

## **Modern Slavery Act 2015: Slavery and Human Trafficking Statement**

MarketAxess prides itself on developing innovative and sophisticated technology to help support the global credit markets. That entrepreneurial spirit helps drive the business forward and is a result of the talented people working for MarketAxess who represent our core values. MarketAxess and all of its employees are committed to acting with integrity and strongly support doing their part to stop slavery and human trafficking.

### **ORGANISATIONAL STRUCTURE AND OUR BUSINESS**

The MarketAxess group (the “Group”), is headquartered in New York and the parent company MarketsAxess Holdings Inc, is publicly listed on NASDAQ (ticker: MKTX). The Group has 366 employees worldwide, and has global revenues as at the year end of 31 December 2015 of US \$303 million.

MarketAxess, founded in 2000, is a global leader in fixed income electronic trading, connecting a network of over 2,000 institutional investor and broker-dealer firms. Trax, a wholly-owned subsidiary of MarketAxess, was established in 1985 and is a leading provider of capital market data, trade matching and regulatory reporting services to the global securities market. With over 30 years’ of capital markets experience in the fixed income markets, MarketAxess and Trax offer a suite of products and services that meet the demands of the entire fixed income trade lifecycle, supporting the needs of the front, middle and back offices.

### **OUR POLICIES ON SLAVERY AND HUMAN TRAFFICKING**

We are committed to ensuring that there is no modern slavery or human trafficking in any part of our business. Our Anti-Slavery Policy reflects our commitment to acting ethically and with integrity in all our business relationships and to implementing and enforcing effective systems and controls to ensure slavery and human trafficking is not taking place anywhere in our business or by our vendors/service providers.

### **DUE DILIGENCE PROCESSES FOR SLAVERY AND HUMAN TRAFFICKING**

As part of our initiative to identify and mitigate risk we have in place systems to:

- Identify and assess potential risk areas in using our service providers.
- Mitigate the risk of slavery and human trafficking occurring in our business.
- Protect whistleblowers.

### **SUPPLIER ADHERENCE TO OUR VALUES AND ETHICS**

We have zero tolerance to slavery and human trafficking. The Group is committed to the highest standards of ethical business conduct and to the practice of business in accordance with all applicable laws, rules and regulations. To ensure all those of our service providers and contractors comply with our values, we have in place a set of guidelines for the employees, officers and

directors, to provide guidance to personnel to help them recognise and deal with ethical issues (including modern slavery), provide mechanisms to report unethical conduct, and help to foster a culture of honesty and accountability. All consultants and contractors are also required to abide by this code.

## **OUR EFFECTIVENESS IN COMBATING SLAVERY AND HUMAN TRAFFICKING**

We are fully committed to the extent possible, to ensuring that slavery and human trafficking is not taking place in any part of our business or amongst any of our services providers.

To ensure that there is no slavery or human trafficking in our business, we take the following steps to combat slavery and human trafficking:

- Ensuring that modern slavery and human trafficking is not taking place in our business;
- Ensuring that our staff have a high level understanding of the risks of modern slavery and human trafficking in our business through internal training, and are kept up to date to comply with our Anti-Slavery Policy;
- Continue to update our Anti-Slavery Policy, if applicable; and
- Where possible, we seek confirmation from our vendors/ service providers that they are aware of the Modern Slavery Act 2015 and comply with it.

*This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our slavery and human trafficking statement for the financial year ending 31 December 2016. This statement applies equally to each of the members of the MarketAxess Group incorporated in England and Wales: MarketAxess Europe Limited, MarketAxess Capital Limited, and Xtrakter Limited (trading as Trax).*

**Date: January 2017**