EXHIBIT 3

Supporting Charts

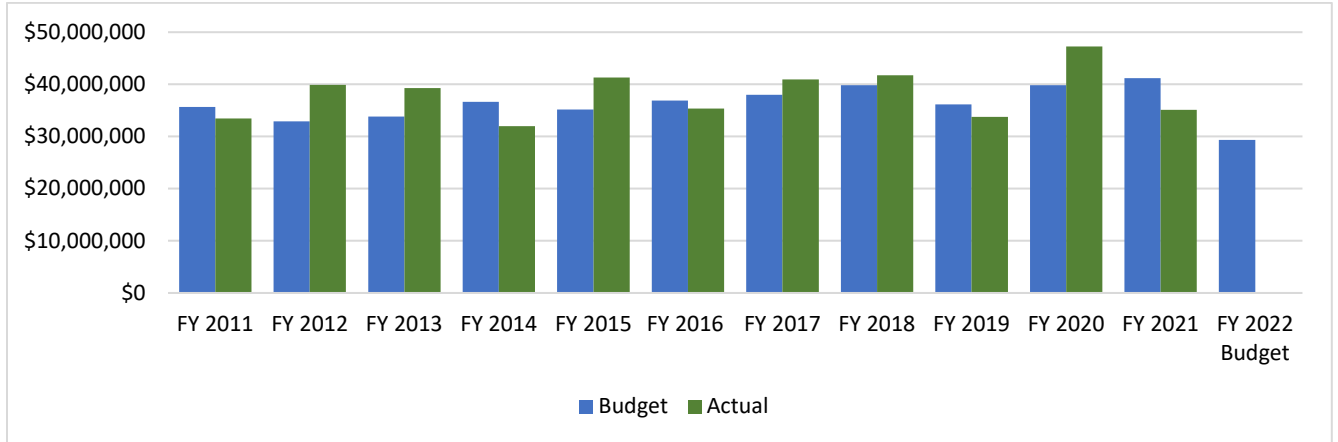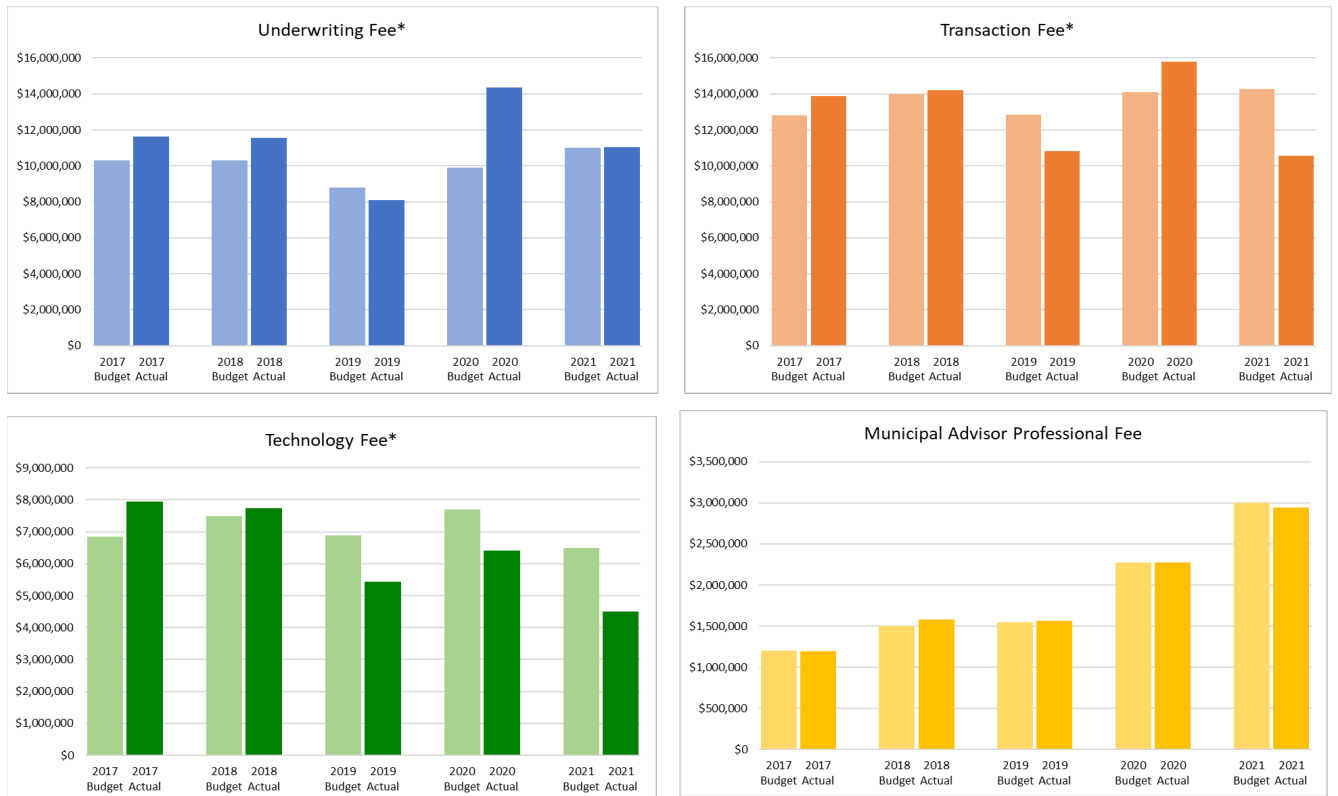Chart 1 – <u>Historical Revenue Variances: Budget vs. Actual</u>

Chart 2 – <u>Historical Budget vs. Actual Revenue for the Rate Card Fees</u>

*Note: 2019 Temporary Fee Reduction partially budgeted for the fiscal
year; 2021 Temporary Fee Reduction unbudgeted for the fiscal year

Chart 3 – Historical Actual Revenue for the Rate Card Fees as a Percentage of the Total Rate Card Fee Revenue
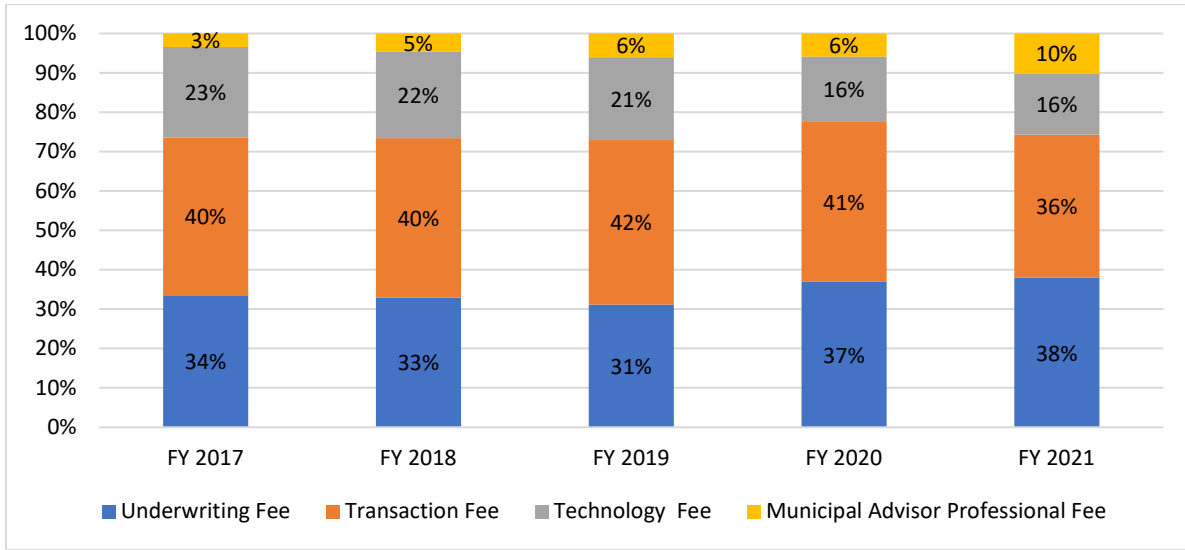

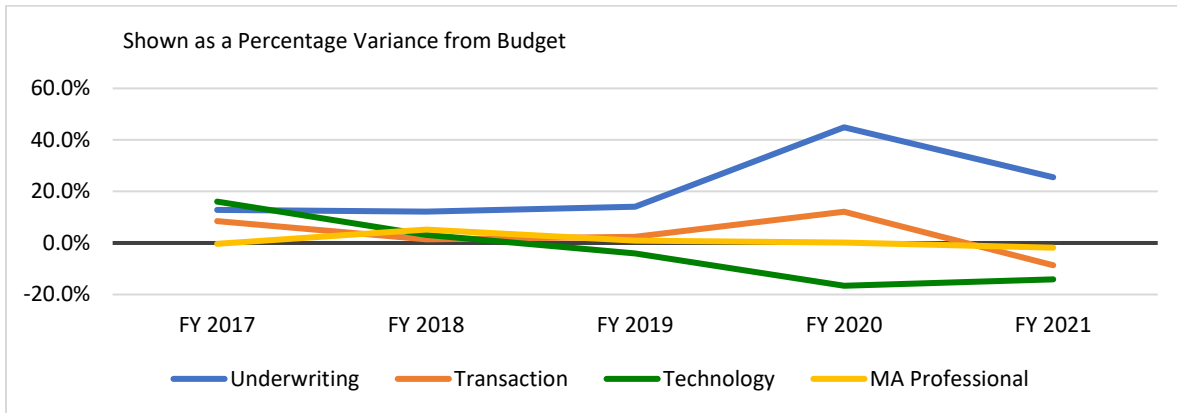Chart 4 – Rate Card Fees: Historical Activity Volume Variance Budget to Actual

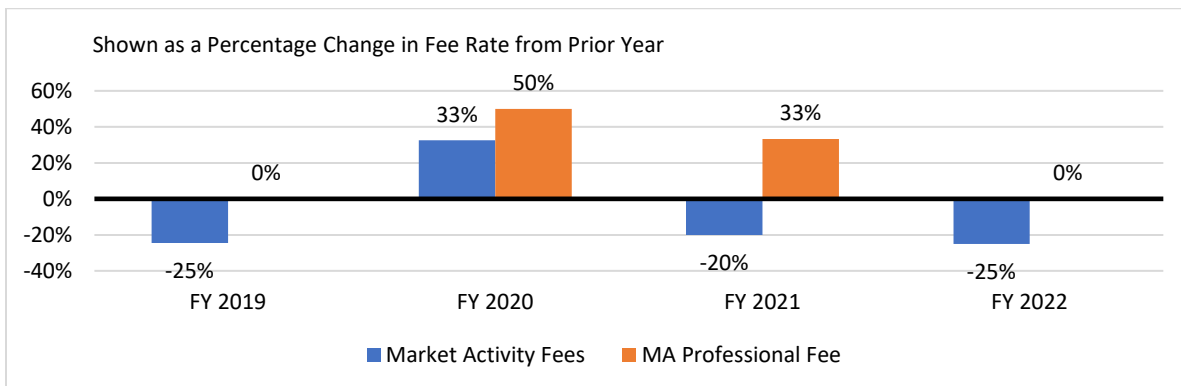Chart 5 – Historical Effective Fee Rate Changes

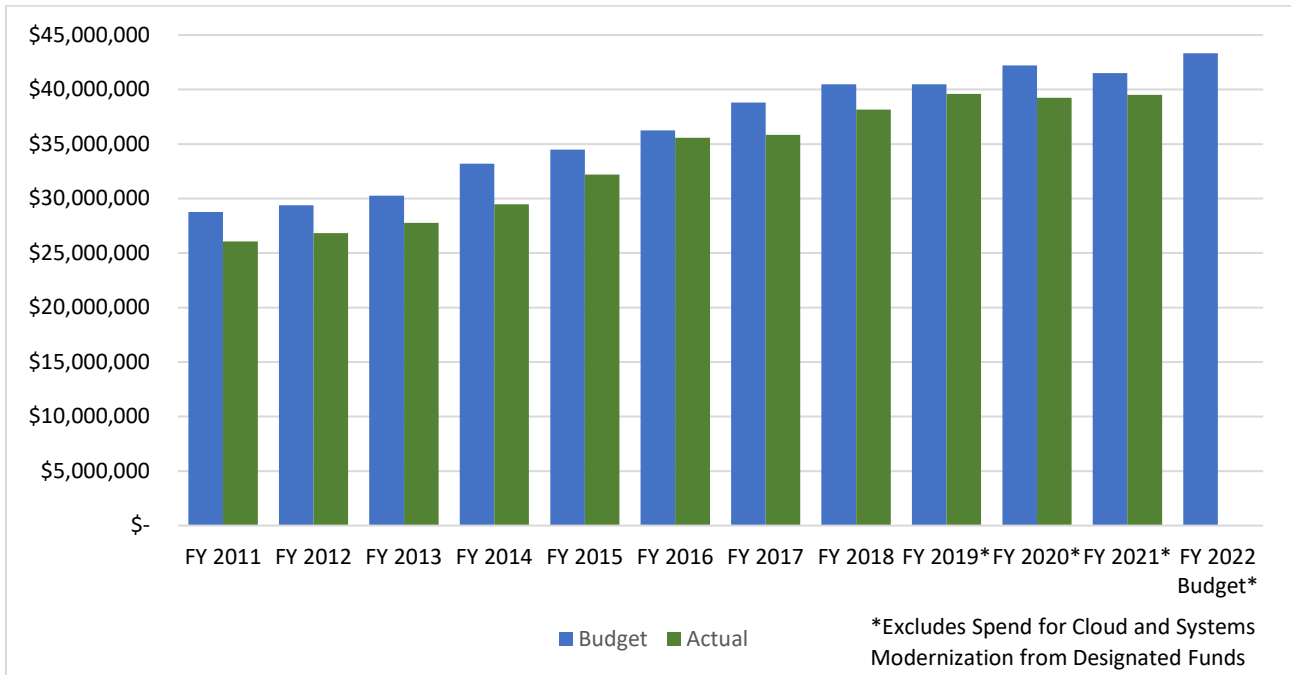Chart 6 – Historical Expense Variances: Budget vs. Actual

■ Budget ■ Actual

*Excludes Spend for Cloud and Systems Modernization from Designated Funds

Chart 7 – Historical Budgeted Revenue and Budgeted Expense
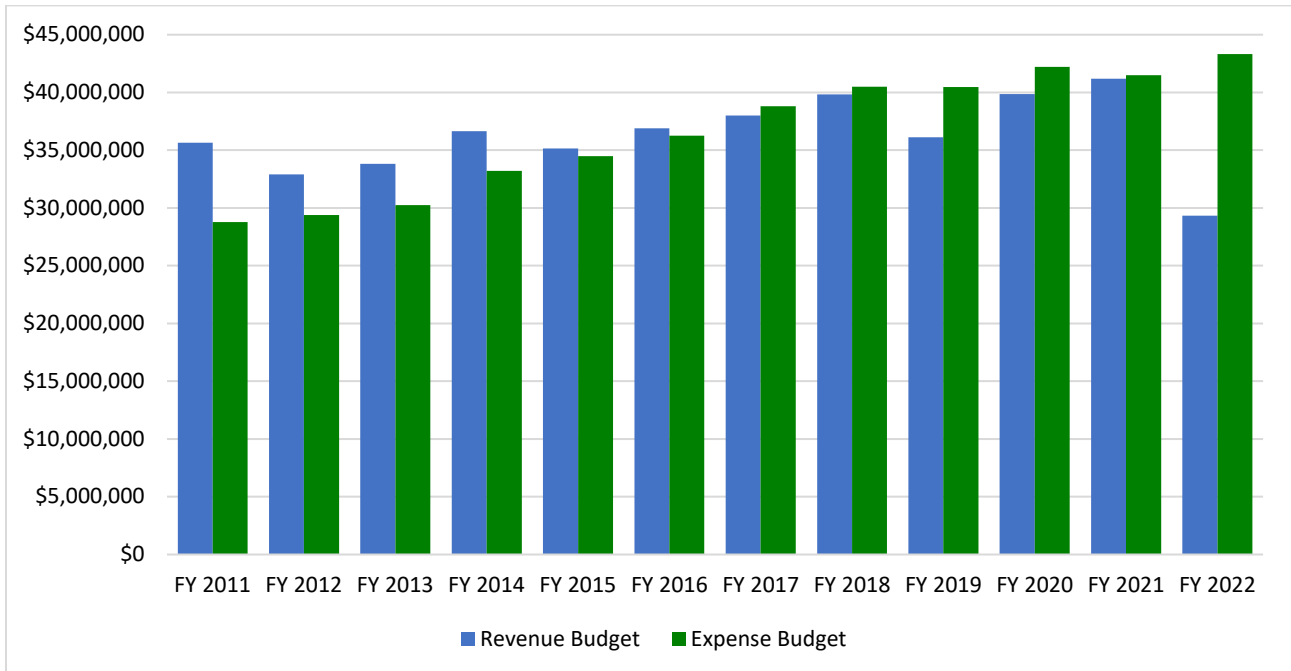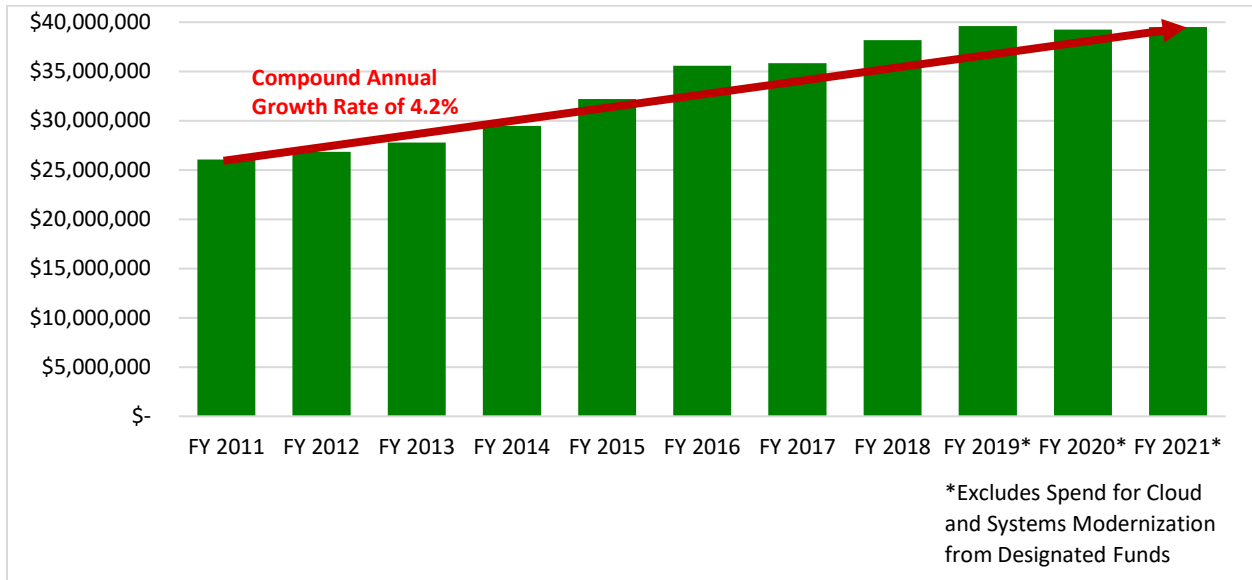

■ Revenue Budget ■ Expense Budget

Chart 8 – Historical Actual Expenses

Chart 9 – Historical Budgeted Expense by Function

Note: Textured boxes reflect functions that were reclassified between FY 2020 and FY 2021.

■ External Relations

■ Finance, Risk and Administration

■ Governance and Leadership (Office of General Counsel Added FY 2021)

■ Market Regulation (Office of General Counsel Removed FY 2021)

■ Market Structure and Data (Data Functions Added and Operations Removed FY 2021)

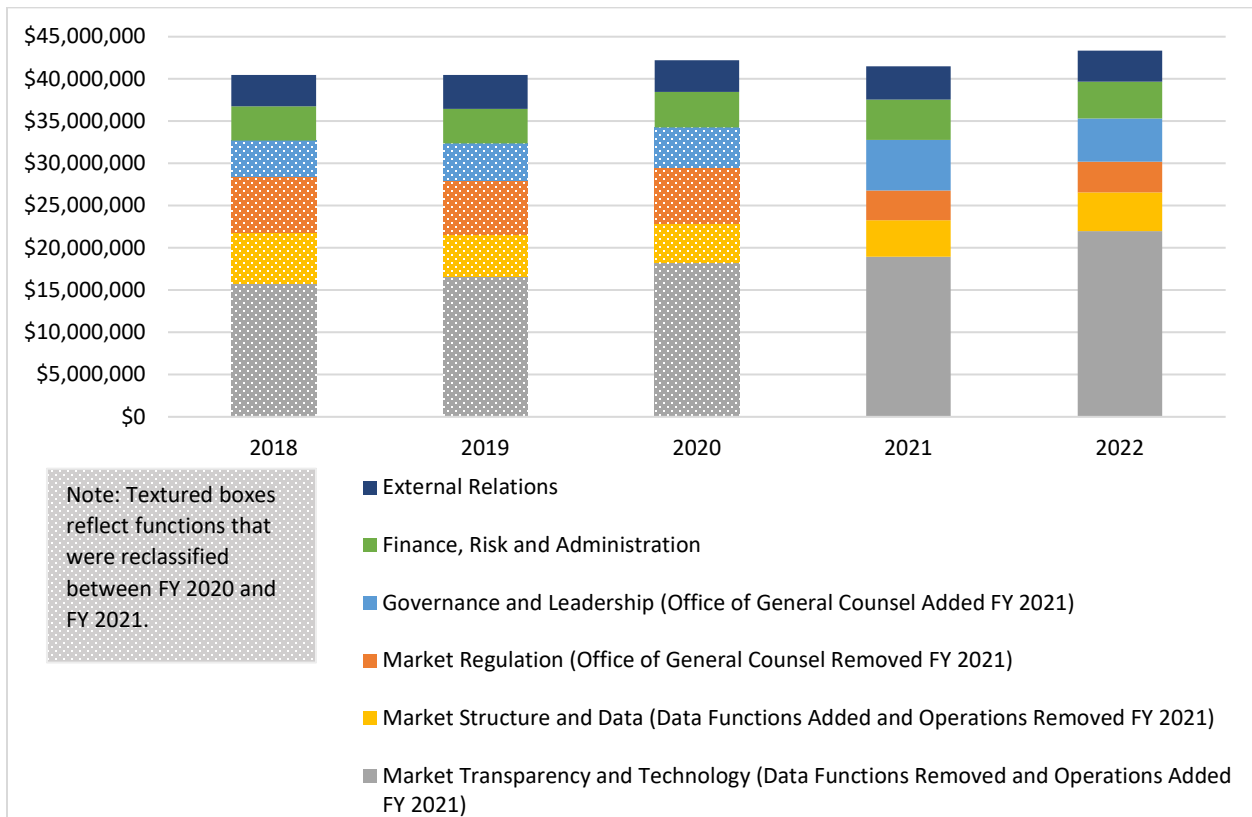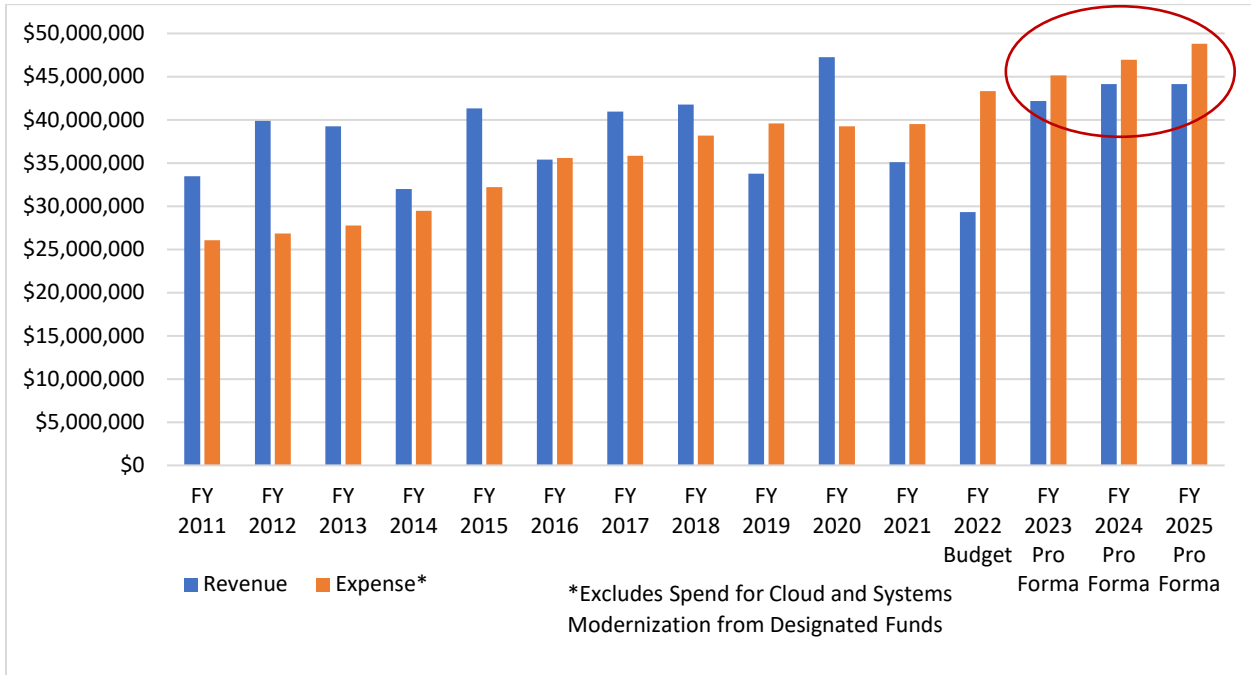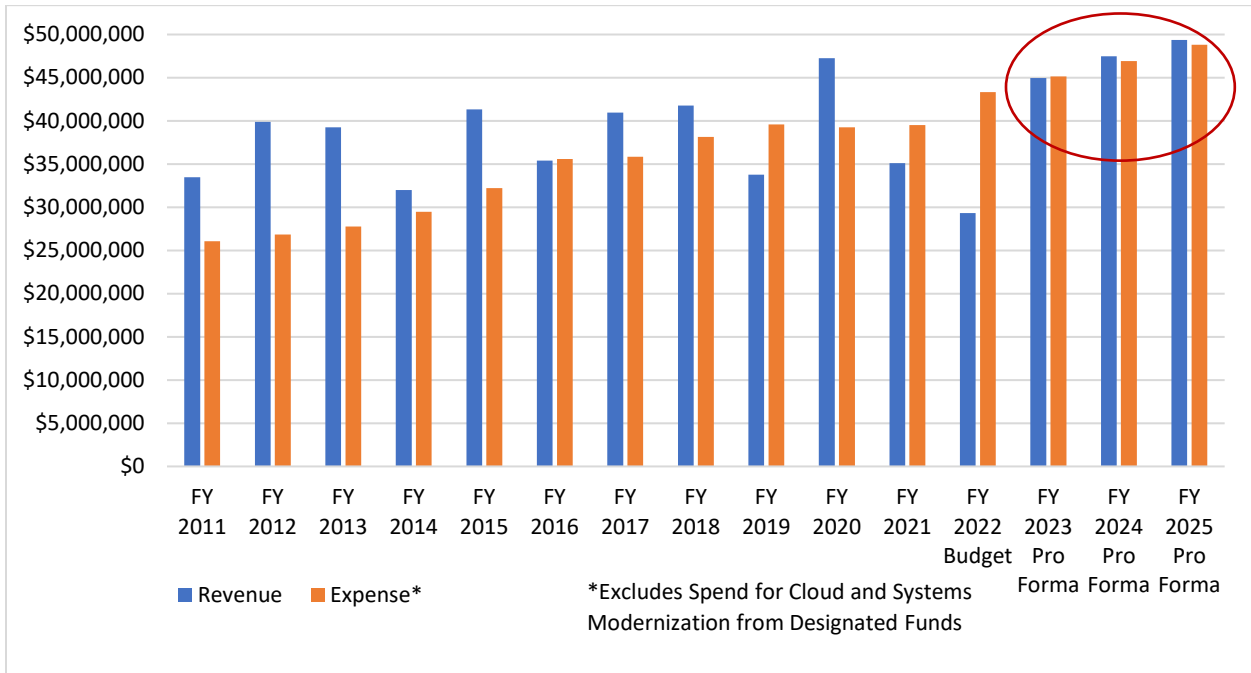■ Market Transparency and Technology (Data Functions Removed and Operations Added FY 2021)

Chart 10 – <u>Historical and Projected Revenue without Rate Card Model Compared to Historical and Pro Forma Expenses</u>

Chart 11 – <u>Historical and Projected Revenue with Rate Card Model Compared to Historical and Pro Forma Expenses</u>

Chart 12 – Total Reserves vs. Target: Historical and Projected without Rate Card Model
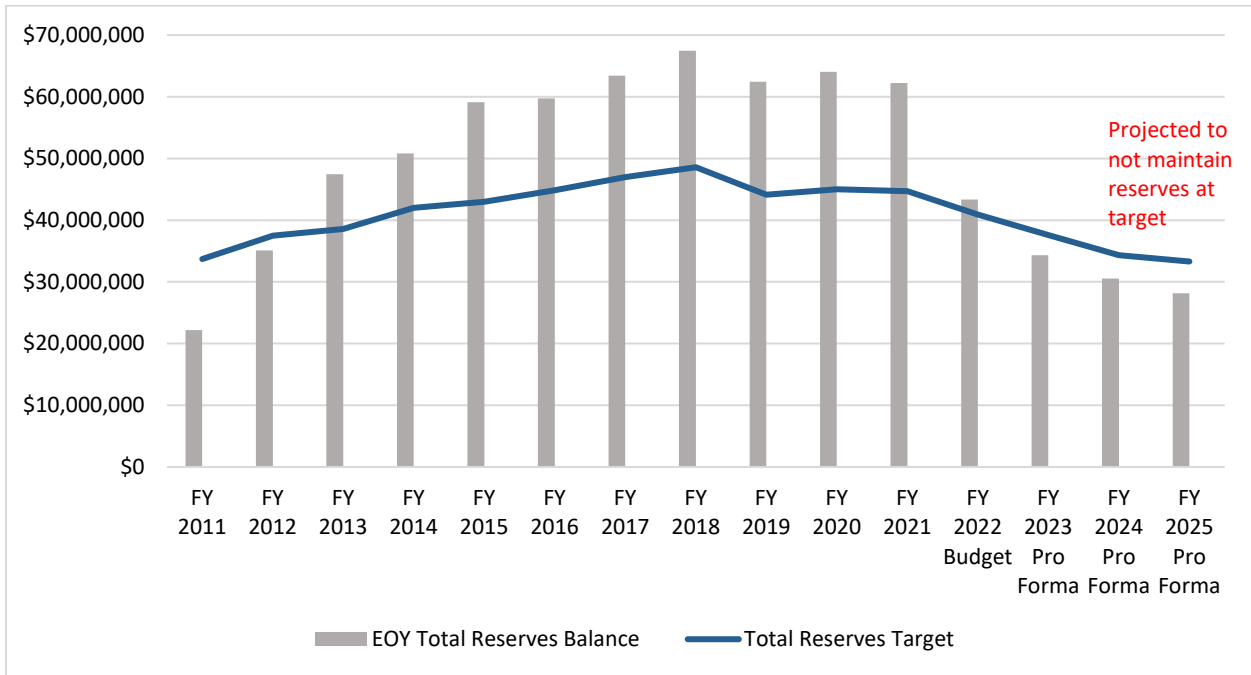

Chart 13 – Total Reserves vs. Target: Historical and Projected with Rate Card Model
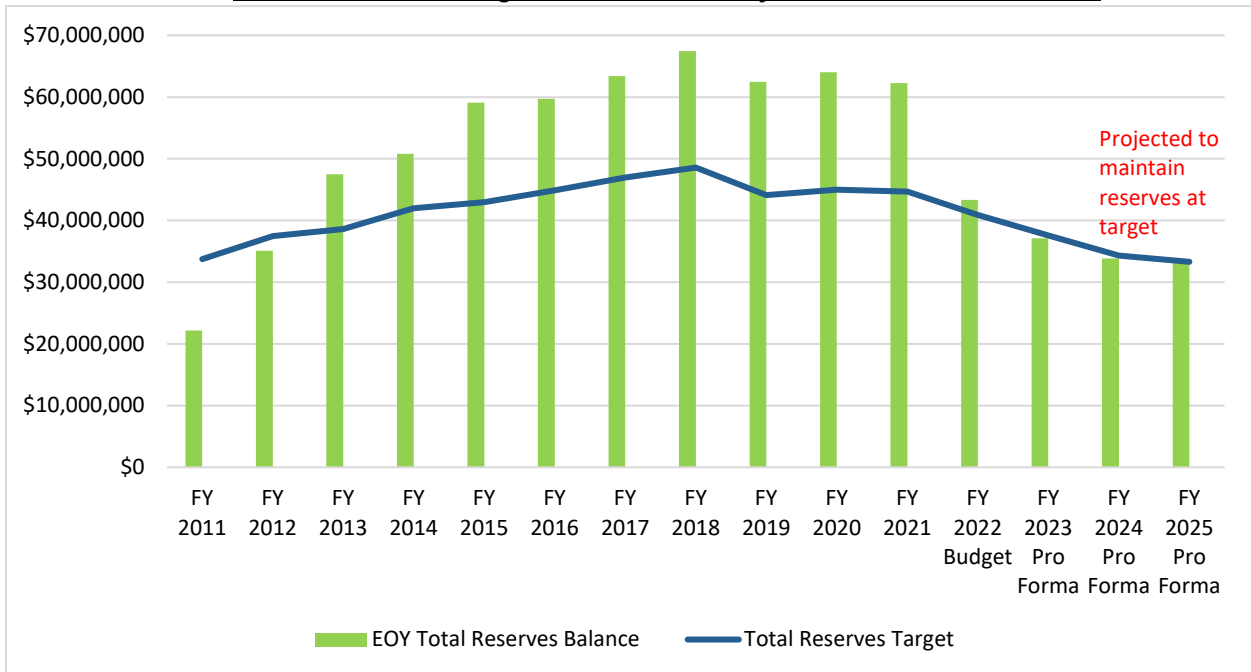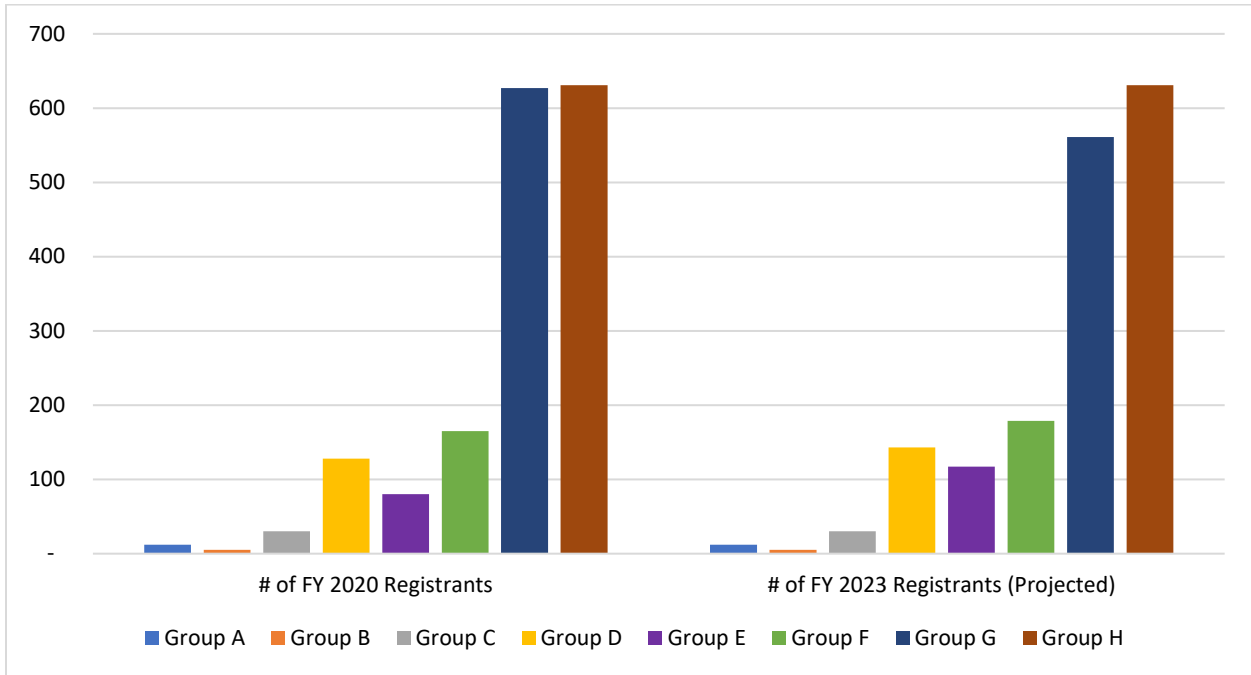
Chart 14 – <u>Distribution of Registrants by Range of Total Fees Assessed Under Current Fee Structure Compared to Projected Distribution Under the Rate Card Model (Exclusive of Late Fees and Examination Fees)</u>

Registrant Group *Total of 1678 Registrants	Registrants' Annual Assessment Range
Group A – Light Blue	$1,000,000+
Group B – Orange	$500,001-$1,000,000
Group C – Grey	$100,001 - $500,000
Group D – Yellow	$10,001 - $100,000
Group E – Purple	$5,001 - $10,000
Group F – Green	$2,501 - $5,000
Group G – Dark Blue	$1,001 - $2,500
Group H – Brown	$0 to $1,000