

RANKIN CLAIBORNE R
Form 4
November 06, 2018

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 *
RANKIN CLAIBORNE R

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)
11/02/2018

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 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|--|
| Class A Common Stock | 11/02/2018 | | P | 1 ⁽¹⁾ | A \$ 63.5 57 | I | interest in shares held by RAV held by Rankin Management, Inc. ("RMI") |
| Class A Common Stock | 11/02/2018 | | P | 59 ⁽¹⁾ | A \$ 63.5 13,486 | I | Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach |

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| | | | | | | | | |
|----------------------------|------------|---|---------------|---|---------------------------|--------|---|--|
| Class A Common Stock | 11/02/2018 | P | 59 <u>(1)</u> | A | \$ 63.5 | 13,486 | I | Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr. |
| Class A Common Stock | 11/02/2018 | P | 59 <u>(1)</u> | A | \$ 63.5 | 13,486 | I | Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers |
| Class A Common Stock | 11/02/2018 | P | 1 <u>(1)</u> | A | \$ 63.5 | 190 | I | Proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | 11/02/2018 | P | 1 <u>(1)</u> | A | \$ 63.5 | 190 | I | Spouse's proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | 11/05/2018 | P | 1 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 227 | I | Interest in Shares held by Rankin Associates V |
| Class A Common Stock | 11/05/2018 | P | 1 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 65 | I | interest in shares held by RAVI held by Rankin Management, Inc. ("RMI") |
| Class A Common Stock | 11/05/2018 | P | 55 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 13,541 | I | Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach |
| Class A Common Stock | 11/05/2018 | P | 55 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 13,541 | I | Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr. |
| Class A Common | 11/05/2018 | P | 55 <u>(1)</u> | A | \$ 64.98 | 13,541 | I | Serves as Trustee of the |

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| | | | | | | | | |
|----------------------|------------|---|--------------|---|---------------------|--------|---|--|
| Stock | | | | | <u>(2)</u> | | | GSTs for the benefit of Julia R. Kuipers |
| Class A Common Stock | 11/05/2018 | P | 1 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 191 | I | Proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | 11/05/2018 | P | 1 <u>(1)</u> | A | \$ 64.98 <u>(2)</u> | 191 | I | Spouse's proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | | | | | | 35,857 | I | Spouse's proportionate interests in shares held by Rankin Associates I. <u>(3)</u> |
| Class A Common Stock | | | | | | 2,116 | I | spouse's proportionate limited partnership interest in shares held by Rankin Associates II LP <u>(3)</u> |
| Class A Common Stock | | | | | | 2,283 | I | Held in trust fbo Reporting Person's spouse. <u>(3)</u> |
| Class A Common Stock | | | | | | 19 | I | Rankin Associates, IV, L.P. held by the Trust for the benefit of Reporting Person as general partner |
| Class A Common Stock | | | | | | 14,567 | I | proportionate limited partnership |

| | | | |
|----------------------------|---------|---|--|
| Class A Common Stock | 36,890 | I | interest in shares held by Rankin Associates I, L.P |
| Class A Common Stock | 65,824 | I | proportionate limited partnership interests in shares held by Rankin Associates II, L.P |
| Class A Common Stock | 1,975 | I | proportionate interest in shares held by Rankin Associates IV, L.P |
| Class A Common Stock | 132,073 | I | proportionate interest in shares held by Rankin Management, Inc. ("RMI") Reporting Person serves as Trustee of a Trust for the benefit of Claiborne R. Rankin |

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.

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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 | 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 | 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) |
|--|---|--------------------------------------|--|--------------------------------|------------------------------------|--|---|--|
|--|---|--------------------------------------|--|--------------------------------|------------------------------------|--|---|--|

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| Security | | Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | | | | | | |
|----------------------------|------|---|-----|-----|---------------------|--------------------|----------------------------|----------------------------------|
| | Code | V | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 64,143 |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 2,116 |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 2,783 |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 31 |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 26,057 |
| Class B Common Stock | | | | | (4) | (4) | Class A Common Stock | 36,890 |

| | | | | | |
|----------------------------|-----|-----|-----|----------------------------|---------|
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 104,286 |
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 1,975 |
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 123,760 |
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 6,889 |
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 6,889 |
| Class B Common Stock | (4) | (4) | (4) | Class A Common Stock | 6,889 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

X

Member of a Group

RANKIN CLAIBORNE R
5875 LANDERBROOK DRIVE
MAYFIELD HEIGHTS, OH 44124

Signatures

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

11/06/2018

 **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) 2018-Nov-5-Weighted Average - Share Price represents average price between \$64.83 and \$64.99.
- (3) Reporting Person disclaims beneficial ownership of all such shares.
- (4) N/A
- (5) proportionate limited partnership interest in shares of Rankin Associates, IV, L.P. held by the Trust for the benefit of Reporting Person, as general partner.

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.