

AMERICAN EXPRESS CO

Form 3

October 02, 2014

FORM 3UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB
Number: 3235-0104Expires: January 31,
2005Estimated average
burden hours per
response... 0.5**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 *

Â O'Neill Michael John

(Last)

(First)

(Middle)

2. Date of Event Requiring
Statement

(Month/Day/Year)

09/29/2014

3. Issuer Name **and** Ticker or Trading Symbol
AMERICAN EXPRESS CO [AXP]4. Relationship of Reporting
Person(s) to Issuer5. If Amendment, Date Original
Filed(Month/Day/Year)

200 VESEY STREET

(Street)

(Check all applicable)

☐ Director ☐ 10% Owner☒ Officer ☐ Other

(give title below) (specify below)

EVP, Corp Affairs & Comm

6. Individual or Joint/Group

Filing(Check Applicable Line)

☒ Form filed by One Reporting
Person☐ Form filed by More than One
Reporting Person

NEW

YORK,Â NYÂ 10285-5001

(City)

(State)

(Zip)

Table I - Non-Derivative Securities Beneficially Owned1. Title of Security
(Instr. 4)2. Amount of Securities
Beneficially Owned
(Instr. 4)3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Common Stock

25,061

D

Â

Common Stock

989

I

by 401(k) Plan ⁽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
Security
(Instr. 4)2. Date Exercisable and
Expiration Date
(Month/Day/Year)3. Title and Amount of
Securities Underlying
Derivative Security
(Instr. 4)4. Conversion
or Exercise
Price of
Derivative5. Ownership
Form of
Derivative
Security:6. Nature of Indirect
Beneficial
Ownership
(Instr. 5)

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Employee Stock Option (Right to Buy)	01/25/2008 ⁽²⁾	01/25/2017	Common Stock	16,600	\$ 57.77	D	Â
Employee Stock Option (Right to Buy)	01/31/2009 ⁽³⁾	01/31/2018	Common Stock	37,500	\$ 49.13	D	Â
Employee Stock Option (Right to Buy)	01/29/2010 ⁽³⁾	01/29/2019	Common Stock	8,379	\$ 16.71	D	Â
Employee Stock Option (Right to Buy)	01/26/2011 ⁽³⁾	01/26/2020	Common Stock	15,749	\$ 38.1	D	Â
Employee Stock Option (Right to Buy)	01/27/2012 ⁽⁴⁾	01/27/2021	Common Stock	13,472	\$ 44.54	D	Â
Employee Stock Option (Right to Buy)	10/30/2013	10/30/2019	Common Stock	43,054	\$ 34.84	D	Â
Employee Stock Option (Right to Buy)	01/24/2013 ⁽⁴⁾	01/24/2022	Common Stock	12,188	\$ 49.23	D	Â
Phantom Stock Units	Â ⁽⁵⁾	Â ⁽⁵⁾	Common Stock	635	\$ ⁽⁶⁾	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
O'Neill Michael John 200 VESEY STREET NEW YORK, NY 10285-5001	Â	Â	Â EVP, Corp Affairs & Comm	Â

Signatures

/s/ Michael G. Kuchs,
attorney-in-fact

10/01/2014

 **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).
- (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) 7,450 of these options became exercisable on January 25, 2010 and 9,150 of these options became exercisable on January 25, 2011.
- (3) These options became exercisable in four equal annual installments beginning on date shown as "Date Exercisable."
- (4) These options become exercisable in four equal annual installments beginning on the date shown as "Date Exercisable."
- (5) The units are to be settled following the reporting person's retirement or other termination of service.
- (6) The phantom stock converts into common stock on a one-for-one basis.

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Remarks:

ExhibitÂ List:Â Â ExhibitÂ 24Â -Â PowerÂ ofÂ Attorney

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure.

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