

RANKIN VICTOIRE G
Form 4
November 21, 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 VICTOIRE G

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)
11/20/2018

____ 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 | 11/20/2018 | | P | 133 ⁽¹⁾ A | \$ 64,153 8,141 | I | spouse serves as the Trustee of the Trust which is held for the benefit of Clara LT Rankin |
| Class A Common Stock | 11/20/2018 | | P | 267 ⁽¹⁾ A | \$ 64,153 116,101 | I | spouse serves as Trustee of a Trust for the benefit of Alfred M. |

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|----------------------------|------------|---|--------------------|---|----------------------------|---------|---|--|
| Class A Common Stock | 11/20/2018 | P | 533 ⁽¹⁾ | A | \$ 64.1531 | 53,580 | I | Rankin, Jr ⁽²⁾ serves as Trustee of a Trust for the benefit of Victoire G. Rankin |
| Class A Common Stock | 11/20/2018 | P | 400 ⁽¹⁾ | A | \$ 64.1531 | 24,449 | I | Spouse is a Trustee of a Trust for the benefit of Bruce T. Rankin ⁽²⁾ |
| Class A Common Stock | 11/20/2018 | P | 1 ⁽¹⁾ | A | \$ 63.99 ⁽³⁾ | 60 | I | spouse's proportionate interest in shares held by RAV held by Rankin Management, Inc. |
| Class A Common Stock | 11/20/2018 | P | 42 ⁽¹⁾ | A | \$ 63.99 ⁽³⁾ | 12,603 | I | Spouse serves as trustee of Trust fbo Clara LT Rankin representing interest in shares held by RA5 |
| Class A Common Stock | 11/20/2018 | P | 2 ⁽¹⁾ | A | \$ 63.99 ⁽³⁾ | 505 | I | Represents spouse's proportionate interest in shares held by Rankin Associates V |
| Class A Common Stock | 11/20/2018 | P | 42 ⁽¹⁾ | A | \$ 63.99 ⁽³⁾ | 107,385 | I | Spouse serves as trustee for GSTs for the benefit of Helen Butler |
| Class A Common Stock | 11/20/2018 | P | 42 ⁽¹⁾ | A | \$ 63.99 ⁽³⁾ | 107,385 | I | Spouse serves as trustee for the GSTs for the benefit of Clara Williams |
| | 11/20/2018 | P | 8 ⁽¹⁾ | A | \$ 64.99 | 12,611 | I | |

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|----------------------------|------------|---|---------------|---|-------------------------------|---------|---|--|
| Class A Common Stock | | | | | | | | Spouse serves as trustee of Trust fbo Clara LT Rankin representing interest in shares held by RA5 |
| Class A Common Stock | 11/20/2018 | P | 8 <u>(1)</u> | A | \$ 64.99 | 107,393 | I | Spouse serves as trustee for GSTs for the benefit of Helen Butler |
| Class A Common Stock | 11/20/2018 | P | 8 <u>(1)</u> | A | \$ 64.99 | 107,393 | I | Spouse serves as trustee for the GSTs for the benefit of Clara Williams |
| Class A Common Stock | 11/20/2018 | P | 74 <u>(1)</u> | A | \$ <u>63.99</u> <u>(3)</u> | 107,467 | I | Spouse serves as trustee for GSTs for the benefit of Helen Butler |
| Class A Common Stock | | | | | | 21,920 | I | Represents Spouse's proportionate limited partnership interest in shares held by AMR Associates LP |
| Class A Common Stock | | | | | | 9,600 | I | spouse serves as Trustee of Trusts for the benefit of each of grantor's grandchildren <u>(2)</u> |
| Class A Common Stock | | | | | | 14,752 | I | Held in an Individual Retirement Account for the benefit of the Reporting Person's spouse <u>(2)</u> |

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|----------------------------|--------|---|--|
| Class A Common Stock | 10,271 | I | Spouse's proportionate limited partnership interest in shares held by RA1 ⁽²⁾ |
| Class A Common Stock | 541 | I | Spouses's proportionate limited parternship interest in shares held by AMR RAI ⁽²⁾ |
| Class A Common Stock | 19 | I | Spouse's proporationate partnership interest in RAIV ⁽²⁾ |
| Class A Common Stock | 1,087 | I | Spouses proportionate limited partnership interest in shares held by Rankin Associates IV, L.P |
| Class A Common Stock | 202 | I | Spouse's proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | 1,975 | I | spouse's proportionate interest in shares held by Rankin Management, Inc. ("RMI") ⁽²⁾ |
| Class A Common Stock | 69 | I | spouse's proportionate interest in shares held by RAVI held by |

| | | | |
|----------------------------|--------|---|--|
| Class A Common Stock | 18,625 | I | Rankin Management, Inc. spouse serves as Trustee of Trusts for the benefit of the Estate of Alfred M. Rankin, Sr <u>(2)</u> |
| Class A Common Stock | 42,666 | I | Spouse is a Trustee of a Trust for the benefit of BT Rankin, Trust's proportionate interest of RA1 <u>(2)</u> |
| Class A Common Stock | 25,099 | I | Spouse is a Trustee of a Trust for the benefit of BT Rankin, Trust proportionate interest in RAII <u>(2)</u> |
| Class A Common Stock | 46,182 | I | Spouse is a Trustee of a Trust for the benefit of BT Rankin, Trust's proportionate interest of RA4 <u>(2)</u> |
| Class A Common Stock | 438 | I | Spouse's brother's proportionate interest in shares held by Rankin Associates VI |
| Class A Common Stock | 437 | I | Reporting person's proportionate interest in shares held by Rankin |

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

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(9-02)

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 |
| Class B Common Stock | (4) | | | | | (4) | (4) | Class A Common Stock | 25,524 |
| Class B Common Stock | (4) | | | | | (4) | (4) | Class A Common Stock | 9,600 |
| Class B Common Stock | (4) | | | | | (4) | (4) | Class A Common Stock | 14,160 |

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|----------------------------|------------|------------|------------|----------------------------|--------|
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 17,556 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 18,373 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 541 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 31 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 1,721 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 1,975 |
| Class B Common Stock | <u>(4)</u> | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 18,625 |

| | | | | | | |
|----------------------------|------------|--|------------|------------|----------------------------|--------|
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 76,330 |
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 25,099 |
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 73,166 |
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 747 |
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 94,809 |
| Class B Common Stock | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common Stock | 94,809 |
| Class B Common | <u>(4)</u> | | <u>(4)</u> | <u>(4)</u> | Class A Common | 21,006 |

Stock

Stock

Reporting Owners

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

Signatures

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

11/21/2018

__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) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2018-Nov-20-Weighted Average - Share Price represents average price between \$63.79 and \$64.07.
- (4) N/A

- (5) BTR RA4-Represents the proportionate limited partnership interest in shares held by Rankin Associates IV, L.P. Reporting Person's spouse serves as the Trustee of the Trust which is held for the benefit of Bruce T Rankin. Reporting person disclaims beneficial ownership of all such shares.

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.