#### Edgar Filing: BROWN FORMAN CORP - Form 3/A

#### **BROWN FORMAN CORP**

Form 3/A June 14, 2017

# FORM 3

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** Number:

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005

Estimated average burden hours per

response...

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 \*

Gutmann Kathleen M.

850 DIXIE HIGHWAY

(Last)

(First)

(Street)

(Middle)

Statement

(Month/Day/Year)

05/24/2017

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

4. Relationship of Reporting Person(s) to Issuer

\_X\_ Director

Filed(Month/Day/Year) 06/01/2017

(Check all applicable)

6. Individual or Joint/Group

5. If Amendment, Date Original

Filing(Check Applicable Line) 10% Owner \_X\_ Form filed by One Reporting

Officer \_Other (give title below) (specify below)

Form filed by More than One

Reporting Person

LOUISVILLE, KYÂ 40210

(City) (State)

1. Title of Security

(Instr. 4)

(Zip)

2. Amount of Securities Beneficially Owned

(Instr. 4)

Ownership Form:

Table I - Non-Derivative Securities Beneficially Owned

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

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

> 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.

SEC 1473 (7-02)

### Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)

**Expiration Date** (Month/Day/Year)

2. Date Exercisable and

3. Title and Amount of Securities Underlying **Derivative Security** (Instr. 4)

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

Date Expiration Exercisable Date

Amount or Shares

Derivative Security: Security Direct (D) or Indirect

(I) (Instr. 5)

Title Number of

1

# **Reporting Owners**

Reporting Owner Name / Address

Director 10% Owner Officer Other

Gutmann Kathleen M.

850 DIXIE HIGHWAY Â X Â Â

LOUISVILLE, KYÂ 40210

# **Signatures**

Michael E. Carr, Jr. Attorney in Fact for Kathleen M. Gutmann

06/14/2017

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

No securities are beneficially owned

- \* 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).

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#### **Remarks:**

Amended to attach Power of Attorney

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.

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