

TAPLIN THOMAS E JR  
Form 4  
August 17, 2017

**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 \*  
TAPLIN THOMAS E JR

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
NACCO INDUSTRIES, INC., 5875  
LANDERBROOK DRIVE, STE.  
220  
  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
02/08/2017

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  Other (specify below)  
Member of a group

MAYFIELD HEIGHTS, OH 44124

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) |        |   |   |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|--------|---|---|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |   |        |   |   |
|                                 |                                      |  |                                | Code  | V   | Amount   |   |        |   |   |
| Class A Common Stock            | 02/08/2017                           |  | J <sup>(1)</sup>               | V   | 1,421   | A  | ②   | 93,543 | D |   |
| Class A Common Stock            | 08/15/2017                           |  | J <sup>(3)</sup>               | V   | 3,835   | D  | ②   | 7,669  | I | Proportionate membership interest in shares held by Abigail LLC |
| Class A Common Stock            | 08/15/2017                           |  | J <sup>(3)</sup>               | V   | 3,835   | D  | ②   | 3,834  | I | Proportionate membership interest in                            |

|                            |            |                  |   |       |   |       |   |  |
|----------------------------|------------|------------------|---|-------|---|-------|---|--|
| Class A<br>Common<br>Stock | 08/15/2017 | J <sup>(3)</sup> | V | 3,834 | D | 0     | I | shares held by<br>Abigail LLC<br><br>Proportionate<br>membership<br>interest in<br>shares held by<br>Abigail LLC |
| Class A<br>Common<br>Stock |            |                  |   |       |   | 5,564 | I | By Spouse  |

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.** SEC 1474 (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 Beneficially Owned Following Reported Transaction (Instr. 6) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---|

## Reporting Owners

**Reporting Owner Name / Address**

**Relationships**

Director    10% Owner    Officer    Other

TAPLIN THOMAS E JR  
NACCO INDUSTRIES, INC.  
5875 LANDERBROOK DRIVE, STE. 220  
MAYFIELD HEIGHTS, OH 44124

Member of a group

## Signatures

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

08/17/2017

\_\_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 distributed from Beatrice Taplin 2011 GRAT as per the terms of the GRAT.
- (2) N/A
- (3) Distribution of interests in Abigail LLC pursuant to the terms of a settlement agreement.

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.