

BUTLER JOHN C JR
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 *
BUTLER JOHN C JR

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	397 ⁽¹⁾ A	\$ 61.892 89,682	I	Held by Trust for the benefit of Reporting Person's Spouse ⁽²⁾
Class A Common Stock	10/31/2018		P	1 ⁽¹⁾ A	\$ 61.07 ⁽³⁾ 185	I	Spouse's proportionate interest in shares held by Rankin Associates VI
	10/31/2018		P	1 ⁽¹⁾ A	185	I	

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Class A Common Stock					\$ 61.07 <u>(3)</u>			Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 61.07 <u>(3)</u>	184	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 61.07 <u>(3)</u>	184	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 61.83 <u>(4)</u>	185	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 61.83 <u>(4)</u>	185	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 62.97 <u>(5)</u>	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	\$ 62.97 <u>(5)</u>	186	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ 62.97 <u>(5)</u>	186	I	Child's proportionate interest in

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Class A Common Stock	10/31/2018	P	1 <u>(1)</u>	A	\$ <u>62.97</u> <u>(5)</u>	186	I	shares held by Rankin Associates VI Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	397 <u>(1)</u>	A	\$ 61.746	90,079	I	Held by Trust for the benefit of Reporting Person's Spouse <u>(2)</u>
Class A Common Stock	11/01/2018	P	2 <u>(1)</u>	A	\$ <u>61.67</u> <u>(6)</u>	188	I	Spouse's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	2 <u>(1)</u>	A	\$ <u>61.67</u> <u>(6)</u>	188	I	Reporting person's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>61.67</u> <u>(6)</u>	187	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock	11/01/2018	P	1 <u>(1)</u>	A	\$ <u>61.67</u> <u>(6)</u>	187	I	Child's proportionate interest in shares held by Rankin Associates VI
Class A Common Stock						279	I	child's proportionate partnership interest shares held by AMR Associates LP
Class A Common						8,211	I	Minor child's trust's

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Stock				proportionate interests in shares held by Rankin Associates II. <u>(2)</u>
Class A Common Stock	4,513	I		Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock	279	I		child's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	8,367	I		Minor child's trust's proportionate interests in shares held by Rankin Associates II. <u>(2)</u>
Class A Common Stock	4,357	I		Reporting Person is trustee of Trust fbo minor child. <u>(2)</u>
Class A Common Stock	5,126	I		Spouse's proportionate partnership interest shares held by AMR Associates LP
Class A Common Stock	49,811	I		spouse's proportionate limited partnership interests in shares held by Rankin Associates I, L.P. <u>(2)</u>

Class A Common Stock				12,058	I	spouse's proportionate limited partnership interests in shares held by Rankin Associates II, L.P ⁽²⁾
Class A Common Stock				32,369	I	Spouse's proportionate limited partnership interest in shares held by RAIV Class A ⁽²⁾
Class A Common Stock				2,800	I	Held in an Individual Retirement Account for the benefit of the Reporting Person
Class A Common Stock				7,634	I	proportionate limited partnership interests in shares held by Rankin Associates II, L.P
Class A Common Stock				26,313	I	Held in trust fbo Reporting Person.

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	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative	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)
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Derivative Security		Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Date Exercisable	Expiration Date	Title	Amount or Number of Shares
		Code	V (A) (D)				
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	326
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	8,211
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	3,683
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	326
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	8,367
Class B Common Stock	(7)			(7)	(7)	Class A Common Stock	3,527

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Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	5,972
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	89,105
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	12,058
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	51,283
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	58,586
Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	2,800
	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>		7,634

Class B
Common
Stock

Class A
Common
Stock

Class B Common Stock	<u>(7)</u>	<u>(7)</u>	<u>(7)</u>	Class A Common Stock	17,262
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Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BUTLER JOHN C JR 5875 LANDERBROOK DRIVE MAYFIELD HEIGHTS, OH 44124				Member of a Group

Signatures

/s/ Suzanne S. Taylor, attorney-in-fact	11/01/2018
**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 2 Weighted Average- Share Price represents average price between \$61.50 and \$62.00.
- (5) 2018-Oct-31 -Block 3 Weighted Average- Share Price represents average price between \$62.85 and \$64.99.
- (6) 2018-Nov-1 -Block 2 Weighted Average- Share Price represents average price between \$61.25 and \$61.96.
- (7) 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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