



## Instructions for Submitting a Certification of Material Compliance for Entities Pursuant to 23 NYCRR § 500.17(b)(1)(i)

### Step 1: Sign into the DFS Portal.

Visit the DFS Portal online at [myportal.dfs.ny.gov](http://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 menu with 'Home', 'Services', 'News', 'Government', and 'Local'. A 'Sign In' button is located in the top right corner. The main header features the 'Department of Financial Services' logo and the text 'SECURE PORTAL'. Below the header is a 'Welcome' banner. On the left side, there is a 'Guest Applications Quick Links' menu with the following items: 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. On the right side, there is a 'Sign In' form with the following elements: 'Email Address' field, 'Password' field, a 'Remember Me' checkbox, a 'Sign In' button, and links for 'Create Account' and 'Forgot Password' at the bottom.

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 on the Department of Financial Services portal. The page includes a header with 'New York State Home', 'Services', 'News', 'Government', and 'Local' links, along with a 'Sign In' button. 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.' Below the email field is a 'Save' button. 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, 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 dashboard of the Department of Financial Services portal. The header includes 'Department of Financial Services' and 'SECURE PORTAL'. Below the header is a navigation bar with 'My Apps' and 'Delegated Admin' tabs. The main content area is titled 'Cybersecurity Notice' and contains 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 the link, and a yellow highlight box contains the text 'Click this link to access the DFS filing system'. Below the notice is a 'Myapps' section with a grid of application icons: 'My Apps', 'Public Apps', 'Ask For Apps', 'Workspaces', 'Internal Apps', and 'Alerts'. At the bottom, there is a section titled 'My Applications' with a list of applications: 'Cybersecurity' and 'File Transfer 2.0', each with a right-pointing arrow.

**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 Certification of Material Compliance.”

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

**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.

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[Find My Entity](#) [Find My Entity \(Cont\)](#) [Signatory Info](#) [Submitter Info](#) [Certification](#) [Other Cyber Contacts](#) [Done](#)

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**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](#)

[Next >](#)

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

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

**Enter Entity Information**

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

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

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

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

**Enter Entity Information**

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

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](#)

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**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 #
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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.** 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 form titled "Signatory Info" with a navigation bar at the top containing "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info", "Certification", "Other Cyber Contacts", and "Done". Below the navigation bar, there are two radio button options: "Highest-Ranking Executive and CISO/Senior Officer" (selected) and "Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program". The form contains two columns of input fields, each with a red asterisk indicating a required field. The left column includes "Highest-Ranking Executive:", "Title:", "Email:", and "Phone Number:". The right column includes "CISO, or if there is no CISO, the Senior Officer responsible for the Cybersecurity Program:", "Title:", "Email:", and "Phone Number:". At the bottom of the form, there are "Back" and "Next" buttons.

**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 form titled "Certify Material Compliance" with a navigation bar at the top containing "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info", "Certification", "Other Cyber Contacts", and "Done". Below the navigation bar, there is a section titled "Enter Submitter Information" with four input fields, each with a red asterisk indicating a required field: "Submitter Name:", "Submitter Title:", "Submitter Phone Number:", and "Submitter Email Address". At the bottom of the form, there are "Back" and "Next" buttons.

**Step 10: Certification.** Select whether your entity (1) is a Class A Company, (2) qualifies for a limited exemption, or (3) neither. If you are not sure what kind of entity you should select, you can find detailed information on [DFS’s Cybersecurity Resource Center](#) to help you. (Please note: You must check one of the three options.)

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

Highest-Ranking Executive and CISO certify that:

(1) **Covered Entity**

qualifies as a Class A Company;

does not qualify for an exemption to Part 500 or as a Class A Company; or

qualifies for the following limited exemptions (check all applicable exemptions below)

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 the Covered Entity qualifies as a Class A Company or for the 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) they have reviewed data and documentation sufficient to accurately determine and demonstrate **Covered Entity**'s material compliance with Part 500; and

(3) after such review, they have determined that **Covered Entity** materially complied with the requirements in Part 500 applicable to **Covered Entity** during the prior calendar year.

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

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If your entity qualifies for any limited exemptions, check all applicable boxes corresponding to the exemptions for which such entity qualifies. You can find detailed information about exemptions on the [Cybersecurity Resource Center: Part 500 Exemptions](#).

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

Highest-Ranking Executive and CISO certify that:

(1) **Covered Entity**

qualifies as a Class A Company;

does not qualify for an exemption to Part 500 or as a Class A Company; or

qualifies for the following limited exemptions (check all applicable exemptions below)

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 the Covered Entity qualifies as a Class A Company or for the 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) they have reviewed data and documentation sufficient to accurately determine and demonstrate **Covered Entity**'s material compliance with Part 500; and

(3) after such review, they have determined that **Covered Entity** materially complied with the requirements in Part 500 applicable to **Covered Entity** during the prior calendar year.

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

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Then, if you are authorized to submit the Certification on behalf of your entity and the information you submitted is accurate, check the box on the bottom of the page. Click “Next.”

**Step 11: 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.

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

Title	Name	Phone	Email	
Title	Name	Phone	Email	Remove

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

**Step 12: Done.** You will receive an online confirmation once the certification is successfully submitted. Please print the screen for your records.



**Step 13: 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](mailto:cyberregsupport@dfs.ny.gov).