EXHIBIT 3

CONFIRMATION OF A CLIENT CYBERSECURITY PROGRAM
FICC

Fixed Income Clearing Corporation
The Depository Trust & Clearing Corporation
55 Water Street
New York, NY 10041

Client Legal Entity Name: _____ ("The Company")

Attention: Control Officer Name: _____

Which standards and/or frameworks are you using to guide and assess your institution's cybersecurity program? Please select all that apply.

☐	**FSSCC Profile**	Financial Services Sector Coordinating Council Cybersecurity Profile
☐	**NIST CSF**	The National Institute of Standards and Technology Cybersecurity Framework
☐	**ISO 27001/27002**	International Organization for Standardization Standard 27001/27002
☐	**FFIEC CAT**	Federal Financial Institutions Examination Council Cybersecurity Assessment Tool
☐	**CSC 20**	Critical Security Controls Top 20
☐	**COBIT**	Control Objectives for Information and Related Technologies
☐	**Other**	

Are you using a third party service provider or service bureau to access Fixed Income Clearing Corporation ("FICC")?

CONFIRMATION

The Company has designated the senior executive indicated below with sufficient authority to be responsible and accountable for overseeing and executing the cybersecurity program within the organization.

- The Company has defined and maintains a comprehensive cybersecurity program and framework that considers potential cyber threats that impact the organization and protects the confidentiality, integrity and availability requirements of The Company's systems and information.

- The Company has implemented and maintains a written enterprise cybersecurity policy or policies approved by senior management or The Company's board of directors, and The Company's cybersecurity framework is in alignment with standard industry best practices and guidelines as indicated: (FSSCC Profile, NIST CSF, ISO 27001/27002, FFIEC CAT, CSC 20, COBIT).

- If using a third party service provider or service bureau(s) to connect or transact business or to manage the connection with FICC, The Company has an appropriate program to evaluate the cyber risks and impact of these third parties, and to review the third party assurance reports.
- The Company's cybersecurity program and framework protect the segment of The Company's system that connects to and/or interacts with FICC.
- There is an established process to remediate cyber issues identified to fulfill regulatory and/or statutory requirements.
- The Company's cybersecurity program's and framework's risk processes are updated periodically based on a risk assessment or changes to technology, business, threat ecosystem, and regulatory environment.
- A comprehensive review of the cybersecurity program and framework has been conducted by one of the following:

  - ☐ The Company, which has filed and maintains a current Certification of Compliance with the Superintendent of the New York State Department of Financial Services (NYSDFS) pursuant to 23 NYCRR 500
  - ☐ A regulator who assesses the program against a designated cybersecurity framework or industry standard (OCC: Office of the Comptroller and the FFIEC CAT)
  - ☐ An independent external entity with cybersecurity domain expertise (SOC2 Certification, ISO 27001 Certification, NIST CSF assessment)
  - ☐ An independent internal audit function reporting directly to the board of directors or designated board of directors committee of The Company, such that the findings of that review are shared with these governance bodies

I am the designated senior executive authorized to attest to the above on behalf of The Company.

CONTROL OFFICER:

First Name: _____ **Last Name:** _____

Phone: _____ **Email:** _____

Title _____ **Date** _____

Signature: _____