

RANKIN CLAIBORNE R
Form 5
February 14, 2018

FORM 5

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).
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 CLAIBORNE R

(Last) (First) (Middle)

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

(Street)

MAYFIELD HEIGHTS, OH 44124

(City) (State) (Zip)

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

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2017

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) Other (specify below)
Member of a group

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)	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)
				(A) or (D) Price			
Class A Common Stock	12/14/2017	Â	G	81 D \$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	29 D \$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common	12/14/2017	Â	G	29 D \$ 0 (1)	36,890	I	By Assoc II (2)

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Stock									
Class A Common Stock	12/14/2017	Â	G	58	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	81	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	81	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	163	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	163	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	12/14/2017	Â	G	163	D	\$ 0 (1)	36,890	I	By Assoc II (2)
Class A Common Stock	Â	Â	Â	Â	Â	Â	2,116	I	By Assoc II/Spouse (3)
Class A Common Stock	Â	Â	Â	Â	Â	Â	2,360	I	By Spouse/Trust (4)
Class A Common Stock	Â	Â	Â	Â	Â	Â	1,975	I	By RMI (Delaware) (5)
Class A Common Stock	Â	Â	Â	Â	Â	Â	25,768	I	By Trust (6)

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)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. P... Deri... Secu... (Inst...
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(Instr. 3, 4,
and 5)

	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
Class B Common Stock	227	227	12/14/2017		Class A Common Stock	227	\$
Class B Common Stock	227	227	12/14/2017		Class A Common Stock	227	\$
Class B Common Stock	227	227	12/14/2017		Class A Common Stock	227	\$
Class B Common Stock	50,000	50,000			Class A Common Stock	50,000	
Class B Common Stock	25	25			Class A Common Stock	25	
Class B Common Stock	85,056	85,056			Class A Common Stock	85,056	
Class B Common Stock	20,312	20,312			Class A Common Stock	20,312	

Class B Common Stock	\$ 0 ⁽¹⁾	Â	Â	Â	Â	Â	Â ⁽¹⁾	Â ⁽¹⁾	Class A Common Stock	97,312
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RANKIN CLAIBORNE R NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH 44124	Â	Â	Â	Member of a group

Signatures

/s/ Jesse L. Adkins,
attorney-in-fact

02/14/2018

__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) N/A
- (2) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.
- (3) 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.
- (4) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Chloe O. Rankin. Reporting Person disclaims beneficial ownership of all such shares.
- (5) Represents the Reporting Person's proportionate interest in shares held by Rankin Management, Inc. ("RMI").
- (6) Reporting Person serves as Trustee of a Trust for the benefit of Claiborne R. Rankin.
- (7) GP. Represents the Reporting Person's 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.
- (8) RA4. Represents the 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 held by Rankin Associates I, L.P.

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.