

2003 FOR PROFIT CORPORATION UNIFORM BUSINESS REPORT (UBR)

FILED
Jan 14, 2003 8:00 am
Secretary of State

01-14-2003 90084 040 ***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

200 AXP Financial Center

3. Mailing Address

Suite, Apt. #, etc.

City & State

Minneapolis, MN

City & State

Zip

55474

Country

Hennepin

Country

4. FEI Number

13-3180631

Applied For

Not Applicable

5. Certificate of Status Desired ☐

\$8.75 Additional Fee Required

☐ CHECK HERE IF MAKING CHANGES

6. Name and Address of Current Registered Agent

CT CORPORATION SYSTEM

1200 S. PINE ISLAND ROAD

PLANTATION FL 33324

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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

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

(NOTE: Registered Agent signature required when reinstating)

DATE

FILE NOW!!! FEE IS \$150.00

After May 1, 2003 Fee will be \$550.00

Make Check Payable to Florida Department of State

9. Election Campaign Financing
Trust Fund Contribution. ☐

\$5.00 May Be Added to Fees

10. OFFICERS AND DIRECTORS

11. ADDITIONS/CHANGES TO OFFICERS AND DIRECTORS IN 11

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

**S
MEEHAN, TIMOTHY S.
200 AXP FINANCIAL CT.
MINNEAPOLIS MN 55474**

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

**VP
ARMSTRONG, WARD D.
200 AXP FINANCIAL CT.
MINNEAPOLIS MN 55474**

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

**Treasurer
Stephen M. Lobo
200 AXP Financial Center
Minneapolis, MN 55474**

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

**President/Director
James M. Cracchiola
200 AXP Financial Center
Minneapolis MN 55474**

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

(List Attached)

☐ Delete

TITLE
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STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

TITLE
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STREET ADDRESS
CITY-ST-ZIP

☐ Delete

TITLE
NAME
STREET ADDRESS
CITY-ST-ZIP

☐ Change ☐ Addition

12. 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 10 or Block 11 if changed, or on an attachment with an address, with all other like empowered.

SIGNATURE:

SIGNATURE

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

Date

Daytime Phone #

CR2E034 (10/02)

Directors

Kenneth I. Chenault

Walter S. Berman

James M. Cracchiolo

Attachment
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Officers

Name	Title	Business Address
James M. Cracchiolo	Chairman of the Board, President and Chief Executive Officer	200 AXP Financial Center Minneapolis, MN 55474
Barbara H. Fraser	Executive Vice President-AEFA Products and Corporate Marketing	200 AXP Financial Center Minneapolis, MN 55474
Barry J. Murphy	Executive Vice President-U.S. Retail Group	200 AXP Financial Center Minneapolis, MN 55474
Ruediger Adolf	Senior Vice President	200 AXP Financial Center Minneapolis, MN 55474
Ward D. Armstrong	Senior Vice President-Retirement Services	200 AXP Financial Center Minneapolis, MN 55474
Arthur H. Berman	Senior Vice President-Finance	200 AXP Financial Center Minneapolis, MN 55474
Walter S. Berman	Senior Vice President and Chief Financial Officer	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
Claire Huang	Sr. Vice President - Retail Marketing	American Express Tower 200 Vessey Street, WFC New York, NY 10285
John C. Junek	Sr. Vice President - General Counsel	200 AXP Financial Center Minneapolis, MN 55474
Michelle M. Keeley	Sr. Vice President - Fixed Income	200 AXP Financial Center Minneapolis, MN 55474
Paula R. Meyer	Sr. Vice President and General Manager-Mutual Funds	200 AXP Financial Center Minneapolis, MN 55474
Holly Morris	Sr. Vice President - Technologies	200 AXP Financial Center Minneapolis, MN 55474
Rebecca K. Roloff	Sr. Vice President - Field Management and Financial Advisory Service	200 AXP Financial Center Minneapolis, MN 55474
Stephen W. Roszell	Sr. Vice President - Institutional Group	200 AXP Financial Center Minneapolis, MN 55474
Bridget Spertl	Senior Vice President-Client Service	200 AXP Financial Center Minneapolis, MN 55474
Caroline Stockdale	Senior Vice President-Relationship Leader of Human Resources	200 AXP Financial Center Minneapolis, MN 55474
William F. 'Ted' Truscott	Senior Vice President-Chief Investment Officer	200 AXP Financial Center Minneapolis, MN 55474
Peter S. Velardi	Sr. Vice President - Field Management	3325 Paddock Pkwy., Suite 110 Suwanee, GA 30024
William J. Williams	Sr. Vice President - Field Management	200 AXP Financial Center Minneapolis, MN 55474
Michael R. Woodward	Senior Vice President-Field Management	32 Elliott St. Suite 100 Batavia, NY 14020
Gumer C. Alvero	Vice President-Variable Annuities	200 AXP Financial Center Minneapolis, MN 55474
Mark J. Babij	Vice President - Finance	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

Penny Mazal	Vice President - Business Transformation	200 AXP Financial Center Minneapolis, MN 55474
Mark T. McGannon	Vice President and General Sales Manager- AEFA Products	200 AXP Financial Center Minneapolis, MN 55474
Brian J. McGrane	Vice President - LFO Finance	200 AXP Financial Center Minneapolis, MN 55474
Sarah M. McKenzie	Vice President - Managed and Brokerage Products	200 AXP Financial Center Minneapolis, MN 55474
Francois B. Odouard	Vice President	200 AXP Financial Center Minneapolis, MN 55474
Michael J. O'Keefe	Vice President - Advisory Business Systems	200 AXP Financial Center Minneapolis, MN 55474
Carla P. Pavone	Vice President - Strategic Projects	200 AXP Financial Center Minneapolis, MN 55474
Kris Petersen	Vice President - SPS and External	200 AXP Financial Center Minneapolis, MN 55474
Ronald W. Powell	Vice President and Assistant General Counsel	200 AXP Financial Center Minneapolis, MN 55474
Teresa J. Rasmussen	Vice President and Assistant General Counsel	200 AXP Financial Center Minneapolis, MN 55474
Daniel J. Rivera	Vice President - Senior Portfolio Manager	200 AXP Financial Center Minneapolis, MN 55474
Andy Schell	Vice President - Client Development & Migration	200 AXP Financial Center Minneapolis, MN 55474
Peter B. Schofield	Vice President - Auditing	200 AXP Financial Center Minneapolis, MN 55474
Lisa A. Steffes	Vice President - Marketing Offer Development	200 AXP Financial Center Minneapolis, MN 55474
David K. Stewart	Vice President - AEFA Controller	200 AXP Financial Center Minneapolis, MN 55474
Jeffrey J. Stremcha	Vice President - Information Resource Management/ISD	200 AXP Financial Center Minneapolis, MN 55474
John T. Sweeney	Vice President - Lead Financial Officer Products	200 AXP Financial Center Minneapolis, MN 55474
Timothy N. Tanner	Vice President - Technology	200 AXP Financial Center Minneapolis, MN 55474
George F. Tsafaroidis	Vice President - LFO US Retail Group	200 AXP Financial Center Minneapolis, MN 55474
Andrew O. Washburn	Vice President - Mutual Fund Marketing	200 AXP Financial Center Minneapolis, MN 55474
Beth E. Weimer	Vice President - Chief Compliance Officer	200 AXP Financial Center Minneapolis, MN 55474
Dianne Wilson	Vice President - Insurance Operations	3500 Packerland Drive DePere, WI 54115
Michael D. Wolf	Vice President - Senior Portfolio Manager	200 AXP Financial Center Minneapolis, MN 55474
Doretta R. Wright	Vice President	200 AXP Financial Center Minneapolis, MN 55474
Timothy S. Meehan	Secretary	200 AXP Financial Center Minneapolis, MN 55474
Nancy R. Hughes	Assistant Vice President	200 AXP Financial Center Minneapolis, MN 55474
Millie Acamovic	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Bonnie Anderson	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Doris A. Anfinson	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Gary L. Bergeson	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Karen J. Brajdich	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Pamela Carter	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Joshua Casper	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Jenny A. Caza	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
Kathleen A. Connoy	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474
C. Nikol Davies	Assistant Secretary	200 AXP Financial Center Minneapolis, MN 55474

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