

2001 UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 25, 2001 8:00 am
Secretary of State
 01-25-2001 90249 048 ***150.00

DOCUMENT # 858293

1. Entity Name
AMERICAN EXPRESS FINANCIAL CORPORATION

Principal Place of Business

Mailing Address

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

**1163 AXP FINANCIAL CENTER
 MINNEAPOLIS MN 55174
 US**

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 **13-3180631**

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

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

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	P HUBERS, DAVID R. 72 EAST GOLDEN LAKE RD CIRCLE PINES MN	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	V EID, G.L. 2900 IDS TOWER MINNEAPOLIS MN	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S MEEHAN, TIMOTHY S. IDS TOWER 10 MINNEAPOLIS MN	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	T HORTON, JEFFREY S. IDS TOWER 10 MINNEAPOLIS MN 55440	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D HUBERS, DAVID R. 72 EAST GOLDEN LAKE RD MINNEAPOLIS MN	<input checked="" type="checkbox"/> Delete
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP ARMSTRONG, WARD D. IDS TOWER 10 MINNEAPOLIS MN 55440	<input checked="" type="checkbox"/> Delete

TITLE NAME STREET ADDRESS CITY-ST-ZIP	P Hubers, David R. 200 AXP Financial Ctr Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP Eid, Gordon L. 200 AXP Financial Ctr. Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	S Meehan, Timothy S. 200 AXP Financial Ctr Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	T Horton, Jeffrey S. 200 AXP Financial Ctr Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	D Hubers, David R. 200 AXP Financial Ctr. Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> Addition
TITLE NAME STREET ADDRESS CITY-ST-ZIP	VP Armstrong, Ward D. 200 AXP Financial Ctr. Minneapolis, MN 55474	<input checked="" type="checkbox"/> Change <input type="checkbox"/> 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:

Steven J. Rutter

Assistant Treasurer

1/5/01

Date

(612) 671-2461

Daytime Phone #

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

CR2E034 (10/00)

AMERICAN EXPRESS FINANCIAL CORPORATION

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

attachment
D# 85829⁴⁰⁰
608803

Erverf A. Samset
Stuart A. Sedlacek
Norman Weaver Jr.
Michael R. Woodward
Ronald G. Abrahamson
Douglas A. Alger
John M. Baker
Joseph M. Barsky III
Timothy V. Bechtold
John C. Boeder
Douglas Brewster
Daniel J. Candura
Cynthia M. Carlson
Kenneth J. Ciak
Paul A. Connolly
Colleen Curran
Luz Marie Davis
Douglas K. Dunning
Robert M. Elconin
Gordon M. Fines
Douglas L. Forsberg
Jeffrey P. Fox
Peter A. Gallus
Derek G. Gledhill
David A. Hammer
Lorraine R. Hart
Scott A. Hawkinson
Janis K. Heaney
Warryl G. Horsman
Jeffrey S. Horton
Lebra A. Hutchinson
James M. Jensen
Nancy E. Jones
Dora J. Kaine
James E. Kaarre
Linda B. Keene
John M. Knight
Paul F. Kolkman
Laird Kolmodin

Senior Vice President-
Field Management
Senior Vice President and
Chief Financial Officer
Senior Vice President-
Alliance Group
Senior Vice President-
Field Management
Vice President-Business..
& Reengineering
Vice President - Human Resources

Vice President-Plan Sponsor
Services
Vice President-
Mutual Fund Equities
Vice President-Risk Management
Products
Vice President - Nonproprietary Products

Vice President - Sales Support

Vice President-Marketing
Support
Vice President-IDS Securities
Services
VP and General Manager -
IDS Property Casualty
Vice President - Retail Distribution
Services
Vice President & Assistant
General Counsel
Vice President-Communications

Vice President - Assured Assets Product
Development & Management
Vice President-Government
Relations
Vice President -
Mutual Fund Equity Investments
Vice President-International

Vice President and Corporate
Controller
Vice President-Investment Administration

Vice President-Integrated Financial Services

Vice President and
Marketing Controller
Vice President -
Insurance Investments
Vice President and Controller
Private Client Group
Vice President-Incentive
Management
Vice President-Product Devel.& Tech., IDS
Institutional Retirement Svcs.
Vice President and
Treasurer
Vice President - Relationship Leader

Vice President-Advice and Retail
Distribution Group
Vice President - Business Development

Vice President - Financial Advisory Services

Vice President-
Marketing Promotions
Vice President-Market
Development
Vice President - Investment
Accounting
Vice President -
Actuarial Finance
Vice President -
Service Quality

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Attachment
 D# 858293
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Kurt A. Larson	Vice President - Senior Portfolio Manager	IDS Tower 10 Minneapolis, MN 55440
Lori J. Larson	Vice President - Brokerage and Direct Services	IDS Tower 10 Minneapolis, MN 55440
Daniel E. Laufenberg	Vice President-Chief U.S. Economist	IDS Tower 10 Minneapolis, MN 55440
Jane W. Lee	Vice President-New Business Development and Marketing	IDS Tower 10 Minneapolis, MN 55440
Fred A. Mandell	Vice President-Distribution Channel Marketing	IDS Tower 10 Minneapolis, MN 55440
Timothy J. Masek	Vice President and Director of Global Research	IDS Tower 10 Minneapolis, MN 55440
Sarah A. Mealey	Vice President - Mutual Funds	IDS Tower 10 Minneapolis, MN 55440
Paula R. Meyer	Vice President - Assured Assets	IDS Tower 10 Minneapolis, MN 55440
Shashank B. Modak	Vice President - Technology Leader	IDS Tower 10 Minneapolis, MN 55440
Mary Owens Neal	Vice President-Consumer Marketing Market	IDS Tower 10 Minneapolis, MN 55440
Michael J. O'Keefe	Vice President - Advisory Business Systems	IDS Tower 10 Minneapolis, MN 55440
James R. Palmer	Vice President - Taxes	IDS Tower 10 Minneapolis, MN 55440
Carla P. Pavone	Vice President-Compensation Services and ARD Product Distribution	IDS Tower 10 Minneapolis, MN 55440
Susan B. Plimpton	Vice President - Marketing Services	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 - Branded Platform Project	IDS Tower 10 Minneapolis, MN 55440
Rolyn C. Renstrom	Vice President - Corporate Planning and Analysis	IDS Tower 10 Minneapolis, MN 55440
Theresa M. Sapp	Vice President - Relationship Leader	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	Vice President - Quality and Service Support	IDS Tower 10 Minneapolis, MN 55440
Bridget Spertl	Vice President - Geographic Service Teams	IDS Tower 10 Minneapolis, MN 55440
Lisa A. Steffes	Vice President - Marketing Offer Development	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 and General Auditor	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-Channel Development	IDS Tower 10 Minneapolis, MN 55440
Keith N. Tufte	Vice President and Director of Equity Research	IDS Tower 10 Minneapolis, MN 55440
Michael L. Weiner	Vice President-Tax Research and Audit	IDS Tower 10 Minneapolis, MN 55440
Jeffrey 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
Michael D. Wolf	Vice President - Senior Portfolio Manager	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
Bonnie Anderson	Assistant Secretary	IDS Tower 10 Minneapolis, MN 55440

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