

Edgar Filing: Amtrust Financial Services, Inc. - Form 8-K

Amtrust Financial Services, Inc.  
Form 8-K  
December 04, 2018

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

FORM 8-K

CURRENT REPORT

Pursuant to Section 13 OR 15(d) of the Securities Exchange Act of 1934

Date of Report (Date of Earliest Event Reported) November 28, 2018

AmTrust Financial Services, Inc.  
(Exact name of registrant as specified in its charter)

Delaware                                      001-33143      04-3106389  
(State or other jurisdiction      (Commission      (IRS Employer  
of incorporation)                      File Number)      Identification No.)

59 Maiden Lane, 43<sup>rd</sup> Floor, New York,      10038  
New York  
(Address of principal executive offices)      (Zip Code)

Registrant's telephone number, including area code (212) 220-7120

(Former name or former address, if changed since last report.)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions (see General Instruction A.2. below):

“Written  
communications  
pursuant  
to  
Rule  
425  
under  
the  
Securities  
Act

(17  
CFR  
230.425)  
Soliciting material  
pursuant to Rule  
14a-12 under the  
Exchange Act (17  
CFR 240.14a-12)  
Pre-commencement  
communications  
pursuant  
to  
Rule  
14d-2(b)  
under  
the  
Exchange  
Act  
(17  
CFR  
240.14d-2(b))  
Pre-commencement  
communications  
pursuant  
to  
Rule  
13e-4(c)  
under  
the  
Exchange  
Act  
(17  
CFR  
240.133-4  
(c))

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter)

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.



Item 5.02 Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.

On November 28, 2018, Michael Saxon, EVP – U.S. Commercial Lines for AmTrust Financial Services, Inc. (the “Company”), and Max Caviet, the Chief Executive Officer of AmTrust International Limited, the Company’s European parent holding company, each announced his intention to retire effective December 31, 2018. Mr. Saxon, age 60, has been with the Company since 2001, and Mr. Caviet, age 65, has been with the Company since 2003. Mr. Saxon will continue on a consultative basis, as Vice Chairman of AmTrust North America, Inc., one of the Company’s wholly-owned subsidiaries.

In addition, on December 4, 2018, Christopher Longo, the Company’s Chief Operating Officer, announced his intention to resign effective December 31, 2018, to pursue other opportunities following the completion of the Company’s merger transaction.

The Company has not finalized the terms of any compensatory arrangements for these executive officers in connection with their departures and will file a Current Report on Form 8-K disclosing such information when it has been determined.

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SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

AmTrust Financial Services, Inc.  
(Registrant)

Date December 4, 2018

/s/ Stephen Ungar  
Stephen Ungar  
SVP, General Counsel and Secretary