



**THE FOUNDATION
FOR SECURE
MARKETS**

#49856

Date: December 28, 2021

Subject: ARK Innovation ETF - Cash Distribution (Capital Gains)
Option Symbol: ARKK
Date: 12/29/2021

ARK Innovation ETF (ARKK) has announced a long-term capital gains distribution of \$0.25768 and short-term capital gains distribution of \$0.52489 per ARKK Share. The record date is December 30, 2021; the payable date is December 31, 2021. The ex-distribution date for this distribution will be December 29, 2021.

Contract Adjustment

Effective Date: December 29, 2021

New Multiplier: 100 (e.g., for premium extensions a premium of 1.50 equals \$150.00; a strike of 97.50 yields \$9,750.00).

Contract Multiplier: 1

Strike Prices: Strike prices will be reduced by 0.78257 and rounded to the nearest penny. (For example, a strike of 42.96 will be reduced to 42.18; a strike of 235.00 will be reduced to 234.22)

Option Symbol: ARKK remains ARKK

Deliverable Per Contract: 100 ARK Innovation ETF (ARKK) Shares

CUSIP: 00214Q104

Disclaimer

This Information Memo provides an unofficial summary of the terms of corporate events affecting listed options or futures prepared for the convenience of market participants. OCC accepts no responsibility for the accuracy or completeness of the summary, particularly for information which may be relevant to investment decisions. Option or futures investors should independently ascertain and evaluate all information concerning this corporate event(s).

The determination to adjust options and the nature of any adjustment is made by OCC pursuant to OCC By-Laws, Article VI, Sections 11 and 11A. The determination to adjust futures and the nature of any adjustment is made by OCC pursuant to OCC By-Laws, Article XII, Sections 3, 4, or 4A, as applicable. For

both options and futures, each adjustment decision is made on a case by case basis. Adjustment decisions are based on information available at the time and are subject to change as additional information becomes available or if there are material changes to the terms of the corporate event(s) occasioning the adjustment.

ALL CLEARING MEMBERS ARE REQUESTED TO IMMEDIATELY ADVISE ALL BRANCH OFFICES AND CORRESPONDENTS ON THE ABOVE.

For questions regarding this memo, call Investor Services at 1-888-678-4667 or email investorservices@theocc.com. Clearing Members may contact Member Services at 1-800-544-6091 or, within Canada, at 1-800-424-7320, or email memberservices@theocc.com.