

McVey Richard M
Form 4
November 16, 2005

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., 140 BROADWAY, 42ND
FLOOR

3. Date of Earliest Transaction
(Month/Day/Year)
11/14/2005

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
President and CEO

(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 10005

(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)
Common Stock, par value \$0.003 per share	11/14/2005		S ⁽¹⁾	1,976 D	\$ 11.85 921,540	D	
Common Stock, par value \$0.003 per share	11/14/2005		S ⁽¹⁾	2,800 D	\$ 11.86 918,740	D	

Edgar Filing: McVey Richard M - Form 4

Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	299	D	\$ 11.87	918,441	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	200	D	\$ 11.88	918,241	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	1,100	D	\$ 11.9	917,141	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	400	D	\$ 11.91	916,741	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	300	D	\$ 11.92	916,441	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	200	D	\$ 11.93	916,241	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	500	D	\$ 11.94	915,741	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	7,000	D	\$ 12	908,741	D
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	1,900	D	\$ 12.01	906,841	D
	11/14/2005	<u>S⁽¹⁾</u>	700	D		906,141	D

Edgar Filing: McVey Richard M - Form 4

Common Stock, par value \$0.003 per share						\$ 12.02		
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	725	D	\$ 12.03	905,416	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	775	D	\$ 12.04	904,641	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	100	D	\$ 12.05	904,541	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	610	D	\$ 12.06	903,931	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	190	D	\$ 12.08	903,741	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	600	D	\$ 12.09	903,141	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	1,400	D	\$ 12.1	901,741	D	
Common Stock, par value \$0.003 per share	11/14/2005	<u>S⁽¹⁾</u>	628	D	\$ 12.11	901,113	D	
	11/14/2005	<u>S⁽¹⁾</u>	7,873	D		893,240	D	

Edgar Filing: McVey Richard M - Form 4

Common Stock, par value \$0.003 per share						\$ 12.12		
Common Stock, par value \$0.003 per share	11/14/2005	S ⁽¹⁾	1,999	D	\$ 12.13	891,241	D	
Common Stock, par value \$0.003 per share	11/14/2005	S ⁽¹⁾	525	D	\$ 12.14	890,716	D	
Common Stock, par value \$0.003 per share	11/14/2005	S ⁽¹⁾	100	D	\$ 12.15	890,816	D	
Common Stock, par value \$0.003 per share	11/14/2005	S ⁽¹⁾	100	D	\$ 12.16	890,516	D	
Common Stock, par value \$0.003 per share	11/15/2005	S ⁽¹⁾	4,541	D	\$ 12	885,975	D	
Common Stock, par value \$0.003 per share	11/15/2005	S ⁽¹⁾	100	D	\$ 12.01	885,875	D	
Common Stock, par value \$0.003 per share	11/15/2005	S ⁽¹⁾	585	D	\$ 12.02	885,290	D	
Common Stock, par value \$0.003 per share	11/15/2005	S ⁽¹⁾	2,681	D	\$ 12.05	882,609	D	
						525,154	I	

Common
Stock, par
value
\$0.003 per
share

By Trusts
(2)

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. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
McVey Richard M C/O MARKETAXESS HOLDINGS INC. 140 BROADWAY, 42ND FLOOR NEW YORK, NY 10005	X	X	President and CEO	

Signatures

/s/ Ori Solomon as Attorney-in-Fact for Richard M.
McVey

11/16/2005

**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 sales reported in this Form 4 were effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on June 13, 2005.

Edgar Filing: McVey Richard M - Form 4

(2) Represents shares held by two trusts for the benefit of Mr. McVey and his family members.

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.