

NACCO INDUSTRIES INC
Form 4
December 28, 2015

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 ALFRED M ET AL

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)

3. Date of Earliest Transaction (Month/Day/Year)
12/23/2015

Director 10% Owner
 Officer (give title below) Other (specify below)
CEO / Group Member

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

(Street)

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

MAYFIELD HEIGHTS, OH 44124

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Class A Common Stock | 12/23/2015 | | P | 843 A | \$ 41.7982 (1) 264,493 | I | AMR Main Trust(A) (2) |
| Class A Common Stock | 12/23/2015 | | P | 843 A | \$ 41.7982 (1) 25,103 | I | VGR - Trust (3) |
| Class A Common Stock | 12/23/2015 | | P | 843 A | \$ 41.7982 (1) 4,480 | I | BTR - Class A Trust |
| Class A Common Stock | 12/24/2015 | | P | 422 A | \$ 264,915 | I | AMR Main |

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| | | | | | | | | | |
|----------------------|------------|---|-----|---|-----------------------------|---------|---|--|---|
| Common Stock | | | | | 42.8334 <u>(1)</u> | | | | Trust(A) <u>(2)</u> |
| Class A Common Stock | 12/24/2015 | P | 422 | A | \$ 42.8334 <u>(1)</u> | 25,525 | I | | VGR - Trust <u>(3)</u> |
| Class A Common Stock | 12/24/2015 | P | 422 | A | \$ 42.8334 <u>(1)</u> | 4,902 | I | | BTR - Class A Trust |
| Class A Common Stock | 12/28/2015 | P | 473 | A | \$ 42.9845 <u>(1)</u> | 265,388 | I | | AMR Main Trust(A) <u>(2)</u> |
| Class A Common Stock | 12/28/2015 | P | 473 | A | \$ 42.9845 <u>(1)</u> | 25,998 | I | | VGR - Trust <u>(3)</u> |
| Class A Common Stock | 12/28/2015 | P | 473 | A | \$ 42.9845 <u>(1)</u> | 5,375 | I | | BTR - Class A Trust |
| Class A Common Stock | | | | | | 14,160 | I | | AMR - IRA <u>(4)</u> |
| Class A Common Stock | | | | | | 753 | I | | AMR - RAI <u>(5)</u> |
| Class A Common Stock | | | | | | 369 | I | | AMR - RAI <u>(6)</u> |
| Class A Common Stock | | | | | | 1,975 | I | | AMR - RMI (Delaware) <u>(7)</u> |
| Class A Common Stock | | | | | | 21,286 | I | | AMR - Trust2 (SR) <u>(8)</u> |
| Class A Common Stock | | | | | | 13,600 | I | | AMR - Trust3 (Grandchildren) <u>(9)</u> |
| Class A Common Stock | | | | | | 6 | I | | AMR RAI GP |
| Class A Common Stock | | | | | | 29,379 | I | | BTR - RAI <u>(10)</u> |
| Class A Common Stock | | | | | | 15,705 | I | | BTR - RAI <u>(11)</u> |

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| | | | | |
|----------------------------|--|-------|---|---------------------------|
| Class A Common Stock | | 2,116 | I | VGR - RAI ⁽¹²⁾ |
|----------------------------|--|-------|---|---------------------------|

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

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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) | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Class B Common Stock | <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | Class A Common Stock | 14,322 |
| Class B Common Stock | \$ 0 <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | Class A Common Stock | 1,035 |
| Class B Common Stock | <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | Class A Common Stock | 44,662 |
| Class B Common Stock | <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | Class A Common Stock | 19 |
| Class B Common Stock | <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | Class A Common Stock | 5,143 |
| | <u>(13)</u> | | | | | <u>(13)</u> | <u>(13)</u> | | 5,143 |

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Reporting Person serves as Trustee of Trusts for the benefit of each of grantor's grandchildren. Reporting Person disclaims beneficial ownership of all such shares.

(10) Represents the proportionate limited partnership interest in shares held by Rankin Associates II, L.P., which is held in a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.

(11) (BTR) Reporting Person serves as Trustee of brother's trust. The Trust includes proportionate limited partnership interest in shares held by Rankin Associates I, II and IV L.P. and Class A and B Common Stock; all of which are held in a Trust for the benefit of Reporting Person's brother, Bruce T. Rankin. Reporting Person disclaims beneficial ownership of all such shares.

(12) Represents the Reporting Person's spouse's proportionate limited partnership interest in shares held by Rankin Associates II, L.P. .. Reporting Person disclaims beneficial ownership of all such shares.

(13) N/A

(14) Represents the proportionate limited partnership interest in shares held by Rankin Associates I, L.P., which is held is a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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