NACCO INDUSTRIES INC

Form 4

January 08, 2016

FORM 4

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

OMB Number: 3235-0287

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Expires: January 31, 2005

OMB APPROVAL

Form 4 or Form 5 obligations may continue. See Instruction

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

response... 0.5

Estimated average

burden hours per

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person * RANKIN ROGER F			2. Issuer Name and Ticker or Trading Symbol NACCO INDUSTRIES INC [NC]	5. Relationship of Reporting Person(s) to Issuer		
(Last) (First) (Middle)		(Middle)	3. Date of Earliest Transaction	(Check all applicable)		
NACCO INI	OUSTRIES 1	INC 5875	(Month/Day/Year) 01/06/2016	Director 10% Owner Officer (give titleX Other (specify		
NACCO INDUSTRIES, INC., 5875 LANDERBROOK DRIVE., STE.			01/00/2010	below) below) Member of a group		
220						
(Street)			4. If Amendment, Date Original	6. Individual or Joint/Group Filing(Check		
			Filed(Month/Day/Year)	Applicable Line)		

MAYFIELD HEIGHTS, OH 44124

Applicable Line)
X 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. 4. Securities Acquired (A) Transaction Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8) (A) or			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	01/06/2016		Code V	Amount	(D)	Price \$ 43.7027 (1)	5,243	I	By Spouse/Trust	
Class A Common Stock	01/07/2016		P	138	A	\$ 43.1925 (1)	5,381	I	By Spouse/Trust	
Class A Common Stock							2,116	I	By Assoc II/Spouse (3)	
Class A							19,576	I	By Assoc	

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Common Stock			II/Daughter 2		
Class A Common Stock	2,046	I	By Trust (Daughter 2)		
Class A Common Stock	200	I	Reporting Person serves as Trustee for the Benefit of Elisabeth Rankin		
Class A Common Stock	17,688	I	By Assoc II/Daughter 1		
Class A Common Stock	3,933	I	By Trust (Daughter 1)		
Class A Common Stock	200	I	Reporting Person Serves as Trustee for the benefit of A. Farnham Rankin		
Class A Common Stock	6	I	By GP <u>(6)</u>		
Class A Common Stock	22,385	I	By RA4 (7)		
Class A Common Stock	33,287	I	By Assoc II		
Class A Common Stock	1,975	I	By RMI (Delaware) (9)		
Class A Common Stock	75,461	I	By Trust (10)		
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)					

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$\label{thm:convergence} \begin{tabular}{ll} Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned \\ (\emph{e.g.}, puts, calls, warrants, options, convertible securities) \\ \end{tabular}$

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. Transactic Code (Instr. 8)	5. DriNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Expiration D (Month/Day/ e	. Date Exercisable and xpiration Date Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Class B Common Stock	(11)					<u>(11)</u>	(11)	Class A Common Stock	75,504	
Class B Common Stock	(11)					<u>(11)</u>	<u>(11)</u>	Class A Common Stock	5,143	
Class B Common Stock	(11)					<u>(11)</u>	<u>(11)</u>	Class A Common Stock	5,143	
Class B Common Stock	\$ 0 (11)					<u>(11)</u>	<u>(11)</u>	Class A Common Stock	19	
Class B Common Stock	\$ 0 (11)					(11)	(11)	Class A Common Stock	62,670	
Class B Common Stock	\$ 0 (11)					<u>(11)</u>	<u>(11)</u>	Class A Common Stock	4,808	

8. Price Derivati Security (Instr. 5

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 Class B
 Class A

 Common \$0 (11)
 (11)
 Common 118,125

 Stock
 Stock

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

RANKIN ROGER F NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE., STE. 220 MAYFIELD HEIGHTS, OH 44124

Member of a group

Signatures

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

01/08/2016

Date

**Signature of Reporting Person

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) Purchases made as part of multiple share lots. Price represents average price.
- (2) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Alison Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (3) 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.
- Represents the Reporting Person's daughter's proportionate limited partnership interest in shares held by Rankin Associates II, L.P. which is held in a trust for the benefit of the daughter. Reporting Person's spouse is the co-trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.
- (5) Held by Trust, Reporting Person's Spouse is Co-Trustee for the benefit of Reporting Person's daughter. Reporting Person disclaims beneficial ownership of all such shares.
- (6) GP. Represents Reporting Person's proportionate limited partnership interest in shares of Rankin Associates IV, L.P. held by the Trust for the benefit of Reporting Person, as general partner.
- (7) (RAIV) Represents the Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates IV, L.P.
- (8) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----
- (9) Represents the Reporting Person's proportionate interest in shares held by Rankin Management, Inc. ("RMI).
- (10) Reporting Person serves as Trustee of a Trust for the benefit of Roger F. Rankin.
- (11) N/A
- (12) Represents the Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates I, L.P.-----

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.

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