

EXHIBIT 3

The information contained in this Exhibit 3 is subject to exemption from mandatory disclosure under Exemptions #4 and #8 of the Freedom of Information Act because the information concerns (i) trade secrets and commercial information that is privileged or confidential and (ii) the supervision of The Depository Trust Company, Fixed Income Clearing Corporation, and National Securities Clearing Corporation (collectively, the “Clearing Agencies”), which are financial institutions. This Exhibit 3 contains one or more electronic files embedded in a one-page document for filing efficiency, as listed below. The information contained in the embedded file or files is not intended for public disclosure. Accordingly, this Exhibit 3 has been redacted and confidential treatment requested pursuant to 17 CFR 240.24b-2. An unredacted version was filed separately and confidentially with the Securities and Exchange Commission.

Embedded File(s):

1. FICC Advisory Council Charter; 4 pages
2. NSCC and DTC Clearance and Settlement Advisory Council Charter; 5 pages
3. DTC Asset Services Advisory Council Charter; 4 pages
4. Risk Management Advisory Council Charter; 4 pages
5. Corporate Secretary’s Office Procedures for DTCC/DTC/FICC/NSCC Director Conflicts of Interest and Independence Assessment; 15 pages
6. DTCC/DTC/FICC/NSCC Board Code of Ethics and Conflicts of Interest Policy; 12 pages
7. DTCC/DTC/FICC/NSCC Board Mission Statement and Charter; 16 pages
8. Excerpts of the DTCC Third party Risk Policy and the DTCC Third Party Risk Procedures; 10 pages
9. Excerpts of the DTCC Risk Tolerance procedures and the Intercompany Agreement Review and Storage Procedure; 4 pages
10. Excerpts of the following policies and procedures for managing conflicts of interest for DTCC senior management: DTCC Gifts Entertainment and Conflicts of Interest Policy and the DTCC Gifts Entertainment and Conflicts of Interest Procedures; 8 pages

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