

NACCO INDUSTRIES INC  
Form 5  
February 14, 2017

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2005  
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

1. Name and Address of Reporting Person \*  
**RANKIN CLAIBORNE R**

(Last) (First) (Middle)

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

(Street)

2. Issuer Name and Ticker or Trading Symbol  
**NACCO INDUSTRIES INC [NC]**

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
**12/31/2016**

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Member of a group

6. Individual or Joint/Group Reporting

(check applicable line)

**MAYFIELD HEIGHTS, OH 44124**

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|--|--|---|
|                                 |                                      |  |                                | (A) or (D) Price  |  |  |   |
| Class A Common Stock            | 12/22/2016                           | Â  | G                              | 100 D   | \$ 0 (1) 37,738  | I  | By Assoc II (2)                                       |
| Class A Common Stock            | 12/22/2016                           | Â  | G                              | 100 A   | \$ 0 (1) 10,631  | I  | By Assoc II/Son (3)                                   |
| Class A Common                  | 12/22/2016                           | Â  | G                              | 100 D   | \$ 0 (1) 37,738  | I  | By Assoc II (2)                                       |

Edgar Filing: NACCO INDUSTRIES INC - Form 5

| Stock                      |            |   |   |     |   |             |        |   |                             |
|----------------------------|------------|---|---|-----|---|-------------|--------|---|-----------------------------|
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 13,631 | I | By Assoc<br>II/Daughter (3) |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 41  | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 60  | D | \$ 0<br>(1) | 37,738 | I | By Assoc II<br>(2)          |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 10,631 | I | By Assoc<br>II/Son (3)      |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 13,631 | I | By Assoc<br>II/Daughter (3) |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 2,116  | I | By Assoc<br>II/Spouse (4)   |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 2,360  | I | By<br>Spouse/Trust<br>(5)   |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 6      | I | By GP (6)                   |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 19,578 | I | By RA4 (7)                  |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 1,975  | I | By RMI<br>(Delaware) (8)    |

Edgar Filing: NACCO INDUSTRIES INC - Form 5

Class A  
Common Stock     Â                     Â                     Â                     Â                     Â                     25,768     I                     By Trust <sup>(9)</sup>

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 2270  
(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 or Deriv Secur (Instr. 3) |        |   |
|--|--|--------------------------------------|--|--------------------------------|---|-----|--|------------------|---|------------------------------------|--------|---|
|  |  |                                      |  |                                | (A)   | (D) | Date Exercisable   | Expiration Date  |   |                                    |        |   |
| Class B Common Stock                       | Â  | Â                                    | Â  | Â                              | Â   | Â   | Â  | Â <sup>(1)</sup> | Â <sup>(1)</sup>  | Class A Common Stock               | 50,000 | Â |
| Class B Common Stock                       | Â  | Â                                    | Â  | Â                              | Â   | Â   | Â  | Â <sup>(1)</sup> | Â <sup>(1)</sup>  | Class A Common Stock               | 5,143  | Â |
| Class B Common Stock                       | Â  | Â                                    | Â  | Â                              | Â   | Â   | Â  | Â <sup>(1)</sup> | Â <sup>(1)</sup>  | Class A Common Stock               | 5,143  | Â |
| Class B Common                             | Â  | Â                                    | Â  | Â                              | Â   | Â   | Â  | Â <sup>(1)</sup> | Â <sup>(1)</sup>  | Class A Common                     | 5,143  | Â |

Stock

Stock

|                         |                     |   |   |   |   |   |   |                  |                  |                         |        |   |
|-------------------------|---------------------|---|---|---|---|---|---|------------------|------------------|-------------------------|--------|---|
| Class B<br>Common Stock | \$ 0 <sup>(1)</sup> | Â | Â | Â | Â | Â | Â | Â <sup>(1)</sup> | Â <sup>(1)</sup> | Class A<br>Common Stock | 19     | Â |
| Class B<br>Common Stock | \$ 0 <sup>(1)</sup> | Â | Â | Â | Â | Â | Â | Â <sup>(1)</sup> | Â <sup>(1)</sup> | Class A<br>Common Stock | 65,478 | Â |
| Class B<br>Common Stock | \$ 0 <sup>(1)</sup> | Â | Â | Â | Â | Â | Â | Â <sup>(1)</sup> | Â <sup>(1)</sup> | Class A<br>Common Stock | 20,312 | Â |
| Class B<br>Common Stock | \$ 0 <sup>(1)</sup> | Â | Â | Â | Â | Â | Â | Â <sup>(1)</sup> | Â <sup>(1)</sup> | Class A<br>Common Stock | 97,312 | Â |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |                   |
|--|---------------|-----------|---------|-------------------|
|  | Director      | 10% Owner | Officer | Other             |
| RANKIN CLAIBORNE R<br>NACCO INDUSTRIES, INC.<br>5875 LANDERBROOK DRIVE, STE. 220<br>MAYFIELD HEIGHTS, OH 44124 | Â             | Â         | Â       | Member of a group |

## Signatures

/s/ Jesse L. Adkins, 02/14/2017  
attorney-in-fact

<sup>\*\*</sup>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) N/A
- (2) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----
- (3) Represents the Reporting Person's child'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 child. Reporting Person is the co-trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.
- (4) 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.

Edgar Filing: NACCO INDUSTRIES INC - Form 5

- (5) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Chloe O. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (6) GP. Represents the 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) RA4. 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 interest in shares held by Rankin Management, Inc. ("RMI").
- (9) Reporting Person serves as Trustee of a Trust for the benefit of Claiborne R. Rankin.
- (10) Represents the Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates I, L.P.----- -

Â

**Remarks:**

"Remark on Insider Relationship" - As a member of a "group" deemed to own more than 10% of

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.