

U.S. District Court
Southern District of New York (Foley Square)
CIVIL DOCKET FOR CASE #: 1:04-cv-01773-DAB

In Re American Express Financial Advisors Securities Litigation Date Filed: 03/04/2004
Assigned to: Judge Deborah A. Batts Date Terminated: 07/18/2007
Related Cases: [1:04-cv-01967-DAB](#) Jury Demand: Plaintiff
[1:04-cv-01909-DAB](#) Nature of Suit: 850
[1:04-cv-03099-DAB](#) Securities/Commodities
[1:04-cv-05842-DAB](#) Jurisdiction: Federal Question
[1:04-cv-02959-DAB](#)
[1:04-cv-06953-DAB](#)

Cause: 15:78m(a) Securities Exchange Act

Lead Plaintiff

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Plaintiff

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Tom Reese

Date Filed	#	Docket Text
03/04/2004		SUMMONS ISSUED as to American Express Company, American Express Financial Advisors, Inc., American Express Financial Corporation. (gmo,) (Entered: 03/04/2004)

03/04/2004	1	COMPLAINT against American Express Company, American Express Financial Advisors, Inc., American Express Financial Corporation. (Filing Fee \$ 150.00, Receipt Number 501413) Document filed by Naresh Chand.(gmo,) Additional attachment(s) added on 3/8/2004 (gf,). (Entered: 03/04/2004)
03/04/2004		Magistrate Judge Kevin N. Fox is so designated. (gmo,) (Entered: 03/04/2004)
03/04/2004		Case Designated ECF. (gf,) (Entered: 03/09/2004)
04/19/2004	2	AFFIDAVIT OF SERVICE of Summons and Complaint,. American Express Company served on 3/9/2004, answer due 3/29/2004. Service was accepted by Elena Bou. Document filed by Naresh Chand. (db,) (Entered: 04/19/2004)
04/19/2004	3	AFFIDAVIT OF SERVICE of Summons and Complaint,. American Express Financial Advisors, Inc. served on 3/9/2004, answer due 3/29/2004. Service was accepted by Deb Van Ness. Document filed by Naresh Chand. (db,) (Entered: 04/19/2004)
04/19/2004		***REJECTION OF ATTEMPTED PAPER FILING IN ECF CASE. The following document(s) affidavit of service by Peter E. Seidman, was rejected by the Clerk's Office and must be FILED ELECTRONICALLY on the Court's ECF System. (snu) (Entered: 04/22/2004)
04/22/2004	4	STIPULATION AND ORDER: the time for all American Express defendants to answer or move with respect to the complaint is extended to and including 60 days after later the entry of an order appointing lead plaintiff; or the filing of any consolidated amended complaint by the lead plaintiff, provided that the Court may set another date for defendants to answer or move in a later order. (Signed by Judge Deborah A. Batts on 4/22/04) (db,) (Entered: 04/23/2004)
04/23/2004	5	STIPULATION AND ORDER. The time for defendants American Express Company, American Express Financial Corporation and American Express Financial Advisors, Inc. to answer or move with respect to the complaint in this action is extended to and including 60 days after the later of (a) the entry of an order appointing lead plaintiff; or (b) the filing of any consolidated amended complaint by the lead plaintiff, provided that the Court may set another date for defendants to answer or move in a later order (Signed by Judge Deborah A. Batts on 4/22/04) (yv,) (Entered: 04/26/2004)
04/26/2004	6	TRANSCRIPT of proceedings held on 3/19/2004 before Judge Thomas P. Griesa.(jmi,) (Entered: 04/26/2004)
05/03/2004	7	MOTION to Appoint The American Express Lead Plaintiff to serve as lead plaintiff(s) <i>FOR CONSOLIDATION, APPOINTMENT AS LEAD PLAINTIFF, APPOINTMENT OF STEERING COMMITTEE, AND APPROVAL OF SELECTION OF LEAD COUNSEL AND COORDINATING COUNSEL</i> . Document filed by Naresh Chand. (Lee, Sharon) (Entered: 05/03/2004)
05/03/2004	8	MEMORANDUM OF LAW in Support re: 7 MOTION to Appoint The American Express Lead Plaintiff to serve as lead plaintiff(s) <i>FOR CONSOLIDATION, APPOINTMENT AS LEAD PLAINTIFF, APPOINTMENT OF STEERING COMMITTEE, AND APPROVAL OF SELECTION OF LEAD COUNSEL AND COORDINATING COUNSEL</i> .. Document filed by Naresh Chand. (Lee, Sharon)

		(Entered: 05/03/2004)
05/03/2004	9	DECLARATION of Peter E. Seidman in Support re: 7 MOTION to Appoint The American Express Lead Plaintiff to serve as lead plaintiff(s) <i>FOR CONSOLIDATION, APPOINTMENT AS LEAD PLAINTIFF, APPOINTMENT OF STEERING COMMITTEE, AND APPROVAL OF SELECTION OF LEAD COUNSEL AND COORDINATING COUNSEL.</i> . Document filed by Naresh Chand. (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D# 5 Exhibit E# 6 Exhibit F# 7 Exhibit G)(Lee, Sharon) (Entered: 05/03/2004)
05/03/2004	10	FILING ERROR - WRONG DOCUMENT TYPE SELECTED FROM MENU - MOTION [PROPOSED] ORDER CONSOLIDATING ACTIONS, APPOINTING LEAD PLAINTIFF AND STEERING COMMITTEE, APPROVING SELECTION OF LEAD COUNSEL AND COORDINATING COUNSEL. Document filed by Naresh Chand. (Lee, Sharon) Modified on 5/13/2004 (mj,). (Entered: 05/03/2004)
05/03/2004	11	NOTICE of CHANGE IN FIRM NAME. Document filed by Naresh Chand. (Lee, Sharon) (Entered: 05/03/2004)
05/03/2004	12	CERTIFICATE OF SERVICE. American Express Company served on 5/3/2004, answer due 5/24/2004; American Express Financial Advisors, Inc. served on 5/3/2004, answer due 5/24/2004; American Express Financial Corporation served on 5/3/2004, answer due 5/24/2004. Service was made by Mail. Document filed by Naresh Chand. (Lee, Sharon) (Entered: 05/03/2004)
05/03/2004	13	CERTIFICATE OF SERVICE. American Express Company served on 5/3/2004, answer due 5/24/2004; American Express Financial Advisors, Inc. served on 5/3/2004, answer due 5/24/2004; American Express Financial Corporation served on 5/3/2004, answer due 5/24/2004. Service was made by Mail. Document filed by Naresh Chand. (Lee, Sharon) (Entered: 05/03/2004)
05/03/2004	14	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s). Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	15	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Supporting Memorandum of Law</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	16	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>[Proposed] Order Granting Motion</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	17	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 1</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	18	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 2</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	19	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 3</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)

05/03/2004	20	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 4</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	21	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 5</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	22	MOTION to Appoint The Perkins Group to serve as lead plaintiff(s) <i>Declaration of Aaron Brody in Support of Motion - Part 6</i> . Document filed by John B. Perkins. (Brody, Aaron) (Entered: 05/03/2004)
05/03/2004	23	MOTION to Appoint KERR GROUP to serve as lead plaintiff(s) <i>NOTICE OF THE KERR GROUP'S MOTION FOR CONSOLIDATION OF ACTIONS, APPOINTMENT OF LEAD PLAINTIFF AND APPROVAL OF SELLECTION OF LEAD COUNSEL</i> . Document filed by Kathie Kerr. (Levine, Jonathan) (Entered: 05/03/2004)
05/03/2004	24	MEMORANDUM OF LAW in Support re: 23 MOTION to Appoint KERR GROUP to serve as lead plaintiff(s) <i>NOTICE OF THE KERR GROUP'S MOTION FOR CONSOLIDATION OF ACTIONS, APPOINTMENT OF LEAD PLAINTIFF AND APPROVAL OF SELLECTION OF LEAD COUNSEL..</i> Document filed by Kathie Kerr. (Levine, Jonathan) (Entered: 05/03/2004)
05/03/2004	25	AFFIDAVIT of JONATHAN K. LEVINE in Support re: 23 MOTION to Appoint KERR GROUP to serve as lead plaintiff(s) <i>NOTICE OF THE KERR GROUP'S MOTION FOR CONSOLIDATION OF ACTIONS, APPOINTMENT OF LEAD PLAINTIFF AND APPROVAL OF SELLECTION OF LEAD COUNSEL..</i> Document filed by Kathie Kerr. (Levine, Jonathan) (Entered: 05/03/2004)
05/03/2004	26	AFFIDAVIT of JONATHAN K. LEVINE in Support re: 23 MOTION to Appoint KERR GROUP to serve as lead plaintiff(s) <i>NOTICE OF THE KERR GROUP'S MOTION FOR CONSOLIDATION OF ACTIONS, APPOINTMENT OF LEAD PLAINTIFF AND APPROVAL OF SELLECTION OF LEAD COUNSEL..</i> Document filed by Kathie Kerr. (Levine, Jonathan) (Entered: 05/03/2004)
05/03/2004	27	NOTICE of PROOF OF SERVICE re: 26 Affidavit in Support of Motion,, 23 MOTION to Appoint KERR GROUP to serve as lead plaintiff(s) <i>NOTICE OF THE KERR GROUP'S MOTION FOR CONSOLIDATION OF ACTIONS, APPOINTMENT OF LEAD PLAINTIFF AND APPROVAL OF SELLECTION OF LEAD COUNSEL.,</i> 24 Memorandum of Law in Support of Motion,, 25 Affidavit in Support of Motion,. Document filed by Kathie Kerr. (Levine, Jonathan) (Entered: 05/03/2004)
05/20/2004	28	SUPPLEMENTAL MOTION to Appoint Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, and Patrick J. Wollmering to serve as lead plaintiff(s). Document filed by Patrick J. Wollmering, Susan M. Rangeley, Kathie Kerr, Donald G. Dobbs, Leonard D. Caldwell, Carol M. Anderson. (Lee, Sharon) (Entered: 05/20/2004)
05/20/2004	29	JOINT MEMORANDUM OF LAW in Support re: 28 SUPPLEMENTAL MOTION to Appoint Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, and Patrick J. Wollmering to serve as lead

		plaintiff(s).. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering. (Lee, Sharon) (Entered: 05/20/2004)
06/04/2004		***REJECTION OF ATTEMPTED PAPER FILING IN ECF CASE. The following document(s) notice of change of firm name by Peter K. Vigeland of Wilmer, Cutler, Pickering, Hale and Dorr, LLP, was rejected by the Clerk's Office and must be FILED ELECTRONICALLY on the Court's ECF System. (snu,) (Entered: 06/07/2004)
06/10/2004	30	NOTICE of Notice of Change of Firm Name. Document filed by American Express Company. (Vigeland, Peter) (Entered: 06/10/2004)
06/28/2004	31	STIPULATION AND ORDER: this action is consolidated as the Master File (Lead Case) with cases 4cv1909, 04cv1967, 04cv2959 and 04cv3099 (as Member Cases) for all purposes. The Caption of the Master (Lead) Case shall read (IN RE AMERICAN EXPRESS FINANCIAL ADVISORS SECURITIES LITIGATION). Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangely and Patrick J. Wollmering are appointed Lead Plaintiffs and 1)Milberg Weiss, 2)Girard Gibbs and 3) Stull Stull & Brody are appointed as Lead Counsel for Lead Plaintiffs. (Signed by Judge Deborah A. Batts on 6/25/04) (db,) (Entered: 06/29/2004)
08/27/2004	32	STIPULATION AND PRETRIAL ORDER NO.2: the time for plaintiffs' to file and serve an amended complaint is extended to 9/29/04. (Signed by Judge Deborah A. Batts on 8/16/04) (db,) (Entered: 08/30/2004)
08/27/2004		Set/Reset Deadlines: Amended Pleadings due by 9/29/2004. (db,) (Entered: 08/30/2004)
09/30/2004	33	CONSOLIDATED AMENDED COMPLAINT amending 1 Complaint, against American Express Company, American Express Financial Advisors, Inc., American Express Financial Corporation.Document filed by Richard T. Allen, Carol M. Anderson, Gale D. Caldwell, Leonard D. Caldwell, Naresh Chand, Donald G. Dobbs, Elizabeth Flenner, Kathie Kerr, John B. Perkins, Susan M. Rangeley, Patrick J. Wollmering, American Express Company. Related document: 1 Complaint, filed by Naresh Chand.(pl,) (Entered: 10/01/2004)
09/30/2004		Set Answer Due Date re: 33 Amended Complaint, as to American Express Company answer due on 10/11/2004; American Express Financial Advisors, Inc. answer due on 10/11/2004; American Express Financial Corporation answer due on 10/11/2004. (pl,) (Entered: 10/01/2004)
12/01/2004	34	STIPULATION AND ORDER the time for defendants to answer or move with respect to the complaint in this action is extended to 1/14/05. Plaintiffs will file and serve any opposition to a motion to dismiss by 3/11/05. Defendants will have until 4/8/05 to file and serve a reply. So Ordered. (Signed by Judge Deborah A. Batts on 12/1/04) (jco,) (Entered: 12/02/2004)
12/01/2004		Set Answer Due Date purs. to 34 Stipulation and Order, as to American Express Company answer due on 4/8/2005; American Express Financial Advisors, Inc. answer due on 4/8/2005; American Express Financial Corporation answer due on 4/8/2005. (jco,) (Entered: 12/02/2004)

01/14/2005	35	STIPULATION AND ORDER time for defendants to answer or move with respect to the complaint in this action is extended to 2/4/05. So Ordered. (Signed by Judge Deborah A. Batts on 1/13/05) (jco,) (Entered: 01/17/2005)
01/14/2005		Set Answer Due Date purs. to 35 Stipulation and Order as to American Express Company answer due on 2/4/2005; American Express Financial Corporation answer due on 2/4/2005; American Express Financial Advisonrs, Inc. answer due on 2/4/2005. (jco,) (Entered: 01/17/2005)
02/04/2005	36	INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> . Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Vigeland, Peter) (Entered: 02/04/2005)
02/04/2005	37	MEMORANDUM OF LAW in Support re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> . <i>Defendants' Memo of Law in Support of Their Motion to Dismiss The Consolidated Amended Complaint</i> . Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Attachments: # 1 Exhibit Part Two of Memo# 2 Exhibit Part Three of Memo)(Vigeland, Peter) (Entered: 02/04/2005)
02/04/2005	38	DECLARATION of Peter K. Vigeland in Support re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> .. Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Attachments: # 1 Exhibit Exhibit A-4# 2 Exhibit Exhibit A-5# 3 Exhibit Exhibit A-6# 4 Exhibit Exhibit B-1# 5 Exhibit Exhibit B-2# 6 Exhibit Exhibit B-2 pt.2# 7 Exhibit Exhibit B-3# 8 Exhibit Exhibit B-4# 9 Exhibit Exhibit C-1# 10 Exhibit Exhibit D-1# 11 Exhibit Exhibit D-2# 12 Exhibit Exhibit E-1# 13 Exhibit Exhibit F-1# 14 Exhibit Exhibit G-1# 15 Exhibit Exhibit G-2# 16 Exhibit Exhibit G-3# 17 Exhibit Exhibit H-1# 18 Exhibit Exhibit H-2# 19 Exhibit Exhibit H-3# 20 Exhibit Exhibit I-1# 21 Exhibit Exhibit I-2# 22 Exhibit Exhibit I-3 pt.1# 23 Exhibit Exhibit I-3 pt.2# 24 Exhibit Exhibit J-1# 25 Exhibit Exhibit J-2# 26 Exhibit Exhibit J-3 pt.1# 27 Exhibit Exhibit J-3 pt.2# 28 Exhibit Exhibit J-3 pt.3# 29 Exhibit Exhibit J-3 pt.4# 30 Exhibit Exhibit J-3 pt.5# 31 Exhibit Exhibit K-1# 32 Exhibit Exhibit K-2 pt.1# 33 Exhibit Exhibit K-2 pt.2# 34 Exhibit Exhibit K-3 pt.1# 35 Exhibit Exhibit K-3 pt.2# 36 Exhibit Exhibit K-3 pt.3# 37 Exhibit Exhibit L-1# 38 Exhibit Exhibit L-2 pt.1# 39 Exhibit Exhibit L-2 pt.2# 40 Exhibit Exhibit L-3 pt.1# 41 Exhibit Exhibit L-3 pt.2# 42 Exhibit Exhibit L-3 pt.3# 43 Exhibit Exhibit L-3 pt.4# 44 Exhibit Exhibit M-1# 45 Exhibit Exhibit M-2 pt.1# 46 Exhibit Exhibit M-2 pt.2# 47 Exhibit Exhibit N-1# 48 Exhibit Exhibit N-2 pt. 1# 49 Exhibit Exhibit N-2 pt.2# 50 Exhibit Exhibit O-1# 51 Errata Exhibit O-2 pt.1# 52 Exhibit Exhibit O-2 pt.2)(Vigeland, Peter) (Entered: 02/05/2005)
02/04/2005	107	ENDORSED LETTER addressed to Judge Deborah A. Batts from Peter K. Vigeland dated 2/2/05 re: Counsel for defendant writes to request leave of the Court to exceed the standard page limits for defendants' Memoradaum of Law in support of their motion to dismiss. Granted up to 75 pages. So Ordered. (Signed by Judge Deborah A. Batts on 2/4/05) (jco,) (Entered: 02/16/2005)
02/05/2005	39	DECLARATION of Peter K. Vigeland in Support re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> .. Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Attachments: # 1 Exhibit Exhibit A-1# 2 Exhibit Exhibit A-2 pt.1# 3 Exhibit

		Exhibit A-2 pt.2# 4 Exhibit Exhibit A-3)(Vigeland, Peter) (Entered: 02/05/2005)
02/07/2005	40	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP New Dimensions Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service of process on behalf of AXP New Dimensions Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	41	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trail Demanded served on AXP Growth Dimensions Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service of process on behalf of AXP Growth Dimensions Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	42	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Growth Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service of process on behalf of AXP Growth Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	43	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Partners Growth Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service on behalf of AXP Partners Growth Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	44	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Equity Select Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service of process on behalf of AXP Equity Select Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	45	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Focused Growth Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service of process on behalf of AXP Focused Growth Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell,

		Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	46	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Partners Aggressive Growth Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, authorized to accept service on behalf of AXP Partners Aggressive Growth Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	47	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Strategy Aggressive Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Strategy Aggressive Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	48	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Partners Small Cap Growth Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Partners Small Cap Growth Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	49	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trail Demanded served on AXP Managed Allocation Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Managed Allocation Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	50	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Stock Fund Prospectus on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Stock Fund Prospectus. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	51	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Blue Chip Advantage Fund on 12/8/04. Service was accepted by Shirl Hagstrom,

		Administrative Assistant, accepted service of process on behalf of AXP Blue Chip Advantage Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	52	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Quantitative Large Cap Equity Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Quantitative Large Cap Equity Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	53	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Large Cap Equity Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Large Cap Equity Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	54	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Research Opportunities Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Research Opportunities Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	55	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Small Cap Advantage Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Small Cap Advantage Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	56	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Partners Small Cap Core Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant to accept service of process on behalf of AXP Partners Small Cap Core Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	57	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended

		Class Action Complaint, Jury Trial Demanded served on AXP Discovery Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Discovery Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/07/2005	58	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demanded served on AXP Mutual Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant accepted service of process on behalf of AXP Mutual Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/07/2005)
02/08/2005	59	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trail Demand served on AXP Diversified Equity Income Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Diversified Equity Income Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	60	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trail Demand served on AXP Partners Value on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Partners Value. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	61	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demand served on AXP Partners Fundamental Value Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	62	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demand served on AXP Equity Value Fund Prospectus on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Equity Value Fund Prospectus. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	63	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demand served on AXP Partners Select Value Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative

		Assistant, accepted service of process on behalf of AXP Partners Select Value Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	64	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint, Jury Trial Demand served on AXP Large Cap Value Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Large Value Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	65	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Mid Cap Value Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Mid Cap Value Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	66	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Partners Small Cap Value Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Small Cap Value Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	67	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Progressive Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Progressive Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	68	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Global Balanced Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Global Balanced Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	69	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Partners International Select Value Fund on 12/8/04. Service was accepted by Shirl

		Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Partners International Select Value Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	70	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Global Equity Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Global Equity Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	71	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Partners International Core Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Partners International Core Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	72	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP International Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP International Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	73	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP European Equity Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP European Equity Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	74	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Partners International Small Cap Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Partners International Small Cap Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	75	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Partners

		International Aggressive Growth on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Partners International Aggressive Growth. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	76	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Emerging Markets Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Emerging Markets Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	77	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Tax-Free Money Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Tax-Free Money Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand, Donald G. Dobbs. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	78	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Cash Management Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Cash Management Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	79	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Short Duration U.S. Government Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Short Duration U.S. Government Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	80	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP U.S. Government Mortgage Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP U.S. Government Mortgage Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)

02/08/2005	81	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Insured Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf on AXP Insured Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	82	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Intermediate Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Intermediate Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/08/2005)
02/08/2005	83	NOTICE of Letter from Peter K. Vigeland to Judge Batts. Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisors, Inc.. (Attachments: # 1 ERRATA SHEET FOR DEFENDANTS' MEMO OF LAW IN SUPPORT OF THEIR MOTION TO DISMISS THE CONSOLIDATED AMENDED COMPLAINT)(Vigeland, Peter) (Entered: 02/08/2005)
02/08/2005	84	MEMORANDUM OF LAW in Support re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint. Defendants' Corrected memo of Law in Support of Their Motion to Dismiss the Consolidated Amended Complaint.</i> Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisors, Inc.. (Attachments: # 1 Part 2 of Corrected memo# 2 Part 3 of corrected memo)(Vigeland, Peter) (Entered: 02/08/2005)
02/09/2005	85	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Limited Duration Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Limited Duration Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	86	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP California Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP California Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	87	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Massachusetts

		Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Massachusetts Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	88	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Michigan Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Michigan Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	89	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Minnesota Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Minnesota Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	90	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP New York Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP New York Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	91	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Ohio Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Ohio Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	92	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Selective Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Selective Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	93	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended

		Class Action Complaint and Jury Trial Demand served on AXP Core Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Core Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	94	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Tax-Exempt Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Tax-Exempt Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	95	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Diversified Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Diversified Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	96	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Global Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Global Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	97	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Income Opportunites Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Income Opportunities Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	98	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP High Yield Tax-Exempt Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP High Yield Tax-Exempt Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	99	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended

		Class Action Complaint and Jury Trial Demand served on AXP High Yield Bond Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP High Yield Bond Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	100	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Global Technology Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Global Technology Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	101	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Precious Metals Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Precious Metals Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	102	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Utilities Fund Prospectus on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Utilities Fund Prospectus. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	103	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Small Company Index Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service on behalf of AXP Small Company Index Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	104	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP Mid Cap Index Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP Mid Cap Index Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)

02/09/2005	105	AFFIDAVIT OF SERVICE of Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on AXP S&P 500 Index Fund on 12/8/04. Service was accepted by Shirl Hagstrom, Administrative Assistant, accepted service of process on behalf of AXP S&P 500 Index Fund. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/09/2005	106	AFFIDAVIT OF SERVICE of Amended Summons in a Civil Case, Consolidated Amended Class Action Complaint and Jury Trial Demand served on James M. Cracchiolo on 11/2/04. Service was accepted by Peter K. Vigeland, Attorney on Record, accepted service of process on behalf of James M. Cracchiolo. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Reese, Michael) (Entered: 02/09/2005)
02/16/2005	108	ENDORSED LETTER addressed to Judge Deborah A. Batts from Peter K. Vigeland dated 2/8/05 re: granting defendants permission to serve and file a Corrected Memorandum of Law in support of motion to dismiss. (Signed by Judge Deborah A. Batts on 2/14/05) (sac,) (Entered: 02/25/2005)
03/30/2005	109	STIPULATION AND ORDER, Set Deadlines/Hearing as to 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> .: Plaintiffs' lead counsel shall have up to and including 4/12/2005 to file and serve their opposition to defendants' motion to dismiss the consolidated amended complaint. Defendants shall have up to and including 5/10/2005 to file and serve their reply to plaintiffs' opposition (Signed by Judge Deborah A. Batts on 3/30/05) (yv,) (Entered: 04/04/2005)
04/08/2005	110	ENDORSED LETTER addressed to Judge Batts from Michael Reese dated 4/8/05: granting plntfs request for a 75 page opposition to defts' motion to dismiss the Amended Complaint and defts' anticipated reply may be 25 pages. (Signed by Judge Deborah A. Batts on 4/8/05) (cd,) (Entered: 04/11/2005)
04/11/2005	113	ENDORSED LETTER addressed to Judge Batts from Jerome M. Congress dated 03/17/05 re: granting counsel's request for a pre-motion conference to seek permission to file a motion purs to FRCP 15(d) to supplement the pleadings. Permission granted.. (Signed by Judge Deborah A. Batts on 4/13/05) (djc,) (Entered: 04/14/2005)
04/11/2005	114	ENDORSED LETTER addressed to Judge Batts from Peter K. Vigeland dated 3/29/05 re: plaintiff's opposition to defendant's motion extended to April 12, 2005; Defendants' reply extended to May 10, 2005; (Signed by Judge Deborah A. Batts on 4/11/05) (djc,) (Entered: 04/14/2005)
04/12/2005	111	MEMORANDUM OF LAW in Opposition re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> . <i>Plaintiffs' Opposition to Defendants' Motion to Dismiss</i> . Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Attachments: # 1 Memo Part 2)(Reese, Michael) (Entered: 04/12/2005)

04/12/2005	112	DECLARATION of Michael R. Reese in Opposition re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> .. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand. (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D# 5 Exhibit E# 6 Exhibit F# 7 Exhibit G.1# 8 Exhibit G.2# 9 Exhibit H# 10 Exhibit I)(Reese, Michael) (Entered: 04/12/2005)
04/13/2005		Set/Reset Deadlines as to 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> .. Responses due by 4/12/2005 Replies due by 5/10/2005. (dj,) (Entered: 04/14/2005)
05/05/2005	115	STIPULATION AND ORDER: the time for the defendants set forth in this document to reply to plaintiffs' Opposition to defendants' motion to dismiss is extended to 5/31/05. (Signed by Judge Deborah A. Batts on 5/5/05) (kw,) (Entered: 05/06/2005)
05/31/2005	116	REPLY MEMORANDUM OF LAW in Support re: 36 INTERIM MOTION to Dismiss <i>Consolidated Complaint</i> . <i>Defendants' Reply Memorandum of Law in Support of Their Motion to Dismiss the Consolidated Amended Complaint</i> . Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisors, Inc.. (Vigeland, Peter) (Entered: 05/31/2005)
06/16/2005		***DELETED DOCUMENT. Deleted document number [Memorandum of Law # 117 and Declaration in Opp. # 118]. The document was incorrectly filed in this case. (gf,) (Entered: 06/20/2005)
08/04/2005	117	STIPULATION AND ORDER that depts'motion to dismiss the amended complaint be held in abeyance and establishing briefing schedule for plntfs' motion for leave to file second amended complaint. Plntfs shall have until 9/8/05 to file and serve their motion for leave to file their Second Amended Complaint; depts shall have until 10/7/05, to file a response to such motion; and plntfs shall have until 10/31/05, to file any reply. (Signed by Judge Deborah A. Batts on 8/3/05) (cd,) (Entered: 08/15/2005)
09/29/2005	119	SECOND CONSOLIDATED AMENDED CLASS ACTION COMPLAINT amending 1 Complaint, against James M. Cracchiolo, American Express Company, American Express Financial Corporation. Document filed by Carol M. Anderson, Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand, John B. Perkins, Kathie Kerr, Patrick J. Wollmering, Susan M. Rangeley, Donald G. Dobbs, Leonard D. Caldwell. Related document: 1 Complaint, filed by Naresh Chand.(db,) Additional attachment(s) added on 10/4/2005 (db,). (Entered: 10/03/2005)
09/29/2005		Set Answer Due Date purs. to 119 Amended Complaint as to American Express Company answer due on 10/14/2005; American Express Financial Corporation answer due on 10/14/2005. (db,) (Entered: 10/03/2005)
09/30/2005	118	STIPULATION AND ORDER; Plaintiff's second consolidated amended class action complaint by 9/29/05. (Signed by Judge Deborah A. Batts on 9/30/05) (pl,) (Entered: 10/03/2005)

10/28/2005	120	MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> . Document filed by Arizona Plaintiffs. (Weinstein, William) (Entered: 10/28/2005)
10/28/2005	121	DECLARATION of William R. Weinstein in Support re: 120 MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> .. Document filed by Arizona Plaintiffs. (Attachments: # 1 Exhibit 1 - First Amended Complaint in Arizona Action# 2 Exhibit 2 - Second Amended Complaint in Arizona Action# 3 Exhibit 3 - Third Amended Complaint in Arizona Action# 4 Exhibit Docket in Arizona Action# 5 Exhibit 5 - Stay Motion in Arizona Action)(Weinstein, William) (Entered: 10/28/2005)
10/28/2005	122	MEMORANDUM OF LAW in Support re: 120 MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> .. Document filed by Arizona Plaintiffs. (Weinstein, William) (Entered: 10/28/2005)
11/14/2005	123	RESPONSE to Motion re: 120 MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> .. Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Bowker, David) (Entered: 11/14/2005)
11/14/2005	124	DECLARATION of David W. Bowker in Opposition re: 120 MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> .. Document filed by American Express Company, American Express Financial Corporation, American Express Financial Advisonrs, Inc.. (Bowker, David) (Entered: 11/14/2005)
11/16/2005	125	STIPULATION AND ORDER that plaintiffs shall have up to and including 1/6/06 to file an opposition to the motion to intervene. (Signed by Judge Deborah A. Batts on 11/16/05) (dle,) (Entered: 11/17/2005)
11/17/2005		Set/Reset Deadlines as to 120 MOTION to Intervene <i>Notice of Motion to Intervene with Certificate of Service</i> .. Responses due by 1/6/2006 (dle,) (Entered: 11/17/2005)
12/01/2005	126	STIPULATION AND ORDER; applicants for intervention shall file any reply to Dfts' response to the motion to Intervene on the same day that any reply is filed in connection with an opposition to the motion to intervene filed by the New York Plaintiffs. (Signed by Judge Deborah A. Batts on 12/1/05) (pl,) (Entered: 12/02/2005)
04/11/2006	128	PROTECTIVE ORDER...regarding procedures to be followed that shall govern the handling of confidential material. (Signed by Judge Deborah A. Batts on 4/10/06) (kco,) (Entered: 04/12/2006)
04/12/2006	127	ORDER; defendant AEFA shall produce to plaintiffs' co-lead counsel the non-public personal financial information as set forth in this order. (Signed by Judge Deborah A. Batts on 4/10/06) (kco,) (Entered: 04/12/2006)
05/18/2006	129	NOTICE of Change Of Firm Name. Document filed by Donald G. Dobbs, Kathie Kerr. (Levine, Jonathan) (Entered: 05/18/2006)
11/01/2006	130	DECLARATION of Janine L. Pollack in Support. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit A)(Pollack, Janine) (Entered: 11/01/2006)

01/17/2007	131	NOTICE of Change of Law Firm Name. Document filed by Leonard D. Caldwell. (Pollack, Janine) (Entered: 01/17/2007)
01/17/2007	132	NOTICE OF APPEARANCE by Janine Lee Pollack on behalf of Leonard D. Caldwell (Pollack, Janine) (Entered: 01/17/2007)
01/18/2007	133	MOTION for Leave to File Excess Pages. Document filed by Leonard D. Caldwell.(Pollack, Janine) (Entered: 01/18/2007)
01/18/2007	134	NOTICE of Motion for Preliminary Approval of Settlement, Provisional Certification of Settlement Class and Approval of Notice to the Class. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit 1# 2 Exhibit 2 Part 1# 3 Exhibit 2 Part 2# 4 Exhibit 2 Part 3# 5 Certificate of Service)(Pollack, Janine) (Entered: 01/18/2007)
01/18/2007	135	MOTION for Settlement (<i>Preliminary Approval of Settlement, Provisional Certification of Settlement Class and Approval of Notice to the Class</i>). Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit 1# 2 Exhibit 2 Part 1# 3 Exhibit 2 Part 2# 4 Exhibit 2 Part 3# 5 Certificate of Service)(Pollack, Janine) (Entered: 01/18/2007)
01/18/2007	136	MEMORANDUM OF LAW in Support re: 135 MOTION for Settlement (<i>Preliminary Approval of Settlement, Provisional Certification of Settlement Class and Approval of Notice to the Class</i>). MOTION for Settlement (<i>Preliminary Approval of Settlement, Provisional Certification of Settlement Class and Approval of Notice to the Class</i>).. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit 1# 2 Certificate of Service)(Pollack, Janine) (Entered: 01/18/2007)
02/06/2007	137	NOTICE OF CHANGE OF ADDRESS by William Robert Weinstein on behalf of Arizona Plaintiffs. New Address: Sanford Wittels & Heisler LLP, 950 Third Avenue, 10th Floor, New York, New York, USA 10022, 646.723.2947. (Weinstein, William) (Entered: 02/06/2007)
02/06/2007	138	CERTIFICATE OF SERVICE of Notice of Change of Address served on All Counsel on 2-6-07. Document filed by Arizona Plaintiffs. (Weinstein, William) (Entered: 02/06/2007)
02/15/2007	139	ORDER PROVISIONALLY CERTIFYING CLASS, DIRECTING DISSEMINATION OF NOTICE, AND SETTING HEARING ON FAIRNESS OF PROPOSED SETTLEMENT pursuant to Rules 23(a) and (b)(3) of the F.R.C.P., and for the purposes of the Settlement only, the Action is hereby certified as a class action on behalf of the following Class: as further set forth in this Order. (Signed by Judge Deborah A. Batts on 2/14/07) (jco) (Entered: 02/16/2007)
05/02/2007		***REJECTION OF ATTEMPTED PAPER FILING IN ECF CASE. The following document(s) Objection to Class Action Settlement and Request for Attorney's Fees and Notice of Intent to Appear of James J. Hardy and Beverly L. Hardy by James J. Hardy and Beverly L. Hardy, was rejected by the Clerk's Office and must be FILED ELECTRONICALLY on the Court's ECF System. (tve) (Entered: 05/08/2007)
05/29/2007	140	MEMORANDUM OF LAW in Support of <i>Lead Plaintiffs' Motion for Certification Class and Final Approval of Settlement and Plan of Allocation</i> . Document filed by

		Leonard D. Caldwell. (Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	141	MEMORANDUM OF LAW in Support of <i>Class Counsel's Notice of Motion for Attorneys' Fees, Reimbursement of Expenses and Incentive Awards to the Named Plaintiffs</i> . Document filed by Leonard D. Caldwell. (Attachments: # 1 Certificate of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	142	DECLARATION of Daniel C. Girard, Jerome M. Congress, and Jules Brody in Support re: 141 Memorandum of Law in Support, 140 Memorandum of Law in Support. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Certification of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	143	DECLARATION of Jennifer Keough in Support re: 141 Memorandum of Law in Support, 140 Memorandum of Law in Support. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit 1 Part 1# 2 Exhibit 1 Part 2# 3 Exhibit 2# 4 Exhibit 3# 5 Exhibit 4# 6 Exhibit 5# 7 Exhibit 6# 8 Certificate of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	144	MOTION for Leave to File Overlength Memoranda of Law. Document filed by Leonard D. Caldwell. (Attachments: # 1 Certification of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	145	DECLARATION <i>Compendium of Counsel's Declarations in Support of Award of Attorneys' Fees and Reimbursement of Expenses</i> . Document filed by Leonard D. Caldwell. (Attachments: # 1 Part 2# 2 Part 3# 3 Certification of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	146	DECLARATION <i>Compendium of Named Plaintiffs' Declarations</i> . Document filed by Leonard D. Caldwell. (Attachments: # 1 Certification of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	147	DECLARATION of John R.S. McFarlane in Support re: 141 Memorandum of Law in Support,. Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit A# 2 Exhibit B# 3 Exhibit C# 4 Exhibit D# 5 Exhibit E# 6 Exhibit F# 7 Exhibit G# 8 Exhibit H# 9 Exhibit I# 10 Exhibit J# 11 Exhibit K# 12 Exhibit L# 13 Exhibit M# 14 Exhibit N# 15 Certification of Service)(Pollack, Janine) (Entered: 05/29/2007)
05/29/2007	154	MOTION for A.J. De Bartolomeo to Appear Pro Hac Vice. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand, Arizona Plaintiffs.(jco) (Entered: 06/05/2007)
05/30/2007	148	NOTICE of of Objection and Intent to Appear. Document filed by Earl Wells. (Tsai, Stephen) (Entered: 05/30/2007)
05/30/2007	149	MOTION to Appoint Counsel <i>Pro Hac Vice</i> . Document filed by Earl Wells.Return Date set for 6/1/2007 01:00 PM. (Attachments: # 1 Affidavit of Sponsoring Attorney# 2 Text of Proposed Order for Admission Pro Hac Vice)(Tsai, Stephen) (Entered: 05/30/2007)
05/30/2007	150	NOTICE of Objection & Intent to Appear. Document filed by James J. & Beverley Hardy. (Tsai, Stephen) (Entered: 05/30/2007)

05/30/2007	151	MOTION to Appoint Counsel <i>Pro Hac Vice</i> . Document filed by James J. & Beverley Hardy.Return Date set for 6/1/2007 01:00 PM. (Attachments: # 1 Certificate of Good Standing)(Tsai, Stephen) (Entered: 05/30/2007)
05/31/2007	152	ORDER that due to the lateness of voluminous submissions by plaintiffs' counsel, the materials received in opposition and the court's need to prepare appropriately for the Fairness Hearing, it shall not go forward on 6/4/07; the Fairness Hearing shall go forward on 7/10/07 at 11:00 a.m. Plaintiffs' counsel shall notify immediately all interested parties who notified them that they plan to attend the Fairness Hearing so that anyone's inconvenience is minimized. (Signed by Judge Deborah A. Batts on 5/31/07) (dle) (Entered: 06/01/2007)
05/31/2007	156	MOTION for Daniel C. Girard to Appear Pro Hac Vice. Document filed by Carol M. Anderson, Leonard D. Caldwell, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, Patrick J. Wollmering, Elizabeth Flenner, John B. Perkins, Gale D. Caldwell, Richard T. Allen, Naresh Chand, Arizona Plaintiffs.(jco) (Entered: 06/05/2007)
06/04/2007	153	NOTICE of Errata re: 145 Declaration,. Document filed by Leonard D. Caldwell. (Pollack, Janine) (Entered: 06/04/2007)
06/04/2007	155	ENDORSED LETTER addressed to Judge Deborah A. Batts from Janine L. Pollack dated 5/31/07 re: counsel for plaintiff requests that the court enter an order adjourning the Final Fairness Hearing scheduled on 6/4/07 at 10:00 a.m. to 7/13/07 at 11:00 a.m. The Final Fairness Hearing scheduled on 6/10/07 at 10:00 a.m. is hereby adjourned to 7/13/07 at 11:00 a.m. So Ordered. (Signed by Judge Deborah A. Batts on 6/4/07) (dle) (Entered: 06/05/2007)
06/06/2007	158	MOTION for Edward F. Siegel to Appear Pro Hac Vice. Document filed by Norman D. Palmer, Deliris A. Palmer.(jco) (Entered: 06/11/2007)
06/07/2007	157	ORDER granting 154 Motion for A.J. De Bartolomeo to Appear Pro Hac Vice for plaintiffs; granting 156 Motion for Daniel C. Girard to Appear Pro Hac Vice for plaintiffs.(Signed by Judge Deborah A. Batts on 6/7/07) (db) (Entered: 06/08/2007)
06/08/2007		Transmission to Attorney Admissions Clerk. Transmitted re: 157 Order on Motion to Appear Pro Hac Vice to the Attorney Admissions Clerk for updating of Attorney Information. (db) (Entered: 06/08/2007)
06/11/2007		CASHIERS OFFICE REMARK on 157 Order on Motion to Appear Pro Hac Vice, in the amount of \$25.00, paid on 06/04/2007, Receipt Number 617076. Payment for Daniel C. Girard (jd) (Entered: 06/11/2007)
06/12/2007		CASHIERS OFFICE REMARK on 158 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 06/06/2007, Receipt Number 617435. (jd) (Entered: 06/12/2007)
06/15/2007	159	NOTICE OF APPEARANCE by Edward Frank Siegel on behalf of Norman D. Palmer, Deliris A. Palmer (Siegel, Edward) (Entered: 06/15/2007)
06/15/2007	160	MOTION for Leave to File Objection. Document filed by Tom Reese. (Attachments: # 1 Objections to Fees)(Siegel, Edward) (Entered: 06/15/2007)
06/20/2007	162	MOTION for Kearney Dee Hutsler to Appear Pro Hac Vice. Document filed by

		Earl Wells.(jco) (Entered: 06/27/2007)
06/26/2007	161	ORDER: the Court has identified 10 people who have provided timely requests to set forth their objections at the scheduled Fairness Hearing on 7/13/07. Their names are: Naresh Chand, James Hardy, Evelyn Hardy, William McWhorter, Norma Palmer, Deliris Palmer, Jean Profeta, Zenobia Scott, Earl Wells and Janet K. Wood. Each objector shall be permitted no more than ten (10) minutes to set forth his or her objections to the terms of the proposed settlement agreement, including objections to the proposed attorney's fees as further set forth in said Order. (Signed by Judge Deborah A. Batts on 6/26/07) (db) (Entered: 06/27/2007)
07/02/2007	163	RESPONSE to Motion re: 160 MOTION for Leave to File Objection. <i>Class Counsel's Statement Of Non-Opposition To Objector Tom Reese's Motion To File Objection To Fee Petition Of Class Counsel And Response To Objection.</i> Document filed by Donald G. Dobbs, Kathie Kerr. (Attachments: # 1 Exhibit Certificate of Service)(Girard, Daniel) (Entered: 07/02/2007)
07/02/2007	164	ORDER that a fairness hearing in this matter is scheduled for 7/13/07 at 11:00 a.m. The hearing will be held at the Daniel Patrick Moynihan United States Courthouse; 500 Pearl Street; New York, New York 10007; in courtroom 24B. (Signed by Judge Deborah A. Batts on 7/2/07) (dle) Modified on 7/3/2007 (Lewis, Diahana). (Entered: 07/03/2007)
07/09/2007		CASHIERS OFFICE REMARK on 162 Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 06/20/2007, Receipt Number 618941. (jd) (Entered: 07/09/2007)
07/09/2007	165	NOTICE of Change of Law Firm Name. Document filed by Leonard D. Caldwell. (Pollack, Janine) (Entered: 07/09/2007)
07/09/2007	166	NOTICE of (Response of Milberg Weiss to Objection of N. Chand). Document filed by Leonard D. Caldwell. (Attachments: # 1 Exhibit A# 2 Certificate of Service)(Pollack, Janine) (Entered: 07/09/2007)
07/09/2007	167	ORDER: Plts shall be prepared to address the dollar amts available to each of the four classes if atty fees and expenses as requested are deducted from the \$100 million settlement fund. Of the 890,105 class members, how are they divided into each of the four categories of claimants? What is the expected high pymt, low pymt, average pymt per claimant for each of the four classes? (Signed by Judge Deborah A. Batts on 7/9/2007) (jar) Additional attachment(s) added on 7/10/2007 (Rivera, Jazmin). (Entered: 07/10/2007)
07/10/2007	168	ORDER, that Co-Counsel for Plaintiffs Milberg Weiss request to withdraw from representing plaintiff Naresh Chand. Plaintiff Chad notified the Court in writing on 7/10/07 that he has consented to that withdrawal. Accordingly, Milberg Weiss representation of Plaintiff Chand is hereby withdrawn. (Signed by Judge Deborah A. Batts on 7/10/07) (pl) (Entered: 07/11/2007)
07/11/2007	169	DECLARATION of Jennifer M. Keough in Support re: 140 Memorandum of Law in Support. Document filed by Donald G. Dobbs, Kathie Kerr. (Debartolomeo, A.J.) (Entered: 07/11/2007)
07/18/2007	170	ORDER AND FINAL JUDGMENT: the Court has jurisdiction over the subject

		<p>matter of the action, plaintiffs, all class members and dfts; the court makes a final determination that for the purposes of the settlement, the prerequisites for a class action under Rules 23(a) and (b)(3) of the FRCP have been satisfied; purs. to Rules 23(a) and (b)(3) of the FRCP and for the purposes of the settlement this court hereby makes final its certification of the action as a class action on behalf of the the Class as further set forth in this order; purs. to Rule 23 of the FRCP, the court hereby makes final its appointment of plaintiffs Caldwell, Anderson, Dobbs, Kerr, Rangeley and Wollmering as representatives of the class for purposes of the settlement; having considered the factors described in Rule 23(g)(1) of the FRCP, the court makes final its appointment of plaintiffs' counsel, the law firms of Girard Gibbs LLP, Milberg Weiss LLP and Stull, Stull & Brody as counsel for the class for purposes of the settlement; the settlement is approved as fair reasonable and adequate, and the parties are directed to consummate the settlement in accordance with the terms and provisions of the stipulation; the complaint is dismissed with prejudice and without costs, except as provided in the stipulation as against dfts; class members and the successors and assigns of any of them are permanently barred and enjoined as further set forth in this order; the released claims are compromised, settled, released, discharged, and dismissed as to all class members and their successors and assigns and as against the released persons on the merits and with prejudice by virtue of the proceedings herein and this order and final judgment; dfts and nominal dfts and their successors and assigns are hereby permanently barred and enjoined as further set forth herein; settled dfts' claims of all dfts and nominal dfts are hereby compromised, settled, released, discharged and dismissed on the merits and with prejudice by virtue of the proceedings herein and this order and final judgment; the court hereby bars all claims for indemnity and/or contribution by or against the released persons based upon, arising out of, relating to or in connection with the released claims of the class or any class member, provided, however that this bar order does not prevent any released person from asserting a claim for indemnity or contribution against another released person; plaintiffs' Co Lead Counsel are hereby awarded 27 percent of the settlement fund in attorneys' fees, which sum the court finds to be fair and reasonable and \$597,204 in reimbursement of expenses, which fees and expenses shall be paid to plaintiffs' co lead counsel from the settlement fund as further set forth herein; the settlement has created a fund of \$100,000,000 in cash that is already on deposit, plus interest thereon and that numerous class members who file acceptable proof of claim forms will benefit from the settlement created by plaintiffs' co-lead counsel; plaintiffs' co-lead counsel are authorized to pay from the amount awarded by the court for attorneys' fees, incentive awards of \$5,000 each to each of the six class representatives in this action and each of the five palintiffs in the related Haritos case; exclusive jurisdiction is hereby retained over the parties and the class members for all matters relating to this action and the settlement as further set forth herein; without further order of the court, the parties may agree to reasonable extensions of time to carry out any of the provisions of the stipulation. (Signed by Judge Deborah A. Batts on 7/18/07) (dle) (Entered: 07/19/2007)</p>
07/26/2007	171	TRANSCRIPT of proceedings held on 07/13/07 before Judge Deborah A. Batts. (es) (Entered: 07/26/2007)

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