

April 1, 2011

Elizabeth M. Murphy, Secretary
Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549-1090

SUBJECT: Public Comments on File No. SR-SCCP-2011-001 or SR-BSECC-2011-001

Dear Secretary Murphy:

These Public Comments are being submitted on behalf of Anonymous Operation Want; an Anonymous affiliated online group think-tank of researchers, activists and hacktivists (Anons) against censorship, corporate and government corruption with specific interest in Sweden and the United States; World Citizens for Truth and Freedom, an unincorporated non-profit organization; and Prosperity Agenda, an organization of 35, 0000 people seeking to create a democratized economy. These comments and information are also being submitted to protect the public trust and under whistleblower provisions.

These public comments oppose the proposal made by the NASDAQ OMX Group ("NASDAQ"), to change existing rules, regulations and laws to expand the number of seats on their Board of Directors from 15 seats to 16, in order to create a new seat for Investor AB. We request that the SEC deny the requested proposal. Members of the organizations submitting these comments, and public may be harmed by the NASDAQ requests if approved by the SEC, and implemented by NASDAQ.

Further, the organizations filing these Comments request that the SEC investigate and take appropriate enforcement action against certain board members of NASDAQ including Borje Ekholm, Lars Wedenborn, Birgitta Kantola, Urban Backstrom and Hans Munk Nielsen, as well as the companies that they represent among them, Investor AB, FAM, STORA ENSO, NORDEA INVEST and the Confederation of Swedish Enterprise. [Exhibits A-D]

NASDAQ OMX not only operates the NASDAQ stock market and seven European stock exchanges in the Nordic and Baltic areas, but the NASDAQ OMX Group technology supports the operations of over 60 exchanges, clearing organizations, and central securities depositories in more than 50 countries. The NASDAQ OMX Group (NASDAQ: NDAQ), the world's largest exchange company, represents a value of approximately \$14.4 trillion. [Exhibit B] The addition of INVESTOR AB, with approximate ownership of 120 companies, will further concentrate economic power in the hands of the Sweden's Wallenberg family which is already over represented on the NASDAQ OMX board. [Exhibits A-D] This expansion is not in the public interest, but in the interest of a single family. The Wallenberg's core companies, under INVESTOR AB, have been involved in violations of civil and criminal law [Exhibit A] as well as provided the SEC with incomplete information, about their holdings and board members, to understate their control of the NASDAQ. [Exhibit A-C] Further, the current board membership already violates NASDAQ rules in that the independent non-industry and public interest are under-represented.

Reasons for Opposition to Expansion of NASDAQ Board and the Need for SEC Investigation

1. The Board Expansion Fails to Protect the Public Interest and Further Concentrates Control of the NASDAQ in the Wallenberg Family

The NASDAQ OMX Group has had 15 board members since April 1, 1996, and performed their functions without the need for expanding the size of the board. Prior to that date, there were 10 board members. According to the Financial Industry Regulatory Authority press statement of April 1, 1995, the purpose for expanding the NASDAQ board in 1996 was:

“ . . . to increase public participation in the governance of Nasdaq, the Nasdaq Board is expanding the number of non-industry directors...” [Exhibit B]

The request for expansion of NASDAQ OMX Group will not benefit the public interest, but only benefit the interest of the Wallenberg family through Investor AB which they control. The public interest is already undermined because the SEC has failed to make sure that at least one third (5) board members are “non-industry” representatives who would protect the public interest. [Exhibit B]

Investor AB does not qualify as a non-industry sector director, thus adding to the problem. The SEC should notify the Chairman and Board of NASDAQ that they need to bring the independent non-industry and public interest balance back to the makeup of the board and to do so without expanding the number of seats, rather than expanding the board. NASDAQ by-laws provide the procedures for the Chairman and board to use to remove board members if they do not resign. (NASDAQ By-laws, Article VII, Sec. 7.5) [Exhibit B]

The addition, Investor AB adds to the control of the Wallenberg family on the NASDAQ. Investor AB has shared interests with the NASDAQ board members that are representing FAM, STORA ENSO, NORDEA INVEST and the CONFEDERATION OF SWEDISH ENTERPRISE. Creating one more industry representative seat on the NASDAQ board, specifically for Wallenberg family interests and personal profit via Investor AB, could cause problems in a publicly perceived power grab or cartel by the Swedish elites. [Exhibits A, B, D]

The SEC should take note of the conflicts of interest in the current makeup of the NASDAQ board, with or without the inclusion of INVESTOR AB. Although NASDAQ by-laws require members with conflicts of interest to recuse themselves from voting, there appears to be no enforcement actions taken by the board or SEC. (NASDAQ By-laws Sec. 4.14 b). [Exhibit B] When the majority of the board has self-interests and/or conflicts of interest, then it becomes highly unlikely, if not impossible to pass a vote with the majority of the board.

There is an important issue pending before the NASDAQ board, since March 2, 2010. NASDAQ OMX announced approval of a share repurchase program totaling up to 300 million outstanding common stock. This repurchase has not been completed. In the current request to expand the board, the consequences of the possible completion of this repurchase program for the board of directors have not been taken into account. However, it is very likely that an eventual completion would add further conflict of interest to the decisions of the board. [Exhibit C]

2. INVESTOR AB Filings to the SEC Contains False and Misleading Statements and Omissions, and Other Fraudulent Conduct

Between December 10, 2010 and March 10, 2011 several SEC files were submitted by or for INVESTOR AB and subsidiaries or business relationships all coming from the same address in Sweden. [Exhibit C] The SEC filing, with Attachments, dated March 10, 2011, and others, omitted relevant information including;

- A. Who controls or owns Investor AB [Exhibit B]
- B. Business affiliations and board relationships for the Investor AB board members [Exhibits A,B,D]
- C. Transactions and exchanges of NASDAQ OMX Shares with companies that do not appear to be registered with the SEC and have not filed annual reports. [Exhibit B]

These omissions of relevant information appear to be a deliberate attempt to hide the fact that the Wallenberg family, their foundations and FAM are controlling owners of Investor AB. If accurate and truthful filings had been provided to the SEC and public it would have been obvious that the Wallenberg family has several companies, under their control, already on the NASDAQ board. Omissions of pertinent information is unlawful and a form of censorship that violates the public trust. Accurate information on the controlling ownership of the companies on the Board of the NASDAQ show that the largest stock exchange in the world is partially owned by an investment company belonging to a private family fund whose core investments are all listed on that stock exchange and who are represented by about one-quarter of the directors of the stock exchange. [Exhibits A, B, D]

3. The NASDAQ Has Been Engaged in Unfair Dealing and Inconsistent in the Value of a Board Member Seat

The NASDAQ is inconsistent in their valuation of board seats. A previous agreement entered into with "BORSE DUBAI," owned by the Dubai Government and Ruler of Dubai, set the value of a board seat and committee seat stating: the "Beneficial Owner" must own at least 50 million Shares to have two (2) appointed board members and one (1) committee member. If the number of Shares held should fall below 50 million, but not less than 25 million, then they can have only one (1) board member. Upon examination of the historic board makeup of NASDAQ, it appears that BORSE DUBAI did not exercise their ability to have two board members at the same time. Rather, they had just one that was the Chairman of BORSE DUBAI. Why they did not exercise the option is unknown. Perhaps, no other NASDAQ board members were willing to resign their seat? As of December 10, 2010, BORSE Dubai no longer owns 50 million shares required to have two board members seats. [Exhibit A -C]

If the expansion goes forward to add Investor AB, the SEC will grant the Wallenberg family to control three seats, or more, on the NASDAQ board for their companies -- FAM, FAM's Stora Enso, and the Wallenberg Family Foundations "Investor AB," that is also under FAM [Exhibit B] -- this action would appear to be biased and an unfair dealing. In addition to the overlapping or circular businesses under the control of the Wallenberg's, the SEC must also investigate the true nature of all of the board relations between Borje Ekholm, Lars Wedenborn and Birgitta Kantola [Exhibit B - D], including FAM's holdings and Investor AB's "Core" businesses that are belonging to the Wallenberg family [Exhibit B].

Therefore, it could be reasonably argued that in order for fairness and consistency between NASDAQ shareholders that all "Beneficial Owners" that want two board seats and a committee seat must also own at

least 50 million shares. If they want three seats then they would need at least 75 million shares. Jointly, the Wallenberg's Investor AB & FAM total less than 20 million Shares. [Exhibits A, D] Regardless, the NASDAQ OMX Group must have a Board of Directors that is balanced between Industry and Non-Industry members, without the Industry members creating a cartel to block voting and act on the behalf of one family or country. All financial corporations in the United States must be accountable to the public and investors. The public must not be expected to bail out financial institutions or markets, with valued interests of over \$14 Trillion, due to mismanagement, self-interest and personal greed.

4. The Violation of Law by Wallenberg Family Controlled Corporations Makes Their Representation on NASDAQ Inappropriate and Against the Public Interest

Family Assets Management (FAM) handles the financial assets of the Wallenberg's and their twenty (20) Wallenberg Family Foundations. This includes some of the private and publicly held companies that are controlled by the Wallenberg's through majority shares and voting. One example of a company controlled by the Wallenberg's through FAM is STORA ENZO. Another example is that Investor AB is controlled through the three largest of their foundations and in turn under FAM. [Exhibit B]

Investor AB then has approximately 120 private and public companies with many that are owned or controlled by the Wallenberg's. Investor AB was created by the Wallenberg's around 1916, due to new Swedish legislation. Their banks, Skandinaviska Enskilda Banken AB and SEB AG, became "Core" businesses still under the control of the Wallenberg's. Other "Core" businesses under FAM, Investor AB and Wallenberg control are ABB Ltd aka ASEA Brown Boveri, AstraZeneca, Atlas Copco, Ericsson, Electra, Swedish Air Service (SAS), SAAB Group, Husqvarna, Grand Hotels, Mölnlycke Health Care AB, INCENTIVE, Duba AB, Investor Trading, Investor Holding, Patricia AB, Patricia Trading, Patricia Holding and others. [Exhibit B, C]

To completely understand how current and proposed Board Members of the NASDAQ are connected to known federal crimes and current litigation the SEC and DoJ need to understand the business and board relationships [Exhibit A-D]. Since SEC filings have omitted significant information, it is difficult to understand these connections without a complete and independent investigation. But, we do know of some violations of law by Board members and proposed Board members.

A. Investor AB Controls Companies that Have Been Found Guilty of Federal Crimes including, Fraud, Bribery, Anti-Trust and are Under Present Court Proceedings for Allegations of Bank Misappropriations of Clients Investments Involving Hedge Funds. [Exhibit A]

i. ABB agreed to pay \$39 million in penalties for bribery schemes in Mexico and the Iraq and \$19 million in criminal penalties.

In a September 29, 2010 SEC press release concerning litigation with ABB the SEC states "it filed a settled civil action against ABB Ltd ("ABB") in the United States District Court for the District of Columbia, charging the company with violations of the Foreign Corrupt Practices Act. ABB ... through its subsidiaries, paid bribes to government officials in Mexico to obtain business with government owned power companies,

and paid kickbacks to the former regime in Iraq to obtain contracts under the United Nations Oil for Food Program... ABB's subsidiaries made at least \$2.7 million in illicit payments in these schemes to obtain contracts that generated more than \$100 million in revenues for ABB..." To settle these civil violations of law the SEC ordered ABB to pay \$22,804,262 in disgorgement and prejudgment interest, orders the company to pay a \$16,510,000 civil penalty. Further in related criminal proceedings, ABB settled the prosecution with the U.S. Department of Justice with ABB agreeing to pay \$19 million in criminal penalties. [Exhibit A]

The ABB 2010 annual report describes these events: "In connection with these settlements, we agreed to make payments to the DoJ and SEC totaling \$58 million, which were settled in the fourth quarter of 2010. One subsidiary of ABB pled guilty to one count of conspiracy to violate the anti-bribery provisions of the U.S. Foreign Corrupt Practices Act and one count of violating those provisions. ABB entered into a deferred prosecution agreement and settled civil charges brought by the SEC. These settlements resolved the foregoing investigations. [Exhibit A]

ii. The European Commission Has Conducted Raids on the Premises of ABB in Sweden as Part of an Investigation into Anti-Competitive Activities and Fined ABB \$49 Million

The annual report of ABB describes an investigation into violations of anti-trust laws by ABB. They report states "In January 2010, the European Commission conducted raids at the premises of ABB's flexible alternating current transmission systems (FACTS) business in Sweden as part of its investigation into alleged anti-competitive practices of certain FACTS manufacturers. In the United States, the Department of Justice (DoJ) also conducted an investigation into this business. We have been informed that the European Commission and the DoJ have closed their investigations..." [Exhibit A]

The European Commission fined ABB euro 33.75 million (equivalent to \$49 million on date of payment) regarding anti-competitive practices in violation of Anti-Trust law. The German Antitrust Authority (Bundeskartellamt) and other antitrust authorities are also reviewing those alleged practices which relate to the German market and other markets. [Exhibit A]

iii. Employees of ABB's Gas Insulated Switchgear Business Have Engaged in Anti-Competitive Practices in Violation of European Anti-Trust Laws

In their Annual Report filed with the SEC, ABB reports: "In May 2004, we announced that we had undertaken an internal investigation which uncovered that certain of our employees together with employees of other companies active in the Gas Insulated Switchgear business were involved in anti-competitive practices. We reported such practices upon identification to the appropriate antitrust authorities, including the European Commission. The European Commission announced its decision in January 2007 and granted ABB full immunity from fines assessed to ABB of euro 215 million under the European Commission's leniency program. We continue to cooperate with other antitrust authorities in several locations globally, including Brazil, which are investigating anti-competitive practices related to Gas Insulated Switchgear. At this stage of the proceedings, no reliable estimate of the amount of potential fines, if any, can be made." [Exhibit A]

iv. Wallenberg Family Controlled, AstraZeneca Has Paid Fines of \$520 Million for Off-Label Drug Marketing; and for Another Drug Paid \$355 Million to Settle Criminal and Civil Liabilities For Illegal Drug Pricing and Marketing Practices

On April 27, 2010 the Department of Justice issued a press release which stated: "Pharmaceutical Giant AstraZeneca to Pay \$520 Million for Off-label Drug Marketing." This was to "resolve allegations that AstraZeneca illegally marketed the anti-psychotic drug Seroquel for uses not approved as safe and effective by the Food and Drug Administration." The company signed a civil settlement and agreed to pay the federal government \$301,907,007 from the civil settlement, and the state Medicaid programs and the District of Columbia will share up to \$218,092,993 of the civil settlement. The United States also contended that

“AstraZeneca violated the federal Anti-Kickback Statute by offering and paying illegal remuneration to doctors it recruited to serve as authors of articles written by AstraZeneca and its agents about the unapproved uses of Seroquel.” These are serious violations of law that put the health of Americans at risk, as Attorney General Eric Holder said: "Illegal acts by pharmaceutical companies and false claims against Medicare and Medicaid can put the public health at risk, corrupt medical decisions by health care providers, and take billions of dollars directly out of taxpayers' pockets." [Exhibit A]

On June 20, 2003 the Department of Justice announced that AstraZeneca pleaded guilty to health care crimes and agreed to pay \$355 million to settle the charges. The Department of Justice said that “to resolve criminal charges and civil liabilities in connection with its drug pricing and marketing practices with regard to Zoladex, a drug sold by AstraZeneca Pharmaceuticals LP and used primarily for the treatment of prostate cancer... AstraZeneca pleaded guilty to conspiring to violate the Prescription Drug Marketing Act (“PDMA”) by causing to be submitted claims for payment for the prescription of Zoladex which had been provided as free samples to urologists. This criminal conduct caused losses of \$39,920,098 to Medicare, Medicaid and other federally funded insurance programs. As part of the plea agreement, AstraZeneca agreed to pay a \$63,872,156 criminal fine. Further, “AstraZeneca agreed to settle its federal civil False Claim Act liabilities and to pay the U.S. government \$266,127,844 to resolve allegations that the company caused false and fraudulent claims to be filed with the Medicare, TriCare, Department of Defense and Railroad Retirement Board Medicare programs as a result of AstraZeneca’s fraudulent drug pricing schemes and sales and marketing misconduct...” [Exhibit A]

v. Wallenberg Controlled Bank Faces Litigation By Hedge Fund Seeking €200m

Skandinaviska Enskilda Banken, a bank controlled by the Wallenberg family, faces action from Euroption, a British Virgin Islands-based hedge fund with offices in London, England. The Swedish investment bank is being sued for about €200 million the hedge fund that claims the bank slashed the value of its portfolio by failing to close out its investment positions properly after the bank seized control of its portfolio at the height of the credit crunch. The hedge fund argues that delays in exiting its option positions, which included bets on the FTSE, fuelled the collapse in the value of its portfolio from €74 million to under €2 million in less than ten days. [Exhibit A]

5. APPEARANCE OF INSIDER INFORMATION & TRADING

How Investor AB acquired millions of shares of NASDAQ OMX is highly questionable and should reflect on whether INVESTOR AB should hold a seat on the NASDAQ board. Especially, when considering the history between the Government and Ruler of Dubai (BORSE DUBAI) and the Wallenberg's of Sweden (INVESTOR AB). It appears that Wallenberg and the Ruler of Dubai had some sort of agreement that was not divulged to the SEC and the public or maybe not even to other Board Members and Shareholders of NASDAQ OMX. It appears that the Wallenberg's knew in advance they would be getting shares from BORSE DUBAI and with NOMURA to be the mediator or go between. According to the BORSE DUBAI news release, NOMURA agreed to only provide the Shares to INVESTOR [Exhibits B, C].

The Wallenberg's have controlling ownership of INVESTOR AB, FAM and Stora Enso. They also have access to insider information through several NASDAQ OMX GROUP board members, including, but not limited to, Lars Wedenborn of FAM, Birgitta Kantola and Urban Bäckström. Wallenberg's and Glenn Hutchins appear to have known in advance, before the public, that BORSE DUBAI was going to release millions of NASDAQ Shares and the price per Share, amounting to 50% less than the 2008 cost, a significant devaluation. Agreements and contracts had to have been made in advance, of the December 16, 2010 date, to arrange for Nomura to assist with the share transaction. [Exhibits C]

The SEC must investigate the manner and method in which INVESTOR AB and their trading companies - Duba, Investor Trading, Patricia and Patricia Trading, came to have been informed that BORSE DUBAI was going to release such a significant amount of Shares on December 16, 2010, and make arrangement to have NOMURA in position with an contractual agreement between them that would specifically benefit the Wallenberg's (INVESTOR AB). [Exhibit C]

Additionally, the SEC must investigate the agreement between the Wallenberg's (INVESTOR AB) and NASDAQ OMX GROUP board member, Glenn Hutchins and SILVER LAKE PARTNERS. Glenn Hutchins business and board history triangulate with the Wallenberg's through BlackRock that was financed by Blackstone [Exhibit D], and that BlackRock, along with Investor AB, are the major Shareholders of the criminal corporations, ABB and AstraZeneca. [Exhibits A-D].

It appears that Glenn Hutchins and SILVER LAKE PARTNERS acquired Shares specifically to provide to Wallenberg's INVESTOR AB and/or their trading or holding companies - Duba, Investor Trading, Patricia AB, Patricia Trading, and Patricia Holding. [Exhibit C]

World Citizens for Truth and Freedom, Operation Want and Prosperity Agenda oppose the expansion of the NASDAQ OMX Board and specifically opposes the addition of ABB to the Board of Directors. The Board is dominated by the personal interests of Board members rather than the public interest. This problem will be made worse by the addition of INVESTOR AB. The Board Chairman should be directed to correct the imbalance on the Board rather than expanding the Board.

Further, the history of ABB and other Wallenberg family controlled corporations includes unethical and illegal practices that make it inappropriate for Board membership. Finally, we request the SEC to investigate the practices of specific members of the Board as described in these Public Comments, taking the enforcement and legal actions as needed.

Sincerely,

Kevin B. Zeese, Esq.
301-996-6582

On Behalf of Anonymous Operation Want, World Citizens for Truth and Freedom, and Prosperity Agenda

Exhibits

EXHIBIT A: Current Beneficial Owners of the NASDAQ OMX Group, and Criminal Findings, Investigations & Proceedings

EXHIBIT B: Identities and Background

EXHIBIT C: History and Time Line

EXHIBIT D: Identification of NASDAQ OMX Group's Board Members, CV's and Shares

EXHIBIT A

Current Beneficial Owners of the NASDAQ OMX Group

As of March 11, 2011, there are three (3) "Beneficial Owners" with 10% or more ownership of NASDAQ OMX Shares, including;

1. **"BORSE DUBAI"** <http://www.borsedubai.com/media43.html>
(INVESTMENT CORPORATION OF DUBAI (ICD) or Dubai Government <http://www.icd.gov.ae/> ("Ruler of Dubai") http://www.icd.gov.ae/icd_and_dubai.html with 47,440,882 Shares. <http://ir.nasdaq.com/ownership.cfm>
2. **"INVESTOR AB" (PATRICIA HOLDING AB)** <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13570> and <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13621> or FAM or Wallenberg Family Foundations <http://www.fam.se/tillgangar/default.aspx> or Wallenberg Family of Sweden <http://www.ft.com/cms/s/0/f52cf9a2-4029-11e0-811f-00144feabdc0.html> and <http://www.investorab.com/en/AboutInvestor/default.htm> ("WALLENBERG")) with 18,004,142 Shares. <http://ir.nasdaq.com/ownership.cfm>
3. **"SILVER LAKE PARTNERS"** (Glenn Hutchins, co-founder) with 730,250 Shares. <http://ir.nasdaq.com/ownership.cfm>
Business Relations are <http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=66782&privcapId=22957&previousCapId=3349188&previousTitle=Thisbe%20AB>
Board Relations are <http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=66782http://blogs.wsj.com/economics/2008/04/03/blackstone-blackrock-whoever/>

CRIMINAL FINDINGS, INVESTIGATIONS & CURRENT PROCEEDINGS

ABB aka Asea Brown Boveri

September 29, 2010, Litigation Release No. 21673.

<http://www.sec.gov/litigation/litreleases/2010/lr21673.htm>.

ABB Annual Report published on March 17, 2010 pgs 99-104 for crimes etc.

[http://www02.abb.com/global/abbzh/abbzh259.nsf/bf177942f19f4a98c1257148003b7a0a/5b4861078a522e28c1257855004f84df/\\$FILE/ABB+Ltd+2010+form+20F.PDF](http://www02.abb.com/global/abbzh/abbzh259.nsf/bf177942f19f4a98c1257148003b7a0a/5b4861078a522e28c1257855004f84df/$FILE/ABB+Ltd+2010+form+20F.PDF)

US Department of Justice - Listing on various investigations and prosecutions of criminal activities

by ABB http://searchjustice.usdoj.gov/search?q=ABB&btnG.x=0&btnG.y=0&btnG=Search&sort=date%3AD%3AL%3Ad1&output=xml_no_dtd&ie=iso-8859-1&oe=UTF-8&client=default_frontend&proxystylesheet=default_frontend&site=default_collection

<http://www.abb.com/cawp/abbzh252/68c4c47db19a56c3c1256b800047fe78.aspx>

ASTRAZENECA

April 27, 2010: "Pharmaceutical Giant AstraZeneca to Pay \$520 Million for Off-label Drug Marketing" <http://www.justice.gov/opa/pr/2010/April/10-civ-487.html>

June 3, 2003 http://www.justice.gov/opa/pr/2003/June/03_civ_371.htm.

2010 Annual Report http://www.astrazeneca-annualreports.com/AZ_AR_100311_single.pdf

SEB bank

November 18, 2010 "Hedge fund demands €200m from Wallenberg bank,"

, <http://www.stewartslaw.com/hedge-fund-demands-200m-from-wallenberg-bank.aspx>.

EXHIBIT B

Identities and Background

The NASDAQ Stock Market, also known as the NASDAQ, is an American stock exchange. "NASDAQ" originally stood for "National Association of Securities Dealers Automated Quotations". It is the largest electronic screen-based equity securities trading market in the United States and second-largest by market capitalization in the world. It was founded in 1971 by the National Association of Securities Dealers (NASD), who divested themselves of it in a series of sales in 2000 and 2001. It is presently owned and operated by the NASDAQ OMX Group, the stock of which was listed on its own stock exchange beginning July 2, 2002, under the ticker symbol NASDAQ: NDAQ. It is regulated by the Financial Industry Regulatory Authority (FINRA). As of January 13, 2011, there are 2,872 listings. The NASDAQ has more trading volume than any other electronic stock exchange in the world. The group, now known as NASDAQ-OMX, controls and operates the NASDAQ stock exchange in New York City – the second largest exchange in the United States. It also operates eight stock exchanges in Europe and holds one-third of the Dubai Stock Exchange. It has a double-listing agreement with OMX, and will compete with NYSE Euronext group in attracting new listings..." <http://en.wikipedia.org/wiki/NASDAQ>
<http://www.marketswiki.com/mwiki/NASDAQ OMX Group, Inc.>

"The NASDAQ OMX Group (NASDAQ: NDAQ), the world's largest exchange company that represents a value of approximately \$14.4 trillion " <http://www.faq.org/sec-filings/100218/NASDAQ-OMX-GROUP-INC-10-K/> The NASDAQ OMX GROUP Inc. is a Delaware corporation. The principal executive offices of the Issuer are located at One Liberty Plaza, New York, New York 10006. http://www.sec.gov/Archives/edgar/data/889232/000110465911002621/a11-4462_1sc13d.htm The

NASDAQ OMX Group, Inc. is a holding company created by the business combination of The Nasdaq Stock Market, Inc. and OMX AB (publ) which was completed on February 27, 2008. SEC Form 10-K Annual Report <http://www.faq.org/sec-filings/100218/NASDAQ-OMX-GROUP-INC-10-K/#ixzz1HxGxMds9>
http://www.borsedubai.ae/offer_documents/OMX%20Transaction%20Agreement.pdf

The NASDAQ, including subsidiaries, board members and directors are regulated and must comply with specific rules and regulations to uphold the public trust and that of the investors. The FISA, SEC and DoJ are US Government agencies and departments that are responsible for investigations and enforcement of the rules, regulations and other laws effecting NASDAQ.
http://www.sec.gov/about/offices/oia/oia_enforce/overviewenfor.pdf

In 1996 the NASDAQ board size and make up was specific
<http://www.finra.org/Newsroom/NewsReleases/1996/P010557>

NASDAQ OMX Group By-laws <http://www.faq.org/sec-filings/100422/NASDAQ-OMX-GROUP-INC-8-K/dex32.htm#ixzz1HwqLue5N>

INVESTOR AB is "a Nordic-based industrial holding company founded almost one hundred years ago by the Wallenberg family." <http://www.investorab.com/en/AboutInvestor/default.htm>
The company is "primarily engaged in a business other than that of investing, reinvesting, owning, holding, or trading in securities. Investor AB is a Swedish diversified industrial holding company. (Rel. IC-21477: International Series Rel. 880 - November 7) Per SEC declaration and order under section 3(b)(2) of the Investment Company Act" November 9, 1995, SEC News Digest, Issue 95-217, Investment Company Act Releases. <http://www.sec.gov/news/digest/1995/dig110995.pdf> Jacob Wallenberg is the Chairman of INVESTOR AB and Borje Ekholm is the CEO. The Board of Directors can be viewed on the INVESTOR AB website. <http://www.investorab.com/en/AboutInvestor/Organization/Board/default.htm>

Borje Ekholm business relations <http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=109812&ticker=NDAQ%3AUS&previousCapId=418524&previousTitle=ATLAS+COPCO+AB-A+SHS>

Ekholm board relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=109812>

Identification of other board members of INVESTOR AB are found

at <http://www.investorab.com/en/AboutInvestor/Organization/Board/default.htm>

INVESTOR TRADING AB is 100% owned and controlled by Duba AB. Investor Trading AB held the NASDAQ OMX Shares reported in the Schedule 13D. Investor AB Trading is engaged principally in the business of making investments in securities. (see "Item 2 Identity and Background" http://www.sec.gov/Archives/edgar/data/889232/00011046591100262/a11-4462_1sc13d.htm)

· **DUBA AB** is 100% owned and controlled by Investor AB. Duba AB is engaged principally in the business of making investments in securities. (see "Item 2 Identity and Background" http://www.sec.gov/Archives/edgar/data/889232/00011046591100262/a11-4462_1sc13d.htm }

· **PATRICIA HOLDING AB** is 100% owned and controlled by Investor AB. Prior to March 7, 2011, such Shares were held by Investor Trading AB, which is 100% owned and controlled by Duba AB, which is 100% owned and controlled by Investor AB. <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13570> Filed Mar 10, 2011. Form SC 13D/A. Amended General Statement of Beneficial Ownership. <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13621>

· **PATRICIA AB** is "a Swedish securities trading firm owned jointly by the two investment companies Investor and Providentia..." and "a major active stockholder in STORA " (Sept 9, 1990) <http://ir.investorab.com/files/press/investor/investor-press-1990-09-07-120000-en.pdf> In 1990, AB Patricia is jointly owned by AB Investor and Forvaltnings Providentia has acquired...holding in Incentive AB. Patricia, together with Investor and Providentia then hold 48.2% of Incentives capital stock and 59.6% of the voting rights. Investor, Providentia and Patricia have accepted the Share alternative of ASEA's public offer to the shareholders of Incentive. [] <http://ir.investorab.com/files/press/investor/investor-press-1990-04-04-120000-en.pdf> http://www.sec.gov/Archives/edgar/data/889232/000110465911002621/a11-4462_1sc13d.htm

· **FAM** is a Wallenberg Family business called "Financial ASSET Management." The Wallenberg's have a second FAM business that is "Financial ADMINISTRATION Management." Both FAM businesses are wholly owned by Sweden's Wallenberg Family. Foundation Asset Management manages the assets and donations of the three largest foundations, including The Knut and Alice Wallenberg Foundation, by means of direct ownership and management and consultancy agreements. <http://www.fam.se/in-english.aspx> The three Wallenberg Foundations own INVESTOR AB, in addition to other family owned and controlled companies. <http://www.fam.se/tillgangar/default.aspx> Financial ASSET Management (FAM) is represented on the NASDAQ OMX Group's board of directors by Lars Wedenborn, the CEO of FAM and former VP & CEO of the Wallenberg's "INVESTOR AB" (2000-2007). Mr. Wedenborn also serves on the board of other Wallenberg owned companies, including Thisbe AB, SKF and The Grand Hotel. He is also, the current Chairman of the Board of the NASDAQ OMX Nordic Ltd.

Lars Wedenborn business relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=109818&privateId=3349188&previousCapId=683733&previousTitle=STORA%20ENSO%20OYJ-R%20SHS>

Lars Wedenborn board relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=109818>

· **The Knut and Alice Wallenberg Foundation** is the largest owner of Investor. The foundation holds 40,0 percent of the votes and 18,6 percent of the share capital. The three largest Wallenberg foundations combined own 22.3 percent of the share capital and 48.0 percent of the voting rights. Following foundations are included: Knut and Alice Wallenbergs Foundation, Marianne and Marcus Wallenberg Foundation and Marcus and Amalia Wallenbergs Memorial Fund. However, other

Wallenberg owned/controlled companies and individual family members also own Investor AB Shares that ensure Wallenberg family control.

Owners: http://www.investorab.se/en/Investors_media/Share+Information/Ownership/default.htm

Insiders: http://www.investorab.se/en/Investors_media/Share+Information/Insiders.htm

Peter Wallenberg Jr: http://www.investorab.se/en/Investors_media/Share+Information/Insiders.htm

<http://www.wallenberg.com/kaw/styrelse/default.aspx>

Jacob Wallenberg: (also Chairman of Investor AB, Director of ABB and

others) http://www.investorab.se/en/Investors_media/Share+Information/Insiders.htm

<http://www.wallenberg.com/kaw/styrelse/default.aspx>

Marcus Wallenberg: http://www.investorab.se/en/Investors_media/Share+Information/Insiders.htm

<http://www.wallenberg.com/kaw/styrelse/default.aspx>

Michael Trenscho: (Board Member of KAW Foundation, Director of ABB and others)

<http://www.wallenberg.com/kaw/styrelse/default.aspx>

· **THE WALLENBERG FAMILY of SWEDEN & BUSINESS RELATIONS ON THE NASDAQ OMX BOARD OF DIRECTORS**

Besides their direct influence on the NASDAQ OMX Group decisions and actions, through Lars Wedenborn (FAM) and Borje Ekholm (Investor AB), the Wallenberg's have other connections and influences with various NASDAQ OMX board members and Share holders. Birgitta Kantola (Stora Enzo and SEB) on the NASDAQ OMX board is also influenced by the Wallenberg's through their Family Asset Management (FAM), that is the primary shareholder and owner of Stora Enzo. In 2001, the Wallenberg's swapped various company shares between Investor AB and the Wallenberg Foundations.

http://www.investorab.com/en/AboutInvestor/history/History_1994_2004.htm

In addition, to Lars Wedenborn, Borje Ekholm and Birgitta Kantola, it appears that Urban Backstrom is also within the Wallenberg sphere of influence or possible cartel? Urban Backstrom use to be the chairman of ScandiaLiv. Presently, he is the chairman of the "Confederation of Swedish Enterprise" ("Confederation") that includes the majority of the board members of Investor AB. The Confederation also works for or with the Wallenberg's in many of their EU related meetings and lobbying efforts worldwide with business and political representatives, according to the Confederation reports, found on their website.

Definition of "Cartel."

1. A combination of independent business organizations formed to regulate production, pricing, and marketing of goods by the members.

2. A group of parties, factions, or nations united in a common cause; a bloc.

<http://www.thefreedictionary.com/cartel> and A group of businesses or nations that act together as a single producer to obtain market control and to influence prices in their favor by limiting production of a product.

The United States has laws prohibiting cartels. <http://financial-dictionary.thefreedictionary.com/cartel>)

Jacob Wallenberg business relations-

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=758113&privcapId=3349188&previousCapId=391687&previousTitle=CITIGROUP+INC>

Jacob Wallenberg board relations-

<http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=758113>

Jacob Wallenberg board relations:

On the ABB board of directors:

<http://www.abb.com/cawp/abbzh252/68c4c47db19a56c3c1256b800047fe78.aspx>

Wallenberg and Hans Munk Nielsen

On the Swedish Swiss Chamber of Commerce (SSCC)

board: <http://www.swecham.ch/web/page.aspx?refId=44>

Peter Wallenberg Sr business relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=751719&ticker=ATCOA%3ASS&previousCapId=3349188&previousTitle=Thisbe+AB>

Peter Wallenberg Sr board relations-

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=751719>

Marcus Wallenberg business relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=109810&privcapId=6809535&previousCapId=740535&previousTitle=NASDAQ+OMX+GROUP%2FTH>

Marcus Wallenberg board relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=109810>

Peter Wallenberg Jr business relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=21875496&ticker=SCVB:SS&previousCapId=683733&previousTitle=STORA%20ENSO%20OYJ-R%20SHS>

Peter Wallenberg Jr board relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=21875496>

Business Relations on the board of the NASDAQ OMX GROUP

Lars Wedenborn business relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=109818&privcapId=3349188&previousCapId=683733&previousTitle=STORA%20ENSO%20OYJ-R%20SHS>

Lars Wedenborn board relations -

<http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=109818>

Borje Ekholm business relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=109812&ticker=NDAQ%3AUS&previousCapId=418524&previousTitle=ATLAS+COPCO+AB-A+SHS>

Borje Ekholm board relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=109812>

"INVESTOR AB. An order has been issued under Section 2(a) (9) of the Investment Company Act declaring that Investor AB controls Astra, STORA ENSO, and Atlas Copco. (ReI. IC-19056; International Series ReI. 478 - October 27) <http://www.sec.gov/news/digest/1992/dig102992.pdf>

Birgitta Kantola business relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=8267760>

Birgitta Kantola board relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=8267760&ticker=STERV:FH&previousCapId=3349188&previousTitle=Thisbe%20AB>

Gunnar Brock, a board member of Investor AB, has been the Chairman of Stora Enso, since 2010, <http://www.storaenso.com/investors/governance/board-of-directors/board-members/Pages/board-members.aspx> It appears that INVESTOR AB failed to include this important business relationship when the recent SEC file was made on March 7, 2011. Why did INVESTOR AB and their sole owned company, Patricia Holding, leave out this pertinent information about Gunnar Brock?

<http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-2621> Could it be because of the Stora Enso has a board member, Birgitta Kantola, on the NASDAQ OMX Group board of directors? http://www.sec.gov/Archives/edgar/data/889232/000110465911013621/a11-7661_3sc13da.htm

Urban Bäckström business relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/person.asp?personId=7529859&ticker=NDAQ:US&previousCapId=3349188&previousTitle=Thisbe%20AB>

Urban Bäckström board relations -

<http://investing.businessweek.com/businessweek/research/stocks/people/relationship.asp?personId=7529859>

In addition, Urban Backstrom has business and board relations through his position with The Confederation for Swedish Enterprise

http://www.svensktnaringsliv.se/multimedia/archive/00020/CV_Urban_B_ckstr_m_i_20885a.pdfhttp://www.svensktnaringsliv.se/om_oss/ledamoter/Enterprisehttp://www.svensktnaringsliv.se/multimedia/archive/00020/CV_Urban_B_ckstr_m_i_20885a.pdf and example of business

relations http://www.svensktnaringsliv.se/multimedia/archive/00019/Round_table_European_19341a.pdf and

http://www.svensktnaringsliv.se/english/EU_Business_Summit/eu-brazil-business-summit_83645.html

http://www.svensktnaringsliv.se/fragor/klimatmote_kopenhamn/okad-press-pa-kina-i-klimatfragan_93339.html

BORSE DUBAI is majority owned by Investment Corporation of Dubai.

<http://www.borsedubai.com/media43.html>

Borse Dubai is a holding company established in August 2007 to expand Dubai's position as a global capital markets hub. <http://www.borsedubai.com/media43.html>

Borse Dubai owns a majority stake in Dubai Financial Market (DFM). It also holds a stake of approximately 20% in the London Stock Exchange and a one third stake in NASDAQ Dubai, with DFM holding the other two thirds. <http://www.borsedubai.com/media43.html> Borse Dubai is also the holding company of the Dubai Financial Market (DFM). http://www.nasdaqdubai.com/investors/f_a_q.html Borse Dubai is the majority shareholder of NASDAQ Dubai, with a two thirds stake. NASDAQ OMX owns one-third of the shares. http://www.nasdaqdubai.com/investors/f_a_q.html

· INVESTMENT CORPORATION OF DUBAI (ICD) is the investment arm of The Government of Dubai. <http://www.icd.gov.ae/> Chairman is His Highness Sheikh Mohammed bin Rashid Al Maktoum, The Ruler of Dubai. http://www.icd.gov.ae/icd_and_dubai.html

· NOMURA INTERNATIONAL Plc (NOMURA) is The Nomura Group (NOMURA), formerly *Nomura zaibatsu*, is a company headquartered in Chuo, Tokyo. Currently, NORUMA has offices worldwide, including major offices at the World Financial Center in New York City, at the International Finance Centre in Hong Kong, and at Nomura House in London.

Nomura is one of the major industrial and financial conglomerate groupings of Japan. Osaka Nomura bank was founded by Tokushichi Nomura II in 1919 after many successful business ventures and established on the Mitsui zaibatsu model. The group is involved in numerous industries, from oil and gas to construction, chemicals and foodstuffs, as well as what it is known for internationally, as a financial powerhouse.

Group member Nomura Securities, Japan's most well-known stock brokerage firm, is an internationally known conglomerate of financial services and consulting, along with Nomura Research Institute. Nomura's Securities company gained the authority to trade stock in 1938, and went public in 1961. It also has a number of international offices of its own. More recently, Nomura Securities took over the European and Asian operations of bankrupt Lehman Brothers. They increased their U.S. workforce and hired former Goldman Sachs Group Inc. currency strategist Jens Nordvig, 35.

Nomura Holdings, Inc. is the holding company of the Nomura Group. As a keiretsu, it does not directly run member companies, rather it keeps cross shareholdings and manages financial assistance among member companies which help to deflect hostile takeovers.

December 2010, NOMURA was the go between for a transaction between BORSE DUBAI and the Wallenberg's INVESTOR AB in an agreement to provide a specified number of NASDAQ OMX Shares at a certain cost. <http://www.borsedubai.com/media43.html>

<http://www.nomura.com/>

http://en.wikipedia.org/wiki/Nomura_Securities_Co

<http://www.google.com/finance?q=NYSE%3ANMR>

<http://www.bloomberg.com/apps/news?pid=newsarchive&sid=aGY5f6XsWveE>

March 8, 2011 – Nomura Holdings, Inc. today announced a series of top management appointments to further strengthen its global leadership team.

"Benoit Savoret will join Nomura with immediate effect as Joint Head of Global Equities, reporting to Tarun. Benoit has more than two decades of industry experience and spent 11 years at Lehman Brothers, where he served as Chief Operating Officer in EMEA, Head of European Equities and prior to that also served as Head of Asia-Pacific Equities." <http://www.nomuraholdings.com/news/nr/holdings/20110308/20110308.html>

· SILVER LAKE PARTNERS is the leading private equity firm focused exclusively on large-scale investing in technology and related growth industries. Silver Lake seeks to achieve superior returns by

investing with the strategic insight of an experienced industry participant, the operating skill of a world-class manager, and the financial expertise of a disciplined private equity investor. Specifically, Silver Lake's mission is to function as a value-added partner to the management teams of the world's leading technology franchises. Its portfolio companies include technology industry leaders such as Ameritrade, Business Objects, Flextronics, Gartner, Network General, Seagate Technology, SunGard, Thomson and UGS <http://www.silverlake.com>, http://www.nasdaq.com/newsroom/news/pr2005/ne_section05_044.stm

· Glenn Hutchins is Co-Founder and Co-Chief Executive and General Partner of Silver Lake Partners. He co-founded Silver Lake in January 1999 and is based in New York office of the firm. He is also the Managing Member at Silver Lake Technology Management, L.L.C. He is a Director of NASDAQOMX Group, Inc. since February 2007. Mr. Hutchins is currently a Member of the Advisory Council of the Hamilton Project and a Member of the Council on Foreign Relations and the World Economic Forum. Mr. Hutchins is also a Trustee of the Brookings Institution. He is a Director of the Partnership for New York City and a Member of the Investors Advisory Committee on Financial Markets of the Federal Reserve Bank in New York.

Mr. Hutchins is the Chairman of SunGard Corp. He is also a Director at Mercury Payment Systems; Seagate Software (Cayman) Holdings Corporation; New SAC; Clark Refining & Marketing, Inc.; Clark USA, Inc.; American Axle and Manufacturing Holdings, Inc.; American Axle and Manufacturing, Inc.; Corp. Banca (Argentina) S.A.; Corp. Group C.V.; CARE Inc.; and Haynes International Inc.

Mr. Hutchins is a Director of the Harvard Management Company and also the Chairman of the National Advisory Board and the W.E.B. DuBois Institute for African and African American Research at Harvard. He holds a J.D. degree from Harvard Law School, an M.B.A. degree from Harvard Business School, and an A.B. degree from Harvard College.

From 1994 to 1999, Mr. Hutchins was a Senior Managing Director and General Partner at The Blackstone Group, L.P., he focused on its private equity investing; joined the firm in 1994 as a General Partner responsible for investing Blackstone's Merchant Banking II and III, L.P. funds. At the firm, Mr. Hutchins worked as a Senior Member of the transaction teams and also served on its Investment Committee.

NOTE: Jacob Wallenberg and Glenn Hutchins connect to Blackstone. Jacob Wallenberg continues to be on the International Advisory Board. This might explain why Glenn Hutchins/Silver Lake provided additional NASDAQ OMX Shares to Wallenberg's INVESTOR. In addition, it was Blackstone that initially funded the creation of BlackRock, presently the secondary owner of ABB with INVESTOR AB.

http://www.blackstone.com/cps/rde/xchg/bxcom/hs/firm_ourpeople_jacob_wallenberg.htm

Blackstone? BlackRock? Whoever - Real Time Economics - WSJ

<http://blogs.wsj.com/economics/2008/04/03/blackstone-blackrock-whoever/>

From 1988 to 1994, he was the Managing Director at Thomas H. Lee Company. Mr. Hutchins joined the firm in 1985 as a Vice President, assisting the firm in the execution of transactions and providing support in the monitoring of portfolio companies and the realization of investments. Mr. Hutchins was a Special Advisor to the Clinton-Gore transition and in the White House during parts of 1992, 1993, and 1994 on economic and healthcare policy. After leaving government, he was appointed by President Clinton to chair an initiative on privatization in the former Soviet Union and by Secretary Robert Rubin to serve on the Treasury Department's Advisory Committee on Financial Services from 1995 to 1996.

Source: BusinessWeek

Business Relations are

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=66782&privcapId=22957&previousCapId=3349188&previousTitle=Thisbe%20AB>

Board Relations

are <http://investing.businessweek.com/businessweek/research/stocks/private/relationship.asp?personId=66782>

EXHIBIT C

History and Time Line

During the 1980's, INVESTOR establishment of the stock exchange technologies company OM (OMX today). http://www.investorab.com/en/AboutInvestor/history/History_1984_1994.htm

1996: Nasdaq expands the Board of Directors from 10 to 15 members for better transparency and public trust
<http://www.finra.org/Newsroom/NewsReleases/1996/P010557>

1998: Merger between OM and the Stockholm Stock exchange creates OM Group.
<http://www.nasdaqomx.com/whoweare/milestones/>
http://glossary.reuters.com/index.php/OM_Stockholm

2003: Merger between OM AB and HEX plc creates OM HEX (rebranded OMX in 2004).
<https://secure.wikimedia.org/wikipedia/en/wiki/OMX>

2005: OMX buys the Copenhagen stock exchange.
<https://secure.wikimedia.org/wikipedia/en/wiki/OMX>

2006: OMX buys the Iceland stock exchange.
<https://secure.wikimedia.org/wikipedia/en/wiki/OMX>

March 27th 2006: Per E. Larsson is appointed CEO of DIFX. He was CEO of OMX up to 2003 and had been with the company for 18 years.
<http://www.difc.ae/news/difx-appoints-e-larsson-new-chief-executive-lead-next-phase-growth>
<http://www.borsedubai.ae/media21.htm>
http://www.arabbankers.org/shared/custompage/custompage.jsp?_event=view&_id=445506_U127360_6121

Larsson's Background can be found on Bloomberg, but it seems to be a bit outdated.
<http://investing.businessweek.com/research/stocks/people/person.asp?personId=692145&ticker=FONC%3ASW&previousCapId=664194&previousTitle=UBS+Investment+Bank>

2007: OMX buys the Armenian stock exchange.
<https://secure.wikimedia.org/wikipedia/en/wiki/OMX>

May 2007: Rumours concerning Dubai International's interest in outbidding Nasdaq in the takeover attempt of OMX erupt. Hedge funds start buying into OMX. The Wallenberg family owns around 11% of OMX at this time (through Investor AB) and the Swedish government owns 6.6%.
http://www.forbes.com/2007/05/28/nasdaq-omx-dubai-markets-equity-cx_po_0528markets04.html
<http://www.arabianbusiness.com/borse-dubai-s-omx-bid-hangs-in-balance-57380.html>

August 2007: Per E. Larsson is appointed CEO of Borse Dubai. See: <http://www.borsedubai.ae/media21.htm>

Aug 6th 2007: Borse Dubai is founded to consolidate DFM and DIFX according to a press release from Dubai government. At this time, Borse Dubai owns 100% of the shares from DIFX. <http://www.borsedubai.ae/media1.htm>

Aug 9th 2007: Borse Dubai announces purchase of 4.9% of OMX shares and announces an interest in buying 25%. See: <http://www.borsedubai.ae/media2.htm> and <http://www.borsedubai.ae/media3.htm>
With this move, it enters the ongoing takeover battle for OMX, in which Nasdaq and Qatar have been major players up to then.

Between Aug 9th and Aug 16th 2007: Hedge funds acquired 27% shares of OMX in expectation of the takeover battle between Nasdaq and Borse Dubai.
<http://ftalphaville.ft.com/blog/2007/08/15/6572/hedge-funds-step-into-battle-for-omx/>

FSA starts an investigation into the aforementioned all cash offer by Borse Dubai for OMX shares to find out whether it breached Swedish laws.

<http://www.ft.com/cms/s/0/8adbc3d6-4bd5-11dc-b67f-0000779fd2ac.html#axzz1H3WRODuI>

<http://www.ft.com/cms/s/0/35f4ddc0-4bd1-11dc-b67f-0000779fd2ac.html#axzz1H3WRODuI>

Aug 17th 2007: Borse Dubai launches an all cash offer for OMX shares at SEK 230 and FSA intensifies the investigations.

<http://www.borsedubai.ae/media4.htm>

http://www.borsedubai.com/offer_documents/English%20Offer%20Document.pdf (offer document)

<http://ftalphaville.ft.com/blog/2007/08/17/6641/sweden-steps-up-probe-into-omx-deal/>

With this move, they outbid Nasdaq's offer of SEK 200.

<http://ftalphaville.ft.com/blog/2007/08/17/6662/but-theyre-from-dubai-nasdaq-set-for-omx-fight/>

Aug 21st 2007: Borse Dubai answered the FSA questions.

http://www.khaleejtimes.com/DisplayArticle.asp?xfile=%2Fdata%2Fbusiness%2F2007%2FAugust%2Fbusiness_August401.xml§ion=business

Aug 23rd 2007: FSA ruled that Borse Dubai had broken Swedish law but decided not to impose a penalty on Borse Dubai, since Borse Dubai issued a supplement to the original offer. The Swedish government, Investor AB and OMX still have some qualms about accepting the offer from Borse Dubai instead of the Nasdaq offer.

http://www.forbes.com/2007/08/20/omx-sweden-dubai-markets-equity-cx_po_0820markets35.html

http://www.forbes.com/2007/08/23/omx-dubai-sweden-markets-equity-cx_po_0823markets24.html

<http://www.bi-me.com/main.php?id=12600&t=1&c=34&cg>

Aug 23rd 2007: Borse Dubai acknowledges the FSA demands but states it had acted in good faith to be in accordance with Swedish laws.

<http://www.borsedubai.ae/media5.htm>

<http://www.borsedubai.ae/media6.htm>

<http://www.borsedubai.ae/media7.htm>

End of August 2007: A criminal investigation is launched by the National Economic Crimes Bureau in Sweden concerning alleged insider trading activities around the OMX deal between May and August 2007, involving the investment bank D. Carnegie.

<http://www.thelocal.se/8337/20070830/>

<http://www.thelocal.se/8349/20070831/>

<http://www.telegraph.co.uk/finance/markets/2815120/Dubai-gets-go-ahead-to-compete-for-OMX.html>

<https://www.nytimes.com/2007/10/05/business/worldbusiness/05iht-omx.4.7773708.html?pagewanted=1>

Sept 17th 2007: Borse Dubai submits application to permission to acquire shares in OMX.

<http://www.borsedubai.ae/media8.htm>

Sept 20th 2007: Borse Dubai issues a statement saying they will team up with NASDAQ to take over OMX. <http://www.borsedubai.ae/media9.htm>

Sept 26th 2007: Borse Dubai press release detailing the agreement with Nasdaq. The all cash offer is raised to SEK 265 per share. At this price, **Borse Dubai has managed to secure irrevocable undertakings from Investor AB (publ), Nordea Bank AB (publ), Olof Stenhammar, Didner & Gerge Fonder AB, Nykredit Realkredit A/S and Magnus Böcker** (the selling OMX shareholders) and through them Borse Dubai got 18,5 % of OMX in Sept 2007, bringing 47,6% of OMX shares under its control.

<http://www.borsedubai.ae/media10.htm>

Nov 11th 2007: FSA finally clears the Borse Dubai and Nasdaq takeover and the Nasdaq agreement.

<http://gulfnews.com/business/markets/borse-dubai-cleared-by-swedish-regulator-to-own-omx-1.212199>

Nov 15th 2007: The OMX transaction agreement between NASDAQ, Borse Dubai and BD Stockholm AB is signed. Document available below.

http://www.borsedubai.ae/offer_documents/OMX%20Transaction%20Agreement.pdf

Jan 4th 2008: Offer supplement for OMX shares at SEK 265.

http://www.borsedubai.com/offer_suppliments/English%20Offer%20Supplement.pdf (offer supplement document)

Feb 15th 2008: Cash offer supplement from Borse Dubai extended. <http://www.borsedubai.com/media18.htm>

At this point in time, Borse Dubai owns 68,6% OMX shares. <http://www.borsedubai.com/media19.htm>

Feb 24th 2008: Meeting between Essa Kazim (chairman of Borse Dubai) and Mats Odell (Swedish Minister of Privatisation) to discuss further cooperation. <http://www.borsedubai.com/media19.htm>

Feb 25th 2008: Proposed changes to the size of the boards of Nasdaq Stock Exchange and NASDAQ OMX Group, including board member nominations and make up. It appears that the proposed changes to the size of the NASDAQ OMX board, from 15 to 16 did not get approved by the SEC. The board remained at 15. see NASDAQ news release for February 25, 2008.

<http://www.nasdaq.com/newsroom/news/newsroomnewsStory.aspx?textpath=pr2008\ACQPMZ200802251846PRIMZONEFULLFEED137062.htm&year=02/25/2008%20+6%3a46PM>

Feb 27th 2008: The deal with Nasdaq is completed. Borse Dubai sells the 97.2% of OMX shares it had acquired to Nasdaq. <http://www.borsedubai.com/media20.htm> Two new board members on DIFX are announced: Robert Greifeld and Adena T. Friedman, both from Nasdaq OMX.

<http://www.borsedubai.com/media21.htm>

July 2008: Per E. Larsson leaves Borse Dubai for Mena. UBS appoints him CEO of Mena.

<http://www.epifinancial.net/v2/News.aspx?v=1&aid=744&sec=Wealth+Management>

Nov 18th 2008: DIFX is rebranded Nasdaq Dubai. Borse Dubai holds 2 thirds of the shares and Nasdaq OMX holds 1 third of the shares. <http://www.borsedubai.com/media29.html>

Nov 19th 2009: Soud Ba'alawy, NASDAQ OMX Group board member, representing Borse Dubail, resigns. The board member seat is not replaced by Borse Dubai until 2010 at the NASDAQ OMX annual meeting. Records indicate that Borse Dubai never received the agreed upon, 2 board seats and a committee seat. see pgs 62-65 of the May 2010 report "The NASDAQ OMX Group, Inc. Prospectus for the Employee Stock Purchase Plan offer to the NASDAQ OMX Group, Inc's employees in Sweden "

http://files.shareholder.com/downloads/NDAQ/0x0x377107/888dff58-2a08-4281-b95fa804531bf1dd/The_NASDAQ_OMX_Group_Inc_2010_Prospectus_FINAL_.pdf

March 2nd 2010: NASDAQ OMX announces share repurchase program authorizing NASDAQ OMX to repurchase up to 300 millions of outstanding common stock.

<http://www.nasdaq.com/newsroom/news/newsroomnewsStory.aspx?textpath=pr2010\ACQPMZ201003020833PRIMZONEFULLFEED185568.htm&year=03/02/2010%20+8%3a33AM>

June 2010: After slipping from the top ten in 2009, Mena appointed a new CEO, Anthony Lliya from Credit Suisse, Hong Kong. Per E. Larsson leaves.

http://news.efinancialcareers-gulf.com/News_ITEM/newsItemId-26550

Dec. 16Th 2010: Borse Dubai announces it is selling 22.78 millions of NASDAQ OMX shares to NASDAQ OMX and another 8 million of NASDAQ OMX shares to Nomura per specific contractual agreement that the Shares are to go to INVESTOR AB. Borse Dubai claims that they need more money to refinance an early partial payment of its loan facilities. Nomura agreed to transfer the shares they acquired to Investor AB, pending regulatory clearance. <http://www.borsedubai.com/media43.html>. According to a press release from Nasdaq OMX, the deal would put 17.400.142 shares of NASDAQ OMX into the ownership of Investor AB.

http://www.nasdaq.com/newsroom/news/newsroomnewsStory.aspx?textpath=pr2010\ACQPMZ201012160924PRIMZONEUSPRX_209326.htm&year=12/16/2010%20+9%3a24AM According to a press release from Investor AB, this would equal 9.7% of the shares in NASDAQ OMX, entitling them to a board seat. http://www.investorab.com/en/Investors_media/Pressreleases.htm

Dec. 30, 2010: SEC filing and Proposed Rule Change by Financial Industry Regulatory Authority (FINRA). File No* SR - 2010 - *088. Proposed Rule Change to Modify FINRA/Nasdaq Trade Reporting Securities Transaction Credit.

<http://www.finra.org/web/groups/industry/@ip/@reg/@rulfil/documents/rulefilings/p122742.pdf>

Dec. 31st 2010: Silver Lake states ownership of 10,539,614 NASDAQ OMX shares.

http://xml.10kwizard.com/filing_raw.php?repo=tenk&ipage=7400033

Jan 24th 2011: SEC file with general statement of beneficial ownership stating that Investor Trading AB acquired 9,004,142 NASDAQ OMX shares in the open market and an additional 8,000,000 shares from Nomura. This totals 17,004,142 shares. <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-2621>

Jan 24th 2011: SEC file with amended general statement of beneficial ownership detailing the share purchase and sale agreement concerning 8,000,000 shares sold from Borse Dubai to Nomura. <http://ir.nasdaq.com/secfiling.cfm?filingID=950123-10-114649>

* **Feb 3rd 2011:** SEC 60 Day Public Notice regarding NASDAQ OMX proposals, including amending applicable rules, regulations and laws, to expand the size and number of seats on the NASDAQ OMX board of directors. File No. SR-SCCP-2011-001 or SR-BSECC-2011-001

<http://www.sec.gov/rules/sro/sccp/2011/34-63830.pdf>

Feb 7th 2011: SEC file detailing the disposal of 10,539,614 shares from Glenn H. Hutchins, indirectly owned by Silver Lake. <http://ir.nasdaq.com/secfiling.cfm?filingID=904454-11-10> All of Glenn H. Hutchins transactions in OMX shares for Silver Lake can be seen below. The whole stock was sold on Feb 7th <http://biz.yahoo.com/t/64/340.html>

Feb 9th 2011: SEC file with amended statement of beneficial ownership detailing the stock purchase agreement between Investor Trading AB and Silver Lake Partners. It details the purchase of 1,000,000 (1 Million) shares by Investor AB from Silver Lake dated Feb 7th. Now, Investor AB holds 18,004,142 shares, an equivalent of 10.2%. <http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-5883>

February 11, 2011: Silver Lake Partners TSA, L.P., Silver Lake Investors, L.P., Silver Lake Partners II TSA, L.P. and Silver Lake Technology Investors II, L.P. jointly filed a Schedule 13G with the United States Securities and Exchange Commission to report holdings of NASDAQ OMX common stock. The Schedule 13G can be accessed on NASDAQ OMX's website at <http://ir.nasdaqomx.com/sec.cfm> and on the SEC's website at www.sec.gov

[.http://www.nasdaqdubai.com/apps/xmlcontent3/Redirector.aspx?p_url=marketnews&d_filter](http://www.nasdaqdubai.com/apps/xmlcontent3/Redirector.aspx?p_url=marketnews&d_filter)

Feb 17th 2011: Investor AB, Investor Trading AB and Duba AB file an initial statement of beneficial ownership concerning their 18,004,142 NASDAQ OMX shares. The filing identifies each of the three companies as being a "Beneficial Owner" with 10% or more shares. "These securities are held by Investor Trading AB. Duba AB is the sole shareholder of Investor Trading AB. Investor AB is the sole shareholder of Duba AB."

NOTE: Omission of relevant information that Investor AB is controlled by three Wallenberg Family Foundations through FAM, another NASDAQ OMX board member.

<http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-7947>

Feb 17 2011: "NASDAQ Stock Market, LLC; Notice of Filing of Proposed Rule Change to Amend The NASDAQ OMX Group, Inc. By-Laws "SECURITIES AND EXCHANGE COMMISSION (Release No. 34-63925; File No. SR-NASDAQ-2011-025). See <http://www.sec.gov/rules/sro/nasdaq/2011/34-63925.pdf>

Feb 23rd 2011: NASDAQ OMX press release announcing Borje Ekholm, CEO of Investor AB, as a new board member.

http://www.nasdaq.com/newsroom/news/newsroomnewsStory.aspx?textpath=pr2011\ACOPMZ201102230730PRIMZONEUSPRX_214441.htm&year=02/23/2011%20+7%3a30AM

Feb 24th, 2011: SEC File details how the agreement between NASDAQ OMX and Investor AB entitled Investor AB to nominate one director. See: <http://ir.nasdaq.com/secfiling.cfm?filingID=1193125-11-45211>

March 9th 2011: SEC file concerning a change in beneficial ownership. Investor trading AB transferred its 18,004,142 NASDAQ OMX shares to Patricia Trading AB. Investor AB is the sole shareholder of Patricia Trading AB.

NOTE: Omission of relevant information that Investor AB is controlled by three Wallenberg Family Foundations through FAM, another NASDAQ OMX board member.

<http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13265>

March 10th 2011: Duba AB, Investor trading AB, Patricia Holding AB and Investor AB SEC filing concerning an initial statement of beneficial ownership of 18,004,142 NASDAQ OMX shares by Patricia Holding AB.

NOTE: Omission of relevant information that Investor AB is controlled by three Wallenberg Family Foundations through FAM, another NASDAQ OMX board member.

<http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13570>

March 10th 2011: SEC file made by Duba AB, with an amended general statement of beneficial ownership by Patricia Holding AB. Filed by Duba AB for Investor Trading AB, Patricia Holding AB and Investor AB. (all located in Arsenalsgatan 8C, Stockholm). Both Patricia Holding AB and Investor AB may be deemed to be beneficial owner of the 18,004,142 shares (10,2%), both Duba AB and Investor Trading AB shall no longer be considered owners.

NOTE: Omission of relevant information that Investor AB is controlled by three Wallenberg Family Foundations through FAM, another NASDAQ OMX board member.

<http://ir.nasdaq.com/secfiling.cfm?filingID=1104659-11-13621>

***NOTE: Between the March 9th and the March 10th SEC filings, Patricia AB seems to have rebranded from Patricia Trading AB to Patricia Holding AB?**

<http://www.sec.gov/Archives/edgar/data/1120193/000110465911013621/0001104659-11-013621-index.htm>

See "Schedule A" and note the relevant omission of information that Investor AB Director, Gunnar Brock, has information missing regarding the fact that he is also the Chairman of STORA ENSO.

http://www.sec.gov/Archives/edgar/data/889232/000110465911013621/a11-7661_3sc13da.htm

<http://investing.businessweek.com/businessweek/research/stocks/private/person.asp?personId=2439170&privcapId=955315&previousCapId=683733&previousTitle=STORA%20ENSO%20OYJ-R%20SHS>

Gunnar Brock, Birgitta Kanatola and Marcus Wallenberg are all on FAM's Stora Enso board of directors. Birgitta Kanatola and Marcus Wallenberg on the board of SEB and is a core company of Investor AB. Gunnar Brock is on the boards of Investor AB and Stora Enso. Names of companies passing the shares around http://www.sec.gov/Archives/edgar/data/889232/000110465911013621/a11-7661_3ex5.htm

EXHIBIT D

Identification of NASDAQ OMX Group's Board Members, CV's and Shares

Present: Stock ownership can be viewed here: <http://ir.nasdaq.com/ownership.cfm>

1. H. Furlong Baldwin, Chairman, The NASDAQ OMX Group, Inc. (44,622 Shares)
Retired Chairman and Chief Executive Officer Mercantile Bankshares Corporation

H. FURLONG BALDWIN was elected Chairman of The NASDAQ OMX Group, Inc. effective May 12, 2003. Mr. Baldwin is the retired Chairman and CEO of the Mercantile Bankshares Corporation, a multi-bank holding company. Mr. Baldwin joined Mercantile-Safe Deposit & Trust Company in 1956 and was elected President of Mercantile-Safe Deposit & Trust Company and Mercantile Bankshares Corporation in 1970, and Chairman and Chief Executive Officer in 1976. Mr. Baldwin serves on the Boards of Allegheny Energy, W.R. Grace & Co. and Platinum Underwriters Holdings, Ltd. Mr. Baldwin graduated from Princeton University and served on active duty with the U.S. Marine Corps.

2. Urban Bäckström, Deputy Chairman, The NASDAQ OMX Group, Inc. (13,312 Shares)
Director General - Confederation of Swedish Enterprise

URBAN BÄCKSTRÖM was Chairman of OMX's Board of Directors between April 2007 and April 2008, and a Board member between 2005 and 2008. Between April 2005 and April 2007, he served on the Audit Committee and in April 2007, he was appointed to the Remuneration Committee. He is current, since June 1, 2005, also Managing Director of the Confederation of Swedish Enterprise, a pro-business non-profit organization representing 54,000 Swedish companies. Between 1991 and 1993, Mr. Bäckström was the State Secretary in the Ministry of Finance in Sweden. From 1994 to December 31, 2002 Mr. Bäckström was Chairman and Governor of The Swedish Central Bank. During that period he also served on the Board of Bank for International Settlement, as a Board Member from 1994 to 1999 and as Chairman from 1999 to 2002. He also represented Sweden as Governor of the International Monetary Fund, in the Group-of-ten, in the European Monetary Institute, a forerunner to the European Central Bank (ECB) between 1995 and 1998 and in the General Council of ECB between 1999 and 2002. Mr. Bäckström was, in accordance with the Swedish Central Bank Act, restricted from seeking employment for ten months after leaving the Central Bank. From November 1, 2003 he was Chief Executive Officer of Skandia Liv, one of the largest life insurers in Sweden. Mr. Bäckström received his Bachelor of Science in Economics from Stockholm University in 1979 and studied Ph.D. courses in economics at Stockholm University and the Stockholm School of Economics between 1979 and 1981.

3. Michael Casey, Retired CFO/CAO *Starbucks Corporation*, (61,947 Shares)

MICHAEL CASEY is Senior Advisor to the Chief Executive Officer of Starbucks Corporation. Mr. Casey served as Executive Vice President, Chief Financial Officer (CF) and Chief Administrative Officer (CAO) of Starbucks Coffee Company from September 1997 until October 2007 and as Senior Vice President and CFO from August 1995. Before that he was Executive Vice President and Chief Financial Officer of Family Restaurants, Inc. Mr. Casey received his A.B. in economics from Harvard College. After serving as an officer in the U.S. Navy nuclear submarine force, he received his MBA from Harvard Business School.

4. Börje Ekholm, President and Chief Executive Officer *Investor AB*, (18,004,142 Shares owned by Investor AB)

On February 17, 2011, Börje Ekholm was elected to The NASDAQ OMX Group, Inc. Board of Directors. Mr. Ekholm is currently President and Chief Executive Office of Investor AB, the Nordic-based industrial holding company, where he has held a variety of management positions since joining the firm in 1992. Prior to his current role, Mr. Ekholm was a Member of the Management Group of Investor AB, where he had oversight of the New Investments business and President of Novare Kapital AB, an early-stage venture capital company. Previously, Mr. Ekholm worked at McKinsey & Co Inc. Mr. Ekholm has extensive experience in overseeing the activities of a company. He currently sits on the board of directors

for Chalmersinvest AB, EQT Partners AB, Husqvarna AB, Lindorff Group AB, Scania AB, Telefonaktiebolaget LM Ericsson and KTH Royal Institute of Technology.

5. Lon Gorman, Retired, Vice Chairman *The Charles Schwab Corporation*, (13,532 Shares)

LON GORMAN is the retired Vice Chairman of The Charles Schwab Corporation and President of Schwab Institutional and Asset Management. Schwab Institutional and Asset Management consisted of four principal business groups: Charles Schwab Capital Markets, Services for Investment Managers, Asset Management Products and Services, and Schwab Corporate Services. Mr. Gorman was a member of the Executive Committee of The Charles Schwab Corporation. Mr. Gorman has worked in the securities industry for 40 years and has been a leader in the democratization of the markets and an advocate for investors both large and small. Mr. Gorman joined Schwab in June 1996 following 16 years at Credit Suisse First Boston, where he was Managing Director and head of global equity trading. Prior to CSFB, he was a partner at F. Eberstadt & Co. with responsibility for institutional sales and trading. Mr. Gorman currently serves as Chairman of the Board of Directors of NYFIX, Inc. (a leader in technology solutions for the financial marketplace). He served on the Board of the National Organization of Investment Professionals (NOIP) board, and was an Advisory Board member of Pace University's Lubin School of Business. He has also served as Vice Chairman of the Board of Directors of the Securities Industry Association (SIA), Co-Chairman of the SIA Market Structure Committee, and as a member of the SIA Public Trust & Confidence Committee as well as the New York Stock Exchange and NASDAQ Quality of Markets committees. He attended Adelphi University. In May 2008 he received an Honorary Doctor of Laws Degree from Adelphi University.

6. Robert Greifeld, Chief Executive Officer *The NASDAQ OMX Group, Inc.*, (605,674 Shares)

Bob Greifeld is Chief Executive Officer of The NASDAQ OMX Group (NASDAQ: NDAQ), the world's largest exchange company.

Greifeld assumed leadership of NASDAQ in 2003, when the company's primary business was operating one equity market in the U.S. Today, NASDAQ OMX is a leading participant in the exchange and technology sector, delivering trading, listing, financial market technology and public company services across six continents. Mr. Greifeld has led NASDAQ OMX through a series of complex, innovative acquisitions that have extended its footprint across the world, spanning all asset classes. In 2008, he led the Exchange's combination with Stockholm-based OMX AB, as well as acquisitions of the Philadelphia Stock Exchange, the Boston Stock Exchange and Nord Pool, Europe's largest power market. Nasdaq OMX operates 22 markets, 10 clearing houses and supplies technology to another 65 exchanges around the world. In January 2009, NASDAQ OMX was named "Company of the Year" by Forbes magazine. Also in 2009, NASDAQ OMX was ranked as one of the best performing companies in the U.S. as part of the BusinessWeek 50, and it was named to Fortune Magazine's annual list of 100 Fastest Growing Companies.

Greifeld has been a strong advocate of modernizing exchanges and financial regulation to keep America's capital markets competitive. He has been outspoken on issues including Sarbanes Oxley, encouraging CEOs to embrace sound, modern regulation as consistent with good business practices. Greifeld has been critical of outmoded U.S. immigration policies, citing these as harmful to U.S. innovation and business growth. Prior to joining NASDAQ OMX, Greifeld led the buy-side businesses for SunGard Data Systems. He was an entrepreneur for 10 years and with a small team, created what became the industry standard trade order management system for NASDAQ stocks. The company he led, Automated Securities Clearance and its technology platform, BRASS, was purchased by SunGard in 1999. Greifeld holds a Masters in Business from New York University, Stern School of Business, and a B.A. in English from Iona College. His graduate school thesis was on the operation of The NASDAQ Stock Market. Greifeld is a member of the Business Roundtable, the Financial Services Roundtable and the Partnership for New York City, an organization devoted to enhancing the local economy. He is Chairman of the USA Track & Field Foundation, which supports emerging athletes and inner city youth athletics.

7. Glenn H. Hutchins, Co-Founder and Co-Chief Executive *Silver Lake*, (16,564 Shares) or (730,250 per 3.7.11).

(3.7.11 Statement of Ownership 730,250 Shares per Silver Lake Partners II TSA LP *Beneficial Owner (10% or more)*)

GLENN H. HUTCHINS is a co-founder of Silver Lake and Co-Chief Executive. He has spent his business career investing in the most rapidly growing and dynamic companies in the U.S. and around the world. Mr. Hutchins is the Chairman of the Board of SunGard Corp., and a director of The NASDAQ OMX Group, Inc. Previously, he was Chairman of Instinet, Inc. and a director of TD Ameritrade Holding Corp., Seagate Technology, MCI, Inc., Gartner, Inc. and Sabre, Inc. Mr. Hutchins is active and public and charitable service. Mr. Hutchins served President Clinton in both the transition and the White House as a Special Advisor on economic and healthcare policy. Mr. Hutchins is a director of the Harvard Management Company which is responsible for the management of the University's endowment. He is also the Chairman of the National Advisory Board, and the W.E.B. DuBois Institute for African and African American Research at Harvard. Mr. Hutchins is a trustee of the Lawrenceville School, the Brookings Institution and the New York-Presbyterian Hospital. He is also a member of the Advisory Council of the Hamilton Project, a Director of the Partnership for New York City, and a member of the Investors Advisory Committee on Financial Markets of the Federal Reserve Bank of New York. Mr. Hutchins holds an A.B. from Harvard College, an M.B.A. from Harvard Business School, and a J.D. from Harvard Law School.

8. Birgitta Kantola, Director *Birka Consulting Ab*, (10,434 Shares)

[On the board of Wallenberg's FAM owned company "Stora Enso" and INVESTOR AB owned SEB bank board of directors]

BIRGITTA KANTOLA has a Master of Law degree from the University of Helsinki and she has an extensive career in international finance including Vice President and CFO of the International Finance Corporation, IFC, Washington DC during 1995 -2000 prior to which she served the Nordic Investment Bank as Treasurer since 1988 and thereafter Executive Vice President and deputy CEO during 1991 -1995. She has been a board member in number of listed companies. Currently she holds board positions in NASDAQ OMX Group, Inc., Skandinaviska Enskilda Banken AB, Stora Enso Oyj, and Varma Mutual Pension Company. She works as the CEO and Managing Partner of Birka Consulting Ab in Helsinki Finland.

9. Essa Kazim, Chairman *Borse Dubai & Dubai Financial Market*, (10,434 Shares) + (Borse Dubai has 47,440,882)

ESSA KAZIM is the Chairman of Borse Dubai and the Dubai Financial Market. Mr. Kazim began his career as Senior Analyst in the Research and Statistics Department of the UAE Central Bank in 1988 and then moved to Dubai Department of Economic Development as Director of Planning and Development in 1993. He was then appointed Director General of the DFM in 1999 through 2006. Mr. Kazim holds a Master degree in Economics from the University of Iowa, a Masters Degree in Total Quality Management from the University of Wollongong, and a Bachelors degree from Coe College. He is currently the Chairman of the Board of the Dubai Statistics Center, Director of Dubai International Financial Center Authority, Member of the Dubai Council for Economic Affairs, Director of NASDAQ Dubai, Member of Economy & Trade Committee in Dubai, Director of Noor Islamic Bank, Director of General Pension and Social Security Authority, Member of the Board of the Rochester Institute of Technology, member of the Financial Advisory Council and Director of the NASDAQ OMX board of directors.

10. Dr. John D. Markese, President *American Association of Individual Investors*, (41,557 Shares)

JOHN D. MARKESE is president and chief executive officer of the American Association of Individual Investors, a not-for-profit educational association founded in 1978. He earned doctorate in finance at the University of Illinois, concentrating on financial markets and investments, and has taught investments and portfolio management at several universities. Dr. Markese was a governor of the NASD (FINRA) from 1998 to 2002 and also served on the NASD Regulation Dispute Resolution Board. He currently serves on the board of directors of The NASDAQ OMX Group, Inc., and is Chairman of the NASDAQ OMX Audit Committee.

Dr. Markese also serves on the boards of The NASDAQ Stock Market LLC, NASDAQ OMX PHLX and the NASDAQ OMX BX.

11. Hans Munk Nielsen, Retired Chief Financial Officer *TDC A/S HANS*, (18,934 Shares)

MUNK NIELSEN is a member of The NASDAQ OMX Group, Inc. Board. He served as Senior Executive Vice President and Chief Financial Officer of TDC A/S. Mr. Nielsen is also Chairman of the Board of Collateralized Mortgaged Obligations Fonden and of Alipes Capital Aps. In addition, he is Deputy Chairman of the Board of Nordea Invest. Mr. Nielsen is a member of Board of Directors of Jeuden A/S and of Parken Sports & Entertainment A/S. He has also held various positions at the Great Belt Link, Carl Bro Group, Danske Bank and Danish Ministry of Finance. Mr. Nielsen holds a Masters of Science in Economics. [also on the board of the Swiss-Swedish Chamber of Commerce with Wallenberg]

12. Thomas F. O'Neill *Rainieri Partners Management LLC*, (15,844 Shares)

THOMAS F. O'NEILL joined Rainieri Partners Management LLC on December 1, 2010 as head of two of its financial-services companies. He was a founding partner of Sandler O'Neill & Partners L.P. Mr. O'Neill began his Wall Street career at L.F. Rothschild in 1972. At Rothschild, Mr. O'Neill specialized in working with financial institutions in Rothschild's Bank Service Group. He was appointed Managing Director of the Bank Service Group, a group comprised of fifty-five professionals, in 1984. Mr. O'Neill joined Mr. Sandler in Bear Stearns' Financial Services Group in 1985, and became a Bear Stearns Managing Director and Co-Manager of the Group. Mr. O'Neill is a graduate of New York University and a veteran of the United States Air Force. He is also a Member of the Board of Directors of Archer Daniels Midland and Company, where he serves as Chairman of the Audit Committee.

<http://www.housingwire.com/2008/05/23/rainieri-pursuing-1-billion-distressed-mortgage-fund>

13. James S. Riepe, Senior Advisor and Retired Vice Chairman *T. Rowe Price Group, Inc.*, (16,553 Shares per 3.7.11 Statement of Ownership)

JAMES S. RIEPE is a Senior Advisor and Retired Vice Chairman of the Board of Directors of T. Rowe Price Group, Inc. Until his retirement in 2006, he was responsible for overseeing the firm's global mutual fund and institutional investment activities and served as Chairman of the T. Rowe Price Mutual Funds. Mr. Riepe has worked in the investment management business for over 35 years and played a leadership role in mutual fund industry affairs. He served as chairman of the Board of Governors of the Investment Company Institute, the industry's national trade association and was a member of its Executive Committee for over 20 years. In addition, he serves as a member of the Board of Directors of The NASDAQ OMX Group, Inc., Genworth Financial, Inc., LPL Financial, and the Baltimore Equitable Society. Previously, he served as a member of the Board of Governors of the National Association of Securities Dealers, Inc. Mr. Riepe also served as Chairman of the Board of Trustees of the University of Pennsylvania from which he earned a B.S. and M.B.A. He is also a member of the board of The Baltimore Museum of Art and U.S. Ski and Snowboard Foundation.

14. Michael R. Splinter, President and Chief Executive Officer *Applied Materials, Inc.*, (16,495 Shares)

MICHAEL R. SPLINTER has been president and chief executive officer of Applied Materials, Inc. since 2003 and chairman of the board of directors since 2009. Splinter is a 30-year veteran of the semiconductor industry and has led Applied Materials to record revenue and profits during his tenure. Under his leadership, the company is helping drive global adoption of solar power by enabling a true inflection point in the cost-per-watt of solar energy. An engineer and technologist, Mr. Splinter has been at the forefront of many of the industry's most significant technology innovations and transitions. Splinter serves on a number of influential business and industry boards, and is currently chairman of the Technology CEO Council, a group of high-tech CEOs who are helping drive public policies to bolster U.S. competitiveness. He serves on the board of Semiconductor Equipment and Materials International (SEMI), the board of The NASDAQ OMX Group, Inc., the board of trustees for Santa Clara University and the board of directors for the Silicon Valley Leadership Group. He is also a member of the Committee Encouraging Corporate Philanthropy, a member of the Governor's Council of the World Economic Forum, and is active in the Forum's post-Gleneagles

environment efforts. Prior to joining Applied Materials, Splinter was an executive at Intel Corporation. He earned both bachelor of science and master of science degrees in electrical engineering from the University of Wisconsin, Madison.

15. Lars Wedenborn, Chief Executive Officer *FAM-Foundation Asset Management*, (36,358 Shares)

LARS WEDENBORN, CEO of FAM (Foundation Asset Management) fully owned by Wallenberg foundations, is a Swedish citizen and has a Master of Science degree in Economics from the University of Uppsala. He started his career as auditor followed by an assignment as CFO at Cabanco. During 1991-2000 he was Deputy Managing Director and CFO at Alfred Berg, a Scandinavian investment bank. He served with Investor AB, a Swedish holding company, as Executive Vice President and CFO, 2000-2007. Mr. Wedenborn is Chairman of the Board of the NASDAQ OMX Nordic Ltd. and also a member of the boards of SKF and The Grand Hotel.

16. Deborah L. Wince-Smith, President & CEO of the Council on Competitiveness, (24,498 Shares)

Deborah L. Wince-Smith is the President & CEO of the Council on Competitiveness, the only place where CEOs, university presidents, and labor leaders are working to ensure U.S. prosperity. Founded in 1986, this unique business-labor-academia coalition recommends actionable public policy solutions to make America more competitive in the global marketplace.

She is internationally renowned as a leading voice on competitiveness, innovation strategy, science and technology policy, energy, education, economics, and business. As president of the Council, Ms. Wince-Smith spearheaded the groundbreaking National Innovation Initiative (NII), which played a pivotal role in creating a reinvigorated U.S. competitiveness movement. The NII shaped the bipartisan America COMPETES Act, created state and regional innovation initiatives, and brought a global focus to innovation.

Ms. Wince-Smith is a member of the Board of Directors of NASDAQ-OMX, Inc., and serves on the Audit, Compensation, and Finance Committees. She is also a Senate-confirmed member of the Oversight Board of the Internal Revenue Service, responsible for administering the Nation's tax laws, and the U.S. Department of State's Advisory Committee on International Economic Policy. She recently chaired the Secretary of Commerce's Advisory Committee on Strengthening America's Communities. She has served on four Cabinet-level advisory groups, including the Secretary of Energy's Task Forces on the Future of Science and Nuclear Energy. Ms. Wince-Smith serves on the University of Chicago's Board of Governors for Argonne National Laboratory and was a long-standing member of the University of California President's Council on the National Laboratories, providing oversight for Los Alamos, Lawrence Livermore, and Lawrence Berkeley National Laboratories. Ms. Wince-Smith also serves on the Board of Directors at the Albert Shanker Institute.

During her 17-year tenure in the Federal government, Ms. Wince-Smith held leading positions in the areas of science, technology policy, and international economic affairs. Most notably, Ms. Wince-Smith served as the Nation's first Assistant Secretary of Commerce for Technology Policy in the Administration of George H.W. Bush, overseeing Federal Technology Transfer Policy, implementation of the Bayh-Dole Act, and the White House National Technology Initiative. She was also the first Assistant Director of International Affairs and Competitiveness in the White House Office of Science and Technology Policy and the architect of the landmark Head of Government Science and Technology Agreement with Japan.

Ms. Wince-Smith developed President Reagan's Competitiveness Initiative, and led the implementation of Executive Orders and new laws that transformed Federal technology transfer policy for U.S. national laboratories and American industry. She began her career as a program director for the National Science Foundation, where she managed U.S. research programs with Eastern European countries and U.S. universities. Ms. Wince-Smith earned her B.A., magna cum laude, from Vassar College and her master's degree in classical archeology from King's College at the University of Cambridge. In 2006, she received an Honorary Doctor of Humanities degree from Michigan State University.