# SEC Form 4

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# 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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

#### OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

1. Name and Address of Reporting Person* AUST BRUCE			2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>NASDAQ OMX GROUP, INC.</u> [ NDAQ ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner						
(Last) ONE LIBERTY	(Last) (First) (Middle) ONE LIBERTY PLAZA (Street) NEW YORK NY 10006		3. Date of Earliest Transaction (Month/Day/Year) 04/15/2014	X Officer (give title Other (specify below) below) Executive Vice President						
(Street) NEW YORK (City)			4. If Amendment, Date of Original Filed (Month/Day/Year)	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										

## Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)				4. Securities Disposed Of			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock, par value \$0.01 per share	04/15/2014		М		20,000	Α	\$7.35	118,101	D	
Common Stock, par value \$0.01 per share	04/15/2014		<b>S</b> <sup>(1)</sup>		20,000	D	\$34.16 <sup>(2)</sup>	98,101 <sup>(3)</sup>	D	

## 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) 4. 5. Number of Derivative Securities Acquired (A) or Disposed of (Derivative) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exerc Expiration Da (Month/Day/N	ate	7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)		
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option (Right to Buy)	\$7.35	04/15/2014		М			20,000	(4)	11/15/2014	Common Stock	20,000	\$0	40,000	D	
Employee Stock Option (Right to Buy)	\$19.75							(4)	03/04/2020	Common Stock	25,210		25,210	D	
Employee Stock Option (Right to Buy)	\$25.07							(4)	12/17/2018	Common Stock	45,528		45,528	D	
Employee Stock Option (Right to Buy)	\$25.28							(4)	03/28/2021	Common Stock	25,496		25,496	D	
Employee Stock Option (Right to Buy)	\$35.92							(4)	12/13/2016	Common Stock	32,558		32,558	D	
Employee Stock Option (Right to Buy)	\$45.38							(4)	12/12/2017	Common Stock	22,564		22,564	D	

### **Explanation of Responses:**

1. The sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 11, 2013.

2. The price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$34.01 to \$34.41, inclusive. The reporting person undertakes to provide to The NASDAQ OMX Group, Inc., any security holder of The NASDAQ OMX Group, Inc. or the staff of the U.S. Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote (2) to this Form 4.

3. Represents (i) 32,274 vested shares of restricted stock, (ii) 59,640 shares underlying PSUs, of which 45,399 shares are vested and (iii) 6,187 shares purchased under the Employee Stock Purchase Plan. 4. Options exercisable.

/s/ Edward S. Knight, by power 04/16/2014

of attorney

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

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.