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PROFIT
CORPORATION
ANNUAL REPORT
1997



FLORIDA DEPARTMENT OF STATE
Sandra B. Mortham
Secretary of State
DIVISION OF CORPORATIONS

FILED
Feb 19 1997 8:00am
Secretary of State

DOCUMENT # 858293 (4)

1. Corporation Name
AMERICAN EXPRESS FINANCIAL CORPORATION

Principal Place of Business

IDS TOW 10, TAX DEPT.
UNIT ONLY S/B #1162
MINNEAPOLIS MN 55458-1128

Mailing Address

IDS TOW 10, TAX DEPT.
UNIT ONLY S/B #1162
MINNEAPOLIS MN 55458

3. Date Incorporated or Qualified

11/01/1983

3a. Date of Last Report

02/06/1996

2. Principal Place of Business

21

2a. Mailing Address

26

Suite, Apt. #, etc.

Unit 1163

Suite, Apt. #, etc.

Unit 1163

City & State

23

City & State

28

Zip

Country

25

Zip

Country

30

4. FEI Number

13-3180631

Applied For

Not Applicable

5. Certificate of Status Desired

☐ \$8.75 Additional
Fee Required

6. Election Campaign Financing
Trust Fund Contribution

☐ \$5.00 May Be
Added to Fees

8. This corporation has liability for intangible tax under s. 199.032,
Florida Statutes

☐ Yes ☒ No

9. Name and Address of Current Registered Agent

CT CORPORATION SYSTEM
1200 S. PINE ISLAND ROAD
PLANTATION FL 33324

10. Name and Address of New Registered Agent

81 Name

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

83

84 City

FL

85 Zip Code

11. Pursuant to the provisions of Sections 607.0502 and 607.1508, Florida Statutes, the above-named corporation submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida. Such change was authorized by the corporation's board of directors. I hereby accept the appointment as registered agent. I am familiar with, and accept the obligations of, Section 607.0505, Florida Statutes.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

12. OFFICERS AND DIRECTORS

TITLE ☐ DELETE

P
NAME HUBERS, DAVID R.
STREET ADDRESS 72 EAST GOLDEN LAKE RD
CITY - ST - ZIP CIRCLE PINES MN

TITLE ☐ DELETE

V
NAME EID, G.L.
STREET ADDRESS 2900 IDS TOWER
CITY - ST - ZIP MINNEAPOLIS MN

TITLE ☐ DELETE

S
NAME MEEHAN, TIMOTHY S.
STREET ADDRESS IDS TOWER 10
CITY - ST - ZIP MINNEAPOLIS MN

TITLE ☐ DELETE

T
NAME GOODWIN, JR., MORRIS
STREET ADDRESS 2021 EMERSON AVE. MORRIS
CITY - ST - ZIP MINNEAPOLIS MN

TITLE ☐ DELETE

D
NAME HUBERS, DAVID R.
STREET ADDRESS 72 EAST GOLDEN LAKE RD
CITY - ST - ZIP MINNEAPOLIS MN

TITLE ☐ DELETE

V
NAME HOWE, K.P.
STREET ADDRESS 1763 LANSFORD LANE
CITY - ST - ZIP ST. PAUL MN

13. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 12

1.1 TITLE ☐ Change ☐ Addition

1.2 NAME

1.3 STREET ADDRESS

1.4 CITY - ST - ZIP

2.1 TITLE ☐ Change ☐ Addition

2.2 NAME

2.3 STREET ADDRESS

2.4 CITY - ST - ZIP

3.1 TITLE ☐ Change ☐ Addition

3.2 NAME

3.3 STREET ADDRESS

3.4 CITY - ST - ZIP

4.1 TITLE ☐ Change ☐ Addition

4.2 NAME

4.3 STREET ADDRESS

4.4 CITY - ST - ZIP

5.1 TITLE ☐ Change ☐ Addition

5.2 NAME

5.3 STREET ADDRESS

5.4 CITY - ST - ZIP

6.1 TITLE ☐ Change ☐ Addition

6.2 NAME

6.3 STREET ADDRESS

6.4 CITY - ST - ZIP

14. I do 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 annual report or supplemental annual 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 12 or Block 13, if changed, or on an attachment with an address.

SIGNATURE:

Signature and typed or printed name of signing officer or director

Date

Daytime Phone #

Assistant Treasurer

CR2E034 (9/96)

AMERICAN EXPRESS FINANCIAL CORPORATION

1/97

Directors

Peter J. Anderson	Peter A. Lefferts
Karl Jan Breyer	Douglas A. Lennick
James E. Choat	Jonathon S. Linen
William H. Dudley	James A. Mitchell
Gordon L. Eld	Barry J. Murphy
Harvey Golub	Erven A. Samsel
David R. Hubers	John R. Thomas
Marietta L. Johns	Melinda S. Urion
Susan D. Kinder	Norman Weaver Jr.
Richard W. Kling	William N. Westhoff
Steven C. Kumagai	Michael R. Woodward

Officers

Name	Title	Business Address
David R. Hubers	President and Chief Executive Officer	IDS Tower 10 Minneapolis, MN 55440
William H. Dudley	Executive V.P. - Investment Operations	IDS Tower 10 Minneapolis, MN 55440
Douglas A. Lennick	Executive Vice President-Private Client Group	IDS Tower 10 Minneapolis, MN 55440
James A. Mitchell	Executive Vice President-Marketing and Products	IDS Tower 10 Minneapolis, MN 55440
Peter J. Anderson	Senior Vice President Investments	IDS Tower 10 Minneapolis, MN 55440
Karl J. Breyer	Sr. Vice President-Corporate Affairs and General Counsel	IDS Tower 10 Minneapolis, MN 55440
James E. Choat	Senior Vice President-Field Management	IDS Tower 10 Minneapolis, MN 55440
Gordon L. Eld	Sr. Vice President and Deputy General Counsel	IDS Tower 10 Minneapolis, MN 55440
Marietta L. Johns	Sr. Vice President - Field Management	801 East Campbell Road Richardson, TX 75081
Susan D. Kinder	Senior Vice President - Human Resources	IDS Tower 10 Minneapolis, MN 55440
Richard W. Kling	Senior Vice President-Products	IDS Tower 10 Minneapolis, MN 55440
Steven C. Kumagai	Sr. Vice President-Field Management and Business Systems	IDS Tower 10 Minneapolis, MN 55440
Peter A. Lefferts	Senior Vice President- Corporate Strategy and Development	IDS Tower 10 Minneapolis, MN 55440
Barry J. Murphy	Senior Vice President-Client Service	IDS Tower 10 Minneapolis, MN 55440
Erven A. Samsel	Senior Vice President-Field Management	IDS Tower 10 Minneapolis, MN 55440
John R. Thomas	Senior Vice President - Information and Technology	IDS Tower 10 Minneapolis, MN 55440
Melinda S. Urion	Senior Vice President and Chief Financial Officer	IDS Tower 10 Minneapolis, MN 55440
Norman Weaver Jr.	Senior Vice President-Field Management	18109 Bookhurst St. Fountain Valley, CA 92708
William N. Westhoff	Senior Vice President-Global Investments	IDS Tower 10 Minneapolis, MN 55440
Michael R. Woodward	Senior Vice President-Field Management	32 Elliott St. Suite 100 Batavia, NY 14020
Ronald G. Abrahamson	Vice President-Service Quality & Reengineering	IDS Tower 10 Minneapolis, MN 55440
Douglas A. Alger	Vice President - Field Compensation & Administration	IDS Tower 10 Minneapolis, MN 55440
Ward D. Armstrong	V.P.-Sales & Mktg. IDS Institutional Retirement Svcs.	IDS Tower 10 Minneapolis, MN 55440
John M. Baker	Vice President-Plan Sponsor Services	IDS Tower 10 Minneapolis, MN 55440

Joseph M. Barsky III	Vice President-	IDS Tower 10
Robert Basten	Sr. Portfolio Manager	Minneapolis, MN 55440
Timothy V. Bechtold	Vice President-Tax and Business Services	IDS Tower 10
Alan F. Bignall	Vice President-Risk Management Products	Minneapolis, MN 55440
John C. Boeder	Vice President - Technology & Development	IDS Tower 10
Daniel J. Candura	Vice President-Mature Market Group	Minneapolis, MN 55440
Cynthia M. Carlson	Vice President-Marketing Support	IDS Tower 10
Orlison Y. Chaffee III	Vice President-IDS Securities Services	Minneapolis, MN 55440
Kenneth J. Ciak	Vice President - Field Real Estate	IDS Tower 10
Colleen Curran	VP and General Manager - IDS Property Casualty	Minneapolis, MN 55440
Regenia David	Vice President & Assistant General Counsel	IDS Tower 10
Luz Marie Davis	Vice President-Systems Services	Minneapolis, MN 55440
Robert M. Elconin	Vice President-Communications	IDS Tower 10
Mark A. Ernst	Vice President-Government Relations	Minneapolis, MN 55440
Gordon M. Fines	Vice President - Retail Sales	IDS Tower 10
Douglas L. Forsberg	Vice President - Mutual Fund Equity Investments	Minneapolis, MN 55440
Jeffrey P. Fox	Vice President- Institutional Products Group	IDS Tower 10
John J. Golden	Vice President and Corporate Controller	Minneapolis, MN 55440
Morris Goodwin, Jr.	Vice President -Human Resources Planning and Field Support	IDS Tower 10
Suzanne Graf	Vice President and Corporate Treasurer	Minneapolis, MN 55440
David A. Hammer	Vice President- Systems Services	IDS Tower 10
Lorraine R. Hart	Vice President and Marketing Controller	Minneapolis, MN 55440
Scott A. Hawkinson	Vice President - Insurance Investments	IDS Tower 10
James G. Hirsh	Vice President-Assured Assets Product Development & Management	Minneapolis, MN 55440
Michael J. Hogan	Vice President & Assistant General Counsel	IDS Tower 10
Darryl G. Horsman	Vice President-Variable Assets	Minneapolis, MN 55440
Kevin P. Howe	V.P.-Product Devel. & Tech., IDS Institutional Retirement Svcs.	IDS Tower 10
James M. Jensen	V.P.-Government & Customer Relations and Chief Compliance Officer	Minneapolis, MN 55440
James E. Kaarre	Vice President-Life Products	IDS Tower 10
Mathew N. Karstetter	Vice President-	Minneapolis, MN 55440
Linda B. Keene	Marketing Promotions	IDS Tower 10
Michael G. Kennedy	Vice President-Investment Accounting	Minneapolis, MN 55440
Paul F. Kolkman	Vice President-Market Development	IDS Tower 10
Claire Kolmodin	Vice President-Investment Services and Investment Research	Minneapolis, MN 55440
Edward Labenski Jr.	Vice President - Actuarial Finance	IDS Tower 10
Kurt A. Larson	Vice President - Service Quality	Minneapolis, MN 55440
Lori J. Larson	Vice President - Senior Portfolio Manager	IDS Tower 10
Ryan R. Larson	Vice President - Senior Portfolio Manager	Minneapolis, MN 55440
Daniel E. Laufenberg	Vice President-Variable Assets Product Development	IDS Tower 10
	Vice President-IPG Product Development	Minneapolis, MN 55440
	Vice President-	IDS Tower 10
	Chief U.S. Economist	Minneapolis, MN 55440

Richard J. Lazarchic	Vice President-Senior Portfolio Manager	IDS Tower 10 Minneapolis, MN 55440
Mary J. Malevich	Vice President - Senior Portfolio Manager	IDS Tower 10 Minneapolis, MN 55440
Fred A. Mandell	Vice President-Field Marketing Readiness	IDS Tower 10 Minneapolis, MN 55440
William J. McKinney	Vice President - Field Management Support	IDS Tower 10 Minneapolis, MN 55440
Thomas W. Medcalf	Vice President Senior Portfolio Manager	IDS Tower 10 Minneapolis, MN 55440
William C. Melton	Vice President-Internl. Reser. & Chief Internl. Economist	IDS Tower 10 Minneapolis, MN 55440
Pamela J. Moret	Vice President-Retail Services	IDS Tower 10 Minneapolis, MN 55440
Mary Owens Neal	Vice President- Mature Market	IDS Tower 10 Minneapolis, MN 55440
Robert J. Neis	Vice President - Technology Services	IDS Tower 10 Minneapolis, MN 55440
James R. Palmer	Vice President - Taxes	IDS Tower 10 Minneapolis, MN 55440
Carla P. Pavone	Vice President-Specialty Service Teams & Emerging Business	IDS Tower 10 Minneapolis, MN 55440
Susan B. Plimpton	Vice President-Segmentation Development and Support	IDS Tower 10 Minneapolis, MN 55440
Ronald W. Powell	Vice President and Assistant General Counsel	IDS Tower 10 Minneapolis, MN 55440
James M. Punch	Vice President- Geographical Service Teams	IDS Tower 10 Minneapolis, MN 55440
Frederick C. Quirsfeld	Vice President - Taxable Mutual Fund Investments	IDS Tower 10 Minneapolis, MN 55440
Debra J. Rabe	Vice President- Financial Planning	IDS Tower 10 Minneapolis, MN 55440
ReBecca K. Roloff	Vice President - Private Client Group	IDS Tower 10 Minneapolis, MN 55440
Stephen W. Roszell	Vice President - Advisory Institutional Marketing	IDS Tower 10 Minneapolis, MN 55440
John P. Ryan	Vice President and General Auditor	IDS Tower 10 Minneapolis, MN 55440
Stuart A. Sediacek	Vice President- Assured Assets	IDS Tower 10 Minneapolis, MN 55440
Donald K. Shanks	Vice President- Property Casualty	IDS Tower 10 Minneapolis, MN 55440
Francis Dale Simmons	V.P.-Sr.Portfolio Mgr Insurance Investments	IDS Tower 10 Minneapolis, MN 55440
Judy P. Skoglund	V.P.-Human Resources & Organization Development	IDS Tower 10 Minneapolis, MN 55440
Ben C. Smith	Vice President- Workplace Marketing	IDS Tower 10 Minneapolis, MN 55440
William A. Smith	Vice President and Controller- Private Client Group	IDS Tower 10 Minneapolis, MN 55440
Bridget Spertl	Vice President - Human Resources Management Services	IDS Tower 10 Minneapolis, MN 55440
William A. Stoltzmann	Vice President and Assistant General Counsel	IDS Tower 10 Minneapolis, MN 55440
James J. Strauss	Vice President - Corporate Planning and Analysis	IDS Tower 10 Minneapolis, MN 55440
Jeffrey J. Stremcha	Vice President- Information Resource Management/ISD	IDS Tower 10 Minneapolis, MN 55440
Barbara Stroup Stewart	Vice President-Corporate Reengineering	IDS Tower 10 Minneapolis, MN 55440
Wesley W. Wadman	Vice President - Senior Portfolio Manager	IDS Tower 10 Minneapolis, MN 55440
Michael L. Weiner	Vice President- Tax Research and Audit	IDS Tower 10 Minneapolis, MN 55440
Lawrence J. Welte	Vice President-Investment Administration	IDS Tower 10 Minneapolis, MN 55440
Jeffry F. Welter	Vice President-Equity & Fixed Income Trading	IDS Tower 10 Minneapolis, MN 55440
Edwin M. Wistrand	Vice President & Asst. General Counsel	IDS Tower 10 Minneapolis, MN 55440
Timothy S. Meehan	Secretary	IDS Tower 10 Minneapolis, MN 55440
Nancy R. Hughes	Assistant Vice President	IDS Tower 10 Minneapolis, MN 55440
Catherine G. Madden	Assistant Vice President	IDS Tower 10 Minneapolis, MN 55440
Eileen J. Newhouse	Assistant Vice President	IDS Tower 10 Minneapolis, MN 55440

Teresa J. Rasmussen	Assistant Vice President	IDS Tower 10 Minneapolis, MN 55440
Millie Acamovic	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Doris A. Anfinson	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Susan L. Bauer-Dominik	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Karen J. Brajdich	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Thomas J. Colling	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Kathleen A. Connov	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Margaret A. Coyle	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Mary M. Davy	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Dawn E. Doboszinski	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Shelly A. Egelkraut	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Rodney W. England	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Janet M. Foster	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Bonnie L. Goodner	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Beverly A. Heger	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Thomas F. Kelly	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Shirley J. Lueck	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Brian J. Midthun	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Mary Jo Olson	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Thomas E. Pavey	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Michael J. Perkins	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Karma C. Ryals	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Christy L. Sargent	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Joanne Schendel	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Betty J. Seiffert	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Joyce M. Snyder	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Amanda Soular-Evans	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Darlene A. Vicurn	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Margaret D. Walter	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440
Robert Erdman	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Peter A. Gailus	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Margaret M. McGrath	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Mary A. McKeen	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Barbara M. Ostlund	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Steven R. Ritter	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Richard L. Solseth	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Gregg A. Syverson	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Leslie R. Tvedt	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440
Gary C. Ziemer	Assistant Treasurer	IDS Tower 10 Minneapolis, MN 55440

Members of the Executive Committee

Harvey Golub
David R. Hubers

Members of the Dividend Committee

David R. Hubers
Melinda S. Urion