SEC Form 4

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FORM 4

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

OMB APPROVAL

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)	Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* <u>Peterson Justin</u>			2. Issuer Name and Ticker or Trading Symbol <u>Tradeweb Markets Inc.</u> [TW]	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner				
	ast) (First) (Middle) RADEWEB MARKETS INC. 177 AVENUE OF THE AMERICAS		3. Date of Earliest Transaction (Month/Day/Year) 01/03/2022	X	Officer (give title below) Chief Technolog	Other (specify below) y Officer		
(Street) NEW YORK	NY (State)	10036 (Zip)	4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Indiv Line) X	ridual or Joint/Group Filing (Check Applicable Form filed by One Reporting Person Form filed by More than One Reporting Person			

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)					5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)	(1130. 4)	(1130. 4)	
Class A common stock	01/03/2022		F		18,043(1)	D	\$100.14	63,575 ⁽²⁾	D		
Class A common stock	01/03/2022		A		256 ⁽³⁾	A	\$0	63,831 ⁽²⁾	D		
Class A common stock	01/04/2022		S ⁽⁴⁾		2,521	D	\$92.455 ⁽⁵⁾	61,310 ⁽²⁾	D		
Class A common stock	01/04/2022		S ⁽⁴⁾		8,941	D	\$93.527 ⁽⁶⁾	52,369 ⁽²⁾	D		
Class A common stock	01/04/2022		S ⁽⁴⁾		5,555	D	\$94.0768(7)	46,814 ⁽²⁾	D		
Class A common stock	01/04/2022		S ⁽⁴⁾		100	D	\$95.05	46,714 ⁽²⁾	D		
Class A common stock	01/04/2022		S ⁽⁴⁾		300	D	\$96.2933 ⁽⁸⁾	46,414 ⁽²⁾	D		

	Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)														
Title of erivative ecurity nstr. 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 (1 8)		5. Nu of Deriv Secu Acqu (A) of Dispo of (D) (Instri and S	vative rities ired r osed) . 3, 4	6. Date Exercis Expiration Date (Month/Day/Yes	e	7. Title Amou Secur Under Deriva Secur 3 and	int of ities rlying ative ity (Instr.	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)
											Amount				

Explanation of Responses:

1. T Der Sec (Ins

1. Represents shares withheld by the issuer to satisfy the tax withholding obligation associated with the settlement of restricted stock units ("RSUs") in respect of the issuer's Class A common stock ("Class A Common Stock") held by the reporting person.

(A) (D)

2. This amount includes (i) 8,575 unvested RSUs in respect of Class A Common Stock which are scheduled to vest in equal installments on each of March 17, 2022, and March 17, 2023, (ii) 25,726 unvested RSUs in respect of Class A Common Stock which are scheduled to vest on January 1, 2023, and (iii) 10,113 unvested RSUs in respect of Class A Common Stock which are scheduled to vest in equal installments on each of the first, second and third anniversaries of March 15, 2021, in each case subject to the reporting person's continued employment through the applicable vesting date.

Date

Exercisable

Expiration

Date

3. Represents shares of Class A Common Stock acquired in connection with the settlement of certain dividend equivalent rights (the "DERs"). The DERs were granted in connection with previously awarded RSUs, and settled in shares of Class A Common Stock in connection with the settlement of the RSUs to which they relate.

4. This transaction was effected pursuant to a Rule 10b5-1 trading plan adopted by the reporting person on November 11, 2021.

5. The price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$91.94 to \$92.88, inclusive. The reporting person undertakes to provide the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the ranges set forth in footnotes 5, 6, 7 and 8 to this Form 4.

6. The price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$92.94 to \$93.93, inclusive.

Code v

7. The price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$93.94 to \$94.30, inclusive.

8. The price in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$96.25 to \$96.35, inclusive.

Scott Zucker, Attorney-in-Fact for Justin Peterson

Number

Shares

Title

** Signature of Reporting Person Date

01/05/2022

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.