#### RANKIN MATTHEW M

Form 4 April 03, 2018

### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or

#### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Estimated average burden hours per response... 0.5

**OMB APPROVAL** 

3235-0287

January 31,

2005

**OMB** 

Number:

Expires:

Form 5 obligations may continue. See Instruction

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(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* RANKIN MATTHEW M

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Last)

(Middle)

NACCO INDUSTRIES INC [NC]

(Check all applicable)

NACCO INDUSTRIES, INC., 5875

(First)

LANDERBROOK DRIVE, STE.

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

03/19/2018

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

(Street)

220

4. If Amendment, Date Original

Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Member of a group

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

MAYFIELD	HEIGHTS,	OH 44124
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(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)	TransactionAcquire Code Dispose (Instr. 8) (Instr. 3		Disposed (Instr. 3,	ed (A) or ed of (D) (A) 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)		
Class A Common Stock	03/19/2018		J <u>(1)</u>	·	Amount 1,365	(D)	Price (2)	10,409	I	By Trust (3)		
Class A Common Stock	03/19/2018		<u>J(1)</u>	V	200	A	<u>(2)</u>	10,609	I	By Trust (3)		
Class A Common Stock	03/19/2018		<u>J(1)</u>	V	945	A	<u>(2)</u>	11,554	I	By Trust (3)		
Class A	03/19/2018		J <u>(1)</u>	V	1	A	<u>(2)</u>	11,555	I	By Trust (3)		

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Common Stock								
Class A Common Stock	03/19/2018	J <u>(1)</u> V	50	A	(2)	11,605	I	By Trust (3)
Class A Common Stock	03/19/2018	J <u>(1)</u> V	100	A	(2)	11,705	I	By Trust (3)
Class A Common Stock	04/02/2018	A(4)	565	A	(2)	12,270	I	By Trust (3)
Class A Common Stock						722	I	By Spouse (5)
Class A Common Stock <u>(6)</u>						2,058	I	By RAII/Spouse (7)
Class A Common Stock						645	I	Trust/Child1 (8)
Class A Common Stock						1,553	I	Trust/RAII/Child1
Class A Common Stock (6)						500	D	
Class A Common Stock (6)						9,103	I	By RAII (10)
Class A Common Stock						563	I	Trust/Child2 (8)
Class A Common Stock						1,405	I	Trust/RAII/Child2

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

Persons who respond to the collection of SEC 1474 information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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1. T	itle of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	9. Nu
Deri	ivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	orNumber	Expiration D	ate	Amour	nt of	Derivative	Deriv
Secu	ırity	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	ying	Security	Secui
(Inst	tr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securit	ties	(Instr. 5)	Bene
		Derivative				Securities			(Instr.	3 and 4)		Owne
		Security				Acquired						Follo
		•				(A) or						Repo
						Disposed						Trans
						of (D)						(Instr
						(Instr. 3,						
						4, and 5)						
										A		
										Amount		
							Date	Expiration		or		
							Exercisable	Date		Number		
					~	/ L \				of		
					Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address			_		
	Director	10% Owner	Officer	Other	
KIN MATTHEW M					

RANKIN MATTHEW M NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH 44124

X

Member of a group

Relationships

# **Signatures**

/s/ Jesse L. Adkins, attorney-in-fact

04/03/2018

\*\*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) Shares of Class A Common Stock transferred from the AM Rankin GST Trust fbo Matthew Rankin per the terms of the trust agreement.
- (2) N/A
- (3) Held through a trust for the benefit of Reporting Person.
- (4) Shares of Class A Common Stock awarded to the Reporting Person as "Required Shares" under the company's Non-Employee Directors' Equity Compensation Plan.
- (5) Held by Spouse. Reporting Person disclaims beneficial ownership of all such shares.
- As a member of a "group" deemed to own more than 10% of an equity security as a result of being a party to a Stockholders' Agreement, (6) dated as of March 15, 1990, beneficially owned by each of the signatories to such agreement (the "Agreement"), the Reporting Person disclaims beneficial ownership of any such shares of Stock owned by any other signatory to the Agreement.
- (7) Represents the Reporting Person's spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L. P. Reporting Person disclaims beneficial ownership of all such shares.
- (8) Held by Trust for Reporting Person's minor child. Reporting Person and Reporting Person's brother, James T. Rankin are co-trustees of the trust. Reporting Person disclaims beneficial ownership of all such shares.
- (9) Shares represent the Reporting Person's minor child's proportionate limited interests in shares held by Rankin Associates II, L.P. Shares held by Reporting Person as co-trustee with PNC Bank. Reporting Person disclaims beneficial ownership of all such shares.

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(10) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P. 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.