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

<u>Goetz William</u>			. Date of Event 3. Issuer Name and Ticker or Trading Symbol tequiring Statement CARRIAGE SERVICES INC [CSV] 2/01/2019 2/01/2019							
(Last) (First) (Middle) 1229 RIDGELEY DRIVE				4. Relationship of Reporting Pers (Check all applicable) Director		on(s) to Issue 10% Owne	(N	5. If Amendment, Date of Original Filed (Month/Day/Year)		
					X	Officer (give title below)	Other (spe below)		Individual or Joint oplicable Line)	t/Group Filing (Check
(Street)						Chief Operating Officer			X Form filed by One Reporting Person	
HOUSTON	TX	77055							Form filed b Reporting P	y More than One erson
(City)	(State)	(Zip)								
Table I - Non-Derivative Securities Beneficially Owned										
1. Title of Security (Instr. 4)					2. Amount of Securities Beneficially Owned (Instr. 4)				4. Nature of Indirect Beneficial Ownership (Instr. 5)	
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 Securities Underlying Derivative Security (Ins			4. Conversion or Exercia	se Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
			Date Exercisable	Expiration Date	n Title		Amount or Number of Shares	Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	
Performance A	Award		(1)	12/31/2023	3	Common Stock	35,000	(1)	D	
Stock Options			(2)	12/02/2029)	Common Stock	100,000	24.35	D	

Explanation of Responses:

1. Represents performance awards granted on 12/2/2019, 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.

2. Stock Options granted on 12/2/2019 pursuant to the Carriage Services, Inc. 2017 Omnibus Plan will vest 1/5 each year on 12/2/2020, 12/2/2021, 12/2/2022, 12/2/2013, and 12/2/2024. The options expire on 12/2/2029.

Remarks:

<u>/s/ William Goetz</u>

<u>12/10/2019</u>

** 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.