

BROWN FORMAN CORP

Form 4

March 31, 2016

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
1(b).

**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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Holland Augusta Brown

2. Issuer Name **and** Ticker or Trading
Symbol
BROWN FORMAN CORP [BFA,
BFB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
12/07/2015

☒ Director ☒ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

LOUISVILLE, KY 40210

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ 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

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)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Class A Common	12/08/2015		G	125 A \$ 0	517,105	D	
Class A Common	12/08/2015		G	125 A \$ 0	2,375	I	By Spouse
Class A Common	12/07/2015		G	886 D \$ 0	0	I	JT WROS
Class B Common	12/07/2015		G	222 D \$ 0	0	I	JT WROS
Class A Common	12/09/2015		G	13,626 A \$ 0	30,472	I	OB3 GST Exempt Trust (1)

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Class A Common	12/09/2015	G	5,358	A	\$ 0	5,358	I	OB3 GST Non-Exempt Trust
Class A Common	12/10/2015	G	792	A	\$ 0	126,881	I	Trust fbo Barzun Children
Class A Common	12/07/2015	G	886	A	\$ 0	115,886	I	Trust fbo Children
Class B Common	12/07/2015	G	222	A	\$ 0	96,196	I	Trust fbo Children
Class A Common	12/08/2015	G	125	A	\$ 0	3,783	I	Trust fbo Child-1
Class A Common	12/08/2015	G	125	A	\$ 0	2,742	I	Trust fbo Child-2
Class A Common	12/08/2015	G	125	A	\$ 0	2,742	I	Trust fbo Child-3
Class A Common						241,142	I	ABH GRAT 2007
Class B Common						56,301	I	ABH GRAT 2007
Class A Common						42,154	I	ABH GRAT 2011
Class A Common						44,301	I	Birdnest 2006 Ltd.
Class B Common						2,356	I	By Spouse
Class A Common						2,290	I	CLB 2012 Trust
Class B Common						45,671	I	CLB 2012 Trust
Class A Common						196,272	I	CLB Grandchildren Eq. Tr.
Class B Common						122,685	I	CLB Grandchildren Eq. Tr.
Class A Common						18	I	Eleanor Lee Trusts
Class B Common						12,895	I	Eleanor Lee Trusts
Class B Common						51,440	I	GST Exempt QTIP Trust

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Class B Common	201,736	I	GST Non-Exempt QTIP Trust
Class B Common	546	I	Hebe Exempt Trust
Class A Common	316,837	I	Hebe Three Limited Partnership
Class B Common	215,284	I	Hebe Three Limited Partnership
Class B Common	959	I	Holland Family Trust
Class B Common	95,485	I	OB3 GST Exempt Trust (1)

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

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(9-02)

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. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Deferred Stock Units	(2)					(3)	(3)	Class A Common	591.64

Reporting Owners

Reporting Owner Name / Address Relationships

Reporting Owners

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Director 10% Owner Officer Other

Holland Augusta Brown
850 DIXIE HIGHWAY
LOUISVILLE, KY 40210

X X

Signatures

Kelly A. Bowen, Attorney in Fact for Augusta Brown
Holland

03/31/2016

__Signature of Reporting Person

Date

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) Formerly known as Trust fbo Owsley Brown III.

Under the Brown-Forman Non-Employee Director Deferred Stock Unit Program each DSU represents the right to receive one share of
- (2) the Company's Class A common stock. Grants made on July 23, 2015, were based on the closing price of the Company's Class A common stock on that date (\$111.30). On each dividend payment date, participants are credited with DSU equivalents.
- (3) Annual grants of DSUs vest over the course of the Board year. DSUs are paid out in Class A common stock on the first February 1 that is at least six months following the Director's termination from Board service.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.
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