

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 Lynne T

(Last) (First) (Middle)

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

(Street)

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

____ Director _____ 10% Owner
____ 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 Reporting

(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) | (A) or (D) | Price | 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|----------|--|--|---|
| Class A Common Stock | 12/22/2016 | Â | G | 199 | A | \$ 0 (1) | 1,309 | I | Trust/RAII/Child1 (2) |
| Class A Common Stock | 12/22/2016 | Â | G | 199 | A | \$ 0 (1) | 1,161 | I | Trust/RAII/Child2 (2) |
| | 12/22/2016 | Â | G | 100 | A | | 9,665 | I | By Spouse/RAII (3) |

Edgar Filing: NACCO INDUSTRIES INC - Form 5

| | | | | | | | | | |
|----------------------------|------------|---|---|-----|---|-------------|--------|---|----------------------------|
| Class A Common Stock | | | | | | \$ 0 (1) | | | |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 100 | I | By Assoc II/Child2 (4) |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 292 | I | By Custodian/Child1 |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 1,309 | I | Trust/RAII/Child1 (2) |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 1,161 | I | Trust/RAII/Child2 (2) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 15,768 | I | By Spouse/Trust (5) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 563 | D | Â |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 862 | I | By RAII (6) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 645 | I | Spouse/Trust/Child1 (7) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 563 | I | Spouse/Trust/Child2 (7) |

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, | 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) | 9. of D Se B O E Is Fi (I |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|---------------------------|

