

BROWN FORMAN CORP

Form 4

March 05, 2014

# FORM 4

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

OMB APPROVAL

OMB Number: 3235-0287  
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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 \*  
Joy Catherine Frazier

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)  
12/30/2013

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  
 10% Owner  
\_\_\_\_ 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)		
				(A) or (D)	Price				
				Code	V	Amount			
Class A Common	12/30/2013		G <sup>(1)</sup>	V	8,930	D	\$ 0 9,104,152	I	Avish Agincourt, LLC
Class A Common	12/30/2013		G <sup>(1)</sup>	V	8,930	A	\$ 0 9,104,152	I	Avish Agincourt, LLC
Class A Common	01/02/2014		G <sup>(1)</sup>	V	4,280	D	\$ 0 9,104,152	I	Avish Agincourt, LLC
Class A Common	01/02/2014		G <sup>(1)</sup>	V	4,280	A	\$ 0 9,104,152	I	Avish Agincourt,

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										LLC
Class A Common							190,326	D		
Class A Common							23,184	I		Spouse
Class A Common							5,922	I		Caitlin Joy UTMA
Class A Common							22,000	I		Caitlin Joy
Class A Common							16,000	I		Charles Joy
Class A Common							10,548	I		Charles Joy UTMA
Class A Common							5,000	I		Christopher Joy
Class A Common							22,824	I		Christopher Joy UTMA
Class A Common							10,000	I		Alexander Joy
Class A Common							15,633	I		Alexander Joy UTMA
Class A Common							56,334	I		Annsley Thornton Trust
Class B Common	12/30/2013		<u>G<sup>(1)</sup></u>	V	4,052	D	\$ 0	4,130,474	I	Avish Agincourt, LLC
Class B Common	12/30/2013		<u>G<sup>(1)</sup></u>	V	4,052	A	\$ 0	4,130,474	I	Avish Agincourt, LLC
Class B Common	01/02/2014		<u>G<sup>(1)</sup></u>	V	1,942	D	\$ 0	4,130,474	I	Avish Agincourt, LLC
Class B Common	01/02/2014		<u>G<sup>(1)</sup></u>	V	1,942	A	\$ 0	4,130,474	I	Avish Agincourt, LLC
Class B Common							489,549	D		
Class B Common							30,726	I		Spouse
Class B Common							4,893	I		Caitlin Joy UTMA

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Class B Common	8,895	I	Charles Joy UTMA
Class B Common	20,773	I	Christopher Joy UTMA
Class B Common	13,125	I	Alexander Joy UTMA
Class B Common	41,046	I	Annsley Thornton Trust
Class B Common	641 <sup>(2)</sup>	I	Caitlin Joy IMA
Class B Common	641 <sup>(2)</sup>	I	Charles Joy IMA
Class B Common	641 <sup>(2)</sup>	I	Christopher Joy IMA
Class B Common	641 <sup>(2)</sup>	I	Alexander Joy UTMA

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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares
						Code	V (A) (D)		

## Reporting Owners

Reporting Owner Name / Address

**Relationships**

Director 10% Owner Officer Other

Joy Catherine Frazier  
850 DIXIE HIGHWAY  
LOUISVILLE, KY 40210

X

## Signatures

Laura H. Pulliam, Attorney in Fact for Catherine  
Frazier Joy

03/05/2014

\_\_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 transfer of LLC units from the insider to a family trust.
  - (2) Total updated to reflect dividend reinvestment and transfer of 300 shares previously reported as held by a trust.

### Remarks:

The undersigned disclaims beneficial ownership of shares held by any 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.

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