

Hayes John V.
Form 3
October 11, 2017

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

Â Hayes John V.
(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE,Â KYÂ 40210

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)
10/01/2017

3. Issuer Name and Ticker or Trading Symbol
BROWN FORMAN CORP [BFA, BFB]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director ____ 10% Owner
__X__ Officer ____ Other
(give title below) (specify below)
SVP, Chief Marketing Officer

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

6. Individual or Joint/Group Filing(Check Applicable Line)
__X__ Form filed by One Reporting Person
____ Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities Beneficially Owned
(Instr. 4)

3. Ownership Form:
Direct (D)
or Indirect (I)
(Instr. 5)

4. Nature of Indirect Beneficial Ownership
(Instr. 5)

Class A Common	2,164	D	Â
Class A Common	111 ⁽¹⁾	I	ESPP
Class A Common	4,210	I	Hayes Investments LLC
Class B Common	7,609	D	Â
Class B Common	5,894 ⁽²⁾	I	By 401k
Class B Common	4 ⁽¹⁾	I	ESPP
Class B Common	20,314	I	Hayes Investments LLC

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

SEC 1473 (7-02)

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Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Appreciation Right	05/01/2011	04/30/2018	Class B Common	16,926	\$ 17.755	D	Â
Stock Appreciation Right	05/01/2012	04/30/2019	Class B Common	25,998	\$ 13.525	D	Â
Stock Appreciation Right	05/01/2013	04/30/2020	Class B Common	21,820	\$ 19.215	D	Â
Stock Appreciation Right	05/01/2014	04/30/2021	Class B Common	22,702	\$ 23.2	D	Â
Stock Appreciation Right	05/01/2015	04/30/2022	Class B Common	17,122	\$ 29.35	D	Â
Stock Appreciation Right	05/01/2016	04/30/2023	Class B Common	7,082	\$ 36.21	D	Â
Stock Appreciation Right	05/01/2017	04/30/2024	Class B Common	5,654	\$ 45.985	D	Â
Stock Appreciation Right	05/01/2018	04/30/2025	Class B Common	7,216	\$ 51.125	D	Â
Stock Appreciation Right	05/01/2019	04/30/2026	Class B Common	9,952	\$ 49.005	D	Â
Stock Appreciation Right	05/01/2020	04/30/2027	Class B Common	8,395	\$ 50.63	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Hayes John V. 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	Â	Â	Â SVP, Chief Marketing Officer	Â

Signatures

Michael E. Carr, Jr., Attorney in Fact for John V.
Hayes

10/11/2017

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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 acquired through the issuer's employee stock purchase program as of October 11, 2017.

(2) Number of shares acquired through the issuer's 401(k) plan as of October 11, 2017.

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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