NACCO INDUSTRIES INC

Form 4

January 04, 2016

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005 Estimated average

OMB APPROVAL

3235-0287

burden hours per 0.5 response...

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Number:

subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction

Check this box

if no longer

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

SECURITIES

1(b).

(Print or Type Responses)

(Fillit of Typ	e Kespolises)								
1. Name and Address of Reporting Person * BUTLER HELEN RANKIN			ool	and Ticker or Trading USTRIES INC [NC]	5. Relationship of Reporting Person(s) to Issuer				
(Last)	(First)	(Middle) 3. Da	te of Earliest	t Transaction	(Che	heck all applicable)			
NACCO I	NDUSTRIES, IN BROOK DRIVE,	(Mon C., 5875 12/3	th/Day/Year 0/2015		below)	e title10 below) mber of a Gro	\ 1		
(Street)			Amendment,	Date Original	6. Individual or Joint/Group Filing(Check				
MAYFIEI	LD HEIGHTS, OI		(Month/Day/Y	ear)	Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person				
(City)	(State)	(Zip)	Γable I - Noi	n-Derivative Securities Acq		of, or Benefic	ially Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		3. f Transacti Code	4. Securities Acquired (A) ionor Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially	6. Ownership Form:	7. Nature of Indirect Beneficial		

(City)	(State)	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. Transa Code (Instr.		4. Securities Acquired (A) nor Disposed of (D) (Instr. 3, 4 and 5)		5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	or	Price	Transaction(s) (Instr. 3 and 4)	(Instr. 4)	
Class A Common Stock	12/29/2015		G		145	A	(<u>1</u>)	12,402	I	By RAII (2)
Class A Common Stock	12/30/2015		P		156	A	\$ 43.7879 (3)	64,016	I	By Trust (4)
Class A Common Stock	12/31/2015		P		236	A	\$ 43.593 (3)	64,252	I	By Trust (4)
Class A								7,650	I	Ву

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Common Stock			RAII/Child 1
Class A Common Stock	4,083	I	By Trust-Child 1
Class A Common Stock	7,806	I	By RAII/Child 2
Class A Common Stock	3,927	I	By Trust-Child 2
Class A Common Stock	11,008	I	by RAIV (7)
Class A Common Stock	2,800	I	By Spouse/IRA
Class A Common Stock	7,272	I	By RAII/Spouse (9)
Class A Common Stock	35,471	I	By Spouse/Trust

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

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SEC 1474 (9-02)

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

1. Title of	2.	3. Transaction Date		4.	5.	6. Date Exer		7. Title and A	
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	onNumber	Expiration D	ate	Underlying S	Securities
Security	or Exercise		any	Code	of	(Month/Day/	Year)	(Instr. 3 and	4)
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	•			
	Derivative				Securities				
	Security				Acquired				
					(A) or				
					Disposed				
					of (D)				
					(Instr. 3,				
					4, and 5)				
									Amount
						Date	Expiration	m: 1	or
						Exercisable	Date	Title	Number
				Code V	(A) (D)				of Shares

8. Price o Derivativ Security (Instr. 5)

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Class B Common Stock	<u>(1)</u>	<u>(1)</u>	<u>(1)</u>	Class A Common Stock	69,458
Class B Common Stock	\$ 0	<u>(1)</u>	<u>(1)</u>	Class A Common Stock	30,818
Class B Common	<u>(1)</u>	<u>(1)</u>	<u>(1)</u>	Class A Common	9,195

Reporting Owners

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

BUTLER HELEN RANKIN NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH 44124

Member of a Group

Signatures

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

01/04/2016

**Signature of Reporting Person Da

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) Purchases made as part of multiple share lots. Price represents average price.
- (4) Held by Trust for the benefit of Reporting Person.
- (5) Represents the Reporting Person's child's proportionate limited partnership interests in shares held by Rankin Associates II, L.P... Reporting Person disclaims beneficial ownership of all such shares.
- (6) Held by Trust, John C. Butler, Jr., Trustee, for the benefit of Reporting Person's minor child. Reporting Person disclaims beneficial ownership of all such shares.
- (7) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates IV, L.P.
- (8) Held in an Individual Retirement Account for the benefit of the Reporting Person's spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (9) Represents the Reporting Person's spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L. P. Reporting Person disclaims beneficial ownership of all such shares.
- (10) Reporting Person's spouse serves as Trustee with National City Bank of the J.C. Butler, Jr. Revocable Trust. Reporting Person di sclaims all beneficial ownership of all such shares.
- (11) RAI-Represents Reporting Peron's 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 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.

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