

RANKIN ALFRED M ET AL

Form 4

January 08, 2019

**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 \*  
RANKIN ALFRED M ET AL

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)  
01/04/2019

☒ Director ☐ 10% Owner  
☒ Officer (give title below) ☐ Other (specify  
below) Chairman

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<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<br>(A) 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)                                |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
|                                       |                                         |                                                             |                                      | (A)<br>or<br>(D)                                                        |                                                                                                                    |                                                                         | Reporting<br>Person Serves<br>as Trustee for<br>GSTs for the<br>Benefit of<br>Helen R.<br>Butler |
| Class A<br>Common<br>Stock            | 01/04/2019                              |                                                             | P                                    | 26 <sup>(1)</sup>                                                       | A \$ 63.06 <sup>(2)</sup>                                                                                          | 113,837 I                                                               |                                                                                                  |
| Class A<br>Common<br>Stock            | 01/04/2019                              |                                                             | P                                    | 26 <sup>(1)</sup>                                                       | A \$ 63.06 <sup>(2)</sup>                                                                                          | 113,837 I                                                               | Reporting<br>Person Serves<br>as Trustee for<br>GSTs for the<br>Benefit of                       |

|                            |            |   |               |   |                           |         |   |                                                                                                    |
|----------------------------|------------|---|---------------|---|---------------------------|---------|---|----------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 01/04/2019 | P | 1 <u>(1)</u>  | A | \$<br>63.06<br><u>(2)</u> | 552     | I | Clara R.<br>Williams<br><br>Spouse's<br>proportionate<br>interest in<br>shares held by<br>RA VI    |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 1 <u>(1)</u>  | A | \$<br>63.06<br><u>(2)</u> | 553     | I | Brother's<br>Proportionate<br>interest in<br>share held by<br>Rankin<br>Associates VI              |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 1 <u>(1)</u>  | A | \$<br>64.14<br><u>(3)</u> | 87      | I | Proportionate<br>Interest in<br>shares held by<br>RA6 held by<br>Rankin<br>Management<br>Inc.      |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 74 <u>(1)</u> | A | \$<br>64.14<br><u>(3)</u> | 113,911 | I | Reporting<br>Person Serves<br>as Trustee for<br>GSTs for the<br>Benefit of<br>Helen R.<br>Butler   |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 74 <u>(1)</u> | A | \$<br>64.14<br><u>(3)</u> | 113,911 | I | Reporting<br>Person Serves<br>as Trustee for<br>GSTs for the<br>Benefit of<br>Clara R.<br>Williams |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 1 <u>(1)</u>  | A | \$<br>64.14<br><u>(3)</u> | 255     | I | Represents the<br>proportionate<br>interest in<br>shares held by<br>RAVI                           |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 2 <u>(1)</u>  | A | \$<br>64.14<br><u>(3)</u> | 554     | I | Spouse's<br>proportionate<br>interest in<br>shares held by<br>RA VI                                |
| Class A<br>Common<br>Stock | 01/04/2019 | P | 2 <u>(1)</u>  | A | \$<br>64.14<br><u>(3)</u> | 555     | I | Brother's<br>Proportionate<br>interest in                                                          |

|                            |         |   |                                                                                                                                                                    |
|----------------------------|---------|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 21,920  | I | share held by<br>Rankin<br>Associates VI<br><br>Represents the<br>proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>AMR<br>Associates LP |
| Class A<br>Common<br>Stock | 14,752  | I | Held in an<br>Individual<br>Retirement<br>Account for<br>the benefit of<br>the Reporting<br>Person.                                                                |
| Class A<br>Common<br>Stock | 128,417 | I | Reporting<br>Person serves<br>as Trustee of a<br>Trust for the<br>benefit of the<br>Alfred M.<br>Rankin, Jr.                                                       |
| Class A<br>Common<br>Stock | 10,271  | I | proportionate<br>LP interest in<br>shares held by<br>RA I in<br>qualified<br>annuity<br>interest<br>trust-benefit<br>of AMR                                        |
| Class A<br>Common<br>Stock | 541     | I | Represents the<br>proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates II,<br>LP                                       |
| Class A<br>Common<br>Stock | 19      | I | proportionate<br>general<br>partnership<br>interest shares                                                                                                         |

|                            |        |   |                                                                                                                                     |
|----------------------------|--------|---|-------------------------------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 1,087  | I | held by RAIV<br>Proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates IV,<br>L.P         |
| Class A<br>Common<br>Stock | 597    | I | Represents the<br>proportionate<br>interest in<br>shares held by<br>RA5                                                             |
| Class A<br>Common<br>Stock | 1,975  | I | proportionate<br>LP interest in<br>shares of RA<br>II LP held by<br>Rankin<br>Management<br>Inc as general<br>partner               |
| Class A<br>Common<br>Stock | 71     | I | Proportionate<br>Interest in<br>shares held by<br>RA5 held by<br>Rankin<br>Management<br>Inc.                                       |
| Class A<br>Common<br>Stock | 18,625 | I | Reporting<br>Person serves<br>as Trustee of<br>Trusts for the<br>benefit of the<br>Estate of<br>Alfred M.<br>Rankin. <sup>(4)</sup> |
| Class A<br>Common<br>Stock | 42,666 | I | proportionate<br>LP interest in<br>shares held by<br>RA I LP held<br>in trust for<br>benefit of<br>Bruce Rankin<br><sup>(4)</sup>   |
| Class A<br>Common          | 25,099 | I | proportionate<br>LP interest in                                                                                                     |

|                            |        |   |  |                                                                                                                                 |
|----------------------------|--------|---|--|---------------------------------------------------------------------------------------------------------------------------------|
| Stock                      |        |   |  | shares held by<br>RA II LP held<br>in trust for<br>benefit of<br>Bruce Rankin<br><u>(4)</u>                                     |
| Class A<br>Common<br>Stock | 46,182 | I |  | Trustee of a<br>Trust for the<br>benefit of<br>Bruce T<br>Rankin,<br>Trust's<br>proportionate<br>interest of<br>RAIV <u>(4)</u> |
| Class A<br>Common<br>Stock | 42,922 | I |  | Reporting<br>person serves<br>as Trustee of a<br>Trust for the<br>benefit of<br>Bruce T.<br>Rankin <u>(4)</u>                   |
| Class A<br>Common<br>Stock | 14,913 | I |  | Serves as<br>Trustee of<br>Trust fbo<br>Clara Rankin<br>representing<br>interest in<br>shares held by<br>RA5                    |
| Class A<br>Common<br>Stock | 14,296 | I |  | Serves as<br>trustee of trust<br>for the benefit<br>of Clara<br>Rankin <u>(5)</u>                                               |
| Class A<br>Common<br>Stock | 9,600  | I |  | Reporting<br>Person serves<br>as Trustee of<br>Trusts for the<br>benefit of each<br>of grantor's<br>grandchildren<br><u>(4)</u> |
| Class A<br>Common<br>Stock | 78,209 | I |  | spouse serves<br>as Trustee of a<br>Trust for the<br>benefit of                                                                 |

Victoire G.  
Rankin <sup>(4)</sup>

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                          | (6)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (6)                                                            | (6)                                                                 | Class A<br>Common<br>Stock                          | 25,524                              |
| Class B<br>Common<br>Stock                          | (6)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (6)                                                            | (6)                                                                 | Class A<br>Common<br>Stock                          | 14,160                              |
| Class B<br>Common<br>Stock                          | (6)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (6)                                                            | (6)                                                                 | Class A<br>Common<br>Stock                          | 17,556                              |
|                                                     | (6)                                                                   |                                         |                                                             |                                         |                                                                                                                       | (6)                                                            | (6)                                                                 |                                                     | 18,373                              |

| Class B<br>Common<br>Stock |            |  |            | Class A<br>Common<br>Stock |        |
|----------------------------|------------|--|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(6)</u> |  | <u>(6)</u> | <u>(6)</u>                 | 541    |
| Class B<br>Common<br>Stock | <u>(6)</u> |  | <u>(6)</u> | <u>(6)</u>                 | 31     |
| Class B<br>Common<br>Stock | <u>(6)</u> |  | <u>(6)</u> | <u>(6)</u>                 | 1,721  |
| Class B<br>Common<br>Stock | <u>(6)</u> |  | <u>(6)</u> | <u>(6)</u>                 | 1,975  |
| Class B<br>Common<br>Stock | <u>(6)</u> |  | <u>(6)</u> | <u>(6)</u>                 | 18,625 |

|                            |            |            |            |                            |        |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 76,330 |
|----------------------------|------------|------------|------------|----------------------------|--------|

|                            |            |            |            |                            |        |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 25,099 |
|----------------------------|------------|------------|------------|----------------------------|--------|

|                            |            |            |            |                            |        |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 73,166 |
|----------------------------|------------|------------|------------|----------------------------|--------|

|                            |            |            |            |                            |     |
|----------------------------|------------|------------|------------|----------------------------|-----|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 747 |
|----------------------------|------------|------------|------------|----------------------------|-----|

|                            |            |            |            |                            |       |
|----------------------------|------------|------------|------------|----------------------------|-------|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 9,600 |
|----------------------------|------------|------------|------------|----------------------------|-------|

|                            |            |            |            |                            |        |
|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B<br>Common<br>Stock | <u>(6)</u> | <u>(6)</u> | <u>(6)</u> | Class A<br>Common<br>Stock | 94,809 |
|----------------------------|------------|------------|------------|----------------------------|--------|

|                            |     |     |     |                            |        |
|----------------------------|-----|-----|-----|----------------------------|--------|
| Class B<br>Common<br>Stock | (6) | (6) | (6) | Class A<br>Common<br>Stock | 94,809 |
|----------------------------|-----|-----|-----|----------------------------|--------|

|                            |     |     |     |                            |        |
|----------------------------|-----|-----|-----|----------------------------|--------|
| Class B<br>Common<br>Stock | (6) | (6) | (6) | Class A<br>Common<br>Stock | 21,006 |
|----------------------------|-----|-----|-----|----------------------------|--------|

## Reporting Owners

| Reporting Owner Name / Address                                                | Relationships |           |          |       |
|-------------------------------------------------------------------------------|---------------|-----------|----------|-------|
|                                                                               | Director      | 10% Owner | Officer  | Other |
| RANKIN ALFRED M ET AL<br>5875 LANDERBROOK DRIVE<br>MAYFIELD HEIGHTS, OH 44124 | X             |           | Chairman |       |

## Signatures

|                                            |            |
|--------------------------------------------|------------|
| /s/ Suzanne S. Taylor,<br>attorney-in-fact | 01/08/2019 |
| __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) Shares purchased pursuant to 10b5-1 plan
- (2) 2019-Jan-4 -Block 1 Weighted Average- Share Price represents average price between \$62.81 and \$63.77.
- (3) 2019-Jan-4 -Block 2 Weighted Average- Share Price represents average price between \$63.95 and \$64.20.
- (4) Reporting Person disclaims beneficial ownership of all such shares.
- (5) Reporting person serves as Trust for Clara L.T. Rankin Trust
- (6) 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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