

Hamel Matthew E  
Form 4  
May 02, 2019

**FORM 4**

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

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

## OMB APPROVAL

OMB  
Number: 3235-0287  
Expires: January 31,  
2005  
Estimated average  
burden hours per  
response... 0.5

(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)  
04/30/2019

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_X\_\_\_\_ 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)  
\_\_\_\_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. 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 A Common                  | 04/30/2019                           |                                                    | F                              |                                                                   | 1,889 <sup>(1)</sup> | D          | \$ 52.3 <sup>(2)</sup>                                                                        | 25,530                                                   | D                                                     |
| Class B Common                  | 04/30/2019                           |                                                    | M                              |                                                                   | 19,101               | A          | \$ 10.62                                                                                      | 86,513                                                   | D                                                     |
| Class B Common                  | 04/30/2019                           |                                                    | F                              |                                                                   | 10,054               | D          | \$ 52.98 <sup>(3)</sup>                                                                       | 76,459                                                   | D                                                     |
| Class B Common                  | 04/30/2019                           |                                                    | F                              |                                                                   | 473 <sup>(4)</sup>   | D          | \$ 53.29 <sup>(5)</sup>                                                                       | 75,986                                                   | D                                                     |

I By 401k

# Edgar Filing: Hamel Matthew E - Form 4

|                   |                    |   |      |
|-------------------|--------------------|---|------|
| Class B<br>Common | 16,463.4498<br>(6) |   |      |
| Class B<br>Common | 2,335.6796 (7)     | I | ESPP |
| Class B<br>Common | 2,3394 (8)         | I | DRIP |

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)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5. Number of<br>Derivative<br>Securities<br>Acquired (A)<br>or Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) |     | 7. Title and Amount<br>Underlying Security<br>(Instr. 3 and 4) |                    |                   |                                     |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|-----|----------------------------------------------------------------|--------------------|-------------------|-------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V                                                                                                            | (A)                                                            | (D) | Date<br>Exercisable                                            | Expiration<br>Date | Title             | Amount<br>or<br>Number<br>of Shares |
| Stock<br>Appreciation<br>Right                      | \$ 10.62                                                              | 04/30/2019                              |                                                             | M                                       |                                                                                                              | 19,101                                                         |     | 05/01/2012                                                     | 04/30/2019         | Class B<br>Common | 19,101                              |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships                    |
|--------------------------------------------------------------|----------------------------------|
|                                                              | Director 10% Owner Officer Other |
| Hamel Matthew E<br>850 DIXIE HIGHWAY<br>LOUISVILLE, KY 40210 | EVP, Gen Counsel and Secretary   |

## Signatures

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

05/02/2019

\*\*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) To satisfy withholding obligations associated with the July 23, 2015, award of Class A common stock that vested on April 30, 2019, the reporting person surrendered 1,889 shares of Class A common stock.
- (2) The closing price of BF-A on April 30, 2019 was used to calculate the withholding obligation.
- (3) The closing price of BF-B on April 29, 2019 was used to calculate the withholding obligation.
- (4) To satisfy withholding obligations associated with the July 23, 2015, award of Class B common stock that vested on April 30, 2019, the reporting person surrendered 473 shares of Class B common stock.
- (5) The closing price of BF-B on April 30, 2019 was used to calculate the withholding obligation.
- (6) Number of shares acquired through the issuer's 401(k) plan as of May 1, 2019.
- (7) Number of shares acquired through the issuer's employee stock purchase program as of May 2, 2019.
- (8) Number of shares acquired through the issuer's dividend reinvestment plan as of May 2, 2019.

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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