Instructions on How to Terminate a Notice of Exemption

For instructions on how to terminate a Notice of Exemption when an individual or entity no longer qualifies for a limited exemption from the requirements of DFS’s Cybersecurity Regulation, 23 NYCRR Part 500 (“Part 500”), pursuant to §§ 500.19(a), 500.19(c), and/or 500.19(d), see Part 1. For instructions on how to terminate a Notice of Exemption when an individual or entity qualifies for a full exemption from Part 500 pursuant to § 500.19(b), see Part 2. Information on how to qualify for each of the exemptions, as well as the remaining Part 500 requirements for each of the limited exemptions, can be found on the Cybersecurity Resource Center in the section titled “Exemptions.”

Part 1: How to File a Notice of Exemption Under §§ 500.19(a), 500.19(c), and/or 500.19(d)

1. Go to the DFS Portal which can be accessed here or in DFS’s Cybersecurity Resource Center by clicking on the yellow “DFS Portal” button on the top right corner of the website.

Once in the DFS Portal, you will see the following screen:

Enter the information requested. Click “Sign In”.

1A. If you have a DFS Portal account, skip this step. If you do not have a DFS Portal account, click the “Create Account” link shown at the bottom of the picture above. You will then see the following screen:
Enter the required information and complete the text verification. Click “Save.”

A password will be sent to the email address you provided. You can then use the password and email address you provided to sign in as instructed in Step 1.

2. Once you have signed into the DFS Portal, you will see the following screen:

Click the link under the “Cyber Security Notice” header to access the DFS cybersecurity filing system.

3. Once there, you will see the following three options:
Under the “Exemption” header, select “Begin.”

4. You will then see the following:

Select one of the four options. (If you do not have an identifying number associated with any of the 4 options on the screenshot in Step 4, go to step 5A.) Click “Next.”

5. You will then see the following screen:
Enter the individual or entity’s identifying number and click “Search.”

You will see the following:

Click “Next.”

5A. If you do not have an identifying number associated with any of the 4 options on the screenshot in Step 4, select “Help me find my entity” located on the bottom of that screenshot. You will see the following:

If you are searching for an entity, enter its name exactly as it appears on its DFS license or registration in the first text box. If you are searching for an individual, enter their first name and last names in the corresponding text boxes. Do not include blank spaces, as the system will not be able to locate your entity if you do.
Click “Search.” You will be shown a list of results, similar to the picture below:

Click on the name that matches the name of the entity or individual on whose behalf you are filing the Notice of Exemption. Click “Next.”

6. You will then see the following:

Select “I would like to remove a previously filed exemption.”
7. You will see the following notice appear below your selection:

![Exemption Status](image)

Click “Next.”

8. You will then see the following screen:

![Contact Information](image)

Fill out the information requested and check the box to affirm that you are authorized to terminate Notices of Exemption for the entity or individual on whose behalf you are filing and that the information you are submitting is accurate. Click “Submit.”

9. DFS will then send you an email, similar to the one below, with a receipt number for the person on whose behalf you filed.

![Exemption Notification](image)

For more information please visit our [website](#).
The person on whose behalf you filed will also receive a similar email with their receipt number. It is important to save the receipt number and email since neither you nor those whose Notice of Exemption is being filed will receive anything else from DFS regarding your submission.

Questions regarding these instructions and how to file should be directed to: cyberregsupport@dfs.ny.gov.
Part 2: How to File a Notice of Exemption Under § 500.19(b)

The process for filing a Notice of Exemption when an individual or entity qualifies pursuant to § 500.19(b) is similar to the one for filing a Notice of Exemption when a Person qualifies pursuant to §§ 500.19(a), (c), and/or (d). However, filing pursuant to § 500.19(b) requires you to provide information about the Covering Entity whose cybersecurity program is being relied upon.


7. You will see a screen as shown below:

Select § 500.19(b).

8. The section at the bottom of the page will change to look like the following:
Click “Find/Choose my covering entity” and then click “Next”.

9. You will see the following popup window:

Enter the information for the entity whose cybersecurity policy you, or the individual or entity on whose behalf you are filing, is following. Click “Search.”

10. You will then be shown a list of results, similar to the picture below:
Click the one that corresponds with the entity whose cybersecurity program you, or the person on whose behalf you are filing, is following.

11. You will then see the following:
Enter the information for a person at the Covering Entity that DFS can contact to confirm coverage.

Check the box to certify that you understand DFS may verify the information provided and that the individual or entity on whose behalf you are filing is entitled to the exemption. Click “Next”.

12. You will then see the following screen:

Fill out the information requested and check the box to affirm that you are authorized to submit the Notice of Exemption for the entity or individual on whose behalf you are filing and that the information you are submitting is accurate. Click “Submit.”

13. DFS will then send you an email, similar to the one below, with a receipt number for the person on whose behalf you filed.

The person on whose behalf you filed will also receive a similar email with their receipt number. It is important to save the receipt number and email since neither you nor those whose Notice of Exemption is being filed will receive anything else from DFS regarding your submission.

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