

Keyes Mike J.
Form 3
June 21, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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INITIAL STATEMENT OF 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 *

^ Keyes Mike J.

(Last) (First) (Middle)

850 DIXIE HWY

(Street)

LOUISVILLE^ 40210

(City) (State) (Zip)

2. Date of Event Requiring
Statement

(Month/Day/Year)

06/15/2018

3. Issuer Name **and** Ticker or Trading Symbol

BROWN FORMAN CORP [BFA, BFB]

4. Relationship of Reporting
Person(s) to Issuer

(Check all applicable)

___ Director ___ 10% Owner

☒ Officer ___ Other

(give title below) (specify below)

SVP, Chief Corporate Affairs

5. 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

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security
(Instr. 4)

2. Amount of Securities
Beneficially Owned
(Instr. 4)

3. Ownership
Form:
Direct (D)
or Indirect
(I)
(Instr. 5)

4. Nature of Indirect Beneficial
Ownership
(Instr. 5)

Class A Common

18,818

D

^

Class A Common

4,476.338

I

ESPP

Class B Common

8,147

D

^

Class B Common

2,237.8292

I

ESPP

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

SEC 1473 (7-02)

**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.**

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

1. Title of Derivative Security
(Instr. 4)

2. Date Exercisable and
Expiration Date

3. Title and Amount of
Securities Underlying

4. Conversion

5. Ownership

6. Nature of Indirect
Beneficial

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	(Month/Day/Year)		Derivative Security (Instr. 4)		or Exercise Price of Derivative Security	Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Appreciation Right	05/01/2013	04/30/2020	Class B Common	32,067	\$ 15.088	D	Â
Stock Appreciation Right	05/01/2014	04/30/2021	Class B Common	27,105	\$ 18.217	D	Â
Stock Appreciation Right	05/01/2015	04/30/2022	Class B Common	34,994	\$ 23.047	D	Â
Stock Appreciation Right	05/01/2016	04/30/2023	Class B Common	18,668	\$ 28.433	D	Â
Stock Appreciation Right	05/01/2017	04/30/2024	Class B Common	14,572	\$ 36.109	D	Â
Stock Appreciation Right	05/01/2018	04/30/2025	Class B Common	16,372	\$ 40.145	D	Â
Stock Appreciation Right	05/01/2019	04/30/2026	Class B Common	22,458	\$ 38.481	D	Â
Stock Appreciation Right	05/01/2020	04/30/2027	Class B Common	18,943	\$ 39.757	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Keyes Mike J. 850 DIXIE HWY LOUISVILLE 40210	Â	Â	Â SVP, Chief Corporate Affairs	Â

Signatures

Michael E. Carr, Jr., Attorney in Fact for Michael J. Keyes 06/21/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 5(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).

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.