

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  
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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 \*  
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

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  | (A) or (D)   | Price   |   |                      |
| Class A Common                  | 10/01/2012                           |  | G <sup>(1)</sup>               |   | 139,018   | D  | \$ 0 9,086,138  | I | Avish Agincourt, LLC |
| Class A Common                  | 10/01/2012                           |  | G <sup>(1)</sup>               |   | 139,018   | A  | \$ 0 9,086,138  | I | Avish Agincourt, LLC |
| Class A Common                  | 01/02/2013                           |  | W <sup>(2)</sup>               |   | 1,264,790   | D  | \$ 0 9,086,138  | I | Avish Agincourt, LLC |
| Class A Common                  | 01/02/2013                           |  | W <sup>(2)</sup>               |   | 1,264,790   | A  | \$ 0 9,086,138  | I | Avish Agincourt,     |

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| Class          | Date       | W <sup>(2)</sup> | Quantity  | Code | Price | Value     | Category | Holder                 |
|----------------|------------|------------------|-----------|------|-------|-----------|----------|------------------------|
| Class A Common | 02/20/2013 | W <sup>(2)</sup> | 1,551,004 | D    | \$ 0  | 9,086,138 | I        | Avish Agincourt, LLC   |
| Class A Common | 02/20/2013 | W <sup>(2)</sup> | 1,551,004 | A    | \$ 0  | 9,086,138 | I        | Avish Agincourt, LLC   |
| Class A Common |            |                  |           |      |       | 190,326   | D        |                        |
| Class A Common |            |                  |           |      |       | 23,184    | I        | Spouse                 |
| Class A Common |            |                  |           |      |       | 5,922     | I        | Caitlin Joy UTMA       |
| Class A Common |            |                  |           |      |       | 22,000    | I        | Caitlin Joy            |
| Class A Common |            |                  |           |      |       | 16,000    | I        | Charles Joy            |
| Class A Common |            |                  |           |      |       | 10,548    | I        | Charles Joy UTMA       |
| Class A Common |            |                  |           |      |       | 5,000     | I        | Christopher Joy        |
| Class A Common |            |                  |           |      |       | 22,824    | I        | Christopher Joy UTMA   |
| Class A Common |            |                  |           |      |       | 10,000    | I        | Alexander Joy          |
| Class A Common |            |                  |           |      |       | 15,633    | I        | Alexander Joy UTMA     |
| Class A Common |            |                  |           |      |       | 56,334    | I        | Annsley Thornton Trust |

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

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**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 | 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 | 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 Beneficially Owned |
|--|---|--------------------------------------|--|--------------------------------|------------------------------------|--|---|--|---|
|--|---|--------------------------------------|--|--------------------------------|------------------------------------|--|---|--|---|

