## Edgar Filing: MARKETAXESS HOLDINGS INC - Form 3

### MARKETAXESS HOLDINGS INC

Form 3 July 17, 2008

# FORM 3

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

**OMB APPROVAL** 

**OMB** Number:

3235-0104

0.5

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF Expires: **SECURITIES** 

January 31, 2005

Estimated average burden hours per

response...

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 \*

Trudeau Robert

(Last)

(First)

(Middle)

Statement

(Month/Day/Year)

07/14/2008

2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol

MARKETAXESS HOLDINGS INC [MKTX]

4. Relationship of Reporting Person(s) to Issuer

5. If Amendment, Date Original

Filed(Month/Day/Year)

C/O TECHNOLOGY **CROSSOVER** 

VENTURES. 528 RAMONA

**STREET** 

(Street)

(Check all applicable) \_X\_ 10% Owner \_X\_ Director

Officer \_X\_ Other (give title below) (specify below) May be part of a 13(g) group

6. Individual or Joint/Group

Filing(Check Applicable Line) Form filed by One Reporting

Person

\_X\_ Form filed by More than One

Reporting Person

## PALO ALTO, CAÂ 94301

(City) (State) (Zip)

1. Title of Security (Instr. 4)

Table I - Non-Derivative Securities Beneficially Owned

Beneficially Owned (Instr. 4)

2. Amount of Securities

Ownership Form:

4. Nature of Indirect Beneficial Ownership

(Instr. 5)

Direct (D) or Indirect (I) (Instr. 5)

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 1473 (7-02)

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

1. Title of Derivative Security (Instr. 4)

2. Date Exercisable and **Expiration Date** (Month/Day/Year)

3. Title and Amount of Securities Underlying Derivative Security

4. Conversion or Exercise Price of

5. Ownership Form of Derivative

6. Nature of Indirect Beneficial Ownership (Instr. 5)

(Instr. 4)

Derivative Security:

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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	Security	Direct (D) or Indirect (I) (Instr. 5)	
Series B Preferred Stock	(1)	(2)	Common Stock	3,472,653	\$ 10	I	TCV VI, L.P. (3)
Series B Preferred Stock	(1)	(2)	Common Stock	27,347	\$ 10	I	TCV Member Fund, L.P. (5) (4)
Common Stock Warrants	(1)	(6)	Common Stock	555,624	\$ 10	I	TCV VI, L.P. (3)
Common Stock Warrants	(1)	(6)	Common Stock	4,376	\$ 10	I	TCV Member Fund, L.P. (5) (4)
Common Stock Warrants	(1)	(7)	Common Stock	138,906	\$ 10	I	TCV VI, L.P. (3)
Common Stock Warrants	(1)	(7)	Common Stock	1,094	\$ 10	I	TCV Member Fund, L.P. (5) (4)

# **Reporting Owners**

Reporting Owner Name / Address	Relationships			
stopolouig o materialisto.	Director	10% Owner	Officer	Other
Trudeau Robert C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	ÂΧ	ÂΧ	Â	May be part of a 13(g) group
HOAG JAY C C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
KIMBALL RICK C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
DREW JOHN C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
REYNOLDS JON Q JR C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
GRIFFITH WILLIAM C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET	Â	ÂX	Â	May be part of a 13(g) group

Reporting Owners 2

## PALO ALTO, CAÂ 94301

Corlo C Novall Authorized signatory for Dobert W. T	07/17/2009			
Signatures				
TCV Member Fund, L.P. C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
TCV VI L P C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group
Technology Crossover Management VI, L.L.C. C/O TECHNOLOGY CROSSOVER VENTURES 528 RAMONA STREET PALO ALTO, CA 94301	Â	ÂX	Â	May be part of a 13(g) group

Signatures				
Carla S. Newell Authorized signatory for Robert W. Trudeau				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for Jay C. Hoag				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for Richard H. Kimball				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for John L. Drew				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for Jon Q. Reynolds Jr.				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for William J.G. Griffith IV				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for Technology Crossover Management VI, L.L.C.	07/17/2008			
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for TCV VI, L.P.				
**Signature of Reporting Person	Date			
Carla S. Newell Authorized signatory for TCV Member Fund, L.P.				
**Signature of Reporting Person	Date			

# **Explanation of Responses:**

- If the form is filed by more than one reporting person, see Instruction 5(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) Immediately.
- (2) Not applicable.
- (3) These securities are directly held by TCV VI, L.P. Jay C. Hoag ("Hoag"), Richard H. Kimball ("Kimball"), John L. Drew ("Drew"), Jon Q. Reynolds, Jr. ("Reynolds"), William J.G. Griffith IV ("Griffith") and Robert W. Trudeau ("Trudeau") (collectively the "TCM Members") are Class A Members of Technology Crossover Management VI, L.L.C. ("TCM VI") which is the sole general partner of

Signatures 3

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TCV VI, L.P. The TCM Members and TCM VI may be deemed to beneficially own the securities held by TCV VI, L.P. but the TCM Members and TCM VI disclaim beneficial ownership of such securities except to the extent of their pecuniary interest therein.

- Hoag, Kimball, Drew, Reynolds, Griffith, Trudeau, TCM VI, TCV VI, L.P. and TCV Member Fund, L.P. (collectively, "Reporting (4) Owners") may be deemed to be part of a 13(g) group with other related persons however, the Reporting Owners disclaim 13(g) group status
  - These securities are directly held by TCV Member Fund, L.P. Each of the TCM Members are Class A Members of TCM VI which is a general partner of TCV Member Fund, L.P. The TCM Members and TCM VI may be deemed to beneficially own the securities held by
- TCV Member Fund, L.P. but the TCM Members and TCM VI disclaim beneficial ownership of such securities except to the extent of their pecuniary interest therein.
- (6) June 4, 2018.
- (7) July 16, 2018.

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.