

BROWN FORMAN CORP

Form 4

December 27, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Barzun Brooke 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)

3. Date of Earliest Transaction
(Month/Day/Year)
12/22/2016

____ Director ____X____ 10% Owner
____ Officer (give title below) ____ Other (specify below)

850 DIXIE HIGHWAY

(Street)

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

LOUISVILLE, KY 40210

(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)
				(A) or (D)			
			Code	V	Amount		Price
Class A Common					36 ⁽¹⁾	I	Eleanor Lee Trusts
Class B Common					25,790 ⁽²⁾	I	Eleanor Lee Trusts
Class A Common					300,000 ⁽³⁾	I	Hackberry 2010 LLC
Class B Common					1,092 ⁽⁴⁾	I	Hebe Exempt Trust
Class B Common					430,568 ⁽⁵⁾	I	Hebe Three Limited

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				Partnership
Class A Common	633,674 ⁽⁶⁾	I		Hebe Three Limited Partnership
Class A Common	1,770 ⁽⁷⁾	I		OB2 Marital Trust
Class B Common	404,678 ⁽⁸⁾	I		OB2 Marital Trust
Class A Common	24 ⁽⁹⁾	I		OB2 Reverse QTIP Trust
Class B Common	102,896 ⁽¹⁰⁾	I		OB2 Reverse QTIP Trust
Class B Common	190,970 ⁽¹¹⁾	I		OB3 GST Exempt Trust
Class A Common	6,660,230 ⁽¹²⁾	I		Olympus Three LLC
Class B Common	13,407,282 ⁽¹³⁾	I		Olympus Three LLC
Class A Common	40,878 ⁽¹⁴⁾	I		Trust fbo Brooke Barzun
Class B Common	10,218 ⁽¹⁵⁾	I		Trust fbo Brooke Barzun
Class B Common	990 ⁽¹⁶⁾	I		Trust fbo Child-1
Class B Common	2,898 ⁽¹⁷⁾	I		Trust fbo Child-2
Class B Common	2,898 ⁽¹⁷⁾	I		Trust fbo Child-3
Class B Common	374 ⁽¹⁸⁾	I		UTMA-1
Class B Common	1,124 ⁽¹⁹⁾	I		UTMA-2
Class B Common	1,124 ⁽¹⁹⁾	I		UTMA-3
Class A Common	26,126 ⁽²⁰⁾	I		Woodford Partners Kentucky,

LLC

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)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Barzun Brooke Brown 850 DIXIE HIGHWAY LOUISVILLE, KY 40210		X		

Signatures

Michael E. Carr, Atty in Fact for Brooke Brown
Barzun 12/27/2016

__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) In August 2016, the Class A and Class B common stock of Brown-Forman Corporation split 2-1, resulting in the reporting person's acquisition of 18 additional shares.
- (2) Reflects the acquisition of 12,895 additional shares in the August 2016 stock split.
- (3) Reflects the acquisition of 150,000 additional shares in the August 2016 stock split.
- (4) Reflects the acquisition of 546 additional shares in the August 2016 stock split.

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- (5) Reflects the acquisition of 215,284 additional shares in the August 2016 stock split.
- (6) Reflects the acquisition of 316,837 additional shares in the August 2016 stock split.
- (7) Reflects the acquisition of 885 additional shares in the August 2016 stock split.
- (8) Reflects the acquisition of 202,339 additional shares in the August 2016 stock split.
- (9) Reflects the acquisition of 12 additional shares in the August 2016 stock split.
- (10) Reflects the acquisition of 51,448 additional shares in the August 2016 stock split.
- (11) Reflects the acquisition of 95,485 additional shares in the August 2016 stock split.
- (12) Reflects the acquisition of 3,330,115 additional shares in the August 2016 stock split.
- (13) Reflects the acquisition of 6,703,641 additional shares in the August 2016 stock split.
- (14) Reflects the acquisition of 20,439 additional shares in the August 2016 stock split.
- (15) Reflects the acquisition of 5,109 additional shares in the August 2016 stock split.
- (16) Reflects the acquisition of 495 additional shares in the August 2016 stock split.
- (17) Reflects the acquisition of 1,449 additional shares in the August 2016 stock split.
- (18) Reflects the acquisition of 187 additional shares in the August 2016 stock split.
- (19) Reflects the acquisition of 562 additional shares in the August 2016 stock split.
- (20) Reflects the acquisition of 13,063 additional shares in the August 2016 stock split.

Remarks:

2nd of 2 Forms

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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