



Instructions for Submitting an Acknowledgment of Noncompliance for Individual Licensees

Pursuant to 23 NYCRR § 500.17(b)(1)(ii)

Step 1: Sign into the DFS Portal.

Visit the DFS Portal online at myportal.dfs.ny.gov or use the yellow “DFS Portal” button at the top right corner of any page on the DFS website.

You will be prompted to sign in:

The screenshot shows the DFS Portal sign-in interface. At the top, there is a navigation bar with 'New York State Home' and links for 'Services', 'News', 'Government', and 'Local'. A 'Sign In' button is in the top right. Below this is the 'Department of Financial Services' logo and 'SECURE PORTAL' text. A 'Welcome' banner is visible. The main content area is split into two columns. The left column, titled 'Guest Applications Quick Links', lists various services like 'Bail Bonds Active Agent Listing', 'External Appeals', 'FOIL Request', 'Insurance Company Search', 'Lost Policy Finder', 'Medicare Monthly Premiums', 'NY Supplement Public Access', 'Pre-licensing Providers', 'Purchasing Groups', 'Service Contract Providers', and 'Who We Supervise'. The right column, titled 'Sign In', contains a form with 'Email Address' and 'Password' input fields, a 'Remember Me' checkbox, and a 'Sign In' button. At the bottom of the sign-in form, there are links for 'Create Account' and 'Forgot Password'.

If you have a DFS Portal account, enter your email address and password and click the “Sign In” button and go to Step 3.

If you do not have a DFS Portal account, use the “Create Account” link at the bottom of the page to create one.

Step 2: Create a Portal Account. Enter the required information, complete the text verification, and click “Save”.

The screenshot shows the 'Create Account' page of the Department of Financial Services portal. The page includes a navigation bar with 'New York State Home', 'Services', 'News', 'Government', and 'Local' links, along with a 'Sign In' button. Below the navigation bar, there are tabs for 'My Apps' and 'Welcome'. The main content area is titled 'Create Account' and contains several input fields: 'First Name (Required)', 'Middle Name', 'Last Name (Required)', and 'Email Address (Required)'. Each of these fields has a red border and the text 'This field is required.' next to it. To the right of the name fields is a 'Text Verification (Required)' section with a grid of characters and a corresponding input field. At the bottom left of the form is a blue 'Save' button. At the bottom right, there are links for 'Sign In' and 'Forgot Password'.

You will receive an email containing a password at the email address you provided. Use that password and your email address to sign into the DFS Portal.

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

The screenshot shows the 'My Apps' page of the Department of Financial Services portal. The page has a navigation bar with 'My Apps' and 'Delegated Admin' tabs. Below the navigation bar, there is a 'Cybersecurity Notice' section with the text: 'To access the DFS Cybersecurity filing system, please click below:'. Below this text is a blue link: <https://myportal.dfs.ny.gov/web/cybersecurity>. A blue arrow points to this link, and a yellow box highlights the text 'Click this link to access the DFS filing system'. Below the 'Cybersecurity Notice' section is a 'Myapps' section with a grid of application tiles: 'My Apps', 'Public Apps', 'Ask For Apps', 'Workspaces', 'Internal Apps', and 'Alerts'. Below the grid, there is a text block: 'Below is a list of applications you have been granted access to. Please click the application you would like to use. To request access to an application not listed, select the "Ask For Apps" tab.' Below this text is a 'My Applications' section with a list of applications: 'Cybersecurity' and 'File Transfer 2.0'. Each application has a right-pointing arrow button next to it.

Step 4: Choose a Section. You will see three options: Submit an Exemption Filing, Submit a Compliance Filing, and Report a Cybersecurity Incident. Under **Submit a Compliance Filing**, select “Begin Acknowledgment of Noncompliance.”

Submit an Exemption Filing	Submit a Compliance Filing	Report a Cybersecurity Incident
<ul style="list-style-type: none"> Submit Notice of Exemption Amend previously filed Notice of Exemption Terminate previously filed Notice of Exemption 	<ul style="list-style-type: none"> Submit a Certification of Material Compliance Submit an Acknowledgment of Noncompliance 	<ul style="list-style-type: none"> Report Cybersecurity Incident Report Extortion Payment
Begin Exemption Submissions Begin Bulk Exemption	Begin Certification of Material Compliance Begin Acknowledgment of Noncompliance	Begin Cybersecurity Incident Report Begin Extortion Payment Report

Step 5: Identify the Entity. You will be provided with options to identify the individual or entity on whose behalf you are filing.

Select one of the option boxes and click “Next.”

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

← Back to Main Menu
Acknowledge Noncompliance

Find My Entity
Find My Entity (Cont)
Signatory Info
Submitter Info
Acknowledgment
Acknowledgment (Cont)
Other Cyber Contacts
Done

Enter Entity Information

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."

DFS 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 · DFS Licensed Insurance Companies · Municipal Cooperative Health Benefit Plan · 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

[Help find the entity or individual on whose behalf you are filing](#)

← Back
Next →

Step 6: Enter the Identifying Number. Enter the identifying number for the individual or entity and click “Search.”

← Back to Main Menu Acknowledge Noncompliance

Find My Entity Find My Entity (Cont) Signatory Info Submitter Info Acknowledgment Acknowledgment (Cont) Other Cyber Contacts

Done

Enter Entity Information

Please provide your entity's **Identification#**:

Q Search

[Help find the entity or individual on whose behalf you are filing](#)

← Back Next >

When the name of the entity or individual on whose behalf you are filing appears in the bottom half of the screen, click “Next.”

← Back to Main Menu Acknowledge Noncompliance

Find My Entity Find My Entity (Cont) Signatory Info Submitter Info Acknowledgment Acknowledgment (Cont) Other Cyber Contacts

Done

Enter Entity Information

Please provide your entity's **Identification#**:

Q Search

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.

[Help find the entity or individual on whose behalf you are filing](#)

← Back Next >

Step 7: Help Find the Entity. 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.

A set of searchable fields will appear.

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.

Entity name: All or part of the name

OR (If Individual)

First Name:

Last Name:

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 DFS license number.

You can search by entity name or individual name.

If you are searching for an entity, enter the name in the first text box and click “Search.”

If you are searching by individual, enter the first name and last name and click “Search.”

There may be more than one entity or individual with all or part of the name you enter; so, you may see more than one choice, as shown in the screen below. The image below shows two results, but there may be more depending on the name entered.

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.

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 #

Showing 2 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 DFS license number.

Choose the name of the entity or individual on whose behalf you are filing.

Step 8: Signatory Info. Click on “Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program” and the below screen will appear. Once you have filled out all of the requested information, click “Next.” (Please note: A red asterisk on the screen indicates it is a required field.)

The screenshot shows a web interface titled "Acknowledge Noncompliance". At the top left is a button labeled "Back to Main Menu". Below it is a horizontal navigation bar with buttons: "Find My Entity", "Find My Entity (Cont)", "Signatory Info" (highlighted in dark teal), "Submitter Info", "Acknowledgment", and "Acknowledgment (Cont)". Below this is another row of buttons: "Other Cyber Contacts" and "Done". The main content area contains two radio button options: "Highest-Ranking Executive and CISO/Senior Officer" (unselected) and "Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program" (selected). Below the options are four text input fields, each with a red asterisk indicating it is required: "Name of individual licensee", "Title", "Email of individual licensee", and "Phone number of individual licensee". At the bottom left is a "Back" button and at the bottom right is a "Next" button.

Step 9: Submitter Info. Fill out the requested information and click “Next.” You can change the name and email address that automatically appear in the “Submitter Name” and “Submitter Email Address” fields. (Please note: The submitter does not need to be the same individual as the signatory.)

The screenshot shows a web interface titled "Acknowledge Noncompliance". At the top left is a button labeled "Back to Main Menu". Below it is a horizontal navigation bar with buttons: "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info" (highlighted in dark teal), "Acknowledgment", and "Acknowledgment (Cont)". Below this is another row of buttons: "Other Cyber Contacts" and "Done". The main content area has a header "Enter Submitter Information" in a grey box. Below it are four text input fields, each with a red asterisk indicating it is required: "Submitter Name", "Submitter Title", "Submitter Phone Number", and "Submitter Email Address". At the bottom left is a "Back" button and at the bottom right is a "Next" button.

Step 10: Acknowledgment. If the individual licensee qualifies for any limited exemptions, check all applicable boxes corresponding to the exemptions for which such individual licensee qualifies. If the individual licensee does not qualify for any limited exemptions, do not check any of the boxes. You can find detailed information about exemptions on the [Cybersecurity Resource Center: Part 500 Exemptions](#).

[← Back to Main Menu](#)

Acknowledge Noncompliance

[Find My Entity](#) [Find My Entity \(Cont\)](#) [Signatory Info](#) [Submitter Info](#) **[Acknowledgment](#)** [Acknowledgment \(Cont\)](#)

[Other Cyber Contacts](#) [Done](#)

Individual Licensee acknowledges that:

(1) I qualify for the following limited exemptions (check all applicable exemptions below), if any.

- Section 500.19(a)(1)
- Section 500.19(a)(2)
- Section 500.19(a)(3)
- Section 500.19(c)
- Section 500.19(d)

When determining whether you qualify for any Section 500.19(a) exemptions, you must take into account the number of employees, gross annual revenue, and assets of Affiliates. The definition of "Affiliate" is defined very broadly in Section 500.1(a) to include almost all related companies.

(2) I did not materially comply with the requirements in Part 500 applicable to me for 2023 .

[← Back](#) [Next >](#)

Step 11: Acknowledgment (Cont). If you did not select any limited exemptions, a screen similar to the one below appears. If you selected limited exemptions, you will see fewer sections.

← Back to Main Menu

Acknowledge Noncompliance

Find My Entity Find My Entity (Cont) Signatory Info Submitter Info Acknowledgment Acknowledgment (Cont)

Other Cyber Contacts Done

Covered Entity did not comply with the following section(s) (or portions thereof):

Select all that apply, then complete the additional sections below

- Section 500.2 Cybersecurity program
- Section 500.3 Cybersecurity policy
- Section 500.4 Cybersecurity governance
- Section 500.5 Vulnerability management
- Section 500.6 Audit trail
- Section 500.7 Access privileges and management
- Section 500.8 Application security
- Section 500.9 Risk assessment
- Section 500.10 Cybersecurity personnel and intelligence
- Section 500.11 Third-party service provider security policy
- Section 500.12 Multi-factor authentication
- Section 500.13 Asset management and data retention requirements
- Section 500.14 Monitoring and training
- Section 500.15 Encryption of nonpublic information
- Section 500.16 Incident response and business continuity management
- Section 500.17 Notices to superintendent

By checking this box, the submitter certifies that they are authorized to submit this Acknowledgment on behalf of **Covered Entity** and the information above is accurate to the best of their knowledge.

← Back Next →

Select the sections the individual licensee did not materially comply with during calendar year 2023.

For each section the individual licensee did not materially comply with, a text box similar to the one below appears. Describe the nature and extent of noncompliance in the text box. Then, indicate whether remediation was completed. Click “Yes” if remediation was completed. Otherwise, click “No.”

Section 500.2 Cybersecurity program

Describe the nature and extent of noncompliance for Section 500.2 Cybersecurity program

Has remediation been completed for Section 500.2 Cybersecurity program?

Yes No

Provide the date you expect remediation to be completed for Section 500.2 Cybersecurity program. The Department may follow up with you to get a more detailed remediation timeline.

If remediation was not completed, enter the date you expect remediation to be completed. Then, check the box at the bottom of the page click “Next” to advance to the next screen.

Step 12: Other Cyber Contacts. From time to time, DFS sends updates with cybersecurity developments, recommendations, and compliance deadlines. Please enter contact information for any other individuals (besides the ones whose names and email addresses you have already entered) who should receive cybersecurity communications from DFS. If you do not have any additional contacts to enter, click “Submit” to proceed to the next screen.

Acknowledge Noncompliance

[← Back to Main Menu](#)
Find My Entity
Find My Entity (Cont)
Signatory Info
Submitter Info
Acknowledgment
Acknowledgment (Cont)
Other Cyber Contacts
Done

Please enter contact information for any individuals (besides the ones whose names and email addresses you have already entered) who should receive cybersecurity communications – including alerts and guidance – from DFS.

Title:

Name:

Phone:

Email:

Add Another Contact

[← Back](#)

[Submit](#)

You may add another contact by clicking “Add Another Contact.”

Add Another Contact

Title	Name	Phone	Email	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Remove

After you enter the information, click “Submit” to proceed to the next screen.

Step 13: Done. You will receive an online confirmation once the certification is successfully submitted. Please print the screen for your records.

Acknowledge Noncompliance

[← Back to Main Menu](#)
Find My Entity
Find My Entity (Cont)
Signatory Info
Submitter Info
Acknowledgment
Acknowledgment (Cont)
Other Cyber Contacts
Done

Success

You have successfully submitted an Acknowledgment of Noncompliance for Covered Entity

Receipt number: **NC-#### ###**

I acknowledge that:

(1) I qualify for the following limited exemption(s)

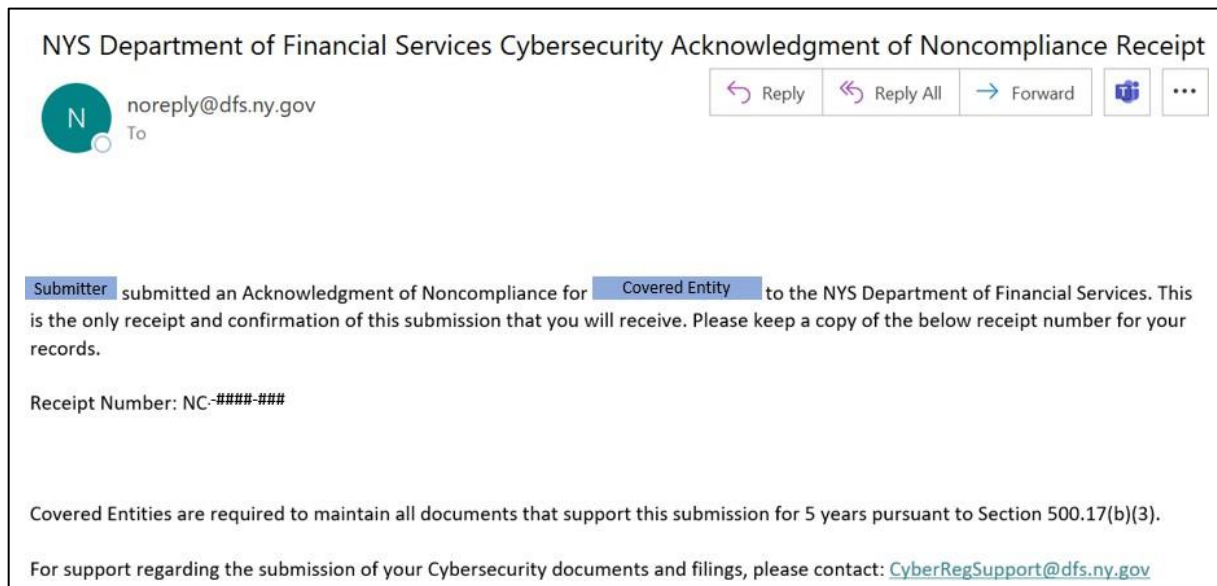
- Section 500.19(a)(1)
- Section 500.19(a)(2)
- Section 500.19(a)(3)

(2) I did not materially comply with all of the cybersecurity requirements in Part 500 applicable to me for 2023 .

- Section 500.2 Cybersecurity program

Signed by Individual Licensee
Submitted by Submitter
Date xxxx
Please note: Covered Entities are required to maintain all documents that support this submission for 5 years pursuant to Section 500.17(b)(3).

Step 14: Email Receipts. The person(s) whose email address(es) you provided in Steps 8 and 9 will receive an email with a receipt number.



IMPORTANT: SAVE A COPY OF YOUR EMAIL RECEIPT FOR YOUR RECORDS. THIS IS THE ONLY CONFIRMATION EMAIL THAT DFS WILL PROVIDE.

If you have questions regarding these instructions, you may send them to cyberregsupport@dfs.ny.gov.