

BUTLER JOHN C JR  
Form 4  
January 04, 2019

**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 \*  
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)

3. Date of Earliest Transaction (Month/Day/Year)  
01/02/2019

\_\_\_\_ Director  
\_\_\_\_ 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            | 01/02/2019                           |  | A <sup>(1)</sup>               | 456 A   | \$ 0 26,769   | I  | Held in trust fbo Reporting Person.   |
| Class A Common Stock            |                                      |  |                                |   | 677   | I  | child's proportionate partnership interest shares held by AMR Associates LP |
| Class A Common Stock            |                                      |  |                                |   | 551   | I  | Child's proportionate interest in   |

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|                            |       |   |  |
|----------------------------|-------|---|--|
| Class A<br>Common<br>Stock | 8,416 | I | shares held by Rankin Associates VI<br>Minor child's trust?<br>proportionate interests in shares held by Rankin Associates II.<br><u>(2)</u> |
| Class A<br>Common<br>Stock | 4,513 | I | Reporting Person is trustee of Trust fbo minor child.<br><u>(2)</u>  |
| Class A<br>Common<br>Stock | 677   | I | child's proportionate partnership interest shares held by AMR Associates LP  |
| Class A<br>Common<br>Stock | 8,572 | I | Minor child's trust?<br>proportionate interests in shares held by Rankin Associates II.<br><u>(2)</u>  |
| Class A<br>Common<br>Stock | 4,357 | I | Reporting Person is trustee of Trust fbo minor child.<br><u>(2)</u>  |
| Class A<br>Common<br>Stock | 551   | I | Child's proportionate interest in shares held by Rankin Associates VI  |
| Class A<br>Common<br>Stock | 5,524 | I | Spouse's proportionate partnership interest shares   |

|                            |         |   |   |
|----------------------------|---------|---|---|
| Class A<br>Common<br>Stock | 464     | I | held by AMR<br>Associates LP<br><br>Spouse's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI<br><u>(2)</u> |
| 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 A<br><u>(2)</u>                      |
| Class A<br>Common<br>Stock | 92      | I | Spouse's<br>proportionate<br>limited<br>partnership<br>interests in<br>shares held by<br>Rankin<br>Associates V,<br>L.P. <u>(2)</u>     |
| Class A<br>Common<br>Stock | 101,293 | I | Held by Trust<br>for the benefit<br>of Reporting  |

|                      |       |   | Person's Spouse <sup>(2)</sup>  |
|----------------------|-------|---|---|
| Class A Common Stock | 0     | D |   |
| Class A Common Stock | 2,800 | I | Held in an Individual Retirement Account for the benefit of the Reporting Person        |
| Class A Common Stock | 7,839 | I | proportionate limited partnership interests in shares held by Rankin Associates II, L.P |
| Class A Common Stock | 552   | I | Reporting person's proportionate interest in shares held by Rankin Associates VI        |

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.**

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**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) | 8. Price of Derivative Security (Instr. 5) |           |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|--|-----------|
|  |  |                                      |  | Code                           | V (A) (D)   | Date Exercisable   | Expiration Date   | Title                                      | Amount or |

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|                            |            |            |            | Number of Shares           |       |
|----------------------------|------------|------------|------------|----------------------------|-------|
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 790   |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 8,416 |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 3,683 |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 790   |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 8,572 |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 3,527 |
| Class B<br>Common<br>Stock | <u>(3)</u> | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 6,435 |

|                            |            |  |            |            |                            |        |
|----------------------------|------------|--|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 89,105 |
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 11,750 |
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 51,283 |
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 58,586 |
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 2,800  |
| Class B<br>Common<br>Stock | <u>(3)</u> |  | <u>(3)</u> | <u>(3)</u> | Class A<br>Common<br>Stock | 7,839  |

|                            |     |     |     |                            |        |
|----------------------------|-----|-----|-----|----------------------------|--------|
| Class B<br>Common<br>Stock | (3) | (3) | (3) | 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

01/04/2019

\_\_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) Award-Shares of Class A Common Stock awarded to the Reporting Person as "Required Shares" under the company's Non-Employee Directors' Equity Compensation Plan.
- (2) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 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.