

NACCO INDUSTRIES INC  
Form SC 13D/A  
February 14, 2014

**UNITED STATES**  
**SECURITIES AND EXCHANGE COMMISSION**

Washington, DC 20549

**SCHEDULE 13D/A**

**Under the Securities Exchange Act of 1934**

(Amendment No. 21)<sup>1</sup>

**NACCO Industries, Inc.**  
(Name of Issuer)

**Class B Common Stock, par value \$1.00 per share**  
(Title of Class of Securities)

**629579 20 02**  
(CUSIP Number)

**Alfred M. Rankin, Jr.**

**5875 Landerbrook Drive**

**Cleveland, Ohio 44124-4017**

Edgar Filing: NACCO INDUSTRIES INC - Form SC 13D/A

(216) 449-9600

(Name, Address and Telephone Number of Person Authorized to Receive Notices and Communications)

February 2014

(Date of Event Which Requires Filing of this Statement)

If the filing person has previously filed a statement on Schedule 13G to report the acquisition that is the subject of this Schedule 13D, and is filing this schedule because of Rule 13d-1(e), 13d-1(f) or 13d-1(g), check the following box. "

**Note:** Schedules filed in paper format shall include a signed original and five copies of the schedule, including all exhibits. *See* Rule 13d-7 for other parties to whom copies are to be sent.

<sup>1</sup> The remainder of this cover page shall be filled out for a reporting person's initial filing on this form with respect to the subject class of securities, and for any subsequent amendment containing information which would alter disclosures provided in a prior cover page. The information required on the remainder of this cover page shall not be deemed to be filed for the purpose of Section 18 of the Securities Exchange Act of 1934 ( *Act* ) or otherwise subject to the liabilities of that section of the Act but shall be subject to all other provisions of the Act (however, see the Notes).

(Continued on following pages)

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

David B. Williams

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

OO See Item 3

5 CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES

0

8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY EACH

0

9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH

0

10 SHARED DISPOSITIVE POWER

767,099

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

767,099

12 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

48.5%

14 TYPE OF REPORTING PERSON\*

IN

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

2 Claiborne R. Rankin, Jr.  
CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

5 OO See Item 3  
CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d)  
OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES 0  
8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY EACH 0  
9 SOLE DISPOSITIVE POWER

REPORTING

PERSON  
WITH 0  
10 SHARED DISPOSITIVE POWER

0

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

12 0  
CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

14 0.0%  
TYPE OF REPORTING PERSON\*

IN

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

Julia L. Rankin

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

OO See Item 3

5 CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES

0

8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY EACH

0

9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH

0

10 SHARED DISPOSITIVE POWER

0

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

12 0  
CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

14 0.0%  
TYPE OF REPORTING PERSON\*

IN



1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

2 John C. Butler, Jr.  
CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

5 OO See Item 3  
CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d)  
OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES 0  
8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY EACH 0  
9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH 0  
10 SHARED DISPOSITIVE POWER

767,099

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

767,099

12 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

48.5%

14 TYPE OF REPORTING PERSON\*

IN

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

Jacob A Kuipers

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

OO See Item 3

5 CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES

0

8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY  
EACH

0

9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH

0

10 SHARED DISPOSITIVE POWER

0

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

12 0  
CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

14 0.0%  
TYPE OF REPORTING PERSON\*

IN

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

Helen R. Butler

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

OO See Item 3

5 CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES 0

8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY EACH 0

9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH 0

10 SHARED DISPOSITIVE POWER

767,099

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

767,099

12 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

48.5%

14 TYPE OF REPORTING PERSON\*

IN

1 NAME OF REPORTING PERSONS

I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)

Clara T. Rankin Williams

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP\*

(a)  (b)

3 SEC USE ONLY

4 SOURCE OF FUNDS\*

OO See Item 3

5 CHECK BOX IF DISCLOSURE OF LEGAL PROCEEDINGS IS REQUIRED PURSUANT TO ITEM 2(d) OR 2(e)

6 CITIZENSHIP OR PLACE OF ORGANIZATION

USA

7 SOLE VOTING POWER

NUMBER OF

SHARES

0

8 SHARED VOTING POWER

BENEFICIALLY

OWNED BY  
EACH

0

9 SOLE DISPOSITIVE POWER

REPORTING

PERSON

WITH

0

10 SHARED DISPOSITIVE POWER

767,099

11 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON

767,099

12 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (11) EXCLUDES CERTAIN SHARES\* ..

13 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (11)

48.5%

14 TYPE OF REPORTING PERSON\*

IN



The Schedule 13D originally filed on March 29, 1990, as amended and restated in its entirety pursuant to Regulation S-T Rule 101(a)(2) on March 20, 1992, as amended by Amendment No. 1 filed on March 28, 1995, as amended by Amendment No. 2 filed on March 21, 1996, as amended by Amendment No. 3 filed on November 26, 1996, as amended by Amendment No. 4 filed on January 10, 1997, as amended by Amendment No. 5 filed on March 19, 1997, as amended by Amendment No. 6 filed on March 25, 1999, as amended by Amendment No. 7 filed on March 30, 2000, as amended by Amendment No. 8 filed on February 14, 2001, as amended by Amendment No. 9 filed on February 14, 2002, as amended by Amendment No. 10 filed on February 14, 2003, as amended by Amendment No. 11 filed on February 17, 2004, as amended by Amendment No. 12 filed on February 15, 2005, as amended by Amendment No. 13 filed on February 14, 2006, as amended by Amendment No. 14 filed on February 14, 2007, as amended by Amendment No. 15 filed on February 14, 2008, as amended by Amendment No. 16 filed on February 13, 2009, as amended by Amendment No. 17 filed on February 16, 2010, as amended by Amendment No. 18 filed on February 14, 2011, as amended by Amendment No. 19 filed on February 14, 2012 and as amended by Amendment No. 20 filed on February 14, 2013, (collectively, the **Filings**), related to shares of Class B common stock ( **Class B Common** ) of NACCO Industries, Inc. (the **Company** ) held by certain signatories to the Stockholders Agreement, dated as of March 15, 1990, as amended and restated on September 28, 2012, among the signatories thereto, the Company and PNC Bank, NA, as depository, is hereby further amended as follows. Capitalized terms used herein but not defined herein shall have the meanings assigned to such terms in the Filings.

## Item 2. Identity and Background

The statements under the heading Claiborne R. Rankin, Jr., which appear in the Filings, are hereby deleted and replaced by the following:

**Claiborne R. Rankin, Jr.** Mr. Rankin's address is 600 W. Drummond #308, Chicago, IL 60619. He is employed in software sales at BrokerSavant, Inc.

The statements under the heading Julia L. Rankin, which appear in the Filings, are hereby deleted and replaced by the following:

**Julia L. Rankin.** Ms. Rankin's address is 161 Cushing Street, Cambridge, MA 02138. She is employed as an Education Specialist.

The statements under the heading Jacob A. Kuipers, which appear in the Filings, are hereby deleted and replaced by the following:

**Jacob A. Kuipers.** Mr. Kuipers' address is 161 Cushing Street, Cambridge, MA 02138. He is a student.

## Item 5. Interest in Securities of the Issuer

The information appearing under the heading Item 5. Interest in Securities of the Issuer, which appears in the Filings, is hereby amended as follows:

(a) - (b) Although each Reporting Person disclaims beneficial ownership of any shares of Class B Common beneficially owned by each other Reporting Person, pursuant to the Act and regulations thereunder the Reporting Persons may be deemed as a group to have acquired beneficial ownership of 1,542,757 shares of Class B Common, the aggregate number of shares of Class B Common which are subject to the terms of the Stockholders Agreement, representing 97.6% of the outstanding Class B Common as of December 31, 2013.

The statements under the heading David B. Williams, which appear in the Filings, are hereby deleted and replaced in their entirety by the following:

**David B. Williams.** Mr. Williams shares the power to dispose of 767,099 shares of Class B Common, which constitutes approximately 48.5% of the Class B Common outstanding on December 31, 2013.

The statements under the heading John C. Butler, Jr., which appear in the Filings, are hereby deleted and replaced in their entirety by the following:

**John C. Butler, Jr.** Mr. Butler shares the power to dispose of 767,099 shares of Class B Common, which constitutes approximately 48.5% of the Class B Common outstanding on December 31, 2013.

The statements under the heading Helen R. Butler, which appear in the Filings, are hereby deleted and replaced in their entirety by the following:

**Helen R. Butler.** Ms. Butler shares the power to dispose of 767,099 shares of Class B Common, which constitutes approximately 48.5% of the Class B Common outstanding on December 31, 2013.

The statements under the heading Clara T. Rankin Williams, which appear in the Filings, are hereby deleted and replaced in their entirety by the following:

**Clara T. Rankin Williams.** Ms. Williams shares the power to dispose of 767,099 shares of Class B Common, which constitutes approximately 48.5% of the Class B Common outstanding on December 31, 2013.

[Signatures begin on the next page.]

[The Remainder of this page was intentionally left blank.]

**SIGNATURES**

After reasonable inquiry and to the best of our knowledge and belief, we certify that the information set forth in this statement is true, complete and correct.

Date: February 14, 2014

*/s/ Alfred M. Rankin, Jr.*

Alfred M. Rankin, Jr., on behalf of himself, and as:

Attorney-in-Fact for Clara L. T. Rankin\*

Attorney-in-Fact for Victoire G. Rankin\*

Attorney-in-Fact for Helen R. Butler\*

Attorney-in-Fact for Clara T. Rankin Williams\*

Attorney-in-Fact for Thomas T. Rankin\*

Attorney-in-Fact for Matthew M. Rankin\*

Attorney-in-Fact for Claiborne R. Rankin\*

Attorney-in-Fact for Chloe O. Rankin\*

Attorney-in-Fact for Roger F. Rankin\*

Attorney-in-Fact for Bruce T. Rankin\*

Attorney-in-Fact for Martha S. Kelly\*

Attorney-in-Fact for Susan Sichel\*

Attorney-in-Fact for Jennifer T. Jerome\*

Attorney-in-Fact for Caroline T. Ruschell\*

Attorney-in-Fact for David F. Taplin\*

Attorney-in-Fact for Beatrice B. Taplin\*

Attorney-in-Fact for Thomas E. Taplin, Jr.\*

Attorney-in-Fact for Theodore D. Taplin\*

Attorney-in-Fact for Britton T. Taplin\*

Attorney-in-Fact for PNC Bank, as trustee\*

Edgar Filing: NACCO INDUSTRIES INC - Form SC 13D/A

Attorney-in-Fact for Rankin Associates I, L.P.\*

Attorney-in-Fact for Rankin Management, Inc.\*

Attorney-in-Fact for Alison A. Rankin\*

Attorney-in-Fact for Corbin K. Rankin\*

Attorney-in-Fact for John C. Butler, Jr.\*

Attorney-in-Fact for Rankin Associates II, L.P.\*

Attorney-in-Fact for Chloe R. Seelbach\*

Attorney-in-Fact for James T. Rankin\*

Attorney-in-Fact for Claiborne R. Rankin, Jr.\*

Attorney-in-Fact for David B. Williams\*

Attorney-in-Fact for Scott W. Seelbach\*

Attorney-in-Fact for Clara T. Rankin's Qualified

Annuity Interest Trust 2004 A\*

Attorney-in-Fact for Clara T. Rankin's Qualified

Annuity Interest Trust 2004 B\*

Attorney-in-Fact for Elizabeth B. Rankin\*

Attorney in Fact for Julia L. Rankin\*

Attorney in Fact for Thomas Parker Rankin\*

Attorney-in-Fact for Rankin Associates, IV, L.P.\*

Attorney-in-Fact for Clara T. Rankin's Qualified

Annuity Interest Trust 2008 B\*

Attorney-in-Fact for Alfred M. Rankin, Jr.'s Qualified

Annuity Interest Trust 2008 B\*

Attorney-in-Fact for Clara T. Rankin's Qualified

Annuity Interest Trust 2009 B\*

Attorney-in-Fact for Alfred M. Rankin, Jr. s Qualified

Annuity Interest Trust 2009 B\*

Attorney in Fact for Lynne T. Rankin\*

Attorney-in-Fact for Alfred M. Rankin, Jr. s Qualified

Annuity Interest Trust 2010B\*

Attorney-in-Fact for Jacob A. Kuipers\*

Attorney-in-Fact for Alfred M. Rankin, Jr. s 2011 Grantor

Retained Annuity Trust\*

\* The power of attorney authorizing the above named individual to act on behalf of each of the foregoing Reporting Persons is included in Exhibit 2 at page 26 through 106 and pages 113 through 121 of such Exhibit, in Exhibit 13 at pages 6 through 8 of such Exhibit, in Exhibit 14 at pages 6 through 8 of such Exhibit, in Exhibit 19 at pages 6 through 7 of such Exhibit, in Exhibit 20 at pages 6 through 7 of such Exhibit, in Exhibit 22 at pages 1 through 2 of such Exhibit, in Exhibit 23 at pages 6 through 7 of such Exhibit, in Exhibit 25 at pages 6 through 7 of such Exhibit, in Exhibit 27 at pages 6 through 7 of such Exhibit, in Exhibit 28 at pages 6 through 7 of such Exhibit, in Exhibit 29 at pages 6 through 7 of such Exhibit, in Exhibit 30 at pages 6 through 7 of such Exhibit, in Exhibit 32 at pages 5 through 6 of such Exhibit, in Exhibit 33 at pages 5 through 6 of such Exhibit, in Exhibit 34 at pages 6 through 7 of such Exhibit, in Exhibit 35 at pages 6 through 7 of such Exhibit, in Exhibit 36 at pages 6 through 7 of such Exhibit, in Exhibit 37 at pages 6 through 7 of such Exhibit, in Exhibit 38 at pages 6 through 7 of such Exhibit and in Exhibit 39 at pages 6 through 7 of such Exhibit.