Edgar Filing: CARNIVAL PLC - Form 4

CARNIVAL PLC Form 4 March 24, 2014 FORM 4 Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. <i>See</i> Instruction 1(b).		Washingto DF CHANGES I SECU Section 16(a) of	on, D.C. 2 N BENE URITIES the Secu folding Co	20549 EFICIAL (S rities Exch ompany A	DWN nange ct of	ERSHIP Act of 193 1935 or Se	OF E b 34,	OMB Jumber: Expires: Estimated	d average ours per	0287
1. Name and Address		2 Issuer Name (and Ticker	or Trading		5. Relationsh	in of Re	porting P	erson(s) to	
ARISON MICKY		2. Issuer Name a Symbol CARNIVAL P				Issuer	-			
(Last) (F	irst) (Middle)	3. Date of Earliest	t Transactio	-				ll applica		
C/O CARNIVAL CORPORATION AVE	(Month/Day/Year 03/20/2014	X Officer (give below)				(give title	X10% Owner ve titleOther (specify below) rman of the Board			
(Street) 4. If Amendment, Filed(Month/Day/Y MIAMI, FL 33178			Year) Applicable Line) _X_ Form filed b Form filed b				ne) d by One	r Joint/Group Filing(Check by One Reporting Person y More than One Reporting		
	tate) (Zip)	Table I - Nor	n-Derivati	ve Securities		Person	ed of, or	·Renefic	ially Owned	
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed	3.		s Acq f (D)	uired (A) or		unt of ies cially ing ed ction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Trust Shares(Beneficial Interest in Special Voting Share) (1)	03/20/2014		S	3,297 <u>(2)</u>	D	\$ 40.0378 (3)	535,09	96	I	By Nickel 97-07 Trust
Trust Shares(Beneficial Interest in Special Voting Share) (1)	03/20/2014		S	17,774 (2)	D	\$ 40.0378 (4)	98,62	1,069	I	By MA 1994 B Shares, L.P.
Trust Shares(Beneficial	03/20/2014		S	9,548 <u>(2)</u>	D	\$ 40.0378	4,584,	008	I	By Nickel 2003

Voting Share) (1)								Trust
Trust Shares(Beneficial Interest in Special Voting Share) (1)	03/21/2014	S	69,610 (2)	D	\$ 40.1818 (6)	465,486	I	By Nickel 97-07 Trust
Trust Shares(Beneficial Interest in Special Voting Share) (1)	03/21/2014	S	375,255 (2)	D	\$ 40.1818 (7)	98,245,814	I	By MA 1994 B Shares, L.P.
Trust Shares(Beneficial Interest in Special Voting Share) (1)	03/21/2014	S	201,593 (2)	D	\$ 40.1818 (8)	4,382,415	I	By Nickel 2003 Revocable Trust
Trust Shares(Beneficial Interest in Special Voting Share) (1)						1,954,324	I	By various trusts (9)

Reminder: Report on a separate line for each class of securities beneficially 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 currently valid OMB control number.

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

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactio Code (Instr. 8)	of Derivative Securities Acquired	3	ate	Unde Secur	unt of rlying	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Owne Follo Bana
					(A) or Disposed						Repo Trans
					of (D)						(Instr
					(Instr. 3, 4, and 5)						
						-			Amount or		
						Date Exercisable	Expiration Date	Title	Number of		
				Code V	(A) (D)				Shares		

Reporting Owners

Reporting Owner Name / Address	Relationships							
	Director	10% Owner	Officer	Other				
	Х	Х	Chairman of the Board					

ARISON MICKY MEIR C/O CARNIVAL CORPORATION 3655 NW 87TH AVE MIAMI, FL 33178

Signatures

/s/ John J. O'Neil, attorney-in-fact

03/23/2014

**Signature of Reporting Person

Date

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).

Represents trust shares (the "Trust Shares") of beneficial interests in P&O Princess Voting Trust (the "Trust"). In connection with the dual listed company transaction between Carnival plc (fka P&O Princess Cruises plc) and Carnival Corporation (the "DLC Transaction"), Carnival plc issued one special voting share to the Trust and, following a series of transactions, the Trust Shares were distributed to

- (1) holders of common stock of Carnival Corporation (the "Carnival Corporation Common Stock"). Since completion of the DLC transaction on April 17, 2003, if Carnival Corporation issues Carnival Corporation Common Stock to a person, the Trust will issue an equivalent number of Trust Shares to such person. The Trust Shares are paired with shares of Carnival Corporation Common Stock and are represented by the same stock certificate. The Trust Shares represent a beneficial interest in the Carnival plc special voting share.
- (2) These shares were sold pursuant to a Rule 10b5-1(c) sales plan dated February 28, 2014, relating to the sale of up to 5,000,000 shares of Carnival Corporation Common Stock.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.07. The price reported above reflects the weighted(3) average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.07. The price reported above reflects the weighted
 (4) average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.07. The price reported above reflects the weighted
 (5) average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.35. The price reported above reflects the weighted (6) average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.35. The price reported above reflects the weighted
 average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.35. The price reported above reflects the weighted
 (8) average purchase prices on the dates indicated. The reporting person hereby undertakes to provide upon request to the SEC staff, the issuer or a security holder of the issuer full information regarding the number of shares and prices at which the transactions were effected.

Includes (i) 442,307 shares of Carnival Corporation Common Stock held by the Nickel 2009 GRAT; (ii) 756,008 shares of Carnival

(9) Corporation Common Stock held by the NA 2008 Trust; and (iii) 756,009 shares of Carnival Corporation Common Stock held by the KA 2008 Trust. The Reporting Person disclaims beneficial ownership of the shares of Carnival Corporation Common Stock held by the NA 2008 Trust and the KA 2008 Trust.

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.