

NACCO INDUSTRIES INC
Form 5
February 14, 2017

FORM 5

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

OMB APPROVAL

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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 THOMAS T

(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)
12/31/2016

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 Ownership (Instr. 4)
Class A Common Stock	12/22/2016	Â	G	100	D	\$ 0 (1)	36,439	I	By Assoc II (2)
Class A Common Stock	12/22/2016	Â	G	100	D	\$ 0 (1)	36,439	I	By Assoc II (2)
	12/22/2016	Â	G	100	D		36,439	I	By Assoc II (2)

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Class A Common Stock						\$ 0 (1)			
Class A Common Stock	12/22/2016	Â	G	100	D	\$ 0 (1)	36,439	I	By Assoc II (2)
Class A Common Stock	12/22/2016	Â	G	199	D	\$ 0 (1)	9,267	I	By AssocII/Son1 (3)
Class A Common Stock	12/22/2016	Â	G	199	D	\$ 0 (1)	9,267	I	By AssocII/Son1 (3)
Class A Common Stock	12/22/2016	Â	G	100	A	\$ 0 (1)	9,267	I	By AssocII/Son1 (3)
Class A Common Stock	Â	Â	Â	Â	Â	Â	1,843	I	By Assoc II/Spouse (4)
Class A Common Stock	Â	Â	Â	Â	Â	Â	3,622	I	By Spouse (5)
Class A Common Stock (6)	Â	Â	Â	Â	Â	Â	7	D	Â
Class A Common Stock	Â	Â	Â	Â	Â	Â	6	I	By GP (7)
Class A Common Stock	Â	Â	Â	Â	Â	Â	19,578	I	By RA4 (8)
Class A Common Stock	Â	Â	Â	Â	Â	Â	1,975	I	By RMI (Delaware) (9)
Class A Common Stock	Â	Â	Â	Â	Â	Â	53,085	I	By Trust (10)

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	2. Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if	4. Transaction	5. Number	6. Date Exercisable and Expiration Date	7. Title and Amount of Underlying Securities	8. Price
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Security (Instr. 3)	or Exercise Price of Derivative Security	any (Month/Day/Year)	Code (Instr. 8)	of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Month/Day/Year)	(Instr. 3 and 4)	Secur (Instr.			
(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares					
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â	Class A Common Stock	5,143	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â	Class A Common Stock	5,143	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â	Class A Common Stock	5,143	Â
Class B Common Stock	\$ 0 ⁽¹⁾	Â	Â	Â	Â	Â	Â	Class A Common Stock	35,312	Â
Class B Common Stock	\$ 0 ⁽¹⁾	Â	Â	Â	Â	Â	Â	Class A Common Stock	19	Â
Class B Common	\$ 0 ⁽¹⁾	Â	Â	Â	Â	Â	Â	Class A Common	65,478	Â

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

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