

McVey Richard M
Form 4
February 09, 2018

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 OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(Print or Type Responses)

1. Name and Address of Reporting Person *
McVey Richard M

2. Issuer Name **and** Ticker or Trading
Symbol
MARKETAXESS HOLDINGS INC
[MKTX]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)
C/O MARKETAXESS HOLDINGS,
INC., 299 PARK AVENUE

3. Date of Earliest Transaction
(Month/Day/Year)
02/08/2018

☐ Director ☐ 10% Owner
☒ Officer (give title below) Other (specify below)
Chairman & CEO

(Street)
NEW YORK, NY 10171

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

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---|--------------------------------------|--|--------------------------------|---|--------|---|--|---|
| | | | Code | V | Amount | (A) or (D) Price | | |
| Common Stock, par value \$0.003 per share | 02/08/2018 | | S <u>(1)</u> | | 7,490 | D \$ 189.0251 <u>(2)</u> | 1,115,767 | D |
| Common Stock, par value \$0.003 per share | 02/08/2018 | | S <u>(1)</u> | | 13,040 | D \$ 189.975 <u>(3)</u> | 1,102,727 | D |
| | 02/08/2018 | | S(1) | | 7,068 | D | 1,095,659 | D |

Edgar Filing: McVey Richard M - Form 4

| | | | | | | | | | |
|---|------------|------|-------|---|--|-----------------------|-----------|---|--|
| Common Stock, par value \$0.003 per share | | | | | | \$ 190.8771 (4) | | | |
| Common Stock, par value \$0.003 per share | 02/08/2018 | S(1) | 1,115 | D | | \$ 191.9937 (5) | 1,094,544 | D | |
| Common Stock, par value \$0.003 per share | 02/08/2018 | S(1) | 4,974 | D | | \$ 192.904 (6) | 1,089,570 | D | |
| Common Stock, par value \$0.003 per share | 02/08/2018 | S(1) | 513 | D | | \$ 193.8548 (7) | 1,089,057 | D | |
| Common Stock, par value \$0.003 per share | 02/08/2018 | S(1) | 800 | D | | \$ 195.1013 (8) | 1,088,257 | D | |

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474
(9-02)

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

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr |
|---|--|---|---|---|---|--|---|---|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of |

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|--|---------------|-----------|----------------|-------|
| | Director | 10% Owner | Officer | Other |
| McVey Richard M C/O MARKETAXESS HOLDINGS, INC. 299 PARK AVENUE NEW YORK, NY 10171 | X | | Chairman & CEO | |

Signatures

/s/ Ori Solomon, as Attorney-in-Fact for Richard M.
McVey

02/09/2018

__Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person.

The transaction was executed in multiple trades at prices ranging from \$188.51 to \$189.50. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(3) The transaction was executed in multiple trades at prices ranging from \$189.51 to \$190.50. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(4) The transaction was executed in multiple trades at prices ranging from \$190.51 to \$191.48. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(5) The transaction was executed in multiple trades at prices ranging from \$191.58 to \$192.425. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(6) The transaction was executed in multiple trades at prices ranging from \$192.59 to \$193.57. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(7) The transaction was executed in multiple trades at prices ranging from \$193.59 to \$194.42. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

(8) The transaction was executed in multiple trades at prices ranging from \$194.80 to \$195.55. The price above reflects the weighted average transaction price. Detailed information regarding the number of shares transacted at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.