Holland Augusta Brown Form 5 June 14, 2018

FORM 5

#### **OMB APPROVAL**

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

Number: 3235-0362 Expires: January 31, 2005

**OMB** 

no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction

Check this box if

ANNUAL STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Estimated average burden hours per response... 1.0

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,

Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section

Reported 30(h) of the Investment Company Act of 1940

Form 4 Transactions

Transactions Reported

1. Name and Address of Reporting Person * Holland Augusta Brown			2. Issuer Name <b>and</b> Ticker or Trading Symbol BROWN FORMAN CORP [BFA, BFB]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable)			
(Last) 850 DIXIE H	(First)	(Middle)	3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year) 04/30/2018	X Director 10% Owner Officer (give title below) Other (specify below)			
	(Street)		4. If Amendment, Date Original Filed(Month/Day/Year)	6. Individual or Joint/Group Reporting  (check applicable line)			

#### LOUISVILLE, KYÂ 40210

\_X\_ Form Filed by One Reporting Person \_\_\_ Form Filed by More than One Reporting Person

(City)	(State) (Z	Zip) Table	I - Non-Deri	vative Sec	urities	s Acqui	ired, Disposed o	f, or Beneficial	ly 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. Securi Acquired Disposed (Instr. 3,	(A) of (D	)	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (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	10/20/2017	Â	G	1,577	D	\$0	1,016,124	D	Â
Class A Common	12/28/2017	Â	G	211	A	\$0	1,016,335	D	Â
Class A Common	12/28/2017	Â	G	211	A	\$ 0	5,244	I	By Spouse
Class A Common	12/28/2017	Â	G	211	A	\$0	8,060	I	Trust fbo Child-1

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Class A Common	12/28/2017	Â	G	211	A	\$ 0	5,978	I	Trust fbo Child-2
Class A Common	12/28/2017	Â	G	211	A	\$ 0	5,978	I	Trust fbo Child-3
Class A Common	Â	Â	Â	Â	Â	Â	482,284	I	ABH GRAT 2007
Class A Common	Â	Â	Â	Â	Â	Â	84,308	I	ABH GRAT 2011
Class A Common	Â	Â	Â	Â	Â	Â	41,374	I	CLB Trust fbo Child-1
Class A Common	Â	Â	Â	Â	Â	Â	43,456	I	CLB Trust fbo Child-2
Class A Common	Â	Â	Â	Â	Â	Â	43,456	I	CLB Trust fbo Child-3
Class A Common	Â	Â	Â	Â	Â	Â	40,878	I	Trust fbo Augusta Holland
Class B	Â	<b>↑</b>	Â	Â	Â	Â	418,059 (1)	D	Â
Common	A	Â	A	Α	А	А	410,039	D	A
Class B Common	Â	Â	Â	Â		Â	245,916 (2)	I	ABH GRAT 2007
Class B									ABH GRAT
Class B Common	Â	Â	Â	Â	Â	Â	245,916 <u>(2)</u>	I	ABH GRAT 2007 ABH GRAT
Class B Common Class B Common Class B	Â Â	Â Â	Â Â	Â Â	Â	Â	245,916 (2) 76,402 (3)	I I	ABH GRAT 2007 ABH GRAT 2011
Class B Common  Class B Common  Class B Common  Class B	Â Â	Â Â	Â Â	Â Â	Â Â	Â Â	245,916 (2) 76,402 (3) 7,201 (4)	I I	ABH GRAT 2007 ABH GRAT 2011 By Spouse CLB Trust fbo
Class B Common  Class B Common  Class B Common  Class B Common  Class B	Â Â Â	Â Â Â	Â Â Â	Â Â Â	Â Â Â	Â Â Â	245,916 (2) 76,402 (3) 7,201 (4) 38,678 (5)	I I I	ABH GRAT 2007 ABH GRAT 2011 By Spouse CLB Trust fbo Child-1 CLB Trust fbo

									Trust fbo ABH (8)
Class B Common	Â	Â	Â	Â	Â	Â	2,412 <sup>(9)</sup>	I	Holland Family Trust
Class B Common	Â	Â	Â	Â	Â	Â	4,290 (10)	I	Trust fbo Child-1
Class B Common	Â	Â	Â	Â	Â	Â	1,494 (11)	I	Trust fbo Child-2
Class B Common	Â	Â	Â	Â	Â	Â	1,494 (11)	I	Trust fbo Child-3
Class B Common	Â	Â	Â	Â	Â	Â	22,991 (12)	I	Trust fbo Augusta Holland
•	oort on a separate line			-			ollection of info		SEC 2270 (9-02)

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

the form displays a currently valid OMB control number.

of D

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	_
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	Number	Expiration D	ate	Amou	nt of	Derivative	
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	i
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ities	(Instr. 5)	
	Derivative				Securities			(Instr.	3 and 4)		i
	Security				Acquired						
					(A) or						į
					Disposed						
					of (D)						į
					(Instr. 3,						
					4, and 5)						
									Amount		
									or		
						Date	Expiration		Number		
						Exercisable	Date		of		
					(A) (D)				Shares		
					(11) (1)				Silaios		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships							
<b>F-</b>	Director	10% Owner	Officer	Other				
Holland Augusta Brown 850 DIXIE HIGHWAY	ÂX	Â	Â	Â				
LOUISVILLE, Â KYÂ 40210								

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### **Signatures**

Michael E. Carr, Jr., Attorney in Fact for Augusta Brown Holland

06/14/2018

\*\*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).
  - On February 28, 2018, the issuer completed a stock split resulting in the distribution of one share of Class B common stock for every four shares of either Class A or Class B common stock held. On April 23, 2018, the issuer paid a special cash dividend. Total has been
- (1) updated to reflect the acquisition of 292,941 additional shares in the February 2018 stock split. Total has also been updated to reflect transfers from the ABH 2007 GRAT of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017, and a transfer to the ABH 2011 GRAT of 30,317 shares on May 14, 2018.
- Total has been updated to reflect the acquisition of 145,640 additional shares in the February 2018 stock split. Total has also been updated to reflect transfers to the reporting person's direct holdings of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017.
- (3) Total has been updated to reflect the acquisition of 26,078 additional shares in the February 2018 stock split. Total has also been updated to reflect a transfer from the reporting person's direct holdings of 30,317 shares on May 14, 2018.
- (4) Total has been updated to reflect the acquisition of 2,489 additional shares in the February 2018 stock split.
- (5) Total has been updated to reflect the acquisition of 16,010 additional shares in the February 2018 stock split.
- (6) Total has been updated to reflect the acquisition of 16,986 additional shares in the February 2018 stock split.
- (7) Total has been updated to reflect the acquisition of 273 additional shares in the February 2018 stock split.
- (8) Previously reported as the Hebe Exempt Trust.
- (9) Total has been updated to reflect the acquisition of 482 additional shares in the February 2018 stock split.
- (10) Total has been updated to reflect the acquisition of 2,470 additional shares in the February 2018 stock split.
- (11) These shares were acquired in the February 2018 stock split.
- (12) Total has been updated to reflect the acquisition of 12,773 additional shares in the February 2018 stock split.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.

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