### Edgar Filing: CARRIAGE SERVICES INC - Form 3

#### CARRIAGE SERVICES INC

Form 3 May 29, 2015

### FORM 3

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

OMB APPROVAL

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INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

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

Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement CARRIAGE SERVICES INC [CSV] A Brink Carl Benjamin (Month/Day/Year) 05/21/2015 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 28634 PLEASANT FOREST (Check all applicable) **DRIVE** (Street) 6. Individual or Joint/Group 10% Owner Director \_X\_\_ Officer Other Filing(Check Applicable Line) (give title below) (specify below) \_X\_ Form filed by One Reporting Principal Financial Officer Person KATY, TXÂ 77494 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 4. Nature of Indirect Beneficial 1. Title of Security 2. Amount of Securities Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 5) (Instr. 4) Form: Direct (D) or Indirect (I) (Instr. 5) Â Common Stock 3,799 D Reminder: Report on a separate line for each class of securities beneficially SEC 1473 (7-02) 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

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

currently valid OMB control number.

1. Title of Derivative Security 2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security	4. Conversion or Exercise Price of	5. Ownership Form of	6. Nature of Indirect Beneficial Ownership (Instr. 5)
		(Instr. 4)	Derivative	Derivative Security:	
		Title	Security	Direct (D)	

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	Date Exercisable	Expiration Date		Amount or Number of Shares		or Indirect (I) (Instr. 5)	
Stock Options	(1)	05/22/2018	Common Stock	10,000	\$ 16.73	D	Â
Stock Options	(2)	02/25/2019	Common Stock	12,000	\$ 20.26	D	Â
Stock Options	(3)	02/24/2022	Common	22,000	\$ 22.58	D	Â

### **Reporting Owners**

Reporting Owner Name / Address	Relationships				
<b>F-</b>	Director	10% Owner	Officer	Other	
Brink Carl Benjamin 28634 PLEASANT FOREST DRIVE KATY, TX 77494	Â	Â	Principal Financial Officer	Â	

### **Signatures**

/s/ Carl B. Brink 05/29/2015

\*\*Signature of Reporting Person Date

## **Explanation of Responses:**

- \* 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).
- Stock Option Grant pursuant to the Carriage Services, Inc. Amended and Restated 2006 Long-Term Incentive Plan of 15,000 options on (1) 5/22/2013, of which 5,000 options vested on 5/22/2014 and were exercised on 3/26/2015, 5,000 options vested and became exercisable on 5/22/2015 and 5,000 options that vest on 5/22/2016. The options expire on 5/22/2018.
- Stock Option Grant pursuant to the Carriage Services, Inc. Amended and Restated 2006 Long-Term Incentive Plan of 18,000 options on 02/25/2014, of which 6,000 options vested on 02/25/2015 and were exercised on 3/26/2015, 6,000 options vest on 02/25/2016 and 6,000 options that vest on 02/25/2017. The options expire on 02/25/2019.
- (3) Stock Option grant pursuant to the Carriage Services, Inc. Amended and Restated 2006 Long-Term Incentive Plan which vest 1/3 on 2/24/2016, 1/3 on 2/24/2017 and 1/3 on 2/25/2018. These stock options expire on 02/24/2022.

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.

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