

MARKETAXESS HOLDINGS INC  
Form 4  
December 08, 2014

**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  
  
(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)  
12/05/2014

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)  
Chairman & CEO

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 |   | 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 Ownership (Instr. 4) |
|---|--------------------------------------|--|---------------------|---|---|-----|---|--|-----------------------------------|
|   |                                      |  | Code                | V | Amount  | (D) |   |  |                                   |
| Common Stock, par value \$0.003 per share | 12/05/2014                           |  | G                   | V | 10,000  | D   | \$ 0  | 1,130,618  | D                                 |
| Common Stock, par value \$0.003 per share | 12/05/2014                           |  | M                   |   | 5,500   | A   | \$ 15.6   | 1,136,118  | D                                 |
|   | 12/05/2014                           |  | S                   |   | 5,500   | D   |   | 1,130,618  | D                                 |

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|   |            |   |       |   |                             |           |   |
|---|------------|---|-------|---|-----------------------------|-----------|---|
| Common<br>Stock, par<br>value<br>\$0.003 per<br>share |            |   |       |   | \$<br>67.7803<br><u>(1)</u> |           |   |
| Common<br>Stock, par<br>value<br>\$0.003 per<br>share | 12/08/2014 | S | 4,989 | D | \$<br>68.1295<br><u>(2)</u> | 1,125,629 | D |
| Common<br>Stock, par<br>value<br>\$0.003 per<br>share | 12/08/2014 | S | 1,100 | D | \$<br>69.2318<br><u>(3)</u> | 1,124,529 | 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<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. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed of<br>(D)<br>(Instr. 3, 4,<br>and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Amount<br>or<br>Number<br>of<br>Shares |
|---|--|---|---|--------------------------------------|---|--|---|---|
|   |  |   |   | Code                                 | V (A) (D)   | Date<br>Exercisable  | Expiration<br>Date  | Title                                     |
| Employee<br>Stock<br>Option<br>(right to<br>buy)    | \$ 15.6  | 12/05/2014                              |   | M                                    | 5,500   | <u>(4)</u> 01/06/2015  | Common<br>Stock   | 5,500                                     |

## 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

12/08/2014

\_\_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) These transactions were executed in multiple trades at prices ranging from \$67.75 and \$67.90. 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) These transactions were executed in multiple trades at prices ranging from \$68.00 and \$68.88. 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.

(3) These transactions were executed in multiple trades at prices ranging from \$69.14 and \$69.31. 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 option is 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.

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