

Whiting Lawson E
Form 4
May 02, 2018

FORM 4

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

OMB APPROVAL

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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 *
Whiting Lawson 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)
04/30/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP, Chief Operating Officer

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 A Common	04/30/2018		F		440 ⁽¹⁾ D 53.37 ⁽²⁾ 2,897 \$	D	
Class B Common	04/30/2018		F		110 ⁽³⁾ D 56.04 ⁽⁴⁾ 724 ⁽⁵⁾ \$	D	
Class A Common						I	DRIP
							3 ⁽⁶⁾

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

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SEC 1474 (9-02)

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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 Amount of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Appreciation Right	\$ 18.217 <u>(7)</u>					05/01/2014	04/30/2021	Class B Common	21,848 <u>(7)</u>
Stock Appreciation Right	\$ 23.047 <u>(8)</u>					05/01/2015	04/30/2022	Class B Common	19,763 <u>(8)</u>
Stock Appreciation Right	\$ 28.433 <u>(9)</u>					05/01/2016	04/30/2023	Class B Common	21,884 <u>(9)</u>
Stock Appreciation Right	\$ 36.109 <u>(10)</u>					05/01/2017	04/30/2024	Class B Common	15,382 <u>(10)</u>
Stock Appreciation Right	\$ 40.145 <u>(11)</u>					05/01/2018	04/30/2025	Class B Common	20,045 <u>(11)</u>
Stock Appreciation Right	\$ 38.481 <u>(12)</u>					05/01/2019	04/30/2026	Class B Common	28,903 <u>(12)</u>
Stock Appreciation Right	\$ 39.757 <u>(13)</u>					05/01/2020	04/30/2027	Class B Common	34,134 <u>(13)</u>

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer

Other

