

NASDAQ OMX GROUP, INC.

Form 4

June 14, 2013

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5Check 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 *
AUST BRUCE2. 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)
06/13/2013☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
Executive 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)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)
Common Stock, par value \$0.01 per share	06/13/2013		M	7,500	A \$ 9.15	122,251	D
Common Stock, par value \$0.01 per share	06/13/2013		S ⁽¹⁾	7,500	D \$ (2) 31.46	114,751 ⁽³⁾	D

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

**Persons who respond to the collection of
information contained in this form are not**SEC 1474
(9-02)

required to respond unless the form displays a currently valid OMB control number.

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)	\$ 9.15	06/13/2013		M	7,500	<u>(4)</u> 02/18/2014	Common Stock 7,500
Employee Stock Option (Right to Buy)	\$ 7.35					<u>(5)</u> 11/15/2014	Common Stock 120,000
Employee Stock Option (Right to Buy)	\$ 19.75					<u>(6)</u> 03/04/2020	Common Stock 25,210
Employee Stock Option (Right to Buy)	\$ 25.07					<u>(7)</u> 12/17/2018	Common Stock 45,528
Employee Stock Option (Right to Buy)	\$ 25.28					<u>(8)</u> 03/28/2021	Common Stock 25,496
Employee Stock Option (Right to Buy)	\$ 35.92					<u>(9)</u> 12/13/2016	Common Stock 32,558

Employee Stock Option (Right to Buy)	\$ 45.38	<u>(10)</u>	12/12/2017	Common Stock	22,564
--	----------	-------------	------------	-----------------	--------

Reporting Owners

Reporting Owner Name / Address	Relationships
	Director 10% Owner Officer Other
AUST BRUCE ONE LIBERTY PLAZA NEW YORK, NY 10006	Executive Vice President

Signatures

/s/ Edward S. Knight, by power of attorney	06/14/2013
---	------------

__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 sale reported in this Form 4 was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on December 13, 2012.
- (2) The price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$31.30 to \$31.58, 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 (2) to this Form 4.
- (3) Represents (i) 32,274 vested shares of restricted stock, (ii) 76,290 shares underlying PSUs, of which 37,006 shares are vested and (iii) 6,187 shares purchased under the Employee Stock Purchase Plan.
- (4) Options exercisable.
- (5) Options exercisable.
- (6) Options exercisable on March 4, 2014.
- (7) Options exercisable.
- (8) Options exercisable on March 28, 2014.
- (9) Options exercisable.
- (10) 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.