



**THE FOUNDATION
FOR SECURE
MARKETS**

#48555

Date: April 12, 2021

Subject: Corporate Action Submission Form

On April 12, 2021, a Corporate Action Submission Form (“Form”) was added to the OCC website (<https://www.theocc.com>). The Form can be accessed from the Clearance & Settlement section of the website menu and it allows external parties to provide OCC with information related to a potential Corporate Action on an underlying security to a listed option. A user may enter basic information about the event, including the security name, trading symbol, event type, a description, and a hyperlink to relevant information. Upon submission of the Form the user will receive a confirmation stating that the OCC will review the provided information.

Submission of the Form generates a notification for the OCC Corporate Actions Group that contains the details submitted through the Form. The information provided will be reviewed but the contributor will not receive a direct response. Submission of the Form ensures that the OCC is aware of the event, however it does not guarantee that a contract adjustment will occur in response the information provided.

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.