

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 \*  
Hamel Matthew E

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)  
07/28/2016

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
EVP, Gen Counsel and Secretary

LOUISVILLE, KY 40210

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

(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 Ownership (Instr. 4)
			Code	V Amount (A) or (D) Price			
Class B Common	07/28/2016		M	3,800 A \$ 33.65	5,306.0997 (1)	D	
Class B Common	07/28/2016		F	2,323 D \$ 98.01 (2)	2,983.0997 (1)	D	
Class A Common					10,633	D	
Class A Common					608.1374 (3)	I	DRIP
Class B Common					35.7332 (4)	I	ESPP

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Class B  
Common 5,404,2018  
(5) I By 401k

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

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**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 Underlying Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title
Stock Appreciation Right <sup>(6)</sup>	\$ 98.01	07/28/2016		A	22,172	05/01/2019 04/30/2026	Class B Common
Stock Appreciation Right	\$ 33.65	07/28/2016		M	3,800	05/01/2010 04/30/2017	Class B Common
Stock Appreciation Right	\$ 35.51					05/01/2011 04/30/2018	Class B Common
Stock Appreciation Right	\$ 27.05					05/01/2012 04/30/2019	Class B Common
Stock Appreciation Right	\$ 38.43					05/01/2013 04/30/2020	Class B Common
Stock Appreciation Right	\$ 46.4					05/01/2014 04/30/2021	Class B Common
Stock Appreciation Right	\$ 58.7					05/01/2015 04/30/2022	Class B Common
Stock Appreciation Right	\$ 72.42					05/01/2016 04/30/2023	Class B Common
	\$ 91.97					05/01/2017 04/30/2024	

Stock Appreciation Right				Class B Common
Stock Appreciation Right	\$ 102.25	05/01/2018	04/30/2025	Class B Common

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hamel Matthew E 850 DIXIE HIGHWAY LOUISVILLE, KY 40210			EVP, Gen Counsel and Secretary	

## Signatures

Michael E. Carr, Jr., Attorney in Fact for Matthew E.  
Hamel

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) On July 7, 2016, the reporting person transferred 1,506.0997 shares from his ESPP account to direct holdings.
- (2) The closing price of BF-B on July 28, 2016, was used to calculate the withholding obligation.
- (3) Number of shares acquired through the issuer's dividend reinvestment plan as of July 27, 2016.
- (4) Number of shares acquired through the issuer's employee stock purchase program as of July 27, 2016. Total has been updated to reflect the transfer of 1,506.0997 shares from the ESPP to the reporting person's direct holdings on July 7, 2016.
- (5) Number of shares acquired through the issuer's 401(k) plan as of July 27, 2016.
- (6) No money was paid to or received by the reporting person for these SSARs.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.