

Holland Augusta Brown
Form 5
June 14, 2018

FORM 5

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).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

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

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

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

3. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
04/30/2018

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				(A) or Amount (D) Price			
Class A Common	10/20/2017	Â	G	1,577 D \$ 0	1,016,124	D	Â
Class A Common	12/28/2017	Â	G	211 A \$ 0	1,016,335	D	Â
Class A Common	12/28/2017	Â	G	211 A \$ 0	5,244	I	By Spouse
Class A Common	12/28/2017	Â	G	211 A \$ 0	8,060	I	Trust fbo Child-1

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Class A Common	12/28/2017	Â	G	211	A	\$ 0	5,978	I	Trust fbo Child-2
Class A Common	12/28/2017	Â	G	211	A	\$ 0	5,978	I	Trust fbo Child-3
Class A Common	Â	Â	Â	Â	Â	Â	482,284	I	ABH GRAT 2007
Class A Common	Â	Â	Â	Â	Â	Â	84,308	I	ABH GRAT 2011
Class A Common	Â	Â	Â	Â	Â	Â	41,374	I	CLB Trust fbo Child-1
Class A Common	Â	Â	Â	Â	Â	Â	43,456	I	CLB Trust fbo Child-2
Class A Common	Â	Â	Â	Â	Â	Â	43,456	I	CLB Trust fbo Child-3
Class A Common	Â	Â	Â	Â	Â	Â	40,878	I	Trust fbo Augusta Holland
Class B Common	Â	Â	Â	Â	Â	Â	418,059 ⁽¹⁾	D	Â
Class B Common	Â	Â	Â	Â	Â	Â	245,916 ⁽²⁾	I	ABH GRAT 2007
Class B Common	Â	Â	Â	Â	Â	Â	76,402 ⁽³⁾	I	ABH GRAT 2011
Class B Common	Â	Â	Â	Â	Â	Â	7,201 ⁽⁴⁾	I	By Spouse
Class B Common	Â	Â	Â	Â	Â	Â	38,678 ⁽⁵⁾	I	CLB Trust fbo Child-1
Class B Common	Â	Â	Â	Â	Â	Â	41,474 ⁽⁶⁾	I	CLB Trust fbo Child-2
Class B Common	Â	Â	Â	Â	Â	Â	41,474 ⁽⁶⁾	I	CLB Trust fbo Child-3
Class B Common	Â	Â	Â	Â	Â	Â	1,365 ⁽⁷⁾	I	Hebe Exempt

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									Trust fbo ABH ⁽⁸⁾
Class B Common	Â	Â	Â	Â	Â	Â	2,412 ⁽⁹⁾	I	Holland Family Trust
Class B Common	Â	Â	Â	Â	Â	Â	4,290 ⁽¹⁰⁾	I	Trust fbo Child-1
Class B Common	Â	Â	Â	Â	Â	Â	1,494 ⁽¹¹⁾	I	Trust fbo Child-2
Class B Common	Â	Â	Â	Â	Â	Â	1,494 ⁽¹¹⁾	I	Trust fbo Child-3
Class B Common	Â	Â	Â	Â	Â	Â	22,991 ⁽¹²⁾	I	Trust fbo Augusta Holland

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. of of D Se B O E Is Fi (I
					(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

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

Signatures

Michael E. Carr, Jr., Attorney in Fact for Augusta Brown
Holland

06/14/2018

__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).
- On February 28, 2018, the issuer completed a stock split resulting in the distribution of one share of Class B common stock for every four shares of either Class A or Class B common stock held. On April 23, 2018, the issuer paid a special cash dividend. Total has been
- (1) updated to reflect the acquisition of 292,941 additional shares in the February 2018 stock split. Total has also been updated to reflect transfers from the ABH 2007 GRAT of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017, and a transfer to the ABH 2011 GRAT of 30,317 shares on May 14, 2018.
- Total has been updated to reflect the acquisition of 145,640 additional shares in the February 2018 stock split. Total has also been
- (2) updated to reflect transfers to the reporting person's direct holdings of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017.
- (3) Total has been updated to reflect the acquisition of 26,078 additional shares in the February 2018 stock split. Total has also been updated to reflect a transfer from the reporting person's direct holdings of 30,317 shares on May 14, 2018.
- (4) Total has been updated to reflect the acquisition of 2,489 additional shares in the February 2018 stock split.
- (5) Total has been updated to reflect the acquisition of 16,010 additional shares in the February 2018 stock split.
- (6) Total has been updated to reflect the acquisition of 16,986 additional shares in the February 2018 stock split.
- (7) Total has been updated to reflect the acquisition of 273 additional shares in the February 2018 stock split.
- (8) Previously reported as the Hebe Exempt Trust.
- (9) Total has been updated to reflect the acquisition of 482 additional shares in the February 2018 stock split.
- (10) Total has been updated to reflect the acquisition of 2,470 additional shares in the February 2018 stock split.
- (11) These shares were acquired in the February 2018 stock split.
- (12) Total has been updated to reflect the acquisition of 12,773 additional shares in the February 2018 stock split.

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