

# 2002 UNIFORM BUSINESS REPORT (UBR)

**FILED**  
**Jan 28, 2002 8:00 am**  
**Secretary of State**

01-28-2002 90014 004 \*\*\*150.00

**DOCUMENT # 858293**

1. Entity Name  
**AMERICAN EXPRESS FINANCIAL CORPORATION**

Principal Place of Business

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

Mailing Address

**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

**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, 2002 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 **P** ☒ Delete  
NAME **HUBERS, DAVID R.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

TITLE ☐ Change ☐ Addition  
NAME **List Attached**  
STREET ADDRESS  
CITY-ST-ZIP

TITLE **VP** ☒ Delete  
NAME **EID, G.L.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

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

TITLE **S** ☐ Delete  
NAME **MEEHAN, TIMOTHY S.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

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

TITLE **T** ☒ Delete  
NAME **HORTON, JEFFREY S.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

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

TITLE **D** ☒ Delete  
NAME **HUBERS, DAVID R.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

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

TITLE **VP** ☐ Delete  
NAME **ARMSTRONG, WARD D.**  
STREET ADDRESS **200 AXP FINANCIAL CT.**  
CITY-ST-ZIP **MINNEAPOLIS MN 55474**

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

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 REQUIRED** *Isie Tvedt 1/7/02 (612)671-2890*

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CR2E034 (9/01)

Directors

Kenneth I. Chenault

Walter S. Berman

James M. Cracchiolo

*Attachment**Doc # 858293  
716197*Officers

| Name                      | Title                                                                | Business Address                                  |
|---------------------------|----------------------------------------------------------------------|---------------------------------------------------|
| James M. Cracchiolo       | Chairman of the Board, President and Chief Executive Officer         | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Barry J. Murphy           | Executive Vice President-U.S. Retail Group                           | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Ruediger Adolf            | Senior Vice President                                                | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Douglas A. Alger          | Senior Vice President-Human Resources                                | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Ward D. Armstrong         | Senior Vice President-Retirement Services                            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Walter S. Berman          | Senior Vice President and Chief Financial Officer                    | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Teresa A. Hanratty        | Sr. Vice President-Field Management                                  | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Brian M. Heath            | Sr. Vice President and General Sales Manager                         | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Marietta L. Johns         | Sr. Vice President - Field Management                                | 6348 Caminito Tenedor<br>San Diego, CA 92120      |
| John C. Juneke            | Sr. Vice President - General Counsel                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Steven C. Kumagai         | Sr. Vice President-Direct and Interactive Group                      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Peter A. Lefferts         | Senior Vice President- Corporate Strategy and Development            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Pamela J. Moret           | Senior Vice President Products Group                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Frederick C. Quirsfeld    | Sr. Vice President - Fixed Income                                    | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Rebecca K. Roloff         | Sr. Vice President - Field Management and Financial Advisory Service | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Stephen W. Roszell        | Sr. Vice President - Institutional Group                             | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Erven A. Samsel           | Senior Vice President-Field Management                               | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Bridget Spertl            | Senior Vice President-Client Service                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| John R. Thomas            | Senior Vice President-Information and Technology                     | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| William F. 'Ted' Truscott | Senior Vice President-Chief Investment Officer                       | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Michael R. Woodward       | Senior Vice President-Field Management                               | 32 Elliott St. Suite 100<br>Batavia, NY 14020     |
| Gumer C. Alvero           | Vice President-Variable Annuities                                    | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Ronald G. Abrahamson      | Vice President-Business.. & Reengineering                            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| John M. Baker             | Vice President-Plan Sponsor Services                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Dudley Barksdale          | Vice President-Service Development                                   | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Joseph M. Barsky III      | Vice President-Mutual Fund Equities                                  | 200 AXP Financial Center<br>Minneapolis, MN 55474 |

|                      |                                                                     |                                                   |
|----------------------|---------------------------------------------------------------------|---------------------------------------------------|
| Timothy V. Bechtold  | Vice President-Risk Management Products                             | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Douglas Brewers      | Vice President - Sales Support                                      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Kenneth J. Ciak      | VP and General Manager - IDS Property Casualty                      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Paul A. Connolly     | Vice President - Retail Distribution Services                       | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Colleen Curran       | Vice President & Assistant General Counsel                          | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Luz Marie Davis      | Vice President-Communications                                       | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Robert M. Elkonin    | Vice President-Government Relations                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Gordon M. Fines      | Vice President - Mutual Fund Equity Investments                     | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Douglas L. Forsberg  | Vice President-International                                        | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Peter A. Gallus      | Vice President-Investment Administration                            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Derek G. Gledhill    | Vice President-Integrated Financial Services                        | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| David A. Hammer      | Vice President and Marketing Controller                             | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Lorraine R. Hart     | Vice President - Insurance Investments                              | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Janis K. Heaney      | Vice President-Incentive Management                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Carol A. Holton      | Vice President-Third Party Distribution                             | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Darryl G. Horsman    | V.P.-Product Devel. & Tech., American Express Retirement Svcs.      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Debra A. Hutchinson  | Vice President - Relationship Leader                                | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| James M. Jensen      | Vice President - ARD Product, Compensation and Field Administration | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Nancy E. Jones       | Vice President - Business Development                               | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Ora J. Kaine         | Vice President - Retail Distribution Services and Chief of Staff    | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Linda B. Keene       | Vice President-Market Development                                   | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| John M. Knight       | Vice President - Investment Accounting                              | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Claire Kolmodin      | Vice President - Service Quality                                    | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Bruce G. Lamo        | Vice President- Institutional Products                              | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Kurt A. Larson       | Vice President - Senior Portfolio Manager                           | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Lori J. Larson       | Vice President - Brokerage and Direct Services                      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Daniel E. Laufenberg | Vice President-Chief U.S. Economist                                 | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Jane W. Lee          | Vice President-New Business Development and Marketing               | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Steve Lobo           | Vice President - Investment Risk Management                         | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Fred A. Mandell      | Vice President-Distribution Channel Marketing                       | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Timothy J. Masek     | Vice President and Director of Fixed Income Research                | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Sarah M. McKenzie    | Vice President - Wrap and Trust Products                            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Paula R. Meyer       | Vice President - Mutual Funds                                       | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Shashank B. Modak    | Vice President - Technology Leader                                  | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Mary Owens Neal      | Vice President-Consumer Marketing Market                            | 200 AXP Financial Center<br>Minneapolis, MN 55474 |
| Francois B. Odouard  | Vice President                                                      | 200 AXP Financial Center<br>Minneapolis, MN 55474 |

*Attorney*  
*Dec 85 8293*  
*716197*

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Jennifer A. Boone

Karen J. Brajdich

Chriscinda Carter

Pamela Carter

Joshua Casper

Vice President - Advisory

Business Systems

Vice President -

Taxes

Vice President-Product Business Development

Vice President-Non Proprietary Products

Vice President - Marketing Services

Vice President and

Assistant General Counsel

Vice President and Project Manager-

Branded Platform Project

Vice President and Assistant

General Counsel

Vice President - Corporate Planning

and Analysis

Vice President - Relationship Leader

Vice President-

Property Casualty

Vice President - Quality and

Service Support

Vice President -

Marketing Offer Development

Vice President and

General Auditor

Vice President - Information

Resource Management/ISD

Vice President and Director of

Equity Research

Vice President-Equity & Fixed Income

Trading

Vice President - Senior

Portfolio Manager

Vice President

Vice President and Corporate Treasurer

Secretary

Chief Compliance Officer

Assistant Vice President

Assistant Vice President

Assistant Secretary

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Paul Schneider

Assistant Secretary

[illegible]

Joyce M. Snyder  
Amanda Soular-Evans  
Lisa A. Stremmel  
Dawn C. Vereide  
Peter C. Wahlstrom  
Lori J. Anshus  
Michael H. Gilmore  
John Hirsch  
John D. Koslow  
Judd K. Lohmann  
Barbara R. Sawyer  
Thomas L. Smith  
Richard E. Sturgis  
Leslie R. Tvedt  
Marcia A. Williams  
Gary C. Zierner

Assistant Secretary  
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### Members of the Executive Committee

### Members of the Dividend Committee