



**THE FOUNDATION
FOR SECURE
MARKETS**

#48070

DATE: DECEMBER 28, 2020

SUBJECT: ARK INNOVATION ETF – CASH DISTRIBUTION (CAPITAL GAINS)
OPTION SYMBOL: ARKK
DATE: 12/29/20

ARK Innovation ETF (ARKK) has announced a long term capital gains distribution of \$0.41657 and short term capital gains distribution of \$1.62774 per ARKK Share. The record date is December 30, 2020; the payable date is on December 31, 2020. The ex-distribution date for this distribution will be December 29, 2020.

CONTRACT ADJUSTMENT

EFFECTIVE DATE: December 29, 2020

NEW MULTIPLIER: 100 (e.g., for premium extensions a premium of 1.50 equals \$150; a strike of 135.00 yields \$13,500.00).

CONTRACT MULTIPLIER: 1

STRIKE PRICES: Strike prices will be reduced by 2.04431 and rounded to the nearest penny. (For example, a strike of 80 will be reduced to 77.96; a strike of 100 will be reduced to 97.96)

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@theooc.com. Clearing Members may contact Member Services at 1-800-544-6091 or, within Canada, at 1-800-424-7320, or email memberservices@theooc.com.