# SEC Form 4

# FORM 4

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

OMB APPROVAL

| L                   |           |
|---------------------|-----------|
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|                    |            |  | Flied pursually to Section 10(a) of the Securities Exchange Act of .         | 1934                      |  |                                      |  |  |
|--------------------|------------|--|--|---------------------------|--|--------------------------------------|--|--|
|                    |            |  | or Section 30(h) of the Investment Company Act of 1940                       |                           |  |                                      |  |  |
| 1. Name and Addres | 1 0        | Person <sup>*</sup>                                      | 2. Issuer Name and Ticker or Trading Symbol<br>CARRIAGE SERVICES INC [ CSV ] |                           | tionship of Reporting P<br>all applicable) | Reporting Person(s) to Issuer<br>le) |  |  |
| Leibman Brya       | <u>111</u> |  |  | X                         | Director                                   | 10% Owner                            |  |  |
|                    |            |  |  | -                         | Officer (give title                        | Other (specify                       |  |  |
| (Last)             | (First)    | (Middle)   | 3. Date of Earliest Transaction (Month/Day/Year)<br>06/30/2021               |                           | below)                                     | below)                               |  |  |
| 3040 POST OAK      | K BLVD.    |  | 00/30/2021   |                           |  |                                      |  |  |
| SUITE 300          |            |  |  |                           |  |                                      |  |  |
|                    |            | 4. If Amendment, Date of Original Filed (Month/Day/Year) | 6. Indiv<br>Line)  | vidual or Joint/Group Fil | ing (Check Applicable                      |                                      |  |  |
| (Street)           |            |  |  | X                         | Form filed by One Re                       | porting Person                       |  |  |
| HOUSTON            | ТХ         | 77056  |  |                           | Form filed by More th<br>Person            | an One Reporting                     |  |  |
| (City)             | (State)    | (Zip)  |  |                           |  |                                      |  |  |

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

| ······································ |  |   |                              |   |        |               |         |   |   |   |
|--|--|---|------------------------------|---|--------|---------------|---------|---|---|---|
| 1. Title of Security (Instr. 3)        | 2. Transaction<br>Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 3.<br>Transa<br>Code (<br>8) |   |        |               |         | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported | 6. Ownership<br>Form: Direct<br>(D) or Indirect<br>(I) (Instr. 4) | 7. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|  |  |   | Code                         | v | Amount | (A) or<br>(D) | Price   | Transaction(s)<br>(Instr. 3 and 4)  |   | (1130. 4)   |
| Common Stock                           | 06/30/2021                                 |   | A                            |   | 676(1) | A             | \$36.97 | 31,067  | D   |   |
| Common Stock                           |  |   |                              |   |        |               |         | 2,576   | I   | Held in<br>Trust for<br>Minor<br>Children                         |

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

|   |   |  | (**5*) **   | ,                            | , .     |  | ,   |                     |                         |       |   | ,  |       |  |  |
|---|---|--|---|------------------------------|---------|--|---|---------------------|-------------------------|-------|---|--|-------|--|--|
| 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<br>Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date,<br>if any<br>(Month/Day/Year) | 4.<br>Transa<br>Code (<br>8) | (Instr. | of<br>Deriv<br>Secu<br>Acqu<br>(A) of<br>Dispo<br>of (D)<br>(Instr | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3, 4<br>and 5) |                     | Amount of<br>Securities |       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Number of<br>derivative<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 4) | Form: | 11. Nature<br>of Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |
|   |   |  |   | Code                         | v       | (A)  | (D)   | Date<br>Exercisable | Expiration<br>Date      | Title | Amount<br>or<br>Number<br>of<br>Shares              |  |       |  |  |

## Explanation of Responses:

1. Award pursuant to the Director Compensation Policy. Represents unrestricted shares of Carriage's Common Stock granted on June 30, 2021 for Director Compensation earned during the second quarter. **Remarks:** 

## <u>Bryan D. Leibm</u>an

\*\* Signature of Reporting Person Date

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

 $^{\ast}$  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).

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.

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

