

Masick Michael Andrew
Form 3
October 11, 2017

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 *

^ Masick Michael Andrew

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

10/01/2017

3. Issuer Name and Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer ☐ Other
(give title below) (specify below)
VP DIR CORP STRATEGY

5. 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 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 B Common

141

D ^

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)

Date Exercisable Expiration Date

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

Title Amount or Number of

4. Conversion or Exercise Price of Derivative Security

5. Ownership Form of Derivative Security:
Direct (D)
or Indirect

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

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				Shares		(I) (Instr. 5)	
Restricted Stock Units	04/30/2018 ⁽¹⁾	Â ⁽¹⁾	Class B Common	230	\$ ⁽²⁾	D	Â
Stock Appreciation Right	05/01/2017	04/30/2024	Class B Common	1,786	\$ 45.985	D	Â
Stock Appreciation Right	05/01/2018	04/30/2025	Class B Common	2,624	\$ 51.125	D	Â
Stock Appreciation Right	05/01/2019	04/30/2026	Class B Common	7,682	\$ 49.005	D	Â
Stock Appreciation Right	05/01/2020	04/30/2027	Class B Common	3,535	\$ 50.63	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Masick Michael Andrew 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	Â	Â	Â VP DIR CORP STRATEGY	Â

Signatures

Michael E. Carr, Jr., Attorney in Fact for Michael A. Masick 10/11/2017

^{**}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 were granted on July 24, 2014, and vest April 30, 2018.

(2) Each restricted stock unit represents a contingent right to receive one share of Brown-Forman Class B common stock.

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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