

NACCO INDUSTRIES INC
Form 5
February 13, 2014

FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362
Expires: January 31, 2005
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 CORBIN

(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)
12/31/2013

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) | (A) or (D) | Price | 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|------------|----------|--|--|---|
| Class A Common Stock | 12/30/2013 | Â | G | 41 | A | \$ 0 (1) | 8,488 | I | By Trust (Son1) (2) |
| Class A Common Stock | 12/23/2013 | Â | G | 46 | A | \$ 0 (1) | 53,085 | I | By Spouse/Trust (3) |
| Class A Common | 12/19/2013 | Â | G | 41 | D | \$ 0 (1) | 8,488 | I | By Trust (Son1) (2) |

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| | | | | | | | | | | |
|----------------------|------------|---|---|----|---|-------------|--------|---|------------------------|--|
| Stock | | | | | | | | | | |
| Class A Common Stock | 12/20/2013 | Â | G | 7 | A | \$ 0 (1) | 7 | I | By Spouse (4) | |
| Class A Common Stock | 12/23/2013 | Â | G | 44 | A | \$ 0 (1) | 8,488 | I | By Trust (Son1) (2) | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 3,622 | D | Â | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 1,843 | I | By Assoc II (5) | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 500 | I | By Son (6) | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 9,420 | I | By Assoc II/Son 1 (7) | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 22,385 | I | By Spouse | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 1,975 | I | By Spouse | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 6 | I | By Spouse (GP) (8) | |
| Class A Common Stock | Â | Â | Â | Â | Â | Â | 36,839 | I | By Assoc II/Spouse (9) | |

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 | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Pri Deriv Secur (Instr. |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|
|--|--|--------------------------------------|--|--------------------------------|---|--|---|----------------------------|

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of (D)
(Instr. 3,
4, and 5)

| (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
|-----|-----|---------------------|--------------------|-------|-------------------------------------|
|-----|-----|---------------------|--------------------|-------|-------------------------------------|

| | | | | | | | | | | | | |
|---------------------------------|----------|---|---|---|---|---|---|-------|-------|----------------------------|--------|---|
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 5,143 | Â |
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 5,143 | Â |
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 5,143 | Â |
| Class B Common Stock | \$ 0 (1) | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 19 | Â |
| Class B Common Stock | \$ 0 (1) | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 92,873 | Â |
| Class B Common Stock (10) | Â | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 62,670 | Â |
| Class B Common Stock | Â | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 62,670 | Â |
| Class B Common Stock | \$ 0 (1) | Â | Â | Â | Â | Â | Â | Â (1) | Â (1) | Class A Common Stock | 35,312 | Â |

Reporting Owners

Reporting Owner Name / Address

Relationships

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Director 10% Owner Officer Other

RANKIN CORBIN

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

02/13/2014

__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) Held by Trust, Reporting Person's spouse is Trustee for the benefit of Reporting Person's son. Reporting Person disclaims beneficial ownership of all such shares.

(3) Reporting Person's spouse serves as Trustee of a Trust for the benefit of Thomas T. Rankin. Reporting Person disclaims beneficial ownership of all such shares.

(4) By Spouse. Reporting Person disclaims beneficial ownership of all such shares.

(5) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----

(6) By Son. Reporting Person disclaims beneficial ownership of all such shares.

(7) Represents the Reporting Person's son's proportionate limited partnership interest in shares held by Rankin Associates II, L.P. which is held in a trust for the benefit of the son. Reporting Person's spouse is the co-trustee of the Trust. Reporting Person disclaims beneficial ownership of all such shares.

(8) GP. Represents Reporting Person's spouse's proportionate limited partnership interest in shares of Rankin Associates IV, L.P. held by the Trust for the benefit of Reporting Person's spouse, as general partner. Reporting Person disclaims beneficial ownership of all such shares.

(9) 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.

(10) Represents the Reporting Person's Spouse's proportionate limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person disclaims beneficial ownership of all such shares.

(11) RAIV. Represents Reporting Person's spouse's proportionate limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person disclaims beneficial ownership of all such shares.

(12) Represents the 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.

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