

Brown Stuart R
Form 4
June 13, 2018

FORM 4

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

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

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Brown Stuart R

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)
12/14/2017

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

LOUISVILLE, KY 40210

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

(City) (State) (Zip)

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 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)	
			Code	V	Amount	(A) or (D)	Price	
Class A Common	01/04/2018		G	V	446	A	\$ 0	413,482 D
Class A Common	01/09/2018		G	V	701,650	A	\$ 0	1,115,132 D
Class A Common	01/04/2018		G	V	1,792	D	\$ 0	1,113,340 D
Class B Common	01/09/2018		G	V	362,302	A	\$ 0	990,821 ⁽¹⁾ D
Class B Common	04/12/2018		G	V	681,500	D	\$ 0	309,321 D

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Class B Common	12/14/2017	G	V	420	A	\$ 0	9,097 ⁽²⁾	I	By Spouse
Class A Common							40,878 ⁽³⁾	I	2015 Trust
Class A Common							36,104	I	Hedge Street Partners LLC
Class A Common							228,302	I	SKCJ Investments LLC
Class B Common							22,616 ⁽⁴⁾	I	2015 Trust
Class B Common							20,306 ⁽⁵⁾	I	Hedge Street Partners LLC
Class B Common							126,217 ⁽⁶⁾	I	SKCJ Investments LLC

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 Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reportable Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

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Director 10% Owner Officer Other

Brown Stuart R
850 DIXIE HIGHWAY X
LOUISVILLE, KY 40210

Signatures

Michael E. Carr, Jr. Attorney in Fact for Stuart R.
Brown

06/13/2018

__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) On February 28, 2018, the issuer completed a stock split resulting in the distribution of one share of Class B common stock for every four shares of either Class A or Class B common stock held. On April 23, 2018, the issuer paid a special cash dividend. Total has been updated to reflect the acquisition of 420,830 additional shares in the February 2018 stock split and to correct a prior minor mathematical error. All transactions reported on this form that occurred before the stock split are presented on a pre-split basis.
- (2) Total has been updated to reflect the acquisition of 1,819 additional shares in the February 2018 stock split.
- (3) The reporting person no longer has a reportable beneficial interest in the Child-1 account and Child-2 account included in the reporting person's prior reports.
- (4) Total has been updated to reflect the acquisition of 12,698 additional shares in the February 2018 stock split.
- (5) Total has been updated to reflect the acquisition of 11,282 additional shares in the February 2018 stock split.
- (6) Total has been updated to reflect the acquisition of 70,903 additional shares in the February 2018 stock split.

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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