### **NACCO INDUSTRIES INC**

Form 4

December 23, 2015

#### FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005

0.5

Estimated average burden hours per response...

Check this box if no longer subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

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

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* RANKIN ROGER F

(First)

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

(Middle)

NACCO INDUSTRIES INC [NC]

3. Date of Earliest Transaction

12/21/2015

(Check all applicable)

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

220

(Month/Day/Year)

Director 10% Owner Officer (give title \_\_X\_ Other (specify below)

below) Member of a group

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

MAYFIELD HEIGHTS, OH 44124

(Street)

(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)	Code (Instr. 8)	4. Securities Acquired (A) tionor Disposed of (D) (Instr. 3, 4 and 5)  (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	12/21/2015		Code V	Amount 212	(D)	Price \$ 41.1731 (1)	3,727	I	By Spouse/Trust	
Class A Common Stock	12/22/2015		P	212	A	\$ 41.491 (1)	3,939	I	By Spouse/Trust (2)	
Class A Common Stock							2,116	I	By Assoc II/Spouse (3)	
Class A							19,140	I	By Assoc	

# Edgar Filing: NACCO INDUSTRIES INC - Form 4

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	17,252	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	33,869	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)					

# Edgar Filing: NACCO INDUSTRIES INC - Form 4

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

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. Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			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>	<u>(11)</u>	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)	<u>(11)</u>	Class A Common Stock	62,670
Class B Common Stock	\$ 0 (11)					(11)	(11)	Class A Common Stock	4,808

8. Price Derivati Security (Instr. 5

### Edgar Filing: NACCO INDUSTRIES INC - Form 4

 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

n-fact 12/23/2015

\*\*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) 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.

Reporting Owners 4