SEC Form 4

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FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

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

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

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			01 36		ivesiment Co	TIPATIY ACT OF 1940						
1. Name and Addre	1 0	Person*		ier Name and Ticki SDAQ OMX	0	Symbol INC. [NDAQ]	(Check	tionship of Reportin all applicable) Director Officer (give title	10% C			
(Last) ONE LIBERTY	(First) PLAZA	(Middle)		e of Earliest Transa 3/2013	iction (Month/	Day/Year)	Х	below)	below) /ice President			
(Street)				mendment, Date of	Original Filed	(Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applicable Line)					
NEW YORK	NY	10006					X	Form filed by One	1 0			
(City)	(State)	(Zip)						Form filed by Mor Person	e than One Rep	orung		
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
Date		2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) of Disposed Of (D) (Instr. 3, 4		5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership			

	Date (Month/Day/Year)	Execution Date, if any (Month/Day/Year)	Code (Instr.		Disposed Of	(D) (Instr.	3, 4 and 5)	Securities Beneficially Owned Following Reported	(D) or Indirect (I) (Instr. 4)	of Indirect Beneficial Ownership (Instr. 4)
			Code	v	V Amount (A) or (D)		Price	Transaction(s) (Instr. 3 and 4)		
Common Stock, par value \$0.01 per share	06/03/2013		M ⁽¹⁾		67,960	A	\$7.35	217,604	D	
Common Stock, par value \$0.01 per share	06/03/2013		S		67,960	D	\$31.13 ⁽²⁾	149,644	D	
Common Stock, par value \$0.01 per share	06/04/2013		М		32,040	A	\$7.35	181,684	D	
Common Stock, par value \$0.01 per share	06/04/2013		S		32,040	D	\$31.09 ⁽³⁾	149,644 ⁽⁴⁾	D	

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. Transa Code (8)		of Deri Secu Acqu (A) c Disp of (E	umber vative urities uired or oosed)) (Instr. and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year) 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		ies g Security	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Employee Stock Option (Right to Buy)	\$7.35	06/03/2013		М			67,960	(5)	11/15/2014	Common Stock	67,960	\$0	32,040	D	
Employee Stock Option (Right to Buy)	\$7.35	06/04/2013		М			32,040	(5)	11/15/2014	Common Stock	32,040	\$0	0	D	
Employee Stock Option (Right to Buy)	\$19.75							(6)	03/04/2020	Common Stock	22,059		22,059	D	
Employee Stock Option (Right to Buy)	\$25.07							(7)	12/17/2018	Common Stock	39,458		39,458	D	
Employee Stock Option (Right to Buy)	\$25.28							(8)	03/28/2021	Common Stock	25,496		25,496	D	
Employee Stock Option (Right to Buy)	\$35.92							(9)	12/13/2016	Common Stock	28,801		28,801	D	
Employee Stock Option (Right to Buy)	\$ 45.38							(10)	12/12/2017	Common Stock	19,555		19,555	D	

Explanation of Responses:

1. The exercises and sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan.

2. The price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$31.06 to \$31.35, 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. The price reported in this box is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$31.06 to \$31.17, 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 (3) to this Form 4.

4. Represents (i) 7,878 shares of common stock acquired upon exercise of vested stock options, (ii) 50,255 vested shares of restricted stock, (iii) 74,211 shares underlying PSUs, of which 34,008 shares are vested and (iv) 17,300 shares purchased under the Employee Stock Purchase Plan.

5. Options vested as to 100%.

6. Options exercisable on March 4, 2014.

7. Options vested as to 100%.

8. Options exercisable on March 28, 2014.

9. Options vested as to 100%.

10. Options vested as to 100%.

/s/ Edward S. Knight

** Signature of Reporting Person

06/05/2013

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.