



## Instructions for Amending a Notice of Exemption

### Pursuant to DFS's Cybersecurity Regulation, 23 NYCRR Part 500 (as of November 1, 2023)

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These instructions are divided into four parts. All those looking to amend a Notice of Exemption must complete Part 1, and then one of the other three Parts below. Whether you need to complete Parts 2, 3, or 4 depends on the type of exemption for which you now qualify (or for which the Covered Entity on whose behalf you are filing now qualifies.) If you now qualify for a limited exemption pursuant to §§ 500.19(a), 500.19(c), and/or 500.19(d), complete Part 2. If you now qualify for a full exemption pursuant to § 500.19(b), complete Part 3. If you now qualify for a full exemption pursuant to § 500.19(e), complete Part 4.

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](#) under the section titled “Exemptions.”

#### **Part 1: Sign Into or Create Your DFS Portal Account**

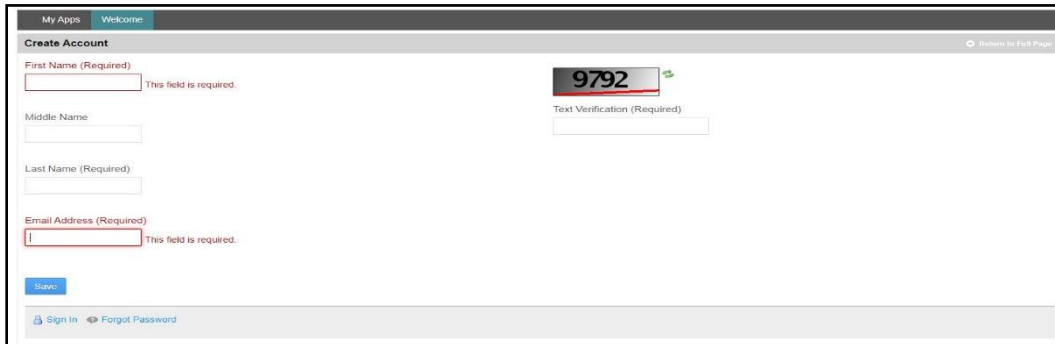
Step 1. Go to the DFS Portal, which can be accessed at [myportal.dfs.ny.gov](https://myportal.dfs.ny.gov) or by clicking on the yellow “DFS Portal” button on the top right corner of the DFS website.

On the DFS Portal, you will be prompted to sign into your account.

Step 2. If you have a DFS Portal account, enter your login information and click “Sign In.”

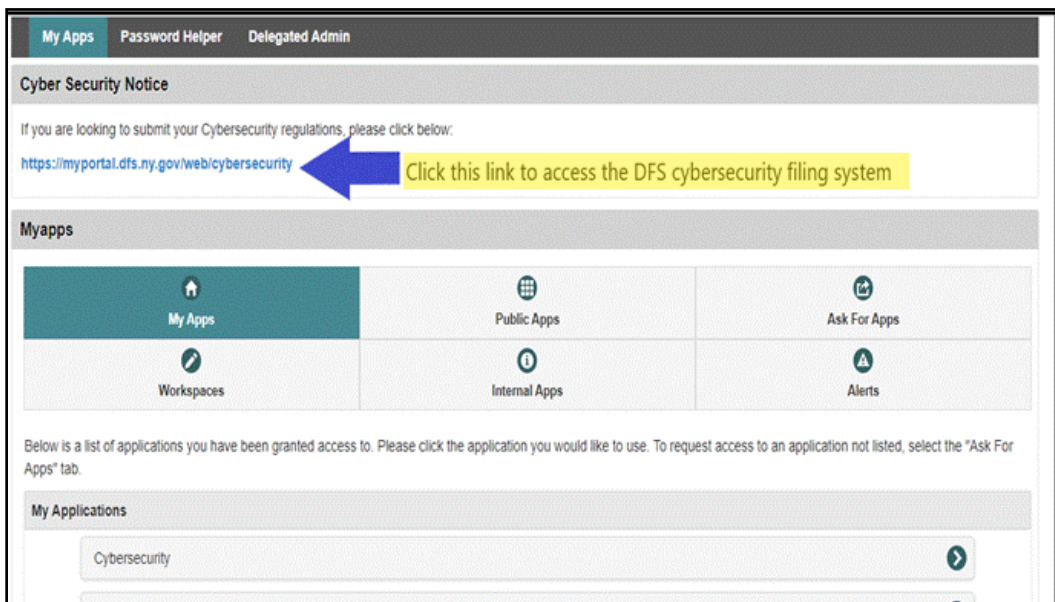
If you do not have a DFS Portal account, click the “Create Account” link at the bottom of the page. Enter your information, complete the text verification, and click save.

A password will be sent to the email address you provided. You can then use the password and email address you provided to sign into the DFS Portal.



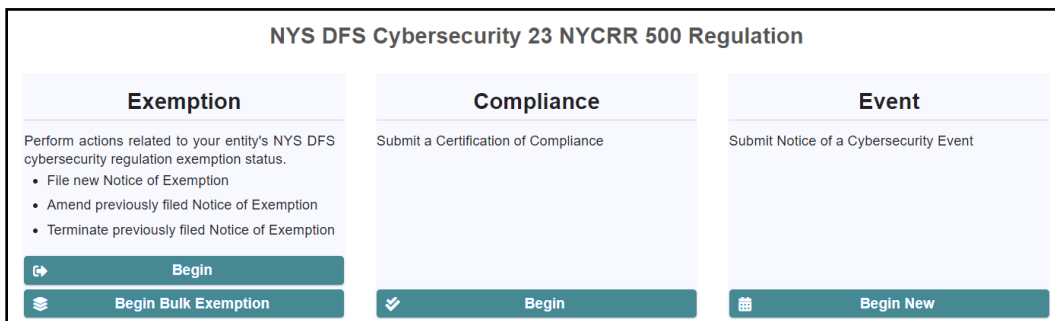
The screenshot shows the 'Create Account' page in the DFS Portal. It features a form with the following fields: 'First Name (Required)', 'Middle Name', 'Last Name (Required)', and 'Email Address (Required)'. Each field has a red border and the text 'This field is required.' below it. To the right of the form is a 'Text Verification (Required)' section showing a green box with the number '9792' and a corresponding input field. At the bottom left of the form is a blue 'Save' button. At the bottom of the page are links for 'Sign In' and 'Forgot Password'.

Step 3. Once you have signed into the DFS Portal, click the link under the “Cybersecurity Notice” header to access the DFS cybersecurity filing system.



The screenshot shows the 'Cyber Security Notice' page in the DFS Portal. At the top, there are navigation tabs for 'My Apps', 'Password Helper', and 'Delegated Admin'. Below the header, the text reads: 'If you are looking to submit your Cybersecurity regulations, please click below:'. A blue arrow points to a link: <https://myportal.dfs.ny.gov/web/cybersecurity>. A yellow callout box with the text 'Click this link to access the DFS cybersecurity filing system' is positioned over the link. Below this is a 'Myapps' section with a grid of application tiles: 'My Apps', 'Public Apps', 'Ask For Apps', 'Workspaces', 'Internal Apps', and 'Alerts'. At the bottom, there is a section titled 'My Applications' with a 'Cybersecurity' application listed.

Step 4. After you click on the link, you will see the following three options: Exemption, Compliance, and Event. Under the Exemption header, select “Begin.”



The screenshot shows the 'NYS DFS Cybersecurity 23 NYCRR 500 Regulation' page. It is divided into three columns: 'Exemption', 'Compliance', and 'Event'.  
- The 'Exemption' column has the text: 'Perform actions related to your entity's NYS DFS cybersecurity regulation exemption status.' and a list of actions: 'File new Notice of Exemption', 'Amend previously filed Notice of Exemption', and 'Terminate previously filed Notice of Exemption'. Below this are two buttons: 'Begin' and 'Begin Bulk Exemption'.  
- The 'Compliance' column has the text: 'Submit a Certification of Compliance'. Below this is a 'Begin' button.  
- The 'Event' column has the text: 'Submit Notice of a Cybersecurity Event'. Below this is a 'Begin New' button.

Step 5. You will then be provided with options to find your entity. Click an option to identify the individual or entity on whose behalf you are filing and click “Next.”

If you do not have an identifying number for any of the listed options, go to Step 7 in the instructions.

The screenshot shows a web interface for finding an entity. At the top, there are navigation tabs: "Find My Entity" (selected), "Find My Entity (Cont)", "Exemption Status", "Contact Info", and "Done". Below the tabs is a heading: "Choose one of the following options to identify the individual or entity on whose behalf you are filing. If you do NOT have a number for any of the listed options, select "Help find the entity or individual on whose behalf you are filing.""

There are four main categories, each with a checkbox and a list of professions:

- NYS License Number**
  - Adjusters
  - Bail Bond Agents
  - Brokers
  - Budget Planners
  - Check Cashers
  - Licensed Agents
  - Licensed Lenders
  - Life Settlement Brokers
  - Money Transmitters
  - Premium Finance Agencies
  - Sales Finance Companies
  - Service Contract Providers
  - Trust Companies
  - Virtual Currency
- NAIC/NY Entity Number**
  - Continuing Care Retiring Community
  - Employee Welfare Funds and Retirement Systems
  - Fraternal Benefit Societies
  - Health Maintenance Organizations
  - Managed Long Term Care Plans
  - Municipal Cooperative Health Benefit Plan
  - NYS Licensed Insurance Companies
  - Prepaid Health Services Plan
  - Rate Service Organizations
  - Student Health Plan
- NMLS Number**
  - Budget Planners
  - Check Cashers
  - Licensed Lenders
  - Money Transmitters
  - Mortgage Institutions/Loan Originators
  - Premium Finance Agencies
  - Sales Finance Companies
  - Student Loan Servicers
  - Virtual Currency Licensees
- Institution Number**
  - All Banking Institutions
  - Consumer Credit Reporting Agencies
  - Trust Companies

At the bottom left, there is a link: "Help find the entity or individual on whose behalf you are filing". At the bottom right, there is a "Next >" button.

Step 6. You will then enter the individual or entity’s identifying number and click “Search.” Select the entity name and click “Next.”

The screenshot shows a web interface for entering entity information. At the top, there are navigation tabs: "Find My Entity", "Find My Entity (Cont)" (selected), "Exemption Status", "Contact Info", and "Done". Below the tabs is a heading: "Enter Entity Information".

The main content area contains the following text: "Enter the **identification** number of the individual or entity on whose behalf you are filing. If you plan to file an exemption pursuant to § 500.19(b), do NOT enter the name of the covered entity whose cybersecurity program the individual or entity is covered by. That information will be requested later in this process."

Below the text is a text input field containing "XXXXXXXX".

Below the input field is a "Search" button with a magnifying glass icon.

Below the search button is a horizontal line.

Below the line is the following text: "The following entity or individual has been found, and if you are filing on their behalf, you may continue by clicking 'Next'. Please carefully review the entity information listed below to ensure you select the correct information."

Below this text is a text input field containing "Entity Name".

At the bottom left, there is a "< Back" button. At the bottom right, there is a "Next >" button.

Step 7. If you do not have an identifying number associated with any of the four options provided, select “Help find the entity or individual on whose behalf you are filing” located at the bottom of the page.

You can then search by entity or individual name. If you are searching for an entity, enter its name in the first text box and click “Search.” If you are searching for an individual, enter their first name and last name in the corresponding text boxes and click “Search.” Do not include blank spaces, as the system will not be able to locate your entity if you do.

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

Enter the name of the entity on whose behalf you are filing OR the first and last name of the individual on whose behalf you are filing.  
If you plan to file an exemption pursuant to § 500.19(b), do NOT enter the name of the covered entity whose cybersecurity program the individual or entity is relying upon. That information will be requested later in this process.

Entity name:

OR (If Individual)

First Name:

Last Name:

Please carefully review the search results before making a selection

Entity Name Identification #	Entity Name Identification #	Entity Name Identification #
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Showing 3 results

If you cannot find the individual or entity on whose behalf you are filing by performing a search and do not know their identifying number, then please reach out to your DFS contact. Insurance agents and brokers can visit <https://myportal.dfs.ny.gov/nylinxext/elsearch.alice> to find their NYS license number.

Step 8. On the Exemption Status page, select the second option: “The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.” Then click “Next.”

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Please choose from the following:

This is the first submission regarding an exemption for the individual or entity on whose behalf you are filing.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they would like to terminate all previously filed exemptions.

## Next Steps:

- If you, the individual, or the entity on whose behalf you are filing now qualify for a limited exemption pursuant to §§ 500.19(a), 500.19(c), and/or 500.19(d), complete **Part 2** of these instructions.
- If you, the individual, or the entity on whose behalf you are filing now qualify for a full exemption pursuant to § 500.19(b), complete **Part 3** of these instructions.
- If you, the individual, or the entity on whose behalf you are filing now qualify for a full exemption pursuant to § 500.19(e), complete **Part 4** of these instructions.

## **Part 2: Amending a Notice of Exemption if You Now Qualify for a Limited Exemption Pursuant to §§ 500.19(a), 500.19(c), and/or 500.19(d)**

Before completing Part 2, complete Steps 1 – 8 in the Part 1 instructions.

Step 9. A list of exemptions will appear under your selection on the Exemption Status page. Check the box next to the limited exemption(s) for which you, the individual, or the entity on whose behalf you are filing now qualifies.

If you qualify for limited exemptions, you may check more than one limited exemption box, as applicable.

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Please choose from the following:

This is the first submission regarding an exemption for the individual or entity on whose behalf you are filing.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they would like to terminate all previously filed exemptions.

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If you qualify for limited exemptions, you may check more than one limited exemption box, as applicable. If you qualify for a full exemption, you should only check one of the full exemption boxes listed below.

In accordance with 23 NYCRR § 500.19(f), **Entity Name** hereby provides notice that **Entity Name** qualifies for the following Exemption(s) under 23 NYCRR § 500.19: ?

A. Limited Exemptions	B. Full Exemptions
<input type="checkbox"/> 500.19(a)(1)	<input type="checkbox"/> 500.19(b)
<input type="checkbox"/> 500.19(a)(2)	<input type="checkbox"/> 500.19(e)
<input type="checkbox"/> 500.19(a)(3)	
<input type="checkbox"/> 500.19(c)	
<input type="checkbox"/> 500.19(d)	

The individual or entity on whose behalf you are filing is responsible for maintaining documentation sufficient to demonstrate that it qualifies for any exemptions claimed; as such the individual or entity may be asked to provide that documentation to the Department.

[< Back](#) [Next >](#)

Check the box at the bottom of the page to certify that you understand exemptions under §§ 500.19(a), 500.19(c), and 500.19(d) are limited exemptions and require compliance with certain requirements of the regulation, including among other things, the requirement to file annually either a Certification of Material Compliance or Acknowledgment of Noncompliance, and then click “Next.”

You can find detailed information regarding [Exemptions](#) and [Cybersecurity-related Filings](#) on the [Cybersecurity Resource Center](#).

**Further Action Required** - Exemptions under §§ 500.19(a)(1-3), (c) and (d) are **limited exemptions** and Covered Entities and licensed individuals must still comply with certain requirements of the regulation, including, among other things, the requirement to file annually either a Certification of Compliance or Acknowledgment of Noncompliance.

I have read and understand the information above\*

[< Back](#) [Next >](#)

Step 10. You will then be prompted to fill out the contact information form. Fill out the requested information, and then check the box to affirm that the Notice of Exemption is accurate and click “Submit.”

Find My Entity | Find My Entity (Cont) | Exemption Status | **Contact Info** | Done

**Enter Contact Information**

Please note the person filing may not be the same as the individual or entity on whose behalf they are filing.

Name of Person filing the exemption: \*

Title of the Person filing the exemption: \*

Phone Number of the Person filing the exemption: \*

Email Address of the Person filing the exemption: \*

I swear or affirm that the Notice of Exemption is accurate.\*

[< Back](#) [Submit ↗](#)

Step 11. DFS will send an email with a receipt number for the individual or entity on whose behalf you filed.

EXEMPTION NOTIFICATION - NYS Department of Financial Services Cybersecurity Exemption Notification Receipt

 noreply@dfs.ny.gov  
To

[Reply](#) [Reply All](#) [Forward](#) [...](#)

**Entity Name**

The NYS Department of Financial Services has received your Cybersecurity Notice of Exemption. This is the only receipt and confirmation of this filing that you will receive. Please keep a copy of the below receipt number for your records.

Receipt Number: **Receipt Number**

Please Note: ACTION IS STILL REQUIRED. The exemption(s) you submitted are limited exemptions that exempt from certain provisions of the regulation. Any Covered Entities and licensed persons exempt under these sections are required to maintain a cybersecurity program and file an annual Certification of Compliance to confirm compliance with the provisions of the regulation that apply to the Covered Entity. See the Cybersecurity FAQs on the DFS [website](#) for more information.

For more information please visit our [website](#)

**IMPORTANT: ALL RECIPIENTS SHOULD SAVE A COPY OF THE RECEIPT FOR THEIR RECORDS. THIS IS THE ONLY CONFIRMATION THAT DFS WILL PROVIDE.**

Questions regarding these instructions and how to file should be directed to [cyberregsupport@dfs.ny.gov](mailto:cyberregsupport@dfs.ny.gov).

### **Part 3: Amending a Notice of Exemption if You Now Qualify for a Full Exemption Pursuant to § 500.19(b)**

Before completing Part 3, complete Steps 1 – 8 in the Part 1 instructions.

Step 9. A list of exemptions will appear under your selection on the Exemption Status page.

Check the box next to the § 500.19(b) exemption if you, the individual, or the entity on whose behalf you are filing now qualifies for this exemption.

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

**Please choose from the following:**

This is the first submission regarding an exemption for the individual or entity on whose behalf you are filing.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.

The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they would like to terminate all previously filed exemptions.

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If you qualify for limited exemptions, you may check more than one limited exemption box, as applicable. If you qualify for a full exemption, you should only check one of the full exemption boxes listed below.

In accordance with 23 NYCRR § 500.19(f), **Entity Name** hereby provides notice that **Entity Name** qualifies for the following Exemption(s) under 23 NYCRR § 500.19: ?

A. Limited Exemptions	B. Full Exemptions
<input type="checkbox"/> 500.19(a)(1)	<input checked="" type="checkbox"/> 500.19(b)
<input type="checkbox"/> 500.19(a)(2)	<input type="checkbox"/> 500.19(e)
<input type="checkbox"/> 500.19(a)(3)	
<input type="checkbox"/> 500.19(c)	
<input type="checkbox"/> 500.19(d)	

The individual or entity on whose behalf you are filing is responsible for maintaining documentation sufficient to demonstrate that it qualifies for any exemptions claimed; as such the individual or entity may be asked to provide that documentation to the Department.

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Step 10. Select which of the following applies with respect to the Covered Entity for which you are filing:

- (1) An employee, agent, representative, or designee of a Covered Entity regulated by the Department.
- (2) A wholly owned subsidiary of a Covered Entity regulated by the Department.

If you select option 1, go to Step 11. If you select option 2, go to Step 15.

**Please select which of the following applies with respect to the Covered Entity you are filing for: \***

(1) an employee, agent, representative or designee of a Covered Entity regulated by the Department

(2) a wholly owned subsidiary of a Covered Entity regulated by the Department

Step 11. If you indicated through option 1 that you're filing for an employee, agent, representative, or designee of a Covered Entity regulated by the Department, click "Select My Covering Entity."

Please select which of the following applies with respect to the Covered Entity you are filing for: \*

(1) an employee, agent, representative or designee of a Covered Entity regulated by the Department

(2) a wholly owned subsidiary of a Covered Entity regulated by the Department

Please select the name of the Covering Entity, which is the Covered Entity whose Cybersecurity Program is being used. Name must be different from the employee, agent, representative or designee.

Click "Select My Covering Entity" button to choose the Covering Entity.

[Select My Covering Entity](#)

[Back](#) [Next](#)

Step 12. A pop-up will appear requesting the name of the Covering Entity being used. Type the entity name and click "Search."

**Name of Covering Entity whose Cybersecurity Program is being used**

Enter the name of the Covering Entity.

Entity name:

OR (If Individual)

First Name:

Last Name:

[Search](#)

If you cannot find the Covering Entity by performing a search and do not know the identifying number for the Covering Entity, please reach out to your Covering Entity to obtain the information. For more detailed information regarding § 500.19(b) exemptions, please see the [Cybersecurity Resource Center](#).

Step 13. Click on the result that corresponds with the entity whose cybersecurity program you, or the person on whose behalf you are filing, is following.

Entity name:

OR (If Individual)

First Name:

Last Name:

[Search](#)

Please carefully review the search results before making a selection

Entity Name Identification #	Entity Name Identification #	Entity Name Identification #
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Step 14. Enter the information for an individual at the Covering Entity that DFS can contact to confirm coverage. Click the box to certify that all the entered information is accurate and click “Next.”

Then go to Step 19 below to enter the contact information of the individual submitting the filing.

Please select which of the following applies with respect to the Covered Entity you are filing for: \*

(1) an employee, agent, representative or designee of a Covered Entity regulated by the Department

(2) a wholly owned subsidiary of a Covered Entity regulated by the Department

Please select the name of the Covering Entity, which is the Covered Entity whose Cybersecurity Program is being used. Name must be different from the employee, agent, representative or designee.

Click “Select My Covering Entity” button to choose the Covering Entity.

Contact at Covering Entity who can confirm coverage.

First Name: \*

Last Name: \*

Email Address: \*

Phone Number: \*

I certify that the information listed above is accurate.

Step 15. If you indicated through option 2 that you’re filing for a wholly owned subsidiary of a Covered Entity regulated by the Department, click “Select My Parent Company.”

Please select which of the following applies with respect to the Covered Entity you are filing for: \*

(1) an employee, agent, representative or designee of a Covered Entity regulated by the Department

(2) a wholly owned subsidiary of a Covered Entity regulated by the Department

Please select the name of the parent company (Parent Company must also be a Covered Entity regulated by the Department).

Click “Select My Parent Company” button to choose a parent company that is also a Covered Entity.

Step 16. A pop-up will appear requesting the name of the Parent Company whose cybersecurity program is being used. Type the entity name and click “Search.”

Name of the Parent Company whose Cybersecurity Program is being used

Enter the name of the Parent Company.

Entity name:

OR (if Individual)

First Name:

Last Name:

Step 17. Click on the result that corresponds with the Parent Company whose cybersecurity program is being used.

**Name of the Parent Company whose Cybersecurity Program is being used**

Enter the name of the Parent Company.

Entity name:

OR (If Individual)

First Name:

Last Name:

**Results**

Entity Name Identification #	Entity Name Identification #	Entity Name Identification #
Entity Name Identification #		

Step 18. Enter the information for an individual at the Parent Company who can confirm coverage. Click the box to certify that all the entered information is accurate and click “Next.”

Please select which of the following applies with respect to the Covered Entity you are filing for: \*

(1) an employee, agent, representative or designee of a Covered Entity regulated by the Department

(2) a wholly owned subsidiary of a Covered Entity regulated by the Department

Please select the name of the parent company (Parent Company must also be a Covered Entity regulated by the Department).

Click “Select My Parent Company” button to choose a parent company that is also a Covered Entity.

Contact at Parent Company who can confirm coverage.

First Name: \*

Last Name: \*

Email Address: \*

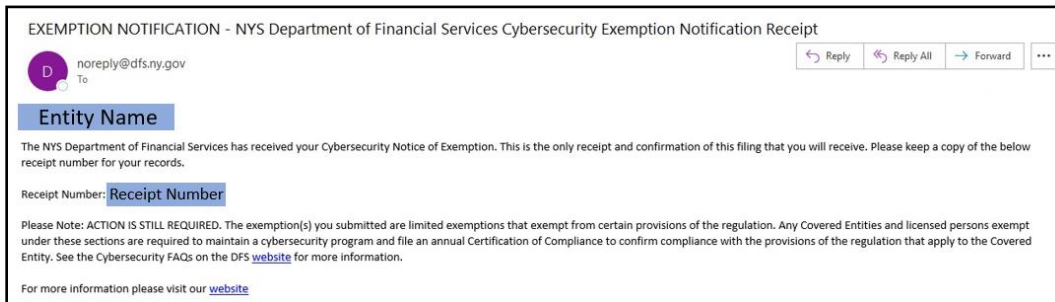
Phone Number: \*

I certify that the information listed above is accurate.

Step 19. On the next screen, fill out the information requested, then check the box to affirm the Notice of Exemption is accurate and click “Submit.”

The screenshot shows a web interface with a navigation bar at the top containing buttons for 'Find My Entity', 'Find My Entity (Cont)', 'Exemption Status', 'Contact Info' (which is highlighted), and 'Done'. Below the navigation bar is a form titled 'Enter Contact Information'. The form includes a note: 'Please note the person filing may not be the same as the individual or entity on whose behalf they are filing.' It contains four text input fields: 'Name of Person filing the exemption: \*', 'Title of the Person filing the exemption: \*', 'Phone Number of the Person filing the exemption: \*', and 'Email Address of the Person filing the exemption: \*'. At the bottom of the form is a checkbox labeled 'I swear or affirm that the Notice of Exemption is accurate.\*'. Navigation buttons for '< Back' and 'Submit' are located at the bottom of the form area.

20. DFS will then send an email with a receipt number for the individual or entity on whose behalf you filed.



**IMPORTANT: ALL RECIPIENTS SHOULD SAVE A COPY OF THE RECEIPT FOR THEIR RECORDS. THIS IS THE ONLY CONFIRMATION THAT DFS WILL PROVIDE.**

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#### **Part 4: Amending a Notice of Exemption if You Now Qualify for a Full Exemption Pursuant to § 500.19(e)**

Before completing Part 4, complete Steps 1 – 8 in the Part 1 instructions.

Step 9. A list of exemptions will appear under your selection on the Exemption Status page. Check the box next to the § 500.19(e) exemption if you, the individual, or the entity on whose behalf you are filing now qualifies for this exemption. Check the box certifying that the Covered Entity is entitled to the exemption and then click “Next.”

If you qualify for limited exemptions, you may check more than one limited exemption box, as applicable. If you qualify for a full exemption, you should only check one of the full exemption boxes listed below.

In accordance with 23 NYCRR § 500.19(f), **Entity Name** hereby provides notice that **Entity Name** qualifies for the following Exemption(s) under 23 NYCRR § 500.19: ?

<p><b>A. Limited Exemptions</b></p> <input type="checkbox"/> 500.19(a)(1) <input type="checkbox"/> 500.19(a)(2) <input type="checkbox"/> 500.19(a)(3) <input type="checkbox"/> 500.19(c) <input type="checkbox"/> 500.19(d)	<p><b>B. Full Exemptions</b></p> <input type="checkbox"/> 500.19(b) <input checked="" type="checkbox"/> 500.19(e)
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The individual or entity on whose behalf you are filing is responsible for maintaining documentation sufficient to demonstrate that it qualifies for any exemptions claimed; as such the individual or entity may be asked to provide that documentation to the Department.

I certify that the Covered Entity is entitled to the exemption.

[< Back](#)

[Next >](#)

Step 10. You will then be prompted to fill out the contact information form. Fill out the requested information, and then check the box to affirm that the Notice of Exemption is accurate and click “Submit.”

Find My Entity | Find My Entity (Cont) | Exemption Status | **Contact Info** | Done

**Enter Contact Information**

Please note the person filing may not be the same as the individual or entity on whose behalf they are filing.

Name of Person filing the exemption: \*

Title of the Person filing the exemption: \*

Phone Number of the Person filing the exemption: \*

Email Address of the Person filing the exemption: \*


I swear or affirm that the Notice of Exemption is accurate.\*

[< Back](#)

[Submit](#)

Step 11. DFS will then send an email with a receipt number for the individual or entity on whose behalf you filed.

EXEMPTION NOTIFICATION - NYS Department of Financial Services Cybersecurity Exemption Notification Receipt

 noreply@dfs.ny.gov  
To

[Reply](#) [Reply All](#) [Forward](#) ...

**Entity Name**

The NYS Department of Financial Services has received your Cybersecurity Notice of Exemption. This is the only receipt and confirmation of this filing that you will receive. Please keep a copy of the below receipt number for your records.

Receipt Number: **Receipt Number**

Please Note: ACTION IS STILL REQUIRED. The exemption(s) you submitted are limited exemptions that exempt from certain provisions of the regulation. Any Covered Entities and licensed persons exempt under these sections are required to maintain a cybersecurity program and file an annual Certification of Compliance to confirm compliance with the provisions of the regulation that apply to the Covered Entity. See the Cybersecurity FAQs on the DFS [website](#) for more information.

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