

MOSAIC CO
Form 4
November 04, 2014

FORM 4

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

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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 *
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)
11/03/2014

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) | | | |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|---------|---|-----------------|
| | | | | Code | V | Amount | (A) or (D) | Price | | |
| Common Stock | 10/03/2014 | | M ⁽⁷⁾ | | 57,480 | A | \$ 15.45 | 241,310 | I | Revocable Trust |
| Common Stock | 10/03/2014 | | M ⁽⁷⁾ | | 3,635 | A | \$ 20.7 | 244,945 | I | Revocable Trust |
| Common Stock | 10/03/2014 | | S ⁽⁷⁾ | | 61,115 | D | \$ 43.8541 (8) | 183,830 | I | Revocable Trust |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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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 | 10/03/2014 | | <u>M</u> ⁽⁷⁾ | 57,480 | <u>(3)</u> 08/04/2016 | Common Stock 57,480 |
| Stock Option (Right to Buy) | \$ 20.7 | 10/03/2014 | | <u>M</u> ⁽⁷⁾ | 3,635 | <u>(3)</u> 02/01/2017 | Common Stock 3,635 |
| Stock Option (Right to Buy) | \$ 40.03 | | | | | <u>(3)</u> 08/02/2017 | Common Stock 83,433 |
| Stock Option (Right to Buy) | \$ 127.21 | | | | | <u>(3)</u> 07/31/2018 | Common Stock 23,409 |
| Stock Option (Right to Buy) | \$ 52.72 | | | | | <u>(3)</u> 07/27/2019 | Common Stock 48,077 |
| Stock Option (Right to Buy) | \$ 44.93 | | | | | <u>(3)</u> 07/27/2020 | Common Stock 79,011 |
| Stock Option (Right to Buy) | \$ 70.62 | | | | | <u>(3)</u> 07/21/2021 | Common Stock 47,373 |
| Stock Option | \$ 57.62 | | | | | <u>(4)</u> 07/19/2022 | Common Stock 77,214 |

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- (6) 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.
- (7) The stock option exercises 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 \$43.43 to \$44.32, 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 8 to this Form 4.
- (8)

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.