

RANKIN CLAIBORNE R

Form 4

March 05, 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 CLAIBORNE R

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)  
03/01/2019

☐ Director ☐ 10% Owner  
☒ Officer (give title below) ☒ Other (specify  
below)  
Member of a Group

MAYFIELD HEIGHTS, OH 44124

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

(City) (State) (Zip)

**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)             |
|---------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock            | 03/01/2019                              |                                                             | P                                    | 2 <sup>(1)</sup><br>A                                                   | \$<br>64.96<br><sup>(2)</sup><br>599                                                                               | I                                                                       | Interest in<br>Shares held by<br>Rankin<br>Associates V                       |
| Class A<br>Common<br>Stock            | 03/01/2019                              |                                                             | P                                    | 21 <sup>(1)</sup><br>A                                                  | \$<br>64.96<br><sup>(2)</sup><br>26,924                                                                            | I                                                                       | Serves as<br>Trustee of<br>GSTs for the<br>benefit of<br>Chloe R.<br>Seelbach |
| Class A<br>Common                     | 03/01/2019                              |                                                             | P                                    | 21 <sup>(1)</sup><br>A                                                  | \$<br>64.96<br>26,924                                                                                              | I                                                                       | Serves as<br>Trustee of                                                       |

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| Stock                |            |   |        |   | (2)          |        |   |  |                                                                         |
|----------------------|------------|---|--------|---|--------------|--------|---|--|-------------------------------------------------------------------------|
|                      |            |   |        |   |              |        |   |  | GSTs for the benefit of Claiborne Rankin Jr.                            |
| Class A Common Stock | 03/01/2019 | P | 21 (1) | A | \$ 64.96 (2) | 26,924 | I |  | Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers       |
| Class A Common Stock | 03/01/2019 | P | 1 (1)  | A | \$ 64.96 (2) | 88     | I |  | interest in shares held by RAVI held by Rankin Management, Inc. ("RMI") |
| Class A Common Stock | 03/01/2019 | P | 38 (1) | A | \$ 64.96 (2) | 26,962 | I |  | Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach          |
| Class A Common Stock | 03/01/2019 | P | 38 (1) | A | \$ 64.96 (2) | 26,962 | I |  | Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr.       |
| Class A Common Stock | 03/01/2019 | P | 38 (1) | A | \$ 64.96 (2) | 26,962 | I |  | Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers       |
| Class A Common Stock | 03/01/2019 | P | 1 (1)  | A | \$ 64.96 (2) | 256    | I |  | Proportionate interest in shares held by Rankin Associates VI           |
| Class A Common Stock | 03/01/2019 | P | 2 (1)  | A | \$ 64.96 (2) | 556    | I |  | Spouse's proportionate interest in shares held by Rankin Associates VI  |
| Class A Common       | 03/04/2019 | P | 1      | A | \$ 64.98     | 600    | I |  | Interest in Shares held by                                              |

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|                      |            |   |    |   |                           |        |   |  |                                                                   |
|----------------------|------------|---|----|---|---------------------------|--------|---|--|-------------------------------------------------------------------|
| Stock                |            |   |    |   | <u>(3)</u>                |        |   |  | Rankin Associates V                                               |
| Class A Common Stock | 03/04/2019 | P | 16 | A | \$<br>64.98<br><u>(3)</u> | 26,978 | I |  | Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach    |
| Class A Common Stock | 03/04/2019 | P | 16 | A | \$<br>64.98<br><u>(3)</u> | 26,978 | I |  | Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr. |
| Class A Common Stock | 03/04/2019 | P | 16 | A | \$<br>64.98<br><u>(3)</u> | 26,978 | I |  | Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers |
| Class A Common Stock | 03/04/2019 | P | 29 | A | \$<br>64.98<br><u>(3)</u> | 27,007 | I |  | Serves as Trustee of GSTs for the benefit of Chloe R. Seelbach    |
| Class A Common Stock | 03/04/2019 | P | 29 | A | \$<br>64.98<br><u>(3)</u> | 27,007 | I |  | Serves as Trustee of GSTs for the benefit of Claiborne Rankin Jr. |
| Class A Common Stock | 03/04/2019 | P | 29 | A | \$<br>64.98<br><u>(3)</u> | 27,007 | I |  | Serves as Trustee of the GSTs for the benefit of Julia R. Kuipers |
| Class A Common Stock | 03/04/2019 | P | 1  | A | \$<br>64.98<br><u>(3)</u> | 257    | I |  | Proportionate interest in shares held by Rankin Associates VI     |
| Class A Common Stock | 03/04/2019 | P | 1  | A | \$<br>64.98<br><u>(3)</u> | 557    | I |  | Spouse's proportionate interest in shares held by                 |

|                            |        |   |                                                                                                                                     |
|----------------------------|--------|---|-------------------------------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 35,857 | I | Rankin<br>Associates VI<br><br>Spouse's<br>proportionate<br>interests in<br>shares held by<br>Rankin<br>Associates I.<br><u>(4)</u> |
| Class A<br>Common<br>Stock | 2,116  | I | spouse's<br>proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates II<br>LP <u>(4)</u>    |
| Class A<br>Common<br>Stock | 2,283  | I | Held in trust<br>fbo Reporting<br>Person's<br>spouse. <u>(4)</u>                                                                    |
| Class A<br>Common<br>Stock | 19     | I | Rankin<br>Associates,<br>IV, L.P. held<br>by the Trust<br>for the benefit<br>of Reporting<br>Person as<br>general<br>partner        |
| Class A<br>Common<br>Stock | 14,567 | I | proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates I,<br>L.P                          |
| Class A<br>Common<br>Stock | 35,628 | I | proportionate<br>limited<br>partnership<br>interests in<br>shares held by<br>Rankin<br>Associates II,<br>L.P                        |

|                            |         |   |                                                                                                             |
|----------------------------|---------|---|-------------------------------------------------------------------------------------------------------------|
| Class A<br>Common<br>Stock | 65,824  | I | 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 | 71      | I | interest in<br>shares held by<br>RAV held by<br>Rankin<br>Management,<br>Inc. ("RMI")                       |
| Class A<br>Common<br>Stock | 1,975   | I | proportionate<br>interest in<br>shares held by<br>Rankin<br>Management,<br>Inc. ("RMI")                     |
| Class A<br>Common<br>Stock | 132,529 | I | Reporting<br>Person serves<br>as Trustee of a<br>Trust for the<br>benefit of<br>Claiborne R.<br>Rankin      |

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. 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. Transaction<br>Code<br>(Instr. 8) | 5. 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<br>Derivati<br>Security<br>(Instr. 5) |                        |
|-----------------------------------------------------|--------------------------------------------------------------------|-----------------------------------------|-------------------------------------------------------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------------------------------|------------------------------------------------|------------------------|
|                                                     |                                                                    |                                         |                                                             | Code                                 | V (A) (D)                                                                                                          | Date<br>Exercisable                                            | Expiration<br>Date                                                  | Title                                          | Amount or<br>Number of |

|                            |            |            |            |                            | Shares  |
|----------------------------|------------|------------|------------|----------------------------|---------|
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 64,143  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 2,116   |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 2,783   |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 31      |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 26,057  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 35,628  |
| Class B<br>Common<br>Stock | <u>(5)</u> | <u>(5)</u> | <u>(5)</u> | Class A<br>Common<br>Stock | 104,286 |

|                            |     |     |     |                            |         |
|----------------------------|-----|-----|-----|----------------------------|---------|
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 1,975   |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 123,760 |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 6,889   |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 6,889   |
| Class B<br>Common<br>Stock | (5) | (5) | (5) | Class A<br>Common<br>Stock | 6,889   |

## Reporting Owners

| Reporting Owner Name / Address                                             | Relationships |           |         |                   |
|----------------------------------------------------------------------------|---------------|-----------|---------|-------------------|
|                                                                            | Director      | 10% Owner | Officer | Other             |
| RANKIN CLAIBORNE R<br>5875 LANDERBROOK DRIVE<br>MAYFIELD HEIGHTS, OH 44124 | X             |           |         | Member of a Group |

## Signatures

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

03/05/2019

\_\_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-Mar-1-Weighted Average - Share Price represents average price between \$64.71 and \$64.99.

(3) 2019-Mar-4-Weighted Average - Share Price represents average price between \$64.91 and \$64.99.

(4) Reporting Person disclaims beneficial ownership of all such shares.

(5) N/A

(6) proportionate limited partnership interest in shares of Rankin Associates, IV, L.P. held by the Trust for the benefit of Reporting Person, as general partner.

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.