

RANKIN ELIZABETH B
Form 4
April 03, 2018

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 *
RANKIN ELIZABETH B

(Last) (First) (Middle)

NACCO INDUSTRIES, INC., 5875
LANDERBROOK DRIVE, SUITE
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)

03/19/2018

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 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 | 03/19/2018 | | J ⁽¹⁾ | V | 1,365 | A | <u>(2)</u> 10,409 | I | By Trust/Spouse ⁽³⁾ |
| Class A Common Stock | 03/19/2018 | | J ⁽¹⁾ | V | 200 | A | <u>(2)</u> 10,609 | I | By Trust/Spouse ⁽³⁾ |
| Class A Common Stock | 03/19/2018 | | J ⁽¹⁾ | V | 945 | A | <u>(2)</u> 11,554 | I | By Trust/Spouse ⁽³⁾ |
| Class A Common Stock | 03/19/2018 | | J ⁽¹⁾ | V | 1 | A | <u>(2)</u> 11,555 | I | By Trust/Spouse ⁽³⁾ |

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

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)

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| 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. Nu Deriv Secur Bene Own Follo Repo Trans (Instr |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|--|
| | | | | | | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| | | | | | | Code | V | (A) | (D) |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

RANKIN ELIZABETH B
 NACCO INDUSTRIES, INC.
 5875 LANDERBROOK DRIVE, SUITE 220
 MAYFIELD HEIGHTS, OH 44124

Member of a group

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. Reporting Person disclaims beneficial ownership of all such shares.
- (2) N/A
- (3) Held in Trust for benefit of Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (4) Spouse's shares of Class A Common Stock awarded to the Reporting Person's spouse as "Required Shares" under the company's Non-Employee Directors' Equity Compensation Plan
- (5) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P .
 Held by Trust for the benefit of Reporting Person's minor child. Spouse serves as co-trustee with PNC bank. Shares represent the minor
- (6) child's proportionate limited interests in shares held by Rankin Associates II, L.P. Reporting Person disclaims beneficial ownership of all such shares.
- (7) Held by a trust for Reporting Person's minor child. Reporting Person's spouse and Reporting Person's spouse's brother, James T. Rankin, serve as co-trustees of the trust. Reporting Person disclaims beneficial ownership of all such shares.
- (8) By Spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (9) 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.

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