

BROWN FORMAN CORP
Form 3
June 03, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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)

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

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	805,313	D	Â
Class B Common	312,208	D	Â
Class A Common	1,981,768	I	Brown Barker 2013 LLC
Class B Common	270,442	I	Brown Barker 2013 LLC
Class B Common	4,610,8229	I	ESPP
Class B Common	7,786.0146	I	By 401k
Class B Common	18	I	Child #1
Class B Common	18	I	Child #2
Class A Common	529,554	I	CPB 2010 #1 LLC
Class B Common	24,218	I	CPB 2010 #2 LLC
Class B Common	2,746	I	CBGB LLC

Edgar Filing: BROWN FORMAN CORP - Form 3

Class A Common	8,042	I	Trust FBO Geo Garvin Brown IV
Class B Common	1,353	I	Trust FBO Geo Garvin Brown IV
Class A Common	5,266	I	Trust FBO Child #1
Class B Common	1,950	I	Trust FBO Child #1
Class A Common	5,296	I	Trust FBO Child #2
Class B Common	1,950	I	Trust FBO Child #2
Class A Common	71,250	I	Trust FBO Campbell P. Brown
Class A Common	71,250	I	Trust FBO Geo Garvin Brown IV (Irrev)

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)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Restricted Stock Units	05/01/2017	∞ ⁽¹⁾	Class B Common	863	\$ ⁽²⁾	D	∞
Restricted Stock Units	05/01/2018	∞ ⁽³⁾	Class B Common	476	\$ ⁽²⁾	D	∞
Restricted Stock Units	05/01/2019	∞ ⁽⁴⁾	Class B Common	1,458	\$ ⁽²⁾	D	∞
Stock Appreciation Right	07/26/2007	04/30/2017	Class B Common	1,874	\$ 33.76	D	∞
Stock Appreciation Right	07/24/2008	04/30/2018	Class B Common	1,719	\$ 35.51	D	∞
Stock Appreciation Right	07/22/2010	04/30/2020	Class B Common	887	\$ 38.43	D	∞
Stock Appreciation Right	07/24/2014	04/30/2024	Class B Common	1,112	\$ 91.97	D	∞

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Brown Campbell P 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	X			

Signatures

Michael E. Carr, Jr., Attorney in Fact for Campbell P. Brown 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.
- (3) The restricted stock units vest May 1, 2018.
- (4) The restricted stock units vest May 1, 2019.

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.