

RANKIN ALFRED M ET AL

Form 4

November 02, 2018

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
RANKIN ALFRED M ET AL

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)
10/31/2018

☒ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Chairman

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)
Class A Common Stock	10/31/2018		P	265 ⁽¹⁾ A \$ 61.892	6,408	I	Serves as trustee of trust for the benefit of Clara Rankin ⁽²⁾
Class A Common Stock	10/31/2018		P	529 ⁽¹⁾ A \$ 61.892	112,630	I	Reporting Person serves as Trustee of a Trust for the benefit of the Alfred M. Rankin, Jr.

Class A Common Stock	10/31/2018	P	<u>1,058</u> (1)	A	\$ 61.892	46,640	I	spouse serves as Trustee of a Trust for the benefit of Victoire G. Rankin (3)
Class A Common Stock	10/31/2018	P	794 (1)	A	\$ 61.892	19,246	I	Reporting person serves as Trustee of a Trust for the benefit of Bruce T. Rankin (3)
Class A Common Stock	10/31/2018	P	412 (1)	A	\$ 61.07 (4)	110,395	I	Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA5
Class A Common Stock	10/31/2018	P	1 (1)	A	\$ 61.07 (4)	223	I	Represents the proportionate interest in shares held by RA5
Class A Common Stock	10/31/2018	P	1 (1)	A	\$ 61.83 (5)	57	I	Proportionate Interest in shares held by RA5 held by Rankin Management Inc.
Class A Common Stock	10/31/2018	P	179 (1)	A	\$ 61.83 (5)	110,574	I	Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA5
Class A Common Stock	10/31/2018	P	1 (1)	A	\$ 61.83 (5)	224	I	Represents the proportionate interest in shares held by RA5
	10/31/2018	P	326 (1)	A		110,900	I	

Class A Common Stock	\$ 62.97 <u>(6)</u>		Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA5
Class A Common Stock	175,278	I	Represents the proportionate limited partnership interest in shares held by AMR Associates LP
Class A Common Stock	14,752	I	Held in an Individual Retirement Account for the benefit of the Reporting Person.
Class A Common Stock	10,271	I	proportionate LP interest in shares held by RA I in qualified annuity interest trust-benefit of AMR
Class A Common Stock	951	I	Represents the proportionate limited partnership interest in shares held by Rankin Associates II, LP
Class A Common Stock	19	I	proportionate general partnership interest shares held by RAIV
Class A	1,087	I	Proportionate

Common Stock				limited partnership interest in shares held by Rankin Associates IV, L.P
Class A Common Stock	189	I		Represents the proportionate interest in shares held by RAVI
Class A Common Stock	1,975	I		proportionate LP interest in shares of RA II LP held by Rankin Management Inc as general partner
Class A Common Stock	64	I		Proportionate Interest in shares held by RA6 held by Rankin Management Inc.
Class A Common Stock	18,625	I		Reporting Person serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin. ⁽³⁾
Class A Common Stock	42,666	I		proportionate LP interest in shares held by RA I LP held in trust for benefit of Bruce Rankin ⁽³⁾
Class A Common Stock	26,119	I		proportionate LP interest in shares held by RA II LP held

				in trust for benefit of Bruce Rankin <u>(3)</u>
Class A Common Stock	46,182	I		Trustee of a Trust for the benefit of Bruce T Rankin, Trust's proportionate interest of RAIV <u>(3)</u>
Class A Common Stock	189	I		Brother's Proportionate interest in share held by Rankin Associates VI
Class A Common Stock	7,305	I		Serves as Trustee of Trust fbo Clara Rankin representing interest in shares held by RA6
Class A Common Stock	9,600	I		Reporting Person serves as Trustee of Trusts for the benefit of each of grantor's grandchildren <u>(3)</u>
Class A Common Stock	18,215	I		Reporting Person Serves as Trustee for GSTs for the Benefit of Clara R. Williams
Class A Common Stock	18,215	I		Reporting Person Serves as Trustee for GSTs for the

Class A Common Stock	189	I	Benefit of Helen R. Butler Spouse's proportionate interest in shares held by RA VI
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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) (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)	8. Price Derivative Security (Instr. 5)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	204,146
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	14,160
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	17,556

Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	18,373
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	951
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	31
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	1,721
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	1,975
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	18,625

Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	76,330
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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	26,119
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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	73,166
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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	747
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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	9,600
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Class B Common	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common	6,889
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Stock

Stock

Class B Common Stock	(7)	(7)	(7)	Class A Common Stock	6,889
Class B Common Stock	(7)	(7)	(7)	Class A Common Stock	21,006

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RANKIN ALFRED M ET AL 5875 LANDERBROOK DRIVE MAYFIELD HEIGHTS, OH 44124	X		Chairman	

Signatures

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

11/02/2018

__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) Reporting person serves as Trust for Clara L.T. Rankin Trust
- (3) Reporting Person disclaims beneficial ownership of all such shares.
- (4) 2018-Oct-31 -Block 1 Weighted Average- Share Price represents average price between \$60.50 and \$61.34.
- (5) 2018-Oct-31 -Block 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.00.
- (6) 2018-Oct-31 -Block 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (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.