SEC Form 4
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# FORM 4

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

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Instruction 1(b).		Filed	pursuant to Section 16(a) of the Securities Exchange Act of 1934			hours per resp	oonse:	0.5
			or Section 30(h) of the Investment Company Act of 1940					
1. Name and Addre	ess of Reporting Pers	son*	2. Issuer Name and Ticker or Trading Symbol <u>Tradeweb Markets Inc.</u> [ TW ]		all applicab Director	le)	on(s) to Issuer 10% Owner	
(Last) (First) (Middle) TRADEWEB MARKETS INC. 1177 AVENUE OF THE AMERICAS			3. Date of Earliest Transaction (Month/Day/Year) 03/15/2023	X	Officer (giv below) Chief Ad	ve title	Other (specify below) sk Officer	ý
(Street) NEW YORK (City)	NY (State)	10036 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indivi Line) X	Form filed	by One Repo	(Check Applica rting Person One Reporting	

## 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. Transa Code ( 8)		4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class A common stock	03/15/2023		A <sup>(1)</sup>		5,822	Α	\$ <mark>0</mark>	35,909 <sup>(2)</sup>	D	

	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. Transa Code ( 8)		of Deriv Secu Acqu (A) o Dispe of (D	r osed ) r. 3, 4	Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

## Explanation of Responses:

1. The reported transaction is an award of restricted stock units ("RSUs") in respect of the issuer's Class A common stock ("Class A Common Stock"). Subject to the reporting person's continued employment through the applicable vesting date, these RSUs are scheduled to vest in equal installments on each of the first, second and third anniversaries of March 15, 2023.

2. This amount includes (i) 3,001 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on March 17, 2023, (ii) 1,697 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on January 1, 2024, (iii) 10,180 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on January 1, 2024, (iv) 2,985 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on January 1, 2024, (iv) 2,985 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on January 1, 2025, (v) 5,785 unvested RSUs in respect of Class A Common Stock which are scheduled to vest and (vi) 5,822 unvested RSUs in respect of Class A Common Stock which are scheduled to vest as described in footnote 1 of this Form 4, in each case subject to the reporting person's continued employment through the applicable vesting date.

#### **Remarks:**

#### /s/ Scott Zucker

\*\* Signature of Reporting Person Date

<u>03/17/2023</u>

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* 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).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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 Number.

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See