

HOUSE DAVID C  
Form 4  
October 07, 2004

**FORM 4**

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN 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 \*  
HOUSE DAVID C

(Last) (First) (Middle)

AMERICAN EXPRESS TOWER, 3  
WORLD FINANCIAL CENTER

(Street)

NEW YORK, NY 10285-5003

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

AMERICAN EXPRESS CO [AXP]

3. Date of Earliest Transaction (Month/Day/Year)

10/05/2004

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Member, Global Leadership Team

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
\_\_\_\_ Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) |   |        | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |            |                              |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--------|---|--|---|------------|------------------------------|
|                                 |                                      |  |                                | Code  | V | Amount |   |  |   | (A) or (D) | Price                        |
| Common Shares                   | 10/05/2004                           | 10/05/2004   | M                              |   |   | 62,500 | A   | \$ 27.458  | 222,179   | D          |                              |
| Common Shares                   | 10/05/2004                           | 10/05/2004   | F <sup>(1)</sup>               |   |   | 42,928 | D   | \$ 52.72   | 179,251   | D          |                              |
| Common Shares                   |                                      |  |                                |   |   |        |   |  | 6,682   | I          | By ISP Trust <sup>(2)</sup>  |
| Common Shares                   |                                      |  |                                |   |   |        |   |  | 1,110   | I          | Custodian for minor children |

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

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.

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**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Security (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  | Code V (A) (D)                 |   | Date Exercisable Expiration Date                         | Title or Nu of 3  |
| Employee Stock Option (right to buy)       | \$ 27.458  | 10/05/2004                           | 10/05/2004   | M                              | 62,500  | 09/28/2002 09/27/2008                                    | Common Shares 62  |
| Employee stock option (right to buy)       | \$ 52.72   | 10/05/2004                           | 10/05/2004   | A                              | 42,928  | 04/05/2005 09/27/2008                                    | Common Shares 42  |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |   |       |
|--|---------------|-----------|---|-------|
|  | Director      | 10% Owner | Officer                                 | Other |
| HOUSE DAVID C<br>AMERICAN EXPRESS TOWER<br>3 WORLD FINANCIAL CENTER<br>NEW YORK, NY 10285-5003 |               |           | Member,<br>Global<br>Leadership<br>Team |       |

## Signatures

David C. House 10/07/2004

\*\*Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, see Instruction 4(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) The reported disposition represents the surrender of shares to cover the cost of exercise and tax obligations arising from the exercise of employee stock options.

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- (2) Shares held in reporting person's account under the Company's Incentive Savings Plan as of October 1, 2004. 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.

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.