

NACCO INDUSTRIES INC
Form 5
February 14, 2017

FORM 5

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).
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 ALFRED M ET AL

(Last) (First) (Middle)

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)
 Director 10% Owner
 Officer (give title below) Other (specify below)
CEO / Group Member

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

(Street)

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

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)	Amount or Price		
Class A Common Stock	12/22/2016	Â	G	199 D	\$ 0 (1) 1,277	I	AMR - RAI (2)
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	12/22/2016	Â	G	199 D	1,277	I	AMR - RAI (2)

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Class A Common Stock						\$ 0 (1)			
Class A Common Stock	12/22/2016	Â	G	199	D	\$ 0 (1)	1,277	I	AMR - RAII (2)
Class A Common Stock	12/28/2016	Â	G	27,500	D	\$ 0 (1)	271,711	I	AMR Main Trust(A) (3)
Class A Common Stock	Â	Â	Â	Â	Â	Â	14,160	I	AMR - IRA (4)
Class A Common Stock	Â	Â	Â	Â	Â	Â	323	I	AMR - RAIV (5)
Class A Common Stock	Â	Â	Â	Â	Â	Â	1,975	I	AMR - RMI (Delaware) (6)
Class A Common Stock	Â	Â	Â	Â	Â	Â	21,286	I	AMR - Trust2 (SR) (7)
Class A Common Stock	Â	Â	Â	Â	Â	Â	9,600	I	AMR - Trust3 (Grandchildren) (8)
Class A Common Stock	Â	Â	Â	Â	Â	Â	6	I	AMR RAIV GP
Class A Common Stock	Â	Â	Â	Â	Â	Â	26,929	I	BTR - RAII (9)
Class A Common Stock	Â	Â	Â	Â	Â	Â	13,736	I	BTR - RAIV (10)
Class A Common Stock	Â	Â	Â	Â	Â	Â	14,313	I	BTR - Class A Trust
Class A Common Stock	Â	Â	Â	Â	Â	Â	34,936	I	VGR - Trust (11)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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		
					(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	14,322	Â
Class B Common Stock	\$ 0 (1)	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	1,081	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	44,662	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	19	Â
Class B Common Stock	\$ 0 (1)	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	45,939	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	5,143	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	5,143	Â

^

Remarks:

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

Note: File three copies of this Form, one of which must be manually signed. If space provided is insufficient, *see* Instruction 6 for procedure.

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