

Hamel Matthew E
Form 4
May 02, 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

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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 *
Hamel Matthew E

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)
04/30/2018

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
EVP, Gen Counsel and Secretary

LOUISVILLE, KY 40210

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

(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)
			Code	V Amount (A) or (D) Price			
Class B Common	04/30/2018		M	9,327 A \$ 13.942	44,097 ⁽¹⁾	D	
Class B Common	04/30/2018		F	4,602 D \$ 56.04 ⁽²⁾	39,495	D	
Class A Common	04/30/2018		F	482 ⁽³⁾ D \$ 53.37 ⁽⁴⁾	22,657	D	
Class B Common	04/30/2018		F	121 ⁽⁵⁾ D \$ 56.04 ⁽²⁾	39,374	D	
Class B Common					15,427.363 ⁽⁶⁾	I	By 401k

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Class B
Common 1,653.1226
(7) I ESPP

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares
Stock Appreciation Right	\$ <u>13.942</u> (8)	04/30/2018		M	9,327	05/01/2011 04/30/2018	Class B Common 9,327 (8)
Stock Appreciation Right	\$ <u>10.62</u> (9)					05/01/2012 04/30/2019	Class B Common 76,400 (9)
Stock Appreciation Right	\$ <u>15.088</u> (10)					05/01/2013 04/30/2020	Class B Common 64,125 (10)
Stock Appreciation Right	\$ <u>18.217</u> (11)					05/01/2014 04/30/2021	Class B Common 60,980 (11)
Stock Appreciation Right	\$ <u>23.047</u> (12)					05/01/2015 04/30/2022	Class B Common 56,530 (12)
Stock Appreciation Right	\$ <u>28.433</u> (13)					05/01/2016 04/30/2023	Class B Common 42,910 (13)
Stock Appreciation Right	\$ <u>36.109</u> (14)					05/01/2017 04/30/2024	Class B Common 33,670 (14)
Stock Appreciation Right	\$ <u>40.145</u> (15)					05/01/2018 04/30/2025	Class B Common 38,410 (15)

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- (12) These stock appreciation rights were previously reported as covering 44,390 shares at an exercise price of \$29.35, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.
- (13) These stock appreciation rights were previously reported as covering 33,694 shares at an exercise price of \$36.21, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.
- (14) These stock appreciation rights were previously reported as covering 26,444 shares at an exercise price of \$45.985, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.
- (15) These stock appreciation rights were previously reported as covering 30,168 shares at an exercise price of \$51.125, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.
- (16) These stock appreciation rights were previously reported as covering 44,344 shares at an exercise price of \$49.005, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.
- (17) These stock appreciation rights were previously reported as covering 37,406 shares at an exercise price of \$50.63, but were adjusted to reflect the February 2018 stock split and April 2018 special dividend.

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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