

MATTEL INC /DE/
Form 4
January 06, 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 *
STOCKTON BRYAN

(Last) (First) (Middle)

MATTEL, INC., 333
CONTINENTAL BLVD.

(Street)

EL SEGUNDO, CA 90245

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol
MATTEL INC /DE/ [MAT]

3. Date of Earliest Transaction (Month/Day/Year)
01/03/2014

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)

Chief Executive 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 or Price (A) or (D) | | |
| Common Stock | 01/03/2014 | | M | | 13,511 A <u>(1)</u> | 146,186 | D |
| Common Stock | 01/03/2014 | | F | | 5,216 <u>(2)</u> D \$ 46.87 | 140,970 | D |
| Common Stock | 01/04/2014 | | M | | 19,779 A <u>(3)</u> | 160,749 | D |
| Common Stock | 01/04/2014 | | F | | 9,179 <u>(4)</u> D \$ 46.87 | 151,570 | D |
| Common Stock | | | | | | 7,138 <u>(5)</u> | I In 401(k) |

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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. Amount or Number of Shares |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|-------------------------------|
| Restricted Stock Units | (1) | 01/03/2014 | | M | 13,511 | (1) (1) | Common Stock | 13,511 |
| Restricted Stock Units | (3) | 01/04/2014 | | M | 19,779 | (3) (3) | Common Stock | 19,779 |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|-------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| STOCKTON BRYAN MATTEL, INC. 333 CONTINENTAL BLVD. EL SEGUNDO, CA 90245 | X | | Chief Executive Officer | |

Signatures

/s/ Andrew Paalborg, Attorney-in-Fact for Bryan G.
Stockton

01/06/2014

____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) As reported on a Form 4 dated January 3, 2012 and filed January 4, 2012, the reporting person received a grant of 27,022 Restricted Stock Units ("RSUs" or "Units") on January 3, 2012. The RSUs vest as to 50% of the Units on the second anniversary of the date of grant and as to the remaining 50% of the Units on the third anniversary of the date of grant. On each vesting date, for each Unit vesting on such date, the reporting person will receive one share of Mattel, Inc. ("Mattel") common stock (or, at the election of Mattel, a cash amount

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equal to the fair market value of one share of common stock on the date of vesting), subject to tax withholding. On January 3, 2014, the initial 50% of these RSUs vested, resulting in the issuance of 13,511 shares of Mattel common stock.

- (2) Pursuant to the terms of the January 3, 2012 RSU grant, 5,216 shares of Mattel common stock were automatically withheld at vesting to cover required tax withholding.

As reported on a Form 4 dated January 4, 2011 and filed January 6, 2011, the reporting person received a grant of 39,557 RSUs on January 4, 2011. The RSUs vest as to 50% of the Units on the second anniversary of the date of grant and as to the remaining 50% of the

- (3) Units on the third anniversary of the date of grant. On each vesting date, for each Unit vesting on such date, the reporting person will receive one share of Mattel common stock (or, at the election of Mattel, a cash amount equal to the fair market value of one share of common stock on the date of vesting), subject to tax withholding. On January 4, 2014, the remaining 50% of these RSUs vested, resulting in the issuance of 19,779 shares of Mattel common stock.

- (4) Pursuant to the terms of the January 4, 2011 RSU grant, 9,179 shares of Mattel common stock were automatically withheld at vesting to cover required tax withholding.

- (5) As of January 4, 2014 the reporting person had a balance of \$334,546.16 in the Mattel Stock Fund of Mattel's 401(k) Personal Investment Plan ("PIP"). The number of shares has been calculated by the plan administrator for the PIP.

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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