SEC Form 4

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
J	obligations may continue. See
	Instruction 1(b)

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden

U obligat	n 16. Form 4 or ions may contin tion 1(b).		-	Fil					a) of the Se Investmen			nge Act of 1 t of 1940	1934	_			ated av	erage burde sponse:	n 0.5	
1. Name and Address of Reporting Person* FRIEDMAN ADENA T							2. Issuer Name and 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) (First) (Middle) ONE LIBERTY PLAZA					_	Date (8/04/2		t Trans	action (Mo	nth/D	ay/Year)			X	below)	give title	Vice P	Other (s below) <mark>resident</mark>	specity	
(Street) NEW YORK NY 10006 (City) (State) (Zip)					- 4. 1	4. If Amendment, Date of Original Filed (Month/Day/Year)								i. Indiv ine) X	ividual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person					
		Ta	ble I - Nor	ו-Deri	vativ	ve Se	ecuritie	s Ac	quired,	Disp	osed	of, or Be	enefici	ally	Owned					
1. Title of Security (Instr. 3) Date (Month							2A. Deemed Execution Date, if any (Month/Day/Year)		Code (I	Transaction Dispose		rities Acquired (A) ed Of (D) (Instr. 3, 4		and Securitie Beneficia		es Forn ally (D) o following (I) (Ir		: Direct Indirect str. 4)	7. Nature of ndirect Beneficial Dwnership Instr. 4)	
										v	Amount	t (A) or Pi (D) Pi		е	Transaction(s) (Instr. 3 and 4)				(
Common Stock, par value \$0.01 per share										İ –				232,7	232,706 ⁽¹⁾		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	conversion Date Execution Date, r Exercise (Month/Day/Year) if any (Month/Day/Year) frice of erivative			1. Transa Code (I 3)				6. Date Exercisable and Expiration Date (Month/Day/Year)			7. Title an of Securit Underlyin Derivative (Instr. 3 ar	ies g Security	Derivative Security		9. Numbe derivative Securitie Beneficia Owned Following Reported Transacti (Instr. 4)	e s ally g	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	Beneficial Ownership (Instr. 4)	
				c	Code	v	(A)		Date Exercisable	e Ex Da	piration ate	Title	Amoun or Numbe of Shar	r						
Employee Stock Option (Right to Buy)	\$19.75	03/04/2010			A		34,664		(2)	03	/04/2020	Common Stock	34,66	54	\$0	34,6€	54	D		
Employee Stock Option	\$7.35								(3)	11	/15/2014	Common	195,0	00		195,0	00	D		

Explanation of Responses:

(Right to Buy) Employee Stock

Option (Right to

Employee Stock Option

(Right to Buy)

Employee Stock Option

(Right to Buy)

Buy) Employee Stock Option (Right to Buy)

\$9.15

\$25.07

\$35.92

\$45.38

1. Represents (i) 19,000 shares of common stock acquired upon exercise of vested options, (ii) 167,661 shares or units of restricted stock, of which 12,226 are vested, (iii) 46,044 unvested shares underlying PSUs and (iv) 1 share purchased under the Employee Stock Purchase Plan

(4)

(5)

(6)

(7)

2. Options exercisable on March 4, 2014, subject to accelerated vesting on March 4, 2013, or extension of vesting until March 4, 2015, depending on the achievement of performance goals.

3. Represents exercisable options.

4. Represents exercisable options.

5. Options exercisable on December 17, 2012.

6. Options vested as to 50%. Remaining 50% exercisable on December 13, 2010.

7. Options exercisable on December 12, 2010.

/s/ Edward S. Knight, by power 03/08/2010 of attorney ** Signature of Reporting Person Date

Stock

Common Stock

Common

Stock

Common

Stock

Commor

Stock

02/18/2014

12/17/2018

12/13/2016

12/12/2017

100,000

60,704

32,558

30,085

100,000

60,704

32,558

30,085

D

D

D

D

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.