

# 2000 UNIFORM BUSINESS REPORT (UBR)

DOCUMENT # 858293

1. Entity Name

AMERICAN EXPRESS FINANCIAL CORPORATION

FILED  
Apr 03, 2000 8:00 am  
Secretary of State

04-03-2000 90141 024 \*\*\*150.00

Principal Place of Business

Mailing Address

IDS TOW 10. TAX DEPT.  
UNIT 1163  
MINNEAPOLIS MN 55458-1128  
US

~~IDS TOW 10. TAX DEPT.~~  
~~UNIT 1163~~  
~~MINNEAPOLIS MN 55458~~  
US

1163 AXP Financial  
Minneapolis, MN



DO NOT WRITE IN THIS SPACE

2. Principal Place of Business

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

4. FEI Number

13-3180631

Applied For

Not Applicable

Zip

Country

Zip

Country

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

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

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, 2000 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  
P  
HUBERS, DAVID R.  
72 EAST GOLDEN LAKE RD  
CIRCLE PINES MN ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

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

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

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

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
T  
HORTON, JEFFREY S.  
IDS TOWER 10  
MINNEAPOLIS MN 55440 ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

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

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
VP  
ARMSTRONG, WARD D.  
IDS TOWER 10  
MINNEAPOLIS MN 55440 ☐ Delete

TITLE  
NAME  
STREET ADDRESS  
CITY - ST - ZIP  
☐ Change ☐ Addition

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:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CR2E034 (9/99)

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|                        |                     |
|------------------------|---------------------|
| Doris A. Anfinson      | Assistant Secretary |
| Susan L. Bauer-Dominik | Assistant Secretary |
| Gary L. Bergeson       | Assistant Secretary |
| Karen J. Brajdich      | Assistant Secretary |
| Kathleen A. Connoy     | Assistant Secretary |
| Margaret A. Coyle      | Assistant Secretary |
| Mary M. Davy           | Assistant Secretary |
| Marlene M. Dehart      | Assistant Secretary |
| Dawn E. Doboszinski    | Assistant Secretary |
| Shelly A. Egelkraut    | Assistant Secretary |
| Rodney W. England      | Assistant Secretary |
| Janet M. Foster        | Assistant Secretary |
| Martin Harris          | Assistant Secretary |
| Beverly A. Heger       | Assistant Secretary |
| Danielle M. Kassmir    | Assistant Secretary |
| Thomas F. Kelly        | Assistant Secretary |
| Kimberly A. LaPlante   | Assistant Secretary |
| Shirley J. Lueck       | Assistant Secretary |
| Debra K. McKinnon      | Assistant Secretary |
| Mary Jo Olson          | Assistant Secretary |
| Thomas E. Pavey        | Assistant Secretary |
| Michael J. Perkins     | Assistant Secretary |
| Karma C. Ryals         | Assistant Secretary |
| Christy L. Sargent     | Assistant Secretary |
| Keith H. Schaumann     | Assistant Secretary |
| Joanne Schendel        | Assistant Secretary |
| Paul Schneider         | Assistant Secretary |
| Betty J. Seiffert      | Assistant Secretary |
| Joyce M. Snyder        | Assistant Secretary |
| Amanda Soular-Evans    | Assistant Secretary |
| Darlene A. Vicurn      | Assistant Secretary |
| Margaret D. Walter     | Assistant Secretary |
| Lori J. Anshus         | Assistant Treasurer |
| Robert Erdman          | Assistant Treasurer |
| Beth E. Florey         | Assistant Treasurer |
| Peter A. Gallus        | Assistant Treasurer |
| John D. Koslow         | Assistant Treasurer |
| Barbara M. Ostlund     | Assistant Treasurer |
| Lois Pomerenk          | Assistant Treasurer |

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|                    |                     |
|--------------------|---------------------|
| Steven J. Ritter   | Assistant Treasurer |
| Richard L. Solseth | Assistant Treasurer |
| Gregg A. Syverson  | Assistant Treasurer |
| Leslie R. Tvedt    | Assistant Treasurer |
| Gary C. Ziemer     | Assistant Treasurer |

IDS Tower 10  
Minneapolis, MN 55440  
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Members of the Executive Committee

Kenneth I. Chenault  
Harvey Golub  
David R. Hubers

Members of the Dividend Committee

David R. Hubers  
Stuart A. Sedlacek

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AMERICAN EXPRESS FINANCIAL CORPORATION

1/00

Directors

|                     |                        |
|---------------------|------------------------|
| Doug A. Alger       | Peter A. Lefferts      |
| Peter J. Anderson   | Douglas A. Lennick     |
| Karl Jan Breyer     | Pamela J. Moret        |
| Mark W. Carter      | Barry J. Murphy        |
| Kenneth I. Chenault | Thomas P. Perrine      |
| James E. Choat      | Frederick C. Quirsfeld |
| Gordon L. Eid       | ReBecca K. Roloff      |
| Harvey Golub        | Steven W. Roszell      |
| Teresa A. Hanratty  | Erven A. Samsel        |
| Brian M. Heath      | Stuart A. Sedlacek     |
| David R. Hubers     | Norman Weaver Jr.      |
| Marietta L. Johns   | William N. Westhoff    |
| Richard W. Kling    | Michael R. Woodward    |
| Steven C. Kumagai   |                        |

Officers

| Name                   | Title  | Business Address                               |
|------------------------|--|--|
| David R. Hubers        | President and Chief Executive Officer                                | IDS Tower 10<br>Minneapolis, MN 55440          |
| Douglas A. Lennick     | Executive Vice President-Private Client Group                        | IDS Tower 10<br>Minneapolis, MN 55440          |
| Peter J. Anderson      | Senior Vice President - Investment Operations                        | IDS Tower 10<br>Minneapolis, MN 55440          |
| Karl J. Breyer         | Sr. Vice President-Corporate Affairs and General Counsel             | IDS Tower 10<br>Minneapolis, MN 55440          |
| Mark W. Carter         | Sr. Vice President and Chief Marketing Officer                       | IDS Tower 10<br>Minneapolis, MN 55440          |
| James E. Choat         | Senior Vice President-Third Party Distribution                       | IDS Tower 10<br>Minneapolis, MN 55440          |
| Gordon L. Eid          | Sr. Vice President - General Counsel and Chief Compliance Officer    | IDS Tower 10<br>Minneapolis, MN 55440          |
| Teresa A. Hanratty     | Sr. Vice President-Field Management                                  | IDS Tower 10<br>Minneapolis, MN 55440          |
| Brian M. Heath         | Sr. Vice President and General Sales Manager                         | IDS Tower 10<br>Minneapolis, MN 55440          |
| Marietta L. Johns      | Sr. Vice President - Field Management                                | 801 East Campbell Road<br>Richardson, TX 75081 |
| Richard W. Kling       | Senior Vice President - Insurance Products                           | IDS Tower 10<br>Minneapolis, MN 55440          |
| Steven C. Kumagai      | Sr. Vice President-Direct and Interactive Group                      | IDS Tower 10<br>Minneapolis, MN 55440          |
| Peter A. Lefferts      | Senior Vice President- Corporate Strategy and Development            | IDS Tower 10<br>Minneapolis, MN 55440          |
| Pamela J. Moret        | Senior Vice President Investment Products                            | IDS Tower 10<br>Minneapolis, MN 55440          |
| Barry J. Murphy        | Senior Vice President-Client Service                                 | IDS Tower 10<br>Minneapolis, MN 55440          |
| Thomas P. Perrine      | Sr. VP - Group Relationship Leader/AXP Technologies Financial Serv.  | IDS Tower 10<br>Minneapolis, MN 55440          |
| Frederick C. Quirsfeld | Sr. Vice President - Fixed Income                                    | IDS Tower 10<br>Minneapolis, MN 55440          |
| ReBecca K. Roloff      | Sr. Vice President - Field Management and Financial Advisory Service | IDS Tower 10<br>Minneapolis, MN 55440          |
| Stephen W. Roszell     | Sr. Vice President - Institutional                                   | IDS Tower 10<br>Minneapolis, MN 55440          |
| Erven A. Samsel        | Senior Vice President-   | IDS Tower 10                                   |

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|----------------------|--|---|
| Stuart A. Sedlacek   | Field Management<br>Senior Vice President and<br>Chief Financial Officer | Minneapolis, MN 55440<br>IDS Tower 10                                     |
| Norman Weaver Jr.    | Senior Vice President-<br>Alliance Group                                 | Minneapolis, MN 55440<br>18109 Bookhurst St.<br>Fountain Valley, CA 92708 |
| Michael R. Woodward  | Senior Vice President-<br>Field Management                               | 32 Elliott St. Suite 100<br>Batavia, NY 14020                             |
| Ronald G. Abrahamson | Vice President-Service Quality<br>& Reengineering                        | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Douglas A. Alger     | Vice President - Human Resources   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Ward D. Armstrong    | Vice President-American Express<br>Institutional Services                | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| John M. Baker        | Vice President-Plan Sponsor<br>Services                                  | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Joseph M. Barsky III | Vice President-<br>Mutual Fund Equities                                  | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Timothy V. Bechtold  | Vice President-Risk Management<br>Products                               | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| John C. Boeder       | Vice President - Nonproprietary Products                                 | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Douglas Brewers      | Vice President - Sales Support   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Daniel J. Candura    | Vice President-Marketing<br>Support                                      | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Cynthia M. Carlson   | Vice President-IDS Securities<br>Services                                | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Kenneth J. Ciak      | VP and General Manager -<br>IDS Property Casualty                        | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Paul A. Connolly     | Vice President - Retail Distribution<br>Services                         | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Colleen Curran       | Vice President & Assistant<br>General Counsel                            | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Luz Marie Davis      | Vice President-Communications  | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Douglas K. Dunning   | Vice President - Assured Assets Product<br>Development & Management      | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Robert M. Elconin    | Vice President-Government<br>Relations                                   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Gordon M. Fines      | Vice President -<br>Mutual Fund Equity Investments                       | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Douglas L. Forsberg  | Vice President-International   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Jeffrey P. Fox       | Vice President and Corporate<br>Controller                               | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Peter A. Gallus      | Vice President-Investment Administration                                 | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| David A. Hammer      | Vice President and<br>Marketing Controller                               | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Lorraine R. Hart     | Vice President -<br>Insurance Investments                                | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Scott A. Hawkinson   | Vice President and Controller<br>Private Client Group                    | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Janis K. Heaney      | Vice President-Incentive<br>Management                                   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Darryl G. Horsman    | V.P.-Product Devel. & Tech., IDS<br>Institutional Retirement Svcs.       | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Jeffrey S. Horton    | Vice President and<br>Treasurer  | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Debra A. Hutchinson  | Vice President - Relationship Leader                                     | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| James M. Jensen      | Vice President-Advice and Retail<br>Distribution Group                   | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Nancy E. Jones       | Vice President - Business Development                                    | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Ora J. Kaine         | Vice President - Financial Advisory Services                             | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| James E. Kaarre      | Vice President-<br>Marketing Promotions                                  | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Linda B. Keene       | Vice President-Market<br>Development                                     | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| John M. Knight       | Vice President - Investment<br>Accounting                                | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Paul F. Kolkman      | Vice President -<br>Actuarial Finance                                    | IDS Tower 10<br>Minneapolis, MN 55440                                     |
| Claire Kolmodin      | Vice President -<br>Service Quality                                      | IDS Tower 10<br>Minneapolis, MN 55440                                     |

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|------------------------|--|---------------------------------------|
| Kurt A. Larson         | Vice President - Senior<br>Portfolio Manager                         | IDS Tower 10<br>Minneapolis, MN 55440 |
| Lori J. Larson         | Vice President - Brokerage and<br>Direct Services                    | IDS Tower 10<br>Minneapolis, MN 55440 |
| Daniel E. Laufenberg   | Vice President-<br>Chief U.S. Economist                              | IDS Tower 10<br>Minneapolis, MN 55440 |
| Mary J. Malevich       | Vice President -<br>Senior Portfolio Manager                         | IDS Tower 10<br>Minneapolis, MN 55440 |
| Fred A. Mandell        | Vice President-Distribution Channel<br>Marketing                     | IDS Tower 10<br>Minneapolis, MN 55440 |
| Timothy J. Masek       | Vice President and Director of<br>Global Research                    | IDS Tower 10<br>Minneapolis, MN 55440 |
| Sarah A. Mealey        | Vice President - Mutual Funds  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Paula R. Meyer         | Vice President -<br>Assured Assets                                   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Shasshank B. Modak     | Vice President - Technology Leader                                   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Mary Owens Neal        | Vice President-Consumer Marketing<br>Market                          | IDS Tower 10<br>Minneapolis, MN 55440 |
| Michael J. O'Keefe     | Vice President - Advisory<br>Business Systems                        | IDS Tower 10<br>Minneapolis, MN 55440 |
| James R. Palmer        | Vice President -<br>Taxes  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Carla P. Pavone        | Vice President-Compensation Services and<br>ARD Product Distribution | IDS Tower 10<br>Minneapolis, MN 55440 |
| Susan B. Plimpton      | Vice President - Marketing Services                                  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Ronald W. Powell       | Vice President and<br>Assistant General Counsel                      | IDS Tower 10<br>Minneapolis, MN 55440 |
| James M. Punch         | Vice President - Branded Platform Project                            | IDS Tower 10<br>Minneapolis, MN 55440 |
| Rollyn C. Renstrom     | Vice President - Corporate Planning<br>and Analysis                  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Theresa M. Sapp        | Vice President - Relationship Leader                                 | IDS Tower 10<br>Minneapolis, MN 55440 |
| Donald K. Shanks       | Vice President-<br>Property Casualty                                 | IDS Tower 10<br>Minneapolis, MN 55440 |
| Francis Dale Simmons   | V.P.-Sr.Portfolio Mgr<br>Insurance Investments                       | IDS Tower 10<br>Minneapolis, MN 55440 |
| Judy P. Skoglund       | Vice President - Quality and<br>Service Support                      | IDS Tower 10<br>Minneapolis, MN 55440 |
| Bridget Spertl         | Vice President - Geographic Service<br>Teams                         | IDS Tower 10<br>Minneapolis, MN 55440 |
| Lisa A. Steffes        | Vice President -<br>Marketing Offer Development                      | IDS Tower 10<br>Minneapolis, MN 55440 |
| William A. Stoltzmann  | Vice President and Assistant<br>General Counsel                      | IDS Tower 10<br>Minneapolis, MN 55440 |
| James J. Strauss       | Vice President and<br>General Auditor                                | IDS Tower 10<br>Minneapolis, MN 55440 |
| Jeffrey J. Stremcna    | Vice President-Information<br>Resource Management/ISD                | IDS Tower 10<br>Minneapolis, MN 55440 |
| Barbara Stroup Stewart | Vice President-Channel<br>Development                                | IDS Tower 10<br>Minneapolis, MN 55440 |
| Keith N. Tufte         | Vice President and Director of<br>Equity Research                    | IDS Tower 10<br>Minneapolis, MN 55440 |
| Michael L. Weiner      | Vice President- Tax Research<br>and Audit                            | IDS Tower 10<br>Minneapolis, MN 55440 |
| Jeffrey F. Welter      | Vice President-Equity & Fixed Income<br>Trading                      | IDS Tower 10<br>Minneapolis, MN 55440 |
| Edwin M. Wistrand      | Vice President &<br>Asst. General Counsel                            | IDS Tower 10<br>Minneapolis, MN 55440 |
| Michael D. Wolf        | Vice President - Senior<br>Portfolio Manager                         | IDS Tower 10<br>Minneapolis, MN 55440 |
| Timothy S. Meehan      | Secretary  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Nancy R. Hughes        | Assistant Vice President   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Catherine G. Madden    | Assistant Vice President   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Eileen J. Newhouse     | Assistant Vice President   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Teresa J. Rasmussen    | Assistant Vice President   | IDS Tower 10<br>Minneapolis, MN 55440 |
| Millie Acamovic        | Assistant Secretary  | IDS Tower 10<br>Minneapolis, MN 55440 |
| Bonnie Anderson        | Assistant Secretary  | IDS Tower 10<br>Minneapolis, MN 55440 |