SEC Form 4

FORM 4

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

OMB APPROVAL

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP	OMB Number:	3235-0287	
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	hours per response:	0.5	

us bligations may continue. See Instruction 1(b).	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934	hours per response: 0.5			
	or Section 30(h) of the Investment Company Act of 1940				
1. Name and Address of Reporting Person [*] Gearhart Jeffrey J	2. Issuer Name and Ticker or Trading Symbol CARNIVAL CORP [CCL]	5. Relationship of F (Check all applicab X Director	Reporting Person(s) to Issuer le) 10% Owner		
		Officer (gi			
(Last) (First) (Middle) C/O CARNIVAL CORPORATION	3. Date of Earliest Transaction (Month/Day/Year) 04/20/2021	below)	below)		
3655 N.W. 87TH AVENUE	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joir	nt/Group Filing (Check Applicable		
		Line)			
(Street)		X Form filed	Form filed by One Reporting Person		
MIAMI FL 33178		Form filed Person	l by More than 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 Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock	04/20/2021		A ⁽¹⁾		6,804 ⁽²⁾	Α	\$ <mark>0</mark>	21,313	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		6. Date Exercisable and Expiration Date (Month/Day/Year)		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)	Ownership Form:	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 20, 2021, then rounding down to the nearest whole share.

/s/ Jeffrey J. Gearhart

** Signature of Reporting Person Date

04/22/2021

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.