

MOSAIC CO
Form 4
May 16, 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

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(Print or Type Responses)

1. Name and Address of Reporting Person *
LUMPKINS ROBERT 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)
03/26/2014

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)

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 Ownership (Instr. 4)
				(A) or (D)	Price		
Common Stock	03/26/2014		G	1,785 D	\$ 0 0	I	By GRAT #3 dated March 23, 2010 ⁽⁶⁾
Common Stock	05/15/2014		G	1,443 D	\$ 0 0	I	By GRAT #4 dated May 12, 2011 ⁽⁷⁾
Common Stock					5,977	I	By GRAT #5 dated June 25,

Common Stock	03/26/2014	G	1,785	A	\$ 0	3,486	I	2012 Robert L. Lumpkins Revocable Trust
Common Stock						5,160	D	
Common Stock	05/15/2014	G	1,443	A	\$ 0	4,929	I	Robert L. Lumpkins Revocable Trust

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 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. Pr Deriv Secu (Instr
				Code	V	(A)	(D)	
Restricted Stock Units	\$ 0 ⁽¹⁾					<u>(3)</u>	<u>(2)</u>	Common Stock 4,878
Restricted Stock Units	\$ 0 ⁽¹⁾					<u>(4)</u>	<u>(2)</u>	Common Stock 4,719
Restricted Stock Units	\$ 0 ⁽¹⁾					<u>(5)</u>	<u>(2)</u>	Common Stock 3,350
Restricted Stock Units	\$ 0 ⁽¹⁾	05/15/2014		A		<u>(8)</u>	<u>(2)</u>	Common Stock 5,274

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
LUMPKINS ROBERT L C/O THE MOSAIC COMPANY 3033 CAMPUS DRIVE, SUITE E490 PLYMOUTH, MN 55441		X		

Signatures

/s/Richard L. Mack, Attorney-in-Fact for Robert L. Lumpkins

05/16/2014

__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) One for one

(2) Not applicable

(3) The restricted stock units vested on October 6, 2012. Vested shares will be delivered to the reporting person on October 6, 2014.

(4) The restricted stock units vested on October 4, 2013. Vested shares will be delivered to the reporting person on October 4, 2015.

(5) The restricted stock units vested on May 15, 2014. Vested shares will be delivered to the reporting person on October 3, 2016.

(6) On March 26, 2014, the reporting person indirectly held 1,785 shares of MOS common stock in a grantor retained annuity trust for the benefit of himself and his daughter ("GRAT #3"). On that date, 1,785 of the shares were distributed by GRAT #3 to the Robert L. Lumpkins Revocable Trust in satisfaction of an annuity to reporting person and was exempt from reporting under Rule 16a-13.

(7) On May 15, 2014, the reporting person indirectly held 1,443 shares of MOS common stock in a grantor retained annuity trust for the benefit of himself and his daughter ("GRAT #4"). On that date, 1,443 of the shares were distributed by GRAT #4 to the Robert L. Lumpkins Revocable Trust in satisfaction of an annuity to the reporting person and was exempt from reporting under Rule 16a-13.

(8) The restricted stock units will vest on the date of the issuer's 2015 Annual Meeting of Stockholders. Vested shares will be delivered to the reporting person on May 15, 2017.

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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