

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 \*  
**BUTLER HELEN RANKIN**

(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                              | 199 A \$ 0 (1)  | 8,048  | I  | By RAI/Child 1 (2)                                    |
| Class A Common Stock            | 12/22/2016                           | Â  | G                              | 199 D \$ 0 (1)  | 12,303   | I  | By RAI (3)  |
| Class A Common                  | 12/22/2016                           | Â  | G                              | 199 A \$ 0 (1)  | 8,204  | I  | By RAI/Child 2  |

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| Stock                      |            |   |   |     |   |             |        |   |  | (2)                        |
|----------------------------|------------|---|---|-----|---|-------------|--------|---|--|----------------------------|
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | D | \$ 0<br>(1) | 12,303 | I |  | By RAII (3)                |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100 | A | \$ 0<br>(1) | 12,303 | I |  | By RAII (3)                |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | A | \$ 0<br>(1) | 12,303 | I |  | By RAII (3)                |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | A | \$ 0<br>(1) | 7,471  | I |  | By<br>RAII/Spouse<br>(4)   |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | A | \$ 0<br>(1) | 8,048  | I |  | By<br>RAII/Child 1<br>(2)  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 199 | A | \$ 0<br>(1) | 8,204  | I |  | By<br>RAII/Child 2<br>(2)  |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 4,083  | I |  | By<br>Trust-Child 1<br>(5) |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 3,927  | I |  | By<br>Trust-Child 2<br>(5) |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 9,628  | I |  | by RAIIV (6)               |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 68,094 | I |  | By Trust (7)               |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 2,800  | I |  | By<br>Spouse/IRA<br>(8)    |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â   | Â | Â           | 44,928 | I |  | By<br>Spouse/Trust<br>(9)  |

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

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(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

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| 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. Pri Deriv Secur (Instr. |                            |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|----------------------------|
|  |  |                                      |  |                                |   | Date Exercisable   | Expiration Date   | Title                      | Amount or Number of Shares |
|  |  |                                      |  |                                |   | (A)  | (D)   |                            |                            |
| Class B Common Stock                       | Â  | Â                                    | Â  | Â                              | Â   | Â  | Â   | Class A Common Stock       | 69,458                     |
| Class B Common Stock                       | \$ 0   | Â                                    | Â  | Â                              | Â   | Â  | Â   | Class A Common Stock       | 32,199                     |
| Class B Common Stock                       | Â  | Â                                    | Â  | Â                              | Â   | Â  | Â   | Class A Common Stock       | 9,195                      |

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |                   |
|---|---------------|-----------|---------|-------------------|
|   | Director      | 10% Owner | Officer | Other             |
| BUTLER HELEN RANKIN<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, attorney-in-fact 02/14/2017

         \*\*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 child's proportionate limited partnership interests in shares held by Rankin Associates II, L.P. Reporting Person disclaims beneficial ownership of all such shares.
- (3) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----
- (4) Represents the Reporting Person's spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P. Reporting Person disclaims beneficial ownership of all such shares.

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- (5) Held by Trust, John C. Butler, Jr., Trustee, for the benefit of Reporting Person's minor child. Reporting Person disclaims beneficial ownership of all such shares.
- (6) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates IV, L.P.
- (7) Held by Trust for the benefit of Reporting Person.
- (8) Held in an Individual Retirement Account for the benefit of the Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (9) Reporting Person's spouse serves as Trustee of the J.C. Butler, Jr. Revocable Trust. Reporting Person disclaims all beneficial ownership of all such shares.
- (10) RAI-Represents Reporting Person's limited partnership interest in shares held by Rankin Associates I, L.P.

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### Remarks:

"Remark on Insider relationship to Issuer" As a member of a "group" deemed to own more than

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