

RANKIN ALFRED M ET AL
Form 4
November 02, 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 ALFRED M ET AL

2. Issuer Name and Ticker or Trading Symbol
HYSTER-YALE MATERIALS HANDLING, INC. [HY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5875 LANDERBROOK DRIVE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
11/01/2018

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman

MAYFIELD HEIGHTS, OH 44124
(City) (State) (Zip)

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

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 | 11/01/2018 | | P | 6 ⁽¹⁾ A | \$ 60.03 ₍₂₎ 7,221 | I | Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA6 |
| Class A Common Stock | 11/01/2018 | | P | 11 ⁽¹⁾ A | \$ 60.03 ₍₂₎ 18,050 | I | Reporting Person Serves as Trustee for GSTs for the |

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|----------------------------|------------|---|--------------------|---|---------------------------|--------|---|--------------------------------------------------------------------------------------------------------------------------------------------|
| Class A Common Stock | 11/01/2018 | P | 11 ⁽¹⁾ | A | \$ 60.03 <u>(2)</u> | 18,050 | I | Benefit of Helen R. Butler Reporting Person Serves as Trustee for GSTs for the Benefit of Clara R. Williams |
| Class A Common Stock | 11/01/2018 | P | 1 ⁽¹⁾ | A | \$ 60.03 <u>(2)</u> | 187 | I | Represents the proportionate interest in shares held by RAVI |
| Class A Common Stock | 11/01/2018 | P | 1 ⁽¹⁾ | A | \$ 60.03 <u>(2)</u> | 187 | I | Spouse's proportionate interest in shares held by RA VI |
| Class A Common Stock | 11/01/2018 | P | 1 ⁽¹⁾ | A | \$ 60.03 <u>(2)</u> | 187 | I | Brother's Proportionate interest in share held by Rankin Associates VI |
| Class A Common Stock | 11/01/2018 | P | 1 ⁽¹⁾ | A | \$ 61.67 <u>(3)</u> | 64 | I | Proportionate Interest in shares held by RA6 held by Rankin Management Inc. |
| Class A Common Stock | 11/01/2018 | P | 52 ⁽¹⁾ | A | \$ 61.67 <u>(3)</u> | 7,273 | I | Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA6 |
| Class A Common Stock | 11/01/2018 | P | 102 ⁽¹⁾ | A | \$ 61.67 <u>(3)</u> | 18,152 | I | Reporting Person Serves as Trustee for GSTs for the Benefit of Helen R. |

| | | | | | | | | |
|----------------------------|------------|---|--------------------|---|---------------------------|---------|---|-----------------------------------------------------------------------------------------------------------------------------|
| Class A Common Stock | 11/01/2018 | P | 102 ⁽¹⁾ | A | \$ 61.67 <u>(3)</u> | 18,152 | I | Butler Reporting Person Serves as Trustee for GSTs for the Benefit of Clara R. Williams |
| Class A Common Stock | | | | | | 175,278 | I | Represents the proportionate limited partnership interest in shares held by AMR Associates LP |
| Class A Common Stock | | | | | | 14,752 | I | Held in an Individual Retirement Account for the benefit of the Reporting Person. |
| Class A Common Stock | | | | | | 113,159 | I | Reporting Person serves as Trustee of a Trust for the benefit of the Alfred M. Rankin, Jr. |
| Class A Common Stock | | | | | | 10,271 | I | proportionate LP interest in shares held by RA I in qualified annuity interest trust-benefit of AMR |
| Class A Common Stock | | | | | | 951 | I | Represents the proportionate limited partnership interest in shares held by Rankin Associates II, |

| | | | |
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| Class A Common Stock | 19 | I | LP proportionate general partnership interest shares held by RAIV |
| Class A Common Stock | 1,087 | I | Proportionate limited partnership interest in shares held by Rankin Associates IV, L.P |
| Class A Common Stock | 226 | I | Represents the proportionate interest in shares held by RA5 |
| Class A Common Stock | 1,975 | I | proportionate LP interest in shares of RA II LP held by Rankin Management Inc as general partner |
| Class A Common Stock | 57 | I | Proportionate Interest in shares held by RA5 held by Rankin Management Inc. |
| Class A Common Stock | 18,625 | I | Reporting Person serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin. ⁽⁴⁾ |
| Class A Common Stock | 42,666 | I | proportionate LP interest in shares held by RA I LP held in trust for |

| | | | |
|----------------------------|---------|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Class A Common Stock | 26,119 | I | benefit of Bruce Rankin <u>(4)</u> proportionate LP interest in shares held by RA II LP held in trust for benefit of Bruce Rankin <u>(4)</u> |
| Class A Common Stock | 46,182 | I | Trustee of a Trust for the benefit of Bruce T Rankin, Trust's proportionate interest of RAIV <u>(4)</u> |
| Class A Common Stock | 20,040 | I | Reporting person serves as Trustee of a Trust for the benefit of Bruce T. Rankin <u>(4)</u> |
| Class A Common Stock | 111,818 | I | Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA5 |
| Class A Common Stock | 6,673 | I | Serves as trustee of trust for the benefit of Clara Rankin <u>(5)</u> |
| Class A Common Stock | 9,600 | I | Reporting Person serves as Trustee of Trusts for the benefit of each of grantor's grandchildren |

| | | | |
|----------------------------|--------|---|-----------------------------------------------------------------------------------------------------|
| Class A Common Stock | 47,698 | I | (4) spouse serves as Trustee of a Trust for the benefit of Victoire G. Rankin (4) |
|----------------------------|--------|---|-----------------------------------------------------------------------------------------------------|

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.

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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, 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 | (6) | | | | | (6) | (6) | Class A Common Stock | 204,146 |
| Class B Common Stock | (6) | | | | | (6) | (6) | Class A Common Stock | 14,160 |
| Class B Common Stock | (6) | | | | | (6) | (6) | Class A Common Stock | 17,556 |

| | | | | | |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 18,373 |
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 951 |
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 31 |
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 1,721 |
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 1,975 |
| Class B Common Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 18,625 |

| | | | | | | |
|----------------------------|------------|--|------------|------------|----------------------------|--------|
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 76,330 |
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 26,119 |
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 73,166 |
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 747 |
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 9,600 |
| Class B Common Stock | <u>(6)</u> | | <u>(6)</u> | <u>(6)</u> | Class A Common Stock | 6,889 |

| | | | | | |
|----------------------------|-----|-----|-----|----------------------------|-------|
| Class B Common Stock | (6) | (6) | (6) | Class A Common Stock | 6,889 |
|----------------------------|-----|-----|-----|----------------------------|-------|

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|----------------------------|-----|-----|-----|----------------------------|--------|
| Class B Common Stock | (6) | (6) | (6) | Class A Common Stock | 21,006 |
|----------------------------|-----|-----|-----|----------------------------|--------|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|-------------------------------------------------------------------------------|---------------|-----------|----------|-------|
| | Director | 10% Owner | Officer | Other |
| RANKIN ALFRED M ET AL 5875 LANDERBROOK DRIVE MAYFIELD HEIGHTS, OH 44124 | X | | Chairman | |

Signatures

/s/ Suzanne S. Taylor,
attorney-in-fact

11/02/2018

__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 purchased pursuant to 10b5-1 plan
- (2) 2018-Nov-1 -Block 1 Weighted Average- Share Price represents average price between \$60.00 and \$60.05.
- (3) 2018-Nov-1 -Block 2 Weighted Average- Share Price represents average price between \$61.25 and \$61.96.
- (4) Reporting Person disclaims beneficial ownership of all such shares.
- (5) Reporting person serves as Trust for Clara L.T. Rankin Trust
- (6) N/A

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.