

BUTLER JOHN C JR
Form 4
January 02, 2019

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

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 *
BUTLER JOHN C JR

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)
12/28/2018

____ Director
____ Officer (give title below) Other (specify below)
Member of a Group

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	12/28/2018		P	427 ⁽¹⁾ A	\$ 61.3602 99,937	I	Held by Trust for the benefit of Reporting Person's Spouse ⁽²⁾
Class A Common Stock	12/28/2018		P	1 ⁽¹⁾ A	\$ 61.09 ⁽³⁾ 90	I	Spouse's proportionate limited partnership interests in shares held by Rankin

Edgar Filing: BUTLER JOHN C JR - Form 4

Class A Common Stock	12/28/2018	P	2 <u>(1)</u>	A	\$ <u>61.09</u> (3)	447	I	Associates V, L.P. <u>(2)</u> Spouse's proportionate interest in shares held by Rankin Associates VI <u>(2)</u>
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.09</u> (3)	532	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.09</u> (3)	531	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.09</u> (3)	531	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.63</u> (4)	450	I	Spouse's proportionate interest in shares held by Rankin Associates VI <u>(2)</u>
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.63</u> (4)	535	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ <u>61.63</u> (4)	534	I	Child's proportionate interest in shares held by Rankin

Edgar Filing: BUTLER JOHN C JR - Form 4

Class A Common Stock	12/28/2018	P	3 <u>(1)</u>	A	\$ 61.63 <u>(4)</u>	534	I	Associates VI Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/31/2018	P	452 <u>(1)</u>	A	\$ 61.9539	100,389	I	Held by Trust for the benefit of Reporting Person's Spouse <u>(2)</u>
Class A Common Stock	12/31/2018	P	4 <u>(1)</u>	A	\$ 61.81 <u>(5)</u>	454	I	Spouse's proportionate interest in shares held by Rankin Associates VI <u>(2)</u>
Class A Common Stock	12/31/2018	P	4 <u>(1)</u>	A	\$ 61.81 <u>(5)</u>	539	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/31/2018	P	4 <u>(1)</u>	A	\$ 61.81 <u>(5)</u>	538	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	12/31/2018	P	4 <u>(1)</u>	A	\$ 61.81 <u>(5)</u>	538	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock						677	I	child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock						8,416	I	Minor child's trust's proportionate

Class A Common Stock	4,513	I	interests in shares held by Rankin Associates II. <u>(2)</u> Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock	677	I	child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	8,572	I	Minor child's trust's proportionate interests in shares held by Rankin Associates II. <u>(2)</u>
Class A Common Stock	4,357	I	Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock	5,524	I	Spouse's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	49,811	I	spouse's proportionate limited partnership interests in shares held by Rankin Associates I, L.P <u>(2)</u>
	11,750	I	

Edgar Filing: BUTLER JOHN C JR - Form 4

Class A Common Stock							spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P ⁽²⁾
Class A Common Stock				32,369	I		Spouse's proportionate limited partnership interest in shares held by RAIV Class A ⁽²⁾
Class A Common Stock				2,800	I		Held in an Individual Retirement Account for the benefit of the Reporting Person
Class A Common Stock				7,839	I		proportionate limited partnership interests in shares held by Rankin Associates II, L.P
Class A Common Stock				26,313	I		Held in trust fbo Reporting Person.

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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative	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)
---	--	---	---	--------------------------------------	-------------------------------	--	---	---

Edgar Filing: BUTLER JOHN C JR - Form 4

Derivative Security		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares
		Code	V (A) (D)				
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	790
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	8,416
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	3,683
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	790
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	8,572
Class B Common Stock	(6)			(6)	(6)	Class A Common Stock	3,527

Edgar Filing: BUTLER JOHN C JR - Form 4

Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	6,435
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	89,105
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	11,750
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	51,283
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	58,586
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	2,800
	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>		7,839

Class B
Common
Stock

Class A
Common
Stock

Class B
Common
Stock

(6)

(6)

(6)

Class A
Common Stock 17,262

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUTLER JOHN C JR 5875 LANDERBROOK DRIVE MAYFIELD HEIGHTS, OH 44124				Member of a Group

Signatures

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

01/01/2019

__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) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2018-Dec-28 -Block 1 Weighted Average- Share Price represents average price between \$60.50 and \$61.49.
- (4) 2018-Dec-28 -Block 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.09.
- (5) 2018-Dec-31 -Block 1 Weighted Average- Share Price represents average price between \$61.20 and \$62.19.
- (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.