

MARKETAXESS HOLDINGS INC
Form 4
January 16, 2015

FORM 4

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

OMB APPROVAL

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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 *
Themelis Nicholas

(Last) (First) (Middle)

C/O MARKETAXESS HOLDINGS INC., 299 PARK AVENUE

(Street)

NEW YORK, NY 10171

(City) (State) (Zip)

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

3. Date of Earliest Transaction (Month/Day/Year)
01/14/2015

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

 Director 10% Owner
 Officer (give title below) Other (specify below)
Chief Information Officer

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

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) | |
|---|--------------------------------------|--|--------------------------------|---|---|--|---|---|
| | | | | (A) or (D) | Price | | | |
| | | | | Code | V | Amount | | |
| Common Stock, par value \$0.003 per share | 01/14/2015 | | M | 15,786 | A | \$ 10.93 | 74,515 | D |
| Common Stock, par value \$0.003 per share | 01/14/2015 | | F | 2,365 | D | \$ 72.96 | 72,150 | D |
| | 01/14/2015 | | M | 1,403 | A | | 72,553 | D |

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| | | | | | | | |
|---|------------|---|-------|---|------------------------|--------|---|
| Common Stock, par value \$0.003 per share | | | | | \$ 12.96 | | |
| Common Stock, par value \$0.003 per share | 01/14/2015 | F | 250 | D | \$ 72.96 <u>(1)</u> | 73,303 | D |
| Common Stock, par value \$0.003 per share | 01/14/2015 | M | 8,646 | A | \$ 11.18 | 81,949 | D |
| Common Stock, par value \$0.003 per share | 01/14/2015 | F | 1,325 | D | \$ 72.96 <u>(1)</u> | 80,624 | 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) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount or Number of Shares |
| Employee Stock Option (Right to Buy) | \$ 10.93 | 01/14/2015 | | M | 15,786 | <u>(2)</u> 01/15/2018 | Common Stock 15,786 |
| Employee Stock | \$ 12.96 | 01/14/2015 | | M | 1,403 | <u>(2)</u> 01/12/2017 | Common Stock 1,403 |

Option
(Right to
Buy)

Employee
Stock

| | | | | | | | | |
|-----------------------------|----------|------------|---|-------|------------|------------|-----------------|-------|
| Option (Right to Buy) | \$ 11.18 | 01/14/2015 | M | 8,646 | <u>(2)</u> | 01/09/2016 | Common Stock | 8,646 |
|-----------------------------|----------|------------|---|-------|------------|------------|-----------------|-------|

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|---------------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| Themelis Nicholas C/O MARKETAXESS HOLDINGS INC. 299 PARK AVENUE NEW YORK, NY 10171 | | | Chief Information Officer | |

Signatures

| | |
|---|------------|
| /s/ Ori Solomon, as Attorney-in-Fact for Nicholas Themelis | 01/16/2015 |
|---|------------|

__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) Represents the surrender of shares to the Company to satisfy the exercise price of the option reported in Table II.
- (2) Currently exercisable.

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.