

BROWN FORMAN CORP
Form 4
October 22, 2013

FORM 4

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
Joy Catherine Frazier

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)
10/01/2012

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

LOUISVILLE, KY 40210
(City) (State) (Zip)

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

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	10/01/2012		G ⁽¹⁾		139,018	D	\$ 0 9,086,138	I	Avish Agincourt, LLC
Class A Common	10/01/2012		G ⁽¹⁾		139,018	A	\$ 0 9,086,138	I	Avish Agincourt, LLC
Class A Common	01/02/2013		W ⁽²⁾		1,264,790	D	\$ 0 9,086,138	I	Avish Agincourt, LLC
Class A Common	01/02/2013		W ⁽²⁾		1,264,790	A	\$ 0 9,086,138	I	Avish Agincourt,

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Class	Date	W ⁽²⁾	Shares	Code	Price	Value	Category	Holder
Class A Common	02/20/2013	W ⁽²⁾	1,551,004	D	\$ 0	9,086,138	I	Avish Agincourt, LLC
Class A Common	02/20/2013	W ⁽²⁾	1,551,004	A	\$ 0	9,086,138	I	Avish Agincourt, LLC
Class A Common						190,326	D	
Class A Common						23,184	I	Spouse
Class A Common						5,922	I	Caitlin Joy UTMA
Class A Common						22,000	I	Caitlin Joy
Class A Common						16,000	I	Charles Joy
Class A Common						10,548	I	Charles Joy UTMA
Class A Common						5,000	I	Christopher Joy
Class A Common						22,824	I	Christopher Joy UTMA
Class A Common						10,000	I	Alexander Joy
Class A Common						15,633	I	Alexander Joy UTMA
Class A Common						56,334	I	Annsley Thornton 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.

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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	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	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned
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Security

Acquired
(A) or
Disposed
of (D)
(Instr. 3,
4, and 5)Follo
Repo
Trans
(Instr

Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Joy Catherine Frazier 850 DIXIE HIGHWAY LOUISVILLE, KY 40210		X		

Signatures

Laura H. Pulliam, Attorney in Fact for Catherine Frazier Joy

10/22/2013

**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) Represents transfer of LLC units from the insider to a family trust.
- (2) Represents termination of a trust following the death of a family member and the distribution of LLC units from the trust to the insider.

Remarks:

The undersigned disclaims beneficial ownership of shares held by any entities set forth on this form except to the extent of her

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.