

Brown George Garvin IV
Form 4
May 02, 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)

850 DIXIE HWY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
04/30/2012

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

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

Executive Vice President

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 Indirect Beneficial Ownership (Instr. 4)
Class A Common					120,000	D	
Class A Common					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
					353,036	I	

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Class A Common									GGB4 2010#1 LLC
Class A Common						3,419	I		Crumney Trust
Class A Common						1,271	I		By Spouse
Class A Common						14	I		By G. Garvin Brown III estate
Class B Common	04/30/2012		M	820	A	\$ 24.7	148,189	D	
Class B Common							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	I	GGB4 2010 #2 LLC
Class B Common							1,513	I	Crumney Trust
Class B Common							6,877.973 ⁽¹⁾	I	401(k) Plan
Class B Common							1,831	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	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)						
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 24.7	04/30/2012	M		820		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
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	(2)						(3)	(3)	Class B Common	545
Restricted Stock Unit	(2)						(4)	(4)	Class B Common	2,078

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
	X		Executive Vice President	

Brown George Garvin IV
850 DIXIE HWY
LOUISVILLE, KY 40210

Signatures

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

05/02/2012

__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) Number of shares the reporting person has acquired under the Brown-Forman 401(k) plan as of April 30, 2012.
- (2) Each restricted stock unit represents a contingent right to receive one share of Brown-Forman Class B common stock.
- (3) The restricted stock units vest April 30, 2014.
- (4) 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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