

McVey Richard M  
Form 4  
May 10, 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)  
 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)  
05/08/2018

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 or Price   |  |  |
| Common Stock, par value \$0.003 per share | 05/08/2018                           |  | S <sup>(1)</sup>               |   | 2,500   | D  | \$ 201.937 <sup>(2)</sup> 1,078,202        |
| Common Stock, par value \$0.003 per share | 05/08/2018                           |  | S <sup>(1)</sup>               |   | 10,758  | D  | \$ 203.0176 <sup>(3)</sup> 1,067,444       |
|   | 05/08/2018                           |  | S <sup>(1)</sup>               |   | 3,797   | D  | 1,063,647                                  |

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|   |            |                  |        |   |                              |           |   |
|---|------------|------------------|--------|---|------------------------------|-----------|---|
| Common<br>Stock, par<br>value<br>\$0.003<br>per share |            |                  |        |   | \$<br>203.8239<br><u>(4)</u> |           |   |
| Common<br>Stock, par<br>value<br>\$0.003<br>per share | 05/08/2018 | S <sup>(1)</sup> | 1,100  | D | \$<br>204.5618<br><u>(5)</u> | 1,062,547 | D |
| Common<br>Stock, par<br>value<br>\$0.003<br>per share | 05/09/2018 | S <sup>(1)</sup> | 4,937  | D | \$<br>202.4193<br><u>(6)</u> | 1,057,610 | D |
| Common<br>Stock, par<br>value<br>\$0.003<br>per share | 05/09/2018 | S <sup>(1)</sup> | 10,032 | D | \$<br>203.4232<br><u>(7)</u> | 1,047,578 | D |
| Common<br>Stock, par<br>value<br>\$0.003<br>per share | 05/09/2018 | S <sup>(1)</sup> | 1,002  | D | \$<br>204.3307<br><u>(8)</u> | 1,046,576 | D |
| Common<br>Stock, par<br>value<br>\$0.003<br>per share | 05/09/2018 | S <sup>(1)</sup> | 874    | D | \$<br>206.0317<br><u>(9)</u> | 1,045,702 | D |

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

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

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(Instr. 3,  
4, and 5)

|                | Date<br>Exercisable | Expiration<br>Date | Title | Amount<br>or<br>Number<br>of<br>Shares |
|----------------|---------------------|--------------------|-------|--|
| Code V (A) (D) |                     |                    |       |  |

## Reporting Owners

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

## Signatures

|  |            |
|--|------------|
| /s/ Ori Solomon, as Attorney-in-Fact for Richard M.<br>McVey | 05/10/2018 |
|--|------------|

\_\_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 \$201.45 to \$202.43. The price above reflects the weighted 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.

(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.

(3) The transaction was executed in multiple trades at prices ranging from \$202.46 to \$203.40. The price above reflects the weighted 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 transaction was executed in multiple trades at prices ranging from \$203.47 to \$204.29. The price above reflects the weighted 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.

(5) The transaction was executed in multiple trades at prices ranging from \$204.55 to \$204.60. The price above reflects the weighted 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.

(6) The transaction was executed in multiple trades at prices ranging from \$201.96 to \$202.96. The price above reflects the weighted 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.

(7) The transaction was executed in multiple trades at prices ranging from \$202.98 to \$203.93. The price above reflects the weighted 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.

(8) The transaction was executed in multiple trades at prices ranging from \$204.02 to \$205.02. The price above reflects the weighted 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.

(9) The transaction was executed in multiple trades at prices ranging from \$205.89 to \$206.43. The price above reflects the weighted average sales price. Detailed information regarding the number of shares sold at each separate price will be provided upon request by the

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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.

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