

NACCO INDUSTRIES INC
Form 4
December 21, 2015

FORM 4 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).

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 *
RANKIN ALFRED M ET AL

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

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

3. Date of Earliest Transaction
(Month/Day/Year)
11/04/2015

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

(Street)

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

MAYFIELD HEIGHTS, OH 44124

(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. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned or 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	11/04/2015		J ⁽¹⁾	V 50 D <u>(2)</u>	24,097	I	AMR - Trust2 (SR) ⁽³⁾
Class A Common Stock	11/04/2015		J ⁽¹⁾	V 25 D <u>(2)</u>	24,072	I	AMR - Trust2 (SR) ⁽³⁾
Class A Common Stock	11/04/2015		J ⁽¹⁾	V 100 D <u>(2)</u>	23,972	I	AMR - Trust2 (SR) ⁽³⁾
Class A Common Stock	11/04/2015		J ⁽¹⁾	V 1 D <u>(2)</u>	23,971	I	AMR - Trust2

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Common Stock									(SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 472	D <u>(2)</u>	23,499		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 100	D <u>(2)</u>	23,399		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 683	D <u>(2)</u>	22,716		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 682	D <u>(2)</u>	22,034		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 50	D <u>(2)</u>	21,984		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 25	D <u>(2)</u>	21,959		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 100	D <u>(2)</u>	21,859		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 473	D <u>(2)</u>	21,386		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock	11/04/2015	J ⁽¹⁾	V 100	D <u>(2)</u>	21,286		I		AMR - Trust2 (SR) <u>(3)</u>
Class A Common Stock					14,160		I		AMR - IRA <u>(4)</u>
Class A Common Stock					753		I		AMR - RAI <u>(5)</u>
Class A Common Stock					369		I		AMR - RAIV <u>(6)</u>
Class A Common Stock					1,975		I		AMR - RMI (Delaware) <u>(7)</u>
Class A Common Stock					13,600		I		AMR - Trust3 (Grandchildren) <u>(8)</u>

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Class A Common Stock	261,964	I	AMR Main Trust(A) ⁽⁹⁾
Class A Common Stock	6	I	AMR RAIV GP
Class A Common Stock	29,379	I	BTR - RAII ⁽¹⁰⁾
Class A Common Stock	15,705	I	BTR - RAIV ⁽¹¹⁾
Class A Common Stock	1,951	I	BTR - Class A Trust
Class A Common Stock	2,116	I	VGR - RAII ⁽¹²⁾
Class A Common Stock	22,574	I	VGR - Trust ⁽¹³⁾

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.

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(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 of Derivative Security (Instr. 5)	
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares
						Code	V	(A)	(D)
Class B Common Stock	(2)					(2)	(2)	Class A Common Stock	14,322

Class B Common Stock	\$ 0 (2)	(2)	(2)	Class A Common Stock	1,035
Class B Common Stock	(2)	(2)	(2)	Class A Common Stock	44,662
Class B Common Stock	(2)	(2)	(2)	Class A Common Stock	19
Class B Common Stock	\$ 0 (2)	(2)	(2)	Class A Common Stock	43,969
Class B Common Stock	(2)	(2)	(2)	Class A Common Stock	5,143
Class B Common Stock	(2)	(2)	(2)	Class A Common Stock	5,143
Class B Common Stock	\$ 0 (2)	(2)	(2)	Class A Common Stock	61,768

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RANKIN ALFRED M ET AL NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH 44124	X		CEO	Group Member

Signatures

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

12/21/2015

__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) Transfer of shares pursuant to terms of the GST.
- (2) N/A
- (3) Reporting Person serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (4) Held in an Individual Retirement Account for the benefit of the Reporting Person.
- (5) Represents the Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates II, L.P.
- (6) Represents Reporting Person's Proportionate limited partnership interest in shares held by Rankin Associates IV, L.P.
- (7) Represents the Reporting Person's proportionate limited partnership interest in shares of Rankin Associates II, L.P. held by Rankin Management, Inc. ("RMI"), as general partner.
- (8) Reporting Person serves as Trustee of Trusts for the benefit of each of grantor's grandchildren. Reporting Person disclaims beneficial ownership of all such shares.
- (9) Reporting Person serves as Trustee of a Trust for the benefit of the Alfred M. Rankin, Jr.
Represents the proportionate limited partnership interest in shares held by Rankin Associates II, L.P., which is held in a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.
- (10) (BTR) Reporting Person serves as Trustee of brother's trust. The Trust includes proportionate limited partnership interest in shares held by Rankin Associates I, II and IV L.P. and Class A and B Common Stock; all of which are held in a Trust for the benefit of Reporting Person's brother, Bruce T. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (11) 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.
- (12) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Victoire G. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
Represents the proportionate limited partnership interest in shares held by Rankin Associates I, L.P., which is held in a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.
- (13) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Victoire G. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
Represents the proportionate limited partnership interest in shares held by Rankin Associates I, L.P., which is held in a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.
- (14) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Victoire G. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
Represents the proportionate limited partnership interest in shares held by Rankin Associates I, L.P., which is held in a trust for the benefit of Bruce T. Rankin. Reporting Person serves as the Trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.

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.