

BROWN FORMAN CORP
Form 4
March 08, 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 *
Hinrichs Thomas

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)
03/04/2016

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
SVP, Pres. Eur, N.Asia, ANZSEA

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 | 03/04/2016 | | M | | 2,256 A \$ 34.95 | 3,262 | D |
| Class B Common | 03/04/2016 | | M | | 2,887 A \$ 33.76 | 6,149 | D |
| Class B Common | 03/04/2016 | | S | | 1,926 D \$ 95 | 4,223 | D |
| Class B Common | 03/04/2016 | | F | | 3,217 D \$ 96.86 | 1,006 | D |
| Class A Common | | | | | | 27 | D |

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| | | | |
|-------------------|-----------------------|---|------|
| Class A Common | 2.2379 ⁽²⁾ | I | DRIP |
| Class B Common | 0.4924 ⁽²⁾ | I | DRIP |

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. SEC 1474 (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) | Amount or Number of Shares | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|-------|----------------------------|
| | | | | | Code | V | (A) | (D) | Title | Amount or Number of Shares |
| Stock Appreciation Right | \$ 34.95 | 03/04/2016 | | M | 2,256 | 05/01/2009 04/30/2016 | Class B Common | 2,256 | | |
| Stock Appreciation Right | \$ 33.76 | 03/04/2016 | | M | 2,887 | 05/01/2010 04/30/2017 | Class B Common | 2,887 | | |
| Stock Appreciation Right | \$ 35.51 | | | | | 05/01/2011 04/30/2018 | Class B Common | 3,030 | | |
| Stock Appreciation Right | \$ 27.05 | | | | | 05/01/2012 04/30/2019 | Class B Common | 3,370 | | |
| Stock Appreciation Right | \$ 38.43 | | | | | 05/01/2013 04/30/2020 | Class B Common | 2,550 | | |
| Stock Appreciation Right | \$ 46.4 | | | | | 05/01/2014 04/30/2021 | Class B Common | 4,830 | | |
| Stock Appreciation | \$ 58.7 | | | | | 05/01/2015 04/30/2022 | Class B Common | 5,670 | | |

Right

Stock

Appreciation \$ 72.42

Right

05/01/2016 04/30/2023

Class B
Common

4,37

Stock

Appreciation \$ 91.97

Right

05/01/2017 04/30/2024

Class B
Common

3,45

Stock

Appreciation \$ 102.25

Right

05/01/2018 04/30/2025

Class B
Common

4,37

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Hinrichs Thomas 850 DIXIE HIGHWAY LOUISVILLE, KY 40210 | | | SVP, Pres. Eur, N.Asia, ANZSEA | |

Signatures

| | |
|---|---------------------|
| Kelly A. Bowen, Attorney in Fact for Thomas Hinrichs | 03/08/2016 |
| <small>**Signature of Reporting Person</small> | <small>Date</small> |

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) The closing price of BF-B on March 3, 2016 was used to calculate the withholding obligation.
- (2) Number of shares acquired through the issuer's dividend reinvestment plan as of March 3, 2016.

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.