Bernstein David Form 4 January 16, 2019

### FORM 4

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

Check this box if no longer subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

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obligations

may continue.

See Instruction

(Print or Type Responses)

1. Name and Address of Reporting Person \* Bernstein David

2. Issuer Name and Ticker or Trading Symbol

CARNIVAL CORP [CCL]

(Last) (First) (Middle)

3. Date of Earliest Transaction

(Month/Day/Year)

CARNIVAL CORPORATION, 3655 01/14/2019 NW 87TH AVE

(Street)

4. If Amendment, Date Original

Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to

Issuer

(Check all applicable)

**OMB APPROVAL** 

Estimated average

burden hours per

3235-0287

January 31,

2005

0.5

**OMB** 

Number:

Expires:

response...

Director 10% Owner X\_ Officer (give title \_\_ Other (specify below)

CFO & CAO

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

**MIAMI, FL 33178** 

(City)	(State) (	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned									
1.Title of Security	2. Transaction Date (Month/Day/Year)	3.	4. Securities Acquired			5. Amount of Securities	6. Ownership Form: Direct	7. Nature of Indirect			
(Instr. 3)	(Wolldin Day/ Tear)	Execution Date, if any	Code				Beneficially	(D) or	Beneficial		
		(Month/Day/Year)	(Instr. 8)				Owned Following	Indirect (I) (Instr. 4)	Ownership (Instr. 4)		
				(A) or		Reported Transaction(s)					
			Code V	Amount	(D)	Price	(Instr. 3 and 4)				
Common Stock	01/14/2019		A(1)	11,977 (2)	A	\$0	50,393.142	D			
Common Stock	01/14/2019		F	4,713 (3)	D	\$ 52.2	45,680.142 (4)	D			

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Edgar Filing: Bernstein David - Form 4

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

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onNumber	Expiration D	ate	Amoun	t of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underly	ying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securit	ies	(Instr. 5)	Bene
	Derivative				Securities			(Instr. 3	3 and 4)		Own
	Security				Acquired						Follo
	•				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A manuat		
									Amount		
						Date	Expiration		Or Number		
						Exercisable	Date	Title Nu of	Number		
				C + V	(A) (D)						
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Relationships Reporting Owner Name / Address

> Officer Other Director 10% Owner

Bernstein David **CARNIVAL CORPORATION** 3655 NW 87TH AVE **MIAMI, FL 33178** 

CFO & CAO

## **Signatures**

/s/ David 01/16/2019 Bernstein

\*\*Signature of Date Reporting Person

### **Explanation of Responses:**

- 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).
- Grant of restricted stock units ("MTE RSUs") made pursuant to the Carnival Corporation 2011 Stock Plan. Award of RSUs represent a (1) hypothetical interest in Carnival Corporation common stock. The restriction on the MTE RSUs lapse on the second anniversary of the grant date. The MTE RSUs will accumulate dividend equivalents and may only be settled in shares.
- The grant was approved by the Compensation Committee as a total value to be received in the form of MTE RSUs. The Compensation Committee also approved that the number of MTE RSUs were determined by dividing the value by the closing price on date of grant.
- Represents a surrender of shares to satisfy a tax obligation on the vesting of the MTE RSUs.
- (4) Includes shares acquired pursuant to the dividend reinvestment feature of the reporting person's brokerage account.

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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