SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See	STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP
Instruction 1(b).	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

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

1. Name and Address of Reporting Person [*] Peterson Bradley J			2. Issuer Name and Ticker or Trading Symbol <u>NASDAQ, INC.</u> [NDAQ]		tionship of Reporting Pe all applicable) Director	10% Owner		
(Last) 151 W. 42ND S	(First) STREET	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 08/31/2020		Officer (give title below) Executive Vice	Other (specify below) President		
(Street)			4. If Amendment, Date of Original Filed (Month/Day/Year)	Line)	· ·			
NEW YORK	NY	10036		X	Form filed by One Re			
(City)	(State)	(Zip)	—		Form filed by More the Person	an One Reporting		
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. Transa Code (8)				5. Amount of Securities Beneficially Owned Following Reported	Form: Direct	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(1150.4)
Common Stock, par value \$0.01 per share	08/31/2020		S ⁽¹⁾		1,500	D	\$135	24,333 ⁽²⁾	D	

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature Conversion Execution Date. Transaction Ownership Derivative Date of Expiration Date Amount of Derivative derivative of Indirect or Exercise Price of Security (Instr. 3) (Month/Day/Year) if any (Month/Day/Year) Code (Instr. Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Form: Direct (D) Beneficial 8) Securities Acquired Beneficially Ownership (Instr. 4) Underlying Derivative Derivative Owned or Indirect Security (A) or Security (Instr. 3 and 4) Following Reported (I) (Instr. 4) Disposed of (D) (Instr. 3, 4 . Transaction(s) (Instr. 4) and 5) Amount

Explanation of Responses:

1. The reported sale was effected pursuant to a Rule 10b5-1 trading plan.

2. Represents (i) 15,866 shares or units of restricted stock, of which 11,965 are vested, (ii) 6,957 shares underlying PSUs, all of which are vested and (iii) 1,510 shares purchased under the Employee Stock Purchase Plan

Date

Exercisable

Remarks:

/s/ Alex Kogan, by power of attorney

or Number

of

Shares

Title

Expiration

Date

09/02/2020

** Signature of Reporting Person Date

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).

v

(A) (D)

Code

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.

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