



Instructions for Submitting a Certification of Material Compliance for Individual Licensees

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 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'. The main header features the 'Department of Financial Services' logo and a 'SECURE PORTAL' badge. A 'Sign In' button is located in the top right corner. Below the header, a 'Welcome' banner is displayed. The main content area is divided into two columns. The left column, titled 'Guest Applications Quick Links', lists various services such as '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 area, 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 in the Department of Financial Services portal. The page has a header with 'New York State Home' and navigation links for 'Services', 'News', 'Government', and 'Local'. Below the header is a 'My Apps' section with a 'Welcome' message. 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)'. A 'Text Verification (Required)' image with a grid and the number '746' is also present. A 'Save' button is at the bottom left, and 'Sign In' and 'Forgot Password' links are at the bottom right.

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 the 'Department of Financial Services' logo and 'SECURE PORTAL'. Below the header is a 'My Apps' section with a 'Delegated Admin' message. The main content area is titled 'Cybersecurity Notice' and contains a message: 'To access the DFS Cybersecurity filing system, please click below:'. A blue arrow points to a link: 'https://myportal.dfs.ny.gov/web/cybersecurity'. A yellow box highlights the text 'Click this link to access the DFS filing system'. Below the notice 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 'My Applications' section 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"> 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 Certification of Material Compliance	Begin Cybersecurity Incident Report
Begin Bulk Exemption	Begin Acknowledgment of Noncompliance	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.

Certify Material Compliance

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

[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 #
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 form titled "Certify Material Compliance" with a navigation bar containing buttons for "Find My Entity", "Find My Entity (Cont)", "Signatory Info" (highlighted), "Submitter Info", "Certification", "Other Cyber Contacts", and "Done". Below the navigation bar are 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). The main form area contains four required text input fields: "Name of individual licensee *", "Title *", "Email of individual licensee *", and "Phone number of individual licensee *". At the bottom of the form 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 the "Submitter Info" step of the "Certify Material Compliance" form. The navigation bar includes a "Back to Main Menu" button and buttons for "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info" (highlighted), "Certification", "Other Cyber Contacts", and "Done". The main form area is titled "Enter Submitter Information" and contains four required text input fields: "Submitter Name: *", "Submitter Title: *", "Submitter Phone Number: *", and "Submitter Email Address *". At the bottom of the form are "Back" and "Next" buttons.

Step 10: Certification. 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. Then, if you are authorized to submit the Certification on behalf of the individual licensee and the information you submitted is accurate, check the box on the bottom of the page. Click “Next.” 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

Individual Licensee certifies 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 have reviewed data and documentation sufficient to accurately determine and demonstrate my material compliance with Part 500; and

(3) after such review, I have determined that I materially complied with the requirements in Part 500 applicable to me 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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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.

Certify Material Compliance

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Find My Entity Find My Entity (Cont) Signatory Info Submitter Info Certification **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	
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.

The screenshot shows a web interface titled "Certify Material Compliance". At the top, there is a navigation bar with a "Back to Main Menu" button and several tabs: "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info", "Certification", "Other Cyber Contacts", and "Done". Below the navigation bar, a "Success" message is displayed in a light blue box. The message reads: "You have successfully submitted a Certification of Material Compliance for [Covered Entity]". Below this, it shows "Receipt number: C- ####-####". The user certifies that they qualify for limited exemptions (Section 500.19(a)(1), (2), and (3)), have reviewed data and documentation, and have determined they materially complied with Part 500 requirements. The submission is signed by an individual licensee, submitted by the submitter, and dated XXXX. A note at the bottom states: "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 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.

The screenshot shows an email receipt from the NYS Department of Financial Services. The subject line is "NYS Department of Financial Services Cybersecurity Certification of Material Compliance Receipt". The sender is "noreply@dfs.ny.gov" with a red circular profile picture containing a white letter 'D'. The email body contains the following text: "Submitter submitted a Certification of Material Compliance for [Covered Entity] to the NYS Department of Financial Services. This is the only receipt and confirmation of this submission that you will receive. Please keep a copy of the below receipt number for your records." Below this, it shows "Receipt Number: C-####-####". A note at the bottom states: "Covered Entities are required to maintain all documents that support this submission for 5 years pursuant to Section 500.17(b)(3). For support regarding the submission of your Cybersecurity documents and filings, please contact: CyberRegSupport@dfs.ny.gov". The email interface includes standard action buttons like "Reply", "Reply All", "Forward", and a "Share" icon.

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.