**CARNIVAL PLC** Form 4

January 14, 2015

# 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 Form 5

obligations may continue.

See Instruction

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

(Print or Type Responses)

1(b).

1. Name and Address of Reporting Person \* **BUCKELEW ALAN** 

2. Issuer Name and Ticker or Trading

CARNIVAL PLC [CUK]

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)

CARNIVAL CORPORATION, 3655 01/12/2015 NW 87TH AVE

> (Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

Symbol

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

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Number:

Expires:

response...

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

Chief Operations Officer 6. Individual or Joint/Group Filing(Check

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

Form filed by More than One Reporting

**MIAMI, FL 33178** 

Special

| WIII WIII, I L 33170 |  |                                      |   |   |   |       | Person      |   |  |   |  |  |
|----------------------|--|--------------------------------------|---|---|---|-------|-------------|---|--|---|--|--|
|                      | (City)   | (State) (                            | Zip) Table  | le I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned |   |       |             |   |  |   |  |  |
|                      | 1.Title of<br>Security<br>(Instr. 3)                           | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8)                                       | 4. Securition(A) or Dis<br>(Instr. 3, 4 | posed | of (D)      | 5. Amount of<br>Securities<br>Beneficially<br>Owned Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |  |
|                      | Trust Shares (beneficial Interest In Special Voting Share) (1) | 01/12/2015                           |   | A(2)  | 21,602<br>( <u>3)</u>                   | A     | \$ 0        | 118,727.1469  | D  |   |  |  |
|                      | Trust<br>Shares<br>(beneficial<br>Interest In                  | 01/12/2015                           |   | F   | 7,417<br>(4)                            | D     | \$<br>46.29 | 111,310.1469<br>(5)   | D  |   |  |  |

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 **SEC 1474** information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(9-02)

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

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D) | 5                   | ate                | 7. Title a<br>Amount<br>Underlyi<br>Securitie<br>(Instr. 3 | int of<br>rlying                       | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo<br>Trans<br>(Instr |
|---|---|---|---|--|---------------------|--------------------|--|--|---|---|
|   |   |   | Code V                                  | (Instr. 3, 4, and 5)  (A) (D)                          | Date<br>Exercisable | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of<br>Shares |   |   |

#### **Reporting Owners**

Relationships Reporting Owner Name / Address

> Director 10% Owner Officer Other

**BUCKELEW ALAN** CARNIVAL CORPORATION 3655 NW 87TH AVE **MIAMI, FL 33178** 

**Chief Operations Officer** 

## **Signatures**

/s/ Alan 01/14/2015 Buckelew

\*\*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).
- (1) 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 holders of common stock of Carnival Corporation (the "Carnival Corporation Common Stock"). Since completion of the DLC

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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) Grant of restricted stock made pursuant to the Carnival Corporation 2011 Stock Plan. The restriction on the shares lapse on the third anniversary of the grant date.
- (3) The grant was approved by the Compensation Committee as a total value to be received in the form of restricted shares. The Compensation Committee also approved that the number of shares was to be determined by taking the closing price on the grant date.
- (4) Represents a surrender of shares to satisfy tax obligation on the vesting of the Restricted Stock Award.
- (5) 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.