

MOSAIC CO
Form 4
May 16, 2016

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 *
MACK RICHARD L

(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)
05/12/2016

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 _____ Other (specify
below) below)
EVP, Chief Financial Officer

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)
			Code	V	Amount	(A) or (D)	Price		
Common Stock	05/12/2016		M		9,500	A	\$ 15.45	94,524	D
Common Stock	05/12/2016		S		9,500	D	<u>\$ 26.001⁽¹⁾</u>	85,024	D
Common Stock	05/13/2016		M		37,819	A	\$ 15.45	122,843	D
Common Stock	05/13/2016		S		27,129	D	<u>\$ 25.2328⁽²⁾</u>	95,714	D
	05/14/2016		M		7,316	A	\$ 0	103,030	D

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Common
Stock

Common Stock	05/14/2016	F	<u>3,527</u> (3)	D	\$ 24.84	99,503	D
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 Shares
Stock Option (Right to Buy)	\$ 15.45	05/12/2016		M	9,500	<u>(4)</u>	08/04/2016	Common Stock	9,500
Stock Option (Right to Buy)	\$ 15.45	05/13/2016		M	37,819	<u>(4)</u>	08/04/2016	Common Stock	37,819
Stock Option (Right to Buy)	\$ 40.03					<u>(4)</u>	08/02/2017	Common Stock	19,368
Stock Option (Right to Buy)	\$ 127.21					<u>(4)</u>	07/31/2018	Common Stock	5,486
Stock Option (Right to Buy)	\$ 52.72					<u>(4)</u>	07/27/2019	Common Stock	10,216
Stock Option	\$ 44.93					<u>(4)</u>	07/27/2020	Common Stock	15,194

(Right to Buy)

Stock Option (Right to Buy)	\$ 70.62				<u>(4)</u>	07/21/2021	Common Stock	10,767
Stock Option (Right to Buy)	\$ 57.62				<u>(4)</u>	07/19/2022	Common Stock	17,483
Restricted Stock Units	\$ 0 <u>(5)</u>					07/18/2016	<u>(6)</u>	Common Stock 7,403
Stock Option (Right to Buy)	\$ 54.03				<u>(7)</u>	07/18/2023	Common Stock	18,939
Restricted Stock Units	\$ 0 <u>(5)</u>					03/07/2017	<u>(6)</u>	Common Stock 8,043
Stock Option (Right to Buy)	\$ 49.73				<u>(8)</u>	03/07/2024	Common Stock	21,288
Stock Option (Right to Buy)	\$ 50.43				<u>(9)</u>	03/05/2025	Common Stock	24,249
Restricted Stock Units	\$ 0 <u>(5)</u>	05/14/2016	M	7,316	<u>(10)</u>	<u>(6)</u>	Common Stock	7,316
Stock Option (Right to Buy)	\$ 28.49				<u>(11)</u>	03/03/2026	Common Stock	51,772

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
MACK RICHARD L C/O THE MOSAIC COMPANY 3033 CAMPUS DRIVE, SUITE E490 PLYMOUTH, MN 55441			EVP, Chief Financial Officer	

Signatures

/s/ Mark J. Isaacson, Attorney-in-Fact for Richard L.
Mack

05/16/2016

__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 price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$25.75 to \$26.30, 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 1 to this Form 4.
 - (2) The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$25.00 to \$25.53, 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) Shares sold to cover tax liability incurred as a result of most recent vesting of Restricted Stock Units.
 - (4) This Stock Option is 100% exercisable.
 - (5) One-for-One
 - (6) Not Applicable
 - (7) 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.
 - (8) 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.
 - (9) Grant Date 03/05/2015; option becomes exercisable in three equal installments commencing on the first anniversary of the grant date and on each anniversary thereafter.
 - (10) Grant Date 5/14/2015; restricted stock units vest in three equal installments commencing on the first anniversary of the grant date and on each anniversary thereafter.
 - (11) Grant Date 03/03/2016; 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.

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