

NACCO INDUSTRIES INC
Form 4
February 14, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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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.
300

3. Date of Earliest Transaction
(Month/Day/Year)
02/13/2013

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

CLEVELAND, 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 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)	Price				
				Code	V	Amount			
Class A Common Stock	02/08/2013		J ⁽¹⁾	V	37,354	D	0	I	By GRAT2011 ⁽³⁾
Class A Common Stock	02/08/2013		J ⁽¹⁾	V	37,354	A	165,485	I	AMR Main Trust(A) ⁽⁴⁾
Class A Common Stock	02/13/2013		A ⁽⁵⁾		60,985	A	\$ 0 226,470	I	AMR Main Trust(A) ⁽⁴⁾
Class A							14,160	I	AMR - IRA ⁽⁶⁾

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Common Stock			
Class A Common Stock	753	I	AMR - RAII ⁽⁷⁾
Class A Common Stock	369	I	AMR - RAIV ⁽⁸⁾
Class A Common Stock	1,975	I	AMR - RMI (Delaware) ⁽⁹⁾
Class A Common Stock	27,008	I	AMR - Trust2 (SR) ⁽¹⁰⁾
Class A Common Stock	18,400	I	AMR - Trust3 (Grandchildren) ⁽¹¹⁾
Class A Common Stock	30,000	I	AMR JR 2012 GRAT(A) ⁽¹²⁾
Class A Common Stock	6	I	AMR RAIV GP
Class A Common Stock	29,370	I	AMR/Trust (Unitrust) ⁽¹³⁾
Class A Common Stock	29,379	I	BTR - RAII ⁽¹⁴⁾
Class A Common Stock	15,705	I	BTR - RAIV ⁽¹⁵⁾
Class A Common Stock	740	I	BTR - Class A Trust
Class A Common Stock	630	I	CTR - Trust ⁽¹⁶⁾
Class A Common Stock	2,116	I	VGR - RAII ⁽¹⁷⁾
Class A Common Stock	21,006	I	VGR - Trust ⁽¹⁸⁾

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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)	
					V	(A)	(D)	Date Exercisable	Expiration Date		
Class B Common Stock	\$ 0	02/08/2013		J ⁽¹⁹⁾	V		12,068	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	12,068
Class B Common Stock	<u>(2)</u>	02/08/2013		J ⁽¹⁹⁾	V	12,068		<u>(2)</u>	<u>(2)</u>	Class A Common Stock	12,068
Class B Common Stock	\$ 0	02/08/2013		G	V		18,966	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	18,966
Class B Common Stock	\$ 0	02/08/2013		G	V		18,966	<u>(2)</u>	<u>(2)</u>	Class A Common Stock	18,966
Class B Common Stock	<u>(2)</u>							<u>(2)</u>	<u>(2)</u>	Class A Common Stock	2,254
Class B Common Stock	\$ 0 <u>(2)</u>							<u>(2)</u>	<u>(2)</u>	Class A Common Stock	1,035
Class B Common Stock	<u>(2)</u>							<u>(2)</u>	<u>(2)</u>	Class A Common Stock	19
Class B Common Stock	\$ 0 <u>(2)</u>							<u>(2)</u>	<u>(2)</u>	Class A Common Stock	43,969
Class B Common Stock	<u>(2)</u>							<u>(2)</u>	<u>(2)</u>	Class A Common Stock	5,143

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- (8) Represents Reporting Person's Proportionate limited partnership interest in shares held by Rankin Associates IV, L.P.
- (9) 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.
- (10) 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.
- (11) 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.
- (12) GRAT2012-Reporting Person serves as Trustee of the Alfred M. Rankin, Jr. 2012 Grantor Retained Annuity Trust.
- (13) Reporting Person serves as Trustee of the Clara T. Rankin Remainder Unitrust#2 u/a/d 1/5/77. Reporting Person disclaims beneficial ownership of all such shares.
- (14) 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.

(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.
- (15) Reporting Person serves as Trustee of a Trust for the benefit of the Clara L.T. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (16) Reporting Person serves as Trustee of a Trust for the benefit of the Clara L.T. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (17) 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.
- (18) 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.
- (19) Shares distributed from GRAT into Reporting Person's Main Trust as per the terms of the GRAT.
- (20) Represents the proportionate limited partnership interest in shares held by Rankin Associates I, L.P., which is held in a qualified annuity interest trust for the benefit of Reporting Person.
- (21) 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.

Remarks:

"Remark on Insider Relationship" - As a member of a "group" deemed to own more than 10% of an equity security as a result

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