

Buckminster Douglas E.  
Form 4  
January 29, 2019

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2005  
Estimated average burden hours per response... 0.5

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 \*  
Buckminster Douglas E.

2. Issuer Name and Ticker or Trading Symbol  
AMERICAN EXPRESS CO [AXP]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
200 VESEY STREET, AMERICAN EXPRESS TOWER  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
10/29/2018

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Grp Pres, Glb Consumer Svcs

NEW YORK, NY 10285-5001

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

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

(City) (State) (Zip)

**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 Stock	10/29/2018		G	V 500 D <u>(1)</u>	33,982.903 <u>(2)</u>	D	
Common Stock	01/26/2019		A <sup>(3)</sup>	23,505 A \$ 100.77	57,501.744	D	
Common Stock	01/26/2019		F <sup>(4)</sup>	11,046 D \$ 100.77	46,455.744 <u>(5)</u>	D	
Common Stock					32,398 <u>(6)</u>	I	By GRAT
Common Stock					13,450.63 <u>(7)</u>	I	401(k) Trust

## Edgar Filing: Buckminster Douglas E. - Form 4

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.**

SEC 1474  
(9-02)

**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 Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 55.09	01/26/2019		A <sup>(8)</sup>	23,505	01/26/2019	01/26/2026	Common Stock	23,505

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Buckminster Douglas E. 200 VESEY STREET, AMERICAN EXPRESS TOWER NEW YORK, NY 10285-5001			Grp Pres, Glb Consumer Svcs	

## Signatures

/s/ Tangela S. Richter,  
attorney-in-fact

01/29/2019

\_\_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 a bona fide charitable gift made by the reporting person.

(2) Includes the prior transfer of 18,734 shares from the reporting person's GRAT to direct holdings.

(3) Represents shares acquired pursuant to vesting of Restricted Stock Units that were granted to the reporting person in January 2016 and have vested based on the Company's 2016-18 return on average equity performance.

## Edgar Filing: Buckminster Douglas E. - Form 4

- (4) The reported disposition represents the surrender of shares to satisfy tax obligations arising from the vesting of Restricted Stock Units.
- (5) Includes shares acquired pursuant to dividend reinvestment.
- (6) This balance reflects the prior transfer of 18,734 shares from the reporting person's GRAT to direct holdings.
- (7) 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.
- (8) The reported acquisition represents the vesting of Stock Options that were granted to the reporting person in January 2016. These options became exercisable on January 26, 2019 based on the Company's positive cumulative net income over the three year performance period.

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.