SEC Form 3

FORM 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL

OMB Number: 3235-0104 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

| Metzger Steven D | | equiring Statement Ionth/Day/Year) CARRIAGE SERVICES INC [CSV] | | | | | | |
|--|--|---|--|--|------------------------------------|--|---|--|
| (Last) (First) (Middle) 6332 SCHILLER STREET | | | 4. Relationship of Reporting Perso (Check all applicable) Director | n(s) to Issue 10% Owne | (Mo | Amendment, Da nth/Day/Year) | ate of Original Filed | |
| | | | Officer (give title X Other (specify below) | | | 6. Individual or Joint/Group Filing (Check Applicable Line) | | |
| (Street) | | | Senior VP and General Counsel | | | X Form filed by One Reporting Person | | |
| HOUSTON TX 77055 | | | | | | Form filed by Reporting P | y More than One erson | |
| (City) (State) (Zip) | | | | | | | | |
| Table I - Non-Derivative Securities Beneficially Owned | | | | | | | | |
| 1. Title of Security (Instr. 4) | | | Amount of Securities eneficially Owned (Instr. 4) | | | 4. Nature of Indirect Beneficial Ownership (Instr. 5) | | |
| Common Stock | | | 202 | D | | | | |
| Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) | | | | | | | | |
| 1. Title of Derivative Security (Instr. 4) | 2. Date Exercisable and Expiration Date (Month/Day/Year) | | 3. Title and Amount of Securit Underlying Derivative Securit | | 4. Conversion or Exercise | | 6. Nature of Indirect Beneficial Ownership (Instr. 5) | |
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | Price of Derivative Security | Oirect (D) or Indirect (I) (Instr. 5) | | |
| Performance Award | (1) | 12/31/2023 | Common Stock | 10,500 | (1) | D | | |

Explanation of Responses:

1. Represents performance awards, payable in shares, granted under the Carriage Services, Inc. 2017 Omnibus Incentive Plan. The award will vest (if at all) on December 31, 2023 provided that certain criteria surrounding share price performance is achieved and the Reporting Person has remained continuously employed by Carriage through such date.

Remarks:

<u>/s/ Steven D Metzger</u>

02/22/2019

** Signature of Reporting Person Date

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

* If the form is filed by more than one reporting person, see Instruction 5 (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).

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

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 Number.