Hamel Matthew E Form 4 January 31, 2019

### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

if no longer subject to Section 16. Form 4 or Form 5

Check this box

obligations may continue. See Instruction

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(b).

(Last)

1. Name and Address of Reporting Person \* Hamel Matthew E

(First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 40210

5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

3. Date of Earliest Transaction (Month/Day/Year) 01/31/2019

4. If Amendment, Date Original

Filed(Month/Day/Year)

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005 Estimated average

0.5

burden hours per response...

Issuer

(Check all applicable)

Director 10% Owner \_X\_\_ Officer (give title \_ Other (specify

below)

EVP, Gen Counsel and Secretary

6. Individual or Joint/Group Filing(Check Applicable Line) \_X\_ 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. Transactio Code (Instr. 8)	4. Securities Acquired etion(A) or Disposed of (D) (Instr. 3, 4 and 5)  (A) or			5. Amount of Securities Beneficially Owned Following Reported Transaction(s)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
Class B			Code V	Amount	(D)	Price \$	(Instr. 3 and 4)			
Common	01/31/2019		M	19,101	A	10.62	76,510	D		
Class B Common	01/31/2019		F	9,098	D	\$ 46.53 (1)	67,412	D		
Class B Common							16,028.3181 (2)	I	By 401k	
Class B Common							2,208.947 (3)	I	ESPP	
Class B Common							1.5992 <u>(4)</u>	I	DRIP	

#### Edgar Filing: Hamel Matthew E - Form 4

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.

SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

Derivative Security (Instr. 3)	Conversion or Exercise Price of Derivative	3. Transaction Date (Month/Day/Year)	SA. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A or Disposed	Expiration Da (Month/Day/Y	6. Date Exercisable and Expiration Date (Month/Day/Year)		Amoun Securiti
	Security				(D) (Instr. 3, 4, and 5)	Date Exercisable	Expiration Date	Title	Amor or Num
				Code V	(A) (D)	Exercisable	Date		of Sh
Stock Appreciation Right	\$ 10.62	01/31/2019		M	19,10	05/01/2012	04/30/2019	Class B Common	19,1

### **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Hamel Matthew E 850 DIXIE HIGHWAY LOUISVILLE, KY 40210

EVP, Gen Counsel and Secretary

#### **Signatures**

Jaileah X. Huddleston, Attorney in Fact for Matthew E.

Hamel 01/31/2019

\*\*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 January 30, 2019 was used to calculate the withholding obligation.
- (2) Number of shares acquired through the issuer's 401(k) plan as of January 30, 2019.
- (3) Number of shares acquired through the issuer's employee stock purchase program as of January 31, 2019.
- (4) Number of shares acquired through the issuer's dividend reinvestment plan as of January 31, 2019.

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.

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