

McVey Richard M  
Form 4  
October 31, 2018

**FORM 4**

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

OMB APPROVAL

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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)

(Last) (First) (Middle)

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

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

C/O MARKETAXESS HOLDINGS INC., 299 PARK AVENUE

10/29/2018

(Street)

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

NEW YORK, NY 10171

(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	(D)	Price
Common Stock, par value \$0.003 per share	10/29/2018		M		10,298	A	\$ 21.56
					1,054,986	D	
Common Stock, par value \$0.003 per share	10/29/2018		M		12,202	A	\$ 21.56
					1,067,188	D	
	10/29/2018		S <sup>(1)</sup>		12,202	D	
					1,054,986	D	

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Common Stock, par value \$0.003 per share					\$ 209.6289 <u>(2)</u>		
Common Stock, par value \$0.003 per share	10/30/2018		M	9,860	A	\$ 21.56	1,064,846 D
Common Stock, par value \$0.003 per share	10/30/2018		M	11,640	A	\$ 21.56	1,076,486 D
Common Stock, par value \$0.003 per share	10/30/2018		<u>S</u> <sup>(1)</sup>	11,640	D	\$ 214.336 <u>(3)</u>	1,064,846 D

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

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(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)	
						Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Employee Stock Option (right to buy)	\$ 21.56	10/29/2018		M	10,298	<u>(4)</u>	01/19/2021	Common Stock	10,298
Employee Stock	\$ 21.56	10/29/2018		M	12,202	<u>(4)</u>	01/19/2021	Common Stock	12,202

Option  
(right to  
buy)

Employee  
Stock

Option	\$ 21.56	10/30/2018	M	9,860	(4)	01/19/2021	Common Stock	9,860
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Employee  
Stock

Option	\$ 21.56	10/30/2018	M	11,640	(4)	01/19/2021	Common Stock	11,640
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## 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

10/31/2018

\*\*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) The shares sold were acquired contemporaneously upon the cashless exercise of a stock option at an exercise price of \$21.56 per share.  
The transaction was executed in multiple trades at prices ranging from \$209.25 to \$210.10. The price above reflects the weighted average
- (2) sales price. Detailed information regarding the number of shares sold at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.  
The transaction was executed in multiple trades at prices ranging from \$213.95 to \$214.645. The price above reflects the weighted
- (3) average sales price. Detailed information regarding the number of shares sold at each separate price will be provided upon request by the Commission staff, the Issuer or a security holder of the Issuer.
- (4) The option was granted on January 19, 2011. The shares underlying the option vested at the following times: 12.5% on January 15, 2012, 25% on each of January 15, 2013, 2014 and 2015, and 12.5% on January 15, 2016.

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.