

BROWN FORMAN CORP  
Form 4  
October 22, 2013

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

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 \*  
Joy Catherine Frazier

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)  
10/01/2012

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

LOUISVILLE, KY 40210  
(City) (State) (Zip)

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

**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 B Common	10/01/2012		G <sup>(1)</sup>		63,469	D	\$ 0	4,148,269	I	Avish Agincourt, LLC
Class B Common	10/01/2012		G <sup>(1)</sup>		63,469	A	\$ 0	4,148,269	I	Avish Agincourt, LLC
Class B Common	01/02/2013		W <sup>(2)</sup>		577,439	D	\$ 0	4,148,269	I	Avish Agincourt, LLC
Class B Common	01/02/2013		W <sup>(2)</sup>		577,439	A	\$ 0	4,148,269	I	Avish Agincourt,

Edgar Filing: BROWN FORMAN CORP - Form 4

Class B Common	02/20/2013	<u>W(2)</u>	708,110	D	\$ 0	4,148,269	I	LLC Avish Agincourt, LLC
Class B Common	02/20/2013	<u>W(2)</u>	708,110	A	\$ 0	4,148,269	I	Avish Agincourt, LLC
Class B Common						489,549	D	
Class B Common						30,726	I	Spouse
Class B Common						4,893	I	Caitlin Joy UTMA
Class B Common						8,895	I	Charles Joy UTMA
Class B Common						20,773	I	Christopher Joy UTMA
Class B Common						13,125	I	Alexander Joy UTMA
Class B Common						41,046	I	Annsley Thornton Trust
Class B Common						300	I	Caitlin Joy IMA
Class B Common						300	I	Charles Joy IMA
Class B Common						300	I	Christopher Joy IMA
Class B Common						300	I	Alexander Joy IMA
Class B Common						339	I	C.F. Joy Irrev. Trust FBO Caitlin Joy
Class B Common						339	I	C.F. Joy Irrev. Trust FBO Charles Joy
Class B Common						339	I	C.F. Joy Irrev. Trust FBO Christopher Joy

Class B Common	339	I	C.F. Joy Irrev. Trust FBO Alexander Joy
-------------------	-----	---	---

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 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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Owned Following Transaction (Instr. 5)
--	--	--------------------------------------	--	--------------------------------	---	--	---	--	---

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Joy Catherine Frazier 850 DIXIE HIGHWAY LOUISVILLE, KY 40210		X		

## Signatures

Laura H. Pulliam, Attorney in Fact for Catherine Frazier Joy	10/22/2013
**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) Represents transfer of LLC units from the insider to a family trust.

## Edgar Filing: BROWN FORMAN CORP - Form 4

- (2) Represents termination of a trust following the death of a family member and the distribution of LLC units from the trust to the insider.

### **Remarks:**

The undersigned disclaims beneficial ownership of shares held by any entities set forth in this form except to the extent of her

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.