Edgar Filing: Sullivan James Joseph - Form 4

Sullivan Jam	es Joseph												
Form 4													
October 30, 2	2017												
FORM	14	CECID	TTIFC			• • • • • •		COMMISSION	r	PPROVAL			
Washington, D.C. 20549							OMB Number:	3235-0287					
Check thi if no long			Expires:	January 31									
subject to		CMENT O	F CHAN		Estimated	2005 average							
Section 10 Form 4 or	SECURITIES							burden hou response	irs per				
Form 5	Filed p	ursuant to	Section 16	5(a) of	the	Securiti	es Ex	chang	ge Act of 1934,				
obligation	¹⁸ Section $\hat{1}'$							-	f 1935 or Sectio	n			
may conti See Instru		30(h)) of the Inv	vestme	ent (Company	y Act	of 19	40				
1(b).													
(Print or Type R	Responses)												
1. Name and A	2. Issuer Name and Ticker or Trading					g	5. Relationship of Reporting Person(s) to						
Sullivan Jan	nes Joseph		Symbol						Issuer				
	MARKETAXESS HOLDINGS INC [MKTX]						(Check all applicable)						
(Last)	(First)	(Middle)	3. Date of	Earliest Transaction					X Director 10% Owner				
			(Month/Day/Year)						Officer (give titleOther (specify below)				
	ETAXESS HC ARK AVENUI		10/30/20)17					below)	below)			
	4. If Amendment, Date Original Filed(Month/Day/Year)						6. Individual or Joint/Group Filing(Check Applicable Line)						
									X Form filed by Form filed by M				
NEW YORE	X, NY 10171								Person		porting		
(City)	(State)	(Zip)	Table	e I - Nor	n-De	erivative S	Securit	ties Aco	quired, Disposed o	f, or Beneficia	lly Owned		
1.Title of	2. Transaction D	saction Date 2A. Dee		3.		4. Securities			5. Amount of	6. Ownership	7. Nature of		
Security	(Month/Day/Yea		on Date, if	TransactionAcquired (A) or Code Disposed of (D) (Instr. 8) (Instr. 3, 4 and 5)			Securities	Form: Direct	Indirect				
(Instr. 3)		any (Month	/Day/Year)				Beneficially Owned	(D) or Indirect (I)	Beneficial Ownership				
		(WORD)			(Inst. 0) (Inst. 3, 1 and 3)			5)	Following	(Instr. 4)	(Instr. 4)		
							(A)		Reported				
							or		Transaction(s) (Instr. 3 and 4)				
~				Code	V	Amount	(D)	Price	(IIISU: 5 and 4)				
Common													
Stock, par	10/20/2017			C	V	100	D	¢ 0	7.810	D			
value \$0.003 per	10/30/2017			G	V	100	D	\$0	7,810	D			
share													
Siluit													

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.

Reporting Owners

Sullivan James Joseph

299 PARK AVENUE

Reporting Owner Name / Address

C/O MARKETAXESS HOLDINGS INC.

NEW YORK, NY 10171	
Signatures	
/s/ Ori Solomon, as Attorney-in-Fact for James Joseph Sullivan	1(
**Signature of Reporting Person	
Explanation of Responses:	
* If the form is filed by more than one reporting person, <i>see</i> Instruction 4(b)(v).	
** Intentional misstatements or omissions of facts constitute Federal Criminal Viol	latic

Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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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.

Reporting Owners

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

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1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	4. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	;	ate	Amou Under Secur	Title and nount of iderlying curities (str. 3 and 4)	9. Nu Deriv Secu Bene Owne Follo Repo Trans (Instr
			Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	

0/30/2017

Date

Relationships

10% Owner Officer Other Director