

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  
\_\_\_\_ 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                              | 132 <sup>(1)</sup> A  | \$ 61.892 6,326   | I  | spouse serves as Trustee of a Trust for the benefit of Alison Rankin <sup>(2)</sup> |
| Class A Common Stock            | 10/31/2018                           |  | P                              | 1 <sup>(1)</sup> A  | \$ 61.07 <sup>(3)</sup> 56  | I  | Interest in shares of Rankin Associates V held by Rankin                            |

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|                            |            |   |               |   |                        |        |   |  |
|----------------------------|------------|---|---------------|---|------------------------|--------|---|--|
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <u>(1)</u>  | A | \$ <u>61.07</u><br>(3) | 223    | I | Management<br>Interest in<br>shares held by<br>Rankin<br>Associates V                              |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <u>(1)</u>  | A | \$ <u>62.97</u><br>(4) | 224    | I | Interest in<br>shares held by<br>Rankin<br>Associates V  |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 79 <u>(1)</u> | A | \$ <u>61.07</u><br>(3) | 17,943 | I | Serves as<br>Trustee of<br>GSTs for the<br>benefit of A.<br>Farnham<br>Rankin                      |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 79 <u>(1)</u> | A | \$ <u>61.07</u><br>(3) | 17,943 | I | Serves as<br>Trustee of<br>GSTs for the<br>benefit of<br>Elisabeth M.<br>Rankin                    |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 2 <u>(1)</u>  | A | \$ <u>61.07</u><br>(3) | 185    | I | Proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI                          |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 2 <u>(1)</u>  | A | \$ <u>61.07</u><br>(3) | 185    | I | Spouse's<br>proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI              |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <u>(1)</u>  | A | \$ <u>61.07</u><br>(3) | 184    | I | Child's<br>Proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI<br><u>(5)</u> |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <u>(1)</u>  | A | \$ <u>61.07</u><br>(3) | 184    | I | Child's<br>Proportionate<br>interest of<br>shares held by<br>Rankin<br>Associates VI<br><u>(6)</u> |

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|                            |            |   |                   |   |                                   |        |   |  |
|----------------------------|------------|---|-------------------|---|-----------------------------------|--------|---|--|
| Class A<br>Common<br>Stock | 10/31/2018 | P | 34 <sup>(1)</sup> | A | \$ <u>61.83</u><br><sub>(7)</sub> | 17,977 | I | Serves as<br>Trustee of<br>GSTs for the<br>benefit of A.<br>Farnham<br>Rankin  |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 34 <sup>(1)</sup> | A | \$ <u>61.83</u><br><sub>(7)</sub> | 17,977 | I | Serves as<br>Trustee of<br>GSTs for the<br>benefit of<br>Elisabeth M.<br>Rankin  |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <sup>(1)</sup>  | A | \$ <u>61.83</u><br><sub>(7)</sub> | 185    | I | Child's<br>Proportionate<br>interest in<br>shares held by<br>Rankin<br>Associates VI<br><sup>(5)</sup>                                 |
| Class A<br>Common<br>Stock | 10/31/2018 | P | 1 <sup>(1)</sup>  | A | \$ <u>61.83</u><br><sub>(7)</sub> | 185    | I | Child's<br>Proportionate<br>interest of<br>shares held by<br>Rankin<br>Associates VI<br><sup>(6)</sup>                                 |
| Class A<br>Common<br>Stock |            |   |                   |   |                                   | 54,147 | I | spouses<br>proportionate<br>LP interest in<br>shares held by<br>RA1 <sup>(2)</sup>   |
| Class A<br>Common<br>Stock |            |   |                   |   |                                   | 29,986 | I | spouse's<br>proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates II,<br>L.P <sup>(2)</sup> |
| Class A<br>Common<br>Stock |            |   |                   |   |                                   | 200    | I | Reporting<br>person serves<br>as Trustee for<br>the benefit of<br>Elisabeth<br>Rankin  |
|                            |            |   |                   |   |                                   | 765    | I |  |

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|                            |        |   |  |   |
|----------------------------|--------|---|--|---|
| Class A<br>Common<br>Stock |        |   |  | Reporting<br>person serves<br>as co-trustee<br>of trust fbo<br>Elisabeth M.<br>Rankin                         |
| Class A<br>Common<br>Stock | 20,119 | I |  | daughter's<br>proportionate<br>LP interest in<br>shares held by<br>RA II LP held<br>in a trust <sup>(2)</sup> |
| Class A<br>Common<br>Stock | 1,851  | I |  | Spouse is<br>Trustee for<br>the benefit of<br>Reporting<br>Person's<br>daughter. <sup>(2)</sup>               |
| Class A<br>Common<br>Stock | 1,209  | I |  | Reporting<br>Person Serves<br>as Trustee for<br>the benefit of<br>A. Farnham<br>Rankin                        |
| Class A<br>Common<br>Stock | 17,987 | I |  | daughter's<br>proportionate<br>LP interest in<br>shares held by<br>RA II LP held<br>in a trust <sup>(2)</sup> |
| Class A<br>Common<br>Stock | 3,738  | I |  | Spouse is<br>Co-Trustee<br>for the benefit<br>of Reporting<br>Person's<br>daughter. <sup>(2)</sup>            |
| Class A<br>Common<br>Stock | 19     | I |  | proportionate<br>general<br>partnership<br>interest in<br>shares of<br>Rankin<br>Associates<br>IV,            |
| Class A<br>Common<br>Stock | 3,448  | I |  | proportionate<br>limited<br>partnership   |

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|                            |         |   |  |
|----------------------------|---------|---|--|
| Class A<br>Common<br>Stock | 4,693   | I | interest in<br>shares held by<br>Rankin<br>Associates I,<br>L.P  |
| Class A<br>Common<br>Stock | 65,824  | 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 | 64      | I | proportionate<br>limited<br>partnership<br>interest in<br>shares held by<br>Rankin<br>Associates<br>IV, L.P  |
| Class A<br>Common<br>Stock | 1,975   | I | Interest in<br>shares of<br>Rankin<br>Associates VI<br>held by<br>Rankin<br>Management                       |
| Class A<br>Common<br>Stock | 192,662 | I | proportionate<br>interest in<br>shares held by<br>Rankin<br>Management,<br>Inc. ("RMI).                      |
| Class A<br>Common<br>Stock |         |   | Reporting<br>Person serves<br>as Trustee of<br>a Trust for the<br>benefit of<br>Roger F.<br>Rankin           |

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

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(9-02)

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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 |
| Class B Common Stock                       | (8)  |                                      |  |                                |   | (8)  | (8)   | Class A Common Stock                       | 444                        |
| Class B Common Stock                       | (8)  |                                      |  |                                |   | (8)  | (8)   | Class A Common Stock                       | 96,861                     |
| Class B Common Stock                       | (8)  |                                      |  |                                |   | (8)  | (8)   | Class A Common Stock                       | 29,986                     |
| Class B Common Stock                       | (8)  |                                      |  |                                |   | (8)  | (8)   | Class A Common Stock                       | 3,123                      |
| Class B Common Stock                       | (8)  |                                      |  |                                |   | (8)  | (8)   | Class A Common Stock                       | 200                        |
|  | (8)  |                                      |  |                                |   | (8)  | (8)   |  | 20,119                     |

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| Class B<br>Common<br>Stock |     |  |     | Class A<br>Common<br>Stock |        |
|----------------------------|-----|--|-----|----------------------------|--------|
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 1,851  |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 17,987 |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 3,738  |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 6,889  |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 6,889  |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 31     |
| Class B<br>Common<br>Stock | (8) |  | (8) | Class A<br>Common<br>Stock | 6,168  |

|                            |     |     |     |                            |         |
|----------------------------|-----|-----|-----|----------------------------|---------|
| Class B<br>Common<br>Stock | (8) | (8) | (8) | Class A<br>Common<br>Stock | 4,693   |
| Class B<br>Common<br>Stock | (8) | (8) | (8) | Class A<br>Common<br>Stock | 104,286 |
| Class B<br>Common<br>Stock | (8) | (8) | (8) | Class A<br>Common<br>Stock | 1,975   |
| Class B<br>Common<br>Stock | (8) | (8) | (8) | Class A<br>Common<br>Stock | 193,760 |

## Reporting Owners

| Reporting Owner Name / Address   | Relationships |           |         |                   |
|--|---------------|-----------|---------|-------------------|
|  | Director      | 10% Owner | Officer | Other             |
| RANKIN ROGER F<br>5875 LANDERBROOK DRIVE<br>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) Reporting Person disclaims beneficial ownership of all such shares.
- (3) 2018-Oct-31 -Block 1 Weighted Average- Share Price represents average price between \$60.50 and \$61.34.
- (4) 2018-Oct-31 -Block 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (5) Interest held by Trust u/a/d 8/15/2012
- (6) Held in trust u/a/d 12/30/2015
- (7) 2018-Oct-31 -Block 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.00.
- (8) 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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