

McVey Richard M  
Form 4  
November 13, 2018

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

OMB APPROVAL

OMB Number: 3235-0287  
Expires: January 31, 2015  
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
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)  
 Director  10% Owner  
 Officer (give title below)  Other (specify below)  
Chairman & CEO

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

3. Date of Earliest Transaction (Month/Day/Year)  
11/08/2018

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 Ownership (Instr. 4)
			Code	V	Amount	(D)	Price
Common Stock, par value \$0.003 per share	11/08/2018		S <sup>(1)</sup>		5,929	D	\$ 203.9467
							(2)
Common Stock, par value \$0.003 per share	11/08/2018		S <sup>(1)</sup>		5,730	D	\$ 205.1444
							(3)
	11/08/2018		S <sup>(1)</sup>		5,340	D	1,047,847

Edgar Filing: McVey Richard M - Form 4

Common Stock, par value \$0.003 per share					\$ 205.9751 <u>(4)</u>		
Common Stock, par value \$0.003 per share	11/08/2018	S <sup>(1)</sup>	1,400	D	\$ 207.2473 <u>(5)</u>	1,046,447	D
Common Stock, par value \$0.003 per share	11/08/2018	S <sup>(1)</sup>	1,601	D	\$ 207.9454 <u>(6)</u>	1,044,846	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 Security (Instr. 3 and 4)	Amount or Number of Shares
				Code V	(A) (D)	Date Exercisable Expiration Date	Title	
Employee Stock Option (right to buy)	\$ 257.78	11/08/2018		A	69,113	11/08/2023 05/08/2024	Common Stock	69,113
Employee Stock Option (right to buy)	\$ 278.4	11/08/2018		A	79,411	11/08/2023 05/08/2024	Common Stock	79,411
Performance Shares	<u>(7)</u>	11/08/2018		A	17,942	<u>(7)</u> <u>(7)</u>	Common Stock	17,942
Performance Shares	<u>(8)</u>	11/08/2018		A	19,800	<u>(8)</u> <u>(8)</u>	Common Stock	19,800

