

AMERICAN EXPRESS CO
Form 11-K
June 20, 2018

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
FORM 11-K

(Mark One)

ANNUAL REPORT PURSUANT TO SECTION 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

For the fiscal year ended December 31, 2017
or

TRANSITION REPORT PURSUANT TO SECTION 15(d) OF THE SECURITIES EXCHANGE ACT OF
1934

For the transition period from to

Commission file number 1-7657

A. Full title of the plan and the address of the plan, if different from that of the issuer named below:

AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

B. Name of issuer of the securities held pursuant to the plan and the address of its principal executive office:

AMERICAN EXPRESS COMPANY

200 Vesey Street
New York, New York 10285

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
Financial Statements and Supplemental Schedule

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Other supplemental schedules required by the Department of Labor's Rules and Regulations for Reporting and
*Disclosure under the Employee Retirement Income Security Act of 1974, as amended, have been omitted because
they are not applicable or not required.

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Report of Independent Registered Public Accounting Firm

To the Administrator of the American Express Retirement Savings Plan

Opinion on the Financial Statements

We have audited the accompanying statements of net assets available for benefits of American Express Retirement Savings Plan (the “Plan”) as of December 31, 2017 and December 31, 2016 and the related statement of changes in net assets available for benefits for the year ended December 31, 2017, including the related notes (collectively referred to as the “financial statements”). In our opinion, the financial statements present fairly, in all material respects, the net assets available for benefits of the Plan as of December 31, 2017 and December 31, 2016, and the changes in net assets available for benefits for the year ended December 31, 2017 in conformity with accounting principles generally accepted in the United States of America.

Basis for Opinion

These financial statements are the responsibility of the Plan’s management. Our responsibility is to express an opinion on the Plan’s financial statements based on our audits. We are a public accounting firm registered with the Public Company Accounting Oversight Board (United States) (“PCAOB”) and are required to be independent with respect to the Plan in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

We conducted our audits of these financial statements in accordance with the standards of the PCAOB. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to error or fraud.

Our audits included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. Our audits also included evaluating the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that our audits provide a reasonable basis for our opinion.

Supplemental Information

The supplemental schedule of assets (held at end of year) as of December 31, 2017 and the schedule of assets (acquired and disposed of within year) for the year ended December 31, 2017 have been subjected to audit procedures performed in conjunction with the audit of the Plan’s financial statements. The supplemental schedules are the responsibility of the Plan’s management. Our audit procedures included determining whether the supplemental schedules reconcile to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental schedules. In forming our opinion on the supplemental schedules, we evaluated whether the supplemental schedules, including their form and content, are presented in conformity with the Department of Labor’s Rules and Regulations for Reporting and Disclosure under the Employee Retirement Income Security Act of 1974. In our opinion, the supplemental schedules are fairly stated, in all material respects, in relation to the financial statements as a whole.

/s/ PricewaterhouseCoopers LLP
Minneapolis, Minnesota
June 20, 2018

We have served as the Plan's auditor since 2006.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
 Statements of Net Assets Available for Benefits
 as of December 31, 2017 and 2016

| (Thousands) | 2017 | 2016 |
|--|-------------|-------------|
| Assets | | |
| Investments, at fair value: | | |
| Money market funds | \$55,811 | \$55,245 |
| Corporate debt instruments | 91,782 | 76,738 |
| Common stocks | 2,074,740 | 1,777,962 |
| U.S. Government and agency obligations | 167,456 | 168,684 |
| Common/collective trusts | 1,311,735 | 860,605 |
| Mutual funds | 720,064 | 747,142 |
| Self-directed brokerage accounts | 147,313 | 134,956 |
| Other investments | 130,301 | 92,912 |
| Total investments, at fair value | 4,699,202 | 3,914,244 |
| Fully benefit responsive investment contracts, at contract value | 529,458 | 553,762 |
| Due from brokers | 2,526 | 4,611 |
| Cash (non-interest bearing) | 2,857 | 86 |
| Receivables: | | |
| Notes receivable from participants | 79,947 | 78,998 |
| Investment income accrued | 2,902 | 2,570 |
| Employer contributions: | | |
| Profit sharing | 109,553 | 47,070 |
| Other than profit sharing | 26,975 | 21,712 |
| Total Assets | 5,453,420 | 4,623,053 |
| Liabilities | | |
| Accrued expenses | 2,734 | 2,294 |
| Due to brokers | 4,476 | 2,558 |
| Total Liabilities | 7,210 | 4,852 |
| Net assets available for benefits | \$5,446,210 | \$4,618,201 |

See accompanying notes to the financial statements.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
Statement of Changes in Net Assets Available for Benefits
for the Year Ended December 31, 2017

| (Thousands) | 2017 |
|--|-------------|
| Contributions | |
| Employer | |
| Profit sharing | \$ 109,563 |
| Other than profit sharing | 132,071 |
| Employee | 164,662 |
| Rollovers | 16,664 |
| Total contributions | 422,960 |
| Investment income | |
| Net appreciation of investments | 803,428 |
| Interest and dividends | 61,532 |
| Other income | 685 |
| Total investment income | 865,645 |
| Interest on notes receivable from participants | 3,476 |
| Total additions to net assets | 1,292,081 |
| Withdrawal payments | (450,775) |
| Administrative expenses | (13,297) |
| Total deductions to net assets | (464,072) |
| Net increase in net assets available for benefits | 828,009 |
| Net assets available for benefits at beginning of year | 4,618,201 |
| Net assets available for benefits at end of year | \$5,446,210 |

See accompanying notes to the financial statements.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

1. Description of the Plan

General

The American Express Retirement Savings Plan (the “Plan”), which became effective June 11, 1973, is a defined contribution pension plan. Under the terms of the Plan, regular full-time and certain part-time employees of American Express Company and its participating subsidiaries (the “Company”) can make elective contributions to the Plan beginning as soon as practicable after their date of hire and are eligible to receive Company contributions, if any, upon completion of six months of service.

The Plan is subject to the provisions of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”). The following is not a comprehensive description of the Plan, and therefore does not include all situations and limitations covered by the Plan. The Plan Document is the exclusive governing document and should be referred to for more complete information.

Administration

Wells Fargo Bank, N.A. is the Trustee and Recordkeeper for the Plan. The Plan is administered by the Company’s Employee Benefits Administration Committee (“EBAC”) and the Company’s Retirement Savings Plan Investment Committee (“RSPIC”). The Plan Document requires that the American Express Company Stock Fund be offered as an investment option, subject to compliance with ERISA. RSPIC has the power to select the other investment options available under the Plan and the manner in which these investment options are invested. Subject to Plan limits, RSPIC also has the power to appoint investment managers to make investment decisions. Under the terms of the Plan Document, the members of EBAC and RSPIC are appointed by the Company’s Vice President, Benefits & Mobility.

Compensation

The participant compensation (commonly referred to as “Total Pay”) that is used in the calculation of Plan contributions generally includes an employee’s base pay plus overtime, shift differentials, most commissions and most incentives. For participants above certain salary grades, as defined by the Plan, Total Pay does not include any incentive pay which, in the aggregate, is in excess of one times their base salary when calculating Company contributions.

For purposes of the Plan, compensation is limited to a participant’s regular cash remuneration up to a maximum of \$270,000 in 2017 and \$265,000 in 2016, before tax deductions and certain other withholdings.

Contributions

The Plan currently provides for the following contributions:

Elective Contributions

Each pay period, participants may make Before-Tax Contributions, Roth Contributions, and/or After-Tax Contributions up to 10% of eligible compensation, or a combination thereof, not to exceed 80% of their Total Pay, to the Plan through payroll deductions. Roth Contributions are a special type of after-tax contribution and are subject to most of the same rules as Before-Tax Contributions. The Internal Revenue Code of 1986, as amended (the “Code”)

imposes a limitation that is adjusted annually for cost of living increases on participants' pre-tax and Roth contributions to plans which are qualified under Code Section 401(k) and other specified tax favored plans. For both 2017 and 2016, this limit was \$18,000 for participants under age 50 and \$24,000 for participants age 50 or older. The Plan complied with non-discrimination requirements under the Code during 2017 and 2016 by utilizing the safe harbor design for deferrals and matching contributions in accordance with Sections 401(k)(12) and 401(m)(11) of the Code.

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Notes to Financial Statements

Eligible employees hired for the first time on or after January 1, 2017 are automatically enrolled to make Before-Tax Contributions equal to 3% of base pay, with a 1% automatic increase each year until the rate reaches 10%, unless the employee makes an alternative election to contribute at a different rate or opt out of automatic enrollment.

Company Matching Contributions

Effective January 1, 2017, the Company matches 100% of a participant's Before-Tax Contributions and/or Roth Contributions up to 6% of Total Pay after a participant's completion of six months of service. For 2016, the Company Matching Contribution was capped at 5% of Total Pay.

Profit Sharing Contributions

Upon a participant's completion of six months of service, additional Company contributions may be made annually at the Company's discretion which can be based, in part, on the Company's performance. Participants must be employed on the last working day of the Plan year (or be disabled under the terms of the Plan) to be eligible for any Profit Sharing Contributions made for that Plan year. Profit Sharing Contributions to eligible participants are made regardless of whether the eligible participant contributes to the Plan. Profit Sharing Contributions comprised 5.50% and 2.50% of eligible participants' Total Pay in 2017 and 2016, respectively.

Qualified Non-Elective Contributions

The Company may make Qualified Non-Elective Contributions ("QNEC"). A QNEC is a discretionary, fully vested contribution. The Company may designate all or part of a Company profit sharing contribution as a QNEC. Alternatively, the Company may, in its sole discretion, make an additional contribution designated as a QNEC. Any QNECs are fully vested when made and distributable only under circumstances that permit distributions of Before-Tax Contributions or Roth Contributions (excluding hardship withdrawals). QNECs may be allocated as a uniform percentage of eligible compensation for designated employees and may be restricted to only such employees employed on the last day of the Plan year. Alternatively, the Company may direct that QNECs be allocated among specifically designated non-highly compensated employees in varying percentages of compensation as permitted by law.

Conversion Contributions

For eligible employees on the Company's United States payroll or on unpaid leave of absence on July 1, 2007 and who generally commenced service prior to April 1, 2007, the Company makes Conversion Contributions equal to a percentage of compensation. The amount of the participant's Conversion Contributions is based on his/her projected attained age plus completed years of service with the Company as of December 31, 2008. Conversion Contributions range from 0.5% to 8.0% of Total Pay. Effective January 1, 2018, the Company will phase out Conversion Contributions. No Conversion Contributions will be provided for periods after December 31, 2018.

Disability Contributions

Certain qualifying participants who become disabled, as defined by the Plan Document, are eligible to receive contributions similar to Company Conversion, Profit Sharing and/or Matching Contributions.

Transfer of Account Balances

A participant's account balance may be transferred among the Plan's investment options upon receipt of instructions from the participant. Account balances may be allocated among the Plan's investment options on a daily basis.

Participant Rollovers

A rollover contribution is a transfer to the Plan of a qualified distribution in accordance with the provisions of the Plan. Rollovers are accepted into the Plan, but are not subject to Company contributions.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
Notes to Financial Statements

In-Plan Roth Conversions

The Plan allows for in-Plan Roth conversions.

Vesting

Participants are immediately vested in their elective Before-Tax, Roth and After-Tax Contributions and rollovers, if any, as well as the investment earnings on the foregoing. Other contributions become vested as set forth below:

Company Matching Contributions

Company Matching Contributions and investment earnings thereon are immediately 100% vested.

Discretionary Profit Sharing Contributions

Profit Sharing Contributions and investment earnings thereon are 100% vested after the earlier of three years of service or, if still employed by the Company or an affiliate, at or after attainment of age 65, disability or death.

Qualified Non-Elective Contributions

QNECs are immediately 100% vested and investment earnings thereon are immediately 100% vested.

Conversion Contributions

Conversion Contributions and investment earnings thereon are 100% vested after the earlier of three years of service or, if still employed by the Company or an affiliate, at or after attainment of age 65, disability or death.

Disability Contributions

Disability Contributions are immediately 100% vested.

Forfeitures

Forfeitures of terminated participants' non-vested accounts, as well as amounts attributable to outstanding checks as to which the payee cannot be located, are used to pay Plan expenses or to reduce future Company contributions. Amounts attributable to uncashed checks may, in accordance with EBAC's direction, be allocated wholly or partly to a reserve to cover future claims for these benefits or be treated in accordance with the normal rules for forfeitures. Forfeited non-vested balances were \$1.1 million and \$1.0 million as of December 31, 2017 and 2016, respectively. Accrued 2017 Profit Sharing Contributions made to the Plan in March 2018 were reduced by \$0.8 million from forfeited account balances. Profit Sharing Contributions made to the Plan in March 2017 were reduced by \$0.6 million from forfeited account balances.

Plan Termination

Although it has not expressed any intent to do so, the Company has the right under the Plan to discontinue its contributions at any time and to terminate the Plan subject to the provisions of ERISA. In the event of Plan termination, participants will become 100% vested in their accounts and Plan assets will be distributed in accordance with the Plan Document.

Notes Receivable from Participants

Notes receivable from participants (loans) are carried at their unpaid principal balance plus any accrued but unpaid interest. Participants are allowed to apply for a loan from the Plan for a minimum amount of \$500 up to the lesser of \$50,000 or 50% of their vested balance, subject to certain restrictions set forth in the Plan and the Code. General

purpose loans are limited to terms of 59 months. Loans to purchase a principal residence have a maximum term of 359 months. Loan repayment amounts, including principal and interest, are deducted each pay period and allocated to participants' investment accounts in accordance with the election in effect for new contributions at the time of repayment. Terminated participants who have an outstanding loan may make arrangements with the Recordkeeper to pay the loan in full, or make installment payments. If arrangements are not made for the payment of the outstanding loan balance, the loan amount will be considered in default and the outstanding loan balance will be offset from the account balance, subject to income tax regulations.

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Notes to Financial Statements

Loans are collateralized by the participant's remaining vested account balance and the interest rate is fixed for the life of the loan. The interest rate determination is based on the prime rate plus one percentage point. In the event of a loan default, the loan is treated as a deemed distribution (i.e., as an early withdrawal of funds from the Plan for tax purposes), which subjects the participant to income tax plus any penalties imposed by the Code based on the loan balance. If the participant is still employed, the loan balance remains outstanding as an obligation of the participant until it is either repaid or the participant terminates employment. In the event of a termination, either voluntary or involuntary, the loan may be deducted from the participant's Plan account balance. Loans outstanding to participants at December 31, 2017, carried interest rates varying from 3.25% to 9.50% and will mature at various dates through November 2047.

Tax Deferrals

As long as the Plan remains qualified and the related Trust (the "Trust") remains tax exempt, amounts invested in the Plan through Before-Tax Contributions and Company contributions and rollovers, as well as the investment earnings on such amounts, are not subject to federal income tax until distributed to the participant. After-Tax Contributions are taxed when contributed, with earnings taxed upon distribution. Roth Contributions are taxed when contributed, and earnings on Roth Contributions and rolled-in Roth amounts qualify for tax-free distribution if a participant (i) reaches age 59-1/2, dies or becomes disabled (as defined by federal law) and (ii) has a Roth Contribution account with the Plan (or another plan from which a direct rollover of Roth contributions is received) for at least five taxable years. If those conditions are not met, earnings on Roth Contributions are taxed when distributed. Amounts that are converted to Roth status through an in-plan Roth conversion are taxed when converted (with the exception of After-Tax Contributions; however, earnings on After-Tax Contributions are subject to tax when converted), and thereafter are subject to the Roth taxation rules.

Distributions and Withdrawals

Upon termination of employment due to disability, death or retirement at or after attainment of the Plan's normal retirement age (65), participants or their beneficiaries are fully vested and eligible to receive a distribution of the full value of their accounts. If employment ends for other reasons, participants are eligible to receive a distribution of their vested account balance. When employment ends, participants (or their beneficiaries) may elect to receive their vested balance as a lump sum cash amount, American Express Company common shares, if applicable, shares of any investment available through the Self-Directed Brokerage Account ("SDA"), if applicable, or a combination of cash and shares. If the account balance is greater than \$1,000, a participant may elect to defer distribution until April 1st of the year following the year in which the participant attains age 70-1/2. If the account balance is \$1,000 or less, a distribution will be made in a lump sum following the end of employment. Participants may request a withdrawal of all or a portion of their vested account balance subject to limitations under the terms of the Plan and certain tax penalties imposed by the Code. Distributions and withdrawals are recorded when paid. Distributions may be rolled over to a qualified Individual Retirement Account ("IRA") or other qualified employer retirement plan, if that plan allows rollovers.

Expenses

The Company, in its discretion, may pay certain administrative expenses, with any expenses not paid by the Company being charged to the Plan. Expenses related to separately managed investment funds are generally paid out of the applicable investment funds. Fees, commissions, and other charges and administrative expenses that are attributable to the investment funds as a whole are generally paid from the Plan. All such expenses that are paid by the Plan are

included within the administrative expenses on the Statement of Changes in Net Assets Available for Benefits. Fees and expenses incurred indirectly by the Plan from the underlying mutual funds and collective trusts in which the Plan may invest are not included in the Statement of Changes in Net Assets Available for Benefits as expenses, but reduce the asset value of that mutual fund or collective trust. Additional expenses are associated with the SDA, and participants electing to invest through the SDA are charged directly for these fees through their SDA.

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Effective January 1, 2016, Wells Fargo Institutional Retirement & Trust reduced fees charged to the Plan for recordkeeping of participant accounts, as well as trust and custody of plan assets, and the Plan's fee structure was changed to provide for a flat per-participant fee rather than an asset-based fee for recordkeeping services. Also effective January 1, 2016, the Plan's investment adviser, NEPC, LLC restructured its fees to receive a higher proportion of its compensation in the form of a flat fee and reduced the asset-based fees charged to the Plan's Retirement Funds, and the fee was renegotiated and reduced effective July 2017. Additionally, as described in Note 8, the Plan reimburses the Company for direct expenses (salary and benefit costs) associated with a Company employee dedicated to servicing the Company's qualified retirement plans for time spent providing services to the Plan.

2. Summary of Significant Accounting Policies

Use of Estimates

The accompanying financial statements have been prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America ("GAAP"). Accounting estimates are an integral part of the financial statements. These estimates are based, in part, on management's assumptions concerning future events. Among the more significant assumptions are those that relate to fair value measurements. These accounting estimates reflect the best judgment of management, but actual results could differ.

Investment Valuation and Income Recognition

Investments are generally reported at fair value, with the exception of fully benefit responsive investment contracts, which are reported at contract value. Investments traded on securities exchanges, including common and preferred stocks, are valued at the year-end closing market prices or, in the absence of a closing price, the last reported trade price at the financial statement date. The fair value of the Plan's corporate debt instruments, U.S. Government and agency securities, municipal bonds and foreign bonds, is valued using a variety of observable market inputs, depending on the type of security being priced, and are obtained from pricing services engaged by the Plan's Trustee. See Note 3 (Fair Value Measurements) for a detailed discussion of the valuation techniques.

Purchases and sales of securities are reflected on a trade-date basis. Dividend income is recorded on the ex-dividend date. Interest income is recorded on an accrual basis. As required by the Plan, all dividend and interest income is reinvested into the same investment option in which the dividends and interest income arose, provided that restrictions may apply to investments held under the SDA, and with the exception of the American Express Company Stock Fund, which is an investment option and an Employee Stock Ownership Plan ("ESOP"). The ESOP holds shares of American Express Company stock on behalf of participants. Dividends are automatically reinvested in the American Express Company Stock Fund, unless participants elect that the dividends paid with respect to their interest in the fund be distributed in cash.

The Plan presents in the Statement of Changes in Net Assets Available for Benefits the net appreciation in the fair value of its investments, which consists of the realized gains or losses and the unrealized appreciation or depreciation on those investments.

Subsequent Events

The Plan has evaluated subsequent events for potential recognition and disclosure through the date the financial statements were issued. There were no subsequent events to report.

Recently Issued Accounting Standards

There were no recently issued accounting standards applicable to the Plan to report through the date the financial statements were issued.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

3. Fair Value Measurements

Fair value is defined as the price that would be received to sell an asset, or paid to transfer a liability, in an orderly transaction between market participants at the measurement date, based on the Plan's principal or, in the absence of a principal, most advantageous market for the specific asset or liability.

GAAP provides for a three-level hierarchy of inputs to valuation techniques used to measure fair value, defined as follows:

• Level 1 – Inputs that are quoted prices (unadjusted) for identical assets or liabilities in active markets that the Plan can access.

- Level 2 – Inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly, for substantially the full term of the asset or liability, including:

Quoted prices for similar assets or liabilities in active markets;

Quoted prices for identical or similar assets or liabilities in markets that are not active;

Inputs other than quoted prices that are observable for the asset or liability; and

Inputs that are derived principally from or corroborated by observable market data by correlation or other means.

Level 3 – Inputs that are unobservable and reflect the Plan's own assumptions about the assumptions market participants would use in pricing the asset or liability based on the best information available in the circumstances (e.g., internally derived assumptions surrounding the timing and amount of expected cash flows).

The Plan monitors the market conditions and evaluates the fair value hierarchy levels at least annually. For any transfers in and out of the levels of the fair value hierarchy, the Plan elects to disclose the fair value measurement at the beginning of the reporting period during which the transfer occurred.

The Plan, in partnership with a third-party, corroborates the prices provided by its Trustee's pricing services to test their reasonableness by comparing their prices to valuations from different pricing sources as well as comparing prices to the sale prices received from sold securities. In instances where price discrepancies are identified between different pricing sources, the Plan would evaluate such discrepancies to ensure that the prices used for its calculation represent the fair value of the underlying investment securities.

Financial Assets Carried at Fair Value

Financial assets disclosed in the tables below represent two types of assets. Assets held in funds (either mutual funds or common/collective trusts) are disclosed in the table according to the appropriate fund category (the underlying securities of those funds are not disclosed separately). Assets held in separate accounts (which are wholly owned by the Plan) are disclosed according to the appropriate category of the individual securities of those separately managed accounts; these individual securities include common stocks and fixed income securities. As such, the classification

of financial assets in the table does not correspond to the classification of the investment options available to Plan participants, as discussed in Note 4 (Investments).

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

The following table summarizes the Plan's financial assets measured at fair value on a recurring basis, categorized by GAAP's valuation hierarchy (as described above), as of December 31, 2017:

| Description (Thousands) | Total | Level 1 | Level 2 |
|--|-------------|-------------|-------------|
| Money market funds | \$55,811 | \$55,811 | \$ |
| Corporate debt instruments | 91,782 | | 91,782 |
| Common stocks | 2,074,740 | 2,074,740 | |
| Common/Collective trusts | 806,203 | | 806,203 |
| U.S. Government and agency obligations | 167,456 | | 167,456 |
| Mutual funds | 720,064 | 720,064 | |
| Self-directed brokerage accounts | 147,313 | 147,313 | |
| Other investments | 130,301 | | 130,301 |
| Total assets in the fair value hierarchy | \$4,193,670 | \$2,997,928 | \$1,195,742 |
| Common/collective trusts measured at net asset value ("NAV") | 505,532 | | |
| Total investments, at fair value | \$4,699,202 | | |

The following table summarizes the Plan's financial assets measured at fair value on a recurring basis, categorized by GAAP's valuation hierarchy (as described above), as of December 31, 2016:

| Description (Thousands) | Total | Level 1 | Level 2 |
|--|-------------|-------------|-------------|
| Money market funds | \$55,245 | \$55,245 | \$ |
| Corporate debt instruments | 76,738 | | 76,738 |
| Common stocks | 1,777,962 | 1,777,962 | |
| Common/Collective trusts | 672,722 | | 672,722 |
| U.S. Government and agency obligations | 168,684 | | 168,684 |
| Mutual funds | 747,142 | 747,142 | |
| Self-directed brokerage accounts | 134,956 | 134,956 | |
| Other investments | 92,912 | | 92,912 |
| Total assets in the fair value hierarchy | \$3,726,361 | \$2,715,305 | \$1,011,056 |
| Common/collective trusts measured at net asset value ("NAV") | 187,883 | | |
| Total investments, at fair value | \$3,914,244 | | |

There were no transfers between levels for the years ended December 31, 2017 and 2016.

Valuation Techniques Used in the Fair Value Measurement of Financial Assets Carried at Fair Value

For the financial assets measured at fair value on a recurring basis (categorized in the valuation hierarchy table above), the Plan applies the following valuation techniques:

Level 1:

Money market funds are valued at NAV, which represents the exit price.

Investments in American Express Company common stock, other stock and active publicly traded equity securities are valued at the official closing price of U.S. public exchanges or, if there is no official closing price that day, at the last reported trade price at the financial statement date.

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Notes to Financial Statements

Mutual funds held within the Plan are open-end mutual funds that are registered with the Securities and Exchange Commission under the Investment Company Act of 1940. These investments are required to make publicly available the daily NAV of the fund and to transact at this price. Hence, open-end mutual funds transact at quoted prices. In addition, the mutual funds held by the Plan are actively traded.

Self-directed brokerage accounts are primarily comprised of common stock and mutual funds and are valued at fair value using the corresponding valuation techniques as previously described.

Level 2:

The fair values for the Plan's corporate debt instruments, U.S. Government and agency obligations (which also include state and local government obligations) and Other investments (asset-backed securities, foreign sovereign debt and private placement bonds), are obtained primarily from pricing services engaged by the Plan's Trustee. The fair values provided by the pricing service are estimated using pricing models, where the inputs to those models are based on observable market inputs or recent trades of similar securities. The inputs to the valuation techniques applied by the pricing service vary depending on the type of security being priced but are typically benchmark yields, benchmark security prices, credit spreads, prepayment speeds, reported trades, and broker-dealer quotes, all with reasonable levels of transparency. The Trustee does not apply any adjustments to the pricing models used. In addition, the Plan did not apply any adjustments to the prices received from the pricing services for 2017 and 2016. The Plan reaffirms its understanding of the valuation techniques used by the Trustee's pricing services at least annually. The Plan classifies the prices obtained from the pricing services within Level 2 of the fair value hierarchy because the underlying inputs are directly observable from active markets or recent trades of similar securities in inactive markets. However, the pricing models used do entail a certain amount of subjectivity, and therefore differing judgments in how the underlying inputs are modeled could result in different estimates of fair value.

Common/collective trusts are investment funds formed by the pooling of investments by institutional investors, such as a group of not necessarily affiliated pension or retirement plans, typically with the intention of achieving cost savings over similar investment options such as mutual funds. Common/collective trusts are similar to mutual funds, with a named investment manager and documented investment objective. These investments, however, are not registered with the SEC (unlike mutual funds, which are registered with the SEC), and participation is not open to the public. The NAV is measured by the custodian or investment manager as of the close of regular daily trading and is corroborated with observable inputs provided by pricing services for the securities. To the extent the NAV is made publicly available, these common/collective trusts are classified within level 2 of the fair value hierarchy. For common/collective trusts whose NAVs are communicated only to investors in the trusts and are not publicly available, the NAVs are being used as practical expedient for fair value.

Level 3:

There are no Level 3 securities held by the Plan.

The fair values of the financial instruments are estimates based upon the market conditions and perceived risks as of December 31, 2017 and 2016, and require management judgment. The Plan's valuation techniques used to measure the fair value of its investments may produce fair values that may not be indicative of a future sale, or reflective of future fair values. The use of different techniques to determine the fair value of these types of investments could result in different estimates of fair value at the reporting date.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

4. Investments

The investment options available to participants include nine core investment options (the “Core Investment Options”), of which five are actively managed and four are passively managed (also known as index funds). In addition, target date funds (the “Retirement Funds”) that invest in a mix of the actively managed Core Investment Options based on target retirement dates are also available, and the age-appropriate Retirement Fund for the year in which a participant turns 65 generally serves as the Plan’s “default investment” to the extent a participant does not have a valid investment election on file. Additional investment options include an SDA and the American Express Company Stock Fund. A participant may currently elect to invest contributions in any combination of investment options in increments of 1% and change investment elections for future contributions on any business day the New York Stock Exchange is open. Participants are only able to allocate 10% of their future contributions to the American Express Company Stock Fund, and transfers of balances from other investment options into the American Express Company Stock Fund are only permitted to the extent the participant’s investment in the American Express Company Stock Fund after the transfer does not exceed 10% of the participant’s overall Plan balance. Special rules and restrictions may apply to the SDA.

A brief description of the investment options available to participants at December 31, 2017, is set forth below:

Core Investment Options

RSPIC has created five actively managed Core Investment Options to provide diversified and actively managed options to participants. Four of these actively managed Core Investment Options (The Diversified Bond Fund, The U.S. Large-Cap Equity Fund, The U.S. Small/Mid-Cap Equity Fund, and The International Equity Fund) represent a broad asset class (e.g., U.S. Large-Cap Equity, U.S. Small/Mid-Cap Equity, Bonds, etc.) using several active managers within each Fund. These actively managed Core Investment Options seek to outperform a broad market index by buying and selling a limited number of investments (stocks, bonds, or other investments) using the underlying investment managers’ investment management skills.

The actively managed Stable Value Fund invests in diversified pools of U.S. Government and agency fixed income securities together with book value wrap agreements issued by creditworthy insurance companies or banks with the objective to protect a participant’s original investment while offering a competitive rate of interest with minimum risk.

The Stable Value Fund holds a portfolio of book value wrap contracts that are fully benefit-responsive and comprised of both an investment and a contractual component. The investment component consists of units of common/collective trusts, fixed income strategies and a portfolio of actively managed fixed income securities, referred to as the Stable Value Fund assets. Under the book value wrap contracts, the book value wrap provider is obligated to provide sufficient funds to cover participant benefit withdrawals and certain types of investment transfers regardless of the market value of the Stable Value Fund assets. A portion of the Stable Value Fund assets are held in a separate account at MetLife as a condition for MetLife to provide its life insurance separate account contract, which provides similar participant benefit payments as a book value wrap contract. The assets in the MetLife separate account are not subject to the liabilities of the general account of MetLife. While the contracts are designed to protect the Stable Value Fund against interest rate risk, the Stable Value Fund is still exposed to risk if issuers of the Stable Value Fund assets default on payment of interest or principal, but this risk is mitigated because the underlying Stable Value Fund assets in the Stable Value Fund bond portfolio are backed by the U.S. government. The contracts may not cover participant benefit payments at contract value upon the occurrence of certain events, described below, involving the Stable Value Fund, American Express as its plan sponsor (“Plan Sponsor”) or Ameriprise Trust Company, an affiliate of Ameriprise Financial, Inc., its investment manager.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

Fully benefit-responsive book value wrap contracts held by a separately managed account created for a defined contribution plan are now required to be reported at contract value, rather than fair value, on the Statements of Net Assets. Contract value is the relevant measure for fully benefit-responsive investment contracts because contract value is the amount participants would receive if they were to initiate permitted transactions under the terms of the Plan. Contract value represents contributions made under each contract, plus earnings, less participant withdrawals, and administrative expenses.

Certain events might limit the ability of the Plan to transact at contract value with the contract issuer and therefore also limit the ability of the Plan to transact at contract value with the participants of the Plan. These events may be different under each contract. Examples of such events include the following:

- The Plan's failure to qualify under Section 401(a) of the Internal Revenue Code or the failure of the trust to be tax-exempt under Section 501(a) of the Internal Revenue Code;
- Premature termination of the contracts;
- Plan termination or merger;
- Changes to the Plan's administration of competing investment options; and
- Bankruptcy of the Plan Sponsor or other Plan Sponsor events (for example, divestitures or spinoffs of a subsidiary) that significantly affect the Plan's normal operations.

The Plan believes no such events are probable of occurring.

In addition, certain events allow the issuer to terminate the contracts with the Plan and settle at an amount different from contract value. Those events may be different under each contract. Examples of such events include the following:

- An uncured violation of the Plan's investment guidelines;
- A breach of material obligation under the contract;
- A material misrepresentation; and
- A material amendment to the agreements without the consent of the issuer.

The Plan believes no such events are probable of occurring.

RSPIC has also created four passively-managed (index) Core Investment Options: The Diversified Bond Index Fund, The U.S. Large-Cap Equity Index Fund, The U.S. Small/Mid-Cap Equity Index Fund, and The International Equity Index Fund, which currently use a single index fund as the underlying investment in each Fund. Each passively-managed Core Investment Option seeks to mirror the investments and track the performance of a broad market index that includes hundreds or thousands of stocks or bonds.

Self-Directed Accounts

The SDA gives participants the opportunity to invest in a wide variety of mutual funds in addition to the specific investment options mentioned above. Participants may request a Prospectus for any of the funds available through the SDA.

American Express Company Stock Fund

The Plan Document requires that this Fund be offered as an investment option under the Plan, subject to compliance with ERISA. The American Express Company Stock Fund is an ESOP. This Fund invests primarily in American Express Company common shares and holds a small amount of cash or other short-term cash equivalents to meet requests for investment transfers, withdrawals, and distributions. Participants have full voting rights for the common shares underlying the units that are allocated to the American Express Company Stock Fund.

A full, detailed description of the Plan's investment options, and associated terms and conditions, is available to all participants.

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
Notes to Financial Statements

5. Risks and Uncertainties

The Plan invests in various investment securities. Investment securities are exposed to various risks such as interest rate, market, and credit risks. Due to the level of risk associated with certain investment securities, it is at least reasonably possible that changes in the values of investment securities will continue to occur in the near term and that such changes could materially affect the amounts reported in the Statements of Net Assets Available for Benefits and the Statement of Changes in Net Assets Available for Benefits.

On October 16, 2015, a putative class action, captioned Houssain v. American Express Company, et al., was filed in the United States District Court for the Southern District of New York under ERISA relating to disclosures of the Costco cobrand relationship. On May 10, 2016, the plaintiff filed an amended complaint naming certain officers of the Company as defendants and alleging that the defendants violated certain ERISA fiduciary obligations by, among other things, allowing the investment of Plan assets in American Express common stock when American Express common stock was not a prudent investment and misrepresenting and failing to disclose material facts to Plan participants in connection with the administration of the Plan. The amended complaint sought, among other remedies, an unspecified amount of damages. On September 28, 2017, the Court granted defendants' motion to dismiss the amended complaint.

6. Income Tax Status

The Plan has received a favorable determination letter from the Internal Revenue Service ("IRS") dated November 21, 2016, stating that the Plan is qualified under section 401(a) of the Code, and therefore, the related trust is exempt from taxation. The Plan has been amended after the period covered by the determination letter, including those amendments described in Note 1 (Contributions). Although the Plan has been amended since receiving the determination letter, the Company believes the Plan, as amended, is currently designed and being operated in compliance with the applicable requirements of the Code, and therefore, believes that the Plan, as amended, is qualified, the related trust is tax-exempt, and the Plan satisfies the requirements of Section 4975(e)(7) of the Code. GAAP requires plan management to evaluate tax positions taken by the Plan and recognize a tax liability or asset if the Plan has taken an uncertain position that more likely than not would not be sustained upon examination by the IRS. The Company has analyzed the tax positions taken by the Plan, and has concluded that as of December 31, 2017, there are no uncertain positions taken or expected to be taken that would require recognition of a liability, or asset, or disclosure in the financial statements. The Plan is subject to routine audits by taxing jurisdictions; however, the Plan is no longer subject to examination for tax years prior to 2015, which is the earliest open year for U.S. federal tax purposes.

7. Reconciliation of Financial Statements to Form 5500

The following is a reconciliation of net assets available for benefits per the financial statements to Form 5500 as of December 31, 2017 and 2016:

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| (Thousands) | 2017 | 2016 |
|---|-------------|-------------|
| Net assets available for benefits per the financial statements | \$5,446,210 | \$4,618,201 |
| Difference between contract value and fair value of fully benefit-responsive investment contracts | (4,169) | (633) |
| Loans deemed distributed | (703) | (782) |
| Net assets available for benefits per the Form 5500 | \$5,441,338 | \$4,616,786 |

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Notes to Financial Statements

The following is a reconciliation of net income per the financial statements to Form 5500 for the year ended December 31, 2017:

| | |
|--|-----------|
| (Thousands) | 2017 |
| Net Increase in net assets available for benefits per the financial statements | \$828,009 |
| Adjustment for difference between contract value and fair value of fully benefit-responsive investment contracts | (3,536) |
| Change in deemed distributions of participant loans | 79 |
| Net income per the Form 5500 | \$824,552 |

8. Related Parties and Parties-In-Interest Transactions

The Plan allows for transactions with, and certain investments in, certain parties that may perform services for, or have fiduciary responsibilities to, the Plan, including Wells Fargo Bank, N.A., the Trustee, and its affiliates as well as investment managers appointed by RSPIC. Transactions with these parties are considered party-in-interest transactions, but not considered prohibited transactions under ERISA. As noted in Supplemental Schedule H, Line 4i, the Plan held investments with parties-in-interest in Wells Fargo Bank, N.A. and its affiliates, Ameriprise Financial, Inc. and its affiliates, J.P. Morgan Investment Management, Inc. and its affiliates, and the Vanguard Group and Vanguard Fiduciary Trust as of both December 31, 2017 and 2016, and Fidelity Investment Management as of December 31, 2017. The Plan also held investments in Morgan Stanley and its affiliates, and Morgan Stanley became an investment manager and fiduciary in 2017. Notes Receivable from Participants, as discussed in Note 1 (Description of the Plan), are also considered party-in-interest transactions.

Additionally, the Company is considered a party-in-interest as well as a related party. As of December 31, 2017 and 2016, the Plan held 6,189,243 shares of American Express Company common stock valued at \$615 million and 6,771,431 shares valued at \$502 million, respectively. During the 2017 plan year the Plan acquired 102,923 shares of American Express Company common stock valued at \$9 million through dividend reinvestments and sold 541,885 shares valued at \$47 million. The Plan reimburses the Company for direct expenses (salary and benefits costs) associated with a Company employee dedicated to servicing the Company's qualified retirement plans for time spent providing services to the Plan.

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SUPPLEMENTAL SCHEDULES

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EIN 13-4922250

Plan #: 002

AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|---|--|-------------------------------------|
| | Money Market Funds | | |
| | FIDELITY MM GOVT | | |
| | *PORTFOLIO #57 | 55,810 | 55,811 |
| | Corporate Debt Instruments | | |
| | 21ST CENTY FOX AMER | | |
| | 7.625% 11/30/28 | 300 | 400 |
| | ABBOTT LABORATORIES | | |
| | 3.875% 9/15/25 | 71 | 73 |
| | ABBVIE INC 3.200% | | |
| | 11/06/22 | 50 | 51 |
| | ABBVIE INC 4.500% | | |
| | 5/14/35 | 560 | 615 |
| | ACE INA HOLDINGS 2.700% | | |
| | 3/13/23 | 200 | 199 |
| | ACE INA HOLDINGS 2.875% | | |
| | 11/03/22 | 47 | 48 |
| | ACE INA HOLDINGS 3.350% | | |
| | 5/03/26 | 30 | 31 |
| | ACTAVIS FUNDING SCS | | |
| | 4.550% 3/15/35 | 35 | 37 |
| | ADVANCE AUTO PARTS | | |
| | 4.500% 12/01/23 | 100 | 105 |
| | AEP TRANSMISSION CO | | |
| | 4.000% 12/01/46 | 62 | 66 |
| | AETNA INC 2.800% | | |
| | 6/15/23 | 42 | 41 |
| | AGL CAPITAL CORP 5.250% | | |
| | 8/15/19 | 180 | 187 |
| | AGRIUM INC 3.375% | | |
| | 3/15/25 | 230 | 231 |
| | AGRIUM INC 4.125% | | |
| | 3/15/35 | 300 | 310 |
| | AIR LEASE CORP 3.000% | | |
| | 9/15/23 | 81 | 80 |
| | AIR LEASE CORP 3.625% | | |
| | 12/01/27 | 70 | 70 |
| | AIR LEASE CORP 3.875% | | |
| | 4/01/21 | 50 | 52 |
| | | 200 | 244 |

| | | |
|-----------------------------|-----|-----|
| ALABAMA POWER CO | | |
| 5.700% 2/15/33 | | |
| ALBERTA ENERGY CO LT | | |
| 7.375% 11/01/31 | 50 | 64 |
| ALLERGAN INC 2.800% | | |
| 3/15/23 | 620 | 613 |
| AMAZON.COM INC 3.800% | | |
| 12/05/24 | 200 | 211 |
| AMAZON.COM INC 4.800% | | |
| 12/05/34 | 150 | 176 |
| AMER AIRLINE 16-2 AA 3.200% | | |
| 6/15/28 | 190 | 189 |
| AMER AIRLINE 16-3 AA 3.000% | | |
| 10/15/28 | 228 | 222 |
| AMER AIRLINE 17-1 AA 3.650% | | |
| 2/15/29 | 69 | 71 |
| AMER AIRLINE 17-2B 3.700% | | |
| 10/15/25 | 198 | 198 |
| AMER AIRLN 13-1 A PA 4.000% | | |
| 7/15/25 | 80 | 82 |
| AMER AIRLN 14-1 A PT 3.700% | | |
| 10/01/26 | 125 | 127 |
| AMERADA HESS CORP | | |
| 7.125% 3/15/33 | 50 | 60 |
| AMERADA HESS CORP | | |
| 7.300% 8/15/31 | 120 | 146 |
| AMERICAN HONDA FINAN | | |
| 2.150% 3/13/20 | 100 | 100 |
| AMERICAN HONDA FINAN | | |
| 2.450% 9/24/20 | 99 | 99 |
| AMERICAN HONDA FINAN | | |
| 2.600% 11/16/22 | 150 | 150 |
| AMERICAN INTL GROUP | | |
| 3.875% 1/15/35 | 200 | 201 |
| AMERICAN INTL GROUP | | |
| 4.125% 2/15/24 | 200 | 211 |

*Indicates party-in-interest

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as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | AMERICAN TOWER CORP 2.250% 1/15/22 | 100 | 97 |
| | AMERICAN TOWER CORP 3.375% 10/15/26 | 56 | 55 |
| | AMERICAN TOWER CORP 4.000% 6/01/25 | 100 | 104 |
| | AMERICAN WATER CAPIT 3.400% 3/01/25 | 152 | 157 |
| | AMERIPRISE FINANCIAL *2.875% 9/15/26 | 89 | 87 |
| | AMERN AIRLINE 16-2 3.650% 6/15/28 | 21 | 21 |
| | AMGEN INC 3.625% 5/15/22 | 465 | 481 |
| | ANALOG DEVICES INC 3.125% 12/05/23 | 61 | 61 |
| | ANALOG DEVICES INC 4.500% 12/05/36 | 95 | 102 |
| | ANDEAVOR LOGIS LP/CO 4.250% 12/01/27 | 64 | 65 |
| | ANHEUSER-BUSCH INBEV 3.300% 2/01/23 | 636 | 651 |
| | ANHEUSER-BUSCH INBEV 3.650% 2/01/26 | 300 | 310 |
| | ANHEUSER-BUSCH INBEV 4.700% 2/01/36 | 448 | 501 |
| | ANTHEM INC 3.350% 12/01/24 | 70 | 71 |
| | AON PLC 3.500% 6/14/24 | 100 | 102 |
| | AON PLC 3.875% 12/15/25 | 207 | 216 |
| | APACHE COPORATION 6.000% 1/15/37 | 50 | 59 |
| | APPLE INC 2.700% 5/13/22 | 516 | 520 |
| | APPLE INC 2.750% 1/13/25 | 150 | 149 |
| | APPLE INC 2.850% 5/11/24 | 47 | 47 |
| | APPLE INC 2.900% 9/12/27 | 250 | 247 |
| | APPLE INC 3.000% 2/09/24 | 146 | 148 |
| | APPLE INC 3.000% 6/20/27 | 131 | 130 |
| | APPLE INC 3.200% 5/11/27 | 69 | 70 |

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| | | | | |
|----------------------|--------|---------|-----|-----|
| APPLE INC | 3.250% | 2/23/26 | 80 | 82 |
| APPLE INC | 3.450% | 5/06/24 | 95 | 99 |
| APPLE INC | 3.750% | 9/12/47 | 180 | 184 |
| APPLE INC | 3.850% | 8/04/46 | 129 | 134 |
| APPLE INC | 4.500% | 2/23/36 | 72 | 83 |
| ARC PROP OPER PART | 4.600% | | | |
| 2/06/24 | | | 205 | 214 |
| ARCH CAPITAL FINANCE | 4.011% | | | |
| 12/15/26 | | | 19 | 20 |
| ARCH CAPITAL FINANCE | 5.031% | | | |
| 12/15/46 | | | 44 | 51 |
| ARROW ELECTRONICS IN | | | | |
| 3.250% | | 9/08/24 | 66 | 65 |
| ARROW ELECTRONICS IN | | | | |
| 3.875% | | 1/12/28 | 55 | 55 |
| AT&T INC | 3.400% | 5/15/25 | 237 | 233 |
| AT&T INC | 3.950% | 1/15/25 | 158 | 162 |
| AT&T INC | 4.125% | 2/17/26 | 197 | 202 |
| AT&T INC | 4.450% | 4/01/24 | 74 | 78 |
| AT&T INC | 4.550% | 3/09/49 | 394 | 371 |
| AT&T INC | 4.900% | 8/14/37 | 324 | 328 |
| AT&T INC | 5.250% | 3/01/37 | 100 | 106 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | AT&T INC 5.350% 9/01/40 | 300 | 317 |
| | ATMOS ENERGY CORP 5.500% 6/15/41 | 100 | 126 |
| | AUTOZONE INC 3.750% 6/01/27 | 48 | 49 |
| | AVALONBAY COMMUNITIE 2.850% 3/15/23 | 90 | 90 |
| | AVALONBAY COMMUNITIE 3.500% 11/15/24 | 40 | 41 |
| | AVALONBAY COMMUNITIE 3.900% 10/15/46 | 15 | 15 |
| | BAKER HUGHES A GE CO 5.125% 9/15/40 | 50 | 59 |
| | BALTIMORE GAS & ELEC 3.500% 8/15/46 | 70 | 69 |
| | BALTIMORE GAS & ELEC 3.750% 8/15/47 | 70 | 72 |
| | BANK OF AMERICA CORP 2.625% 10/19/20 | 450 | 454 |
| | BANK OF AMERICA CORP 3.300% 1/11/23 | 800 | 818 |
| | BANK OF AMERICA CORP 3.950% 4/21/25 | 300 | 310 |
| | BANK OF AMERICA CORP 4.000% 4/01/24 | 55 | 58 |
| | BANK OF AMERICA CORP 6.875% 4/25/18 | 600 | 609 |
| | BANK OF MONTREAL 1.500% 7/18/19 | 78 | 77 |
| | BANK OF MONTREAL 2.350% 9/11/22 | 120 | 118 |
| | BANK OF NOVA SCOTIA 1.700% 6/11/18 | 450 | 450 |
| | BANK OF NOVA SCOTIA 2.450% 9/19/22 | 200 | 198 |
| | BANK OF NY MELLON CO 2.200% 8/16/23 | 100 | 97 |
| | BANK OF NY MELLON CO 2.450% 11/27/20 | 78 | 78 |

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| | | |
|-----------------------------|-----|-----|
| BANK OF NY MELLON CO 2.500% | | |
| 4/15/21 | 55 | 55 |
| BANK OF NY MELLON CO 2.600% | | |
| 8/17/20 | 229 | 231 |
| BARCLAYS PLC 3.684% | | |
| 1/10/23 | 317 | 322 |
| BARCLAYS PLC 4.375% | | |
| 1/12/26 | 200 | 208 |
| BAXALTA INC 3.600% | | |
| 6/23/22 | 50 | 51 |
| BAXALTA INC 5.250% | | |
| 6/23/45 | 22 | 26 |
| BB&T CORPORATION 2.625% | | |
| 6/29/20 | 180 | 181 |
| BECTON DICKINSON AND 2.675% | | |
| 12/15/19 | 131 | 131 |
| BERKSHIRE HATHAWAY | | |
| *5.750% 1/15/40 | 300 | 396 |
| BHP FIN USA LTD 6.420% | | |
| 3/01/26 | 300 | 367 |
| BIOGEN INC 3.625% 9/15/22 | 80 | 83 |
| BIOGEN INC 5.200% 9/15/45 | 43 | 51 |
| BOARDWALK PIPELINES 4.450% | | |
| 7/15/27 | 22 | 22 |
| BOARDWALK PIPELINES 4.950% | | |
| 12/15/24 | 100 | 107 |
| BOARDWALK PIPELINES 5.950% | | |
| 6/01/26 | 25 | 28 |
| BOSTON PROPERTIES LP 2.750% | | |
| 10/01/26 | 42 | 40 |
| BOSTON PROPERTIES LP 3.125% | | |
| 9/01/23 | 30 | 30 |
| BOSTON PROPERTIES LP 3.200% | | |
| 1/15/25 | 76 | 76 |
| BOSTON PROPERTIES LP 3.650% | | |
| 2/01/26 | 74 | 75 |
| BP CAPITAL MARKETS 3.017% | | |
| 1/16/27 | 35 | 35 |
| BP CAPITAL MARKETS 3.224% | | |
| 4/14/24 | 140 | 143 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | BP CAPITAL MARKETS 3.245% 5/06/22 | 200 | 205 |
| | BP CAPITAL MARKETS 3.279% 9/19/27 | 98 | 99 |
| | BP CAPITAL MARKETS 3.588% 4/14/27 | 100 | 103 |
| | BP CAPITAL MARKETS 3.814% 2/10/24 | 200 | 210 |
| | BRIXMOR OPERATING PA 3.850% 2/01/25 | 120 | 120 |
| | BROOKFIELD FINANCE 4.700% 9/20/47 | 30 | 31 |
| | BROWN-FORMAN CORP 4.500% 7/15/45 | 45 | 51 |
| | BUCKEYE PARTNERS LP 4.350% 10/15/24 | 74 | 76 |
| | BUCKEYE PARTNERS LP 5.850% 11/15/43 | 195 | 210 |
| | BUNGE LTD FINANCE CO 3.250% 8/15/26 | 28 | 27 |
| | BUNGE LTD FINANCE CO 3.500% 11/24/20 | 81 | 83 |
| | BUNGE LTD FINANCE CO 3.750% 9/25/27 | 59 | 58 |
| | BURLINGTN NORTH SANT 3.000% 3/15/23 | 400 | 408 |
| | BURLINGTN NORTH SANT 3.650% 9/01/25 | 100 | 105 |
| | BURLINGTN NORTH SANT 4.400% 3/15/42 | 50 | 56 |
| | BURLINGTON NORTH SAN 6.150% 5/01/37 | 60 | 80 |
| | CANADIAN NATL RESOUR 5.850% 2/01/35 | 200 | 234 |
| | CANADIAN PACIFIC RR 5.750% 3/15/33 | 70 | 84 |
| | CANADIAN PACIFIC RR 6.125% 9/15/15 | 64 | 85 |
| | | 200 | 205 |

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| | | |
|--------------------------------|-----|-----|
| CAPITAL ONE FINANCIA 3.750% | | |
| 4/24/24 | | |
| CAPITAL ONE FINANCIA 3.750% | | |
| 7/28/26 | 88 | 88 |
| CAPITAL ONE FINANCIA 4.200% | | |
| 10/29/25 | 175 | 180 |
| CAPITAL ONE NA 2.350% 8/17/18 | 250 | 250 |
| CARDINAL HEALTH INC 3.410% | | |
| 6/15/27 | 70 | 69 |
| CARDINAL HEALTH INC 3.750% | | |
| 9/15/25 | 45 | 46 |
| CARDINAL HEALTH INC 4.900% | | |
| 9/15/45 | 39 | 42 |
| CATERPILLAR FINANCIA 1.700% | | |
| 6/16/18 | 250 | 250 |
| CATERPILLAR INC 6.050% 8/15/36 | 300 | 401 |
| CBS CORP 4.000% 1/15/26 | 292 | 298 |
| CELGENE CORP 3.625% 5/15/24 | 173 | 178 |
| CELGENE CORP 5.700% 10/15/40 | 91 | 108 |
| CENOVUS ENERGY INC 3.800% | | |
| 9/15/23 | 150 | 151 |
| CENOVUS ENERGY INC 5.250% | | |
| 6/15/37 | 47 | 48 |
| CENOVUS ENERGY INC 6.750% | | |
| 11/15/39 | 90 | 108 |
| CENTERPOINT ENER HOU 3.000% | | |
| 2/01/27 | 91 | 91 |
| CHARLES SCHWAB CORP 3.200% | | |
| 3/02/27 | 150 | 151 |
| CHARTER COMM OPT LLC 4.908% | | |
| 7/23/25 | 532 | 566 |
| CHARTER COMM OPT LLC 6.384% | | |
| 10/23/35 | 52 | 61 |
| CHARTER COMM OPT LLC 6.834% | | |
| 10/23/55 | 70 | 84 |
| CHEVRON CORP 2.566% 5/16/23 | 210 | 210 |
| CHEVRON CORP 2.895% 3/03/24 | 81 | 82 |

* Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | CINCINNATI FINL CORP 6.920% | | |
| | 5/15/28 | 50 | 65 |
| | CISCO SYSTEMS INC 1.850% 9/20/21 | 70 | 69 |
| | CISCO SYSTEMS INC 2.200% 2/28/21 | 150 | 150 |
| | CISCO SYSTEMS INC 2.950% 2/28/26 | 73 | 73 |
| | CISCO SYSTEMS INC 3.000% 6/15/22 | 139 | 142 |
| | CITIGROUP INC 1.800% 2/05/18 | 600 | 600 |
| | CITIGROUP INC 2.150% 7/30/18 | 329 | 329 |
| | CITIGROUP INC 2.750% 4/25/22 | 400 | 399 |
| | CITIGROUP INC 3.200% 10/21/26 | 65 | 64 |
| | CITIGROUP INC 4.125% 7/25/28 | 21 | 22 |
| | CITIGROUP INC 4.400% 6/10/25 | 188 | 198 |
| | CITIGROUP INC 4.750% 5/18/46 | 100 | 110 |
| | CITIZENS BANK NA/RI 2.550% 5/13/21 | 250 | 249 |
| | CITIZENS FINANCIAL 2.375% 7/28/21 | 20 | 20 |
| | CITIZENS FINANCIAL 4.300% | | |
| | 12/03/25 | 47 | 49 |
| | CLEVELAND ELECTRIC 5.950% | | |
| | 12/15/36 | 40 | 50 |
| | CME GROUP INC 3.000% 3/15/25 | 200 | 202 |
| | CMS ENERGY CORP 2.950% 2/15/27 | 39 | 38 |
| | CMS ENERGY CORP 3.875% 3/01/24 | 180 | 188 |
| | CNOOC FINANCE 2013 3.000% | | |
| | 5/09/23 | 400 | 396 |
| | COMCAST CORP 2.750% 3/01/23 | 205 | 206 |
| | COMCAST CORP 3.000% 2/01/24 | 100 | 101 |
| | COMCAST CORP 3.200% 7/15/36 | 200 | 190 |
| | COMCAST CORP 4.200% 8/15/34 | 100 | 107 |
| | COMCAST CORP 6.500% 11/15/35 | 123 | 166 |
| | COMERICA BANK 4.000% 7/27/25 | 300 | 311 |
| | COMMONWEALTH EDISON 3.650% | | |
| | 6/15/46 | 45 | 45 |
| | COMMONWEALTH REIT 5.875% | | |
| | 9/15/20 | 350 | 370 |
| | CONNECTICUT LIGHT & 3.200% | | |
| | 3/15/27 | 50 | 51 |
| | CONOCO INC 6.950% 4/15/29 | 300 | 394 |
| | CONSOLIDATED EDISON 4.300% | | |
| | 12/01/56 | 161 | 176 |
| | | 30 | 32 |

| | | |
|-----------------------------|-----|-----|
| CONSTELLATION BRANDS 4.250% | | |
| 5/01/23 | | |
| CONSUMERS ENERGY CO 3.250% | | |
| 8/15/46 | 17 | 16 |
| CROWN CASTLE INTL CO 4.000% | | |
| 3/01/27 | 24 | 25 |
| CROWN CASTLE INTL CO 4.875% | | |
| 4/15/22 | 112 | 120 |
| CROWN CASTLE INTL CO 5.250% | | |
| 1/15/23 | 70 | 77 |
| CSX CORP 6.000% 10/01/36 | 175 | 224 |
| CVS CAREMARK CORP 2.750% | | |
| 12/01/22 | 60 | 59 |
| CVS CAREMARK CORP 4.000% | | |
| 12/05/23 | 111 | 115 |
| DANAHER CORP 2.400% 9/15/20 | 36 | 36 |
| DARDEN RESTAURANTS 3.850% | | |
| 5/01/27 | 43 | 44 |

* Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | DDR CORP 3.375% 5/15/23 | 60 | 60 |
| | DDR CORP 3.625% 2/01/25 | 70 | 69 |
| | DEUTSCHE BANK NY 3.300% 11/16/22 | 100 | 99 |
| | DEUTSCHE BK AKTIENGE 4.250% 10/14/21 | 184 | 191 |
| | DIGITAL REALTY TRUST 3.700% 8/15/27 | 39 | 39 |
| | DISCOVER BANK 4.200% 8/08/23 | 250 | 263 |
| | DISCOVERY COMMUNICAT 3.450% 3/15/25 | 120 | 118 |
| | DISCOVERY COMMUNICAT 3.950% 3/20/28 | 53 | 53 |
| | DOMINION ENERGY INC 1.500% 7/01/20 | 70 | 70 |
| | DOMINION GAS HLDGS 2.800% 11/15/20 | 112 | 113 |
| | DOMINION RESOURCES 2.750% 1/15/22 | 66 | 66 |
| | DOMINION RESOURCES 2.850% 8/15/26 | 76 | 73 |
| | DOW CHEMICAL CO/THE 3.500% 10/01/24 | 200 | 206 |
| | DTE ENERGY CO 3.300% 6/15/22 | 119 | 121 |
| | DUKE ENERGY CAROLINA 3.900% 6/15/21 | 100 | 104 |
| | DUKE ENERGY CORP 2.650% 9/01/26 | 43 | 41 |
| | DUKE ENERGY CORP 6.000% 12/01/28 | 80 | 99 |
| | DUKE ENERGY INDIANA 3.750% 5/15/46 | 80 | 82 |
| | DUKE ENERGY OHIO INC 3.700% 6/15/46 | 46 | 47 |
| | DUKE ENERGY PROGRESS 3.250% 8/15/25 | 53 | 54 |
| | DUKE ENERGY PROGRESS 3.700% 10/15/46 | 54 | 55 |
| | | 130 | 143 |

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| | | |
|-------------------------------|-----|-----|
| DUKE ENERGY PROGRESS 4.200% | | |
| 8/15/45 | | |
| DUKE REALTY LP 3.250% 6/30/26 | 23 | 23 |
| DUKE REALTY LP 3.875% 2/15/21 | 70 | 72 |
| DXC TECHNOLOGY CO 4.250% | | |
| 4/15/24 | 47 | 49 |
| E*TRADE FINANCIAL CO 3.800% | | |
| 8/24/27 | 23 | 23 |
| EATON CORP 4.000% 11/02/32 | 170 | 176 |
| EBAY INC 2.600% 7/15/22 | 451 | 447 |
| ECOLAB INC 3.250% 1/14/23 | 88 | 90 |
| ECOPETROL SA 5.375% 6/26/26 | 104 | 112 |
| ECOPETROL SA 5.875% 9/18/23 | 128 | 141 |
| EDISON INTERNATIONAL 2.950% | | |
| 3/15/23 | 100 | 100 |
| EMERA US FINANCE LP 3.550% | | |
| 6/15/26 | 70 | 70 |
| EMERSON ELECTRIC CO 6.000% | | |
| 8/15/32 | 150 | 187 |
| ENBRIDGE INC 5.500% 12/01/46 | 50 | 60 |
| ENCANA CORP 7.200% 11/01/31 | 140 | 180 |
| ENERGY TRANSFER PART 3.600% | | |
| 2/01/23 | 22 | 22 |
| ENERGY TRANSFER PART 4.050% | | |
| 3/15/25 | 136 | 136 |
| ENERGY TRANSFER PART 4.750% | | |
| 1/15/26 | 45 | 47 |
| ENERGY TRANSFER PART 4.900% | | |
| 2/01/24 | 48 | 51 |
| ENERGY TRANSFER PART 6.050% | | |
| 6/01/41 | 183 | 196 |

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|-----|--|---|----------------------------------|
| | ENLINK MIDSTREAM PAR 4.150% | | |
| | 6/01/25 | 152 | 154 |
| | ENLINK MIDSTREAM PAR 5.050% | | |
| | 4/01/45 | 80 | 79 |
| | ENLINK MIDSTREAM PAR 5.600% | | |
| | 4/01/44 | 50 | 52 |
| | ENTERGY ARKANSAS INC 3.500% | | |
| | 4/01/26 | 31 | 32 |
| | ENTERGY CORP 2.950% 9/01/26 | 31 | 30 |
| | ENTERGY LOUISIANA LL 2.400% | | |
| | 10/01/26 | 59 | 56 |
| | ENTERGY LOUISIANA LL 3.050% | | |
| | 6/01/31 | 57 | 55 |
| | ENTERGY LOUISIANA LL 3.120% | | |
| | 9/01/27 | 40 | 40 |
| | ENTERGY MISSISSIPPI 2.850% | | |
| | 6/01/28 | 50 | 48 |
| | ENTERPRISE PRODUCTS 3.900% | | |
| | 2/15/24 | 200 | 208 |
| | ENTERPRISE PRODUCTS 6.650% | | |
| | 10/15/34 | 300 | 390 |
| | ENTERPRISE PRODUCTS 7.550% | | |
| | 4/15/38 | 90 | 126 |
| | EOG RESOURCES INC 4.150% | | |
| | 1/15/26 | 60 | 64 |
| | EOG RESOURCES INC 5.100% | | |
| | 1/15/36 | 94 | 109 |
| | EPR PROPERTIES 4.500% 6/01/27 | 75 | 75 |
| | EQT CORP 3.900% 10/01/27 | 60 | 60 |
| | ERP OPERATING LP 2.850% | | |
| | 11/01/26 | 51 | 49 |
| | ERP OPERATING LP 3.000% 4/15/23 | 100 | 101 |
| | EXELON CORP 2.500% 6/01/22 | 80 | 82 |
| | EXELON CORP 3.400% 4/15/26 | 63 | 63 |
| | EXELON GENERATION CO 3.400% | | |
| | 3/15/22 | 96 | 98 |
| | EXELON GENERATION CO 4.250% | | |
| | 6/15/22 | 75 | 79 |
| | | 180 | 211 |

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| | | |
|-----------------------------|-------|-------|
| EXELON GENERATION CO 6.250% | | |
| 10/01/39 | | |
| EXPRESS SCRIPTS HOLD 3.000% | | |
| 7/15/23 | 43 | 43 |
| EXPRESS SCRIPTS HOLD 4.500% | | |
| 2/25/26 | 108 | 115 |
| EXPRESS SCRIPTS HOLD 4.800% | | |
| 7/15/46 | 53 | 56 |
| EXXON MOBIL CORPORAT 2.726% | | |
| 3/01/23 | 124 | 125 |
| EXXON MOBIL CORPORAT 4.114% | | |
| 3/01/46 | 77 | 86 |
| FEDEX CORP 3.250% 4/01/26 | 45 | 45 |
| FEDEX CORP 4.100% 4/15/43 | 40 | 41 |
| FIFTH THIRD BANCORP 2.875% | | |
| 7/27/20 | 188 | 190 |
| FIRSTENERGY CORP 3.900% | | |
| 7/15/27 | 38 | 39 |
| FIRSTENERGY CORP 4.850% | | |
| 7/15/47 | 26 | 29 |
| FLORIDA POWER & LIGH 3.125% | | |
| 12/01/25 | 250 | 254 |
| FORD MOTOR COMPANY 7.450% | | |
| 7/16/31 | 270 | 353 |
| FORD MOTOR CREDIT CO 2.240% | | |
| 6/15/18 | 422 | 422 |
| FORD MOTOR CREDIT CO 3.200% | | |
| 1/15/21 | 275 | 279 |
| FORD MOTOR CREDIT CO 4.134% | | |
| 8/04/25 | 212 | 219 |
| FORTIS INC 3.055% 10/04/26 | 250 | 241 |
| GE CAPITAL INTL FUND 4.418% | | |
| 11/15/35 | 1,649 | 1,784 |
| GENERAL ELEC CAP COR 3.100% | | |
| 1/09/23 | 115 | 117 |

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|-----|--|---|----------------------------------|
| | GENERAL ELEC CAP COR 3.150% | | |
| | 9/07/22 | 287 | 292 |
| | GENERAL MOTORS CO 5.150% | | |
| | 4/01/38 | 200 | 213 |
| | GENERAL MOTORS CO 6.600% | | |
| | 4/01/36 | 175 | 213 |
| | GENERAL MOTORS FINL 3.100% | | |
| | 1/15/19 | 30 | 30 |
| | GENERAL MOTORS FINL 3.450% | | |
| | 4/10/22 | 182 | 184 |
| | GENERAL MOTORS FINL 3.500% | | |
| | 11/07/24 | 100 | 100 |
| | GENERAL MOTORS FINL 3.950% | | |
| | 4/13/24 | 185 | 190 |
| | GENERAL MOTORS FINL 4.000% | | |
| | 1/15/25 | 110 | 113 |
| | GENERAL MOTORS FINL 4.000% | | |
| | 10/06/26 | 140 | 142 |
| | GENERAL MOTORS FINL 4.300% | | |
| | 7/13/25 | 50 | 52 |
| | GENERAL MOTORS FINL 4.350% | | |
| | 1/17/27 | 87 | 90 |
| | GILEAD SCIENCES INC 2.500% 9/01/23 | 9 | 9 |
| | GILEAD SCIENCES INC 3.500% 2/01/25 | 20 | 21 |
| | GILEAD SCIENCES INC 3.700% 4/01/24 | 173 | 181 |
| | GILEAD SCIENCES INC 4.000% 9/01/36 | 40 | 42 |
| | GILEAD SCIENCES INC 4.600% 9/01/35 | 105 | 118 |
| | GLAXOSMITHKLINE CAP 2.800% | | |
| | 3/18/23 | 150 | 151 |
| | GOLDMAN SACHS GROUP 3.500% | | |
| | 11/16/26 | 150 | 151 |
| | GOLDMAN SACHS GROUP 3.625% | | |
| | 1/22/23 | 800 | 826 |
| | GOLDMAN SACHS GROUP 3.850% | | |
| | 1/26/27 | 224 | 230 |
| | GOLDMAN SACHS GROUP 5.750% | | |
| | 1/24/22 | 500 | 554 |
| | GOLDMAN SACHS GROUP 5.950% | | |
| | 1/18/18 | 359 | 360 |

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| | | |
|----------------------------------|-----|-----|
| GULF SOUTH PIPELINE 4.000% | | |
| 6/15/22 | 100 | 103 |
| HALLIBURTON CO 4.850% 11/15/35 | 43 | 48 |
| HALLIBURTON COMPANY 3.500% | | |
| 8/01/23 | 150 | 154 |
| HALLIBURTON COMPANY 6.700% | | |
| 9/15/38 | 50 | 66 |
| HARRIS CORPORATION 3.832% | | |
| 4/28/25 | 100 | 104 |
| HARRIS CORPORATION 4.854% | | |
| 4/27/35 | 40 | 45 |
| HASBRO INC 3.500% 9/15/27 | 58 | 57 |
| HCP INC 4.200% 3/01/24 | 250 | 262 |
| HEALTH CARE REIT INC 4.000% | | |
| 6/01/25 | 30 | 31 |
| HOME DEPOT INC 2.125% 9/15/26 | 26 | 24 |
| HOME DEPOT INC 3.000% 4/01/26 | 53 | 53 |
| HOME DEPOT INC 3.500% 9/15/56 | 18 | 17 |
| HONEYWELL INTERNATIO 2.500% | | |
| 11/01/26 | 200 | 193 |
| HSBC HOLDINGS PLC 2.650% 1/05/22 | 916 | 910 |
| HSBC HOLDINGS PLC 7.350% | | |
| 11/27/32 | 224 | 300 |
| HUNTINGTON BANCSHARE 2.300% | | |
| 1/14/22 | 115 | 113 |
| HUNTINGTON NATIONAL 2.000% | | |
| 6/30/18 | 250 | 250 |
| HUSKY ENERGY INC 3.950% 4/15/22 | 200 | 207 |
| ING GROEP NV 3.950% 3/29/27 | 200 | 209 |

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|-----|--|---|----------------------------------|
| | INTEL CORP 3.150% 5/11/27 | 80 | 82 |
| | INTEL CORP 3.700% 7/29/25 | 130 | 137 |
| | INTEL CORP 4.100% 5/19/46 | 45 | 50 |
| | INTERNATIONAL PAPER 3.000% 2/15/27 | 79 | 77 |
| | INTL LEASE FINANCE 5.875% 8/15/22 | 150 | 166 |
| | INTL LEASE FINANCE 8.625% 1/15/22 | 100 | 120 |
| | INTL PAPER CO 7.300% 11/15/39 | 50 | 70 |
| | INTL PAPER CO 8.700% 6/15/38 | 40 | 61 |
| | INVESCO FINANCE PLC 3.750% 1/15/26 | 78 | 81 |
| | JB HUNT TRANSPRT SVC 3.850% 3/15/24 | 100 | 103 |
| | JEFFERIES GROUP LLC 4.850% 1/15/27 | 46 | 49 |
| | JERSEY CENTRAL PWR 6.150% 6/01/37 | 30 | 37 |
| | JOHN DEERE CAPITAL 1.600% 7/13/18 | 114 | 114 |
| | JOHN DEERE CAPITAL 2.800% 9/08/27 | 100 | 98 |
| | JOHN DEERE CAPITAL 3.350% 6/12/24 | 179 | 184 |
| | JOHNSON & JOHNSON 3.400% 1/15/38 | 123 | 126 |
| | JOHNSON & JOHNSON 4.375% 12/05/33 | 22 | 25 |
| | JOHNSON CONTROLS INT 3.900% 2/14/26 | 16 | 17 |
| | JOHNSON CONTROLS INT 4.250% 3/01/21 | 150 | 157 |
| | JOHNSON CONTROLS INT 5.125% 9/14/45 | 27 | 32 |
| | KELLOGG CO 3.400% 11/15/27 | 110 | 109 |
| | KERR MCGEE CORP 7.875% 9/15/31 | 300 | 399 |
| | KEYCORP 2.900% 9/15/20 | 62 | 63 |
| | KIMBERLY-CLARK CORP 3.050% 8/15/25 | 50 | 51 |
| | | 50 | 50 |

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| | | |
|-------------------------------|-----|-----|
| KIMCO REALTY CORP 3.800% | | |
| 4/01/27 | | |
| KRAFT FOODS GROUP IN 6.875% | | |
| 1/26/39 | 300 | 395 |
| KRAFT HEINZ FOODS CO 3.950% | | |
| 7/15/25 | 200 | 207 |
| KRAFT HEINZ FOODS CO 5.000% | | |
| 7/15/35 | 100 | 109 |
| KROGER CO. 6.900% 4/15/38 | 300 | 388 |
| LASMO USA INC DTD 7.300% | | |
| 11/15/27 | 70 | 88 |
| LIBERTY PROPERTY LP 3.250% | | |
| 10/01/26 | 27 | 27 |
| LINCOLN NATIONAL COR 4.200% | | |
| 3/15/22 | 300 | 316 |
| LLOYDS BANKING GROUP 3.750% | | |
| 1/11/27 | 200 | 203 |
| LOCKHEED MARTIN CORP 3.100% | | |
| 1/15/23 | 43 | 44 |
| LOCKHEED MARTIN CORP 4.090% | | |
| 9/15/52 | 113 | 118 |
| LOCKHEED MARTIN CORP 4.500% | | |
| 5/15/36 | 150 | 168 |
| LOUISVILLE GAS & ELE 3.300% | | |
| 10/01/25 | 71 | 73 |
| LOWE'S COS INC 3.375% 9/15/25 | 42 | 43 |
| MACYS RETAIL HLDGS 6.790% | | |
| 7/15/27 | 100 | 108 |
| MAGELLAN HEALTH SRVC 4.400% | | |
| 9/22/24 | 167 | 168 |
| MAGELLAN MIDSTREAM 4.250% | | |
| 2/01/21 | 250 | 261 |

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|-----|---|--|-------------------------------------|
| | MARATHON OIL CORP 6.600% | | |
| | 10/01/37 | 150 | 188 |
| | MARSH & MCLENNAN COS | | |
| | 3.750% 3/14/26 | 175 | 183 |
| | MARTIN MARIETTA MATE | | |
| | 3.450% 6/01/27 | 73 | 72 |
| | MCCORMICK & CO 3.150% | | |
| | 8/15/24 | 75 | 75 |
| | MCDONALD'S CORP 4.700% | | |
| | 12/09/35 | 101 | 115 |
| | MCDONALD'S CORP 6.300% | | |
| | 10/15/37 | 38 | 51 |
| | MEAD JOHNSON NUTRITI | | |
| | 4.125% 11/15/25 | 120 | 127 |
| | MEAD JOHNSON NUTRITI | | |
| | 4.600% 6/01/44 | 35 | 39 |
| | METLIFE INC 3.600% | | |
| | *11/13/25 | 109 | 113 |
| | METLIFE INC 4.368% | | |
| | *9/15/23 | 300 | 324 |
| | MICROSOFT CORP 2.400% | | |
| | 8/08/26 | 100 | 96 |
| | MICROSOFT CORP 2.875% | | |
| | 2/06/24 | 90 | 91 |
| | MICROSOFT CORP 3.300% | | |
| | 2/06/27 | 84 | 87 |
| | MICROSOFT CORP 4.000% | | |
| | 2/12/55 | 120 | 128 |
| | MICROSOFT CORP 4.100% | | |
| | 2/06/37 | 136 | 152 |
| | MICROSOFT CORP 4.200% | | |
| | 11/03/35 | 77 | 87 |
| | MICROSOFT CORP 4.500% | | |
| | 2/06/57 | 119 | 141 |
| | MICROSOFT CORP 4.750% | | |
| | 11/03/55 | 109 | 135 |
| | MIDAMERICAN ENERGY | | |
| | 3.100% 5/01/27 | 101 | 102 |
| | | 146 | 152 |

| | | |
|-------------------------|-----|-----|
| MIDAMERICAN ENERGY | | |
| 3.500% 10/15/24 | | |
| MORGAN STANLEY | | |
| *2.750% 5/19/22 | 200 | 199 |
| MORGAN STANLEY | | |
| *3.750% 2/25/23 | 757 | 785 |
| MORGAN STANLEY | | |
| *3.875% 1/27/26 | 108 | 113 |
| MORGAN STANLEY | | |
| *4.100% 5/22/23 | 500 | 521 |
| MORGAN STANLEY | | |
| *5.500% 7/28/21 | 800 | 875 |
| MOSAIC CO 4.250% | | |
| 11/15/23 | 330 | 342 |
| MPLX LP 4.875% 12/01/24 | 80 | 86 |
| MPLX LP 5.200% 3/01/47 | 40 | 44 |
| MYLAN INC 5.400% | | |
| 11/29/43 | 50 | 55 |
| NATIONAL AUSTRALIA | | |
| 1.875% 7/23/18 | 350 | 350 |
| NATIONAL AUSTRALIA | | |
| 2.125% 5/22/20 | 250 | 249 |
| NATIONAL RETAIL PROP | | |
| 3.600% 12/15/26 | 62 | 61 |
| NATIONAL RETAIL PROP | | |
| 4.000% 11/15/25 | 218 | 224 |
| NATIONAL RURAL UTIL | | |
| 2.950% 2/07/24 | 31 | 31 |
| NBCUNIVERSAL MEDIA | | |
| 4.375% 4/01/21 | 150 | 159 |
| NEVADA POWER CO 5.375% | | |
| 9/15/40 | 42 | 52 |
| NISOURCE FINANCE COR | | |
| 6.250% 12/15/40 | 180 | 233 |
| NOBLE ENERGY INC 5.625% | | |
| 5/01/21 | 72 | 74 |
| NOBLE ENERGY INC 6.000% | | |
| 3/01/41 | 100 | 118 |
| NORFOLK SOUTHERN COR | | |
| 3.850% 1/15/24 | 88 | 93 |
| NORTHERN STATE PWR | | |
| 6.250% 6/01/36 | 30 | 41 |

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|-----|--|---|----------------------------------|
| | NORTHERN STATE PWR- 6.200% | | |
| | 7/01/37 | 50 | 68 |
| | NORTHROP GRUMMAN COR 3.200% | | |
| | 2/01/27 | 80 | 80 |
| | NORTHROP GRUMMAN COR 3.250% | | |
| | 1/15/28 | 50 | 50 |
| | NSTAR ELECTRIC CO 2.700% | | |
| | 6/01/26 | 100 | 97 |
| | NUCOR CORP 4.000% 8/01/23 | 140 | 147 |
| | NUCOR CORP 6.400% 12/01/37 | 50 | 67 |
| | OCCIDENTAL PETROLEUM 2.700% | | |
| | 2/15/23 | 80 | 80 |
| | OCCIDENTAL PETROLEUM 3.500% | | |
| | 6/15/25 | 45 | 47 |
| | OCCIDENTAL PETROLEUM 4.625% | | |
| | 6/15/45 | 26 | 29 |
| | ONEOK INC 7.500% 9/01/23 | 300 | 357 |
| | ONEOK PARTNERS LP 3.375% | | |
| | 10/01/22 | 31 | 31 |
| | ONEOK PARTNERS LP 4.900% | | |
| | 3/15/25 | 100 | 107 |
| | ONEOK PARTNERS LP 5.000% | | |
| | 9/15/23 | 69 | 74 |
| | ONEOK PARTNERS LP 8.625% | | |
| | 3/01/19 | 50 | 53 |
| | ORACLE CORP 2.400% 9/15/23 | 101 | 100 |
| | ORACLE CORP 2.950% 5/15/25 | 200 | 201 |
| | ORACLE CORP 2.950% 11/15/24 | 130 | 131 |
| | ORACLE CORP 3.850% 7/15/36 | 150 | 159 |
| | ORACLE CORP 3.900% 5/15/35 | 500 | 530 |
| | ORACLE CORP 4.300% 7/08/34 | 200 | 222 |
| | ORACLE CORP 5.750% 4/15/18 | 100 | 101 |
| | O'REILLY AUTOMOTIVE 3.600% | | |
| | 9/01/27 | 62 | 62 |
| | ORIX CORP 2.900% 7/18/22 | 55 | 55 |
| | PACCAR FINANCIAL COR 1.300% | | |
| | 5/10/19 | 51 | 50 |
| | | 60 | 60 |

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| | | |
|-----------------------------|-----|-----|
| PACCAR FINANCIAL COR 2.250% | | |
| 2/25/21 | | |
| PACIFIC GAS & ELECTR 3.250% | | |
| 6/15/23 | 190 | 192 |
| PACIFIC GAS & ELECTR 3.500% | | |
| 6/15/25 | 109 | 111 |
| PACIFIC GAS & ELECTR 6.050% | | |
| 3/01/34 | 100 | 126 |
| PEMEX PROJ FDG MASTE 6.625% | | |
| 6/15/35 | 250 | 267 |
| PENTAIR FINANCE SA 2.900% | | |
| 9/15/18 | 70 | 70 |
| PEPSICO INC 3.100% 7/17/22 | 104 | 106 |
| PEPSICO INC 3.450% 10/06/46 | 70 | 68 |
| PEPSICO INC 4.600% 7/17/45 | 47 | 55 |
| PEPSICO INC 4.875% 11/01/40 | 20 | 24 |
| PETRO-CANADA 5.950% 5/15/35 | 300 | 376 |
| PETROLEOS MEXICANOS 4.625% | | |
| 9/21/23 | 117 | 120 |
| PETROLEOS MEXICANOS 6.375% | | |
| 2/04/21 | 131 | 142 |
| PETROLEOS MEXICANOS 6.750% | | |
| 9/21/47 | 104 | 109 |
| PETROLEOS MEXICANOS 6.875% | | |
| 8/04/26 | 105 | 119 |
| PFIZER INC 3.000% 12/15/26 | 105 | 106 |
| PHILIPS ELECTRONICS 3.750% | | |
| 3/15/22 | 200 | 208 |

* Indicates party-in-interest

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as of December 31, 2017

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|-----|--|---|----------------------------------|
| | PHILLIPS 66 PARTNERS 3.550% | | |
| | 10/01/26 | 15 | 15 |
| | PHILLIPS 66 PARTNERS 3.605% | | |
| | 2/15/25 | 160 | 161 |
| | PHILLIPS 66 PARTNERS 4.900% | | |
| | 10/01/46 | 40 | 42 |
| | PLAINS ALL AMER PIPE 4.650% | | |
| | 10/15/25 | 450 | 464 |
| | PNC BANK NA 2.950% 1/30/23 | 505 | 508 |
| | POTASH CORP-SASKATCH 3.000% | | |
| | 4/01/25 | 150 | 147 |
| | PPL CAPITAL FUNDING 4.000% | | |
| | 9/15/47 | 63 | 65 |
| | PRECISION CASTPARTS 3.250% | | |
| | 6/15/25 | 80 | 82 |
| | PRECISION CASTPARTS 4.375% | | |
| | 6/15/45 | 80 | 90 |
| | PRICELINE GROUP INC/ 3.550% | | |
| | 3/15/28 | 200 | 198 |
| | PROCTER & GAMBLE CO/ 2.850% | | |
| | 8/11/27 | 110 | 109 |
| | PROGRESS ENERGY INC 7.000% | | |
| | 10/30/31 | 50 | 67 |
| | PROGRESSIVE CORP 2.450% 1/15/27 | 88 | 84 |
| | PROLOGIS LP 3.750% 11/01/25 | 38 | 40 |
| | PROV ST JOSEPH HLTH 2.746% | | |
| | 10/01/26 | 28 | 27 |
| | PSI ENERGY INC 6.120% 10/15/35 | 50 | 66 |
| | PUBLIC SERVICE COLOR 3.550% | | |
| | 6/15/46 | 27 | 27 |
| | PUBLIC SERVICE ELECT 2.250% | | |
| | 9/15/26 | 70 | 66 |
| | QUALCOMM INC 2.600% 1/30/23 | 14 | 14 |
| | QUALCOMM INC 3.250% 5/20/27 | 88 | 86 |
| | QUEST DIAGNOSTICS IN 3.450% | | |
| | 6/01/26 | 20 | 20 |
| | RABOBANK NEDERLAND 3.875% | | |
| | 2/08/22 | 150 | 158 |
| | | 250 | 268 |

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| | | |
|---------------------------------|-----|-----|
| RABOBANK NEDERLAND 4.625% | | |
| 12/01/23 | | |
| REALTY INCOME CORP 3.875% | | |
| 7/15/24 | 250 | 258 |
| REGIONS FINANCIAL CO 2.750% | | |
| 8/14/22 | 70 | 70 |
| REGIONS FINANCIAL CO 3.200% | | |
| 2/08/21 | 75 | 76 |
| REPUBLIC SERVICES IN 3.550% | | |
| 6/01/22 | 150 | 155 |
| REYNOLDS AMERICAN IN 5.700% | | |
| 8/15/35 | 100 | 119 |
| ROCKWELL COLLINS INC 3.200% | | |
| 3/15/24 | 37 | 37 |
| ROCKWELL COLLINS INC 4.350% | | |
| 4/15/47 | 17 | 18 |
| ROGERS CABLE INC 8.750% 5/01/32 | 170 | 242 |
| ROPER TECHNOLOGIES 3.000% | | |
| 12/15/20 | 25 | 25 |
| ROYAL BANK OF CANADA 1.800% | | |
| 7/30/18 | 250 | 250 |
| ROYAL BANK OF CANADA 2.750% | | |
| 2/01/22 | 99 | 100 |
| RYDER SYSTEM INC 2.650% 3/02/20 | 150 | 151 |
| RYDER SYSTEM INC 2.875% 9/01/20 | 57 | 57 |
| SAN DIEGO G & E 6.125% 9/15/37 | 80 | 107 |
| SANTANDER UK GROUP 3.571% | | |
| 1/10/23 | 200 | 203 |
| SHELL INTERNATIONAL 2.250% | | |
| 11/10/20 | 89 | 89 |
| SHELL INTERNATIONAL 2.500% | | |
| 9/12/26 | 73 | 71 |
| SHELL INTERNATIONAL 2.875% | | |
| 5/10/26 | 230 | 230 |

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|-----|--|---|----------------------------------|
| | SHELL INTERNATIONAL 4.000% 5/10/46 | 222 | 236 |
| | SHELL INTERNATIONAL 4.125% 5/11/35 | 250 | 273 |
| | SHERWIN-WILLIAMS CO 3.125% 6/01/24 | 41 | 41 |
| | SHIRE ACQ INV IRELAN 2.875% 9/23/23 | 83 | 82 |
| | SIMON PROPERTY GROUP 3.750% 2/01/24 | 260 | 271 |
| | SOUTH CAROLINA ELEC& 5.300% 5/15/33 | 100 | 113 |
| | SOUTH CAROLINA ELEC& 6.050% 1/15/38 | 40 | 50 |
| | SOUTHERN CALIF EDISO 5.550% 1/15/36 | 100 | 123 |
| | SOUTHERN CALIF GAS 3.200% 6/15/25 | 150 | 153 |
| | SOUTHERN CO GAS CAPI 2.450% 10/01/23 | 21 | 20 |
| | SOUTHERN CO GAS CAPI 3.950% 10/01/46 | 26 | 26 |
| | SOUTHERN NAT GAS CO 8.000% 3/01/32 | 75 | 102 |
| | SOUTHERN POWER CO 5.150% 9/15/41 | 70 | 78 |
| | SOUTHWEST GAS CORP 3.800% 9/29/46 | 49 | 49 |
| | SOUTHWESTERN ELEC PO 2.750% 10/01/26 | 200 | 193 |
| | SOUTHWESTERN ELEC PO 3.550% 2/15/22 | 50 | 51 |
| | SOUTHWESTERN PUBLIC 4.500% 8/15/41 | 30 | 34 |
| | SPIRIT AIR 2017-1 PT 3.375% 2/15/30 | 77 | 77 |
| | STARBUCKS CORP 4.300% 6/15/45 | 60 | 66 |
| | STATE STREET CORP 3.550% 8/18/25 | 235 | 244 |
| | STATOIL ASA 2.450% 1/17/23 | 300 | 298 |
| | STRYKER CORP 3.500% 3/15/26 | 20 | 21 |

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| | | |
|--------------------------------|-----|-----|
| SUMITOMO MITSUI BANK 1.950% | | |
| 7/23/18 | 350 | 350 |
| SUMITOMO MITSUI FINL 2.442% | | |
| 10/19/21 | 53 | 52 |
| SUMITOMO MITSUI FINL 2.778% | | |
| 10/18/22 | 99 | 98 |
| SUNCOR ENERGY INC 5.950% | | |
| 12/01/34 | 50 | 63 |
| SUNOCO LOGISTICS PAR 4.250% | | |
| 4/01/24 | 250 | 255 |
| SUNOCO LOGISTICS PAR 5.950% | | |
| 12/01/25 | 160 | 179 |
| SUNTRUST BANK 3.300% 5/15/26 | 200 | 198 |
| SUNTRUST BANKS INC 2.900% | | |
| 3/03/21 | 59 | 60 |
| SVENSKA HANDELSBANKE 2.400% | | |
| 10/01/20 | 250 | 250 |
| SYNCHRONY FINANCIAL 3.700% | | |
| 8/04/26 | 177 | 175 |
| SYNCHRONY FINANCIAL 4.250% | | |
| 8/15/24 | 30 | 31 |
| SYSCO CORPORATION 3.750% | | |
| 10/01/25 | 44 | 46 |
| TC PIPELINES LP 3.900% 5/25/27 | 39 | 39 |
| TELEFONICA EMISIONES 4.103% | | |
| 3/08/27 | 163 | 169 |
| TEVA PHARMACEUTICALS 2.800% | | |
| 7/21/23 | 258 | 225 |
| TEVA PHARMACEUTICALS 3.150% | | |
| 10/01/26 | 100 | 83 |
| TEVA PHARMACEUTICALS 4.100% | | |
| 10/01/46 | 16 | 12 |
| TEXTRON INC 3.650% 3/15/27 | 48 | 49 |
| TEXTRON INC 4.300% 3/01/24 | 110 | 116 |

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|-----|--|---|----------------------------------|
| | THERMO FISHER SCIENT 2.950% | | |
| | 9/19/26 | 42 | 41 |
| | THERMO FISHER SCIENT 3.000% | | |
| | 4/15/23 | 45 | 45 |
| | THOMSON REUTERS CORP 4.300% | | |
| | 11/23/23 | 120 | 127 |
| | TIME WARNER CABLE IN 5.500% | | |
| | 9/01/41 | 100 | 104 |
| | TIME WARNER ENTMT 8.375% | | |
| | 7/15/33 | 100 | 138 |
| | TIME WARNER INC 3.550% 6/01/24 | 100 | 101 |
| | TOLEDO EDISON COMPAN 6.150% | | |
| | 5/15/37 | 50 | 64 |
| | TORONTO-DOMINION BAN 1.750% | | |
| | 7/23/18 | 210 | 210 |
| | TORONTO-DOMINION BAN 2.500% | | |
| | 12/14/20 | 180 | 181 |
| | TOTAL CAPITAL INTL 2.700% 1/25/23 | 400 | 402 |
| | TOYOTA MOTOR CREDIT 2.100% | | |
| | 1/17/19 | 133 | 133 |
| | TOYOTA MOTOR CREDIT 2.800% | | |
| | 7/13/22 | 200 | 202 |
| | TRANS-CANADA PIPELIN 3.125% | | |
| | 1/15/19 | 112 | 113 |
| | TRANS-CANADA PIPELIN 4.875% | | |
| | 1/15/26 | 139 | 156 |
| | TRANS-CANADA PIPELIN 6.200% | | |
| | 10/15/37 | 60 | 79 |
| | TRI-STATE GENERATION 4.250% | | |
| | 6/01/46 | 37 | 38 |
| | TYSON FOODS INC 4.875% 8/15/34 | 150 | 169 |
| | UDR INC 2.950% 9/01/26 | 32 | 31 |
| | UNION CARBIDE CORP 7.750% | | |
| | 10/01/96 | 110 | 152 |
| | UNION ELECTRIC CO 2.950% 6/15/27 | 50 | 50 |
| | UNION PACIFIC CORP 3.600% 9/15/37 | 41 | 42 |
| | UNION PACIFIC CORP 4.100% 9/15/67 | 50 | 52 |
| | UNITED AIR 2013-1 A 4.300% 8/15/25 | 128 | 135 |
| | UNITED AIR 2016-1 A 3.450% 7/07/28 | 84 | 85 |

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| | | |
|------------------------------------|-----|-----|
| UNITED AIR 2016-1 B 3.650% 1/07/26 | 82 | 81 |
| UNITED HEALTHCARE GR 5.800% | | |
| 3/15/36 | 50 | 65 |
| UNITEDHEALTH GROUP 1.625% | | |
| 3/15/19 | 73 | 73 |
| UNITEDHEALTH GROUP 2.750% | | |
| 2/15/23 | 84 | 84 |
| UNITEDHEALTH GROUP 3.100% | | |
| 3/15/26 | 100 | 101 |
| UNITEDHEALTH GROUP 4.625% | | |
| 7/15/35 | 124 | 144 |
| US BANCORP 2.350% 1/29/21 | 350 | 350 |
| VALE INCO LTD 7.200% 9/15/32 | 70 | 79 |
| VALE OVERSEAS LIMITE 6.250% | | |
| 8/10/26 | 54 | 63 |
| VALE OVERSEAS LIMITE 6.875% | | |
| 11/21/36 | 160 | 196 |
| VALERO ENERGY CORP 7.500% | | |
| 4/15/32 | 30 | 40 |
| VENTAS REALTY LP 3.750% 5/01/24 | 200 | 205 |
| VENTAS REALTY LP 3.850% 4/01/27 | 31 | 32 |
| VENTAS REALTY LP 4.125% 1/15/26 | 34 | 35 |
| VERIZON COMMUNICATIO 2.946% | | |
| 3/15/22 | 358 | 360 |
| VERIZON COMMUNICATIO 4.272% | | |
| 1/15/36 | 50 | 50 |
| VERIZON COMMUNICATIO 4.400% | | |
| 11/01/34 | 70 | 71 |

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|-----|--|---|----------------------------------|
| | VERIZON COMMUNICATIO 4.500% 8/10/33 | 832 | 873 |
| | VERIZON COMMUNICATIO 4.812% 3/15/39 | 783 | 819 |
| | VERIZON COMMUNICATIO 5.250% 3/16/37 | 101 | 111 |
| | VIRGINIA ELEC & POWE 3.500% 3/15/27 | 100 | 103 |
| | VIRGINIA ELEC & POWE 3.800% 9/15/47 | 50 | 52 |
| | VMWARE INC 2.950% 8/21/22 | 140 | 140 |
| | VODAFONE GROUP PLC 2.950% 2/19/23 | 170 | 171 |
| | VORNADO REALTY LP 3.500% 1/15/25 | 70 | 70 |
| | VOYA FINANCIAL INC 3.650% 6/15/26 | 71 | 72 |
| | VR BANK OF AMERICA 3.705% 4/24/28 | 350 | 359 |
| | VR CITIGROUP INC 3.668% 7/24/28 | 290 | 294 |
| | VR GOLDMAN SACHS GRO 2.905% 7/24/23 | 240 | 238 |
| | VR GOLDMAN SACHS GRO 2.908% 6/05/23 | 434 | 431 |
| | VR GOLDMAN SACHS GRO 3.272% 9/29/25 | 210 | 209 |
| | VR GOLDMAN SACHS GRO 3.691% 6/05/28 | 279 | 283 |
| | VR JOHNSON CONTROLS 4.950% 7/02/64 | 100 | 110 |
| | VR MAGELLAN MIDSTREA 6.400% 5/01/37 | 70 | 87 |
| | VR MANULIFE FINANCIA 4.061% 2/24/32 | 140 | 141 |
| | VR MORGAN STANLEY *3.5511% 7/22/28 | 222 | 224 |
| | | 38 | 38 |

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| | | |
|--|-----|-----|
| VR NORTHERN TRUST CO 3.375% | | |
| 5/08/32 | | |
| VR TORONTO-DOMINION 3.625% | | |
| 9/15/31 | 67 | 67 |
| VR WESTPAC BANKING 4.322% | | |
| 11/23/31 | 120 | 124 |
| WALGREEN CO 4.400% | | |
| 9/15/42 | 50 | 50 |
| WALGREENS BOOTS ALLI 4.500% | | |
| 11/18/34 | 380 | 397 |
| WAL-MART STORES INC 3.625% | | |
| 12/15/47 | 125 | 131 |
| WALT DISNEY COMPANY/ 3.000% 2/13/26 | 300 | 301 |
| WELLS FARGO & COMPAN *2.500% 3/04/21 | 110 | 110 |
| WELLS FARGO & COMPAN *3.069% 1/24/23 | 434 | 437 |
| WELLS FARGO & COMPAN *3.300% 9/09/24 | 600 | 609 |
| WELLS FARGO & COMPAN *3.550% 9/29/25 | 500 | 513 |
| WELLS FARGO & COMPAN *4.100% 6/03/26 | 36 | 38 |
| WELLS FARGO & COMPAN *4.300% 7/22/27 | 148 | 158 |
| WELLS FARGO & COMPAN *4.900% 11/17/45 | 67 | 76 |
| WELLTOWER INC 4.250% | | |
| 4/01/26 | 200 | 209 |
| WESTERN GAS PARTNERS 4.650% 7/01/26 | 38 | 40 |
| WESTERN GAS PARTNERS 5.450% 4/01/44 | 30 | 32 |
| WESTERN UNION CO/THE 3.600% | | |
| 3/15/22 | 100 | 101 |
| WESTLAKE CHEMICAL CO 3.600% 7/15/22 | 100 | 102 |
| WESTLAKE CHEMICAL CO 4.375% 11/15/47 | 42 | 44 |
| WESTPAC BANKING CORP 1.600% 8/19/19 | 71 | 70 |
| WILLIAMS PARTNERS LP 3.900% | | |
| 1/15/25 | 59 | 60 |

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|-----|--|---|----------------------------------|
| | WISCONSIN ENERGY COR 3.550% | | |
| | 6/15/25 | 238 | 243 |
| | WP CAREY INC 4.600% 4/01/24 | 140 | 146 |
| | WW GRAINGER INC 4.600% 6/15/45 | 91 | 100 |
| | XCEL ENERGY INC 2.400% 3/15/21 | 25 | 25 |
| | XCEL ENERGY INC 3.300% 6/01/25 | 90 | 91 |
| | ZOETIS INC 3.450% 11/13/20 | 30 | 31 |
| | Total Corporate Debt Instruments | | 91,782 |
| | Common Stocks | | |
| | ABBVIE INC | 23 | 2,247 |
| | ABIOMED INC | 5 | 928 |
| | ACADIA HEALTHCARE CO INC | 24 | 783 |
| | ACCO BRANDS CORP | 181 | 2,213 |
| | ACHAOGEN INC | 20 | 215 |
| | ACI WORLDWIDE INC | 52 | 1,190 |
| | ACTIVISION BLIZZARD INC | 111 | 7,029 |
| | ADOBE SYS INC | 122 | 21,391 |
| | ADTALEM GLOBAL EDUCATION INC | 40 | 1,699 |
| | ADVANCE AUTO PTS INC | 33 | 3,310 |
| | AECOM | 52 | 1,942 |
| | AERCAP HOLDINGS NV | 138 | 7,250 |
| | AEROJET ROCKETDYNE HOLDINGS IN | 37 | 1,161 |
| | AFLAC INC | 25 | 2,177 |
| | AIR PRODS & CHEMS INC COM | 10 | 1,723 |
| | ALASKA AIR GROUP INC | 15 | 1,117 |
| | ALBANY INTL CORP NEW CL A | 71 | 4,361 |
| | ALBEMARLE CORP COM | 25 | 3,190 |
| | ALEXANDRIA REAL ESTATE EQUITIES | 19 | 2,488 |
| | ALEXION PHARMACEUTICALS INC | 100 | 11,844 |
| | ALIBABA GROUP HOLDING LTD ADR | 144 | 24,847 |
| | ALIGN TECHNOLOGY INC | 3 | 593 |
| | ALLEGHANY CORP DEL NEW | 5 | 2,784 |
| | ALLEGiant TRAVEL CO | 10 | 1,548 |
| | ALLEGION PLC | 16 | 1,248 |
| | ALLERGAN PLC | 20 | 3,230 |
| | ALLETE INC | 24 | 1,801 |
| | ALLIANT ENERGY CORPORATION | 49 | 2,101 |

| | | |
|-----------------------|-----|--------|
| ALLSCRIPTS HEALTHCARE | | |
| SOLUTIONS INC | 213 | 3,110 |
| ALLSTATE CORP | 32 | 3,351 |
| ALLY FINANCIAL INC | 63 | 1,849 |
| ALPHABET INC CL A | 17 | 18,118 |

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|--|--|-------------------------------------|
| ALPHABET INC CL C | 11 | 11,377 |
| AMAZON COM INC COM | 29 | 34,071 |
| AMDOCS LIMITED COM | 47 | 3,079 |
| AMEDISYS INC | 22 | 1,151 |
| AMEREN CORPORATION | 42 | 2,478 |
| AMERICAN AIRLS GROUP INC | 131 | 6,852 |
| *AMERICAN EXPRESS CO AMERICAN INTERNATIONAL GROUP, INC | 6,189 | 614,654 |
| AMERICAN TOWER CORP | 41 | 5,894 |
| *AMERIPRISE FINL INC | 16 | 2,712 |
| AMGEN INC | 7 | 1,217 |
| AMN HEALTHCARE SERVICES INC | 19 | 921 |
| ANADARKO PETROLEUM CORP | 49 | 2,634 |
| ANTHEM INC | 15 | 3,375 |
| APTARGROUP INC COM | 7 | 621 |
| ARCONIC INC | 93 | 2,540 |
| ARES CAP CORP | 72 | 1,132 |
| ARRAY BIOPHARMA INC | 57 | 725 |
| ASSURED GUARANTY LTD USD 1.0 | 67 | 2,277 |
| ASTRONICS CORP COM | 16 | 644 |
| AT & T INC | 113 | 4,386 |
| ATLASSIAN CORP PLC-CLASS A | 33 | 1,502 |
| AVERY DENNISON CORP | 24 | 2,745 |
| AXALTA COATING SYSTEMS LTD | 41 | 1,324 |
| BAIDU INC ADR | 73 | 17,097 |
| BANC OF CALIFORNIA INC | 73 | 1,504 |
| BANK OF AMERICA CORP | 508 | 14,985 |
| BEACON ROOFING SUPPLY INC | 28 | 1,798 |
| BELDEN INC | 47 | 3,654 |

| | | |
|-----------------------|-----|-------|
| BERKSHIRE HATHAWAY | | |
| *INC. | 31 | 6,144 |
| BERRY PLASTICS GROUP | | |
| INC | 37 | 2,158 |
| BEST BUY INC | 75 | 5,108 |
| BIO RAD LABS INC CL A | 11 | 2,735 |
| BIOGEN INC | 20 | 6,499 |
| BIOMARIN | | |
| PHARMACEUTICAL INC | 110 | 9,823 |
| BIOVERATIV INC | 21 | 1,138 |
| BLACK KNIGHT INC | 37 | 1,625 |
| BLOCK H & R INC | 39 | 1,033 |
| BLUEPRINT MEDICINES | | |
| CORP | 17 | 1,282 |
| BNP PARIBAS - ADR | 77 | 2,891 |
| BOOZ ALLEN HAMILTON | | |
| HOLDING CO | 100 | 3,794 |

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|-----|--|---|----------------------------------|
| | BOX INC | 91 | 1,915 |
| | BP PLC - ADR | 257 | 10,805 |
| | BRANDYWINE RLTY TR BD | 107 | 1,950 |
| | BRIGHT HORIZONS FAMILY SOLUTIO | 59 | 5,602 |
| | BRINKS CO | 29 | 2,315 |
| | BROADRIDGE FINANCIAL SOLUTIONS | 23 | 2,083 |
| | BRUNSWICK CORP | 28 | 1,552 |
| | BURLINGTON STORES INC | 37 | 4,533 |
| | BWX TECHNOLOGIES INC | 72 | 4,365 |
| | CABLE ONE INC | 3 | 2,268 |
| | CALPINE CORP/NEW | 154 | 2,323 |
| | CANADIAN NAT RES LTD | 248 | 8,858 |
| | CANTEL MEDICAL CORP. | 11 | 1,124 |
| | CAPITAL ONE FINANCIAL CORP | 49 | 4,919 |
| | CARNIVAL CORP | 47 | 3,099 |
| | CARTER HOLDINGS | 10 | 1,116 |
| | CATO CORP NEW CL A | 48 | 761 |
| | CELGENE CORP COM | 52 | 5,443 |
| | CENTENE CORP DEL | 14 | 1,402 |
| | CENTENNIAL RESOURCE DEVELOPMEN | 57 | 1,135 |
| | CENTURYLINK, INC | 119 | 1,980 |
| | CHARLES RIVER LABORATORIES | 12 | 1,368 |
| | CHEMICAL FINL CORP | 52 | 2,771 |
| | CHIPOTLE MEXICAN GRILL INC | 5 | 1,451 |
| | CHUBB LTD | 40 | 5,801 |
| | CINEMARK HOLDINGS INC | 41 | 1,419 |
| | CIRCOR INTERNATIONAL INC -WI | 30 | 1,449 |
| | CISCO SYSTEMS INC | 185 | 7,086 |
| | CIT GROUP INC. | 41 | 2,028 |
| | CITIGROUP INC. | 232 | 17,242 |
| | CLEAN HARBORS INC | 53 | 2,880 |
| | CLOUDERA INC | 35 | 578 |
| | COCA COLA CO | 57 | 2,606 |
| | COGNEX CORP | 11 | 648 |
| | COHERENT INC | 6 | 1,821 |
| | COLUMBIA SPORTSWEAR CO COM | 27 | 1,970 |

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| | | |
|--------------------------|----|-------|
| COMCAST CORP CLASS A | 61 | 2,447 |
| COMFORT SYS USA INC COM | 31 | 1,332 |
| COMMSCOPE HOLDING CO INC | 40 | 1,517 |
| CONCHO RESOURCES INC | 12 | 1,826 |
| CONOCOPHILLIPS | 79 | 4,314 |

*Indicates party-in-interest

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as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | COOPER COS INC COM NEW | 7 | 1,574 |
| | CORE LABORATORIES N V COM | 10 | 1,063 |
| | CORNERSTONE ONDEMAND INC | 29 | 1,025 |
| | CORNING INC | 144 | 4,591 |
| | CORPORATE OFFICE PROPERTIES COM | 47 | 1,363 |
| | COSTAR GROUP, INC | 36 | 10,474 |
| | COSTCO WHOLESALE CORP | 15 | 2,764 |
| | CROWN HLDGS INC | 57 | 3,206 |
| | CTS CORP | 63 | 1,633 |
| | CUBESMART | 28 | 818 |
| | CUBIC CORP | 48 | 2,818 |
| | CURTISS WRIGHT CORP COM | 20 | 2,480 |
| | CVS HEALTH CORPORATION | 70 | 5,053 |
| | D R HORTON INC COM | 81 | 4,126 |
| | DAVE & BUSTER'S ENTERTAINMENT | 22 | 1,224 |
| | DBV TECHNOLOGIES SA-SPON ADR | 6 | 155 |
| | DEERE & CO | 20 | 3,146 |
| | DELTA AIR LINES INC | 112 | 6,229 |
| | DELTIC TIMBER CORP COM | 25 | 2,326 |
| | DENTSPLY SIRONA INC | 35 | 2,311 |
| | DEVON ENERGY CORPORATION | 132 | 5,458 |
| | DIAMONDBACK ENERGY INC | 38 | 4,832 |
| | DIAMONDROCK HOSPITALITY CO | 110 | 1,242 |
| | DICKS SPORTING GOODS INC | 57 | 1,635 |
| | DIEBOLD INC | 59 | 971 |
| | DISCOVER FINANCIAL SERVICES | 42 | 3,208 |
| | DORIAN LPG LTD | 102 | 837 |
| | DOWDUPONT INC | 72 | 5,137 |
| | DTE ENERGY CO COM | 23 | 2,518 |
| | EAGLE MATLS INC | 25 | 2,844 |
| | EASTMAN CHEM CO COM | 73 | 6,765 |
| | EATON CORP PLC | 38 | 3,074 |
| | EDGEWELL PERSONAL CARE CO | 14 | 831 |
| | EDUCATION REALTY TRUST INC | 54 | 1,889 |
| | EDWARDS LIFESCIENCES CORP | 67 | 7,552 |
| | ELBIT SYS LTD | 5 | 626 |
| | ELF BEAUTY INC | 53 | 1,185 |
| | ELLIE MAE INC | 11 | 953 |

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| | | |
|--------------------------|----|-------|
| ENERGIZER SPINCO INC | 35 | 1,679 |
| ENVESTNET INC | 19 | 939 |
| ENVISION HEALTHCARE CORP | 57 | 1,981 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | EPAM SYSTEMS INC | 20 | 2,171 |
| | EQUINIX INC | 9 | 3,870 |
| | ERA GROUP INC | 57 | 616 |
| | ESCO TECHNOLOGIES INC | 35 | 2,092 |
| | ESSENDANT INC | 62 | 575 |
| | ETSY INC | 40 | 819 |
| | EURONET WORLDWIDE INC. | 18 | 1,524 |
| | EVEREST RE GROUP LTD | 18 | 3,907 |
| | EVOQUA WATER TECHNOLOGIES CORP | 53 | 1,250 |
| | EXELIXIS INC | 40 | 1,205 |
| | EXPRESS SCRIPTS HOLDING CO | 45 | 3,389 |
| | FACEBOOK INC | 176 | 31,104 |
| | FASTENAL CO | 46 | 2,516 |
| | FCB FINANCIAL HOLDINGS, INC | 26 | 1,338 |
| | FIFTH THIRD BANCORP | 97 | 2,952 |
| | FIRST DATA CORP- CLASS A | 181 | 3,019 |
| | FIRST MIDWEST BANCORP INC DEL | 99 | 2,378 |
| | FIRST SOURCE CORP | 29 | 1,420 |
| | FLEXION THERAPEUTICS INC | 43 | 1,088 |
| | FLIR SYS INC COM | 23 | 1,089 |
| | FLOOR & DECOR HOLDINGS INC | 28 | 1,363 |
| | FORD MOTOR COMPANY | 212 | 2,647 |
| | FORRESTER RESEARCH INC COM | 44 | 1,940 |
| | FORWARD AIR CORP | 30 | 1,736 |
| | FREDS INC CL A | 78 | 316 |
| | FTI CONSULTING INC COM | 67 | 2,870 |
| | GALLAGHER ARTHUR J & CO | 39 | 2,473 |
| | GAMING AND LEISURE PROPE-W/I | 33 | 1,232 |
| | GARTNER INC | 38 | 4,758 |
| | GATX CORP | 32 | 1,992 |
| | GENERAL ELECTRIC CO | 132 | 2,298 |
| | GENERAL MILLS INC | 50 | 2,988 |
| | GENERAL MOTORS CO | 231 | 9,451 |
| | GENESEE & WYOMING INC-CL A | 18 | 1,417 |
| | GENPACT LTD | 35 | 1,111 |
| | GIBRALTAR INDS INC | 36 | 1,184 |
| | GILEAD SCIENCES INC | 64 | 4,614 |
| | GLOBAL PMTS INC W/I | 27 | 2,706 |

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| | | |
|----------------------------|-----|-------|
| GOODYEAR TIRE & RUBR CO | 120 | 3,870 |
| GRAND CANYON EDUCATION INC | 10 | 913 |
| GREAT WESTERN BANCORP INC | 87 | 3,482 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | GREIF INC-CL A | 50 | 3,036 |
| | GUIDEWIRE SOFTWARE INC | 13 | 965 |
| | HAEMONETICS CORP MASS | 34 | 1,972 |
| | HANCOCK HOLDING CO | 69 | 3,412 |
| | HANESBRANDS INC | 189 | 3,942 |
| | HARTFORD FINANCIAL SERVICES GROUP | 33 | 1,846 |
| | HCA HOLDINGS INC | 47 | 4,129 |
| | HEALTHSOUTH REHABILITATION CORPORAT | 26 | 1,260 |
| | HELEN OF TROY LIMITED | 27 | 2,584 |
| | HELMERICH & PAYNE INC | 84 | 5,430 |
| | HENRY JACK & ASSOC INC COM | 16 | 1,930 |
| | HIGHWOODS PPTYS INC COM | 22 | 1,121 |
| | HILL ROM HLDGS | 20 | 1,703 |
| | HILTON GRAND VACATIONS INC | 71 | 2,986 |
| | HOLLYFRONTIER CORP | 59 | 3,017 |
| | HOLOGIC INC COM | 43 | 1,854 |
| | HOME BANCSHARES INC/CONWAY AR | 121 | 2,810 |
| | HOME DEPOT INC | 14 | 2,691 |
| | HORIZON PHARMA PLC | 175 | 2,549 |
| | HUBBELL INCORPORATED | 16 | 2,121 |
| | HUDSON PACIFIC PROPERTIES INC | 57 | 1,939 |
| | HUNTINGTON INGALLS INDUSTRIES | 7 | 1,650 |
| | HURON CONSULTING GROUP INC | 47 | 1,919 |
| | ICF INTERNATIONAL INC | 25 | 1,295 |
| | ICU MED INC COM | 12 | 2,678 |
| | IDACORP INC | 24 | 2,213 |
| | IGNYTA INC | 24 | 648 |
| | ILLUMINA INC | 58 | 12,674 |
| | IMAX CORP COM | 41 | 949 |
| | INC RESEARCH HOLDINGS INC | 26 | 1,134 |
| | INCYTE CORPORATION, INC. | 94 | 8,855 |
| | INGREDION INC | 12 | 1,650 |
| | INSULET CORP | 21 | 1,438 |
| | INTEL CORP | 75 | 3,446 |
| | INTERFACE INC | 22 | 563 |

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| | | |
|------------------------------|----|-------|
| INTERNATIONAL BANCSHARES CRP | 64 | 2,526 |
| INTERNATIONAL GAME | | |
| TECHNOLOG | 42 | 1,100 |
| IQVIA HOLDINGS INC | 26 | 2,536 |
| ITT INC | 24 | 1,281 |
| J & J SNACK FOODS CORP | 12 | 1,852 |
| J2 GLOBAL INC | 39 | 2,974 |

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|--|-------------------------|---|----------------------------------|
| | JAZZ | | |
| | PHARMACEUTICALS | | |
| | PLC | 9 | 1,220 |
| | JETBLUE AWYS CORP | 66 | 1,481 |
| | JOHN BEAN | | |
| | TECHNOLOGIES CORP | 14 | 1,518 |
| | JPMORGAN CHASE & | | |
| | *CO | 88 | 9,412 |
| | K2M GROUP HOLDINGS | | |
| | INC | 30 | 544 |
| | KAPSTONE PAPER AND | | |
| | PACKAGING C | 49 | 1,106 |
| | KELLOGG CO | 41 | 2,760 |
| | KEMPER CORP | 71 | 4,917 |
| | KEYSIGHT | | |
| | TECHNOLOGIES INC | 64 | 2,681 |
| | KINDER MORGAN | | |
| | INC/DELAWARE | 160 | 2,886 |
| | KNIGHT-SWIFT | | |
| | TRANSPORTATION | 20 | 896 |
| | KOHL'S CORP | 60 | 3,270 |
| | LAM RESEARCH CORP | | |
| | COM | 12 | 2,264 |
| | LAMB WESTON | | |
| | HOLDINGS INC | 23 | 1,306 |
| | LANDSTAR SYS INC | | |
| | COM | 7 | 729 |
| | LAUREATE | | |
| | EDUCATION INC | 50 | 679 |
| | LEAR CORP | 24 | 4,152 |
| | LEGGETT & PLATT INC | 28 | 1,356 |
| | LENNOX | | |
| | INTERNATIONAL INC | 5 | 1,125 |
| | LINCOLN NATL CORP | | |
| | IND | 28 | 2,114 |
| | LITTELFUSE INC COM | 22 | 4,267 |
| | LOEWS CORP | 54 | 2,727 |
| | LOGMEIN INC | 14 | 1,598 |

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| | | |
|---------------------|-----|-------|
| LOXO ONCOLOGY INC | 41 | 3,413 |
| LUXFER HOLDINGS PLC | 104 | 1,641 |
| LYONDELLBASELL | | |
| INDU-CL A | 45 | 4,976 |
| MACQUARIE | | |
| INFRASTRUCTURE | | |
| CORPORATION | 48 | 3,069 |
| MACY'S INC | 70 | 1,756 |
| MAGNA INTL INC CL A | 82 | 4,625 |
| MALLINCKRODT PLC | 42 | 942 |
| MARATHON | | |
| PETROLEUM CORP | 44 | 2,930 |
| MASONITE | | |
| INTERNATIONAL CORP | 24 | 1,748 |
| MASTERCARD INC | 19 | 2,830 |
| MATADOR RESOURCES | | |
| CO | 27 | 831 |
| MATCH GROUP INC | 39 | 1,219 |
| MATTHEWS INTL CORP | 36 | 1,912 |
| MB FINANCIAL BANK | 54 | 2,408 |
| MCKESSON CORP | 18 | 2,776 |
| MEDNAX INC | 18 | 989 |
| MERCADOLIBRE INC | 6 | 1,935 |
| MERCURY SYSTEMS | | |
| INC | 28 | 1,434 |

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|--|--------------------------------|---|----------------------------------|
| | METHODE ELECTRON INC COMMON | 34 | 1,371 |
| | MICRON TECHNOLOGY INC | 218 | 8,952 |
| | MICROSEMI CORP COM | 30 | 1,524 |
| | MIDDLEBY CORP | 25 | 3,454 |
| | MISTRAS GROUP INC | 74 | 1,733 |
| | MKS INSTRS INC | 28 | 2,671 |
| | MOLSON COORS BREWING CO | 42 | 3,439 |
| | MONSTER BEVERAGE CORP | 232 | 14,710 |
| | MORGAN *STANLEY | 59 | 3,117 |
| | MUELLER INDS INC | 77 | 2,737 |
| | MULESOFT INC | 54 | 1,268 |
| | MYLAN N V | 65 | 2,769 |
| | MYOKARDIA INC | 9 | 390 |
| | NATIONAL BEVERAGE CORP | 14 | 1,345 |
| | NATIONAL INSTRS CORP COM | 51 | 2,129 |
| | NATUS MEDICAL INC | 26 | 1,004 |
| | NAVIGANT CONSULTING CO | 50 | 974 |
| | NCR CORPORATION COM | 43 | 1,453 |
| | NEENAH, INC | 18 | 1,657 |
| | NETFLIX INC | 88 | 16,892 |
| | NEUROCRINE BIOSCIENCES INC COM | 26 | 2,002 |
| | NEW JERSEY RES CORP | 22 | 889 |

| | | |
|--|-----|--------|
| NEXTERA ENERGY INC | 19 | 2,983 |
| NICE LTD - SPON ADR | 14 | 1,314 |
| NOMAD FOODS LTD | 68 | 1,143 |
| NORDSON CORP NORFOLK SOUTHERN CORP | 25 | 3,710 |
| NORTHWEST BANCSHARES INC/MD | 20 | 2,942 |
| NORWEGIAN CRUISE LINE HOLDING | 133 | 2,219 |
| NOVANTA INC | 27 | 1,416 |
| OCCIDENTAL PETE CORP | 22 | 1,080 |
| OCEANEERING INTL INC | 53 | 3,911 |
| OLD DOMINION FREIGHT LINES INC | 63 | 1,338 |
| ON SEMICONDUCTOR CORP | 5 | 658 |
| ONEMAIN HOLDINGS INC | 65 | 1,359 |
| ORION ENGINEERED CARBONS SA | 80 | 2,082 |
| OSI SYS INC @CORP COM | 103 | 2,648 |
| OWENS CORNING INC | 29 | 1,893 |
| PACWEST BANCORP | 15 | 1,379 |
| PALO ALTO NETWORKS INC | 33 | 1,663 |
| PAPA JOHNS INTL INC COM | 70 | 10,189 |
| | 16 | 881 |

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|-----|--|---|----------------------------------|
| | PARSLEY ENERGY INC-CLASS A | 73 | 2,159 |
| | PAYLOCITY HOLDING CORP | 38 | 1,768 |
| | PAYPAL HOLDINGS INC | 62 | 4,560 |
| | PENTAIR PLC | 20 | 1,407 |
| | PEPSICO INC | 21 | 2,470 |
| | PERFORMANCE FOOD GROUP CO | 36 | 1,208 |
| | PERKINELMER, INC | 31 | 2,235 |
| | PFIZER INC | 172 | 6,227 |
| | PG&E CORP COM | 37 | 1,645 |
| | PHILLIPS 66 | 29 | 2,923 |
| | PHYSICIANS REALTY TRUST | 76 | 1,360 |
| | PLANET FITNESS INC | 30 | 1,029 |
| | POLYONE CORP | 28 | 1,212 |
| | POST HOLDINGS INC | 28 | 2,212 |
| | PPL CORPORATION | 62 | 1,907 |
| | PREMIER INC | 38 | 1,098 |
| | PRIMORIS SERVIES CORPORATION | 42 | 1,153 |
| | PROASSURANCE CORPORATION | 33 | 1,903 |
| | PROCTER & GAMBLE CO | 30 | 2,720 |
| | PROOFPOINT INC | 17 | 1,552 |
| | PRUDENTIAL FINL INC | 29 | 3,369 |
| | PULTE GRP INC | 47 | 1,573 |
| | PUMA BIOTECHNOLOGY INC | 7 | 682 |
| | QUALCOMM INC | 39 | 2,503 |
| | RADIAN GROUP INC | 135 | 2,788 |
| | RADIUS HEALTH INC | 24 | 759 |
| | RAMCO-GERSHENSON PPTYS TR COM | 165 | 2,432 |
| | RAYMOND JAMES FINL INC | 18 | 1,591 |
| | RAYTHEON COMPANY | 10 | 1,972 |
| | REGENERON PHARMACEUTICALS INC | 25 | 9,437 |
| | REGIONS FINL CORP NEW | 203 | 3,511 |
| | REINSURANCE GROUP AMER CLASS A NEW | 33 | 5,143 |
| | RELIANCE STL & ALUM CO COM | 39 | 3,366 |
| | RENAISSANCERE HOLDINGS COM | 13 | 1,595 |
| | RENASANT CORP | 38 | 1,568 |
| | REPLIGEN CORP | 38 | 1,379 |
| | REPUBLIC SERVICES INC CL A COMM | 29 | 1,967 |
| | RESOLUTE ENERGY CORP | 45 | 1,428 |

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| | | |
|------------------------|----|-------|
| ROYAL CARRIBEAN CRUISE | 8 | 966 |
| RPM INTERNATIONAL INC | 40 | 2,081 |
| RSP PERMIAN INC | 98 | 3,976 |

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|-----|--|---|----------------------------------|
| | S&P GLOBAL INC | 11 | 1,914 |
| | SALESFORCE COM INC | 282 | 28,816 |
| | SANTANDER CONSUMER USA HOLDING | 189 | 3,521 |
| | SCANSOURCE INC COM | 28 | 1,007 |
| | SCHLUMBERGER LTD | 69 | 4,636 |
| | SCHWAB CHARLES CORP NEW | 293 | 15,062 |
| | SCORPIO TANKERS INC | 371 | 1,131 |
| | SEACOR HOLDINGS INC | 30 | 1,391 |
| | SEACOR MARINE HOLDINGS INC | 48 | 557 |
| | SEMPRA ENERGY COM | 21 | 2,203 |
| | SENSIENT TECHNOLOGIES CORP | 42 | 3,104 |
| | SERVICEMASTER GLOBAL HOLDINGS | 24 | 1,256 |
| | SERVICENOW INC | 176 | 22,962 |
| | SHIRE PLC ADR | 11 | 1,660 |
| | SIGNATURE BANK | 10 | 1,441 |
| | SITEONE LANDSCAPE SUPPLY INC | 27 | 2,081 |
| | SIX FLAGS ENTERTAINMENT CORP | 27 | 1,780 |
| | SLM CORP | 144 | 1,623 |
| | SMART & FINAL STORES INC | 200 | 1,709 |
| | SMITH A O CORP CL B | 43 | 2,606 |
| | SOLAR CAPITAL LTD | 54 | 1,082 |
| | SOUTH STATE CORP | 15 | 1,318 |
| | SPIRE INC | 16 | 1,168 |
| | SPIRIT AEROSYTSEMS HOLD-CL A | 48 | 4,153 |
| | SPIRIT AIRLINES INC | 32 | 1,453 |
| | SPLUNK INC | 151 | 12,496 |
| | STAG INDUSTRIAL INC | 79 | 2,161 |
| | STARBUCKS CORP COM | 172 | 9,856 |
| | STATE STREET CORP | 20 | 1,942 |
| | STEELCASE INC CL A | 86 | 1,314 |
| | STERIS PLC | 60 | 5,257 |
| | SUMMIT HOTEL PROPERTIES INC | 97 | 1,470 |
| | SUMMIT MATERIALS INC | 59 | 1,863 |
| | SURGERY PARTNERS INC | 50 | 605 |
| | SWITCH INC | 54 | 980 |
| | SYNCHRONY FINANCIAL | 181 | 7,019 |
| | | 32 | 3,499 |

TAKE-TWO INTERACTIVE
SOFTWARE

| | | |
|--------------|----|-------|
| TARGET CORP | 45 | 2,923 |
| TELEFLEX INC | 9 | 2,361 |
| TERADYNE INC | 79 | 3,272 |
| TESARO INC | 14 | 1,231 |

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|-----|--|---|----------------------------------|
| | THE PRICELINE GROUP INC. | 10 | 16,792 |
| | THE SCOTTS MIRACLE-GRO COMPANY CL A | 14 | 1,519 |
| | THERMON GROUP HOLDINGS INC | 94 | 2,233 |
| | TIVITY HEALTH INC | 22 | 798 |
| | TOTAL SYS SVCS INC | 22 | 1,720 |
| | TRANSUNION | 123 | 6,733 |
| | TRAVELERS COMPANIES, INC | 22 | 2,957 |
| | TRI POINTE HOMES INC | 124 | 2,218 |
| | TRIMAS CORP | 137 | 3,661 |
| | TUPPERWARE BRANDS CORPORATION | 19 | 1,176 |
| | TWENTY FIRST CENTURY FOX INC | 55 | 1,906 |
| | TWO HARBORS INVESTMENT CORP | 91 | 1,477 |
| | TYLER TECHNOLOGIES INC | 12 | 2,071 |
| | UGI CORP NEW COM | 45 | 2,119 |
| | ULTA BEAUTY, INC | 4 | 872 |
| | ULTIMATE SOFTWARE GROUP INC | 23 | 5,015 |
| | UNION BANKSHARES CORP | 26 | 923 |
| | UNITED CONTINENTAL HOLDINGS, INC. | 84 | 5,702 |
| | UNITED TECHNOLOGIES CORP | 23 | 2,912 |
| | UNITED THERAPEUTICS CORP DEL | 11 | 1,628 |
| | UNIVAR INC | 71 | 2,200 |
| | UNIVERSAL DISPLAY CORP | 23 | 3,972 |
| | US BANCORP | 48 | 2,577 |
| | VAIL RESORTS INC COM | 8 | 1,783 |
| | VALERO ENERGY CORP | 57 | 5,266 |
| | VANTIV INC | 21 | 1,522 |
| | VISA INC-CLASS A SHRS | 307 | 35,045 |
| | VOYA FINANCIAL INC | 28 | 1,375 |
| | VULCAN MATERIALS COMPANY | 12 | 1,584 |
| | WABCO HOLDINGS INC | 6 | 890 |
| | WAGeworks INC | 39 | 2,393 |
| | WALMART INC | 38 | 3,802 |
| | WALT DISNEY CO | 16 | 1,763 |
| | WATSCO INC CL A | 6 | 1,071 |
| | WAYFAIR INC | 11 | 883 |
| | | 47 | 2,645 |

| | | |
|-------------------------------------|----|-------|
| WEBSTER FINL CORP WATERBURY CONN | | |
| WELLCARE HEALTH PLANS, INC | 4 | 877 |
| WEST PHARMACEUTICAL SVCS INC | 20 | 1,933 |
| WESTAR ENERGY INC | 14 | 732 |
| WESTERN ALLIANCE BANCORPORATION | 52 | 2,950 |
| WESTERN DIGITAL CORP | 29 | 2,330 |

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|-----|--|---|----------------------------------|
| | WEX INC | 44 | 6,193 |
| | WGL HOLDINGS INC | 14 | 1,241 |
| | WHITE MTNS INS GROUP | 3 | 2,256 |
| | WIDEPENWEST INC | 60 | 634 |
| | WINGSTOP INC | 21 | 829 |
| | WINTRUST FINL CORP | 34 | 2,801 |
| | WISDOMTREE INVESTMENTS INC | 112 | 1,399 |
| | WNS HOLDINGS LTD | | |
| | ADR | 111 | 4,446 |
| | WOODWARD INC. | 24 | 1,783 |
| | XEROX CORP | 101 | 2,951 |
| | XL GROUP LTD | 55 | 1,923 |
| | ZAYO GROUP HOLDINGS INC | 39 | 1,435 |
| | ZEBRA TECHNOLOGIES CORP CL A | 10 | 1,083 |
| | ZIMMER BIOMET HOLDINGS, INC | 14 | 1,689 |
| | ZIONS BANCORP | 54 | 2,730 |
| | ZOETIS INC | 30 | 2,147 |
| | Total Common Stocks | | 2,074,740 |

US Government
and Agency
Obligations

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| | | |
|---|-------|-------|
| FHLMC POOL #Q42018 3.500% 7/01/46 | 604 | 622 |
| FNMA POOL #465787 3.880% 8/01/20 | 884 | 913 |
| FNMA POOL #467725 3.600% 4/01/18 | 273 | 273 |
| FNMA POOL #467757 4.330% 4/01/21 | 271 | 287 |
| FNMA POOL #468066 4.295% 6/01/21 | 1,216 | 1,288 |
| FNMA POOL #468542 4.500% 8/01/21 | 500 | 535 |
| FNMA POOL #958500 5.010% 4/01/19 | 953 | 982 |
| FNMA POOL #AM6602 2.630% 9/01/21 | 1,500 | 1,513 |
| FNMA POOL #AM7514 3.070% 2/01/25 | 2,900 | 2,961 |
| FNMA POOL #AM7619 2.940% 1/01/23 | 1,913 | 1,939 |
| FNMA POOL #AM8141 2.780% 3/01/27 | 293 | 292 |
| FNMA POOL #AM8572 2.750% 4/01/25 | 3,804 | 3,842 |
| FNMA POOL #AM8856 2.920% 6/01/30 | 4,800 | 4,785 |
| FNMA POOL #AM8993 2.720% 5/01/25 | 4,913 | 4,953 |
| FNMA POOL #AM9014 3.200% 6/01/30 | 5,000 | 5,073 |
| FNMA POOL #AM9169 3.080% 6/01/27 | 2,090 | 2,129 |
| FNMA POOL #AM9320 3.300% 7/01/30 | 2,579 | 2,642 |

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| | | | |
|-----------------|-------|--|-------|
| FNMA POOL | | | |
| #AM9333 | | | |
| 3.080% 11/01/22 | 1,346 | | 1,375 |
| FNMA POOL | | | |
| #AM9335 | | | |
| 3.060% 8/01/22 | 930 | | 949 |
| FNMA POOL | | | |
| #AM9336 | | | |
| 3.080% 11/01/22 | 2,691 | | 2,748 |
| FNMA POOL | | | |
| #AM9397 | | | |
| 2.960% 6/01/23 | 2,511 | | 2,554 |
| FNMA POOL | | | |
| #AM9432 | | | |
| 3.120% 12/01/22 | 1,931 | | 1,976 |

*Indicates party-in-interest

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Plan #: 002

AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | FNMA POOL #AM9466 3.150% 2/01/22 | 1,404 | 1,437 |
| | FNMA POOL #AM9567 2.970% 7/01/24 | 1,456 | 1,488 |
| | FNMA POOL #AM9573 3.220% 4/01/23 | 2,077 | 2,130 |
| | FNMA POOL #AM9615 2.680% 9/01/22 | 3,420 | 3,441 |
| | FNMA POOL #AM9633 3.380% 5/01/23 | 1,260 | 1,301 |
| | FNMA POOL #AM9642 2.590% 1/01/22 | 1,542 | 1,545 |
| | FNMA POOL #AM9658 2.820% 1/01/22 | 1,450 | 1,465 |
| | FNMA POOL #AM9686 2.550% 4/01/22 | 1,929 | 1,930 |
| | FNMA POOL #AN0193 3.000% 8/01/24 | 582 | 592 |
| | FNMA POOL #AN4975 3.210% 3/01/29 | 1,500 | 1,537 |
| | FNMA POOL #AN5935 3.130% 7/01/27 | 994 | 1,015 |
| | FNMA POOL #AN6026 2.980% 6/01/27 | 770 | 777 |
| | FNMA POOL #AN6850 3.220% 9/01/32 | 1,000 | 1,015 |
| | GNMA POOL #784044 4.990% 11/20/37 | 2,474 | 2,681 |
| | GNMA POOL #784045 4.500% 7/20/45 | 1,626 | 1,706 |
| | RFCSP STRIP PRINCIPAL 1/15/30 | 500 | 352 |
| | TENN VAL AUTH CPN STRIP 3/15/32 | 300 | 191 |
| | TENN VALLEY AUTH 4.250% 9/15/65 | 194 | 229 |
| | TVA PRIN STRIP 6/15/35 | 500 | 285 |
| | U S TREASURY SEC STRIPPED 2/15/20 | 2,500 | 2,166 |
| | U S TREASURY SEC STRIPPED 2/15/22 | 2,300 | 2,211 |
| | U S TREASURY SEC STRIPPED 2/15/25 | 1,200 | 1,097 |
| | U S TREASURY SEC STRIPPED 2/15/30 | 4,500 | 3,784 |
| | U S TREASURY SEC STRIPPED 2/15/30 | 1,300 | 952 |

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| | | |
|---------------------------------------|-------|-------|
| U S TREASURY SEC STRIPPED 5/15/19 | 920 | 897 |
| U S TREASURY SEC STRIPPED 5/15/20 | 2,450 | 2,344 |
| U S TREASURY SEC STRIPPED 5/15/21 | 5,400 | 5,035 |
| U S TREASURY SEC STRIPPED 5/15/23 | 2,195 | 1,940 |
| U S TREASURY SEC STRIPPED 5/15/24 | 2,800 | 2,408 |
| U S TREASURY SEC STRIPPED 5/15/25 | 4,500 | 3,763 |
| U S TREASURY SEC STRIPPED 5/15/28 | 1,000 | 770 |
| U S TREASURY SEC STRIPPED 5/15/30 | 2,050 | 1,494 |
| U S TREASURY SEC STRIPPED 8/15/20 | 800 | 760 |
| U S TREASURY SEC STRIPPED 8/15/21 | 1,000 | 927 |
| U S TREASURY SEC STRIPPED 8/15/23 | 205 | 180 |
| U S TREASURY SEC STRIPPED 8/15/29 | 750 | 557 |
| U S TREASURY SEC STRIPPED 11/15/24 | 3,500 | 2,966 |
| U S TREASURY SEC STRIPPED 11/15/28 | 2,500 | 1,896 |
| U S TREASURY SEC STRIPPED 11/15/29 | 1,750 | 1,291 |
| US TREAS SEC STRIPPED | 4,600 | 2,988 |
| US TREAS SEC STRIPPED 5/15/19 | 180 | 176 |

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as of December 31, 2017

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|-----|--|---|----------------------------------|
| | US TREAS SEC STRIPPED 5/15/33 | 900 | 600 |
| | US TREAS SEC STRIPPED 11/15/19 | 4,000 | 3,863 |
| | US TREAS SEC STRIPPED 11/15/30 | 1,550 | 1,112 |
| | US TREAS SEC STRIPPED 11/15/32 | 1,000 | 675 |
| | US TREAS SEC STRIPPED 11/15/33 | 900 | 591 |
| | US TREASURY BOND 2.750% 11/15/42 | 240 | 242 |
| | US TREASURY BOND 3.125% 2/15/43 | 2,000 | 2,149 |
| | US TREASURY BOND 3.500% 2/15/39 | 1,400 | 1,599 |
| | US TREASURY BOND 3.625% 8/15/43 | 2,300 | 2,684 |
| | US TREASURY BOND 3.750% 11/15/43 | 400 | 477 |
| | US TREASURY BOND 3.875% 8/15/40 | 1,000 | 1,205 |
| | US TREASURY BOND 4.250% 11/15/40 | 300 | 381 |
| | US TREASURY BOND 4.375% 5/15/40 | 400 | 516 |
| | US TREASURY BOND 4.375% 5/15/41 | 680 | 880 |
| | US TREASURY BOND 4.500% 8/15/39 | 1,680 | 2,195 |
| | US TREASURY BOND 6.000% 2/15/26 | 368 | 467 |
| | US TREASURY NOTE 2/15/20 | 2,450 | 2,354 |
| | US TREASURY NOTE 0.875% 1/15/18 | 1,000 | 1,000 |
| | US TREASURY NOTE 1.000% 11/30/19 | 1,500 | 1,475 |
| | US TREASURY NOTE 1.500% 12/31/18 | 2,800 | 2,791 |
| | | 200 | 195 |

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| | | | |
|--|--------|--------|---------|
| US TREASURY NOTE | 1.750% | | |
| 5/15/23 | | | |
| US TREASURY NOTE | 1.750% | | |
| 9/30/19 | | 5,500 | 5,488 |
| US TREASURY NOTE | 1.750% | | |
| 11/30/21 | | 400 | 394 |
| US TREASURY NOTE | 1.750% | | |
| 12/31/20 | | 700 | 695 |
| US TREASURY NOTE | 2.125% | | |
| 1/31/21 | | 2,100 | 2,107 |
| US TREASURY NOTE | 2.625% | | |
| 11/15/20 | | 2,500 | 2,545 |
| US TREASURY NOTE | 3.125% | | |
| 5/15/19 | | 3,700 | 3,763 |
| US TREASURY NOTE | 3.375% | | |
| 11/15/19 | | 2,500 | 2,569 |
| US TREASURY NOTE | 3.500% | | |
| 5/15/20 | | 3,500 | 3,628 |
| US TREASURY SEC STRIPPED | | 7,600 | 5,236 |
| VR FNMA POOL #AL7395 | 5.591% | | |
| 9/01/55 | | 2,978 | 3,230 |
| Total U.S. Government and Agency Obligations | | | 167,456 |
| Common/Collective Trusts | | | |
| COLUMBIA TRUST GOV MONEY | | | |
| *MKT FUND | | 20,317 | 20,317 |
| COLUMBIA TRUST STABLE GOVT | | | |
| *FUND | | 213 | 6,040 |
| FIAM GRP TR FOR/CORE PLUS | | | |
| *COMMINGLE | | 4,244 | 86,789 |
| LOOMIS SAYLES CORE PLUS FULL | | | |
| DISC TR | | 4,250 | 86,746 |
| MSIM/INTERNATIONAL EQUITY II | | | |
| TRUST | | 7,344 | 247,854 |
| NEUBERGER BERMA/EMERGING | | | |
| MKTS EQUIT | | 4,221 | 57,786 |
| VANGUARD EMPLOYEE BENEFIT | | | |
| *INDEX #528 | | 2,618 | 806,203 |

*Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|---|--|-------------------------------------|
| | Total Common/Collective Trusts | | 1,311,735 |
| | Mutual Funds | | |
| | AMERICAN FUNDS EUROPAC | | |
| | GRTH R6 #2616 | 5,036 | 282,714 |
| | DFA EMERGING MARKETS | | |
| | VALUE FD #5095 | 1,626 | 50,767 |
| | DFA INTL SMALL CAP VALUE PT | | |
| | #5066 | 3,092 | 71,013 |
| | VANGUARD EXT MKT | | |
| | *INDX-INST+ #1860 | 813 | 170,024 |
| | VANGUARD TOT BD MKT | | |
| | *IDX-INST #222 | 5,941 | 63,863 |
| | VANGUARD TOTAL INT ST | | |
| | *IDX-IS #1869 | 669 | 81,683 |
| | Total Mutual Funds | | 720,064 |
| | Self-Directed Brokerage Accounts | | |
| | CASH EQUIVALENTS | | 15,787 |
| | COMMON STOCK | | 10,341 |
| | MUTUAL FUNDS | | 121,185 |
| | Total Self-Directed Brokerage Accounts | | 147,313 |
| | Other Investments | | |
| | <u>Asset-Backed Securities</u> | | |
| | ALLY AUTO RECEIVABLE | | |
| | 1.470% 4/15/20 | 225 | 224 |
| | ALLY AUTO RECEIVABLE 2.930% | | |
| | 11/15/23 | 313 | 310 |
| | AMERICAN CREDIT ACCE | | |
| | 1.500% 6/12/20 | 79 | 79 |
| | AMERICAN CREDIT ACCE 1.700% | | |
| | 11/12/20 | 19 | 19 |
| | AMERICAN CREDIT ACCE | | |
| | 1.840% 7/13/20 | 612 | 612 |
| | AMERICAN CREDIT ACCE | | |
| | 2.860% 6/12/23 | 582 | 582 |
| | | 370 | 369 |

| | | |
|-----------------------------|-----|-----|
| AMERICAN CREDIT ACCE | | |
| 2.880% 3/13/23 | | |
| AMERICAN CREDIT ACCE | | |
| 2.910% 2/13/23 | 174 | 174 |
| AMERICAN CREDIT ACCE | | |
| 6.090% 5/12/22 | 200 | 209 |
| AMERICAN HOMES 4 REN | | |
| 3.467% 4/17/52 | 381 | 389 |
| AMERICAN HOMES 4 REN 3.678% | | |
| 12/17/36 | 709 | 735 |
| AMERICAN HOMES 4 REN 3.786% | | |
| 10/17/36 | 473 | 492 |
| AMERICAN HOMES 4 REN | | |
| 4.407% 4/17/52 | 720 | 744 |
| AMERICAN HOMES 4 REN | | |
| 5.639% 4/17/52 | 150 | 163 |
| AMERICAN HOMES 4 REN 6.070% | | |
| 10/17/45 | 142 | 158 |
| AMERICREDIT AUTOMOBI | | |
| 1.700% 7/08/20 | 292 | 292 |
| AMERICREDIT AUTOMOBI | | |
| 1.810% 10/08/20 | 192 | 192 |
| AMERICREDIT AUTOMOBI | | |
| 1.870% 8/18/21 | 184 | 183 |
| AMERICREDIT AUTOMOBI | | |
| 2.690% 6/19/23 | 341 | 340 |
| AMERICREDIT AUTOMOBI | | |
| 2.710% 8/18/22 | 154 | 154 |
| AMERICREDIT AUTOMOBI | | |
| 2.970% 3/20/23 | 871 | 876 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | AMERICREDIT AUTOMOBIL 3.080% 12/18/23 | 1,699 | 1,692 |
| | AMERICREDIT AUTOMOBIL 3.130% 1/18/23 | 347 | 347 |
| | ARCADIA RECEIVABLES 3.250% 6/15/23 | 413 | 414 |
| | ASCENTIUM EQUIPMENT 2.290% 6/10/21 | 244 | 243 |
| | ASCENTIUM EQUIPMENT 2.850% 10/10/21 | 550 | 545 |
| | AXIS EQUIPMENT FINANCIAL 2.210% 11/20/21 | 255 | 254 |
| | B2R MORTGAGE TRUST 3.336% 11/15/48 | 370 | 374 |
| | BCC FUNDING CORP 2.200% 12/20/21 | 191 | 190 |
| | CABELA'S MASTER CREDIT 2.250% 7/17/23 | 185 | 185 |
| | CALIFORNIA REPUBLIC 1.890% 5/15/20 | 246 | 246 |
| | CAMILLO 2016-SFR1 5.000% 12/05/23 | 374 | 374 |
| | CAPITAL AUTO RECEIVABLES 1.620% 3/20/19 | 50 | 50 |
| | CAPITAL AUTO RECEIVABLES 3.150% 2/20/25 | 427 | 424 |
| | CARMAX AUTO OWNER TRUST 2.200% 6/15/22 | 500 | 492 |
| | CARMAX AUTO OWNER TRUST 2.600% 2/15/23 | 211 | 209 |
| | CARMAX AUTO OWNER TRUST 2.700% 10/16/23 | 171 | 170 |
| | CARMAX AUTO OWNER TRUST 3.390% 10/16/23 | 300 | 299 |
| | CARNOW AUTO RECEIVABLES 2.260% 5/15/19 | 70 | 70 |
| | CARNOW AUTO RECEIVABLES 2.920% 9/15/22 | 507 | 507 |
| | CFC LLC 1.440% 11/16/20 | 23 | 23 |

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| | | | | |
|----------------------|--------|----------|-----|-----|
| CFC LLC | 1.750% | 6/15/21 | 67 | 67 |
| CHRYSLER CAPITAL AUT | 1.640% | | | |
| 7/15/21 | | | 307 | 306 |
| CIG AUTO RECEIVABLES | 2.710% | | | |
| 5/15/23 | | | 216 | 216 |
| CITI HELD FOR ASSET | 4.480% | | | |
| 8/15/22 | | | 36 | 37 |
| CITI HELD FOR ASSET | 4.650% | | | |
| 4/15/25 | | | 22 | 22 |
| COLONY AMERICAN FINA | 2.544% | | | |
| 6/15/48 | | | 456 | 452 |
| COLONY AMERICAN FINA | 2.554% | | | |
| 11/15/48 | | | 186 | 184 |
| COLONY AMERICAN FINA | 2.896% | | | |
| 10/15/47 | | | 374 | 375 |
| COMM MORTGAGE TRUST | 3.047% | | | |
| 10/10/46 | | | 400 | 404 |
| COMM MORTGAGE TRUST | 3.759% | | | |
| 8/10/48 | | | 313 | 328 |
| CONTINENTAL CREDIT | 4.560% | | | |
| 1/15/23 | | | 151 | 151 |
| CPS AUTO TRUST | 1.500% | 6/15/20 | 137 | 137 |
| CPS AUTO TRUST | 1.650% | 11/15/19 | 86 | 86 |
| CPS AUTO TRUST | 1.870% | 3/15/21 | 218 | 218 |
| CPS AUTO TRUST | 2.070% | 11/15/19 | 29 | 29 |
| CPS AUTO TRUST | 2.860% | 6/15/23 | 387 | 384 |
| CPS AUTO TRUST | 2.920% | 2/15/22 | 288 | 287 |
| CPS AUTO TRUST | 3.010% | 10/17/22 | 554 | 550 |
| CPS AUTO TRUST | 3.340% | 5/15/20 | 341 | 343 |
| CPS AUTO TRUST | 3.790% | 6/15/23 | 396 | 395 |
| CREDIT ACCEPTANCE AU | 2.400% | | | |
| 2/15/23 | | | 416 | 416 |

* Indicates party-in-interest

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as of December 31, 2017

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|-----|--|---|----------------------------------|
| | CREDIT ACCEPTANCE AU 2.560% 10/15/25 | 386 | 385 |
| | CREDIT ACCEPTANCE AU 3.350% 6/15/26 | 354 | 350 |
| | CREDIT ACCEPTANCE AU 3.480% 2/17/26 | 318 | 319 |
| | CREDIT ACCEPTANCE AU 3.480% 10/15/26 | 682 | 677 |
| | DBWF 2015-LCM M/MTG 1.000% 6/10/34 | 322 | 321 |
| | DELL EQUIPMENT FINAN 2.730% 10/24/22 | 336 | 334 |
| | DELL EQUIPMENT FINAN 2.950% 4/22/22 | 277 | 278 |
| | DRIVE AUTO RECEIVABL 2.200% 5/15/20 | 145 | 145 |
| | DRIVE AUTO RECEIVABL 2.560% 6/15/20 | 58 | 58 |
| | DRIVE AUTO RECEIVABL 2.610% 8/16/21 | 266 | 266 |
| | DRIVE AUTO RECEIVABL 2.750% 9/15/23 | 347 | 347 |
| | DRIVE AUTO RECEIVABL 2.800% 7/15/22 | 346 | 346 |
| | DRIVE AUTO RECEIVABL 2.840% 4/15/22 | 611 | 614 |
| | DRIVE AUTO RECEIVABL 2.980% 1/18/22 | 291 | 293 |
| | DRIVE AUTO RECEIVABL 3.170% 5/15/20 | 22 | 22 |
| | DRIVE AUTO RECEIVABL 3.910% 5/17/21 | 388 | 391 |
| | DRIVE AUTO RECEIVABL 4.180% 3/15/24 | 220 | 226 |
| | DT AUTO OWNER TRUST 2.020% 8/17/20 | 195 | 195 |
| | DT AUTO OWNER TRUST 2.440% 2/15/21 | 610 | 611 |
| | | 154 | 154 |

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| | | |
|-------------------------------|-------|-------|
| DT AUTO OWNER TRUST 2.650% | | |
| 7/15/20 | | |
| DT AUTO OWNER TRUST 2.700% | | |
| 11/15/22 | 280 | 279 |
| DT AUTO OWNER TRUST 2.790% | | |
| 5/15/20 | 16 | 16 |
| DT AUTO OWNER TRUST 2.860% | | |
| 7/17/23 | 342 | 342 |
| DT AUTO OWNER TRUST 3.030% | | |
| 1/17/23 | 921 | 921 |
| DT AUTO OWNER TRUST 3.470% | | |
| 7/17/23 | 630 | 628 |
| DT AUTO OWNER TRUST 3.550% | | |
| 11/15/22 | 188 | 188 |
| DT AUTO OWNER TRUST 3.580% | | |
| 5/15/23 | 345 | 345 |
| ENGS COMMERCIAL FINA 2.470% | | |
| 2/22/22 | 206 | 205 |
| EXETER AUTOMOBILE RE 2.210% | | |
| 7/15/20 | 64 | 64 |
| EXETER AUTOMOBILE RE 2.800% | | |
| 7/15/20 | 16 | 16 |
| EXETER AUTOMOBILE RE 2.820% | | |
| 5/16/22 | 772 | 770 |
| EXETER AUTOMOBILE RE 2.840% | | |
| 8/16/21 | 123 | 123 |
| EXETER AUTOMOBILE RE 3.000% | | |
| 12/15/21 | 265 | 266 |
| EXETER AUTOMOBILE RE 3.590% | | |
| 8/16/21 | 627 | 630 |
| EXETER AUTOMOBILE RE 3.640% | | |
| 2/15/22 | 170 | 171 |
| EXETER AUTOMOBILE RE 3.680% | | |
| 7/17/23 | 548 | 548 |
| FANNIEMAE-ACES 2.980% 9/25/24 | 733 | 725 |
| FED HOME LN MTG CORP 2.770% | | |
| 5/25/25 | 1,500 | 1,495 |
| FED HOME LN MTG CORP 3.500% | | |
| 6/15/26 | 493 | 509 |
| FED HOME LN MTG CORP 4.500% | | |
| 4/15/39 | 109 | 116 |
| FED HOME LN MTG CORP 6.000% | | |
| 11/15/23 | 50 | 53 |

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|-----|--|---|----------------------------------|
| | FED HOME LN MTG CORP 6.250% | | |
| | 10/15/23 | 243 | 260 |
| | FED HOME LN MTG CORP 7.000% | | |
| | 12/15/36 | 193 | 222 |
| | FED NATL MTG ASSN 3.000% | | |
| | 1/25/46 | 595 | 599 |
| | FED NATL MTG ASSN 4.500% | | |
| | 12/25/40 | 829 | 925 |
| | FED NATL MTG ASSN 6.000% | | |
| | 3/25/36 | 76 | 89 |
| | FHLMC MULTIFAMILY ST 2.597% | | |
| | 9/25/20 | 299 | 300 |
| | FHLMC MULTIFAMILY ST 2.811% | | |
| | 9/25/24 | 591 | 596 |
| | FHLMC MULTIFAMILY ST 2.982% | | |
| | 11/25/25 | 700 | 711 |
| | FHLMC-GNMA 8.000% 12/25/22 | 25 | 27 |
| | FIRST INVESTORS AUTO 1.530% | | |
| | 11/16/20 | 68 | 68 |
| | FIRST INVESTORS AUTO 1.670% | | |
| | 11/16/20 | 30 | 30 |
| | FIRST INVESTORS AUTO 1.870% | | |
| | 11/15/21 | 431 | 429 |
| | FIRST INVESTORS AUTO 2.210% | | |
| | 7/15/22 | 250 | 248 |
| | FIRST INVESTORS AUTO 2.650% | | |
| | 11/15/22 | 300 | 300 |
| | FIRST INVESTORS AUTO 3.000% | | |
| | 1/16/24 | 400 | 398 |
| | FIRST INVESTORS AUTO 3.000% | | |
| | 8/15/23 | 600 | 595 |
| | FIRST INVESTORS AUTO 3.440% | | |
| | 3/15/24 | 439 | 437 |
| | FIRST INVESTORS AUTO 3.600% | | |
| | 4/17/23 | 278 | 277 |
| | FLAGSHIP CREDIT AU 0.20417% | | |
| | 3/16/20 | 521 | 521 |
| | FLAGSHIP CREDIT AU 0.27222% | | |
| | 2/16/21 | 608 | 607 |

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| | | |
|-----------------------------|-------|-------|
| FLAGSHIP CREDIT AUTO 1.850% | | |
| 7/15/21 | 364 | 363 |
| FLAGSHIP CREDIT AUTO 2.100% | | |
| 11/15/20 | 500 | 500 |
| FLAGSHIP CREDIT AUTO 2.280% | | |
| 5/15/20 | 27 | 27 |
| FLAGSHIP CREDIT AUTO 2.380% | | |
| 10/15/20 | 237 | 237 |
| FLAGSHIP CREDIT AUTO 2.410% | | |
| 10/15/21 | 440 | 438 |
| FLAGSHIP CREDIT AUTO 2.530% | | |
| 12/15/20 | 158 | 158 |
| FLAGSHIP CREDIT AUTO 2.710% | | |
| 11/15/22 | 170 | 169 |
| FLAGSHIP CREDIT AUTO 2.910% | | |
| 9/15/23 | 384 | 383 |
| FLAGSHIP CREDIT AUTO 2.920% | | |
| 11/15/23 | 227 | 226 |
| FLAGSHIP CREDIT AUTO 2.960% | | |
| 7/15/23 | 420 | 420 |
| FLAGSHIP CREDIT AUTO 3.580% | | |
| 1/15/24 | 130 | 129 |
| FLAGSHIP CREDIT AUTO 3.840% | | |
| 9/15/22 | 60 | 61 |
| FLAGSHIP CREDIT AUTO 6.220% | | |
| 6/15/22 | 350 | 370 |
| FLAGSHIP CREDIT AUTO 6.220% | | |
| 9/15/22 | 200 | 211 |
| GLS AUTO RECEIVABLES 2.250% | | |
| 12/15/20 | 52 | 52 |
| GLS AUTO RECEIVABLES 2.670% | | |
| 4/15/21 | 1,057 | 1,057 |
| GLS AUTO RECEIVABLES 2.730% | | |
| 10/15/20 | 73 | 73 |
| GLS AUTO RECEIVABLES 4.390% | | |
| 1/15/21 | 120 | 122 |
| GLS AUTO RECEIVABLES 6.900% | | |
| 10/15/21 | 200 | 211 |
| GM FINANCIAL AUTOMOB 2.260% | | |
| 8/20/20 | 230 | 230 |
| GM FINANCIAL AUTOMOB 2.480% | | |
| 8/20/20 | 294 | 294 |

*Indicates party-in-interest

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Plan #: 002

AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | GO FINANCIAL AUTO SE 4.800% 8/17/20 | 80 | 80 |
| | GOODGREEN TRUST 3.260% 10/15/53 | 791 | 785 |
| | GOODGREEN TRUST 3.740% 10/15/52 | 262 | 260 |
| | GOVT NATL MTG ASSN 4.500% 10/16/39 | 1,375 | 1,494 |
| | GOVT NATL MTG ASSN 5.000% 8/20/39 | 300 | 326 |
| | HERO FUNDING TRUST 3.080% 9/20/42 | 925 | 913 |
| | HERO FUNDING TRUST 3.950% 9/20/48 | 947 | 976 |
| | HERO FUNDING TRUST 4.070% 9/20/48 | 183 | 187 |
| | HERO FUNDING TRUST 4.460% 9/20/47 | 913 | 941 |
| | HILTON GRAND VACATIO 2.660% 12/27/28 | 310 | 308 |
| | JP MORGAN CHASE COM *3.616% 11/15/43 | 56 | 57 |
| | KABBAGE FUNDING LLC 4.571% 3/15/22 | 1,100 | 1,124 |
| | KABBAGE FUNDING LLC 5.794% 3/15/22 | 360 | 371 |
| | LENDINGCLUB ISSUANCE 3.000% 1/17/23 | 303 | 304 |
| | LENDMARK FUNDING TRU 2.800% 5/20/26 | 347 | 346 |
| | LENDMARK FUNDING TRU 2.830% 1/22/24 | 415 | 414 |
| | LENDMARK FUNDING TRU 4.820% 8/21/23 | 171 | 173 |
| | MARINER FINANCE ISSU 3.620% 2/20/29 | 615 | 618 |
| | MARLETTE FUNDING TRU 2.360% 12/15/24 | 472 | 471 |
| | | 635 | 635 |

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| | | |
|-----------------------------|-------|-------|
| MARLETTE FUNDING TRU | | |
| 2.390% 7/15/24 | | |
| MARLETTE FUNDING TRU | | |
| 2.827% 3/15/24 | 650 | 652 |
| MURRAY HILL MARKETPL | | |
| 4.190% 11/25/22 | 38 | 38 |
| NATIONSTAR HECM LOA | | |
| 2.0125% 8/25/26 | 57 | 57 |
| NATIONSTAR HECM LOA | | |
| 2.2394% 6/25/26 | 33 | 33 |
| NEW RESIDENTIAL ADV 2.5751% | | |
| 10/15/49 | 1,000 | 990 |
| NEW RESIDENTIAL ADV | | |
| 2.7511% 6/15/49 | 114 | 113 |
| NEW RESIDENTIAL ADV 3.0199% | | |
| 10/15/49 | 357 | 355 |
| NEXTGEAR FLOORPLAN | | |
| 2.540% 4/18/22 | 462 | 461 |
| OCWEN MASTER ADVANC | | |
| 2.5207% 8/17/48 | 452 | 452 |
| OCWEN MASTER ADVANC | | |
| 3.5358% 9/15/48 | 999 | 999 |
| OCWEN MASTER ADVANC | | |
| 4.2462% 8/17/48 | 263 | 261 |
| ONEMAIN DIRECT AUTO | | |
| 2.040% 1/15/21 | 54 | 54 |
| ONEMAIN DIRECT AUTO 3.420% | | |
| 10/15/24 | 301 | 300 |
| ONEMAIN FINANCIAL IS 2.470% | | |
| 9/18/24 | 8 | 8 |
| ONEMAIN FINANCIAL IS 2.570% | | |
| 7/18/25 | 223 | 223 |
| OPORTUN FUNDING II 4.700% | | |
| 3/08/21 | 387 | 390 |
| OPORTUN FUNDING LLC 3.220% | | |
| 10/10/23 | 387 | 385 |
| PROGRESS RESIDENTIAL 2.740% | | |
| 6/12/32 | 143 | 143 |
| PROGRESS RESIDENTIAL 2.768% | | |
| 8/17/34 | 200 | 198 |
| PROGRESS RESIDENTIAL 3.067% | | |
| 11/12/32 | 1,047 | 1,052 |
| PROGRESS RESIDENTIAL 3.138% | | |
| 6/12/32 | 820 | 819 |

*Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | PROGRESS RESIDENTIAL 3.196% 12/17/34 | 526 | 522 |
| | PROGRESS RESIDENTIAL 3.595% 12/17/34 | 137 | 136 |
| | PROGRESS RESIDENTIAL 4.261% 8/17/34 | 453 | 455 |
| | PROGRESS RESIDENTIAL 4.673% 11/12/32 | 100 | 103 |
| | PROSPER MARKETPLACE 2.410% 9/15/23 | 434 | 435 |
| | PROSPER MARKETPLACE 3.740% 11/15/23 | 344 | 344 |
| | RENEW 2017-1 1.67064% 9/28/52 | 362 | 358 |
| | RENEW FINANCIAL 3.220% 9/22/53 | 323 | 323 |
| | RICE PARK FINANCING 4.625% 10/31/41 | 603 | 603 |
| | SANTANDER DRIVE AUTO 2.580% 5/16/22 | 374 | 373 |
| | SANTANDER DRIVE AUTO 2.790% 8/15/22 | 1,053 | 1,056 |
| | SANTANDER DRIVE AUTO 2.930% 12/15/22 | 295 | 295 |
| | SANTANDER DRIVE AUTO 3.170% 4/17/23 | 596 | 599 |
| | SIERRA AUTO RECEIVAB 2.850% 1/18/22 | 27 | 27 |
| | SPS SERVICER ADVANCE 2.530% 11/16/48 | 800 | 793 |
| | UNITED AUTO CREDIT 2.400% 11/12/19 | 1,065 | 1,062 |
| | VENDEE MORTGAGE TRUS 5.000% 5/15/33 | 760 | 822 |
| | VEROS AUTO RECEIVABL 2.840% 4/17/23 | 303 | 302 |
| | VNO MORTGAGE TRUST 3.808% 12/13/29 | 500 | 515 |
| | VR CAM MORTGAGE TR 3.220% 8/01/57 | 199 | 199 |
| | | 491 | 491 |

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| | | | |
|----------------------|----------|----------|-------|
| VR FANNIEMAE-ACES | 2.321% | | |
| 11/25/22 | | | |
| VR FANNIEMAE-ACES | 2.486% | | |
| 12/25/26 | | 915 | 889 |
| VR FANNIEMAE-ACES | 2.939% | | |
| 1/25/26 | | 2,752 | 2,773 |
| VR FANNIEMAE-ACES | 3.061% | | |
| 5/25/27 | | 1,480 | 1,498 |
| VR FANNIEMAE-ACES | 3.079% | | |
| 6/25/27 | | 822 | 836 |
| VR FANNIEMAE-ACES | 3.092% | | |
| 4/25/27 | | 3,577 | 3,623 |
| VR FED HOME LN MTG | 1.937% | | |
| 2/15/43 | | 295 | 292 |
| VR FED HOME LN MTG | 2.007% | | |
| 9/15/36 | | 63 | 63 |
| VR FED NATL MTG AS | 3.44886% | | |
| 4/25/44 | | 112 | 118 |
| VR FED NATL MTG ASSN | 2.170% | | |
| 9/25/41 | | 214 | 216 |
| VR FHLMC MULTIFAMI | 2.12772% | | |
| 9/25/22 | | 447 | 444 |
| VR FHLMC MULTIFAMILY | 3.284% | | |
| 6/25/25 | | 1,000 | 1,037 |
| VR FHLMC MULTIFAMILY | 3.364% | | |
| 12/25/27 | | 680 | 701 |
| VR FREMF MORTGAGE | 3.55761% | | |
| 6/25/45 | | 800 | 798 |
| VR FREMF MORTGAGE | 3.57547% | | |
| 11/25/49 | | 180 | 178 |
| VR FREMF MORTGAGE | 3.68393% | | |
| 1/25/48 | | 1,200 | 1,216 |
| VR FREMF MORTGAGE | 3.83526% | | |
| 7/25/49 | | 220 | 224 |
| VR FREMF MORTGAGE | 4.07227% | | |
| 11/25/47 | | 250 | 246 |
| VR GMAT TRUST | 6.9669% | 11/25/43 | 64 |
| VR GOVT NATL MTG | 4.741% | | |
| 10/20/43 | | 1,121 | 1,210 |
| VR GOVT NATL MTG | 5.257% | 5/20/40 | 1,151 |
| | | | 1,256 |

*Indicates party-in-interest

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Plan #: 002

AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | VR GOVT NATL MTG 5.488% 1/20/38 | 918 | 1,015 |
| | VR GOVT NATL MTG 5.584% 10/20/40 | 1,431 | 1,576 |
| | VR GOVT NATL MTG AS 1.959% 5/20/66 | 841 | 842 |
| | VR GOVT NATL MTG AS 2.002% 6/20/65 | 1,754 | 1,750 |
| | VR GOVT NATL MTG AS 2.002% 7/20/65 | 916 | 914 |
| | VR GOVT NATL MTG AS 2.012% 2/20/61 | 1,189 | 1,187 |
| | VR GOVT NATL MTG AS 2.062% 6/20/67 | 743 | 743 |
| | VR GOVT NATL MTG AS 2.082% 9/20/65 | 1,304 | 1,306 |
| | VR GOVT NATL MTG AS 2.082% 10/20/65 | 900 | 902 |
| | VR GOVT NATL MTG AS 2.122% 3/20/67 | 732 | 735 |
| | VR GOVT NATL MTG AS 2.162% 11/20/65 | 1,669 | 1,677 |
| | VR GOVT NATL MTG AS 2.222% 12/20/65 | 517 | 521 |
| | VR GOVT NATL MTG AS 2.392% 8/20/66 | 553 | 559 |
| | VR GOVT NATL MTG AS 2.562% 12/20/66 | 239 | 244 |
| | VR PFP III 2.835% 7/14/34 | 199 | 199 |
| | VR VERICREST OPPOR 3.500% 6/26/45 | 244 | 244 |
| | VR VERICREST OPPORTU 3.125% 6/25/47 | 236 | 236 |
| | VR VERICREST OPPORTU 3.250% 4/25/59 | 129 | 129 |
| | VR VERICREST OPPORTU 3.375% 4/25/47 | 184 | 185 |
| | VR VERICREST OPPORTU 3.375% 5/27/47 | 230 | 230 |

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| | | |
|-------------------------------|-----|---------|
| VR VERICREST OPPORTU 3.500% | | |
| 2/25/47 | 143 | 143 |
| VR VERICREST OPPORTU 3.500% | | |
| 3/25/47 | 226 | 227 |
| VR VERICREST OPPORTU 4.375% | | |
| 11/27/45 | 93 | 93 |
| WELLS FARGO COMMERCIAL | | |
| *2.819% 8/15/50 | 700 | 705 |
| WESTGATE RESORTS 3.050% | | |
| 12/20/30 | 292 | 292 |
| WESTLAKE AUTOMOBILE | | |
| 1.570% 6/17/19 | 56 | 56 |
| WESTLAKE AUTOMOBILE | | |
| 1.780% 4/15/20 | 301 | 301 |
| WESTLAKE AUTOMOBILE | | |
| 2.460% 1/18/22 | 431 | 429 |
| WESTLAKE AUTOMOBILE | | |
| 2.590% 12/15/22 | 515 | 511 |
| WESTLAKE AUTOMOBILE | | |
| 2.700% 10/17/22 | 270 | 270 |
| WESTLAKE AUTOMOBILE | | |
| 3.460% 10/17/22 | 325 | 326 |
| WESTLAKE AUTOMOBILE | | |
| 4.100% 6/15/21 | 70 | 71 |
| WORLD OMNI AUTOMOBILE | | |
| 2.320% 8/15/22 | 184 | 184 |
| WORLD OMNI AUTOMOBILE | | |
| 2.480% 8/15/22 | 412 | 411 |
| Total Asset-Backed Securities | | 113,377 |
| | | |
| <u>Foreign Sovereign Debt</u> | | |
| REPUBLIC OF COLOMBIA 4.500% | | |
| 1/28/26 | | 213 |
| UNITED MEXICAN STATE 4.000% | | |
| 10/02/23 | | 178 |
| UNITED MEXICAN STATE 4.125% | | |
| 1/21/26 | | 490 |
| UNITED MEXICAN STATE | | |
| 4.350% 1/15/47 | | 34 |

*Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN
 Schedule H, Line 4i – Schedule of Assets (Held At End of Year)
 as of December 31, 2017

| (a) Issuer, Borrower, Lessor, or Similar Party | (b) Identity of | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|--|--|--|-------------------------------------|
| | Total Foreign Sovereign Debt | | 915 |
| | <u>Municipal Bonds</u> | | |
| | OHIO ST UNIV 4.048% 12/01/56 | 81 | 87 |
| | <u>Private Placement Bonds</u> | | |
| | P/P ABN AMRO BANK NV 4.750% 7/28/25 | 250 | 265 |
| | P/P AIR CANADA 2017- 3.300% 1/15/30 | 75 | 75 |
| | P/P AIR CANADA 2017- 3.550% 1/15/30 | 106 | 106 |
| | P/P AIRBUS SE 3.150% 4/10/27 | 164 | 165 |
| | P/P AMAZON.COM INC 2.800% 8/22/24 | 50 | 50 |
| | P/P AMAZON.COM INC 3.875% 8/22/37 | 110 | 117 |
| | P/P ANZ NEW ZEALAND 2.850% 8/06/20 | 250 | 252 |
| | P/P APT PIPELINES LT 4.250% 7/15/27 | 102 | 106 |
| | P/P AT&T INC 4.300% 2/15/30 | 176 | 176 |
| | | 371 | 379 |

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| | | |
|-----------------|-----|-----|
| P/P AT&T INC | | |
| 5.150% 11/15/46 | | |
| P/P ATHENE | | |
| GLOBAL FU | | |
| 2.750% 4/20/20 | 127 | 127 |
| P/P ATHENE | | |
| GLOBAL FU | | |
| 4.000% 1/25/22 | 103 | 106 |
| P/P BAE SYSTEMS | | |
| HOLD 3.800% | | |
| 10/07/24 | 130 | 135 |
| P/P BANQUE FED | | |
| CRED 2.000% | | |
| 4/12/19 | 200 | 199 |
| P/P BAT CAPITAL | | |
| CORP 4.390% | | |
| 8/15/37 | 68 | 71 |
| P/P BK | | |
| TOKYO-MITSUBI | | |
| 2.150% 9/14/18 | 200 | 200 |
| P/P BMW US | | |
| CAPITAL 2.250% | | |
| 9/15/23 | 72 | 70 |
| P/P BOC | | |
| AVIATION LTD | | |
| 2.750% 9/18/22 | 200 | 196 |
| P/P BPCE SA | | |
| 4.625% 7/11/24 | 200 | 210 |
| P/P BRAMBLES | | |
| USA INC 5.350% | | |
| 4/01/20 | 150 | 158 |
| P/P CADILLAC | | |
| FAIRVIE 3.875% | | |
| 3/20/27 | 201 | 206 |
| P/P CANADIAN | | |
| IMPERIA 2.250% | | |
| 7/21/20 | 200 | 199 |
| P/P CHEVRON | | |
| PHILLIPS 3.400% | | |
| 12/01/26 | 100 | 103 |
| P/P CK | | |
| HUTCHISON INT | | |
| 1.875% 10/03/21 | 200 | 193 |
| P/P CLEVELAND | | |
| ELECTR 3.500% | | |
| 4/01/28 | 95 | 95 |
| P/P | | |
| COMMONWEALTH | | |
| BAN 2.500% | | |
| 9/18/22 | 140 | 138 |
| | 200 | 209 |

| | | | |
|---|-----|--|-----|
| P/P COMMONWEALTH BAN 4.500% 12/09/25 | | | |
| P/P COX COMMUNICATIO 4.800% 2/01/35 | 120 | | 122 |
| P/P CREDIT AGRICOLE 3.250% 10/04/24 | 250 | | 248 |
| P/P CREDIT SUISSE GR 3.574% 1/09/23 | 598 | | 608 |
| P/P CRH AMERICA FINA 3.400% 5/09/27 | 200 | | 200 |
| P/P CVS PASS-THROUGH 5.773% 1/10/33 | 81 | | 91 |
| P/P CVS PASS-THROUGH 5.926% 1/10/34 | 84 | | 96 |
| P/P DAIWA SECURITIES 3.129% 4/19/22 | 64 | | 64 |

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|-----|--|---|----------------------------------|
| | P/P DEUTSCHE TELEKOM 3.600% 1/19/27 | 170 | 171 |
| | P/P DIAMOND 1 FIN/DI 6.020% 6/15/26 | 200 | 221 |
| | P/P DR PEPPER SNAPPL 3.430% 6/15/27 | 35 | 35 |
| | P/P ECOLAB INC 3.250% 12/01/27 | 43 | 43 |
| | P/P ENEL FINANCE INT 3.625% 5/25/27 | 220 | 219 |
| | P/P ERAC USA FINANCE 2.600% 12/01/21 | 100 | 99 |
| | P/P ERAC USA FINANCE 3.850% 11/15/24 | 150 | 155 |
| | P/P GAIF BOND ISSUER 3.400% 9/30/26 | 95 | 93 |
| | P/P GLENCORE FUNDING 4.625% 4/29/24 | 70 | 74 |
| | P/P GOODMAN US FIN 3.700% 3/15/28 | 86 | 85 |
| | P/P GOODMAN US FIN 4.500% 10/15/37 | 70 | 72 |
| | P/P GREAT-WEST LIFEC 4.150% 6/03/47 | 100 | 105 |
| | P/P GUARDIAN LIFE IN 4.850% 1/24/77 | 21 | 23 |
| | P/P HYUNDAI CAPITAL 2.000% 7/01/19 | 30 | 30 |
| | P/P HYUNDAI CAPITAL 2.400% 10/30/18 | 134 | 134 |
| | P/P INTESA SANPAOLO 3.875% 7/14/27 | 200 | 200 |
| | P/P JACKSON NATL LIF 1.875% 10/15/18 | 167 | 167 |
| | P/P JACKSON NATL LIF 3.050% 4/29/26 | 55 | 54 |
| | P/P JERSEY CENTRAL 4.300% 1/15/26 | 50 | 52 |
| | P/P LIBERTY MUTUAL 6.500% 3/15/35 | 130 | 168 |

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| | | |
|-----------------------------|-----|-----|
| P/P LIBERTY MUTUAL 7.000% | | |
| 3/15/34 | 50 | 66 |
| P/P MACQUARIE BANK | | |
| 2.850% 7/29/20 | 300 | 302 |
| P/P MACQUARIE BANK | | |
| 4.000% 7/29/25 | 300 | 313 |
| P/P MET LIFE GLOB FU | | |
| *3.000% 9/19/27 | 180 | 178 |
| P/P MEXICO CITY ARPT | | |
| 5.500% 7/31/47 | 350 | 346 |
| P/P MITSUBISHI UFJ 2.650% | | |
| 10/19/20 | 200 | 200 |
| P/P MITSUBISHI UFJ 2.652% | | |
| 9/19/22 | 200 | 196 |
| P/P MIZUHO FINANCIAL | | |
| 2.632% 4/12/21 | 200 | 200 |
| P/P MYLAN INC 3.125% | | |
| 1/15/23 | 250 | 247 |
| P/P NATIONWIDE MUTUA | | |
| 9.375% 8/15/39 | 100 | 170 |
| P/P NEW ENGLAND POWE | | |
| 3.800% 12/05/47 | 50 | 51 |
| P/P NEW YORK LIFE GL | | |
| 2.000% 4/13/21 | 35 | 35 |
| P/P NEW YORK LIFE GL | | |
| 2.350% 7/14/26 | 111 | 106 |
| P/P NISSAN MOTOR ACC | | |
| 1.900% 9/14/21 | 39 | 38 |
| P/P NISSAN MOTOR ACC | | |
| 2.550% 3/08/21 | 100 | 100 |
| P/P NORDEA BANK AB | | |
| 2.500% 9/17/20 | 350 | 350 |
| P/P NORFOLK SOUTHERN | | |
| 3.942% 11/01/47 | 51 | 52 |
| P/P NY STATE ELECTRI 3.250% | | |
| 12/01/26 | 87 | 88 |
| P/P PARKER-HANNIFIN | | |
| 4.100% 3/01/47 | 42 | 45 |
| P/P PENNSYLVANIA ELE | | |
| 3.250% 3/15/28 | 26 | 26 |
| P/P PENSKE TRUCK LEA | | |
| 3.375% 2/01/22 | 350 | 357 |

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|--|--|----------------------------------|
| P/P PRICOA GLOBAL FU 2.550% 11/24/20 | 150 | 151 |
| P/P PRINCIPAL LFE GL 2.625% 11/19/20 | 114 | 114 |
| P/P PROTECTIVE LIFE 2.700% 11/25/20 | 200 | 201 |
| P/P PRUDENTIAL INSUR 8.300% 7/01/25 | 300 | 393 |
| P/P RELIANCE STAND 2.500% 1/15/20 | 40 | 40 |
| P/P RELIANCE STAND 3.050% 1/20/21 | 75 | 76 |
| P/P SANTANDER UK GRO 4.750% 9/15/25 | 200 | 210 |
| P/P SCENTRE GROUP TR 3.500% 2/12/25 | 200 | 201 |
| P/P SCHLUMBERGER HLD 3.625% 12/21/22 | 209 | 215 |
| P/P SES SA 3.600% 4/04/23 | 50 | 50 |
| P/P SIEMENS FINANCIE 2.900% 5/27/22 | 250 | 253 |
| P/P SINOPEC GRP OVER 3.900% 5/17/22 | 200 | 207 |
| | 35 | 38 |

| | | | |
|--|-----|--|-----------|
| P/P SOUTHERN NATURAL 4.800% 3/15/47 | | | |
| P/P SPRINT SPECTRUM 3.360% 3/20/23 | 278 | | 280 |
| P/P STANDARD CHARTER 3.050% 1/15/21 | 250 | | 252 |
| P/P SUMITOMO MITSUI 2.050% 10/18/19 | 200 | | 199 |
| P/P TEACHERS INSUR 4.270% 5/15/47 | 70 | | 74 |
| P/P TEACHERS INSUR 4.900% 9/15/44 | 40 | | 46 |
| P/P UBS GROUP FUNDIN 3.491% 5/23/23 | 200 | | 203 |
| VR P/P BANK OF AMERI 3.419% 12/20/28 | 659 | | 659 |
| VR P/P DIA-ICHI LIFE 4.000% 12/29/49 | 200 | | 196 |
| VR P/P MACQUARIE GRO 3.763% 11/28/28 | 100 | | 99 |
| VR P/P PACIFIC LIFE 4.300% 10/24/67 | 64 | | 64 |
| VR P/P WESTPAC BAN 0.933% 7/16/18 | 300 | | 300 |
| Total Private Placement Bonds | | | 15,922 |
| Total Other Investments | | | 130,301 |
| Total Investments, at Fair Value | | | 4,699,202 |
| Fully Benefit Responsive Investment Contracts | | | |

US Government
and Agency
Obligations

| | | | |
|-----------------|--------|--|--------|
| FFCB 1.23% | | | |
| 9/25/2020 | 39,665 | | 39,686 |
| FGOLD 15YR | | | |
| 3.5% 10/01/2020 | 5 | | 5 |
| FGOLD 15YR | | | |
| 3.5% 10/01/2025 | 9 | | 9 |
| FGOLD 15YR | | | |
| 3.5% 9/01/2025 | 64 | | 66 |
| FGOLD 15YR 4% | | | |
| 7/01/2025 | 884 | | 920 |
| FGOLD 15YR 3% | | | |
| 1/01/2027 | 2,817 | | 2,869 |
| FGOLD 15YR 3% | | | |
| 1/01/2032 | 1,096 | | 1,116 |
| FGOLD 15YR 3% | | | |
| 11/01/2025 | 622 | | 634 |

*Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | FGOLD 15YR 3% 11/01/2026 | 485 | 494 |
| | FGOLD 15YR 3% 3/01/2027 | 2,420 | 2,466 |
| | FGOLD 15YR 3.5% 1/01/2021 | 253 | 261 |
| | FGOLD 15YR 3.5% 10/01/2025 | 1,786 | 1,846 |
| | FGOLD 15YR 3.5% 11/01/2025 | 92 | 95 |
| | FGOLD 15YR 3.5% 12/01/2025 | 1,023 | 1,057 |
| | FGOLD 15YR 3.5% 4/01/2021 | 233 | 241 |
| | FGOLD 15YR 3.5% 5/01/2026 | 46 | 48 |
| | FGOLD 15YR 3.5% 6/01/2026 | 875 | 905 |
| | FGOLD 15YR 3.5% 7/01/2026 | 1,400 | 1,446 |
| | FGOLD 15YR 3.5% 8/01/2026 | 823 | 850 |
| | FGOLD 15YR 4% 10/01/2025 | 27 | 28 |
| | FGOLD 15YR 4% 3/01/2026 | 91 | 95 |
| | FGOLD 15YR 4% 5/01/2026 | 320 | 334 |
| | FGOLD 15YR 4% 6/01/2024 | 202 | 209 |
| | FGOLD 15YR 4% 6/01/2025 | 33 | 35 |
| | FGOLD 15YR 4% 6/01/2026 | 2,045 | 2,135 |
| | FGOLD 15YR 5% 6/01/2018 | 2 | 2 |
| | FGOLD 15YR 5.5% 10/01/2018 | 2 | 2 |
| | FGOLD 15YR 5.5% 2/01/2019 | 22 | 23 |
| | FGOLD 15YR GIANT 3% 1/01/2027 | 754 | 768 |
| | FGOLD 15YR GIANT 3% 3/01/2031 | 1,685 | 1,717 |
| | FGOLD 15YR GIANT 3% 3/01/2032 | 2,100 | 2,140 |
| | FGOLD 15YR GIANT 3% 6/01/2027 | 706 | 720 |
| | FGOLD 15YR GIANT 3% 9/01/2030 | 1,025 | 1,044 |
| | FGOLD 15YR GIANT 3% 9/01/2031 | 960 | 979 |
| | FGOLD 15YR GIANT 3.5% 1/01/2027 | 897 | 927 |
| | FGOLD 15YR GIANT 3.5% 1/01/2030 | 280 | 290 |
| | FGOLD 15YR GIANT 3.5% 10/01/2029 | 49 | 51 |
| | FGOLD 15YR GIANT 3.5% 11/01/2025 | 258 | 267 |
| | FGOLD 15YR GIANT 3.5% 11/01/2029 | 715 | 740 |
| | FGOLD 15YR GIANT 3.5% 3/01/2030 | 285 | 295 |
| | FGOLD 15YR GIANT 3.5% 4/01/2029 | 269 | 279 |
| | FGOLD 15YR GIANT 3.5% 4/01/2030 | 618 | 640 |
| | FGOLD 15YR GIANT 3.5% 6/01/2029 | 399 | 413 |
| | FGOLD 15YR GIANT 3.5% 7/01/2021 | 8 | 8 |
| | FGOLD 15YR GIANT 3.5% 7/01/2029 | 1,034 | 1,071 |
| | FGOLD 15YR GIANT 3.5% 8/01/2026 | 67 | 69 |
| | FGOLD 15YR GIANT 3.5% 8/01/2029 | 1,714 | 1,774 |

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| | | |
|---------------------------------|-------|-------|
| FGOLD 15YR GIANT 3.5% 8/01/2032 | 3,390 | 3,511 |
| FGOLD 15YR GIANT 3.5% 9/01/2025 | 278 | 288 |

*Indicates party-in-interest

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|-----|--|---|----------------------------------|
| | FGOLD 15YR GIANT 4% 10/01/2025 | 92 | 95 |
| | FGOLD 15YR GIANT 4% 5/01/2026 | 405 | 421 |
| | FGOLD 15YR GIANT 4% 6/01/2026 | 641 | 665 |
| | FHLB 1.375% 11/15/2019 | 14,775 | 14,621 |
| | FHLB 1.375% 9/28/2020 | 5,100 | 5,011 |
| | FHLMC 5/1 HYBRID ARM 3.39% 12/01/2036 | 170 | 178 |
| | FHLMC REFERENCE BOND 1.5% 1/17/2020 | 25,520 | 25,249 |
| | FHLMC REFERENCE NOTES 1.375% 5/01/2020 | 33,275 | 32,815 |
| | FHLMC_K007 4.224% 3/25/2020 | 1,301 | 1,347 |
| | FHLMC_K714 3.034% 10/25/2020 | 855 | 869 |
| | FHLMC_T-13 6.085% 9/25/2029 | 1 | 1 |
| | FNMA 15YR 3.5% 1/01/2026 | 726 | 750 |
| | FNMA 15YR 3.5% 10/01/2025 | 442 | 457 |
| | FNMA 15YR 3.5% 11/01/2025 | 2,321 | 2,396 |
| | FNMA 15YR 3.5% 12/01/2025 | 470 | 485 |
| | FNMA 15YR 3.5% 12/01/2026 | 17 | 18 |
| | FNMA 15YR 3.5% 2/01/2026 | 689 | 711 |
| | FNMA 15YR 3.5% 3/01/2026 | 232 | 240 |
| | FNMA 15YR 3.5% 8/01/2026 | 294 | 304 |
| | FNMA 15YR 3.5% 9/01/2025 | 60 | 61 |
| | FNMA 15YR 4% 1/01/2025 | 36 | 38 |
| | FNMA 15YR 4% 4/01/2025 | 526 | 548 |
| | FNMA 15YR 4% 5/01/2025 | 331 | 344 |
| | FNMA 15YR 4% 9/01/2024 | 430 | 446 |
| | FNMA 15YR 4% 9/01/2025 | 18 | 19 |
| | FNMA 15YR 4.5% 1/01/2025 | 4 | 4 |
| | FNMA 15YR 4.5% 3/01/2023 | 46 | 48 |
| | FNMA 15YR 4.5% 7/01/2023 | 30 | 31 |
| | FNMA 15YR 5% 1/01/2019 | 35 | 35 |
| | FNMA 15YR 5% 10/01/2024 | 190 | 197 |
| | FNMA 15YR 5% 11/01/2018 | 10 | 10 |
| | FNMA 15YR 5% 12/01/2018 | 49 | 50 |
| | FNMA 15YR 5% 3/01/2023 | 31 | 33 |
| | FNMA 15YR 5% 4/01/2018 | 7 | 7 |
| | FNMA 15YR 5.5% 2/01/2018 | 1 | 1 |
| | FNMA 15YR 5.5% 7/01/2018 | 6 | 6 |

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| | | |
|---|-----|-----|
| FNMA 15YR 5.5% 8/01/2023 | 30 | 31 |
| FNMA 15YR 6% 4/01/2023 | 160 | 169 |
| FNMA 10/1 HYBRID ARM 2.94% 5/01/2035 | 64 | 66 |
| FNMA 10/1 HYBRID ARM 3.09% 12/01/2035 | 49 | 49 |
| FNMA 10/1 HYBRID ARM 3.198% 10/01/2034 | 24 | 25 |

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| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | FNMA 10/1 HYBRID ARM 3.559% 12/01/2033 | 8 | 8 |
| | FNMA 15YR 2.5% 9/01/2031 | 899 | 898 |
| | FNMA 15YR 3% 1/01/2032 | 1,852 | 1,888 |
| | FNMA 15YR 3% 10/01/2030 | 8,245 | 8,416 |
| | FNMA 15YR 3% 11/01/2030 | 1,999 | 2,041 |
| | FNMA 15YR 3% 11/01/2031 | 2,639 | 2,689 |
| | FNMA 15YR 3% 2/01/2030 | 1,668 | 1,703 |
| | FNMA 15YR 3% 2/01/2031 | 7,414 | 7,555 |
| | FNMA 15YR 3% 2/01/2032 | 1,745 | 1,778 |
| | FNMA 15YR 3% 3/01/2031 | 1,196 | 1,219 |
| | FNMA 15YR 3% 3/01/2032 | 895 | 912 |
| | FNMA 15YR 3% 4/01/2031 | 1,124 | 1,145 |
| | FNMA 15YR 3% 4/01/2032 | 1,090 | 1,111 |
| | FNMA 15YR 3% 5/01/2031 | 3,098 | 3,157 |
| | FNMA 15YR 3% 7/01/2027 | 345 | 352 |
| | FNMA 15YR 3% 7/01/2030 | 513 | 524 |
| | FNMA 15YR 3% 7/01/2032 | 2,560 | 2,610 |
| | FNMA 15YR 3% 8/01/2031 | 1,297 | 1,322 |
| | FNMA 15YR 3% 9/01/2029 | 1,800 | 1,837 |
| | FNMA 15YR 3% 9/01/2031 | 2,314 | 2,358 |
| | FNMA 15YR 3% 9/01/2032 | 2,262 | 2,306 |
| | FNMA 15YR 3.5% 1/01/2026 | 446 | 461 |
| | FNMA 15YR 3.5% 1/01/2027 | 1,461 | 1,508 |
| | FNMA 15YR 3.5% 1/01/2030 | 2,463 | 2,544 |
| | FNMA 15YR 3.5% 10/01/2026 | 2,223 | 2,295 |
| | FNMA 15YR 3.5% 10/01/2028 | 517 | 534 |
| | FNMA 15YR 3.5% 10/01/2029 | 152 | 157 |
| | FNMA 15YR 3.5% 11/01/2027 | 41 | 42 |
| | FNMA 15YR 3.5% 11/01/2028 | 621 | 642 |
| | FNMA 15YR 3.5% 11/01/2029 | 533 | 550 |
| | FNMA 15YR 3.5% 12/01/2025 | 529 | 546 |
| | FNMA 15YR 3.5% 12/01/2026 | 586 | 605 |
| | FNMA 15YR 3.5% 12/01/2028 | 260 | 268 |
| | FNMA 15YR 3.5% 12/01/2029 | 2,257 | 2,331 |
| | FNMA 15YR 3.5% 2/01/2026 | 358 | 370 |
| | FNMA 15YR 3.5% 2/01/2027 | 102 | 106 |
| | FNMA 15YR 3.5% 2/01/2028 | 10 | 11 |
| | FNMA 15YR 3.5% 2/01/2029 | 1,482 | 1,531 |

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| | | |
|--------------------------|-------|-------|
| FNMA 15YR 3.5% 2/01/2031 | 1,917 | 1,980 |
| FNMA 15YR 3.5% 2/01/2032 | 4,400 | 4,550 |
| FNMA 15YR 3.5% 3/01/2032 | 4,150 | 4,291 |

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| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | FNMA 15YR 3.5% 4/01/2026 | 603 | 622 |
| | FNMA 15YR 3.5% 4/01/2030 | 854 | 883 |
| | FNMA 15YR 3.5% 5/01/2027 | 337 | 348 |
| | FNMA 15YR 3.5% 5/01/2029 | 386 | 399 |
| | FNMA 15YR 3.5% 6/01/2027 | 2,213 | 2,285 |
| | FNMA 15YR 3.5% 6/01/2029 | 522 | 539 |
| | FNMA 15YR 3.5% 6/01/2030 | 940 | 973 |
| | FNMA 15YR 3.5% 7/01/2029 | 3,159 | 3,264 |
| | FNMA 15YR 3.5% 8/01/2026 | 287 | 296 |
| | FNMA 15YR 3.5% 8/01/2027 | 381 | 394 |
| | FNMA 15YR 3.5% 8/01/2029 | 1,902 | 1,965 |
| | FNMA 15YR 3.5% 9/01/2026 | 2,248 | 2,322 |
| | FNMA 15YR 3.5% 9/01/2028 | 1,619 | 1,672 |
| | FNMA 15YR 3.5% 9/01/2029 | 2,575 | 2,661 |
| | FNMA 15YR 4% 1/01/2029 | 1,312 | 1,356 |
| | FNMA 15YR 4% 11/01/2026 | 327 | 342 |
| | FNMA 15YR 4% 5/01/2027 | 16 | 17 |
| | FNMA 15YR 4.5% 10/01/2019 | 10 | 10 |
| | FNMA 15YR 4.5% 5/01/2024 | 209 | 220 |
| | FNMA 15YR 4.5% 6/01/2026 | 121 | 125 |
| | FNMA 15YR 5% 3/01/2023 | 8 | 8 |
| | FNMA 15YR 5.5% 4/01/2021 | 58 | 60 |
| | FNMA 6M LIBOR ARM 2.915% 11/01/2032 | 33 | 34 |
| | FNMA 6M LIBOR ARM 3.005% 12/01/2032 | 130 | 137 |
| | FNMA 6M LIBOR ARM 3.018% 4/01/2035 | 91 | 94 |
| | FNMA 6M LIBOR ARM 3.34% 3/01/2034 | 166 | 162 |
| | FNMA 6M LIBOR ARM 3.443% 9/01/2035 | 339 | 357 |
| | FNMA 7/1 HYBRID ARM 3.291% 1/01/2036 | 21 | 22 |
| | FNMA 7/1 HYBRID ARM 3.403% 1/01/2034 | 74 | 76 |
| | FNMA 7/1 HYBRID ARM 3.876% 3/01/2036 | 54 | 55 |

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| | | |
|-------------------------------|-------|-------|
| FNMA_03-W11 4.5808% 6/25/2033 | 2 | 2 |
| FNMA_04-60 5.5% 4/25/2034 | 43 | 44 |
| FNMA_11-16 3.5% 3/25/2026 | 25 | 25 |
| FNMA_11-55 3% 7/25/2025 | 627 | 632 |
| FNMA_12-31 1.75% 10/25/2022 | 1,420 | 1,410 |
| GNMA_12-142 1.105% 5/16/2037 | 918 | 899 |
| GNMA_12-55 1.75% 8/16/2033 | 86 | 86 |
| GNMA_12-86 1.55817% 4/16/2040 | 75 | 75 |
| GNMA_13-12 1.41% 10/16/2042 | 584 | 570 |
| GNMA_13-126 1.54% 4/16/2038 | 556 | 545 |
| GNMA_13-146 2% 8/16/2040 | 662 | 657 |

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| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | GNMA_13-17 1.55835% 10/16/2043 | 766 | 744 |
| | GNMA_13-179 1.8% 7/16/2037 | 547 | 541 |
| | GNMA_13-194 2.25% 5/16/2038 | 447 | 445 |
| | GNMA_13-2 1.6% 12/16/2042 | 487 | 481 |
| | GNMA_13-30 1.5% 5/16/2042 | 1,299 | 1,264 |
| | GNMA_13-32 1.9% 1/16/2042 | 1,357 | 1,337 |
| | GNMA_13-33 1.061% 7/16/2038 | 1,245 | 1,209 |
| | GNMA_13-35 1.618% 2/16/2040 | 1,918 | 1,858 |
| | GNMA_13-52 1.15% 6/16/2038 | 1,147 | 1,112 |
| | GNMA_13-57 1.35% 6/16/2037 | 1,777 | 1,739 |
| | GNMA_13-73 1.35% 1/16/2039 | 1,402 | 1,368 |
| | GNMA_13-78 1.62443% 7/16/2039 | 567 | 560 |
| | GNMA_14-103 1.742% 6/16/2053 | 1,718 | 1,719 |
| | GNMA_14-109 2.325% 1/16/2046 | 1,301 | 1,294 |
| | GNMA_14-135 2.4% 8/16/2045 | 1,247 | 1,240 |
| | GNMA_14-47 2.25% 8/16/2040 | 138 | 138 |
| | GNMA_14-64 2.2% 11/16/2046 | 1,121 | 1,115 |
| | GNMA_14-86 2.65% 11/16/2040 | 1,004 | 1,003 |
| | GNMA_15-109 2.5279% 2/16/2040 | 925 | 919 |
| | GNMA_15-2 2.1% 12/16/2044 | 1,465 | 1,444 |
| | GNMA_15-21 2.6% 11/16/2042 | 988 | 989 |
| | GNMA_15-5 2.5% 11/16/2039 | 2,049 | 2,029 |
| | GNMA_15-78 2.9179% 6/16/2040 | 870 | 869 |
| | GNMA_16-39 2.3% 1/16/2043 | 1,913 | 1,885 |
| | TREASURY NOTE 0.875% 9/15/2019 | 35,900 | 35,301 |
| | TREASURY NOTE 1.25% 10/31/2018 | 16,750 | 16,681 |
| | TREASURY NOTE 2.625% 11/15/2020 | 29,850 | 30,389 |
| | US TII .125 04/15/2020 (T 0.125% 4/15/2020) | 15,000 | 15,770 |
| | Total US Government and Agency Obligations | | 387,956 |
| | <u>Common/Collective Trusts</u> | | |
| | COLUMBIA TRUST DECL DURATION | | |
| | *GOVT BOND FUND | 6,192 | 64,584 |
| | COLUMBIA TRUST GOV MONEY MKT | | |
| | *FUND | 4,665 | 4,665 |
| | Total Common/Collective Trusts | | 69,249 |

Pooled Separate Accounts

| | | |
|--|-----|--------|
| MET LIFE SEPARATE ACCOUNT | | |
| * CONTRACT | 650 | 67,977 |
| Wrapper Contracts | | |
| LINCOLN NATIONAL LIFE | | 18 |
| MONUMENT LIFE II - #MDA00633TR, MATURES 12/31/50, 4.11% | | 1 |

* Indicates party-in-interest

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Schedule H, Line 4i – Schedule of Assets (Held At End of Year)

as of December 31, 2017

| (a) | (b) Identity of Issuer, Borrower, Lessor, or Similar Party | (c) Number of Shares/ Units or Face Amount (in thousands) | (d) Current Value (in thousands) |
|-----|--|---|----------------------------------|
| | PACIFIC LIFE - # 26755, MATURES 12/31/50, 4.00% | | 19 |
| | PRUDENTIAL GA63690 | | 8 |
| | RBC I - #10903, MATURES 12/31/50, 4.02% | | 23 |
| | Total Wrapper Contracts | | 69 |
| | Total Fully Benefit Responsive Investment Contracts, at Fair Value | | 525,251 |
| | Adjustment from Fair Value to Contract Value | | |
| | JP MORGAN CHASE I - #AISP01, *MATURES 12/31/50, 4.24% | | 1,043 |
| | LINCOLN NATIONAL LIFE | | 451 |
| | MET LIFE - #28972, MATURES 12/31/50, *3.98% | | 409 |
| | *MET LIFE (SA)- #32745 | | 414 |
| | MONUMENT LIFE II - #MDA00633TR, MATURES 12/31/50, 4.11% | | (10 |
| | MONUMENT LIFE V - #MDS00375TR, MATURES 12/31/50, 4.08% | | 1,070 |
| | PACIFIC LIFE - # 26755, MATURES 12/31/50, 4.00% | | 480 |
| | PRUDENTIAL GA63690 | | 263 |
| | RBC I - #10903, MATURES 12/31/50, 4.02% | | 49 |
| | Total Adjustments | | 4,169 |
| | Total Fully Benefit Responsive Investment Contracts, at Contract Value | | 529,420 |
| | TOTAL INVESTMENTS | | 5,228,622 |
| | Loans to Participants | | |
| | Various Loans - 3.25% through 9.50% due *through November 2047 | | 79,947 |
| | Loans to Participants Total | | 79,947 |

*Indicates party-in-interest

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AMERICAN EXPRESS RETIREMENT SAVINGS PLAN

Schedule H, Line 4i – Schedule of Assets (Acquired and Disposed of Within Year)

For the Year Ended December 31, 2017

| (a) Identity of Issuer, Borrower, Lessor, or Similar Party | (b) Number of Shares/Units or Face Amount (in thousands) | (c) Proceeds of dispositions (in thousands) |
|--|---|---|
| <u>CORPORATE DEBT INSTRUMENTS</u> | | |
| AERCAP IRELAND CAP/G 3.650% 7/21/27 | 150 | 150 |
| AMER AIRLINE 17-2 A 3.600% 10/15/29 | 150 | 152 |
| ARROW ELECTRONICS IN 7.500% 1/15/27 | 108 | 140 |
| CELGENE CORP 4.625% 5/15/44 | 91 | 90 |
| CONCHO RESOURCES INC 3.750% 10/01/27 | 47 | 48 |
| CONCHO RESOURCES INC 4.875% 10/01/47 | 25 | 27 |
| CSX CORP 3.250% 6/01/27 | 65 | 66 |
| DDR CORP 3.900% 8/15/24 | 133 | 133 |
| ENERGY TRANSFER PART 4.200% 4/15/27 | 45 | 45 |
| ENERGY TRANSFER PART 5.300% 4/15/47 | 63 | 62 |
| GENERAL MOTORS FINL 3.450% 1/14/22 | 225 | 228 |
| HOSPITALITY PROP TRU 4.950% 2/15/27 | 62 | 65 |
| LEAR CORP 3.800% 9/15/27 | 26 | 26 |
| MIDAMERICAN ENERGY 3.950% 8/01/47 | 46 | 47 |
| MPLX LP 4.125% 3/01/27 | 30 | 30 |
| MUELLER INDUSTRIES, 6.000% 3/01/27 | 123 | 121 |
| SANTANDER UK GROUP 2.875% 8/05/21 | 200 | 197 |
| SHERWIN-WILLIAMS CO 3.450% 6/01/27 | 34 | 34 |
| VENTAS REALTY LP 3.125% 6/15/23 | 200 | 199 |
| VIACOM INC 3.450% 10/04/26 | 50 | 49 |
| <u>PRIVATE PLACEMENT BONDS</u> | | |
| P/P CENOVUS ENERGY 5.250% 6/15/37 | 47 | 47 |
| P/P CHARTER COMM OPT 5.375% 5/01/47 | 100 | 102 |
| P/P DEUTSCHE BANK AG 4.250% 10/14/21 | 534 | 550 |
| P/P EVERETT SPINCO 4.250% 4/15/24 | 47 | 47 |
| P/P LOCKHEED MARTIN 4.090% 9/15/52 | 113 | 113 |
| P/P PARKER-HANNIFIN 4.100% 3/01/47 | 42 | 42 |
| P/P SMITHFIELD FOODS 4.250% 2/01/27 | 27 | 28 |
| P/P VERIZON COMMUNIC 2.946% 3/15/22 | 358 | 358 |
| P/P VERIZON COMMUNIC 4.812% 3/15/39 | 783 | 783 |
| P/P XEROX CORPORATIO 4.070% 3/17/22 | 38 | 38 |

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SIGNATURE

The Plan. Pursuant to the requirements of the Securities Exchange Act of 1934, the Employee Benefits Administration Committee has duly caused this annual report to be signed on its behalf by the undersigned hereunto duly authorized.

AMERICAN EXPRESS RETIREMENT
SAVINGS PLAN

Date: June 20, 2018 By/s/ Rita Pang
Rita Pang
Employee Benefits Administration Committee

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EXHIBIT INDEX

| Exhibit Number | Description | How Filed |
|-------------------|--|----------------------------------|
| 23 | <u>Consent of Independent Registered Public Accounting Firm – PricewaterhouseCoopers LLP</u> | Electronically filed herewith |

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