

BROWN FORMAN CORP

Form 4

August 01, 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 *
Farrar Marshall

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)
07/28/2016

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

LOUISVILLE, KY 40210

(City) (State) (Zip)

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

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 Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Class A Common					315	D	
Class B Common					116	D	
Class A Common					2,379	I	Albrecht Trust
Class A Common					1,758	I	Garvin Brown II Trust

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 Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Appreciation Right ⁽¹⁾	\$ 98.01	07/28/2016		A		1,292		05/01/2019	04/30/2026	Class B Common	1,292
Restricted Stock Units	⁽²⁾							05/01/2017	⁽²⁾	Class B Common	296
Restricted Stock Units	⁽³⁾							05/01/2018	⁽³⁾	Class B Common	381
Stock Appreciation Right	\$ 33.76							07/26/2007	04/30/2017	Class B Common	2,110
Stock Appreciation Right	\$ 35.51							07/24/2008	04/30/2018	Class B Common	2,420
Stock Appreciation Right	\$ 27.05							07/23/2009	04/30/2019	Class B Common	2,370
Stock Appreciation Right	\$ 38.43							07/22/2010	04/30/2020	Class B Common	3,540
Stock Appreciation Right	\$ 46.4							07/28/2011	04/30/2021	Class B Common	1,530
Stock Appreciation Right	\$ 58.7							07/26/2012	04/30/2022	Class B Common	2,320
	\$ 102.25							07/23/2015	04/30/2025		1,890

Stock
Appreciation
Right

Class B
Common

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Farrer Marshall 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	X

Signatures

Michael E. Carr, Jr., Attorney in Fact for Marshall B.
Farrer

08/01/2016

__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) No money was paid to or received by the reporting person for these SSARs.
- (2) The restricted stock units vest May 1, 2017.
- (3) The restricted stock units vest May 1, 2018.

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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