

BERG DONALD C  
Form 4  
October 05, 2012

**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 \*  
BERG DONALD C

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)  
10/03/2012

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Chief Financial Officer

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 Ownership (Instr. 4)
			Code	V	Amount or Price		
Class A Common					22,605 <sup>(1)</sup>	D	
Class B Common	10/03/2012		M		\$ 10,000 A 23.89	51,971 <sup>(2)</sup>	D
Class B Common	10/03/2012		F		\$ 6,395 D 66.22	45,576	D
Class B Common					3,962.16 <sup>(3)</sup>	I	By 401(k) Plan

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

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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 Security (Instr. 3 and 4)	8. Amount or Number of Shares
Non-Qualified Stock Option (right to buy)	\$ <u>23.89</u> <sup>(4)</sup>	10/03/2012		M	10,000	05/01/2007 04/30/2014	Class B Common	10
Stock Appreciation Right	\$ <u>30.36</u> <sup>(5)</sup>					05/01/2008 04/30/2015	Class B Common	19
Stock Appreciation Right	\$ <u>37.13</u> <sup>(6)</sup>					05/01/2009 04/30/2016	Class B Common	15
Stock Appreciation Right	\$ <u>35.87</u> <sup>(7)</sup>					05/01/2010 04/30/2017	Class B Common	17
Stock Appreciation Right	\$ <u>37.72</u> <sup>(8)</sup>					05/01/2011 04/30/2018	Class B Common	20
Stock Appreciation Right	\$ <u>28.74</u> <sup>(9)</sup>					05/01/2012 04/30/2019	Class B Common	33
Stock Appreciation Right	\$ <u>40.83</u> <sup>(10)</sup>					05/01/2013 04/30/2020	Class B Common	18
Stock Appreciation Right	\$ <u>49.3</u> <sup>(11)</sup>					05/01/2014 04/30/2021	Class B Common	19
Stock Appreciation Right	\$ <u>62.36</u> <sup>(12)</sup>					05/01/2015 04/30/2022	Class B Common	25

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BERG DONALD C 850 DIXIE HIGHWAY LOUISVILLE, KY 40210			Chief Financial Officer	

## Signatures

Diane M. Barhorst, Attorney in Fact for Donald C.  
Berg

10/05/2012

\_\_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) On August 10, 2012, the Class A and Class B common stock of Brown-Forman Corporation split 3-2, resulting in the reporting person's acquisition of 7,535 additional shares of common stock.
  - (2) Includes 13,990 additional shares issued in the August 2012 stock split.
  - (3) Number of shares the reporting person has acquired under the Brown-Forman 401(k) plan as of 10/2/2012.
  - (4) These stock options were previously reported as covering 11,358 shares at an exercise price of \$35.83, but were adjusted to reflect the August 2012 stock split.
  - (5) These stock appreciation rights were previously reported as covering 13,251 shares at an exercise price of \$45.53, but were adjusted to reflect the August 2012 stock split.
  - (6) These stock appreciation rights were previously reported as covering 10,251 shares at an exercise price of \$55.69, but were adjusted to reflect the August 2012 stock split.
  - (7) These stock appreciation rights were previously reported as covering 11,735 shares at an exercise price of \$53.80, but were adjusted to reflect the August 2012 stock split.
  - (8) These stock appreciation rights were previously reported as covering 13,785 shares at an exercise price of \$56.58, but were adjusted to reflect the August 2012 stock split.
  - (9) These stock appreciation rights were previously reported as covering 22,587 shares at an exercise price of \$43.10, but were adjusted to reflect the August 2012 stock split.
  - (10) These stock appreciation rights were previously reported as covering 12,341 shares at an exercise price of \$61.24, but were adjusted to reflect the August 2012 stock split.
  - (11) These stock appreciation rights were previously reported as covering 13,085 shares at an exercise price of \$73.95, but were adjusted to reflect the August 2012 stock split.
  - (12) These stock appreciation rights were previously reported as covering 17,239 shares at an exercise price of \$93.54, but were adjusted to reflect the August 2012 stock split.

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.