

MOSAIC CO
Form 4
October 07, 2013

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 *
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)
06/26/2013

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 Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| Common Stock | | | | (A) or (D) | 1,785 | I | By GRAT #3 dated March 23, 2010 |
| Common Stock | | | | (A) or (D) | 1,443 | I | By GRAT #4 dated May 12, 2011 |
| Common Stock | | | | (A) or (D) | 2,397 ⁽⁹⁾ | D | |

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| | | | | | | | | | |
|--------------|------------|--|---|-------------------------------|---|------|--------|---|---|
| Common Stock | 06/26/2013 | | G | 2,671 | D | \$ 0 | 5,977 | I | By GRAT #5 dated June 25, 2012 ⁽⁷⁾ |
| Common Stock | 06/26/2013 | | G | 2,671 | A | \$ 0 | 10,168 | I | Robert L. Lumpkins Revocable Trust |
| Common Stock | 08/29/2013 | | G | <u>10,168</u> ⁽¹⁰⁾ | D | \$ 0 | 0 | I | Robert L. Lumpkins Revocable Trust |
| Common Stock | 10/01/2013 | | G | 1,936 | D | \$ 0 | 0 | I | By GRAT #2 dated September 1, 2009 ⁽⁸⁾ |
| Common Stock | 10/01/2013 | | G | 1,701 | A | \$ 0 | 1,701 | 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 Secur (Instr. | |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|---------------------------|----------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Restricted Stock Units | \$ 0 ⁽¹⁾ | | | | | <u>(3)</u> | <u>(2)</u> | Common Stock | 2,763 |
| Restricted Stock | \$ 0 ⁽¹⁾ | | | | | <u>(4)</u> | <u>(2)</u> | Common Stock | 4,878 |

| | | | | | | | | | |
|------------------------|---------------------|------------|---|-------|------------|------------|--------------|-------|----|
| Units | | | | | | | | | |
| Restricted Stock Units | \$ 0 ⁽¹⁾ | | | | <u>(5)</u> | <u>(2)</u> | Common Stock | 4,719 | |
| Restricted Stock Units | \$ 0 ⁽¹⁾ | 10/03/2013 | A | 3,350 | <u>(6)</u> | <u>(2)</u> | Common Stock | 3,350 | \$ |

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 10/07/2013

**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 7, 2011. Vested shares will be delivered to the reporting person on October 7, 2013.
- (4) The restricted stock units vested on October 6, 2012. Vested shares will be delivered to the reporting person on October 6, 2014.
- (5) The restricted stock units vest on October 4, 2013. Vested shares will be delivered to the reporting person on October 4, 2015.
- (6) The restricted stock units vest on October 3, 2014. Vested shares will be delivered to the reporting person on October 3, 2016.
- (7) On June 26, 2013, the reporting person indirectly held 8,648 shares of MOS common stock in a grantor retained annuity trust for the benefit of himself and his daughter ("GRAT #5). On that date, 2,671 of the shares were distributed by GRAT #5 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, following which 5,977 shares remained held by GRAT #5.
- (8) On October 1, 2013, the reporting person indirectly held 1,936 shares of MOS common stock in a grantor retained annuity trust for the benefit of himself and his daughter ("GRAT #2"). On that date and upon termination of GRAT #2, 235 of the shares were distributed to the reporting person's adult daughter's living trust, which distribution was exempt from reporting under rule 16b-5; and 1,701 shares were distributed by GRAT #2 to the Robert L. Lumpkins Revocable Trust in satisfaction of an annuity to reporting person and was exempt from reporting under Rule 16a-13.
- (9) These shares were previously reported as indirectly owned by the reporting person. These shares have been held jointly by the reporting person and his spouse, directly, since the date of issuance.
- (10) Reporting person is no longer the beneficial owner of the shares as this transaction involved a gift of securities by the reporting person to a charitable lead annuity trust, an irrevocable trust for which his daughter serves as trustee.

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.