

BROWN FORMAN CORP

Form 5

June 14, 2016

FORM 5**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**
Washington, D.C. 20549Check this box if
no longer subject
to Section 16.Form 4 or Form
5 obligations
may continue.See Instruction
1(b).Form 3 Holdings
Reported
Form 4
Transactions
Reported**ANNUAL 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

OMB APPROVAL

OMB
Number: 3235-0362Expires: January 31,
2005Estimated average
burden hours per
response... 1.01. Name and Address of Reporting Person *
Alvarez Alejandro A

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading
Symbol
BROWN FORMAN CORP [BFA,
BFB]3. Statement for Issuer's Fiscal Year Ended
(Month/Day/Year)
04/30/20164. If Amendment, Date Original
Filed(Month/Day/Year)5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title ☐ Other (specify
below) below)
SVP, CPO

6. Individual or Joint/Group Reporting

(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 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 B Common	08/11/2015	Â	I4	101.1921 D	\$ 110.6 544.5522	I	By 401k
Class B Common	11/17/2015	Â	I4	11.8966 A	\$ 105.32 544.5522	I	By 401k
Class B Common	Â	Â	Â	Â Â	182	D	Â

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

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(9-02)

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)
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Restricted Stock Units	Â	Â	Â	Â	Â Â	04/30/2017 ⁽²⁾ Â ⁽²⁾	Class B Common 1
Stock Appreciation Right	\$ 91.97	Â	Â	Â	Â Â	05/01/2017 04/30/2024	Class B Common 4,0
Stock Appreciation Right	\$ 58.7	Â	Â	Â	Â Â	05/01/2015 04/30/2022	Class B Common 3,0
Stock Appreciation Right	\$ 102.25	Â	Â	Â	Â Â	05/01/2018 04/30/2025	Class B Common 7,0
Stock Appreciation Right	\$ 72.42	Â	Â	Â	Â Â	05/01/2016 04/30/2023	Class B Common 3,4
Stock Appreciation Right	\$ 46.4	Â	Â	Â	Â Â	05/01/2014 04/30/2021	Class B Common 4,1

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Alvarez Alejandro A 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	Â	Â	Â SVP, CPO	Â

Signatures

Michael E. Carr, Attorney in Fact for Alejandro A.
Alvarez

06/14/2016

__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) Each restricted stock unit represents a contingent right to receive one share of Brown-Forman Class B common stock.
 - (2) The Restricted Stock Units were granted on July 25, 2013, and vest on April 30, 2017.

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.