

Holland Augusta Brown  
Form 5  
June 14, 2018

**FORM 5**

**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).  
Form 3 Holdings  
Reported  
Form 4  
Transactions  
Reported

**ANNUAL 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

OMB  
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1. Name and Address of Reporting Person \*  
Holland Augusta Brown

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading  
Symbol  
BROWN FORMAN CORP [BFA,  
BFB]

3. Statement of Issuer's Fiscal Year Ended  
(Month/Day/Year)  
04/30/2018

4. If Amendment, Date Original  
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to  
Issuer

(Check all applicable)

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

6. Individual or Joint/Group Reporting

(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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities<br>Acquired (A) or<br>Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned at end<br>of Issuer's<br>Fiscal Year<br>(Instr. 3 and 4) | 6. Ownership<br>Form: Direct<br>(D) or<br>Indirect (I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                       |                                         |                                                             |                                         | (A)<br>or<br>Amount (D) Price                                              |                                                                                                              |                                                                      |                                                                   |
| Class A<br>Common                     | 10/20/2017                              | Â                                                           | G                                       | 1,577 D \$ 0                                                               | 1,016,124                                                                                                    | D                                                                    | Â                                                                 |
| Class A<br>Common                     | 12/28/2017                              | Â                                                           | G                                       | 211 A \$ 0                                                                 | 1,016,335                                                                                                    | D                                                                    | Â                                                                 |
| Class A<br>Common                     | 12/28/2017                              | Â                                                           | G                                       | 211 A \$ 0                                                                 | 5,244                                                                                                        | I                                                                    | By Spouse                                                         |
| Class A<br>Common                     | 12/28/2017                              | Â                                                           | G                                       | 211 A \$ 0                                                                 | 8,060                                                                                                        | I                                                                    | Trust fbo<br>Child-1                                              |

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|                   |            |   |   |     |   |      |                        |   |                                 |
|-------------------|------------|---|---|-----|---|------|------------------------|---|---------------------------------|
| Class A<br>Common | 12/28/2017 | Â | G | 211 | A | \$ 0 | 5,978                  | I | Trust fbo<br>Child-2            |
| Class A<br>Common | 12/28/2017 | Â | G | 211 | A | \$ 0 | 5,978                  | I | Trust fbo<br>Child-3            |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 482,284                | I | ABH<br>GRAT<br>2007             |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 84,308                 | I | ABH<br>GRAT<br>2011             |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 41,374                 | I | CLB Trust<br>fbo<br>Child-1     |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 43,456                 | I | CLB Trust<br>fbo<br>Child-2     |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 43,456                 | I | CLB Trust<br>fbo<br>Child-3     |
| Class A<br>Common | Â          | Â | Â | Â   | Â | Â    | 40,878                 | I | Trust fbo<br>Augusta<br>Holland |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 418,059 <sup>(1)</sup> | D | Â                               |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 245,916 <sup>(2)</sup> | I | ABH<br>GRAT<br>2007             |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 76,402 <sup>(3)</sup>  | I | ABH<br>GRAT<br>2011             |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 7,201 <sup>(4)</sup>   | I | By Spouse                       |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 38,678 <sup>(5)</sup>  | I | CLB Trust<br>fbo<br>Child-1     |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 41,474 <sup>(6)</sup>  | I | CLB Trust<br>fbo<br>Child-2     |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 41,474 <sup>(6)</sup>  | I | CLB Trust<br>fbo<br>Child-3     |
| Class B<br>Common | Â          | Â | Â | Â   | Â | Â    | 1,365 <sup>(7)</sup>   | I | Hebe<br>Exempt                  |

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|                |   |   |   |   |   |   |                        |   |                              |
|----------------|---|---|---|---|---|---|------------------------|---|------------------------------|
|                |   |   |   |   |   |   |                        |   | Trust fbo ABH <sup>(8)</sup> |
| Class B Common | Â | Â | Â | Â | Â | Â | 2,412 <sup>(9)</sup>   | I | Holland Family Trust         |
| Class B Common | Â | Â | Â | Â | Â | Â | 4,290 <sup>(10)</sup>  | I | Trust fbo Child-1            |
| Class B Common | Â | Â | Â | Â | Â | Â | 1,494 <sup>(11)</sup>  | I | Trust fbo Child-2            |
| Class B Common | Â | Â | Â | Â | Â | Â | 1,494 <sup>(11)</sup>  | I | Trust fbo Child-3            |
| Class B Common | Â | Â | Â | Â | Â | Â | 22,991 <sup>(12)</sup> | I | Trust fbo Augusta Holland    |

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 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. of of D Se B O E Is Fi (I |
|--------------------------------------------|--------------------------------------------------------|--------------------------------------|----------------------------------------------------|--------------------------------|-----------------------------------------------------------------------------------------|----------------------------------------------------------|---------------------------------------------------------------|--------------------------------------------|------------------------------|
|                                            |                                                        |                                      |                                                    |                                | (A) (D)                                                                                 | Date Exercisable Expiration Date                         | Title Amount or Number of Shares                              |                                            |                              |

## Reporting Owners

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

## Signatures

Michael E. Carr, Jr., Attorney in Fact for Augusta Brown  
Holland

06/14/2018

\_\_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).
- On February 28, 2018, the issuer completed a stock split resulting in the distribution of one share of Class B common stock for every four shares of either Class A or Class B common stock held. On April 23, 2018, the issuer paid a special cash dividend. Total has been
- (1) updated to reflect the acquisition of 292,941 additional shares in the February 2018 stock split. Total has also been updated to reflect transfers from the ABH 2007 GRAT of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017, and a transfer to the ABH 2011 GRAT of 30,317 shares on May 14, 2018.
- Total has been updated to reflect the acquisition of 145,640 additional shares in the February 2018 stock split. Total has also been
- (2) updated to reflect transfers to the reporting person's direct holdings of 3,777 shares on June 16, 2017, and 3,423 shares on October 10, 2017.
- (3) Total has been updated to reflect the acquisition of 26,078 additional shares in the February 2018 stock split. Total has also been updated to reflect a transfer from the reporting person's direct holdings of 30,317 shares on May 14, 2018.
- (4) Total has been updated to reflect the acquisition of 2,489 additional shares in the February 2018 stock split.
- (5) Total has been updated to reflect the acquisition of 16,010 additional shares in the February 2018 stock split.
- (6) Total has been updated to reflect the acquisition of 16,986 additional shares in the February 2018 stock split.
- (7) Total has been updated to reflect the acquisition of 273 additional shares in the February 2018 stock split.
- (8) Previously reported as the Hebe Exempt Trust.
- (9) Total has been updated to reflect the acquisition of 482 additional shares in the February 2018 stock split.
- (10) Total has been updated to reflect the acquisition of 2,470 additional shares in the February 2018 stock split.
- (11) These shares were acquired in the February 2018 stock split.
- (12) Total has been updated to reflect the acquisition of 12,773 additional shares in the February 2018 stock split.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.