### **BIOGRAPHICAL AFFIDAVIT**

To the extent permitted by law, this affidavit will be kept confidential by the state insurance regulatory authority.

(Print or Type)

Full Name, Address and telephone number of the present or proposed entity under which this biographical statement is being required (Do Not Use Group Names).

### Sagicor Life Insurance Company 900 Congress Avenue Suite 300 Austin, TX 78701

In connection with the above-named entity, I herewith make representations and supply information about myself as hereinafter set forth. (Attach addendum or separate sheet if space hereon is insufficient to answer any question fully.) IF ANSWER IS "NO" OR "NONE," SO STATE.

1.	Affiant's Full N	Name (Initials Not Accepta	ible). JOHN F. SH	IETTLE, JR			
2.	a. Are you a citizen of the United States? YES						
	b. Are you a citizen of any other country, if so, what country?						
3.							
4.							
				,			
5.	Education and	Training:					
College	/ University	City/ State	<u>2</u>	Dates Attended (MM/YY)	Degree Obtained		
WASH	INGTON & LEE	EUNIVERSITY LEXING	GTON, VA	9/72-6/76	BA		
<u>Gradua</u>	te Studies:	College/ University	City/ State	Dates Attended (MM/YY)	Degree Obtained		
SELLI	NGER SCHOOL	OF BUSINESS, LOVOL	A COLLEGE OF	MARYLAND, BALTIMORE	E, MD 8/91-6/92 MBA		
Other T	raining: Name	City/ State	Dates Attende	d (MM/YY) Deg	gree/Certification Obtained		
(Note:		vide the foreign student Id		ress and telephone number of the space provided in the			

NAIC No. 60445 FEIN: 74-1915841

6.	List of memberships in professional societies and associations.						
	Name of Society/Associate		Contact Name	Address of Society/Association	Telephone Number of Society/Association		
7.				IRECTOR			
8. PLEAS	including preser officerships). Pl	nt jobs, positions, pease list the most wide telephone number	partnerships, owner of recent first. Attach add	(20) years, whether compensation of an entity, administrator, manualitional pages if the space provinted information for the past ten (1)	ager, operator, directorates or vided is insufficient. It is only		
	ng/Ending MM/YY)		Employer's Name				
Address	8		_City	State/Province			
Country	·	Postal Code	Phone	Offices/Positions H	leld		
Supervi	sor / Contact	- I					
Beginni Dates (	ng/Ending MM/YY)		Employer's Name				
Address	S		_ City	State/Province			
Country		Postal Code	Phone	Offices/Positions H	eld		
Supervi	sor / Contact	-					
	ng/Ending MM/YY)		Employer's Name				
Address	8		_City	State/Province			
Country		Postal Code	Phone	Offices/Positions H	eld		
Supervi	sor / Contact						
	ng/Ending MM/YY)	==	Employer's Name				
Address			City	State/Province			
Country		Postal Code	Phone	Offices/Positions He	eld		
Supervi	sor / Contact	-					
9.	a. Have you e bond, give o	ver been in a posit details.	ion which required a f	fidelity bond? NO If	any claims were made on the		

Applicant Name (Company)	Sagicor Life Insurance Company

	b.	Have you ever been denied an individual or pos If yes, give details. NO		dule fidelity bond, or had a bond canceled or revoked?
10.	or g in t the lice nur nur	governmental licensing agency or regulatory authorized he past. For any non-insurance regulatory issuer, licensing authority or regulatory body having ense number is your Social Security Number (Subers that are reasonably identifiable as your Subers that y	nority or li- identify an jurisdiction SSN) or en SN, then warmple, "S	cluding licenses to sell securities) issued by any public icensing authority that you presently hold or have held nd provide the name, address and telephone number of on over the license (s) issued. If your professional mbeds your SSN or any sequence of more than five write SSN for that portion of the professional license SSN", "12-SSN-345" or "1234-SSN" (last 6 digits)).
		PLOYED BY AVEMCO CORP IN THE 1990'S STATES WHICH AVEMCO TERMINATED		INSURANCE AGENT OR BROKER LICENSES IN MY DEPARTURE.
Organiz	zatio	n/Issuer of License	_	
City		State/Province	_ Country	/ Postal Code
License	Тур	e PRACTISING CERT License		Date Issued (MM/YY)
Date Ex	pire	d (MM/YY) Reason for Termination		
Non-ins	suran	ce Regulatory Phone Number (if known)		
Organiz	zatio	/Issuer of License	_ Address	3
City _		State/Province	_ Country	Postal Code
License	Тур	e License #		Date Issued (MM/YY)
Date Ex	pire	1 (MM/YY) Reason for Terr	mination _	
Non-ins	suran	ce Regulatory Phone Number (if known)		
11.		esponding to the following, if the record has bee record was sealed or expunged, an affiant may re		r expunged, and the affiant has personally verified that o" to the question. Have you ever:
	a.	Been refused an occupational, professional, or public administrative, or governmental licensing NO	g agency?	
	b.		nal license	or permit you hold or have held, been subject to any
	c.	Been placed on probation or had a fine levied as license or permit in any judicial, administrative, NO	regulatory	or your occupational, professional, or vocational y, or disciplinary action?
	d.	Been charged with, or indicted for, any criminal	offense(s)	) other than civil traffic offenses? NO
	e.	Pled guilty, or nolo contendere, or been convict	ed of, any	criminal offense(s) other than civil traffic offenses?

NO

	Had adjudication of guilt withheld, had a sentence imposed or suspended, had pronouncement of a sentence suspended, or been pardoned, fined, or placed on probation, for any criminal offense(s) other than civil traffic offenses? NO
g.	Been subject to a cease and desist letter or order, or enjoined, either temporarily or permanently, in any judicial administrative, regulatory, or disciplinary action, from violating any federal, state law or law of another country regulating the business of insurance, securities or banking, or from carrying out any particular practice of practices in the course of the business of insurance, securities or banking?  NO
h.	Been, within the last ten (10) years, a party to any civil action involving dishonesty, breach of trust, or financial dispute?
i.	Had a finding made by the Comptroller of any state or the Federal Government that you have violated an provisions of small loan laws, banking or trust company laws, or credit union laws, or that you have violate any rule or regulation lawfully made by the Comptroller of any state or the Federal Government? NO
j.	Had a lien or foreclosure action filed against you or any entity while you were associated with that entity?
	he response to any question above is answered "Yes", please provide details including dates, location position, etc. Attach a copy of the complaint and filed adjudication or settlement as appropriate.
terr pos per	n "control" (including the terms "controlling," "controlled by" and "under common control with") means the session, direct or indirect, of the power to direct or cause the direction of the management and policies of son, whether through the ownership of voting securities, by contract other than a commercial contract for good
pos per or i offi hole	n "control" (including the terms "controlling," "controlled by" and "under common control with") means the session, direct or indirect, of the power to direct or cause the direction of the management and policies of son, whether through the ownership of voting securities, by contract other than a commercial contract for good non-management services, or otherwise, unless the power is the result of an official position with or corporate ce held by the person. Control shall be presumed to exist if any person, directly or indirectly, owns, controls
pos per or i offi hole othe	n "control" (including the terms "controlling," "controlled by" and "under common control with") means the session, direct or indirect, of the power to direct or cause the direction of the management and policies of son, whether through the ownership of voting securities, by contract other than a commercial contract for good non-management services, or otherwise, unless the power is the result of an official position with or corporate held by the person. Control shall be presumed to exist if any person, directly or indirectly, owns, control ds with the power to vote, or holds proxies representing, ten percent (10%) or more of the voting securities of an
person in offin hole other NO!	"control" (including the terms "controlling," "controlled by" and "under common control with") means the session, direct or indirect, of the power to direct or cause the direction of the management and policies of son, whether through the ownership of voting securities, by contract other than a commercial contract for good non-management services, or otherwise, unless the power is the result of an official position with or corporate ce held by the person. Control shall be presumed to exist if any person, directly or indirectly, owns, control ds with the power to vote, or holds proxies representing, ten percent (10%) or more of the voting securities of an er person.  NE
terripos persor i offi holo otho NOI Lifa NO Do or o regidire with cum	ny of the stock is pledged or hypothecated in any way, give details

Application 14.	licant Name (Company) Sagicor Life Insurance Company  NAIC No60445 FEIN: 74-1915841  Have you ever been adjudged a bankrupt? NO If yes, provide details NOT APPLICABLE					
15.	To your knowledge has any company or entity for which you were an officer or director, trustee, investment committee member, key management employee or controlling stockholder, had any of the following events occur while you served in such capacity? If yes, please indicate and give details. When responding to questions (b) and (c) affiant should also include any events within twelve (12) months after his or her departure from the entity.					
	a. Been refused a permit, license, or certificate of authority by any regulatory authority, or Governmental-licensing agency?NC					
	b. Had its permit, license, or certificate of authority suspended, revoked, canceled, non-renewed, or subjected to any judicial, administrative, regulatory, or disciplinary action (including rehabilitation, liquidation, receivership, conservatorship, federal bankruptcy proceeding, state insolvency, supervision or any other similar proceeding)?NO					
	c. Been placed on probation or had a fine levied against it or against its permit, license, or certificate of authority in any civil, criminal, administrative, regulatory, or disciplinary action? NO					
	Note: If an affiant has any doubt about the accuracy of an answer, the question should be answered in the positive and an explanation provided.					
Dated penalty knowle	and signed this					
<u></u>	(Signature of Affiant)					
State o	of forida County of: Hills bourgh					
The fo	regoing instrument was acknowledged before me this					
L	who is personally known to me, or					
372	who produced the following identification:					
	[SEAL]  ROBERTA L HONEYCUTT MY COMMISSION #EE149817 EXPIRES: DEC 22, 2015 Bonded through 1st State Insurance  ROBERTA L HONEYCUTT Printed Notary Public Printed Notary Name					
	My Commission Expires					

## BIOGRAPHICAL AFFIDAVIT Supplemental Personal Information

### (Print or Type)

To the extent permitted by law, this affidavit will be kept confidential by the state insurance regulatory authority.

Full Name, Address, and telephone number of the present or proposed entity under which this biographical statement is being required (Do Not Use Group Names).

Sagicor Life Insurance Company 900 Congress Avenue Suite 300 Austin, TX 78701

1.	Affiant's Full Name	(Initials Not Acceptab)	e).JOHN FRANCIS SHETTLE, JR.
2.	Have you ever used a	nny other name includi	ng nickname, maiden name or aliases? NO If yes, give the reason if full name(s) and date(s) used.
	ning/Ending ) Used (MM/YY)	Name(s)	Reason (If None, indicate such)
			<del></del>
Note: be an o	Dates provided in res		may be approximate. Parties using this form understand that there could name to another.
3.	Affiant's Social Secu	rity Number	
4.	Government Identific	ation Number if not a	U.S. Citizen
5.	Foreign Student ID#	(if applicable)	
6.	Date of Birth: (MM/I State/Province MAR	DD/YY) YLAND	Place of Birth: City BALTIMORE Country USA
7	Name of Affiant's Sp	ouse (if applicable)	

8. List your residences for the last ten (10) years starting with your current address, giving:

Beginning/Ending					
Dates			State/		
(MM/YY)	Address	City	Province	Country	Postal Code
PRESENT		BALTIMORE	MD	USA	21210
		is question may be appr			ies using this form
	- 10 m	of dates when transition			
of my knowledge ar  State of Flori	rjury that I am acting ad belief.  (Signature of Affiant Cour Cour Cour Cour Cour Cour Cour Cour	on my own behalf, and  on the first book of the	that the foregoing	statements are true an	d correct to the best
5 Shettle	, and:				
who is per	sonally known to me,	or			
who produ	aced the following ide	entification:			
[SEAL]	(A) M	ROBERTA L HONEYCUTT Y COMMISSION #EE149817 EXPIRES: DEC 22, 2015 aded through 1st State Insurance	_	Roberta L Printed 1	ry Pablic foneycut/ Notary Name

# DISCLOSURE AND AUTHORIZATION CONCERNING BACKGROUND REPORTS (All states except California, Minnesota and Oklahoma)

This Disclosure and Authorization is provided to you in connection with pending or future application(s) of Sagicor Life Insurance Company ("Company") for licensure or a permit to organize ("Application") with a department of insurance in one or more states within the United States. Company desires to procure a consumer or investigative consumer report (or both) ("Background Reports") regarding your background for review by a department of insurance in any state where Company pursues an Application during the term of your functioning as, or seeking to function as, an officer, member of the board of directors or other management representative ("Affiant") of Company or of any business entities affiliated with Company ("Term of Affiliation") for which a Background Report is required by a department of insurance reviewing any Application. Background Reports requested pursuant to your authorization below may contain information bearing on your character, general reputation, personal characteristics, mode of living and credit standing. The purpose of such Background Reports will be to evaluate the Application and your background as it pertains thereto. To the extent required by law, the Background Reports procured under this Disclosure and Authorization will be maintained as confidential.

You may obtain copies of any Background Reports about you from the consumer reporting agency ("CRA") that produces them. You may also request more information about the nature and scope of such reports by submitting a written request to Company. To obtain contact information regarding CRA or to submit a written request for more information, contact Catherine Hauck, VP Human Resources, 4343 N. Scottsdale Road, Suite 300, Scottsdale, AZ 85251 480-425-5100.

Attached for your information is a "Summary of Your Rights Under the Fair Credit Reporting Act."

AUTHORIZATION: I am currently an Affiant of Company as defined above. I have read and understand the above Disclosure and by my signature below, I consent to the release of Background Reports to a department of insurance in any state where Company files or intends to file an Application, and to the Company, for purposes of investigating and reviewing such Application and my status as an Affiant. I authorize all third parties who are asked to provide information concerning me to cooperate fully by providing the requested information to CRA retained by Company for purposes of the foregoing Background Reports, except records that have been erased or expunged in accordance with law.

I understand that I may revoke this Authorization at any time by delivering a written revocation to Company and that Company will, in that event, forward such revocation promptly to any CRA that either prepared or is preparing Background Reports under this Disclosure and Authorization. This Authorization shall remain in full force and effect until the earlier of (i) the expiration of the Term of Affiliation, (ii) written revocation as described above, or (iii) twelve (12) months following the date of my signature below.

A true copy of this Disclosure and Authorization shall be valid and have the same force and effect as the signed original. JOHN FRANCIS SHETTLE, JR BALTIMORE, MD 21210 (Printed Full Name and Residence Address) County of acknowledged before me this foregoing instrument was who is personally known to me, or who produced the following identification: ROBERTA L HONEYCUTT [SEAL] MY COMMISSION #EE149817 **EXPIRES: DEC 22, 2015** Bonded through 1st State Insurance Printed Notary Name My Commission Expires

### DISCLOSURE AND AUTHORIZATION CONCERNING BACKGROUND REPORTS (Minnesota and Oklahoma)

This Disclosure and Authorization is provided to you in connection with pending or future application(s) of Sagicor Life Insurance Company ("Company") for licensure or a permit to organize ("Application") with a department of insurance in one or more states within the United States. Company desires to procure a consumer or investigative consumer report (or both) ("Background Reports") regarding your background for review by a department of insurance in any state where Company pursues an Application during the term of your functioning as, or seeking to function as, an officer, member of the board of directors or other management representative ("Affiant") of Company or of any business entities affiliated with Company ("Term of Affiliation") for which a Background Report is required by a department of insurance reviewing any Application. Background Reports requested pursuant to your authorization below may contain information bearing on your character, general reputation, personal characteristics, mode of living and credit standing. The purpose of such Background Reports will be to evaluate the Application and your background as it pertains thereto. To the extent required by law, the Background Reports procured under this Disclosure and Authorization will be maintained as confidential.

You may request more information about the nature and scope of Background Reports produced by any consumer reporting agency ("CRA") by submitting a written request to Company. You should submit any such written request for more information, to Catherine Hauck, VP Human Resources, 4343 N. Scottsdale Road, Suite 300, Scottsdale, AZ 85251 480-425-5100.

Attached for your information is a "Summary of Your Rights Under the Fair Credit Reporting Act." You will be provided with a copy of any Background Report procured by Company if you check the box below.

\_\_\_By checking this box, I request a copy of any Background Report from any CRA retained by Company, at no extra charge.

**AUTHORIZATION:** I am currently an Affiant of Company as defined above. I have read and understand the above Disclosure and by my signature below, I consent to the release of Background Reports to a department of insurance in any state where Company files or intends to file an Application, and to the Company, for purposes of investigating and reviewing such Application and my status as an Affiant. I authorize all third parties who are asked to provide information concerning me to cooperate fully by providing the requested information to CRA retained by Company for purposes of the foregoing Background Reports, except records that have been erased or expunged in accordance with law.

I understand that I may revoke this Authorization at any time by delivering a written revocation to Company and that Company will, in that event, forward such revocation promptly to any CRA that either prepared or is preparing Background Reports under this Disclosure and Authorization. This Authorization shall remain in full force and effect until the earlier of (i) the expiration of the Term of Affiliation, (ii) written revocation as described above, or (iii) twelve (12) months following the date of my signature below.

A true copy of this Disclosure and Authorization shall be valid and have the same force and effect as the signed original. JOHN FRANCIS SHETTLE, JR BALTIMORE, MD 21210 (Printed Full Name and Residence Address) (Signature) County of day of MAR, 20 /2 instrument was acknowledged before me this foregoing , and who is personally known to me, or who produced the following identification: ROBERTA L HONEYCUTT [SEAL] Notary Public MY COMMISSION #EE149817 EXPIRES: DEC 22, 2015 Printed Notary Name Bonded through 1st State Insurance My Commission Expires

#### DISCLOSURE AND AUTHORIZATION CONCERNING BACKGROUND REPORTS (California)

This Disclosure and Authorization is provided to you in connection with a pending application of Sagicor Life Insurance Company ("Company") for licensure or a permit to organize ("Application") with a department of insurance in one or more states within the United States. Company desires to procure a consumer or investigative consumer report (or both) ("Background Reports") regarding your background for review by any department of insurance in such states where Company is currently pursuing an Application, because you are either functioning as, or are seeking to function as, an officer, member of the board of directors or other management representative ("Affiant") of Company or of any business entities affiliated with Company ("Term of Affiliation") for which a Background Report is required by a department of insurance reviewing any Application. Background Reports will be obtained through Catherine Hauck, VP Human Resources, 4343 N. Scottsdale Road, Suite 300, Scottsdale, AZ 85251 480-425-5100 ("CRA"). Background Reports requested pursuant to your authorization below may contain information bearing on your character, general reputation, personal characteristics, mode of living and credit standing. The purpose of such Background Reports will be to evaluate the Application and your background as it pertains thereto. To the extent required by law, the Background Reports procured under this Disclosure and Authorization will be maintained as confidential.

You may request more information about the nature and scope of Background Reports produced by any consumer reporting agency ("CRA") by submitting a written request to Company. You should submit any such written request for more information, to Catherine Hauck, VP Human Resources, 4343 N. Scottsdale Road, Suite 300, Scottsdale, AZ 85251 480-425-5100.

Attached for your information is a "Summary of Your Rights Under the Fair Credit Reporting Act." You will be provided with a copy of any Background Report procured by Company if you check the box below.

By checking this box, I request a copy of any Background Report from any CRA retained by Company, at no extra charge.

Under section 1786.22 of the California Civil Code, you may view the file maintained on you by the CRA listed above. You may also obtain a copy of this file, upon submitting proper identification and paying the costs of duplication services, by appearing at the CRA in person or by mail; you may also receive a summary of the file by telephone. The CRA is required to have personnel available to explain your file to you and the CRA must explain to you any coded information appearing in your file. If you appear in person, you may be accompanied by one other person of your choosing, provided that person furnishes proper identification.

AUTHORIZATION: I am currently an Affiant of Company as defined above. I have read and understand the above Disclosure and by my signature below, I consent to the release of Background Reports to a department of insurance in any state where Company files or intends to file an Application, and to the Company, for purposes of investigating and reviewing such Application and my status as an Affiant. I authorize all third parties who are asked to provide information concerning me to cooperate fully by providing the requested information to CRA retained by Company for purposes of the foregoing Background Reports, except records that have been erased or expunged in accordance with law.

I understand that I may revoke this Authorization at any time by delivering a written revocation to Company and that Company will, in that event, forward such revocation promptly to any CRA that either prepared or is preparing Background Reports under this Disclosure and Authorization. In no event, however, will this authorization remain in effect beyond twelve (12) months following the date of my signature below.

A true copy of this Disclosure and Authorization shall be valid and have the same force and effect as the signed original. JOHN FRANCIS SHETTLE, JR BALTIMORE, MD 21210 (Printed Full Name and Residence Address) (Signature) (Date) County of The foregoing instrument was acknowledged before me this shettle who is personally known to me, or who produced the following identification: [SEAL] ROBERTA L HONEYCUTT MY COMMISSION #EE149817 **EXPIRES: DEC 22, 2015** Printed Notary Name Bonded through 1st State Insurance My Commission Expires

NAIC No. <u>60445</u> FEIN: 74-1915841

## Employment - John F. Shettle, Jr.

Beginning/Ending

Dates (MM/YY): 10/06 - Present Employer's Name: Sagicor Life Insurance Company

Address: 900 Congress Avenue City: Austin State/Province: Texas

Country: USA Postal Code: 78701 Phone: 480-425-5110

Offices/Positions Held: <u>Director</u> Supervisor / Contact: <u>Dodridge Miller</u>

Beginning/Ending

Dates (MM/YY): 10/06 - Present Employer's Name: Laurel Life Insurance Company

Address: 900 Congress Avenue City: Austin State/Province: Texas Country: USA Postal Code: 7871 Phone: 480-425-5110

Offices/Positions Held: <u>Director</u> Supervisor / Contact: <u>Dodridge Miller</u>

Beginning/Ending

Dates (MM/YY): 12/02 - Present Employer's Name: Sagicor Financial Corp
Address: Cecil F. DeCaires Building City: State/Province: St. Michael
Country: Barbados Postal Code: Phone:

Offices/Positions Held: **Director** Supervisor / Contact: <u>Dodridge Miller</u>

Beginning/Ending

Dates (MM/YY): 07/09 - Present Employer's Name: Stone Point Capital

Address: 20 Horseneck City: Greenwich State/Province: Connecticut Country: USA Postal Code: 06830 Phone: 203-862-3114

Offices/Positions Held: Operating Partner

Supervisor / Contact:

Beginning/Ending

Dates (MM/YY): 12/07 - 06/09 Employer's Name: <u>Lightyear Capital, LLC</u>
Address: 375 Park Avenue, 11<sup>th</sup> Floor City: New York State/Province: New York

Country: USA Postal Code: 10152 Phone: 212-328-0550

Offices/Positions Held: Operating Partner

Supervisor / Contact: Lori Forlano

### Applicant Name (Company) Sagicor Life Insurance Company

NAIC No. <u>60445</u> FEIN: <u>74-1915841</u>

Beginning/Ending

Dates (MM/YY): 08/05 - 12/07 Employer's Name: Victor O. Schinnerer & Co. Inc

Address: Two Wisconsin Circle City: Chevy Chase State/Province: Maryland

Country: USA Postal Code: 20815

Offices/Positions Held: CEO

Supervisor / Contact: Richard Altmann

Beginning/Ending

Dates (MM/YY): 06/04 - 08/05 Employer's Name: <u>Tred Avon Capital Advisors</u>

Address: Suite 311, The Quadrangle City: Baltimore State/Province: Maryland

Country: <u>USA</u> Postal Code: <u>21210</u> Phone:

Offices/Positions Held: CEO

Supervisor / Contact:

Beginning/Ending

Dates (MM/YY): 09/03 - 05/04 Employer's Name: Providence Washington Insurance Co.

Phone:

Phone:

Address: 88 Boyd Avenue City: East Providence State/Province: Rhode Island

Country: USA Postal Code: 02914

Offices/Positions Held: <u>CEO\Director</u> Supervisor / Contact: Jeffrey Mack

Beginning/Ending

Dates (MM/YY) 1999 - 2003 Employer's Name: Securitas Capital, LLC/Swiss

Reinsurance Co.

Address: 55 E. 52<sup>nd</sup> Street City: New York State/Province: New York

Country: USA Postal Code: 10055 Phone:

Offices/Positions Held: Managing Director & Senior Managing Director

Supervisor / Contact: Rorg Babich

Beginning/Ending

Dates (MM/YY) 1976 - 1997 Employer's Name: AVEMCO Corporation

Address: City: Frederick State/Province: Maryland

Country: USA Postal Code: Phone:

Offices/Positions Held: Director (1993-1997); President & CEO (1997); President & COO (1994-

1997); Executive VP (1991-1994); Senior VP - Business Development & Planning (1987-1991);

President (1976-1986)
Supervisor / Contact: