

MOSAIC CO
Form 4
March 09, 2017

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 *
Bodine Bruce M.

(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)

03/07/2017

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

____ Director _____ 10% Owner
__X__ Officer (give title _____ Other (specify
below) below)

Senior Vice President - Potash

6. Individual or Joint/Group Filing(Check
Applicable Line)
__X__ 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 | 03/07/2017 | | A ⁽¹⁾ | 1,223 A \$ 0 | 8,711 | D | |
| Common Stock | 03/07/2017 | | M | 4,022 A \$ 0 | 12,733 | D | |
| Common Stock | 03/07/2017 | | F ⁽²⁾ | 2,718 D \$ 29.18 | 10,015 | D | |
| Common Stock | | | | | 649.034 | I | By 401(k) Plan |

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) | |
|---|--|---|---|--------------------------------------|---|--|--------------------|---|-------------------------------------|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |
| Stock Option (Right to Buy) | \$ 40.03 | | | | | <u>(3)</u> | 08/02/2017 | Common Stock | 894 |
| Stock Option (Right to Buy) | \$ 127.21 | | | | | <u>(3)</u> | 07/31/2018 | Common Stock | 219 |
| Stock Option (Right to Buy) | \$ 52.72 | | | | | <u>(3)</u> | 07/27/2019 | Common Stock | 553 |
| Stock Option (Right to Buy) | \$ 44.93 | | | | | <u>(3)</u> | 07/27/2020 | Common Stock | 577 |
| Stock Option (Right to Buy) | \$ 70.62 | | | | | <u>(3)</u> | 07/21/2021 | Common Stock | 678 |
| Restricted Stock Units | \$ 0 <u>(4)</u> | 03/07/2017 | | M | 4,022 | 03/07/2017 | <u>(5)</u> | Common Stock | 4,022 |
| Restricted Stock Units | \$ 0 <u>(4)</u> | | | | | 03/05/2018 | <u>(5)</u> | Common Stock | 3,966 |
| Stock | \$ 28.49 | | | | | <u>(6)</u> | 03/03/2026 | Common | 17,921 |

| | | | | | | | | |
|--------------------------------------|----------|--|------------|------------|-----------------|--------|--|-------|
| Option (Right to Buy) | | | | | | | | Stock |
| Stock Option (Right to Buy) | \$ 30.42 | | <u>(7)</u> | 03/02/2027 | Common Stock | 25,227 | | |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|--------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Bodine Bruce M. C/O THE MOSAIC COMPANY 3033 CAMPUS DRIVE, SUITE E490 PLYMOUTH, MN 55441 | | | Senior Vice President - Potash | |

Signatures

Mark J. Isaacson, Attorney-in-Fact for Bruce M.
Bodine

03/07/2017

 **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) Shares issued to reporting person upon the vesting of a performance unit award granted to reporting person on March 7, 2014. The performance unit award was not a derivative security.
- (2) Shares sold to cover tax liability incurred as a result of most recent vesting of restricted stock and performance units.
- (3) This Stock Option is 100% exercisable.
- (4) One-for-One
- (5) Not Applicable
- (6) 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.
- (7) Grant Date 03/02/2017; 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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