

Hinrichs Thomas  
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 \*

Â Hinrichs Thomas

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

LOUISVILLE, KY 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)

Pres., International Division

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

2,662

D

Â

Class A Common

6,3471

I

DRIP

Class B Common

3,180

D

Â

Class B Common

3,2636

I

DRIP

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

SEC 1473 (7-02)

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### 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

## Edgar Filing: Hinrichs Thomas - Form 3

|                          | (Month/Day/Year)    |                    | Derivative Security<br>(Instr. 4) |                                  | or Exercise<br>Price of<br>Derivative<br>Security | Form of<br>Derivative<br>Security:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 5) | Ownership<br>(Instr. 5) |
|--------------------------|---------------------|--------------------|-----------------------------------|----------------------------------|---------------------------------------------------|--------------------------------------------------------------------------------------|-------------------------|
|                          | Date<br>Exercisable | Expiration<br>Date | Title                             | Amount or<br>Number of<br>Shares |                                                   |                                                                                      |                         |
| Stock Appreciation Right | 05/01/2012          | 04/30/2019         | Class B<br>Common                 | 8,604                            | \$ 10.62                                          | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2013          | 04/30/2020         | Class B<br>Common                 | 6,503                            | \$ 15.088                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2014          | 04/30/2021         | Class B<br>Common                 | 12,302                           | \$ 18.217                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2015          | 04/30/2022         | Class B<br>Common                 | 14,457                           | \$ 23.047                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2016          | 04/30/2023         | Class B<br>Common                 | 11,134                           | \$ 28.433                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2017          | 04/30/2024         | Class B<br>Common                 | 8,808                            | \$ 36.109                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2018          | 04/30/2025         | Class B<br>Common                 | 11,134                           | \$ 40.145                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2019          | 04/30/2026         | Class B<br>Common                 | 14,966                           | \$ 38.481                                         | D                                                                                    | Â                       |
| Stock Appreciation Right | 05/01/2020          | 04/30/2027         | Class B<br>Common                 | 12,647                           | \$ 39.757                                         | D                                                                                    | Â                       |

## Reporting Owners

| Reporting Owner Name / Address                               | Relationships |           |                                 |       |
|--------------------------------------------------------------|---------------|-----------|---------------------------------|-------|
|                                                              | Director      | 10% Owner | Officer                         | Other |
| Hinrichs Thomas<br>850 DIXIE HIGHWAY<br>LOUISVILLE, KY 40210 | Â             | Â         | Â Pres., International Division | Â     |

## Signatures

Michael E. Carr, Jr., Attorney in Fact for Thomas  
Hinrichs

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.

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