

BROWN FORMAN CORP

Form 4

December 27, 2016

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 *
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)

850 DIXIE HIGHWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
12/22/2016

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

LOUISVILLE, KY 40210

(City) (State) (Zip)

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

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	10/10/2016		G V	283 A \$ 0	1,034,493 (1)	D	
Class A Common	10/10/2016		G V	1,792 D \$ 0	1,032,701	D	
Class A Common	10/10/2016		G V	283 A \$ 0	5,033 (2)	I	By Spouse
Class A Common	10/10/2016		G V	1,801 A \$ 0	12,517 (3)	I	OB3 GST Non-Exempt Trust
Class A Common	10/10/2016		G V	1,801 A \$ 0	255,563 (4)	I	Trust fbo Barzun

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									Children
Class A Common	10/10/2016	G	V	283	A	\$ 0	7,849 ⁽⁵⁾	I	Trust fbo Child-1
Class A Common	10/10/2016	G	V	283	A	\$ 0	5,767 ⁽⁶⁾	I	Trust fbo Child-2
Class A Common	10/10/2016	G	V	283	A	\$ 0	5,767 ⁽⁶⁾	I	Trust fbo Child-3
Class A Common	10/10/2016	G	V	1,792	A	\$ 0	233,564 ⁽⁷⁾	I	Trust fbo Children
Class A Common	12/22/2016	J ⁽⁸⁾		115,020	A	\$ 46.51	175,964 ⁽⁹⁾	I	OB3 GST Exempt Trust
Class B Common							109,198 ⁽¹⁰⁾	D	
Class A Common							84,308 ⁽¹¹⁾	I	ABH GRAT 2011
Class A Common							482,284 ⁽¹²⁾	I	ABH GRAT 2007
Class B Common							107,476 ⁽¹³⁾	I	ABH GRAT 2007
Class B Common							4,712 ⁽¹⁴⁾	I	By Spouse
Class A Common							4,580 ⁽¹⁵⁾	I	CLB 2012 Trust
Class B Common							91,342 ⁽¹⁶⁾	I	CLB 2012 Trust
Class A Common							62,984 ⁽¹⁷⁾	I	CLB Grandchildren Eq. Tr.
Class B Common							41,610 ⁽¹⁸⁾	I	CLB Grandchildren Eq. Tr.
Class B Common							22,668 ⁽¹⁹⁾	I	CLB Trust fbo Child-1 ⁽²⁰⁾
Class B Common							24,488 ⁽²¹⁾	I	CLB Trust fbo Child-2 ⁽²²⁾
Class A Common							43,456 ⁽²³⁾	I	CLB Trust fbo Child-3 ⁽²⁴⁾
Class B Common							24,488 ⁽²¹⁾	I	CLB Trust fbo Child-3 ⁽²⁴⁾
Class A Common							41,374 ⁽²⁵⁾	I	CLB Trust fbo Child-1 ⁽²⁰⁾

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Class A Common	43,456 ⁽²³⁾	I	CLB Trust fbo Child-2 ⁽²²⁾
Class B Common	25,790 ⁽²⁶⁾	I	Eleanor Lee Trusts
Class A Common	36 ⁽²⁷⁾	I	Eleanor Lee Trusts
Class B Common	1,092 ⁽²⁸⁾	I	Hebe Exempt Trust

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)	8. Price of Derivative Security (Instr. 5)	9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

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

12/27/2016

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) In August 2016, the Class A and Class B common stock of Brown-Forman Corporation split 2-1, resulting in the reporting person's acquisition of 517,105 additional shares.
- (2) Reflects the acquisition of 2,375 additional shares in the August 2016 stock split.
- (3) Reflects the acquisition of 5,358 additional shares in the August 2016 stock split.
- (4) Reflects the acquisition of 126,881 additional shares in the August 2016 stock split.
- (5) Reflects the acquisition of 3,783 additional shares in the August 2016 stock split.
- (6) Reflects the acquisition of 2,742 additional shares in the August 2016 stock split.
- (7) Reflects the acquisition of 115,886 additional shares in the August 2016 stock split.
- (8) On December 22, 2016, a limited partnership transferred 115,020 Class A shares to the OB3 GST Exempt Trust as a redemption of the trust's interest in the partnership.
- (9) Reflects the acquisition of 30,472 additional shares in the August 2016 stock split.
- (10) Reflects the acquisition of 52,591 additional shares in the August 2016 stock split. Also updated to reflect transfer of 4,016 shares from GRAT on October 10, 2016.
- (11) Reflects the acquisition of 42,154 additional shares in the August 2016 stock split.
- (12) Reflects the acquisition of 241,142 additional shares in the August 2016 stock split.
- (13) Reflects the acquisition of 55,746 additional shares in the August 2016 stock split. Also updated to reflect transfer of 4,016 shares to direct holdings on October 10, 2016.
- (14) Reflects the acquisition of 2,356 additional shares in the August 2016 stock split.
- (15) Reflects the acquisition of 2,290 additional shares in the August 2016 stock split.
- (16) Reflects the acquisition of 45,671 additional shares in the August 2016 stock split.
- (17) Reflects the acquisition of 31,492 additional shares in the August 2016 stock split.
- (18) Reflects the acquisition of 20,805 additional shares in the August 2016 stock split.
- (19) Reflects the acquisition of 11,334 additional shares in the August 2016 stock split.
- (20) Formerly known as CLB Trust fbo Cora Holland.
- (21) Reflects the acquisition of 12,244 additional shares in the August 2016 stock split.
- (22) Formerly known as CLB Trust fbo Lilla Holland.
- (23) Reflects the acquisition of 21,728 additional shares in the August 2016 stock split.
- (24) Formerly known as CLB Trust fbo Owsley Holland.
- (25) Reflects the acquisition of 20,687 additional shares in the August 2016 stock split.
- (26) Reflects the acquisition of 12,895 additional shares in the August 2016 stock split.
- (27) Reflects the acquisition of 18 additional shares in the August 2016 stock split.
- (28) Reflects the acquisition of 546 additional shares in the August 2016 stock split.

Remarks:

1st of 2 Forms

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.