



Instructions for Submitting an Acknowledgment of Noncompliance for Individual Licensees

Pursuant to 23 NYCRR § 500.17(b)(1)(ii)
(as of February 25, 2025)

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:

Department of Financial Services Consumer Information Applications & Filings Industry Guidance Reports & Publications Contact Us

DFS Portal

Sign In to the DFS Portal

Your Email
Email

Your Password
Password

Remember Me

Sign In

Forgot your password? Need an account?

Forgot Password Create Account

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” button 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 “Create Account”.

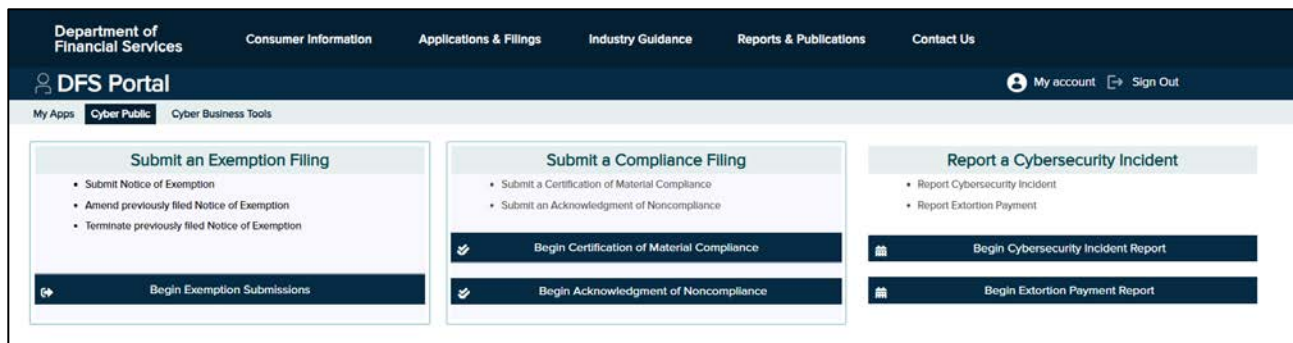
The screenshot shows the 'Sign Up for the DFS Portal' page. At the top, there is a navigation bar with links for 'Department of Financial Services', 'Consumer Information', 'Applications & Filings', 'Industry Guidance', 'Reports & Publications', and 'Contact Us'. Below this is the 'DFS Portal' header. The main content area is titled 'Sign Up for the DFS Portal' and includes the instruction 'Create an account using your email.' The form fields are: 'Your Email' (with a red asterisk), 'Email' (with a red asterisk), 'Your First Name' (with a red asterisk), 'Your Middle Name' (with a red asterisk), 'Last Name' (with a red asterisk), and 'Suffix' (with a red asterisk). There are dropdown menus for 'Prefix' and 'Suffix'. A CAPTCHA image from 'minute' is displayed with a 'Refresh CAPTCHA' link. Below the CAPTCHA is a 'Text Verification' field with a red asterisk. A 'Create Account' button is located below the text verification field. At the bottom, there are links for 'Forgot your password?' (with a 'Forgot Password' button), 'Remember Your Password?' (with a 'Sign In' button), and a 'Sign In' button.

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 “Cybersecurity” under the header “APP NAME” to enter the DFS cybersecurity filing system.

The screenshot shows the user dashboard after logging in. The top navigation bar is the same as in the sign-up page. Below the 'DFS Portal' header, there is a user profile section with 'My account' and 'Sign Out' links. A 'My Apps' section is visible, with tabs for 'My Apps', 'Delegated Admin', and 'Internal Apps'. The 'My Apps' tab is active, showing a list of applications. The list has two columns: 'APP NAME' and 'DESCRIPTION'. The first application listed is 'Cybersecurity'. Below the list, there is a button that says 'Click "Request Apps" to access more DFS Portal Apps'.

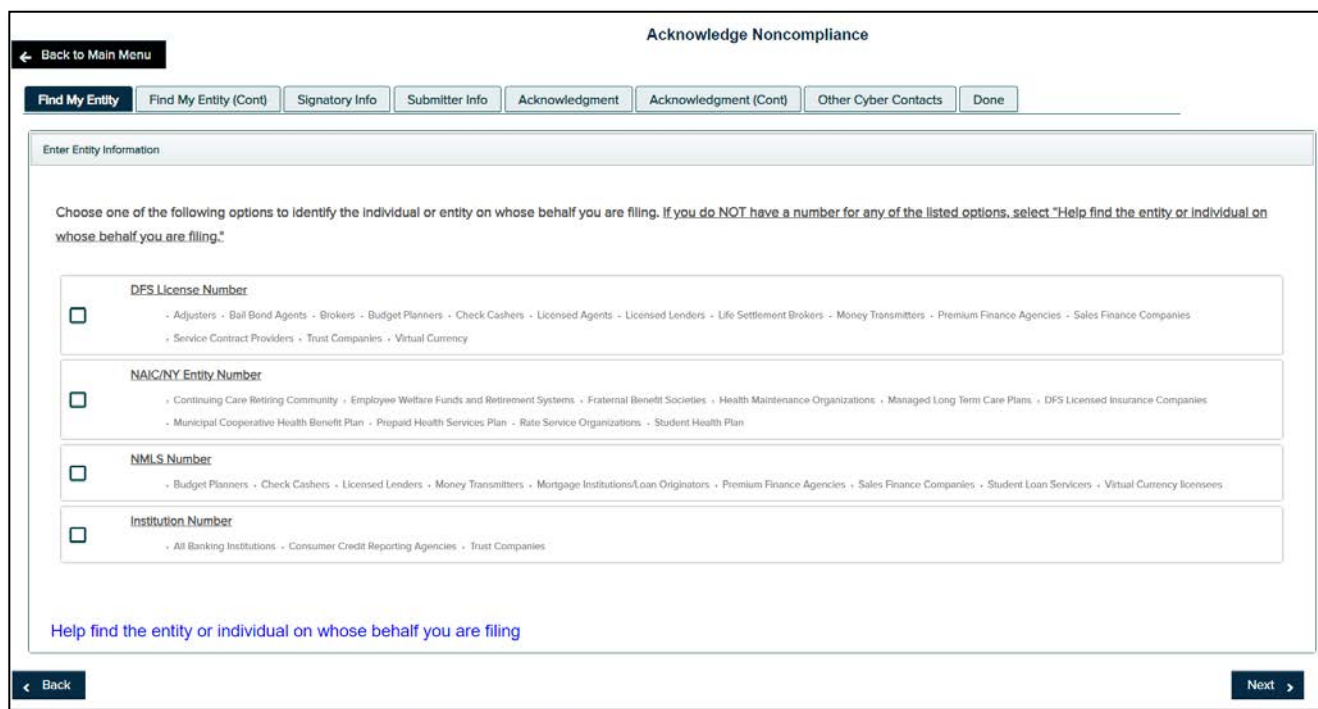
Step 4: Choose a Section. You will see three options: Submit an Exemption Filing, Submit a Compliance Filing, and Report a Cybersecurity Incident. Under **Submit a Compliance Filing**, select “Begin Acknowledgment of Noncompliance.”



Step 5: Identify the Individual. You will be provided with options to identify the individual 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 and click “Search.”

The screenshot shows the 'Acknowledge Noncompliance' interface. At the top, there is a 'Back to Main Menu' button. Below it is a navigation bar with buttons for 'Find My Entity', 'Find My Entity (Cont)' (which is highlighted), 'Signatory Info', 'Submitter Info', 'Acknowledgment', and 'Acknowledgment (Cont)'. Below the navigation bar are buttons for 'Other Cyber Contacts' and 'Done'. The main content area is titled 'Enter Entity Information' and contains the text 'Please provide your entity's Identification #' next to an empty input field. Below the input field is a 'Search' button. At the bottom of the main content area is a blue link: 'Help find the entity or individual on whose behalf you are filing'. At the very bottom of the screen are 'Back' and 'Next' buttons.

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

The screenshot shows the 'Acknowledge Noncompliance' interface. At the top, there is a 'Back to Main Menu' button. Below it is a navigation bar with buttons for 'Find My Entity', 'Find My Entity (Cont)' (which is highlighted), 'Signatory Info', 'Submitter Info', 'Acknowledgment', 'Acknowledgment (Cont)', 'Other Cyber Contacts', and 'Done'. The main content area is titled 'Enter Entity Information' and contains the text 'Please provide your entity's Identification #' next to an empty input field. Below the input field is a 'Search' button. Below the search button is a horizontal line, followed by the 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 dropdown menu labeled 'Individual Name' with a person icon on the left. At the bottom of the main content area is a blue link: 'Help find the entity or individual on whose behalf you are filing'. At the very bottom of the screen are 'Back' and 'Next' buttons.

Step 7: Help Find the Individual. 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/myInlnext/elsearch.alice> to find their DFS license number.

Enter the first name and last name and click “Search.”

There may be more than one 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

Individual Name Identification #	Individual Name Identification #
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Showing 2 results

Choose the name of the 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 the 'Acknowledge Noncompliance' interface. At the top, there is a 'Back to Main Menu' button. Below it is a navigation bar with buttons for 'Find My Entity', 'Find My Entity (Cont)', 'Signatory Info' (which is highlighted), 'Submitter Info', and 'Acknowledgment'. Below the navigation bar are buttons for 'Acknowledgment (Cont)', 'Other Cyber Contacts', and 'Done'. The main content area contains two radio button options: 'Highest-Ranking Executive and CISO/Senior Officer' and 'Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program', with the second option selected. Below the radio buttons are four text input fields, each with a red asterisk indicating it is a required field: '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 appears 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 'Acknowledge Noncompliance' interface, now on the 'Submitter Info' step. The navigation bar is updated: 'Signatory Info' is no longer highlighted, and 'Submitter Info' is highlighted. The 'Other Cyber Contacts' and 'Done' buttons are no longer visible. The main content area has a header 'Enter Submitter Information' and four text input fields, each with a red asterisk indicating it is a required field: 'Submitter Name', 'Submitter Title', 'Submitter Phone Number', and 'Submitter Email Address'. At the bottom of the form are 'Back' and 'Next' buttons.

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 at link: https://www.dfs.ny.gov/industry_guidance/cybersecurity#part-500-exemptions.

Acknowledge Noncompliance

← Back to Main Menu

Find My EntityFind My Entity (Cont)Signatory InfoSubmitter Info**Acknowledgment**

Acknowledgment (Cont)Other Cyber ContactsDone

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 2024

← BackNext >

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. Select the sections the individual licensee did not materially comply with during calendar year 2024.

Acknowledge Noncompliance

← Back to Main Menu

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

Acknowledgment (Cont)
Other Cyber Contacts
Done

Individual Licensee : 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 **Individual Licensee** and the information above is accurate to the best of their knowledge.

← Back
Next >

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.

mm/dd/yyyy

If remediation was not completed, enter the date you expect remediation to be completed. Then, if you are authorized to submit the Acknowledgment of Noncompliance on behalf of the individual licensee and the information you submitted is accurate, check the box at the bottom of the page and 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.” The contact information you previously submitted on this screen will appear under “Add Another Contact.”

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

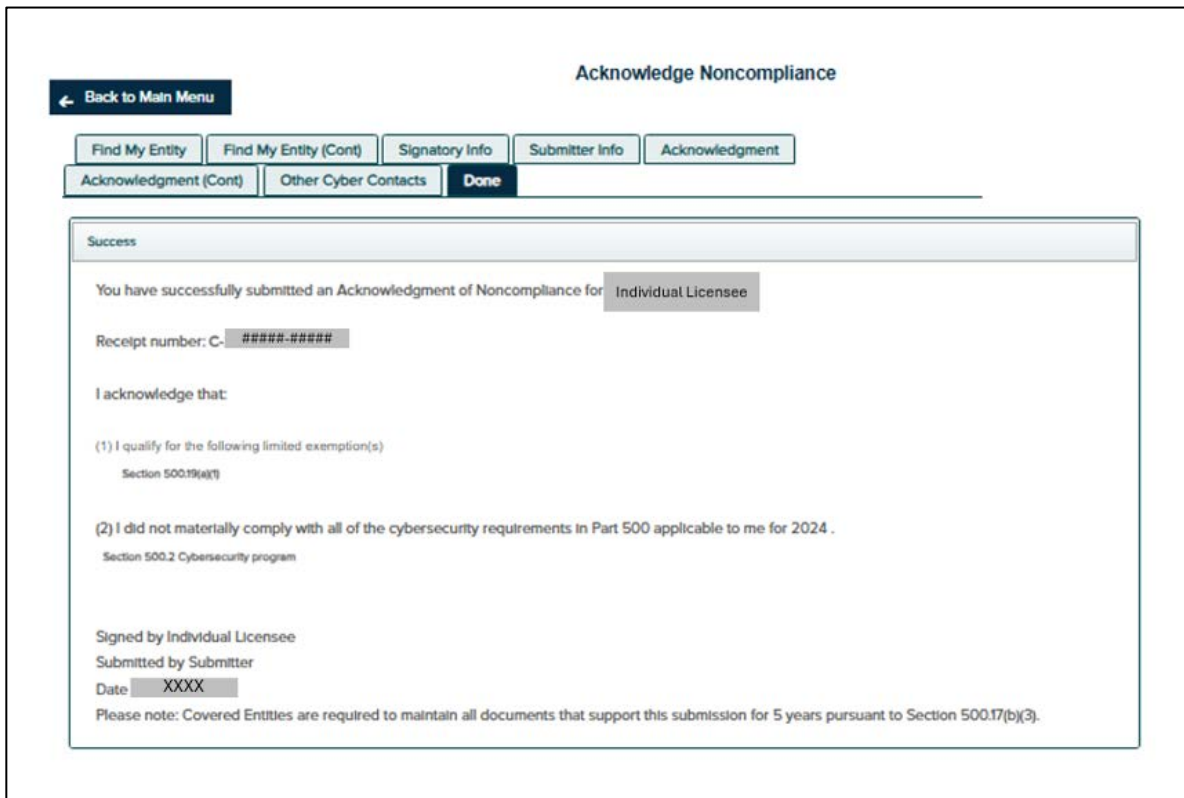
Title	Name	Phone	Email

Remove

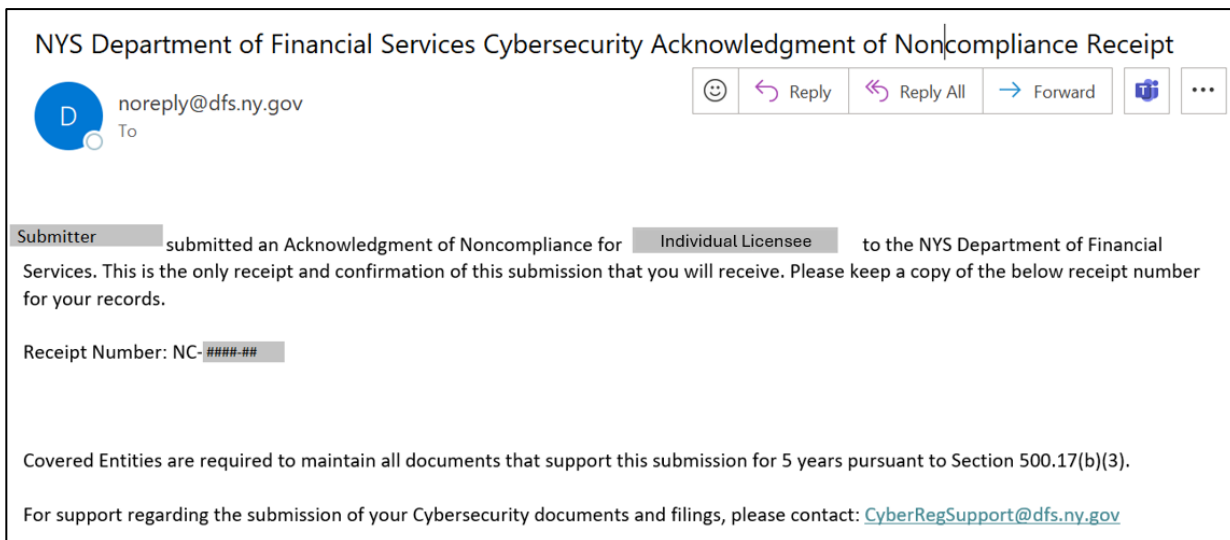
← Back **Submit**

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.



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.