

BUTLER HELEN RANKIN

Form 4

November 02, 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 \*  
BUTLER HELEN RANKIN

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,  
SUITE 300

3. Date of Earliest Transaction (Month/Day/Year)  
10/31/2018

\_\_\_\_ Director  
\_\_\_\_ Officer (give title below)  Other (specify below)  
Member of a Group

(Street)  
MAYFIELD HEIGHTS, OH 44124

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

(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 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)
			Code	V Amount (A) or (D) Price			
Class A Common Stock	10/31/2018		P	397 <sup>(1)</sup> A \$ 61.892	89,682	I	held by Trust for the benefit of Reporting Person
Class A Common Stock	10/31/2018		P	1 <sup>(1)</sup> A \$ 61.07 <sup>(2)</sup>	185	I	Reporting person's proportionate interest in shares held by Rankin Associates VI

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Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>61.07</u> (2)	185	I	Spouse's proportionate interest in Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>61.07</u> (2)	184	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>61.07</u> (2)	184	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>61.83</u> (3)	185	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>61.83</u> (3)	185	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (4)	186	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (4)	186	I	Spouse's proportionate interest in Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (4)	186	I	Child's proportionate interest in shares held by Rankin Associates VI

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Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (4)	186	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	397 <u>(1)</u>	A	\$ 61.746	90,079	I	held by Trust for the benefit of Reporting Person
Class A Common Stock	11/01/2018	P	2 <u>(1)</u>	A	\$ <u>61.67</u> (5)	188	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	2 <u>(1)</u>	A	\$ <u>61.67</u> (5)	188	I	Spouse's proportionate interest in Rankin Associates VI
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>61.67</u> (5)	187	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>61.67</u> (5)	187	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock						279	I	Child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock						8,211	I	child's proportionate limited partnership interests in shares held by Rankin

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Class A Common Stock	4,513	I	Associates II, L.P <sup>(6)</sup>  held in Trust for the benefit of Reporting Person's minor child <sup>(6)</sup>
Class A Common Stock	279	I	Child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	8,367	I	child's proportionate limited partnership interests in shares held by Rankin Associates II, L.P <sup>(6)</sup>
Class A Common Stock	4,357	I	held in trust for the benefit of Reporting Person's minor child <sup>(6)</sup>
Class A Common Stock	5,126	I	proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	49,811	I	proportionate limited partnership interest in shares held by Rankin Associates I, L.P.
Class A Common Stock	12,058	I	proportionate limited partnership interests in shares held by

Class A Common Stock	32,369	I	Rankin Associates II, L.P.  proportionate limited partnership interests in shares held by Rankin Associates IV, L.P.
Class A Common Stock	2,800	I	Individual Retirement Account for the benefit of the Reporting Person's spouse <sup>(6)</sup>
Class A Common Stock	7,634	I	spouse's proportionate limited partnership interests in shares held by Rankin Associates II, LP <sup>(6)</sup>
Class A Common Stock	26,313	I	spouse serves as Trustee of the J.C. Butler, Jr. Revocable Trust. <sup>(6)</sup>

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	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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(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					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	326
Class B Common Stock					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	8,211
Class B Common Stock					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	3,683
Class B Common Stock					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	326
Class B Common Stock					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	8,367
Class B Common Stock					<u>(7)</u>	<u>(7)</u>	Class A Common Stock	3,527

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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	5,972
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	89,105
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	12,058
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	51,283
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	58,586
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	2,800
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	7,634

Class B Common Stock	(7)	(7)	(7)	Class A Common Stock	17,262
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## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUTLER HELEN RANKIN 5875 LANDERBROOK DRIVE, SUITE 300 MAYFIELD HEIGHTS, OH 44124				Member of a Group

## Signatures

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

11/01/2018

\_\_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-Oct-31 -Block 1 Weighted Average- Share Price represents average price between \$60.50 and \$61.34.
- (3) 2018-Oct-31 -Block 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.00.
- (4) 2018-Oct-31 -Block 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (5) 2018-Nov-1 -Block 2 Weighted Average- Share Price represents average price between \$61.25 and \$61.96.
- (6) Reporting Person disclaims beneficial ownership of all such shares.
- (7) N/A

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.