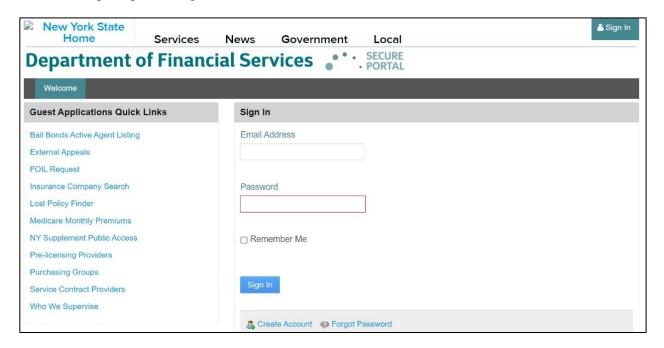


## Instructions for Submitting a Certification of Material Compliance for Entities Pursuant to 23 NYCRR § 500.17(b)(1)(i)

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

Visit the DFS Portal online at <u>myportal.dfs.ny.gov</u> 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:



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

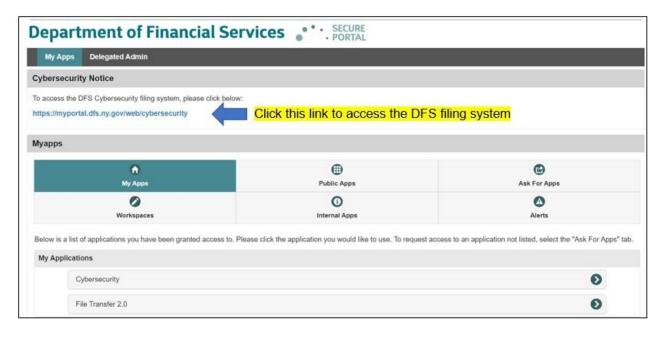
If you do not have a DFS Portal account, use the "Create Account" link at the bottom of the page to create one.

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



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.



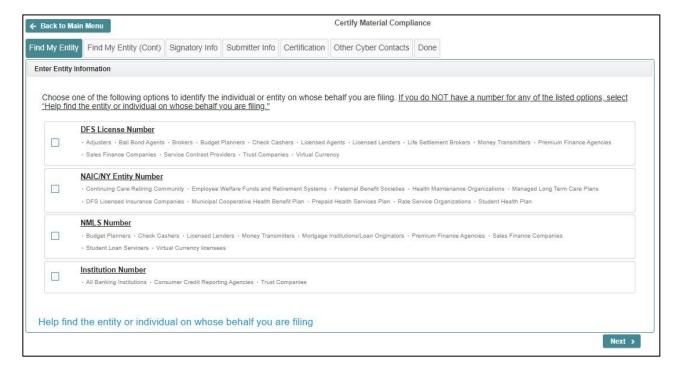
**Step 4: Choose a Section**. You will see three options: Submit an Exemption Filing, Submit a Compliance Filing, and Report a Cybersecurity Incident. Under **Submit a Compliance Filing**, select "Begin Certification of Material Compliance."



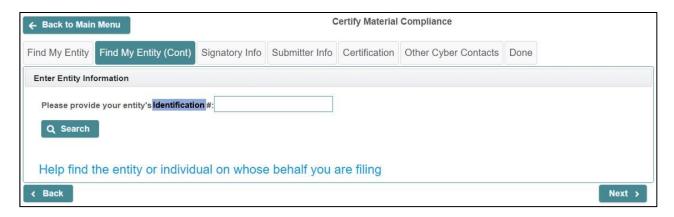
**Step 5: Identify the Entity**. You will be provided with options to identify the individual or entity on whose behalf you are filing.

Select one of the option boxes and click "Next."

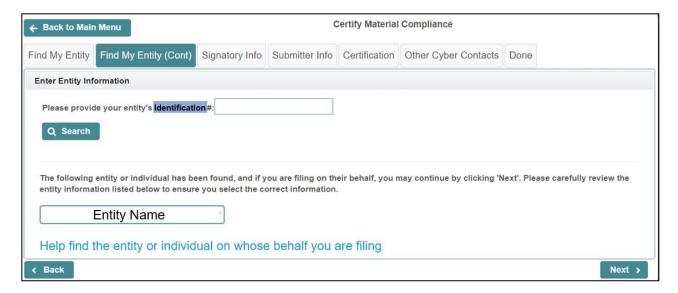
If you do not have an identifying number for any of the listed options, go to Step 7.



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

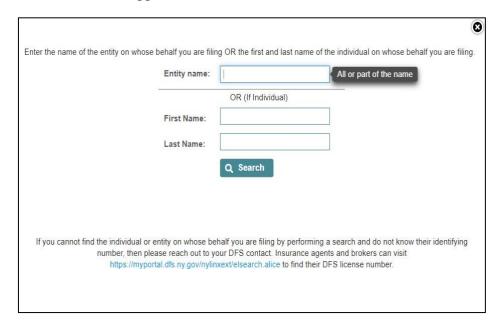


When the name of the entity or individual on whose behalf you are filing appears in the bottom half of the screen, click "Next."



**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.

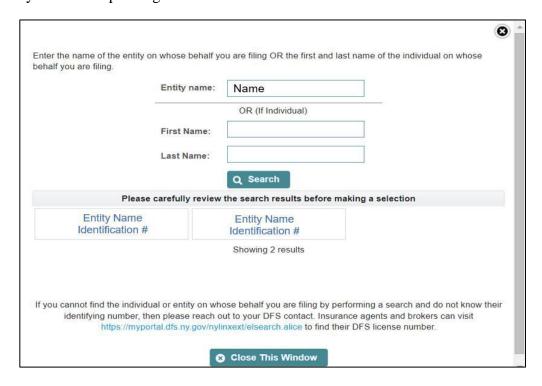


You can search by entity name or individual name.

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.

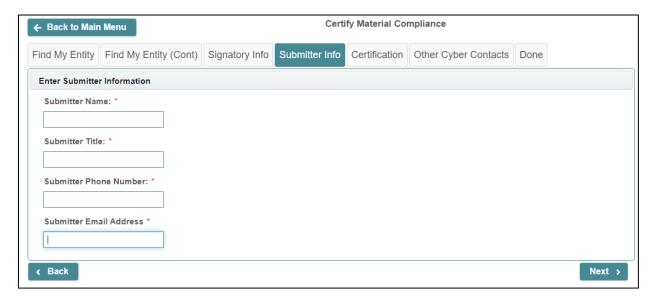


Choose the name of the entity or individual on whose behalf you are filing.

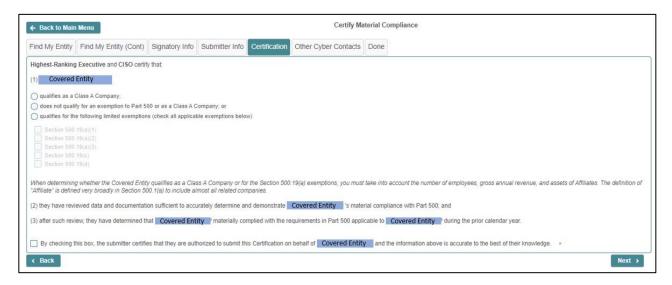
**Step 8: Signatory Info.** Once you have filled out all of the requested information, click "Next." (Please note: A red asterisk on the screen indicates it is a required field.)



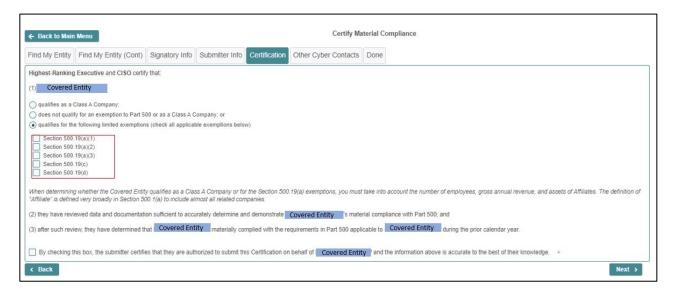
**Step 9: Submitter Info**. Fill out the requested information and click "Next." You can change the name and email address that automatically appear in the "Submitter Name" and "Submitter Email Address" fields. (Please note: The submitter does not need to be the same individual as the signatory.)



**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 <a href="https://documents.org/leasure-notes">DFS's Cybersecurity Resource Center</a> to help you. (Please note: You must check one of the three options.)

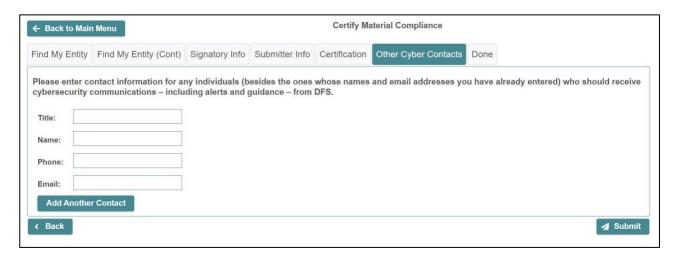


If your entity qualifies for any limited exemptions, check all applicable boxes corresponding to the exemptions for which such entity qualifies. You can find detailed information about exemptions on the Cybersecurity Resource Center: Part 500 Exemptions.



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.

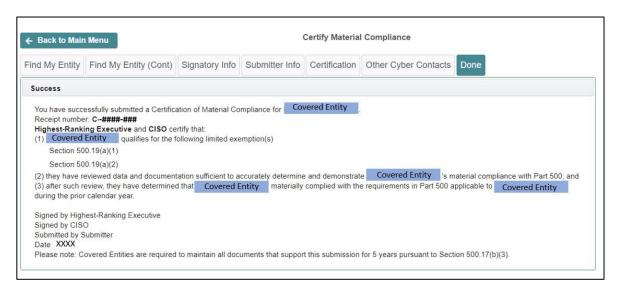


You may add another contact by clicking "Add Another Contact."

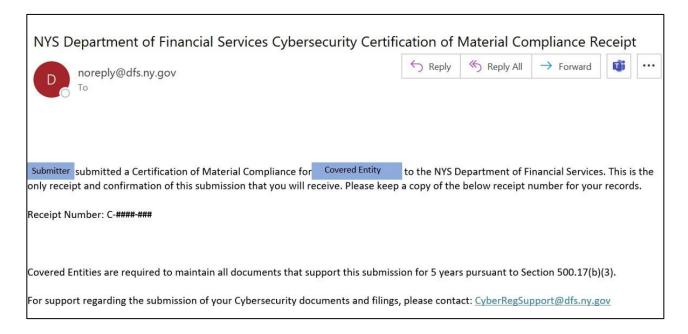


After you enter the information, click "Submit" to proceed to the next screen.

**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 <a href="mailto:cyberregsupport@dfs.ny.gov">cyberregsupport@dfs.ny.gov</a>.