

NACCO INDUSTRIES INC  
Form 5  
February 14, 2017

# FORM 5

**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). Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

1. Name and Address of Reporting Person \*  
RANKIN JAMES T

(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. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
12/31/2016

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 Reporting

(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) | (A) or (D) | Price    | 5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|----------|--|--|---|
| Class A Common Stock            | 12/22/2016                           | Â  | G                              | 199   | A          | \$ 0 (1) | 1,309  | I  | Trust/RAII/Child1 (2)                                 |
| Class A Common Stock            | 12/22/2016                           | Â  | G                              | 199   | A          | \$ 0 (1) | 1,161  | I  | Trust/Child2/RAII (2)                                 |
|                                 | 12/22/2016                           | Â  | G                              | 100   | A          |          | 9,665  | I  | By RAII (3)   |

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|                            |            |   |   |     |   |             |        |   |                           |
|----------------------------|------------|---|---|-----|---|-------------|--------|---|---------------------------|
| Class A<br>Common<br>Stock |            |   |   |     |   | \$ 0<br>(1) |        |   |                           |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 1,309  | I | Trust/RAII/Child1<br>(2)  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 1,161  | I | Trust/Child2/RAII<br>(2)  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 292    | I | As<br>Custodian/Child1    |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 100    | I | By Assoc II/Child2<br>(4) |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 15,768 | I | Trust (5)                 |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 862    | I | By Spouse/RAII (6)        |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 563    | I | By Spouse (7)             |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 645    | I | Trust/Child1 (2)          |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 563    | I | Tust/Child2 (2)           |

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, | 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. of D Se B O E Is Fi (I |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|

4, and 5)

|     |                     |                    |       |  |
|-----|---------------------|--------------------|-------|--|
|     | Date<br>Exercisable | Expiration<br>Date | Title | Amount<br>or<br>Number<br>of<br>Shares |
| (A) | (D)                 |                    |       |  |

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director 10% Owner Officer Other

|  |   |   |   |                   |
|--|---|---|---|-------------------|
| RANKIN JAMES T<br>NACCO INDUSTRIES, INC.<br>5875 LANDERBROOK DRIVE, STE. 220<br>MAYFIELD HEIGHTS, OH 44124 | Â | Â | Â | Member of a group |
|--|---|---|---|-------------------|

## Signatures

/s/ Jesse L. Adkins, 02/14/2017  
attorney-in-fact

        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) N/A
- (2) Held through a trust for Reporting Person's minor niece/nephew. Reporting Person is co-trustee with his brother, Matthew M. Rankin of the trust. Reporting Person disclaims beneficial ownership of all such shares.
- (3) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----
- (4) Represents the Reporting Person's son's proportionate limited partnership interests in shares held by Rankin Associates II, L.P., which is held in a trust for the benefit of the son. Reporting Person disclaims beneficial ownership of all such shares.
- (5) Held by Trust for the benefit of Reporting Person.
- (6) Represents the Reporting Person's Spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.
- (7) By Spouse. Reporting Person disclaims beneficial ownership of all such shares.

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**Remarks:**

"Remark on Insider Relationship" - As a member of a "group" deemed to own more than 10% of

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