Edgar Filing: AMERICAN EXPRESS CO - Form 3

Number:

Expires:

response...

Estimated average burden hours per

January 31,

2005

0.5

AMERICAN EXPRESS CO Form 3 January 22, 2014 FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 OMB Number 3235-0104

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person <u>*</u> Sobbott Susan			eporting	2. Date of Event Requiring Statement (Month/Day/Year)	3. Issuer Name and Ticker or Trading Symbol AMERICAN EXPRESS CO [AXP]			
	(Last)	(First)	(Middle)	01/13/2014	4. Relationshi Person(s) to Is	ip of Reporting ssuer	g	5. If Amendment, Date Original Filed(Month/Day/Year)
STI EX	PRESS T	AMERIC			Director X Officer (give title below	all applicable 10% Othe w) (specify bel obal Corp Pay	Owner r ow)	 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person
(City) (State) (Zip) Table				Table I - N	I - Non-Derivative Securities Beneficially Owned			
	tle of Secu tr. 4)	rity		2. Amount o Beneficially (Instr. 4)		3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nat Owne (Instr.	*
Co	mmon St	ock		20,378		D	Â	
Co	mmon Ste	ock		908		Ι	by 40	01(k) Trust (1)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
Security	Expiration Date	, ,		1	
(Instr. 4)	(Month/Day/Year)	Derivative Security	or Exercise	Form of	Ownership

Edgar Filing: AMERICAN EXPRESS CO - Form 3

			(Instr. 4)		Price of	Derivative	(Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Derivative Security	Security: Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	01/25/2008(2)	01/24/2017	Common Stock	15,113	\$ 57.77	D	Â
Employee Stock Option (Right to Buy)	01/31/2009(2)	01/30/2018	Common Stock	50,000	\$ 49.13	D	Â
Employee Stock Option (Right to Buy)	07/31/2008(2)	07/30/2017	Common Stock	20,000	\$ 58.54	D	Â
Phantom Stock Units	(3)	(<u>3)</u>	Common Stock	103	\$ (4)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Sobbott Susan 200 VESEY STREET AMERICAN EXPRESS TOWER NEW YORK, NY 10285	Â	Â	President Global Corp Payments	Â		

Signatures

/s/ Michael G. Kuchs,	01/22/201	
attorney-in-fact		
**Signature of Reporting Person	Date	

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 5(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

4

- (1) Shares held in reporting person's account under the Company's Retirement Savings Plan. This plan uses unit accounting, and the number of shares that a participant is deemed to hold varies with the unit price of the Company pooled stock fund.
- (2) These options became exercisable in four equal annual installments beginning on date shown as "Date Exercisable."
- (3) The units are to be settled following the reporting person's retirement or other termination of service.
- (4) The phantom stock converts into common stock on a one-for-one basis.

Â **Remarks:** Exhibit List Â Exhibit 24 - Power of Attorney

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.