

NACCO INDUSTRIES INC  
Form 5  
February 14, 2017

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2015  
Estimated average burden hours per response... 1.0

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 VICTOIRE G**  
  
(Last) (First) (Middle)

2. Issuer Name and Ticker or Trading Symbol  
**NACCO INDUSTRIES INC [NC]**  
  
3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
**12/31/2016**

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**

**NACCO INDUSTRIES, INC., 5875 LANDERBROOK DRIVE, STE. 220**  
  
(Street)

4. If Amendment, Date Original Filed (Month/Day/Year)

6. Individual or Joint/Group Reporting  
  
(check applicable line)

**MAYFIELD HEIGHTS, OH 44124**  
  
(City) (State) (Zip)

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) Amount Price   |  |  |   |
| Class A Common Stock            | 10/07/2016                           | Â  | J <sup>(1)</sup>               | 1,600 D \$ 0 (2)  | 9,600  | I  | AMR - Trust3 (GC) (3)                                 |
| Class A Common Stock            | 10/07/2016                           | Â  | J <sup>(1)</sup>               | 2,400 D \$ 0 (2)  | 9,600  | I  | AMR - Trust3 (GC) (3)                                 |
|                                 | 10/27/2016                           | Â  | G                              | 2,116 A   | 1,277  | I  | AMR - RAI (4)   |

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|                            |            |   |   |       |   |             |         |   |                                 |
|----------------------------|------------|---|---|-------|---|-------------|---------|---|---------------------------------|
| Class A<br>Common<br>Stock |            |   |   |       |   | \$ 0<br>(2) |         |   |                                 |
| Class A<br>Common<br>Stock | 10/27/2016 | Â | G | 2,116 | D | \$ 0<br>(2) | 0       | I | VGR - RAII (5)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | 12/22/2016 | Â | G | 100   | D | \$ 0<br>(2) | 26,929  | I | BTR - RAII (6)                  |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 14,160  | I | AMR - IRA (7)                   |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 271,711 | I | AMR - Main<br>Trust - A (8)     |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 323     | I | AMR - RAIV (9)                  |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 1,975   | I | AMR - RMI<br>(Delaware) (10)    |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 21,286  | I | By Spouse/Trust<br>2 (Sr.) (11) |
| Class A<br>Common<br>Stock | Â          | Â | Â | Â     | Â | Â           | 6       | I | AMR-RAIV-GP                     |
| Class A<br>Common          | Â          | Â | Â | Â     | Â | Â           | 13,736  | I | BTR - RAIV (12)                 |

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Stock

|                            |   |   |   |   |   |   |        |   |                                      |
|----------------------------|---|---|---|---|---|---|--------|---|--------------------------------------|
| Class A<br>Common<br>Stock | Â | Â | Â | Â | Â | Â | 14,313 | I | BTR-Class A<br>Trust <sup>(13)</sup> |
| Class A<br>Common<br>Stock | Â | Â | Â | Â | Â | Â | 34,936 | I | VGR - Trust <sup>(14)</sup>          |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 2270  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Pri<br>Deriv<br>Secur<br>(Instr. |
|---|---|---|---|---|---|--|---|-------------------------------------|
|   |   |   |   |   | (A) (D)   | Date<br>Exercisable<br>Expiration<br>Date                      | Title   | Amount<br>or<br>Number<br>of Shares |
| Class B<br>Common<br>Stock                          | \$ 0 <sup>(2)</sup>   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 14,322                              |
| Class B<br>Common<br>Stock                          | \$ 0 <sup>(2)</sup>   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 1,081                               |
| Class B<br>Common<br>Stock                          | Â   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 44,662                              |
| Class B<br>Common<br>Stock                          | Â   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 19                                  |
| Class B<br>Common<br>Stock                          | \$ 0 <sup>(2)</sup>   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 45,939                              |
| Class B<br>Common<br>Stock                          | \$ 0 <sup>(2)</sup>   | Â                                       | Â   | Â                                       | Â   | Â  | Class A<br>Common<br>Stock  | 61,768                              |
|   | Â   | Â                                       | Â   | Â                                       | Â   | Â  |   | 5,143                               |

Class B  
Common  
Stock

Class A  
Common  
Stock

Class B  
Common  
Stock

Â Â Â Â Â Â Â (2) Â (2)

Class A  
Common  
Stock 5,143

## Reporting Owners

| Reporting Owner Name / Address  | Relationships |           |         |                   |
|---|---------------|-----------|---------|-------------------|
|   | Director      | 10% Owner | Officer | Other             |
| RANKIN VICTOIRE G<br>NACCO INDUSTRIES, INC.<br>5875 LANDERBROOK DRIVE, STE. 220<br>MAYFIELD HEIGHTS, OH 44124 | Â             | Â         | Â       | Member of a Group |

## Signatures

/s/ Jesse L. Adkins,  
attorney-in-fact 02/14/2017

\*\*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 transferred from the Clara T. Rankin Irrevocable Trust f/b Grandchildren u/a/d 12/28/76 of which Reporting Person's Spouse is Trustee, into the recipient's personal account. Recipient became entitled to the outright distribution of the principal of the trust when he turned 30 years old.
- (2) N/A
- (3) Reporting Person's spouse serves as Trustee of Trusts for the benefit of each of grantor's grandchildren. 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 Reporting Person's proportionate limited partnership interest in shares held by Rankin Associates II, L.P.
- (6) 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.
- (7) Held in an Individual Retirement Account for the benefit of the Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (8)

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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.

- (9) 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.
- (10) Represents the Reporting Person's spouse's proportionate interest in shares held by Rankin Management, Inc. ("RMI"). Reporting Person disclaims beneficial ownership of all such shares.
- (11) Reporting Person's spouse serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin, Sr. Reporting Person disclaims beneficial ownership of all such shares.
- (12) 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.
- (13) 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.
- (14) Reporting Person serves as Trustee of a Trust for the benefit of Victoire G. Rankin.
- (15) 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.
- (16) 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.
- (17) 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.
- (18) 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.
- (19) 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.

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### Remarks:

"Remark on Insider Relationship" - As a member of a "group" deemed to own more than 10% of

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.