

Gorelik Ariel  
Form 4  
December 03, 2018

**FORM 4**

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

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

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF  
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,  
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section  
30(h) of the Investment Company Act of 1940

## OMB APPROVAL

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
Gorelik Ariel

2. Issuer Name **and** Ticker or Trading  
Symbol  
Amtrust Financial Services, Inc.  
[AFSI]

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

(Last) (First) (Middle)  
C/O AMTRUST FINANCIAL  
SERVICES, INC., 59 MAIDEN  
LANE, 43RD FLOOR

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/29/2018

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ Officer (give title below) \_\_\_\_ Other (specify below)  
SVP, Chief Information Officer

(Street)  
NEW YORK, NY 10038

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

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

(City) (State) (Zip)

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

| 1. Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             | Code                                 | V                                                                          | Amount                                                                                                             | (D)                                                                  | Price                                                             |

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

**Persons who respond to the collection of  
information contained in this form are not  
required to respond unless the form  
displays a currently valid OMB control  
number.**

SEC 1474  
(9-02)

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

## Edgar Filing: Gorelik Ariel - Form 4

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) |                    | 8.              |                                     |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----|---------------------------------------------------------------------|--------------------|-----------------|-------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                            | (A)                                                            | (D) | Date<br>Exercisable                                                 | Expiration<br>Date | Title           | Amount<br>or<br>Number<br>of Shares |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>                                                            | 11/29/2018                              |                                                             | <u>D</u> <sup>(2)</sup>                 |                                                                                                              | 312                                                            |     | <u>(3)</u>                                                          | <u>(3)</u>         | Common<br>Stock | 312                                 |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>                                                            | 11/29/2018                              |                                                             | <u>D</u> <sup>(2)</sup>                 |                                                                                                              | 1,433                                                          |     | <u>(4)</u>                                                          | <u>(4)</u>         | Common<br>Stock | 1,433                               |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>                                                            | 11/29/2018                              |                                                             | <u>D</u> <sup>(2)</sup>                 |                                                                                                              | 10,776                                                         |     | <u>(5)</u>                                                          | <u>(5)</u>         | Common<br>Stock | 10,776                              |
| Restricted<br>Stock<br>Units                        | <u>(1)</u>                                                            | 11/29/2018                              |                                                             | <u>D</u> <sup>(2)</sup>                 |                                                                                                              | 16,065                                                         |     | <u>(6)</u>                                                          | <u>(6)</u>         | Common<br>Stock | 16,065                              |

## Reporting Owners

| Reporting Owner Name / Address                                                                            | Relationships |           |                                      |       |
|-----------------------------------------------------------------------------------------------------------|---------------|-----------|--------------------------------------|-------|
|                                                                                                           | Director      | 10% Owner | Officer                              | Other |
| Gorelik Ariel<br>C/O AMTRUST FINANCIAL SERVICES, INC.<br>59 MAIDEN LANE, 43RD FLOOR<br>NEW YORK, NY 10038 |               |           | SVP, Chief<br>Information<br>Officer |       |

## Signatures

/s/ Ariel Gorelik 12/03/2018

      
\*\*Signature of  
Reporting Person

Date

## Explanation of Responses:

\* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) When granted, each restricted stock unit represented a contingent right to receive one share of AmTrust Financial Services, Inc.'s common stock.

- (2) Pursuant to the Agreement and Plan of Merger, dated as of March 1, 2018 and as amended June 6, 2018, by and among AmTrust Financial Services, Inc., Evergreen Parent, L.P. and Evergreen Merger Sub, Inc. (the "Merger Agreement"), each outstanding restricted stock unit was canceled and converted into a right to receive on the vesting date originally applicable to such restricted stock unit, subject to the terms applicable to such restricted stock unit, a cash payment equal to \$14.75 per share, without interest, less any applicable withholding taxes, multiplied by the number of restricted stock units vesting on that vesting date.

## Edgar Filing: Gorelik Ariel - Form 4

- (3) On May 23, 2015, Mr. Gorelik received restricted stock units subject to a four-year vesting schedule, vesting 25% on the first, second, third and fourth anniversaries of the grant date.
- (4) On May 23, 2016, Mr. Gorelik received restricted stock units subject to a four-year vesting schedule, vesting 25% on the first, second, third and fourth anniversaries of the grant date.
- (5) On May 23, 2017, Mr. Gorelik received restricted stock units subject to a four-year vesting schedule, vesting 25% on the first, second, third and fourth anniversaries of the grant date.
- (6) On March 27, 2018, Mr. Gorelik received restricted stock units subject to a four-year vesting schedule, vesting on each March 5th of the first, second, third and fourth years following the grant date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.