

RANKIN ROGER F
Form 4
November 16, 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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
RANKIN ROGER F

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)
11/15/2018

____ Director ____ 10% Owner
____ Officer (give title ____X____ Other (specify
below) 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)
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 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)	
			Code	V	Amount	(A) or (D)	Price			
Class A Common Stock	11/15/2018		P		134 <u>(1)</u>	A	\$ 62.0836	6,992	I	spouse serves as Trustee of a Trust for the benefit of Alison Rankin <u>(2)</u>
Class A Common Stock	11/15/2018		P		1 <u>(1)</u>	A	\$ 61.87 <u>(3)</u>	232	I	Interest in shares held by Rankin Associates V
Class A Common	11/15/2018		P		1 <u>(1)</u>	A	\$ 62.24 <u>(4)</u>	233	I	Interest in shares held by

Edgar Filing: RANKIN ROGER F - Form 4

Stock								Rankin Associates V
Class A Common Stock	11/15/2018	P	1 <u>(1)</u>	A	\$ <u>61.87</u> (3)	197	I	Proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/15/2018	P	2 <u>(1)</u>	A	\$ <u>61.87</u> (3)	426	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/15/2018	P	2 <u>(1)</u>	A	\$ <u>61.87</u> (3)	359	I	Child's Proportionate interest in shares held by Rankin Associates VI <u>(5)</u>
Class A Common Stock	11/15/2018	P	2 <u>(1)</u>	A	\$ <u>61.87</u> (3)	359	I	Child's Proportionate interest of shares held by Rankin Associates VI <u>(6)</u>
Class A Common Stock	11/15/2018	P	1 <u>(1)</u>	A	\$ <u>62.24</u> (4)	68	I	Interest in shares of Rankin Associates VI held by Rankin Management
Class A Common Stock	11/15/2018	P	1 <u>(1)</u>	A	\$ <u>62.24</u> (4)	198	I	Proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/15/2018	P	4 <u>(1)</u>	A	\$ <u>62.24</u> (4)	430	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common	11/15/2018	P	2 <u>(1)</u>	A	\$ <u>62.24</u> (4)	361	I	Child's Proportionate

Stock								interest in shares held by Rankin Associates VI ⁽⁵⁾
Class A Common Stock	11/15/2018	P	2 ⁽¹⁾	A	\$ 62.24 ⁽⁴⁾	361	I	Child's Proportionate interest of shares held by Rankin Associates VI ⁽⁶⁾
Class A Common Stock						54,147	I	spouses proportionate LP interest in shares held by RA I ⁽²⁾
Class A Common Stock						29,986	I	spouse's proportionate limited partnership interest in shares held by Rankin Associates II, L.P ⁽²⁾
Class A Common Stock						200	I	Reporting person serves as Trustee for the benefit of Elisabeth Rankin
Class A Common Stock						765	I	Reporting person serves as co-trustee of trust fbo Elisabeth M. Rankin
Class A Common Stock						20,426	I	daughter's proportionate LP interest in shares held by RA II LP held in a trust ⁽²⁾
Class A Common Stock						1,851	I	Spouse is Trustee for the benefit of

				Reporting Person's daughter. ⁽²⁾
Class A Common Stock	1,209	I		Reporting Person Serves as Trustee for the benefit of A. Farnham Rankin
Class A Common Stock	18,294	I		daughter's proportionate LP interest in shares held by RA II LP held in a trust ⁽²⁾
Class A Common Stock	3,738	I		Spouse is Co-Trustee for the benefit of Reporting Person's daughter. ⁽²⁾
Class A Common Stock	18,927	I		Serves as Trustee of GSTs for the benefit of A. Farnham Rankin
Class A Common Stock	18,927	I		Serves as Trustee of GSTs for the benefit of Elisabeth M. Rankin
Class A Common Stock	19	I		proportionate general partnership interest in shares of Rankin Associates IV,
Class A Common Stock	3,448	I		proportionate limited partnership interest in shares held by Rankin

Class A Common Stock	4,283	I	Associates I, L.P proportionate limited partnership interests in shares held by Rankin Associates II, L.P
Class A Common Stock	65,824	I	proportionate limited partnership interest in shares held by Rankin Associates IV, L.P
Class A Common Stock	58	I	Interest in shares of Rankin Associates V held by Rankin Management
Class A Common Stock	1,975	I	proportionate interest in shares held by Rankin Management, Inc. ("RMI).
Class A Common Stock	192,662	I	Reporting Person serves as Trustee of a Trust for the benefit of Roger F. Rankin

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)

Edgar Filing: RANKIN ROGER F - Form 4

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)	8. Price Derivative Security (Instr. 5)	
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	444
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	96,861
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	29,986
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	3,123
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	200
Class B Common Stock	(7)					(7)	(7)	Class A Common Stock	20,426

Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	1,851
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	18,294
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	3,738
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	6,889
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	6,889
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	31
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	6,168

Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	4,283
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	104,286
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	1,975
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	193,760

Reporting Owners

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

Signatures

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

11/16/2018

____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).

Edgar Filing: RANKIN ROGER F - Form 4

- (1) Shares purchased pursuant to 10b5-1 plan
- (2) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2018-Nov-15 -Block 1 Weighted Average- Share Price represents average price between \$61.02 and \$62.00.
- (4) 2018-Nov-15 -Block 2 Weighted Average- Share Price represents average price between \$62.10 and \$62.45.
- (5) Interest held by Trust u/a/d 8/15/2012
- (6) Held in trust u/a/d 12/30/2015
- (7) 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.

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.