Freedman Larry R. Form 4 April 17, 2013

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB APPROVAL** 

OMB 3235-0287 Number:

January 31, Expires: 2005

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Check this box if no longer subject to Section 16. Form 4 or Form 5

**SECURITIES** 

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

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* Freedman Larry R.

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

CARNIVAL PLC [CUK]

(Check all applicable)

(Last)

(First)

(Middle)

(Zin

3. Date of Earliest Transaction

(Month/Day/Year)

Director 10% Owner \_X\_\_ Officer (give title \_\_X\_\_ Other (specify

CARNIVAL CORPORATION, 3655 04/15/2013

(Street)

(State)

below) below) Chief Accounting Officer / VP & Controller

NW 87TH AVE

4. If Amendment, Date Original

6. Individual or Joint/Group Filing(Check

Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

Person

**MIAMI, FL 33178** 

(City)

(City)	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned							
1.Title of Security	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if	3. Transaction		ties Acquired sposed of (D)	5. Amount of Securities	6. Ownership	7. Nature of Indirect
(Instr. 3)	, ,	any (Month/Day/Year)	Code (Instr. 8)	(Instr. 3,	* '	Beneficially Owned Following Reported	Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)
Trust Shares			Code V	Amount	or (D) Price	Transaction(s) (Instr. 3 and 4)		

(beneficial

Interest In 1,209 04/15/2013 Α \$0  $26,532 \stackrel{(3)}{=}$ D (2) Special

Voting Share) (1)

**Trust Shares** (beneficial

Interest In F 348 (4) D 04/15/2013 D 26,184 33 17 Special

Voting Share) (1)

## Edgar Filing: Freedman Larry R. - Form 4

Trust Shares (beneficial

Interest In Special O4/15/2013 F O4/15/2013 F

Voting Share) (1)

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.

SEC 1474

(9-02)

8. Price of

Derivative

Security

(Instr. 5)

9. Nu

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(Insti

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

1. Title of 3. Transaction Date 3A. Deemed 5. 6. Date Exercisable and 7. Title and Derivative Conversion (Month/Day/Year) Execution Date, if TransactionNumber **Expiration Date** Amount of Security or Exercise Code of (Month/Day/Year) Underlying (Instr. 3) Price of Securities (Month/Day/Year) (Instr. 8) Derivative Derivative (Instr. 3 and 4) Securities Security Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)

**Reporting Owners** 

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Freedman Larry R. CARNIVAL CORPORATION 3655 NW 87TH AVE MIAMI, FL 33178

Chief Accounting Officer VP & Controller

**Signatures** 

/s/ Larry R Freedman 04/17/2013

\*\*Signature of Date Reporting Person

Reporting Owners 2

## **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.
  - On April 11, 2012, the reporting person was granted 2,016 performance-based restricted stock units ("Performance RSUs"). The Reporting Person may earn from 0-200% of his target amount of Performance RSUs depending on the extent of Carnival Corporation & plc's earnings per share growth over the three-year performance period ending with fiscal 2014, subject to his continued employment
- during the performance period). Because the Reporting Person is now eligible for retirement due to his age, 1,209 Performance RSU's vested on April 15, 2013.
- (3) Represents settlement of dividend equivalents accumulated during the restricted period of a restricted stock unit award which has now vested.
- (4) Represents a surrender of shares to satisfy the tax obligation on the vesting of the Performance RSUs.
- (5) Represents a surrender of shares to satisfy the tax obligation on the vesting of restricted stock released on April 15, 2013 as a result of the Reporting Person becoming eligible for retirement due to his age.

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.