

NACCO INDUSTRIES INC  
Form 5  
February 14, 2017

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
Expires: January 31, 2005  
Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
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 \*  
**BUTLER JOHN C JR**  
  
(Last) (First) (Middle)

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**

5. Relationship of Reporting Person(s) to Issuer  
  
(Check all applicable)  
  
 Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**SrVP-Fin Treas & Chief Adm Off / 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 Reporting  
  
(check applicable line)

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

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 Indirect Beneficial Ownership (Instr. 4)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	8,048	I	By RAI/Child 1 (2)
Class A Common Stock	12/22/2016	Â	G	199	D	\$ 0 (1)	12,303	I	By RAI/Spouse (3)
Class A Common	12/22/2016	Â	G	199	D	\$ 0 (1)	12,303	I	By RAI/Spouse

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Stock									(3)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	8,204	I	By RAII/Child 2 (2)
Class A Common Stock	12/22/2016	Â	G	100	A	\$ 0 (1)	12,303	I	By RAII/Spouse (3)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	12,303	I	By RAII/Spouse (3)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	7,471	I	By RAII (4)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	8,048	I	By RAII/Child 1 (2)
Class A Common Stock	12/22/2016	Â	G	199	A	\$ 0 (1)	8,204	I	By RAII/Child 2 (2)
Class A Common Stock	Â	Â	Â	Â	Â	Â	4,083	I	By Trust-Child 1 (5)
Class A Common Stock	Â	Â	Â	Â	Â	Â	3,927	I	By Trust-Child 2 (5)
Class A Common Stock	Â	Â	Â	Â	Â	Â	9,628	I	to spouse by RAIV (A)
Class A Common Stock	Â	Â	Â	Â	Â	Â	68,094	I	By Spouse/Trust (6)
Class A Common Stock	Â	Â	Â	Â	Â	Â	2,800	I	By IRA (7)
Class A Common Stock	Â	Â	Â	Â	Â	Â	44,928	I	By Trust (8)

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

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SEC 2270  
(9-02)

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**  
(e.g., puts, calls, warrants, options, convertible securities)

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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. Pri... Deriv... Secur... (Instr...			
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares		
						(A)	(D)				
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	69,458	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	32,199	Â
Class B Common Stock	Â	Â	Â	Â	Â	Â	Â (1)	Â (1)	Class A Common Stock	9,195	Â

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUTLER JOHN C JR NACCO INDUSTRIES, INC. 5875 LANDERBROOK DRIVE, STE. 220 MAYFIELD HEIGHTS, OH 44124	Â	Â	Â SrVP-Fin Treas & Chief Adm Off	Member of a Group

## Signatures

/s/ Jesse L. Adkins, attorney-in-fact 02/14/2017

\_\_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) N/A
- (2) Represents the Reporting Person's child's proportionate limited partnership interests in shares held by Rankin Associates II, L.P. Reporting Person disclaims beneficial ownership of all such shares.
- (3) Represents the Reporting Person's spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----

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- (4) Represents the Reporting Person's proportionate limited partnership interests in shares held by Rankin Associates II, L.P.-----
- (5) Held by Trust, John C. Butler, Jr., Trustee, for the benefit of Reporting Person's minor child. Reporting Person disclaims beneficial ownership of all such shares.
- (6) Held by Trust for the benefit of Reporting Person's Spouse. Reporting Person disclaims beneficial ownership of all such shares.
- (7) Held in an Individual Retirement Account for the benefit of the Reporting Person.
- (8) Reporting Person serves as Trustee of the J.C. Butler, Jr. Revocable Trust.
- (9) Represents the Reporting Person's spouse's proportionate limited partnership interests in shares held by Rankin Associates I, L.P.-----

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**Remarks:**

"RemarkÂ onÂ InsiderÂ relationshipÂ toÂ Issuer"Â AsÂ aÂ memberÂ ofÂ aÂ "group"Â deemedÂ toÂ ownÂ moreÂ thanÂ

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