

BROWN FORMAN CORP

Form 3

June 03, 2016

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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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)

1. Name and Address of Reporting Person *

Farrer Marshall

(Last)

(First)

(Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City)

(State)

(Zip)

2. Date of Event Requiring Statement

(Month/Day/Year)

05/26/2016

3. Issuer Name and Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

4. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

5. 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**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

315

D

F

Class B Common

116

D

F

Class A Common

2,379

I

Albrecht Trust

Class A Common

1,758

I

Garvin Brown II Trust

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

SEC 1473 (7-02)

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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

3. Title and Amount of Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect Beneficial

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	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Restricted Stock Units	05/01/2017	Â ⁽¹⁾	Class B Common	296	\$ ⁽²⁾	D	Â
Restricted Stock Units	05/01/2018	Â ⁽³⁾	Class B Common	381	\$ ⁽²⁾	D	Â
Stock Appreciation Right	07/26/2007	04/30/2017	Class B Common	2,110	\$ 33.76	D	Â
Stock Appreciation Right	07/24/2008	04/30/2018	Class B Common	2,422	\$ 35.51	D	Â
Stock Appreciation Right	07/23/2009	04/30/2019	Class B Common	2,378	\$ 27.05	D	Â
Stock Appreciation Right	07/22/2010	04/30/2020	Class B Common	3,544	\$ 38.43	D	Â
Stock Appreciation Right	07/28/2011	04/30/2021	Class B Common	1,537	\$ 46.4	D	Â
Stock Appreciation Right	07/26/2012	04/30/2022	Class B Common	2,329	\$ 58.7	D	Â
Stock Appreciation Right	07/23/2015	04/30/2025	Class B Common	1,890	\$ 102.25	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Farrer Marshall 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	Â X	Â	Â	Â

Signatures

Michael E. Carr, Jr., Attorney in Fact for Marshall B.
Farrer

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.

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(3) The restricted stock units vest May 1, 2018.

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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