

NASDAQ OMX GROUP, INC.

Form 4

November 20, 2014

# FORM 4

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

OMB APPROVAL

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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 OF SECURITIES

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
HASSEN RONALD

2. Issuer Name and Ticker or Trading Symbol  
NASDAQ OMX GROUP, INC.  
[NDAQ]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
ONE LIBERTY PLAZA  
(Street)

3. Date of Earliest Transaction  
(Month/Day/Year)  
11/18/2014

\_\_\_\_ Director \_\_\_\_\_ 10% Owner  
 Officer (give title below) \_\_\_\_\_ Other (specify below)  
Senior Vice President

NEW YORK, NY 10006  
(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 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**

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	(A) or (D)	5. Amount or Price	6. Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	7. Nature of Ownership (Instr. 4)
Common Stock, par value \$0.01 per share	11/18/2014		M	12,707	A	\$ 20.04	92,186	D
Common Stock, par value \$0.01 per share	11/18/2014		S	12,707	D	\$ 44 (1)	79,479	D
Common Stock, par value \$0.01 per share	11/18/2014		M	11,618	A	\$ 25.07	91,097	D

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Common Stock, par value \$0.01 per share	11/18/2014	S	11,618	D	\$ 44 (1)	79,479	D
Common Stock, par value \$0.01 per share	11/19/2014	M	3,558	A	\$ 25.07	83,037	D
Common Stock, par value \$0.01 per share	11/19/2014	S	3,558	D	\$ 44	79,479	D
Common Stock, par value \$0.01 per share	11/19/2014	M	6,202	A	\$ 19.75	85,681	D
Common Stock, par value \$0.01 per share	11/19/2014	S	6,202	D	\$ 44	79,479 (2)	D

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

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(9-02)

**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)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (Right to Buy)	\$ 20.04	11/18/2014		M	12,707	(3)	08/03/2017	Common Stock	12,707
Employee Stock	\$ 25.07	11/18/2014		M	11,618	(3)	12/17/2018	Common Stock	11,618

Option (Right to Buy)									
Employee Stock Option (Right to Buy)	\$ 25.07	11/19/2014		M	3,558	<u>(3)</u>	12/17/2018	Common Stock	3,558
Employee Stock Option (Right to Buy)	\$ 19.75	11/19/2014		M	6,202	<u>(3)</u>	03/04/2020	Common Stock	6,202
Employee Stock Option (Right to Buy)	\$ 25.28					<u>(3)</u>	03/28/2021	Common Stock	14,165

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HASSEN RONALD ONE LIBERTY PLAZA NEW YORK, NY 10006			Senior Vice President	

## Signatures

/s/ Edward S. Knight, by power of attorney  
11/20/2014

\_\_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 price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$44.00 to \$44.01, 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 (1) to this Form 4.
- (2) Represents (i) 55,572 shares or units of restricted stock, of which 5,572 are vested, (ii) 18,116 shares underlying PSUs, of which 9,647 shares are vested and (iii) 5,791 shares purchased under the Employee Stock Purchase Plan.
- (3) Options exercisable.

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.