

BROWN FORMAN CORP
Form 4
August 01, 2016

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 *
Holland Augusta 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)
07/28/2016

Director 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)
 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 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 (D) Price			
Class A Common					517,105	D	
Class A Common					12	I	OB2 Reverse QTIP Trust
Class A Common					2,742	I	Trust fbo Child-3
Class A Common					20,687	I	CLB Trust fbo Cora Holland
Class A Common					241,142	I	ABH GRAT 2007

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Class A Common	18	I	Eleanor Lee Trusts
Class B Common	5,109	I	Trust fbo Augusta Holland
Class B Common	12,244	I	CLB Trust fbo Owsley Holland
Class A Common	21,728	I	CLB Trust fbo Lilla Holland
Class B Common	95,485	I	OB3 GST Exempt Trust
Class B Common	202,339	I	OB2 Marital Trust
Class B Common	52,591	D	
Class A Common	885	I	OB2 Martial Trust
Class A Common	316,837	I	Hebe Three Limited Partnership
Class A Common	20,439	I	Trust fbo Augusta Holland
Class B Common	546	I	Hebe Exempt Trust
Class B Common	12,244	I	CLB Trust fbo Lilla Holland
Class B Common	11,334	I	CLB Trust fbo Cora Holland
Class B Common	174,280	I	Trust fbo Barzun Children
Class A Common	115,886	I	Trust fbo Children
Class A Common	21,728	I	CLB Trust fbo Owsley Holland
Class B Common	51,448	I	OB2 Reverse QTIP Trust
Class B Common	910	I	Trust fbo Child-1

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Class A Common	30,472	I	OB3 GST Exempt Trust
Class A Common	3,330,115	I	Olympus Three LLC
Class B Common	215,284	I	Hebe Three Limited Partnership
Class B Common	45,671	I	CLB 2012 Trust
Class B Common	20,805	I	CLB Grandchildren Eq. Tr.
Class B Common	6,703,641	I	Olympus Three LLC

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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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 of Number of Shares
Deferred Stock Units	(1)	07/28/2016		A	1,093.7797	(2) (2)	Class A Common 1,093.77

Reporting Owners

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

Signatures

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

08/01/2016

__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) Under the Brown-Forman Corporation Non-Employee Director Deferred Stock Unit Program, each DSU represents the right to receive one share of the Company's Class A common stock. Grants made on July 28, 2016, were based on the closing price of the Company's Class A common stock on that date (\$XXX.XX). On each dividend payment date, participants are credited with DSU equivalents, and the DSU total on this form has been updated to reflect such credits.
- (2) Annual grants of DSUs vest over the course of the Board year. DSUs are paid out in Class A common stock on the first February 1 that is at least six months following the director's termination from Board service.

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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