

Edgar Filing: BROWN FORMAN CORP - Form 4

| | | | | LLC |
|-------------------|--|---------|---|--------------------------|
| Class A Common | | 22,920 | I | By IRA |
| Class B Common | | 27,690 | I | by IRA |
| Class A Common | | 363,880 | I | By JMB Irrev Trust |
| Class A Common | | 353,796 | I | By MAE LLC |
| Class A Common | | 434 | I | By Spouse |
| Class B Common | | 22,628 | I | By Spouse |
| Class A Common | | 101,408 | I | By Spouse Irrev Trust |
| Class A Common | | 7,850 | I | By Spray Trust |
| Class A Common | | 2,000 | I | Crummey Trust |
| Class A Common | | 193,396 | I | Spouse GRAT |
| Class B Common | | 2,040 | I | Williams Trust |

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 1474
(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. Pr Deri Secu (Inst | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-----------------------|------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number |

| | | | | | of Shares |
|------------------------------|-----|---------------------------|-----|-------------------|--------------|
| Restricted Stock Units | (1) | 04/30/2017 ⁽²⁾ | (2) | Class B Common | 424 |
| Restricted Stock Units | (1) | 04/30/2018 ⁽³⁾ | (3) | Class B Common | 342 |
| Restricted Stock Units | (1) | 04/30/2019 ⁽⁴⁾ | (4) | Class B Common | 316 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------|
| | Director | 10% Owner | Officer | Other |
| Brown J McCauley 850 DIXIE HIGHWAY LOUISVILLE, KY 40210 | | | X | |

Signatures

Michael E. Carr, Jr., Attorney in Fact for J. McCauley
Brown

12/13/2016

__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 April 30, 2017.
- (3) The restricted stock units were granted on July 24, 2014, and vest April 30, 2018.
- (4) The restricted stock units were granted on July 23, 2015, and vest April 30, 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.