

McVey Richard M
Form 4
February 04, 2019

FORM 4

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

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

OMB APPROVAL

OMB
Number: 3235-0287
Expires: January 31,
2005
Estimated average
burden hours per
response... 0.5

(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)
C/O MARKETAXESS HOLDINGS
INC., 299 PARK AVENUE

3. Date of Earliest Transaction
(Month/Day/Year)
01/31/2019

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

(Street)
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 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) |
|---|---|---|---|---|--|--|---|
| Common Stock, par value \$0.003 per share | 01/31/2019 | | A | 5,891 A | \$ 0 ⁽¹⁾ | 1,033,563 | D |
| Common Stock, par value \$0.003 per share | 01/31/2019 | | F ⁽²⁾ | 2,949 D | \$ 214.77 | 1,030,614 | D |
| | 01/31/2019 | | F ⁽²⁾ | 1,157 D | | 1,029,457 | D |

Edgar Filing: McVey Richard M - Form 4

| | | | | | | | | |
|---|------------|------|-------|---|--------------|-----------|---|-------------------------------------|
| Common Stock, par value \$0.003 per share | | | | | \$ 214.77 | | | |
| Common Stock, par value \$0.003 per share | 01/31/2019 | F(2) | 1,268 | D | \$ 214.77 | 1,028,189 | D | |
| Common Stock, par value \$0.003 per share | | | | | | 1,990 | I | By Immediate Family Member |
| Common Stock, par value \$0.003 per share | | | | | | 10 | I | By Custodial Account |

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) | 8. Price of Derivative Security (Instr. 5) | 9. Nu Deriv Secur Bene Own Follo Repor Trans (Instr |
|---|--|---|---|--------------------------------------|--|--|---|---|---|
| | | | | Code | V (A) (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares |

Reporting Owners

Reporting Owner Name / Address

Relationships

Reporting Owners

Edgar Filing: McVey Richard M - Form 4

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

02/04/2019

__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).

Settlement of performance shares granted January 15, 2018 pursuant to the Issuer's 2012 Incentive Plan, which were settled based on the
(1) achievement by the Issuer of adjusted pre-tax operating income targets during the performance period and are payable in shares of restricted stock. The shares of restricted stock will vest in two equal installments on January 15, 2020 and January 15, 2021.

(2) Represents the surrender of shares to the Company to satisfy Mr. McVey's tax withholding obligation upon the vesting of restricted stock previously granted to Mr. McVey.

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.