## SEC Form 4

## FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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

1. Name and Address of Reporting Person <sup>*</sup> <u>PTASZNIK MICHAEL</u>			2. Issuer Name <b>and</b> Ticker or Trading Symbol NASDAQ, INC. [NDAQ]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner			
(Last) 151 W. 42ND	(First) D STREET	(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 04/01/2020	X Officer (give title Other (specify below) below) EXECUTIVE VICE PRESIDENT			
(Street) NEW YORK	NY	10036	4. If Amendment, Date of Original Filed (Month/Day/Year)	<ul> <li>6. Individual or Joint/Group Filing (Check Applicable Line)</li> <li>X Form filed by One Reporting Person Form filed by More than One Reporting</li> </ul>			
(City)	(State)	(Zip)	erivative Securities Acquired, Disposed of, or Ber	Person			

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)						6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	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	04/01/2020		A		4,118 <sup>(1)</sup>	Α	\$0.00	31,658 <sup>(2)</sup>	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. Derivative Transaction Ownership Date of Expiration Date Amount of Derivative derivative of Indirect Security (Instr. 3) or Exercise Price of (Month/Dav/Year) if any (Month/Day/Year) Code (Instr. Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Form: Beneficial 8) Direct (D) Ownership (Instr. 4) Securities Acquired Underlying Beneficially Derivative Derivative Owned or Indirect Security (A) or Security (Instr. 3 and 4) Following (I) (Instr. 4) Disposed Reported of (D) (Instr. 3, 4 . Transaction(s) (Instr. 4) and 5) Amount or Number Expiration Date of Title Code v (A) (D) Exercisable Date Shares

Explanation of Responses:

1. Represents shares or units of restricted stock granted pursuant to Nasdaq's Equity Incentive Plan, which vest as to 33% on April 1, 2022, 33% on April 1, 2023 and 34% on April 1, 2024.

2. Represents (i) 15,189 shares or units of restricted stock, of which 11,071 are vested, and (ii) 16,469 vested shares underlying PSUs.

## **Remarks:**

<u>/s/ Alex Kogan, by power of</u> <u>attorney</u>

<u>04/03/2020</u>

\*\* 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).

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.

## Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).