

STUBBS DACE BROWN

Form 4

March 14, 2013

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 *
STUBBS DACE BROWN

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)
07/13/2012

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify below)

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 Beneficial Ownership (Instr. 4)
			Code	V Amount (1)	(A) or (D) Price		
Class A Common	07/13/2012	07/13/2012	P	4,414 (1)	A \$ 62.75	4,414	I By spouse
Class A Common	07/13/2012	07/13/2012	G	4,414 (1)	D \$ 0 0	I	By spouse
Class A Common	07/13/2012	07/13/2012	G	4,414 (1)	A \$ 0 101,409.7	D	
Class A Common						235,495	I SMPL 2012 Partnership
Class A Common						2,379.1	I Albrecht Trust

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Class A Common							1,758.7	I	GGB Trust
Class A Common							3,882,267	I	Log House 2011 LP
Class B Common	07/13/2012	07/13/2012	P	<u>2,757</u> (1)	A	\$ 64.34	2,757	I	By spouse
Class B Common	07/13/2012	07/13/2012	G	<u>2,757</u> (1)	D	\$ 0	0	I	By spouse
Class B Common	07/13/2012	07/13/2012	G	<u>2,757</u> (1)	A	\$ 0	309,708.5	D	
Class B Common	01/31/2013	01/13/2013	G	7,679	D	\$ 0	302,029.5	D	
Class B Common							175,000	I	WKS Partnership
Class B Common							577,566	I	Log House 2011 LP

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 Securities (Instr. 3 and 4)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount of Number of Shares
Non-Qualified Stock Option (right to buy)	\$ 18.94					05/01/2003	04/30/2013	Class B Common	6,253
Non-Qualified Stock Option (right to buy)	\$ 22.49					07/22/2004	04/30/2014	Class B Common	4,867
	\$ 28.58					07/28/2005	04/30/2015		5,658

Stock Appreciation Rights					Class B Common	
Stock Appreciation Rights	\$ 34.95	07/27/2006	04/30/2006		Class B Common	4,819
Stock Appreciation Rights	\$ 33.76	07/26/2007	04/30/2017		Class B Common	5,987
Stock Appreciation Rights	\$ 35.51	07/24/2008	04/30/2018		Class B Common	5,495
Stock Appreciation Rights	\$ 27.05	07/23/2009	04/30/2019		Class B Common	6,752
Deferred Stock Units	(2)	(3)	(3)		Class B Common	3,306.9

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
STUBBS DACE BROWN 850 DIXIE HIGHWAY LOUISVILLE, KY 40210	X			

Signatures

Laura H. Pulliam, Attorney-in-Fact for Dace Brown
Stubbs 03/14/2013

__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) Number of shares has been adjusted to reflect the issuer's August 2012 stock split.
- (2) Under the Brown-Forman Corporation Non-Employee Director Deferred Stock Unit Program each DSU represents the right to receive one share of the Company's Class B common stock.
- (3) Annual grants of DSUs vest over the course of the Board year. DSUs are paid out in class B common stock on the first February 1 that is at least six months following the Director's termination from Board service.

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.