

BUTLER JOHN C JR
Form 4
April 03, 2019

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 *
BUTLER JOHN C JR

2. Issuer Name and Ticker or Trading Symbol
HYSTER-YALE MATERIALS HANDLING, INC. [HY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)
5875 LANDERBROOK DRIVE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
04/01/2019

____ Director
____ Officer (give title below) Other (specify below)
Member of a Group

MAYFIELD HEIGHTS, OH 44124
(City) (State) (Zip)

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

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 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)
				(A) or (D) Code V Amount (D) Price			
Class A Common Stock	04/01/2019		P	782 ⁽¹⁾ A \$ 64.5419	114,707	I	Held by Trust for the benefit of Reporting Person's Spouse ⁽²⁾
Class A Common Stock	04/01/2019		P	1 ⁽¹⁾ A \$ 64.54 ⁽³⁾	101	I	Spouse's proportionate limited partnership interests in shares held by Rankin

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Class A Common Stock	04/01/2019	P	1 <u>(1)</u>	A	\$ 64.54 <u>(3)</u>	511	I	Associates V, L.P. <u>(2)</u> Spouse's proportionate interest in shares held by Rankin Associates VI <u>(2)</u>
Class A Common Stock	04/01/2019	P	2 <u>(1)</u>	A	\$ 64.54 <u>(3)</u>	607	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	04/01/2019	P	1 <u>(1)</u>	A	\$ 64.54 <u>(3)</u>	605	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	04/01/2019	P	1 <u>(1)</u>	A	\$ 64.54 <u>(3)</u>	605	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	04/01/2019	A ⁽⁴⁾	437	A	\$ 0	27,206	I	Held in trust fbo Reporting Person.
Class A Common Stock	04/02/2019	P	782 <u>(1)</u>	A	\$ 64.7064	115,489	I	Held by Trust for the benefit of Reporting Person's Spouse <u>(2)</u>
Class A Common Stock	04/02/2019	P	1 <u>(1)</u>	A	\$ 64.71 <u>(5)</u>	512	I	Spouse's proportionate interest in shares held by Rankin Associates VI <u>(2)</u>
Class A Common Stock	04/02/2019	P	1 <u>(1)</u>	A	\$ 64.71 <u>(5)</u>	608	I	Reporting person's proportionate interest in

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Class A Common Stock	04/02/2019	P	2 <u>(1)</u>	A	\$ 64.71 <u>(5)</u>	607	I	shares held by Rankin Associates VI Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	04/02/2019	P	2 <u>(1)</u>	A	\$ 64.71 <u>(5)</u>	607	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock						677	I	child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock						8,416	I	Minor child's trust's proportionate interests in shares held by Rankin Associates II. <u>(2)</u>
Class A Common Stock						4,513	I	Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock						677	I	child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock						8,572	I	Minor child's trust's proportionate interests in shares held by Rankin

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Class A Common Stock	4,357	I	Associates II. <u>(2)</u> Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock	81,009	I	Spouse's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	49,811	I	spouse's proportionate limited partnership interests in shares held by Rankin Associates I, L.P <u>(2)</u>
Class A Common Stock	11,750	I	spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P <u>(2)</u>
Class A Common Stock	32,369	I	Spouse's proportionate limited partnership interest in shares held by RAIV Class A <u>(2)</u>
Class A Common Stock	2,800	I	Held in an Individual Retirement Account for the benefit of the Reporting Person

Class A Common Stock	7,839	I	proportionate limited partnership interests in shares held by Rankin Associates II, L.P
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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)

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	(6)					(6)	(6)	Class A Common Stock	790
Class B Common Stock	(6)					(6)	(6)	Class A Common Stock	8,416
Class B Common Stock	(6)					(6)	(6)	Class A Common Stock	3,683

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Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	790
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	8,572
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	3,527
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	94,355
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	89,105
Class B Common Stock	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>	Class A Common Stock	11,750
	<u>(6)</u>		<u>(6)</u>	<u>(6)</u>		51,283

Class B
Common
Stock

Class A
Common
Stock

Class B
Common
Stock

(6)

(6)

(6)

Class A
Common
Stock

58,586

Class B
Common
Stock

(6)

(6)

(6)

Class A
Common
Stock

2,800

Class B
Common
Stock

(6)

(6)

(6)

Class A
Common
Stock

7,839

Class B
Common
Stock

(6)

(6)

(6)

Class A
Common
Stock

17,262

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

BUTLER JOHN C JR
5875 LANDERBROOK DRIVE
MAYFIELD HEIGHTS, OH 44124

Member of a Group

Signatures

/s/ Suzanne S. Taylor,
attorney-in-fact

04/03/2019

__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) Shares purchased pursuant to 10b5-1 plan
- (2) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2019-Apr-1-Weighted Average - Share Price represents average price between \$64.20 and \$64.99.
- (4) Award-Shares of Class A Common Stock awarded to the Reporting Person as "Required Shares" under the company's Non-Employee Directors' Equity Compensation Plan.
- (5) 2019-Apr-2-Weighted Average - Share Price represents average price between \$64.29 and \$64.99.
- (6) N/A

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.