

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 ELIZABETH B
 (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)
 Member of a group

NACCO INDUSTRIES, INC., 5875 LANDERBROOK DRIVE, SUITE 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) | (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 | D | \$ 0 (1) | 9,267 | I | By RAI/Spouse (2) |
| Class A Common Stock | 12/22/2016 | Â | G | 199 | A | \$ 0 (1) | 1,309 | I | By Spouse/Co-Trustee for Child1/RAII (3) |
| | 12/22/2016 | Â | G | 199 | A | | 1,161 | I | |

Edgar Filing: NACCO INDUSTRIES INC - Form 5

| | | | | | | | | | |
|----------------------------|------------|---|---|-----|---|-------------|-------|---|---|
| Class A Common Stock | | | | | | \$ 0 (1) | | | By Spouse/Co-Trustee for Child2/RAII (3) |
| Class A Common Stock | 12/22/2016 | Â | G | 199 | D | \$ 0 (1) | 9,267 | I | By RAI/Spouse (2) |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 9,267 | I | By RAI/Spouse (2) |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 1,309 | I | By Spouse/Co-Trustee for Child1/RAII (3) |
| Class A Common Stock | 12/22/2016 | Â | G | 100 | A | \$ 0 (1) | 1,161 | I | By Spouse/Co-Trustee for Child2/RAII (3) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 722 | D | Â |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 2,058 | I | By RAI (4) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 645 | I | By Spouse/Co-Trustee for Child1/Trust (5) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 500 | I | By Spouse (6) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 8,488 | I | By Trust/Spouse (7) |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 563 | I | By Spouse/Co-Trustee for Child2/Trust (5) |

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 | 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 |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|----------------|

(A) or
Disposed
of (D)
(Instr. 3,
4, and 5)

| (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|-----|-----|---------------------|--------------------|-------|--|
|-----|-----|---------------------|--------------------|-------|--|

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

RANKIN ELIZABETH B
NACCO INDUSTRIES, INC.
5875 LANDERBROOK DRIVE, SUITE 220
MAYFIELD HEIGHTS, OH 44124

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 spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L. P. Reporting Person disclaims beneficial ownership of all such shares.
- (3) Held by Trust for the benefit of Reporting Person's minor child. Spouse serves as co-trustee with PNC bank. Shares represent the minor child's proportionate limited interests in shares held by Rankin Associates II, L.P. Reporting Person disclaims beneficial ownership of all such shares.
- (4) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P .
- (5) Held by a trust for Reporting Person's minor child. Reporting Person's spouse and Reporting Person's spouse's brother, James T. Rankin, serve as co-trustees of the trust. Reporting Person disclaims beneficial ownership of all such shares.
- (6) By Spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (7) Held in Trust for benefit of Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.

^

Remarks:

As a member of a "group" deemed to own more than 10% of an equity security as a result of

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.