

BROWN FORMAN CORP
Form 4
August 01, 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 *
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)
07/28/2016

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

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 (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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
| | | | | (A) or (D) Price | | | |
| Class A Common | | | | | 1,540.591 | D | |
| Class A Common | | | | | 1.6617 ⁽¹⁾ | I | DRIP |

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 Security (Instr. 3 and 4) | Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|-----------------|---|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | |
| Stock Appreciation Right ⁽²⁾ | \$ 98.01 | 07/28/2016 | | A | 11,348 | 05/01/2019 | 04/30/2026 | Class B Common | 11,348 |
| Stock Appreciation Right | \$ 27.05 | | | | | 05/01/2012 | 04/30/2019 | Class B Common | 4,100 |
| Stock Appreciation Right | \$ 38.43 | | | | | 05/01/2013 | 04/30/2020 | Class B Common | 3,900 |
| Stock Appreciation Right | \$ 46.4 | | | | | 05/01/2014 | 04/30/2021 | Class B Common | 8,500 |
| Stock Appreciation Right | \$ 58.7 | | | | | 05/01/2015 | 04/30/2022 | Class B Common | 7,700 |
| Stock Appreciation Right | \$ 72.42 | | | | | 05/01/2016 | 04/30/2023 | Class B Common | 8,500 |
| Stock Appreciation Right | \$ 91.97 | | | | | 05/01/2017 | 04/30/2024 | Class B Common | 6,000 |
| Stock Appreciation Right | \$ 102.25 | | | | | 05/01/2018 | 04/30/2025 | Class B Common | 7,800 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

Whiting Lawson E
850 DIXIE HIGHWAY
LOUISVILLE, KY 40210

EVP, Chief Brands & Strategy

Signatures

Michael E. Carr, Jr., Attorney in Fact for Lawson E.
Whiting

08/01/2016

__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 dividend reinvestment plan as of July 27, 2016.

(2) No money was paid to or received by the reporting person for these SSARs.

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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