NASDAQ OMX GROUP, INC.

Form 4 May 27, 2015

## FORM 4

#### **OMB APPROVAL**

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

**OMB** 3235-0287 Number:

Check this box if no longer subject to Section 16.

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES** 

January 31, Expires: 2005 Estimated average

Form 4 or Form 5 obligations may continue.

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

burden hours per response... 0.5

See Instruction 1(b).

(Last)

per share

(Print or Type Responses)

1. Name and Address of Reporting Person \* 2. Issuer Name and Ticker or Trading Ewing Anna M

(Middle)

5. Relationship of Reporting Person(s) to Issuer Symbol

NASDAQ OMX GROUP, INC.

[NDAQ]

3. Date of Earliest Transaction

Director 10% Owner

(Check all applicable)

(Month/Day/Year) ONE LIBERTY PLAZA

(First)

05/22/2015

X\_ Officer (give title Other (specify below) **Executive Vice President** 

6. Individual or Joint/Group Filing(Check

(Street) 4. If Amendment, Date Original

Filed(Month/Day/Year)

Applicable Line) \_X\_ Form filed by One Reporting Person

Form filed by More than One Reporting Person

(2)

NEW YORK, NY 10006

| (City)                               | (State)                              | (Zip) <b>Tabl</b>   | e I - Non-E                             | Derivative   | Securi    | ities Acqu  | iired, Disposed of   | f, or Beneficial   | ly Owned  |
|--------------------------------------|--------------------------------------|---|---|--|-----------|-------------|--|--|---|
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 3.<br>Transaction<br>Code<br>(Instr. 8) | 4. Securities Acquired r(A) or Disposed of (D) (Instr. 3, 4 and 5) |           | of (D)      | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |
| Common                               |                                      |   | Code V                                  | Amount   | or<br>(D) | Price       | (Instr. 3 and 4)   |  |   |
| Stock, par value \$0.01              | 05/22/2015                           |   | S <u>(1)</u>                            | 15,000   | D         | \$<br>52.19 | 49,541 <u>(3)</u>  | D  |   |

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Edgar Filing: NASDAQ OMX GROUP, INC. - Form 4

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

|            | 1. Title of | 2.          | 3. Transaction Date | 3A. Deemed         | 4.                | 5.         | 6. Date Exerc                    | cisable and | 7. Titl    | le and       | 8. Price of | 9 |
|------------|-------------|-------------|---------------------|--------------------|-------------------|------------|----------------------------------|-------------|------------|--------------|-------------|---|
|            | Derivative  | Conversion  | (Month/Day/Year)    | Execution Date, if | TransactionNumber |            | Expiration Date                  |             | Amou       | int of       | Derivative  | J |
|            | Security    | or Exercise |                     | any                | Code              | of         | (Month/Day/                      | Year)       | Under      | lying        | Security    | , |
| (Instr. 3) |             | Price of    |                     | (Month/Day/Year)   | (Instr. 8         | Derivative |                                  |             | Securities | (Instr. 5)   | ]           |   |
|            |             | Derivative  |                     |                    | Sec               |            | Securities<br>Acquired           |             |            | 3 and 4)     |             | ( |
| Security   |             | Security    |                     |                    |                   | Acquired   |                                  |             |            |              |             | J |
|            |             | -           |                     |                    |                   | (A) or     |                                  |             |            |              |             | J |
|            |             |             |                     |                    |                   | Disposed   |                                  |             |            |              |             | - |
|            |             |             |                     |                    |                   | of (D)     |                                  |             |            |              |             | ( |
|            |             |             |                     |                    |                   | (Instr. 3, |                                  |             |            |              |             |   |
|            |             |             |                     |                    |                   | 4, and 5)  |                                  |             |            |              |             |   |
|            |             |             |                     |                    |                   |            |                                  |             |            | Amount       |             |   |
|            |             |             |                     |                    |                   |            |                                  |             |            | Amount       |             |   |
|            |             |             |                     |                    |                   |            | Date Expiration Exercisable Date | Expiration  |            | or<br>Number |             |   |
|            |             |             |                     |                    |                   |            |                                  |             | of         |              |             |   |
|            |             |             |                     |                    | C-1- 1            | 7 (A) (D)  |                                  |             |            |              |             |   |
|            |             |             |                     |                    | Code V            | (A) (D)    |                                  |             |            | Shares       |             |   |

## **Reporting Owners**

Reporting Owner Name / Address Relationships

Director 10% Owner Officer Other

Ewing Anna M ONE LIBERTY PLAZA NEW YORK, NY 10006

**Executive Vice President** 

## **Signatures**

/s/ Edward S. Knight, by power of attorney

05/27/2015

\*\*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) The sales reported were effected pursuant to a Rule 10b5-1 trading plan.
- The price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$52.14 to \$52.29, inclusive. The reporting person undertakes to provide to Nasdaq, any security holder of Nasdaq 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) 3,061 vested shares of restricted stock, (ii) 38,614 vested shares underlying performance share units, and (iii) 7,866 shares purchased under the Employee Stock Purchase Plan.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2