Edgar Filing: CARNIVAL CORP - Form 4

CADNINIAL CODE

| Form 4 | LCORP | | | | | | | | | | |
|---|---|---|--|----------------------------|------------------|----------------------|---|---|---|--|--|
| September 2 | 22, 2014 | | | | | | | | | | |
| | | | | | | | | OMB AF | PROVAL | | |
| FORM | | TIES AND EXCHANGE COMMISSI ington, D.C. 20549 | | | | OMB Number: | 3235-0287 | | | | |
| Check the check | aar | box T STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP SECURITIES | | | | | | | January 31, | | |
| subject Section Form 4 | 16. or | | | | | | | | 2005 verage rs per 0.5 | | |
| Form 5 obligations may continue. See Instruction 1(b). 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 | | | | | | | | l | | | |
| (Print or Type | Responses) | | | | | | | | | | |
| 1. Name and Address of Reporting Person <u>*</u> MA 1994 B SHARES LP | | | 2. Issuer Name and Ticker or Trading Symbol CARNIVAL CORP [CCL] | | | | 5. Relationship of Reporting Person(s) to Issuer | | | | |
| (Last) | (Last) (First) (Middle) 3. Dat | | | te of Earliest Transaction | | | | (Check all applicable) | | | |
| 1201 NORTH MARKET ST (Street) | | | (Month/Day/Year) 09/18/2014 | | | | Director 10% Owner Officer (give titleX Other (specify below) below) See remarks | | | | |
| | | | Filed(Month/Day/Year) | | | | 6. Individual or Joint/Group Filing(Check Applicable Line) | | | | |
| WILMING | TON, DE 19899- | 1347 | | | | | _X_ Form filed by O Form filed by M Person | | | | |
| (City) | (State) | (Zip) T | able I - Non- | Derivative | Secu | rities Acau | uired, Disposed of, | or Beneficial | lv Owned | | |
| 1.Title of Security (Instr. 3) | 2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Dat any (Month/Day/Y | | 3.4. Securities Acquired (Aate, ifTransactionor Disposed of (D)Code(Instr. 3, 4 and 5) | | | | 5. Amount of Securities Beneficially Owned Following | 6. Ownership Form: Direct (D) or Indirect | 7. Nature of Indirect Beneficial Ownership (Instr. 4) | | |
| | | | Code V | Amount | (A) or (D) | Price | Reported Transaction(s) (Instr. 3 and 4) | (I) (Instr. 4) | | | |
| Common Stock | 09/18/2014 | | S | 94,338 (1) | D | \$ 40.0607 (2) | 95,765,444 | D | | | |
| Common Stock | 09/19/2014 | | S | 28,999 (1) | D | \$ 40.75 (3) | ¹ 95,736,445 | D | | | |

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

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 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. Transacti Code (Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | ate | Secur | int of rlying | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Owne Follo Repo Trans (Instr |
|---|---|---|---|---------------------------------------|---|---------------------|--------------------|-------|--|---|---|
| | | | | Code V | (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | |

S

Reporting Owners

| Relationships | | | | | | |
|---------------|-----------|---------|--|--|--|--|
| Director | 10% Owner | Officer | Other | | | |
| | | | See remark | | | |
| | | | | | | |
| 09/2 | 2/2014 | | | | | |
| Ι | Date | | | | | |
| | 09/2 | | Director 10% Owner Officer 09/22/2014 | | | |

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).
- (1) 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.

(2) The transaction was executed in multiple trades at prices ranging from \$40.03 to \$40.11. 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 \$40.43 to \$41.14. 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

Remarks:

(3)

The reporting person may be deemed a member of a Section 13(d) group that owns more than 10% of the issuer's outstanding Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

effected.

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