SEC Form 4

FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Instruction 1(b).				ant to Section 16(a) of the Securities Exchange Act of 19					
	. /			ection 30(h) of the Investment Company Act of 1940	-				
1. Name and Address of Reporting Person [*] Deeble Helen				suer Name and Ticker or Trading Symbol <u>RNIVAL CORP</u> [CCL]		all applicab Director	ile)	erson(s) to Issuer	
		(Middle) ATION		ate of Earliest Transaction (Month/Day/Year) 09/2020		Officer (gi below)	ve title	Other (specify below)	ity
3655 N.W. 8	37TH AVENUE		4. If	Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line)	vidual or Joir	loint/Group Filing (Check Ap		licable
(Street)					X	Form filed	l by One Re	porting Person	
MIAMI	FL	33178				Form filed Person	l by More th	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 Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	Code (4. Securities Acquir Disposed Of (D) (Ins 5)				5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	04/09/2020		A ⁽¹⁾		14,090(2)	Α	\$ <mark>0</mark>	22,741	D	
Common Stock	04/09/2020		A ⁽³⁾		2,214 ⁽⁴⁾	Α	\$12.42	24,955	D	

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. Transa Code (8)		5. Number of Derivative (Month/Day/Year) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Deriv	int of rities rlying ative rity (Instr.	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

Explanation of Responses:

1. Issued pursuant to the Carnival Corporation 2020 Stock Plan. The restriction on the shares lapses on the third anniversary of the grant date.

2. The Board of Directors approved a value of \$175,000 to be awarded to the reporting person in the form of restricted shares. The number of shares was determined by dividing this value by the closing price of a share of Carnival Corporation common stock on April 9, 2020, then rounding down to the nearest whole share.

3. The grant, which reflects the reporting person voluntarily deferring their Board of Director retainer and committee fees for April to June 2020 in the form of restricted shares as described in FN4, was approved by the Compensation Committee. The number of shares was determined by dividing the deferred retainer and committees fees by the closing price of a share of Carnival Corporation common stock on April 9, 2020, then rounding down to the nearest whole share.

4. Issued pursuant to the Carnival Corporation 2020 Stock Plan. The restriction on the shares lapses on February 12, 2021.

/s/ Helen Deeble

** Signature of Reporting Person

04/13/2020

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 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).