

BROWN FORMAN CORP  
Form 4  
March 21, 2017

**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 \*  
Barzun Brooke Brown

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)  
03/17/2017

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
\_\_X\_\_ 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)  
\_\_X\_\_ 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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  |                                | (A) or (D)<br>Code V Amount (D) Price                             |   |  |                                   |
| Class A Common                  |                                      |  |                                |   | 1,770   | I  | OB2 Marital Trust                 |
| Class B Common                  |                                      |  |                                |   | 404,678   | I  | OB2 Marital Trust                 |
| Class A Common                  |                                      |  |                                |   | 24  | I  | OB2 Reverse QTIP Trust            |
| Class B Common                  |                                      |  |                                |   | 102,896   | I  | OB2 Reverse QTIP Trust            |
| Class A Common                  |                                      |  |                                |   | 175,964   | I  | OB3 GST Exempt Trust              |

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|                   |           |   |  |
|-------------------|-----------|---|--|
| Class B<br>Common | 190,970   | I | OB3 GST<br>Exempt Trust                  |
| Class A<br>Common | 12,517    | I | OB3 GST<br>Non-Exempt<br>Trust           |
| Class A<br>Common | 6,660,230 | I | Olympus<br>Three LLC                     |
| Class A<br>Common | 40,878    | I | Trust fbo<br>Brooke<br>Barzun            |
| Class B<br>Common | 10,218    | I | Trust fbo<br>Brooke<br>Barzun            |
| Class A<br>Common | 9,763     | I | Trust fbo<br>Child-1                     |
| Class B<br>Common | 990       | I | Trust fbo<br>Child-1                     |
| Class A<br>Common | 17,391    | I | Trust fbo<br>Child-2                     |
| Class B<br>Common | 2,898     | I | Trust fbo<br>Child-2                     |
| Class A<br>Common | 17,391    | I | Trust fbo<br>Child-3                     |
| Class B<br>Common | 2,898     | I | Trust fbo<br>Child-3                     |
| Class B<br>Common | 374       | I | UTMA-1                                   |
| Class B<br>Common | 1,124     | I | UTMA-2                                   |
| Class B<br>Common | 1,124     | I | UTMA-3                                   |
| Class A<br>Common | 26,126    | I | Woodford<br>Partners<br>Kentucky,<br>LLC |

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)**

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| 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. Number of Derivative Securities Owned Following Transaction (Instr. 5) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

## Reporting Owners

| Reporting Owner Name / Address                                   | Relationships |           |         |       |
|--|---------------|-----------|---------|-------|
|  | Director      | 10% Owner | Officer | Other |
| Barzun Brooke Brown<br>850 DIXIE HIGHWAY<br>LOUISVILLE, KY 40210 |               | X         |         |       |

## Signatures

Michael E. Carr, Atty in Fact for Brooke Brown  
Barzun 03/21/2017

\_\_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).

### Remarks:

The reporting person disclaims beneficial ownership of shares held by 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.