

RANKIN ROGER F
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 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)
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	63 ⁽¹⁾ A ₍₂₎	\$ 62.97 ₍₂₎ 18,040	I	Serves as Trustee of GSTs for the benefit of A. Farnham Rankin
Class A Common Stock	10/31/2018		P	63 ⁽¹⁾ A ₍₂₎	\$ 62.97 ₍₂₎ 18,040	I	Serves as Trustee of GSTs for the benefit of Elisabeth M. Rankin

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Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (2)	186	I	Proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (2)	186	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (2)	186	I	Child's Proportionate interest in shares held by Rankin Associates VI (3)
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> (2)	186	I	Child's Proportionate interest of shares held by Rankin Associates VI (4)
Class A Common Stock	11/01/2018	P	132 <u>(1)</u>	A	\$ 61.746	6,458	I	spouse serves as Trustee of a Trust for the benefit of Alison Rankin (5)
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>61.67</u> (6)	225	I	Interest in shares held by Rankin Associates V
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>62.18</u> (7)	226	I	Interest in shares held by Rankin Associates V
Class A Common Stock	11/01/2018	P	11 <u>(1)</u>	A	\$ <u>60.03</u> (8)	18,051	I	Serves as Trustee of GSTs for the benefit of A. Farnham Rankin
Class A Common	11/01/2018	P	11 <u>(1)</u>	A	\$ <u>60.03</u> (8)	18,051	I	Serves as Trustee of

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Stock				GSTs for the benefit of Elisabeth M. Rankin
Class A Common Stock	54,147	I		spouses proportionate LP interest in shares held by RA1 ⁽⁵⁾
Class A Common Stock	29,986	I		spouse's proportionate limited partnership interest in shares held by Rankin Associates II, L.P ⁽⁵⁾
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	20,119	I		daughter's proportionate LP interest in shares held by RA II LP held in a trust ⁽⁵⁾
Class A Common Stock	1,851	I		Spouse is Trustee for the benefit of Reporting Person's daughter. ⁽⁵⁾
Class A Common Stock	1,209	I		Reporting Person Serves as Trustee for the benefit of A. Farnham

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Class A Common Stock	17,987	I	Rankin daughter's proportionate LP interest in shares held by RA II LP held in a trust ⁽⁵⁾
Class A Common Stock	3,738	I	Spouse is Co-Trustee for the benefit of Reporting Person's daughter. ⁽⁵⁾
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 Associates I, L.P
Class A Common Stock	4,693	I	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	56	I	Interest in shares of

Stock							Rankin Associates V held by Rankin Management
Class A Common Stock				64	I		Interest in shares of Rankin Associates VI 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.

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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 Number of Shares
						(9)	(9)		444

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Class B Common Stock				Class A Common Stock	
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	96,861
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	29,986
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	3,123
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	200
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	20,119
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	1,851
Class B Common Stock	(9)	(9)	(9)	Class A Common Stock	17,987

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Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	3,738
Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	6,889
Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	6,889
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	6,168
Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	4,693
Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	104,286

Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</u>	Class A Common Stock	1,975
Class B Common Stock	<u>(9)</u>	<u>(9)</u>	<u>(9)</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

11/02/2018

__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 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (3) Interest held by Trust u/a/d 8/15/2012
- (4) Held in trust u/a/d 12/30/2015
- (5) Reporting Person disclaims beneficial ownership of all such shares.
- (6) 2018-Nov-1 -Block 2 Weighted Average- Share Price represents average price between \$61.25 and \$61.96.
- (7) 2018-Nov-1 -Block 3 Weighted Average- Share Price represents average price between \$62.00 and \$62.97.
- (8) 2018-Nov-1 -Block 1 Weighted Average- Share Price represents average price between \$60.00 and \$60.05.
- (9) 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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