

CVB FINANCIAL CORP
Form EFFECT
December 29, 2015

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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 George Garvin IV

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 HWY
(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
10/11/2010

☒ 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 (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)
Class A Common				(A) or (D)			George Garvin Brown III Trust UW
Class A Common				Code V Amount (D) Price	381,811	I	
Class A Common					2,642,357	I	CBGB LLC
Class A Common					38,447	I	Trust u/a FBO Geo. Garvin

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Class B Common						1,108.5 ⁽¹⁾	D	Brown IV
Class B Common						5,992.47 ⁽²⁾	I	By 401(k) Plan
Class B Common						95,452	I	George Garvin Brown III Trust UW
Class B Common	10/11/2010		S ⁽³⁾	8,596	D	\$ 61.098 ⁽⁴⁾	360,589 I	CBGB, LLC
Class B Common						9,987	I	Trust u/a FBO Geo. Garvin Brown IV

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 25.06							05/01/2005	04/30/2012	Class B Common	808
Non-Qualified Stock Option (right to buy)	\$ 30.62							05/01/2006	04/30/2013	Class B Common	1,162

Non-Qualified Stock Option (right to buy)	\$ 36.35	05/01/2007	04/30/2014	Class B Common	1,910
Stock Appreciation Right	\$ 46.19	05/01/2008	04/30/2015	Class B Common	660
Stock Appreciation Right	\$ 56.5	05/01/2009	04/30/2016	Class B Common	907
Stock Appreciation Right	\$ 54.58	05/01/2010	04/30/2017	Class B Common	1,038
Stock Appreciation Right	\$ 57.4	05/01/2011	07/24/2018	Class B Common	953
Stock Appreciation Right	\$ 43.72	05/01/2012	04/30/2019	Class B Common	2,915
Restricted Stock Unit	(5)	(6)	(6)	Class B Common	545

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Brown George Garvin IV 850 DIXIE HWY LOUISVILLE, KY 40210	X			

Signatures

Diane M. Barhorst, Atty. in Fact for George Garvin
Brown IV

10/12/2010

__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) Includes shares held under the Brown-Forman Dividend Reinvestment Plan as of October 6, 2010.

(2) Held in 401(k) plan as of October 5, 2010.

(3) The sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the selling entity on April 15, 2010 and described in a Form 8-K filed by Brown-Forman Corporation with the SEC on April 16, 2010.

Price reported is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$61.02 to \$61.14, inclusive. The reporting person undertakes to provide to Brown-Forman Corporation, any security holder of Brown-Forman Corporation, or the staff of the SEC, upon request, full information regarding the number of shares purchased at each separate price within this range.

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

(6) The restricted stock units vest April 30, 2014.

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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