

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)

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

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 | 315 | D | Â |
| Class B Common | 116 | D | Â |
| Class A Common | 2,379 | I | Albrecht Trust |
| Class A Common | 1,758 | I | Garvin Brown II Trust |

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

SEC 1473 (7-02)

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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 | 3. Title and Amount of Securities Underlying | 4. Conversion | 5. Ownership | 6. Nature of Indirect Beneficial |
|--|---|--|---------------|--------------|----------------------------------|
|--|---|--|---------------|--------------|----------------------------------|

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| | (Month/Day/Year) | | Derivative Security (Instr. 4) | | or Exercise Price of Derivative Security | Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5) | Ownership (Instr. 5) |
|--------------------------|------------------|-----------------|--------------------------------|----------------------------|--|--|----------------------|
| | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | |
| Restricted Stock Units | 05/01/2017 | Â (1) | Class B Common | 296 | \$ (2) | D | Â |
| Restricted Stock Units | 05/01/2018 | Â (3) | Class B Common | 381 | \$ (2) | D | Â |
| Stock Appreciation Right | 07/26/2007 | 04/30/2017 | Class B Common | 2,110 | \$ 33.76 | D | Â |
| Stock Appreciation Right | 07/24/2008 | 04/30/2018 | Class B Common | 2,422 | \$ 35.51 | D | Â |
| Stock Appreciation Right | 07/23/2009 | 04/30/2019 | Class B Common | 2,378 | \$ 27.05 | D | Â |
| Stock Appreciation Right | 07/22/2010 | 04/30/2020 | Class B Common | 3,544 | \$ 38.43 | D | Â |
| Stock Appreciation Right | 07/28/2011 | 04/30/2021 | Class B Common | 1,537 | \$ 46.4 | D | Â |
| Stock Appreciation Right | 07/26/2012 | 04/30/2022 | Class B Common | 2,329 | \$ 58.7 | D | Â |
| Stock Appreciation Right | 07/23/2015 | 04/30/2025 | Class B Common | 1,890 | \$ 102.25 | D | Â |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Farrer Marshall 850 DIXIE HIGHWAY LOUISVILLE, KY 40210 | Â X | Â | Â | Â |

Signatures

Michael E. Carr, Jr., Attorney in Fact for Marshall B. Farrer 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.

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(3) The restricted stock units vest May 1, 2018.

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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