

BUTLER JOHN C JR

Form 4

November 14, 2018

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

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

## OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person \*  
BUTLER JOHN C JR

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)

MAYFIELD HEIGHTS, OH 44124

(City)

(State)

(Zip)

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/12/2018

4. If Amendment, Date Original  
Filed(Month/Day/Year)

\_\_\_\_ Director \_\_\_\_ 10% Owner  
\_\_\_\_ Officer (give title \_\_\_\_X\_\_\_\_ Other (specify  
below) below)

Member of a Group

6. Individual or Joint/Group Filing(Check  
Applicable Line)  
\_X\_ 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<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3. Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired (A)<br>or Disposed of (D)<br>(Instr. 3, 4 and 5) | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership<br>Form:<br>Direct (D)<br>or Indirect<br>(I)<br>(Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4)                     |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock            | 11/12/2018                              |                                                             | P                                    | 202 <sup>(1)</sup> A                                                    | \$ 64.7127 90,876                                                                                                  | I                                                                       | Held by Trust<br>for the benefit<br>of Reporting<br>Person's<br>Spouse <sup>(2)</sup> |
| Class A<br>Common<br>Stock            | 11/12/2018                              |                                                             | P                                    | 3 <sup>(1)</sup> A                                                      | \$ 64.71 <sup>(3)</sup> 354                                                                                        | I                                                                       | Spouse's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI |
|                                       | 11/12/2018                              |                                                             | P                                    | 2 <sup>(1)</sup> A                                                      | 420                                                                                                                | I                                                                       |                                                                                       |

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|                            |            |   |                |   |                        |        |   |                                                                                                    |
|----------------------------|------------|---|----------------|---|------------------------|--------|---|----------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock |            |   |                |   | \$ 64.71<br><u>(3)</u> |        |   | Reporting<br>person's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI |
| Class A<br>Common<br>Stock | 11/12/2018 | P | 2 <u>(1)</u>   | A | \$ 64.71<br><u>(3)</u> | 419    | I | Child's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI               |
| Class A<br>Common<br>Stock | 11/12/2018 | P | 2 <u>(1)</u>   | A | \$ 64.71<br><u>(3)</u> | 419    | I | Child's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI               |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 202 <u>(1)</u> | A | \$ 63.2345             | 91,078 | I | Held by Trust<br>for the benefit<br>of Reporting<br>Person's<br>Spouse <u>(2)</u>                  |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 2 <u>(1)</u>   | A | \$ 63.22<br><u>(4)</u> | 356    | I | Spouse's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI              |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 3 <u>(1)</u>   | A | \$ 63.22<br><u>(4)</u> | 423    | I | Reporting<br>person's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 2 <u>(1)</u>   | A | \$ 63.22<br><u>(4)</u> | 421    | I | Child's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI               |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 2 <u>(1)</u>   | A | \$ 63.22<br><u>(4)</u> | 421    | I | Child's<br>proportionate<br>interest in<br>shares held by                                          |

|                            |            |   |              |   |          |       |   |                                                                                                                       |
|----------------------------|------------|---|--------------|---|----------|-------|---|-----------------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 11/13/2018 | P | 1 <u>(1)</u> | A | \$ 63.59 | 422   | I | Rankin<br>Associates VI<br><br>Child's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI   |
| Class A<br>Common<br>Stock | 11/13/2018 | P | 1 <u>(1)</u> | A | \$ 63.59 | 422   | I | Child's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI                                  |
| Class A<br>Common<br>Stock |            |   |              |   |          | 279   | I | child's<br>proportionate<br>partnership<br>interest shares<br>held by AMR<br>Associates LP                            |
| Class A<br>Common<br>Stock |            |   |              |   |          | 8,416 | I | Minor child's<br>trust's<br>proportionate<br>interests in<br>shares held by<br>Rankin<br>Associates II.<br><u>(2)</u> |
| Class A<br>Common<br>Stock |            |   |              |   |          | 4,513 | I | Reporting<br>Person is<br>trustee of<br>Trust fbo<br>minor child.<br><u>(2)</u>                                       |
| Class A<br>Common<br>Stock |            |   |              |   |          | 279   | I | child's<br>proportionate<br>partnership<br>interest shares<br>held by AMR<br>Associates LP                            |
| Class A<br>Common<br>Stock |            |   |              |   |          | 8,572 | I | Minor child's<br>trust's<br>proportionate<br>interests in<br>shares held by<br>Rankin<br>Associates II.               |

|                            |        |   |  |                                                                                                                                     |
|----------------------------|--------|---|--|-------------------------------------------------------------------------------------------------------------------------------------|
|                            |        |   |  | <u>(2)</u>                                                                                                                          |
| Class A<br>Common<br>Stock | 4,357  | I |  | Reporting<br>Person is<br>trustee of<br>Trust fbo<br>minor child.<br><u>(2)</u>                                                     |
| Class A<br>Common<br>Stock | 5,126  | I |  | Spouse's<br>proportionate<br>partnership<br>interest shares<br>held by AMR<br>Associates LP                                         |
| Class A<br>Common<br>Stock | 49,811 | I |  | spouse's<br>proportionate<br>limited<br>partnership<br>interests in<br>shares held by<br>Rankin<br>Associates I,<br>L.P <u>(2)</u>  |
| Class A<br>Common<br>Stock | 11,750 | I |  | spouse's<br>proportionate<br>limited<br>partnership<br>interests in<br>shares held by<br>Rankin<br>Associates II,<br>L.P <u>(2)</u> |
| Class A<br>Common<br>Stock | 32,369 | I |  | Spouse's<br>proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>RAIV Class<br>A <u>(2)</u>                  |
| Class A<br>Common<br>Stock | 2,800  | I |  | Held in an<br>Individual<br>Retirement<br>Account for<br>the benefit of<br>the Reporting<br>Person                                  |
|                            | 7,839  | I |  |                                                                                                                                     |

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|                            |  |  |  |  |        |   |                                                                                                              |
|----------------------------|--|--|--|--|--------|---|--------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock |  |  |  |  |        |   | proportionate<br>limited<br>partnership<br>interests in<br>shares held by<br>Rankin<br>Associates II,<br>L.P |
| Class A<br>Common<br>Stock |  |  |  |  | 26,313 | I | Held in trust<br>fbo Reporting<br>Person.                                                                    |

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4.<br>Transaction<br>Code<br>(Instr. 8) | 5.<br>Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) |                                     |
|-----------------------------------------------------|-----------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------|
|                                                     |                                                                       |                                         |                                                             | Code                                    | V (A) (D)                                                                                                             | Date<br>Exercisable                                            | Expiration<br>Date                                                  | Title                                               | Amount<br>or<br>Number<br>of Shares |
| Class B<br>Common<br>Stock                          | (5)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (5)                                                            | (5)                                                                 | Class A<br>Common<br>Stock                          | 326                                 |
| Class B<br>Common<br>Stock                          | (5)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (5)                                                            | (5)                                                                 | Class A<br>Common<br>Stock                          | 8,416                               |

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|                            |            |            |            |                            |        |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 3,683  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 326    |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 8,572  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 3,527  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 5,972  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 89,105 |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 11,750 |

|                            |     |     |     |                            |        |
|----------------------------|-----|-----|-----|----------------------------|--------|
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 51,283 |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 58,586 |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 2,800  |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 7,839  |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 17,262 |

## Reporting Owners

| Reporting Owner Name / Address                                           | Relationships |           |         |                   |
|--------------------------------------------------------------------------|---------------|-----------|---------|-------------------|
|                                                                          | Director      | 10% Owner | Officer | Other             |
| BUTLER JOHN C JR<br>5875 LANDERBROOK DRIVE<br>MAYFIELD HEIGHTS, OH 44124 |               |           |         | Member of a Group |

## Signatures

/s/ Suzanne S. Taylor,  
attorney-in-fact

11/13/2018

\_\_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) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2018-Nov-12-Weighted Average - Share Price represents average price between \$64.37 and \$64.99.
- (4) 2018-Nov-13-Weighted Average - Share Price represents average price between \$62.56 and \$63.47.
- (5) N/A

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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