

BROWN FORMAN CORP  
Form 4  
February 09, 2016

**FORM 4** UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 \*

Brown J McCauley

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

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

02/05/2016

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
 10% Owner  
\_\_\_\_ Other (specify below)

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)
				(A) or (D)	Price		
Class A Common	02/08/2016		P	A	\$ 11,460 103.9964	D	
Class B Common	02/05/2016		P	A	\$ 5,000 95.5	D	
Class B Common					8,841.5903	I	By 401k (1)
Class A Common					968,395	I	By Brown Ventures, LLC
Class B Common					64,481	I	By Brown Ventures,

Edgar Filing: BROWN FORMAN CORP - Form 4

Class	Quantity	Code	Beneficial Owner
Class A Common	181,940	I	LLC By JMB Irrev Trust
Class A Common	176,898	I	By MAE LLC
Class A Common	3,217	I	By Spouse
Class A Common	50,704	I	By Spouse Irrev Trust
Class A Common	3,925	I	By Spray Trust
Class A Common	1,000	I	Crummey Trust
Class A Common	96,698	I	Spouse GRAT
Class A Common	15,995	I	Williams Trust
Class B Common	1,020	I	Williams Trust

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)	8. Price or Value of Underlying Securities (Instr. 3 and 4)
Restricted Stock Units	(2)			Code V (A) (D)		Date Exercisable: 04/30/2016(3) Expiration Date: (3)	Title: Class B Common Amount or Number of Shares: 254	

Restricted Stock Units	(2)	04/30/2017 <sup>(4)</sup>	(4)	Class B Common	212
Restricted Stock Units	(2)	04/30/2018 <sup>(5)</sup>	(5)	Class B Common	171
Restricted Stock Units	(2)	04/30/2019 <sup>(6)</sup>	(6)	Class B Common	158

## Reporting Owners

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

## Signatures

Kelly Bowen, Attorney in Fact for J. McCauley  
Brown

02/09/2016

\_\_\_\_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) Number of shares acquired through the issuer's 401(k) plan as of February 5, 2016.
- (2) Each Restricted Stock Unit represents a contingent right to receive one share of Brown-Forman Class B common stock.
- (3) The Restricted Stock Units were granted on July 26, 2012, and vest April 30, 2016.
- (4) The restricted stock units were granted on July 25, 2013, and vest April 30, 2017.
- (5) The Restricted Stock Units were granted on July 24, 2014, and vest April 30, 2018.
- (6) The Restricted Stock Units were granted on July 23, 2015, and vest on April 30, 2019.

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.