN 55474
Brian M. Heath	Sr. Vice President and General Sales Manager	200 AXP Financial Center Minneapolis, MN 55474
Marietta L. Johns	Sr. Vice President - Acuma Ltd.	801 E. Campbell Rd Suite 150 Richardson, TX 75081
John C. Junek	Sr. Vice President, General Counsel	200 AXP Financial Center Minneapolis, MN 55474
Steven C. Kumagai	Sr. Vice President Direct and Interactive Group	200 AXP Financial Center Minneapolis, MN 55474
Peter A. Lefferts	Senior Vice President-Corporate Strategy and Development	200 AXP Financial Center Minneapolis, MN 55474
Pamela J. Moret	Sr. Vice President - Investment Products	200 AXP Financial Center Minneapolis, MN 55474
Frederick C. Quirsfeld	Sr. Vice President - Fixed Income	200 AXP Financial Center Minneapolis, MN 55474
Rebecca K. Roloff	Sr. V.P. - Field Management & Financial Advisory Service	200 AXP Financial Center Minneapolis, MN 55474
Stephen W. Roszell	Sr. Vice President - Institutional	200 AXP Financial Center Minneapolis, MN 55474
Erven A. Samsel	Sr. Vice President Field Management	200 AXP Financial Center Minneapolis, MN 55474
Stuart A. Sedlacek	Sr. Vice President and Chief Financial Officer	200 AXP Financial Center Minneapolis, MN 55474
Bridget Spertl	Sr. Vice President - Client Service Organization	200 AXP Financial Center Minneapolis, MN 55474
John R. Thomas	Sr. Vice President - Information and Technology	200 AXP Financial Center Minneapolis, MN 55474
Norman Weaver Jr.	Sr. Vice President- Alliance Group	18109 Brookhurst Fountain Valley, CA 92708
Michael R. Woodward	Sr. Vice President- Field Management	32 Elliot St. Suite 100 Batavia, NY 14020
Teresa J. Rasmussen	Managing Counsel - Products Group	200 AXP Financial Center Minneapolis, MN 55474
Ronald G. Abrahamson	Vice President-Business Transformation	200 AXP Financial Center Minneapolis, MN 55474
Gumer C. Ahervo	Vice President - Annuities	200 AXP Financial Center Minneapolis, MN 55474
John M. Baker	Vice President-Plan Sponsor Services	200 AXP Financial Center Minneapolis, MN 55474
Dudley Barksdale	Vice President - Service Development	200 AXP Financial Center Minneapolis, MN 55474
Joseph M. Barsky III	Vice President Mutual Fund Equities	200 AXP Financial Center Minneapolis, MN 55474
Timothy V. Bechtold	Vice President-Risk Management Products	200 AXP Financial Center Minneapolis, MN 55474
Douglas W. Brewers	Vice President Sales Support	200 AXP Financial Center Minneapolis, MN 55474
Kenneth J. Ciak	Vice President & Gen.Mgr. - IDS Property Casualty	200 AXP Financial Center Minneapolis, MN 55474
Paul A. Connolly	Vice President - Retail Distribution Services	200 AXP Financial Center Minneapolis, MN 55474

Attachment

FEI-41-0973005

553039

Colleen Curran	Vice President & Assistant General Counsel	200 AXP Financial Center Minneapolis, MN 55474
Luz Maria Davis	Vice President- Communications	200 AXP Financial Center Minneapolis, MN 55474
Douglas K. Dunning	Vice President - Assured Assets Product Development and Management	200 AXP Financial Center Minneapolis, MN 55474
Robert M. Elconin	Vice President- Government Relations	200 AXP Financial Center Minneapolis, MN 55474
Gordon M. Fines	Vice President - Mutual Fund Equity Investments	200 AXP Financial Center Minneapolis, MN 55474
Douglas L. Forsberg	Vice President-International	200 AXP Financial Center Minneapolis, MN 55474
Peter A. Gallus	Vice President-Investment Administration	200 AXP Financial Center Minneapolis, MN 55474
Derek G. Gledhill	Vice President-Integrated Financial Services	200 AXP Financial Center Minneapolis, MN 55474
David A. Hammer	Vice President and Marketing Controller	200 AXP Financial Center Minneapolis, MN 55474
Lorraine R. Hart	Vice President - Insurance Investments	200 AXP Financial Center Minneapolis, MN 55474
Janis K. Heaney	Vice President-Incentive Management	200 AXP Financial Center Minneapolis, MN 55474
Carol A. Holton	Vice President - Third Party Distribution	200 AXP Financial Center Minneapolis, MN 55474
Debra A. Hutchinson	Vice President - Relationship Leader	200 AXP Financial Center Minneapolis, MN 55474
James M. Jensen	Vice President - ARD Product, Compensation and Field Administration	200 AXP Financial Center Minneapolis, MN 55474
Nancy E. Jones	Vice President - Business Development	200 AXP Financial Center Minneapolis, MN 55474
Ora J. Kaine	Vice President - Financial Advisory Services	200 AXP Financial Center Minneapolis, MN 55474
Linda B. Keene	Vice President-Market Development	200 AXP Financial Center Minneapolis, MN 55474
John M. Knight	Vice President - Investment Accounting	200 AXP Financial Center Minneapolis, MN 55474
Claire Kolmodin	Vice President - Service Quality	200 AXP Financial Center Minneapolis, MN 55474
Kurt A. Larson	Vice President - Senior Portfolio Manager	200 AXP Financial Center Minneapolis, MN 55474
Lori J. Larson	Vice President-Brokerage and Direct Services	200 AXP Financial Center Minneapolis, MN 55474
Daniel E. Laufenberg	Vice President and Chief U.S. Economist	200 AXP Financial Center Minneapolis, MN 55474
Jane W. Lee	Vice President-New Business Development and Marketing	200 AXP Financial Center Minneapolis, MN 55474
Fred A. Mandell	Vice President - Distribution Channel Marketing	200 AXP Financial Center Minneapolis, MN 55474
Timothy J. Masek	Vice President and Director of Global Research	200 AXP Financial Center Minneapolis, MN 55474
Paula R. Meyer	Vice President - Mutual Funds	200 AXP Financial Center Minneapolis, MN 55474
Shashank B. Modak	Vice President - Technology Leader	200 AXP Financial Center Minneapolis, MN 55474
Mary Owens Neal	Vice President-Consumer Marketing Segment	200 AXP Financial Center Minneapolis, MN 55474
Scott M. Nelson	Vice President - Alternative Investments	200 AXP Financial Center Minneapolis, MN 55474
Michael J. O'Keefe	Vice President - Advisory Business Systems	200 AXP Financial Center Minneapolis, MN 55474
James R. Palmer	Vice President - Taxes	200 AXP Financial Center Minneapolis, MN 55474
Carla P. Pavone	Vice President - Product Business Development	200 AXP Financial Center Minneapolis, MN 55474
Kris Petersen	Vice President - Non Proprietary Products	200 AXP Financial Center Minneapolis, MN 55474
Susan B. Plimpton	Vice President - Marketing Services	200 AXP Financial Center Minneapolis, MN 55474
Ronald W. Powell	Vice President and Assistant General Counsel	200 AXP Financial Center Minneapolis, MN 55474
James M. Punch	Vice President - Branded Platform Project	200 AXP Financial Center Minneapolis, MN 55474
Rollyn C. Renstrom	Vice President - Corporate Planning and Analysis	200 AXP Financial Center Minneapolis, MN 55474
Theresa M. Sapp	Vice President - Relationship Leader	200 AXP Financial Center Minneapolis, MN 55474

Larry M. Post	Group V.P.-Philadelphia Metro and Northern New England
R. Daniel Richardson	Group V.P.-Southern Texas
Max G. Roth	Group V.P.-Wisconsin/Upper Michigan
Diane Ruebling	Group Vice President - Central California/ Western Nevada
Russell L. Scalfano	Group V.P.-Illinois/Indiana/ Kentucky
William G. Scholz	Group V.P.- Arizona/ Las Vegas
Paul J. Stanislaw	Group V.P.-Southern California
Lois A. Stilwell	Group V.P.- Northern Lakes
Craig P. Taucher	Group V.P.-Orlando/Jacksonville
Neil G. Taylor	Group V.P.-Seattle/Tacoma/Hawaii
Peter S. Velardi	Group V.P.-Atlanta/Birmingham
Charles F. Wachendorfer	Group V.P.-Detroit Metro
Donald F. Weaver	Group V.P. - Greater Pennsylvania
Eric S. Williams	Group V.P.-Virginia
William J. Williams	Group V.P.- Twin Cities Metro
Rande L. Zellers	Group V.P.-Gulf States
Rodney P. Alexander	Field Vice President
Roger A. Auger	Field Vice President
Lisa D. Babcock	Field Vice President
Gary L. Bernard	Field Vice President
William J. Bezdichek	Field Vice President
David Boccignone	Field Vice President
Robert L. Bohli	Field Vice President-New Advisor Development
Matthew J. Burke	Field Vice President
Thomas A. Burke	Field Vice President
Bruce G. Bushman	Field Vice President
Arnold Cagle	Field Vice President
Thomas M. Calkusic	Field Vice President
Timothy L. Campbell	Field Vice President
Vincent J. Capsello	Field Vice President
Matthew T. Carbone	Field Vice President
Raymond E. Carothers	Field Vice President
Gregory V. Choquette	Field Vice President
Martin T. Cole	Field Vice President

Attachment
FEI 41-0973005

Four Tower Bridge, 200 Barr Harbor Drive
Suite 100
West Conshohocken, PA 19428
1250 Capitol of Texas Hwy. S. Bldg. 2 Su 26
Austin, TX 78746
1400 Lombardi Ave Su 201 SO
Green Bay, WI 54304
3017 Douglas Blvd. Suite 300
Roseville, CA 95661
101 Plaza E. blvd Suite 320
Evansville, IN 47715
7500 E. Pinnacle Peak Rd., Suite A100
Scottsdale, AZ 85255-3405
Two Park Plaza, Suite 1100
Irvine, CA 92614
10405 6th Ave. N. Su 140, 55 W. Financial
Plymouth, MN 55441
4190 Belfort Rd., Enterprise Pk. Suite 150
Jacksonville, FL 32216
188 106th Ave. NE, Suite 640
Bellevue, WA 98004-5902
2475 Northwinds Pkwy., Suite 101
Alpharetta, GA 30201
26777 Central Park Blvd., Suite 350
Southfield, MI 48076
3500 Market Street
Suite 200
Camphill, PA 17011
100 West Broadway Su 100
Glendale, CA 91210
Centennial Lakes Office Park
7601 France Ave. S., Suite 600
Edina, MN 55435-5971
1 Galleria Blvd, Suite 1900
Metairie, LA 70001
11590 Century Blvd., Suite 204
Cincinnati, OH 45246
500 Southborough Drive
Southborough Office Park
South Portland, ME 04106
9100 Bluebonnet Ctr Blvd Su100
Baton Rouge, LA 70810-2809
18167 U.S. Highway 19 N. Su100
Clearwater, FL 34624
400 First St., Su 290
St. Cloud, MN 56301-3600
Suite 200
6833 Stalter Drive
Rockford, IL 61108
Suite 600
10375 Richmond Avenue
Houston, TX 77042
9200 Keystone E. Crossing
Suite 100
Indianapolis, IN 46240-4699
Suite 200
12312 Olive Boulevard
Westview Place
Creve Coeur, MO 63141
W. 111 North River Dr Su 200
Spokane, WA 99201
2 Centerview Drive Suite 300
Greensboro, NC 27407
2625 North Clark St.
Chicago, IL 60614-1566
7248 Tilghman Street
Allentown, PA 18106
5789 Widewaters Pkwy., Su 300
Dewitt, NY 13214-1855
180 Montgomery St, Suite 2480
San Francisco, CA 94104-4203
3490 Piedmont Rd.
Atlanta, GA 30305-1743
15800 West Bluemound Road, Suite 120
Brookfield, WI 53005-6003
175 Hillside Road
Cranston, RI 02920-5602

Nancy L. Congdon	Field Vice President
Richard F. Connington	Field Vice President-New Advisor Development
Jesse D. Cotter	Field Vice President
Orville D. Dawkins	Field Vice President
Mark DeCelle	Field Vice President
Kenneth W. Del Goletto	Field Vice President
Frederick T. Driscoll	Field Vice President
Paul E. Drolson	Field Vice President
Kenneth S. Dykman	Field Vice President
Randy W. Ellis	Field Vice President
Thomas A. Endersbe	Field Vice President
Jerome E. Etchegoyhen	Field Vice President
Kevin H. Fringer	Field Vice President
Gary W. Gassman	Field Vice President
Gerald B. Gill	Field Vice President
Jeffrey B. Greco	Field Vice President
John C. Greiber	Field Vice President
Weldon Gressett	Field Vice President
Bruce M. Guarino	Field Vice President
Andrew A. Hebel III	Field Vice President
Thomas R. Hendricks	Field Vice President
John A. Henehan	Field Vice President
Randy M. Herr	Field Vice President-New Advisor Development
Tim A. Holland	Field Vice President
Armin Hooman	Field Vice President-New Advisor Development
William E. Hrynshyn	Field Vice President-New Advisor Development
Gregory C. Johnson	Field Vice President
Ira Alan Johnston	Field Vice President
Michael K. Jones	Field Vice President-New Advisor Development
Raymond R. Jones	Field Vice President-Marketing/ Risk Management/FES
Olin G. Kees	Field Vice President
Edward T. Kelly	Field Vice President
Michael J. Keys	Field Vice President
Keith Kirk	Field Vice President
David D. Knight	Field Vice President

Attachment
FEI-0973005

6902 SE Lake Rd., Su 301
Milwaukie, OR 97267-2148
5000 E Spring St.
Long Beach, CA 90815-1270
7282 Plantation Rd., Su 102
Pensacola, FL 32504-6331
1111 Northshore Dr. Su 1305
Knoxville, Tennessee 37919
Suite 150
6400 Shafer Court
Rosemont, IL 60018
1590 Eisenhower Pl.
Ann Arbor, MI 48108-3284
25 Braintree Hill Park
Braintree, MA 02184
8910 University Center Ln. Suite 200
San Diego, CA 92122
655 Metro Place S., Suite 130
Dublin, Ohio 43017
Suite 202
4305 South Louise
Sioux Falls, SD 57106
860 Blue Gentian Rd. Su 145
Eagan, MN 55121-1564
Su 235 Bldg. L 4600 Kietzke Lane
Reno, NV 89502
10800 Financial Ctr. Pk., Su 200
Little Rock, AR 72211-3554
Suite 530
1999 S. Bascom Ave
Campbell, CA 95008
7979 E. Tufts Ave. Pkwy.
Suite 715
Denver, CO 80237-2846
Islandia Pavilion
1377 Motor Parkway
Hauppauge, NY 11788
900 Long Lake Dr. Su 300
New Brighton, MN 55112-6440
860 Airport Freeway West
Hurst, TX 76054
6370 Magnolia Ave., Su 300
Riverside, CA 92506-2407
9200 Keystone E. Crossing, Su 100
Indianapolis, IN 46240-4699
6045 Rockwell Dr. NE
Cedar Rapids, IA 52402-7204
333 East River Drive
East Hartford, CT 06108-4200
2710 Gateway Oaks Dr., Su 105
Sacramento, CA 95833-3505
Suite 300
111 Franklin Road
Roanoke, VA 24011
5700 Corporate Dr., Su 650
Pittsburgh, PA 15237-5829
Linthicum, MD 21090
10101 Reunion Pl., Su 100
San Antonio, TX 78216-4165
499 Thornall St.
Edison, NJ 08837-2235
Osborne Office Center, Su 602
Chattanooga, Tennessee 37411
4220 Edison Lakes Pkwy., Su 201
Mishawaka, IN 46545-1420
250 Old Wilson Bridge, Su 120/15
Worthington, OH 43085-2215
8301 E 21st St.
Wichita, KS 67206-2932
11835 W. Olympic Blvd.
Los Angeles, CA 90064
200 Meridian Ctr., Su 230
Rochester, NY 14618-3971
5100 Poplar Ave.
Memphis, TN 38137-4000
10110 Nicolas St., Su 200
Omaha, NE 68114

553089

Attachment
FEI-41-0973005

553039

Byron T. Knuth	Field Vice President	31555 W 14 Mile Rd., Su 300 Farmington Hills, MI 48334-1288
Bruce A. Krarup	Field Vice President	6000 Freedom Sq. Dr., Su 300 Cleveland, OH 44131-2547
Craig D. Laday	Field Vice President	100 Overlook Str., Su 410 Princeton, NJ 08540-7814
Craig S. Landers	Field Vice President-Veteran Advisor Development	3200 E Camelback, Su 129 Phoenix, AZ 85018-2397
Michael E. Lawson	Field Vice President	6000 28th Street SE Suite 200 Grand Rapids, MI 49546
Tom Lozanoski	Field Vice President	270 E 90th Dr. Merrillville, IN 46410-8102
Mark A. Lurz	Field Vice President - New Advisor Development	5217 Monroe St. A1 Toledo, OH 43623-4604
John F. Lynch	Field Vice President	Suite 100 575 D'Onofrio Drive Highpoint Office Park Madison, WI 53719
Eugene Lynn	Field Vice President	3951 Westerre Pkwy, S., Suite 250 Richmond, VA 23233-1317
Matthew B. Lytell	Field Vice President	Suite 650 140 Stoneridge Drive Columbia, SC 29210
William T Martin	Field Vice President	100 Summit Lk. Dr. Valhalla, NY 10595-1339
Daniel R. Masiello	Field Vice President	140 Broadway Fl 43 New York, NY 10005-1101
Dean O. McGill	Field Vice President	Kews Garden, NY 11415 1333 North California Blvd Suite 200 Walnut Creek, CA 94596
Steven R. Merenda	Field Vice President	800 N. Magnolia Ave., Suite 1700 Orlando, FL 32803-3247
Glenn D. Michaels	Field Vice President	5151 East Broadway Su300 Tucson, AZ 85711
Scott M. Miller	Field Vice President	2650 Military Tr., Two Fountain Square, Ste Boca Raton, FL 33431
Francis W. Mossett III	Field Vice President	6800 College Blvd. Suite 500 Overland Park, KS 66211-1533
Alvin D. Murtha	Field Vice President	5511 Capital Center Drive Su 100 Raleigh, NC 27606
James H. Navone	Field Vice President	101 Elliott Avenue West Su 100 Seattle, WA 98119
Homer L. Nottingham	Field Vice President	300 Esplanade Drive Su 1450 Oxnard, CA 93030
Patrick H. O'Connell	Field Vice President	200 Bellevue Parkway Bellevue Park Corp Ctr Wilmington, DE 19809
Geoffery Oprandy	Field Vice President	200 Barr Harbor Drive Suite 100 West Conshohocken, PA 19428-2960
Richard Ormond	Field Vice President	210 Gateway Greentree Ct., Suite 342 Lincoln, NE 68505
Stephen R. Palen	Field Vice President	207 Hwy 52 N Rochester, MN 55901
William A. Peddie	Field Vice President	910 Brooks St., Su 201 Missoula, MT 59801-5776
Ron C. Penney, Jr.	Field Vice President	The Hammons Tower 901 St. Louis Dr. Springfield, MO 65806
Calvin J. Perry	Field Vice President	Suite 255 900 Wilshire Drive Troy, MI 48084
Mary Lee Pierce	Field Vice President	6565 Americas Parkway NE, Suite 350 Albuquerque, NM 87110
William R. Polenske	Field Vice President	300 Mallard Drive Suite 170 Boise, ID 83706
John G. Poole	Field Vice President	1500 Urban Center Drive Suite 200 Birmingham, AL 35242
Clifford B. Powers	Field Vice President	4190 Belfort Road, Suite 320 Jacksonville, FL 32216

Robert Priest	Field Vice President
Allan J. Proske	Field Vice President
Jeffrey S. Ramsey	Field Vice President
Jerome D. Rasner	Field Vice President
Michael J. Reardon	Field Vice President
John D. Rehani	Field Vice President
Mark R. Robinson	Field Vice President
Frederick C. Roufs	Field Vice President
Francis M. Rouquette III	Field Vice President
Brian L. Rucks	Field Vice President
Raphael Rueter	Field Vice President
Valentino A. Scaramuzzo	Field Vice President
Steve Scharback	Field Vice President
Uwe F. Schweigert	Field Vice President-New Advisor Development
Anthony D. Scott	Field Vice President
John M. Selzer	Field Vice President
Albert W. Sharp	Field Vice President- Veteran Advisor Development
Randall K. Shiffer	Field Vice President
Phillip A. Simonides	Field Vice President
Bette Skandalis	Field Vice President
Brian P. Sommer	Field Vice President
Albert L. Soule	Field Vice President
William E. Steinke	Field Vice President
Barry L. Stockdale	Field Vice President
James L. Stolze	Field Vice President
Mary E. Terry	Field Vice President
Paul D. Tiller	Field Vice President
Thomas R. Titus	Field Vice President
Thomas A. Trotta	Field Vice President- New Advisor Development
Jimmy R. Turner	Field Vice President
Alan H. Ufland	Field Vice President
John K. Ulwick	Field Vice President
Janet M. Vandembark	Field Vice President

Attachment
 FEI-41-0973005
 5550 Merrick Rd., Su 200
 Massapeque, NY 11758-6238
 100 Princeton Overlook Ctr.
 Suite 410
 Princeton, NJ 08540-7814
 200 AXP Financial Center
 Minneapolis, MN 55474
 2012 Tenth Street
 Menominee, MI 49858
 1105 Laurel Oaks Rd.
 Voorhees, NJ 08043

553039

901 St. Louis Drive
 The Hammons Tower
 Springfield, MO 65806
 101 Elliot Ave. W., Su 100
 Seattle, WA 98119-4293
 117 East Hickory Street
 Mankato, MN 56001
 14800 Landmark Blvd. Su 800
 Dallas, TX 75240-7500
 1933 N Meacham Rd., Su 280
 Schaumburg, IL 60173
 Suite 500
 6800 College Blvd
 Overland, KS 66211
 1120 Avenue of the Americas
 19th Floor
 New York, NY 10036
 188 106th Avenue N.E.
 Bellevue, WA 98004
 7300 Camel Exec., Su 300
 Charlotte, NC 28226-3626
 325 Essay Rd., Su 410
 Williamsville, NY 14221-8214
 Suite 120
 15800 West Bluemound Road
 Brookfield, WI 53005
 600 Freedom Sq. Dr., Su 300
 Cleveland, OH 44131-2547
 3500 Market Street, Suite 200
 Camp Hill, PA 17011
 8045 Leesburg Pike, Suite 500
 Vienna, VA 22182-2796
 Two Constitution Plaza
 Boston, MA 02129-2032
 2469 Woodlake Circle Suite 200
 Okemos, MI 48864
 3109 W. Dr. Martin Luther King Blvd
 Suite 150
 Tampa, FL 33607
 4210 Metro Pkwy., Su 230
 Fort Myers, FL 33916-9409
 860 Airport Freeway W., Suite 401
 Hurst, TX 76054-3249
 Bldg 1 Ste 430
 4055 Monroeville Blvd
 Corporate One Office Park
 Monroeville, PA 15146
 2600 Westown Pkwy., Su 110
 West Des Moines, IA 50266-7301
 5029 Corporate Woods, Su 190
 Virginia Beach, VA 23462-4376
 950 Windham Court, Su 7
 Youngstown, OH 44512
 3131 Newmark Dr., Su 247
 Miamisburg, OH 45342-5400
 3030 Northwest Expressway
 Suite 900
 Oklahoma City, OK 73112-5404
 1764 Litchfield Tpke., Su 305
 Woodbridge, CT 06525-2353
 1671 Worcester Road
 Framingham, MA 01701
 3200 Northline Ave.
 Suite 235
 Greensboro, NC 27408-7611

Attachment
41-0973005
FEI
8045 Leesburg Pike
Suite 500
Vienna, VA 22182
Suite 300
31555 W. Fourteen Mile Road
553039

[illegible]

Attachment
FEI-41-097300S
200 AXP Financial Center

[illegible]

653039

Connie Zimmerman

Lori J. Anshus

Michael H. Gilmore

John D. Koslow

Judd K. Lohmann

Julia K. Morton

Barbara M. Ostlund

Michael J. Perkins

Lois Pomerenk

Steven J. Ritter

Thomas L. Smith

Richard E. Sturgis

Leslie R. Tvedt

Gary C. Ziemer

Assistant Secretary

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Assistant Treasurer

Attachment
FE 41-0973005

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

200 AXP Financial Center

Minneapolis, MN 55474

553039