

NACCO INDUSTRIES INC
Form 4
July 10, 2017

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

OMB APPROVAL

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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

(Print or Type Responses)

1. Name and Address of Reporting Person *
TAPLIN BEATRICE B

2. Issuer Name and Ticker or Trading Symbol
NACCO INDUSTRIES INC [NC]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
02/08/2017

____ 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 Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

MAYFIELD HEIGHTS, OH 44124

(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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | | (A) or (D) | Price | | |
| Class A Common Stock | 02/08/2017 | | J ⁽¹⁾ | V 5,682 D | 23,868 | I | Taplin Annuity Trust#1 ⁽³⁾ |
| Class A Common Stock | 02/08/2017 | | J ⁽¹⁾ | V 7,399 D | 16,469 | I | Taplin Annuity Trust#1 ⁽³⁾ |
| Class A Common Stock | 02/08/2017 | | J ⁽¹⁾ | V 7,399 A | 12,649 | I | By Trust/GC#3 ⁽⁴⁾ |
| Class A Common Stock | 02/08/2017 | | J ⁽¹⁾ | V 7,399 D | 9,070 | I | Taplin |

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| | | | | | | | | | |
|----------------------|------------|------------------|---|--------|---|------------|---------|--------------------------------|--|
| Common Stock | | | | | | | | Annuity Trust#1 ⁽³⁾ | |
| Class A Common Stock | 02/08/2017 | J ⁽¹⁾ | V | 7,399 | A | <u>(2)</u> | 12,649 | I | By Trust/GC#2 ⁽⁴⁾ |
| Class A Common Stock | 02/08/2017 | J ⁽¹⁾ | V | 4,535 | D | <u>(2)</u> | 4,535 | I | Taplin Annuity Trust#1 ⁽³⁾ |
| Class A Common Stock | 02/08/2017 | J ⁽¹⁾ | V | 4,535 | A | <u>(2)</u> | 9,785 | I | By Trust/GC#4 ⁽⁴⁾ |
| Class A Common Stock | 02/08/2017 | J ⁽¹⁾ | V | 4,535 | D | <u>(2)</u> | 0 | I | Taplin Annuity Trust#1 ⁽³⁾ |
| Class A Common Stock | 02/08/2017 | J ⁽¹⁾ | V | 4,535 | A | <u>(2)</u> | 9,785 | I | By Trust/GC#5 ⁽⁴⁾ |
| Class A Common Stock | 07/07/2017 | J ⁽⁵⁾ | V | 52,920 | A | <u>(2)</u> | 100,560 | I | By Marital Trust/PNC ⁽⁶⁾ |
| Class A Common Stock | 07/07/2017 | J ⁽⁵⁾ | V | 75,461 | A | <u>(2)</u> | 176,021 | I | By Marital Trust/PNC ⁽⁶⁾ |
| Class A Common Stock | 07/07/2017 | J ⁽⁵⁾ | V | 92,072 | A | <u>(2)</u> | 268,093 | I | By Marital Trust/PNC ⁽⁶⁾ |
| Class A Common Stock | 07/07/2017 | J ⁽⁵⁾ | V | 58,718 | A | <u>(2)</u> | 326,811 | I | By Marital Trust/PNC ⁽⁶⁾ |
| Class A Common Stock | | | | | | | 2 | I | Shares held in Trust: 2012 Taplin Annuity Trust #2 |
| Class A Common Stock | | | | | | | 10,104 | I | Proportionate membership interest in shares held by Abigail, LLC |
| Class A Common Stock | | | | | | | 62,470 | I | BBT/Wells Fargo Trust ⁽⁶⁾ |
| Class A Common Stock | | | | | | | 5,250 | I | By Trust/GC#1 ⁽⁴⁾ |

Stock

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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Class B Common Stock | \$ 0 | 07/07/2017 | | J ⁽⁵⁾ | V 279,171 | (2) (2) | Class A Common Stock 279,171 |
| Class B Common Stock | \$ 0 | | | | | (2) (2) | Class A Common Stock 27,310 |

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

TAPLIN BEATRICE B
NACCO INDUSTRIES, INC.
5875 LANDERBROOK DRIVE, STE. 220
MAYFIELD HEIGHTS, OH 44124

Member of a group

Signatures

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

07/10/2017

**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 distributed from GRAT as per the terms of the GRAT.

(2) N/A

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- (3) Shares held in Trust: 2011 Taplin Annuity Trust #1.
- (4) Reporting Person serves as co-trustee with National City Bank of Trusts for the benefit of Reporting Person's grandchildren. Reporting Person disclaims beneficial ownership of all such shares.
- (5) Class A shares were exchanged for Class B shares pursuant to the terms of the Second Amendment to Amended and Restated Stockholders' Agreement dated February 14, 2017.
- (6) Held by Trust, National City Bank and Beatrice B. Taplin, Co-Trustees, for the benefit of Beatrice B. Taplin.
- (7) Shares represent the Thomas E. Taplin Marital Trust FBO Beatrice B. Taplin under Agreement dated 1/21/1966 as amended and restated between Thomas E. Taplin and National City Bank. National City Bank and Beatrice B. Taplin, Trustees.

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.