SEC Form 4

FORM 4

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

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1	ddress of Reporting		2. Issuer Name and Ticker or Trading Symbol CARNIVAL PLC [CUK]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)					
ARISON MICKY MEIR		<u>N</u>		X Director X 10% Owner					
(Last)	(First) (Middle)		3. Date of Earliest Transaction (Month/Day/Year)	X Officer (give title Other (specify below)					
C/O CARNIVAL CORPORATION			11/30/2020	Chairman of the Board					
3655 NW 87	TH AVE								
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
MIAMI	FL	33178		X Form filed by One Reporting Person					
				Form filed by More than One Reporting Person					
(City)	(State)	(Zip)							

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

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1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)					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)
Trust Shares (Beneficial Interest in Special Voting Share) ⁽¹⁾	11/30/2020		s		4,128,761	D	(2)	81,607,684	I	By MA 1994 B Shares, L.P.
Trust Shares (Beneficial Interest in Special Voting Share) ⁽¹⁾	11/30/2020		s		871,239	D	(3)	80,736,445	I	By MA 1994 B Shares, L.P.
Trust Shares (Beneficial Interest in Special Voting Share) ⁽¹⁾								4,934,166	I ⁽⁴⁾	By various trusts.

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

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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 Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (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. 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 transaction on April 17, 2003, if Carnival Corporation issues Carnival Corporation Common Stock" between to a 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. Represents sales of shares of Common Stock of Carnival Corporation, paired with the Trust Shares. No separate consideration was received in respect of the Trust Shares. The transaction was executed in multiple trades at prices ranging from \$20.16 to \$20.92, for a weighted average price of \$20.3697. 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.

3. Represents sales of shares of Common Stock of Carnival Corporation, paired with the Trust Shares. No separate consideration was received in respect of the Trust Shares. The transaction was executed in multiple trades at prices ranging from \$21.25 to \$21.91, for a weighted average price of \$21.5882. 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.

4. Includes Trust Shares paired with (i) 3,251,154 with shares of Carnival Corporation Common Stock held by the Nickel 2003 Revocable Trust, (ii) 841,506 shares of Carnival Corporation Common Stock held by the NA 2015-08 Trust. The Reporting Person disclaims beneficial ownership of the shares of Carnival Corporation Common Stock held by the KA 2015-08 Trust. The Reporting Person disclaims beneficial ownership of the shares of Carnival Corporation Common Stock and the paired Trust Shares held by the NA 2015-08 Trust and the KA 2015-08 Trust.

Remarks:

Exhibit 24.1 Power of Attorney

<u>/s/ Richard L. Kohan,</u> <u>attorney-in-fact</u>

12/01/2020

** Signature of Reporting Person 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.

POWER OF ATTORNEY

Know all by these presents, that each of the undersigned parties hereby constitutes and appoints Richard L. Kohan, signing singly, such party's true and lawful attorney-in-fact to:

- 1) execute for and on behalf of such party, all documents relating to the reporting of beneficial ownership of securities required to be filed with the United States Securities and Exchange Commission (the "SEC") pursuant to Section 13(d) or Section 16(a) of the Securities Exchange Act of 1934 and the rules thereunder (the "Exchange Act"), including, without limitation, Schedule 13D, Form 13H and Form 3, Form 4 and Form 5 and successive forms thereto;
- 2) do and perform any and all acts for and on behalf of such party that may be necessary or desirable to complete and execute any such documents, complete and execute any amendment or amendments thereto, and timely file such documents with the SEC and any stock exchange, automated quotation system or similar authority; and
- 3) take any other action of any type whatsoever in furtherance of the foregoing which, in the opinion of such attorney-in-fact, may be of benefit to, in the best interest of, or legally required by, such party, it being understood that the documents executed by such attorney-in-fact on behalf of such party pursuant to this Power of Attorney shall be in such form and shall contain such terms and conditions as such attorney-in-fact may approve in such attorney-in-fact's discretion.

Such party hereby grants to such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever requisite, necessary, or proper to be done in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as such party might or could do if personally present, with full power of substitution or revocation, hereby ratifying and confirming all that such attorney-in-fact, or such attorney-in-fact's substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted. The undersigned acknowledges that the foregoing attorney-in-fact, in serving in such capacity at the request of such party is not assuming, nor is Carnival Corporation or Carnival plc assuming, any of the undersigned's responsibilities to comply with the Exchange Act.

This Power of Attorney shall remain in full force and effect until such party is no longer required to file such documents with respect to such party's holdings of and transactions in securities issued by Carnival Corporation or Carnival plc, unless earlier revoked by such party in a signed writing delivered to the foregoing attorneys-in-fact.

[Remainder of page left intentionally blank. Signatures follow.]

IN WITNESS WHEREOF, the undersigned have caused this Power of Attorney to be executed as of this <u>10th</u> day of November, 2020.

MA 1994 B SHARES, L.P.

- By: MA 1994 B SHARES, Inc., General Partner
 - By: Richard L. Kohan, Executive Vice President

/s/ Richard L. Kohan

MA 1994 B SHARES, INC.

By: Richard L. Kohan, Executive Vice President

/s/ Richard L. Kohan

<u>/s/ Micky Arison</u> MICKY ARISON

JMD DELAWARE, LLC

By: James M. Dubin, President

/s/ James M. Dubin

<u>/s/ James M. Dubin</u> JAMES M. DUBIN

ARTSFARE 2005 TRUST NO. 2

By: SUNTRUST DELAWARE TRUST COMPANY, as Trustee

By: /s/ Steven L. Tinkler

SUNTRUST DELAWARE TRUST COMPANY

By:

/s/ Steven L. Tinkler

VERUS PROTECTOR, LLC

By: Richard L. Kohan, President

/s/ Richard L. Kohan

NICKEL 2015-94 B TRUST

By: NORTHERN TRUST DELAWARE COMPANY, as Administrative Trustee

By: Alexis Borrelli, Vice President

/s/ Alexis Borrelli