

Brown Campbell P
Form 4
June 13, 2018

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
Brown Campbell P

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)
05/30/2018

Director 10% Owner
 Officer (give title below) 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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| | | | | (A) or (D) Price | | | |
| Class A Common | 05/30/2018 | | G | V 1,366,618 D \$ 0 | 242,858 | D | |
| Class A Common | 05/30/2018 | | G | V 242,858 D \$ 0 | 0 | D | |
| Class A Common | 05/30/2018 | | G | V 1,366,618 A \$ 0 | 1,366,618 | I | CPBee Family 2018 LLC |
| Class A Common | 05/30/2018 | | G | V 242,858 A \$ 0 | 242,858 | I | CPBee Endowment 2018 LLC |
| | 05/30/2018 | | G ⁽¹⁾ | V 240,429 D \$ 0 | 242,858 | I | |

Edgar Filing: Brown Campbell P - Form 4

| | | | | | | | | | |
|-------------------|------------|------------------------|---|---------|---|------|------------------------|---|-----------------------------------|
| Class A Common | | | | | | | | | CPBee Endowment 2018 LLC |
| Class A Common | 05/30/2018 | <u>G⁽¹⁾</u> | V | 240,429 | A | \$ 0 | 242,858 | I | CPBee Endowment 2018 LLC |
| Class A Common | 05/30/2018 | <u>G⁽²⁾</u> | V | 953,901 | D | \$ 0 | 963,536 | I | Brown Barker 2013 LLC |
| Class A Common | 05/30/2018 | <u>G⁽²⁾</u> | V | 953,901 | A | \$ 0 | 963,536 | I | Brown Barker 2013 LLC |
| Class B Common | 05/30/2018 | <u>G</u> | V | 293,986 | D | \$ 0 | 720,783 ⁽³⁾ | D | |
| Class B Common | 05/30/2018 | <u>G</u> | V | 293,986 | A | \$ 0 | 293,986 | I | CPBee Endowment 2018 LLC |
| Class B Common | 05/30/2018 | <u>G</u> | V | 5,340 | D | \$ 0 | 30,285 | I | Trust FBO Campbell P. Brown |
| Class B Common | 05/30/2018 | <u>G</u> | V | 5,340 | A | \$ 0 | 299,326 | I | CPBee Endowment 2018 LLC |
| Class B Common | 05/30/2018 | <u>G⁽¹⁾</u> | V | 296,333 | D | \$ 0 | 299,326 | I | CPBee Endowment 2018 LLC |
| Class B Common | 05/30/2018 | <u>G⁽¹⁾</u> | V | 296,333 | A | \$ 0 | 299,326 | I | CPBee Endowment 2018 LLC |
| Class B Common | 05/30/2018 | <u>G⁽²⁾</u> | V | 907,817 | D | \$ 0 | 916,987 | I | Brown Barker 2013 LLC |
| Class B Common | 05/30/2018 | <u>G⁽²⁾</u> | V | 907,817 | A | \$ 0 | 916,987 | I | Brown Barker 2013 LLC |
| Class B Common | 05/30/2018 | <u>G⁽⁴⁾</u> | V | 87,284 | D | \$ 0 | 88,166 ⁽⁵⁾ | I | CPBee Charitable 2018 LLC |
| Class B Common | | | | | | | 88,166 ⁽⁵⁾ | I | CPBee Sale 2018 LLC |
| Class A Common | | | | | | | 1,059,108 | I | CPB 2010 #1 LLC |
| | | | | | | | 142,500 | I | |

Edgar Filing: Brown Campbell P - Form 4

| | | | | | | | |
|-------------------|--|--|--|-------------|---|--|--|
| Class A Common | | | | | | | Trust FBO Campbell P. Brown |
| Class A Common | | | | 142,500 | I | | Trust FBO Geo Garvin Brown IV (Irrev) |
| Class B Common | | | | 21,239.9324 | I | | By 401k |
| Class B Common | | | | 45 | I | | Child #1 |
| Class B Common | | | | 45 | I | | Child #2 |
| Class B Common | | | | 264,777 | I | | CPB 2010 #1 LLC |
| Class B Common | | | | 60,543 | I | | CPB 2010 #2 LLC |
| Class B Common | | | | 12,241.2376 | I | | ESPP |
| Class B Common | | | | 35,625 | I | | Trust FBO Geo Garvin Brown IV (Irrev) |

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. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr | | |
|---|--|---|---|--------------------------------------|--|--|---|---|--|-------|------------------------------|
| | | | | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of |

Reporting Owners

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

Signatures

Michael E. Carr, Jr., Attorney in Fact for Campbell P.
Brown

06/13/2018

__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 a gift of LLC interests to a family trust.
- (2) Represents a gift of LLC interests to CPBee Family 2018 LLC.
- (3) Excludes 88,166 shares that were transferred to CPBee Sale 2018 LLC and 88,166 shares that were transferred to CPBee Charitable 2018 LLC on May 30, 2018.
- (4) Represents a gift of LLC interests to a charitable foundation.
- (5) Shares were previously owned directly until transfer to the LLC on May 30, 2018.

Remarks:

The reporting person disclaims beneficial ownership of shares held by trusts and entities set forth on this form except to the extent that the reporting person is the owner of record.

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.