

RANKIN CLAIBORNE R
Form 4
November 02, 2018

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 *
RANKIN CLAIBORNE R

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)
Member of a Group

MAYFIELD HEIGHTS, OH 44124
(City) (State) (Zip)

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

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	1 ⁽¹⁾	A \$ 61.07 ₍₂₎ 223	I	Interest in Shares held by Rankin Associates V
Class A Common Stock	10/31/2018		P	1 ⁽¹⁾	A \$ 62.97 ₍₃₎ 224	I	Interest in Shares held by Rankin Associates V
Class A Common Stock	10/31/2018		P	53 ⁽¹⁾	A \$ 61.07 ₍₂₎ 13,246	I	Serves as Trustee of GSTs for the benefit of

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Class A Common Stock	10/31/2018	P	53 ⁽¹⁾	A	\$ 61.07 <u>(2)</u>	13,246	I	Chloe R. Seelbach Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr.
Class A Common Stock	10/31/2018	P	53 ⁽¹⁾	A	\$ 61.07 <u>(2)</u>	13,246	I	Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers
Class A Common Stock	10/31/2018	P	1 ⁽¹⁾	A	\$ 61.07 <u>(2)</u>	185	I	Proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 ⁽¹⁾	A	\$ 61.07 <u>(2)</u>	185	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	23 ⁽¹⁾	A	\$ 61.83 <u>(4)</u>	13,269	I	Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach
Class A Common Stock	10/31/2018	P	23 ⁽¹⁾	A	\$ 61.83 <u>(4)</u>	13,269	I	Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr.
Class A Common Stock	10/31/2018	P	23 ⁽¹⁾	A	\$ 61.83 <u>(4)</u>	13,269	I	Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers
Class A Common Stock	10/31/2018	P	41 ⁽¹⁾	A	\$ 62.97 <u>(3)</u>	13,310	I	Serves as Trustee of GSTs for the benefit of

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Class A Common Stock	10/31/2018	P	41 <u>(1)</u>	A	\$ 62.97 <u>(3)</u>	13,310	I	Chloe R. Seelbach Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr.
Class A Common Stock	10/31/2018	P	41 <u>(1)</u>	A	\$ 62.97 <u>(3)</u>	13,310	I	Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 62.97 <u>(3)</u>	186	I	Proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 62.97 <u>(3)</u>	186	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ 61.67 <u>(5)</u>	225	I	Interest in Shares held by Rankin Associates V
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ 62.18 <u>(6)</u>	226	I	Interest in Shares held by Rankin Associates V
Class A Common Stock	11/01/2018	P	7 <u>(1)</u>	A	\$ 60.03 <u>(7)</u>	13,317	I	Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach
Class A Common Stock	11/01/2018	P	7 <u>(1)</u>	A	\$ 60.03 <u>(7)</u>	13,317	I	Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr.
	11/01/2018	P	7 <u>(1)</u>	A		13,317	I	

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Class A Common Stock	\$ 60.03 <u>(7)</u>			Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers
Class A Common Stock		35,857	I	Spouse's proportionate interests in shares held by Rankin Associates I. <u>(8)</u>
Class A Common Stock		2,116	I	spouse's proportionate limited partnership interest in shares held by Rankin Associates II LP <u>(8)</u>
Class A Common Stock		2,283	I	Held in trust fbo Reporting Person's spouse. <u>(8)</u>
Class A Common Stock		19	I	Rankin Associates, IV, L.P. held by the Trust for the benefit of Reporting Person as general partner
Class A Common Stock		14,567	I	proportionate limited partnership interest in shares held by Rankin Associates I, L.P
Class A Common Stock		36,890	I	proportionate limited partnership interests in

Class A Common Stock	65,824	I	shares held by Rankin Associates II, L.P
Class A Common Stock	56	I	proportionate limited partnership interest in shares held by Rankin Associates IV, L.P
Class A Common Stock	1,975	I	interest in shares held by RAV held by Rankin Management, Inc. ("RMI")
Class A Common Stock	132,073	I	proportionate interest in shares held by Rankin Management, Inc. ("RMI")
Class A Common Stock			Reporting Person serves as Trustee of a Trust for the benefit of Claiborne R. Rankin

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)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)
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(Instr. 3,
4, and 5)

					Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
		Code	V	(A)	(D)				
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	64,143
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	2,116
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	2,783
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	31
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	26,057
Class B Common Stock	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A Common Stock	36,890
Class B	<u>(9)</u>					<u>(9)</u>	<u>(9)</u>	Class A	104,286

Common Stock				Common Stock	
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	1,975
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	123,760
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	6,889
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	6,889
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	6,889

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
RANKIN CLAIBORNE R 5875 LANDERBROOK DRIVE MAYFIELD HEIGHTS, OH 44124	X			Member of a Group

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) 2018-Oct-31 -Block 1 Weighted Average- Share Price represents average price between \$60.50 and \$61.34.
- (3) 2018-Oct-31 -Block 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (4) 2018-Oct-31 -Block 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.00.
- (5) 2018-Nov-1 -Block 2 Weighted Average- Share Price represents average price between \$61.25 and \$61.96.
- (6) 2018-Nov-1 -Block 3 Weighted Average- Share Price represents average price between \$62.00 and \$62.97.
- (7) 2018-Nov-1 -Block 1 Weighted Average- Share Price represents average price between \$60.00 and \$60.05.
- (8) Reporting Person disclaims beneficial ownership of all such shares.
- (9) N/A
- (10) proportionate limited partnership interest in shares of Rankin Associates, IV, L.P. held by the Trust for the benefit of Reporting Person, as general partner.

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.