

BROWN FORMAN CORP

Form 4

May 03, 2016

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

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
Hamel Matthew E

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)
04/30/2016

____ Director ____ 10% Owner
____X____ Officer (give title ____ Other (specify
below) below)
EVP, Gen Counsel and Secretary

LOUISVILLE, KY 40210

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
____X____ 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 (A) 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			
Class A Common	04/30/2016		F		841 ⁽¹⁾	D	\$ 103.71 ⁽²⁾	9,124 ⁽³⁾	D	
Class B Common								5,160.927 ⁽⁴⁾	I	By 401k
Class A Common								577.5515 ⁽⁵⁾	I	DRIP
Class B Common								1,513.2477 ⁽⁶⁾	I	ESPP

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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Appreciation Right	\$ 33.65					05/01/2010 04/30/2017	Class B Common 15,159
Stock Appreciation Right	\$ 35.51					05/01/2011 04/30/2018	Class B Common 14,647
Stock Appreciation Right	\$ 27.05					05/01/2012 04/30/2019	Class B Common 29,998
Stock Appreciation Right	\$ 38.43					05/01/2013 04/30/2020	Class B Common 25,177
Stock Appreciation Right	\$ 46.4					05/01/2014 04/30/2021	Class B Common 23,942
Stock Appreciation Right	\$ 58.7					05/01/2015 04/30/2022	Class B Common 22,195
Stock Appreciation Right	\$ 72.42					05/01/2016 04/30/2023	Class B Common 16,847
Stock Appreciation Right	\$ 91.97					05/01/2017 04/30/2024	Class B Common 13,222
Stock	\$ 102.25					05/01/2018 04/30/2025	Class B 15,084

Appreciation
Right

Common

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
Hamel Matthew E 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	EVP, Gen Counsel and Secretary

Signatures

Kelly A. Bowen, Attorney in Fact for Matthew E.
Hamel

05/03/2016

__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) To satisfy withholding obligations associated with the July 26, 2012 grant of Class A common stock that vested on April 30, 2016, the reporting person surrendered 841 shares of Class A common stock.
- (2) The closing price of BF-A (\$103.71) on April 29, 2016 was used to calculate the withholding obligation.
- (3) Updated to correct prior mathematical error.
- (4) The number of shares acquired through the issuer's 401(k) plan as of April 26, 2016.
- (5) Number of shares acquired through the issuer's dividend reinvestment plan as of April 27, 2016.
- (6) Number of shares acquired through the issuer's employee stock purchase program as of April 27, 2016.

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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