

BROWN FORMAN CORP
Form 3
June 03, 2016

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)

| | | | | | |
|--|---|--|---|---|---|
| <p>1. Name and Address of Reporting Person *</p> <p>Â Brown Campbell P</p> <p>(Last) (First) (Middle)</p> <p>850 DIXIE HIGHWAY</p> <p>(Street)</p> <p>LOUISVILLE,Â KYÂ 40210</p> <p>(City) (State) (Zip)</p> | <p>2. Date of Event Requiring Statement</p> <p>(Month/Day/Year)</p> <p>05/26/2016</p> | <p>3. Issuer Name and Ticker or Trading Symbol</p> <p>BROWN FORMAN CORP [BFA, BFB]</p> | <p>4. Relationship of Reporting Person(s) to Issuer</p> <p>(Check all applicable)</p> <p><input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input type="checkbox"/> Officer <input type="checkbox"/> Other (give title below) (specify below)</p> | <p>5. If Amendment, Date Original Filed(Month/Day/Year)</p> | <p>6. Individual or Joint/Group Filing(Check Applicable Line)</p> <p><input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> Form filed by More than One Reporting Person</p> |
|--|---|--|---|---|---|

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 | 805,313 | D | Â |
| Class B Common | 312,208 | D | Â |
| Class A Common | 1,981,768 | I | Brown Barker 2013 LLC |
| Class B Common | 270,442 | I | Brown Barker 2013 LLC |
| Class B Common | 4,610,8229 | I | ESPP |
| Class B Common | 7,786.0146 | I | By 401k |
| Class B Common | 18 | I | Child #1 |
| Class B Common | 18 | I | Child #2 |
| Class A Common | 529,554 | I | CPB 2010 #1 LLC |
| Class B Common | 24,218 | I | CPB 2010 #2 LLC |
| Class B Common | 2,746 | I | CBGB LLC |

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|----------------|--------|---|---------------------------------------|
| Class A Common | 8,042 | I | Trust FBO Geo Garvin Brown IV |
| Class B Common | 1,353 | I | Trust FBO Geo Garvin Brown IV |
| Class A Common | 5,266 | I | Trust FBO Child #1 |
| Class B Common | 1,950 | I | Trust FBO Child #1 |
| Class A Common | 5,296 | I | Trust FBO Child #2 |
| Class B Common | 1,950 | I | Trust FBO Child #2 |
| Class A Common | 71,250 | I | Trust FBO Campbell P. Brown |
| Class A Common | 71,250 | I | Trust FBO Geo Garvin Brown IV (Irrev) |

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

SEC 1473 (7-02)

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.

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 | | | | |
| Restricted Stock Units | 05/01/2017 | ∞ ⁽¹⁾ | Class B Common | 863 | \$ ⁽²⁾ | D ∞ |
| Restricted Stock Units | 05/01/2018 | ∞ ⁽³⁾ | Class B Common | 476 | \$ ⁽²⁾ | D ∞ |
| Restricted Stock Units | 05/01/2019 | ∞ ⁽⁴⁾ | Class B Common | 1,458 | \$ ⁽²⁾ | D ∞ |
| Stock Appreciation Right | 07/26/2007 | 04/30/2017 | Class B Common | 1,874 | \$ 33.76 | D ∞ |
| Stock Appreciation Right | 07/24/2008 | 04/30/2018 | Class B Common | 1,719 | \$ 35.51 | D ∞ |
| Stock Appreciation Right | 07/22/2010 | 04/30/2020 | Class B Common | 887 | \$ 38.43 | D ∞ |
| Stock Appreciation Right | 07/24/2014 | 04/30/2024 | Class B Common | 1,112 | \$ 91.97 | D ∞ |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Brown Campbell P 850 DIXIE HIGHWAY LOUISVILLE, KY 40210 | X | | | |

Signatures

Michael E. Carr, Jr., Attorney in Fact for Campbell P. Brown 06/03/2016

__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) The restricted stock units vest May 1, 2017.
- (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 vest May 1, 2018.
- (4) The restricted stock units vest May 1, 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.