

Brown Campbell P
Form 4
May 02, 2019

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 *
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)

3. Date of Earliest Transaction (Month/Day/Year)
04/30/2019

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

850 DIXIE HIGHWAY

(Street)

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

LOUISVILLE, KY 40210

(City) (State) (Zip)

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)
Class B Common	04/30/2019		M	V Amount (D) Price 3,714 A \$ 0	724,497	D	
Class B Common	04/30/2019		F	V Amount (D) Price 1,199 D \$ 53.29 <u>(1)</u>	723,298	D	
Class B Common					21,917.7892 <u>(2)</u>	I	By 401k
Class B Common					12,466.3327 <u>(3)</u>	I	ESPP
Class B Common					916,987	I	Brown Barker 2013

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Class	Quantity	Code	Entity
Class B Common	264,777	I	LLC CPB 2010 #1 LLC
Class B Common	220,080	I	GGB4 2013 Trust
Class B Common	88,166	I	CPBee Charitable 2018 LLC
Class B Common	45	I	Child #1
Class B Common	45	I	Child #2
Class B Common	299,326	I	CPBee Endowment 2018 LLC
Class B Common	60,543	I	CPB 2010 #2 LLC
Class B Common	30,285	I	Trust FBO Campbell P. Brown
Class B Common	88,166	I	CPBee Sale 2018 LLC
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.

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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. Derivative Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or

								Number of Shares
Restricted Stock Units	(4)	04/30/2019	M	3,714	04/30/2019	(5)	Class B Common	3,714

Reporting Owners

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

Signatures

Jaileah X. Huddleston, Attorney in Fact for Campbell P.
Brown 05/02/2019

__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) The closing price of BF-B on April 30, 2019 was used to calculate the withholding obligation.
- (2) Number of shares acquired through the issuer's 401(k) plan as of May 1, 2019.
- (3) Number of shares acquired through the issuer's employee stock purchase program as of May 2, 2019.
- (4) Each restricted stock unit represents a contingent right to receive one share of Brown-Forman Class B common stock.
- (5) The Restricted Stock Units were granted on July 23, 2015, and vested on April 30, 2019.

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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