

NACCO INDUSTRIES INC
Form 4
June 27, 2013

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

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

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 *
RANKIN VICTOIRE G

(Last) (First) (Middle)

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

(Street)

MAYFIELD HEIGHTS, OH

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
06/26/2013

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) ___X___ Other (specify below)
Member of a Group

6. Individual or Joint/Group Filing(Check Applicable Line)
X 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 | | | | | 28,700 | I | AMR - (Unitrust) ⁽¹⁾ |
| Class A Common Stock | | | | | 14,160 | I | AMR - IRA ⁽²⁾ |
| Class A Common Stock | | | | | 226,470 | I | AMR - Main Trust - A ⁽³⁾ |
| Class A | | | | | 753 | I | AMR - RAI ⁽⁴⁾ |

Edgar Filing: NACCO INDUSTRIES INC - Form 4

| | | | |
|----------------------|--------|---|---|
| Common Stock | | | |
| Class A Common Stock | 369 | I | AMR - RAIV ⁽⁵⁾ |
| Class A Common Stock | 1,975 | I | AMR - RMI (Delaware) ⁽⁶⁾ |
| Class A Common Stock | 18,400 | I | AMR - Trust3 (GC) ⁽⁷⁾ |
| Class A Common Stock | 30,000 | I | By Spouse/GRAT2012 ⁽⁸⁾ |
| Class A Common Stock | 6 | I | AMR-RAIV-GP |
| Class A Common Stock | 29,379 | I | BTR - RAII ⁽⁹⁾ |
| Class A Common Stock | 15,705 | I | BTR - RAIV ⁽¹⁰⁾ |
| Class A Common Stock | 740 | I | BTR-Class A Trust ⁽¹¹⁾ |
| Class A Common Stock | 27,008 | I | By Spouse/Trust 2 (Sr.) ⁽¹²⁾ |
| Class A Common Stock | 705 | I | CTR - Trust (A) ⁽¹³⁾ |
| Class A Common Stock | 2,116 | I | VGR - RAII ⁽¹⁴⁾ |
| Class A Common Stock | 21,006 | I | VGR - Trust ⁽¹⁵⁾ |

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 1474
(9-02)

Edgar Filing: NACCO INDUSTRIES INC - Form 4

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) | | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Class B Common Stock | <u>(16)</u> | 06/26/2013 | | J ⁽¹⁷⁾ | 19,110 | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 19,110 |
| Class B Common Stock | <u>(16)</u> | 06/26/2013 | | J ⁽¹⁷⁾ | 19,110 | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 19,110 |
| Class B Common Stock | \$ 0 <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 14,322 |
| Class B Common Stock | \$ 0 <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 1,035 |
| Class B Common Stock | <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 19 |
| Class B Common Stock | \$ 0 <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 43,969 |
| Class B Common Stock | \$ 0 <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 61,768 |
| Class B Common Stock | <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 5,143 |
| Class B Common Stock | <u>(16)</u> | | | | | <u>(16)</u> | <u>(16)</u> | Class A Common Stock | 5,143 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------|-------------------|
| | Director | 10% Owner | Officer | Other |
| RANKIN VICTOIRE G NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH | | | | Member of a Group |

Signatures

/s/ John D. Neumann,
attorney-in-fact

06/27/2013

__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) Reporting Person's spouse serves as Trustee of the Clara T. Rankin Remainder Unitrust#2 u/a/d 1/5/77. Reporting Person disclaims s beneficial ownership of all such shares.
 - (2) Held in an Individual Retirement Account for the benefit of the Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.
 - (3) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Alfred M. Rankin, Jr. Reporting Person disclaims beneficial ownership of all such shares.
 - (4) 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.
 - (5) Represents the proportionate limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person's spouse serves as the Trustee of the Trust which is held for the benefit of Clara LT Rankin. Reporting person disclaims beneficial ownership of all such shares.
 - (6) Represents the Reporting Person's spouse's proportionate interest in shares held by Rankin Management, Inc. ("RMI"). Reporting P erson disclaims beneficial ownership of all such shares.
 - (7) Reporting Person's spouse serves as Trustee of Trusts for the benefit of each of grantor's grandchildren. Reporting Person disclaims beneficial onwership of all such shares.
 - (8) GRAT2012-Reporting Person's spouse serves as Trustee of the Alfred M. Rankin, Jr. 2012 Grantor Retained Annuity Trust.
 - (9) BTR RA2-Represents the proportionate limited partnership interest in shares held by Rankin Associates II, L.P. Reporting Person's spouse serves as the Trustee of the Trust which is held for the benefit of Bruce T Rankin. Reporting person disclaims beneficial ownership of all such shares.
 - (10) BTR RA4-Represents the proportionate limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person's spouse serves as the Trustee of the Trust which is held for the benefit of Bruce T Rankin. Reporting person disclaims beneficial ownership of all such shares.
 - (11) Reporting Person's spouse serves as Trustee of Trusts for the benefit of Bruce T Rankin. Reporting Person disclaims beneficial ownership of all such shares.
 - (12) Reporting Person's spouse serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin, Sr. Reporting Person d isclaims beneficial ownership of all such shares.
 - (13) Reporting Person's Spouse serves as Trustee of a Trust for the benefit of the Clara L.T. Rankin. Reporting Person disclaims bene ficial ownership of all such shares .
 - (14) Represents the Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates II, L.P.
 - (15) Reporting Person serves as Trustee of a Trust for the benefit of Victoire G. Rankin.

Edgar Filing: NACCO INDUSTRIES INC - Form 4

- (16) N/A
- (17) Shares transferred from Reporting Person's spouse's GRAT into his Main Trust per the terms of the GRAT.
- (18) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Alfred M. Rankin, Jr. Reporting Person disclaims beneficial ownership of all such shares.
- (19) Represents Reporting Person's spouse's proportionate limited partnership interest in shares held by Rankin Associates I, L.P. Reporting Person disclaims beneficial ownership of all such shares.
- (20) represents the Reporting Person's spouse's proportionately limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person disclaims any beneficial ownership.
- (21) Represents Reporting Person's spouse's proportionate limited partnership interest in shares held by Rankin Associates IV. Reporting Person disclaims beneficial ownership of all such shares.
- (22) 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's spouse 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

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.