

Brown George Garvin IV
Form 4
April 17, 2012

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 *
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)

3. Date of Earliest Transaction
(Month/Day/Year)
12/22/2006

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

Executive Vice President

850 DIXIE HWY

(Street)

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

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)
			Code	V	Amount	(A) or (D)	Price
Class A Common					120,000 ⁽¹⁾	D	
Class A Common					402,155 ⁽¹⁾	I	GGB4 2012 LLC
Class A Common	04/13/2012		J ⁽³⁾		179,964	D	⁽³⁾ 402,155
Class A Common	04/13/2012		J ⁽³⁾		179,964	A	⁽³⁾ 402,155
Class A Common	04/13/2012		G ⁽⁴⁾		214,148	D	⁽⁴⁾ 402,155

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Class A Common	04/13/2012	<u>G</u> ⁽⁴⁾	214,148	A	<u>(4)</u>	402,155	I	GGB4 2012 LLC
Class A Common						2,642,357	I	CBGB LLC
Class A Common						34,767	I	Trust u/a FBO Geo. Garvin Brown IV
Class A Common						353,036	I	GGB4 2010#1 LLC
Class A Common						71,429	I	GGB4 2010 #2 LLC
Class A Common	12/22/2006	<u>J</u> ⁽⁶⁾	3,419	A	\$ 0	3,419	I	Crumney Trust
Class A Common						1,271	I	By Spouse
Class A Common						14 ⁽⁵⁾	I	By G. Garvin Brown III estate
Class B Common						147,369	D	
Class B Common						19,229 ⁽²⁾	I	GGB4 2012 LLC
Class B Common	04/13/2012	<u>J</u> ⁽³⁾	8,605	D	<u>(3)</u>	19,229	I	GGB4 2012 LLC
Class B Common	04/13/2012	<u>J</u> ⁽³⁾	8,605	A	<u>(3)</u>	19,229	I	GGB4 2012 LLC
Class B Common	04/13/2012	<u>G</u> ⁽⁴⁾	10,239	D	<u>(4)</u>	19,229	I	GGB4 2012 LLC
Class B Common	04/13/2012	<u>G</u> ⁽⁴⁾	10,239	A	<u>(4)</u>	19,229	I	GGB4 2012 LLC
Class B Common						360,589	I	CBGB, LLC
Class B Common						10,792	I	Trust u/a FBO Geo. Garvin Brown IV
Class B Common						52,200 ⁽²⁾	I	GGB4 2010 #2 LLC

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Class B Common	12/22/2006	J ⁽⁶⁾	1,513	A	\$ 0	1,513	I	Crumney Trust
Class B Common						6,838.006	⁽⁷⁾ I	401(k) Plan
Class B Common						1,831	⁽⁵⁾ I	By G. Garvin Brown III estate

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)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 24.7					05/01/2005	04/30/2012	Class B Common	820
Non-Qualified Stock Option (right to buy)	\$ 30.18					05/01/2006	04/30/2013	Class B Common	1,179
Non-Qualified Stock Option (right to buy)	\$ 35.83					05/01/2007	04/30/2014	Class B Common	1,938
Stock Appreciation Right	\$ 45.53					05/01/2008	04/30/2015	Class B Common	670
Stock Appreciation Right	\$ 55.69					05/01/2009	04/30/2016	Class B Common	920

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Stock Appreciation Right	\$ 53.8	05/01/2010	04/30/2017	Class B Common	1,053
Stock Appreciation Right	\$ 56.58	05/01/2011	07/24/2018	Class B Common	967
Stock Appreciation Right	\$ 43.1	05/01/2012	04/30/2019	Class B Common	2,957
Restricted Stock Unit	(8)	(9)	(9)	Class B Common	545
Restricted Stock Unit	(8)	(10)	(10)	Class B Common	2,078

Reporting Owners

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

Signatures

Diane M. Barhorst, Atty. in Fact for George Garvin
Brown IV

04/17/2012

__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) On April 13, 2012, the reporting person contributed 402,155 Class A shares and LLC units representing a 50% interest in CBGB LLC to GGB4 2012 LLC in exchange for a pro rata interest in GGB4 2012 LLC. The reporting person disclaims beneficial ownership of the shares held by GGB4 2012 LLC and by CBGB LLC except to the extent of his pecuniary interest in those LLCs.
- (2) On April 13, 2012, GGB4 2010 #2 LLC contributed 19,229 class B shares GGB4 2012 LLC in exchange for a pro rata interest in GGB4 2012 LLC.
- (3) On April 13, 2012, the undersigned transferred non-voting LLC units representing a 44.75% interest in GGB4 2012 LLC to the GGB4 2012 Irrevocable Trust in exchange for installment payments. The reporting person disclaims beneficial ownership of the shares held by GGB4 2012 LLC except to the extent of his pecuniary interest therein.
- (4) On April 13, 2012, the undersigned contributed non-voting LLC units representing a 44.75% interest in GGB4 2012 LLC to the G. Garvin Brown IV 2012 GRAT, and a 8.5% interest in GGB4 2012 LLC to the G. Garvin Brown IV Charitable Lead Trust.
- (5) The reporting person acquired beneficial ownership of these shares in his capacity as co-executor of his father's estate, but disclaims beneficial ownership of such shares except to the extent of his pecuniary interest therein.
- (6) On December 22, 2006, the reporting person became the trustee of a trust for the benefit of certain immediate family members.
- (7) Number of shares the reporting person has acquired under the Brown-Forman 401(k) plan as of April 13, 2012.
- (8) Each restricted stock unit represents a contingent right to receive one share of Brown-Forman Class B common stock.

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(9) The restricted stock units vest April 30, 2014.

(10) The restricted stock units vest April 30, 2015.

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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