

BROWN FORMAN CORP
Form 4
March 27, 2017

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Brown George Garvin IV

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)
03/23/2017

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		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)
			Code	V	Amount	(A) or (D)			
Class B Common	09/13/2016		G	V	1,200	A	\$ 0 7,390 ⁽¹⁾	I	Crummey Trust
Class A Common	02/13/2017		G	V	3,645	D	\$ 0 112,029 ⁽²⁾	D	
Class A Common	02/13/2017		G	V	3,070	A	\$ 0 18,012 ⁽³⁾	I	Spouse's trust
Class A Common	02/13/2017		G	V	1,150	A	\$ 0 15,842 ⁽⁴⁾	I	Crummey Trust
Class A Common	03/23/2017		J ⁽⁵⁾		3,000,000	D	⁽⁵⁾ 2,160,472 ⁽⁶⁾	I	GGB4 2012 LP

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Class A Common	20,380 ⁽⁷⁾	I	2010 GRAT
Class A Common	208,914 ⁽⁸⁾	I	2012 GRAT
Class A Common	23,240 ⁽⁹⁾	I	GGB IV CLAT
Class A Common	1,059,108 ⁽¹⁰⁾	I	GGB4 2010 #1 LP
Class A Common	992 ⁽¹¹⁾	I	GGB4 2010#2 LLC
Class A Common	95,250 ⁽¹²⁾	I	Sullivan Street Partners
Class B Common	554,445 ⁽¹³⁾	D	
Class B Common	34,836 ⁽¹⁴⁾	I	2010 GRAT
Class B Common	25,959.665 ⁽¹⁵⁾	I	By 401k
Class B Common	0 ⁽¹⁶⁾	I	CBGB LLC
Class B Common	156,600 ⁽¹⁷⁾	I	GGB4 2010#2 LLC
Class B Common	510,337 ⁽¹⁸⁾	I	GGB4 2012 LP
Class B Common	5,946 ⁽¹⁹⁾	I	Spouse's 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	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	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. Nu Deriv Secur Bene Own
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Security

Acquired
(A) or
Disposed
of (D)
(Instr. 3,
4, and 5)

Follo
Repo
Trans
(Instr

Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
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Reporting Owners

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

Signatures

Michael E. Carr, Jr., Attorney in Fact for George Garvin
Brown IV

03/27/2017

__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) Reflects the acquisition of 3,095 additional shares in the August 2016 stock split.
- (2) Reflects the acquisition of 57,837 additional shares in the August 2016 stock split.
- (3) Reflects the acquisition of 7,471 additional shares in the August 2016 stock split.
- (4) Reflects the acquisition of 7,346 additional shares in the August 2016 stock split.
- (5) Reflects contribution of shares to a limited liability company.
- (6) Reflects the acquisition of 2,580,236 additional shares in the August 2016 stock split.
- (7) Reflects the acquisition of 10,190 additional shares in the August 2016 stock split.
- (8) Reflects the acquisition of 104,457 additional shares in the August 2016 stock split.
- (9) Reflects the acquisition of 11,620 additional shares in the August 2016 stock split.
- (10) Reflects the acquisition of 529,554 additional shares in the August 2016 stock split.
- (11) Reflects the acquisition of 496 additional shares in the August 2016 stock split.
- (12) Reflects the acquisition of 47,625 additional shares in the August 2016 stock split.
- (13) Reflects the acquisition of 275,850 additional shares in the August 2016 stock split. In addition, on September 14, 2016, CBGB LLC made a pro rata distribution of 2,746 Class B shares to the reporting person.
- (14) Reflects the acquisition of 17,418 additional shares in the August 2016 stock split.
- (15) Total updated to reflect shares acquired in the August 2016 stock split.
- (16)

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Reflects the acquisition of 2,746 additional shares in the August 2016 stock split. Total also updated to reflect the distribution of all shares on September 14, 2016.

(17) Reflects the acquisition of 78,300 additional shares in the August 2016 stock split.

(18) Reflects the acquisition of 255,168 additional shares in the August 2016 stock split.

(19) Reflects the acquisition of 2,973 additional shares in the August 2016 stock split.

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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