

BROWN FORMAN CORP
Form 4
January 08, 2016

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 *
Brown J McCauley

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)
01/06/2016

____ Director
____ Officer (give title below)
 10% Owner
____ 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				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)	
			Code	V	Amount	(A) or (D)				Price
Class A Common	12/11/2015		G	V	2,250	D	\$ 0	1,602	D	
Class A Common	12/31/2015		G	V	59,000	D	\$ 0	2,296	I	By Spouse
Class A Common	12/31/2015		G	V	921	A	\$ 0	3,217	I	By Spouse
Class A Common	12/31/2015		G	V	24,374	A	\$ 0	50,704	I	By Spouse Irrev Trust
Class A Common	12/31/2015		G	V	59,000	A	\$ 0	121,993	I	Spouse GRAT

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Class A Common	12/31/2015	G V	25,295	D	\$ 0	96,698	I	Spouse GRAT
Class A Common	01/06/2016	P	1,646	A	\$ 105.42	15,995	I	Williams Trust
Class B Common						61,484	D	
Class B Common						8,827.5045	I	By 401k ⁽¹⁾
Class A Common						968,395	I	By Brown Ventures, LLC
Class B Common						64,481	I	By Brown Ventures, LLC
Class A Common						181,940	I	By JMB Irrev Trust
Class A Common						176,898	I	By MAE LLC
Class A Common						3,925	I	By Spray Trust
Class A Common						1,000	I	Crummey 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.

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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)	8. Pr Deri Secu (Inst	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or

					Number of Shares
Restricted Stock Units	(2)	04/30/2016 ⁽³⁾	(3)	Class B Common	254
Restricted Stock Units	(2)	04/30/2017 ⁽⁴⁾	(4)	Class B Common	212
Restricted Stock Units	(2)	04/30/2018 ⁽⁵⁾	(5)	Class B Common	171
Restricted Stock Units	(2)	04/30/2019 ⁽⁶⁾	(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 01/08/2016

**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 December 30, 2015.
- (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.

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