

MOSAIC CO

Form 4

December 05, 2014

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

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
PROKOPANKO JAMES T

(Last) (First) (Middle)

**C/O THE MOSAIC
COMPANY, 3033 CAMPUS
DRIVE, SUITE E490**

(Street)

PLYMOUTH, MN 55441

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
MOSAIC CO [MOS]

3. Date of Earliest Transaction
(Month/Day/Year)
12/03/2014

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
President and CEO

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)
Common Stock	12/03/2014		M ⁽¹⁾	28,778 A	\$ 15.45 212,608	I	Revocable Trust
Common Stock	12/03/2014		M ⁽¹⁾	32,336 A	\$ 20.7 244,944	I	Revocable Trust
Common Stock	12/03/2014		S ⁽¹⁾	32,479 D	\$ 45.4893 212,465	I	Revocable Trust
Common Stock	12/03/2014		S ⁽¹⁾	28,635 D	\$ 45.8441 183,830	I	Revocable Trust

Edgar Filing: MOSAIC CO - Form 4

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 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)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Share
Stock Option (Right to Buy)	\$ 15.45	12/03/2014		M ⁽¹⁾		28,778		⁽⁴⁾	08/04/2016	Common Stock	28,778
Stock Option (Right to Buy)	\$ 20.7	12/03/2014		M ⁽¹⁾		32,336		⁽⁴⁾	02/01/2017	Common Stock	32,336
Stock Option (Right to Buy)	\$ 40.03							⁽⁴⁾	08/02/2017	Common Stock	83,433
Stock Option (Right to Buy)	\$ 127.21							⁽⁴⁾	07/31/2018	Common Stock	23,409
Stock Option (Right to Buy)	\$ 52.72							⁽⁴⁾	07/27/2019	Common Stock	48,077
Stock Option (Right to Buy)	\$ 44.93							⁽⁴⁾	07/27/2020	Common Stock	79,011
Stock Option (Right to Buy)	\$ 70.62							⁽⁴⁾	07/21/2021	Common Stock	47,373

Stock Option (Right to Buy)	\$ 57.62	<u>(5)</u>	07/19/2022	Common Stock	77,214
Restricted Stock Units	\$ 0 <u>(6)</u>		07/19/2015	<u>(7)</u>	Common Stock 30,661
Stock Option (Right to Buy)	\$ 54.03	<u>(8)</u>	07/18/2023	Common Stock	83,649
Restricted Stock Units	\$ 0 <u>(6)</u>		07/18/2016	<u>(7)</u>	Common Stock 32,698
Stock Option (Right to Buy)	\$ 49.73	<u>(9)</u>	03/07/2024	Common Stock	94,022
Restricted Stock Units	\$ 0 <u>(6)</u>		03/07/2017	<u>(7)</u>	Common Stock 35,525

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
PROKOPANKO JAMES T C/O THE MOSAIC COMPANY 3033 CAMPUS DRIVE, SUITE E490 PLYMOUTH, MN 55441	X		President and CEO	

Signatures

/s/Mark J. Isaacson, Attorney-in-Fact for James T. Prokopanko

12/05/2014

****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) The stock option exercise and sale were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on August 29, 2014.
- The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$44.7875 to \$45.7812, inclusive. The reporting person undertakes to provide to The Mosaic Company, any security holder of The Mosaic Company, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote 2 to this Form 4.
- (3)

Edgar Filing: MOSAIC CO - Form 4

The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$45.79 to \$45.93, inclusive. The reporting person undertakes to provide to The Mosaic Company, any security holder of The Mosaic Company, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in this footnote 3 to this Form 4.

- (4) This Stock Option is 100% exercisable.
- (5) Grant Date 07/19/2012; option becomes exercisable in three equal installments commencing on the first anniversary of the grant date and on each anniversary thereafter.
- (6) One-for-One
- (7) Not Applicable
- (8) Grant Date 07/18/2013; option becomes exercisable in three equal installments commencing on the first anniversary of the grant date and on each anniversary thereafter.
- (9) Grant Date 03/07/2014; option becomes exercisable in three equal installments commencing on the first anniversary of the grant date and on each anniversary thereafter.

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.