

NACCO INDUSTRIES INC
Form 4
December 01, 2016

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 *
SICHEL SUSAN

(Last) (First) (Middle)

NACCO INDUSTRIES, INC., 5875
LANDERBROOK DRIVE, STE.
220

(Street)

MAYFIELD HEIGHTS, OH 44124

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
NACCO INDUSTRIES INC [NC]

3. Date of Earliest Transaction
(Month/Day/Year)
11/30/2016

4. If Amendment, Date Original Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

____ Director _____ 10% Owner
____ Officer (give title below) Other (specify below)
Member of a group

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 Ownership (Instr. 4) | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--------|---|--|-----------------------------------|------------|
| | | | | Code | V | Amount | | | | (A) or (D) |
| Class A Common Stock | 11/30/2016 | | S | | | 173 | D | \$ 95.25 | 9,927 | D |
| Class A Common Stock | 11/30/2016 | | S | | | 34 | D | \$ 95.25 | 9,893 | D |
| Class A Common Stock | 11/30/2016 | | S | | | 99 | D | \$ 95.35 | 9,794 | D |
| Class A Common Stock | 11/30/2016 | | S | | | 1 | D | \$ | 9,793 | D |

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| | | | | | | | | |
|----------------------------|------------|---|-----|---|----|-------|-------|---|
| Common Stock | | | | | | 95.25 | | |
| Class A Common Stock | 11/30/2016 | S | 66 | D | \$ | 95.25 | 9,727 | D |
| Class A Common Stock | 11/30/2016 | S | 36 | D | \$ | 96.1 | 9,691 | D |
| Class A Common Stock | 11/30/2016 | S | 22 | D | \$ | 95.75 | 9,669 | D |
| Class A Common Stock | 11/30/2016 | S | 20 | D | \$ | 95.7 | 9,649 | D |
| Class A Common Stock | 11/30/2016 | S | 100 | D | \$ | 95.6 | 9,549 | D |
| Class A Common Stock | 11/30/2016 | S | 100 | D | \$ | 95.6 | 9,449 | D |
| Class A Common Stock | 11/30/2016 | S | 27 | D | \$ | 95.25 | 9,422 | D |
| Class A Common Stock | 11/30/2016 | S | 41 | D | \$ | 95.8 | 9,381 | D |
| Class A Common Stock | 11/30/2016 | S | 100 | D | \$ | 95.8 | 9,281 | D |
| Class A Common Stock | 11/30/2016 | S | 59 | D | \$ | 95.7 | 9,222 | D |
| Class A Common Stock | 11/30/2016 | S | 22 | D | \$ | 96.1 | 9,200 | D |
| Class A Common Stock | 11/30/2016 | S | 50 | D | \$ | 95.55 | 9,150 | D |
| Class A Common Stock | 11/30/2016 | S | 20 | D | \$ | 95.5 | 9,130 | D |
| Class A Common Stock | 11/30/2016 | S | 30 | D | \$ | 95.5 | 9,100 | D |

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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) | 8. Price of Derivative Security (Instr. 5) | 9. Number of Derivative Securities Owned Following Transaction (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

SICHEL SUSAN
NACCO INDUSTRIES, INC.
5875 LANDERBROOK DRIVE, STE. 220
MAYFIELD HEIGHTS, OH 44124

Member of a group

Signatures

Jesse L. Adkins,
attorney-in-fact 12/01/2016

__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).

Remarks:

"Remark on Insider Relationship" - As a member of a "group" deemed to own more than 10% of an equity security as a result

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