



Instructions for Submitting a Certification of Material Compliance for Entities

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

(as of March 23, 2026)

Step 1: Visit myportal.dfs.ny.gov to submit a Certification of Material Compliance.

Sign in with **DFS ID Login** if you have received an invitation from your administrator. If you have a question concerning DFS ID, please visit the [DFS ID Hub](#), and review the [FAQs](#) and [video](#) on DFS's website. For additional questions, please use the [DFS ID Help Form](#) to request assistance.

Step 2: Access the Cybersecurity Application.

Once you have logged in click "Cybersecurity" under the header "APP NAME" to enter the DFS cybersecurity filing system.

The screenshot displays the DFS Portal interface. 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 with a user profile icon, "My account", and "Sign Out" options. A secondary navigation bar includes "My Apps", "Delegated Admin", and "Internal Apps". The main content area features three buttons: "MY APPS", "REQUEST APPS", and "ALERTS". Below these is a table with two columns: "APP NAME" and "DESCRIPTION". The table contains one entry: "Cybersecurity". At the bottom of the table, a message reads: "Click 'Request Apps' to access more DFS Portal Apps".

APP NAME	DESCRIPTION
Cybersecurity	

Step 3: 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.**”

The screenshot shows the DFS Portal interface. At the top, it says "Department of Financial Services" and "DFS Portal". There are links for "My account" and "Sign Out". Below this is a navigation bar with "My Apps" and "Cyber Public". The main content is divided into three columns:

- Submit an Exemption Filing**
 - Submit Notice of Exemption
 - Amend previously filed Notice of Exemption
 - Terminate previously filed Notice of Exemption

Begin Exemption Submissions
- Submit a Compliance Filing**
 - Submit a Certification of Material Compliance
 - Submit an Acknowledgment of Noncompliance

Begin Certification of Material Compliance

Begin Acknowledgment of Noncompliance
- Report a Cybersecurity Incident**
 - Report Cybersecurity Incident
 - Report Extortion Payment

Begin Cybersecurity Incident Report

Begin Extortion Payment Report

Step 4: Identify the Entity.

You will be provided with options to identify the 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 6** below.

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 5: Enter the Identifying Number.

Enter the identifying number for the entity and click “Search.” When the name of the entity on whose behalf you are filing appears in the bottom half of the screen, click “Next.”

Certify Material Compliance

[← Back to Main Menu](#)

[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 #:

[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 6: 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 in the first text box and click “Search.”

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:

[Q Search](#)

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.

Because there may be more than one entity with all or part of the name you enter, you may see more than one choice, as shown in the screen below, which shows two results (there may be even more depending on the name entered). Choose only the name of the entity on whose behalf you are filing.

× ▲

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:

🔍 Search

Please carefully review the search results before making a selection

Entity Name Identification #	Entity Name Identification #
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Showing 2 results

Step 7: 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.)

Certify Material Compliance

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Find My Entity

Find My Entity (Cont)

Signatory Info

Submitter Info

Certification

Other Cyber Contacts

Done

If you are an Individual Licensee, please choose the second option. The first option is only for Covered Entities that are not individuals and have separate Highest-Ranking Executives and CISOs/Senior Officers.

Highest-Ranking Executive and CISO/Senior Officer Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program

Highest-Ranking Executive: *	CISO, or if there is no CISO, the Senior Officer responsible for the Cybersecurity Program: *
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
Title: *	Title: *
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
Email: *	Email: *
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
Phone Number: *	Phone Number: *
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

← Back

Next >

Step 8: Submitter Info.

Fill out the requested information and click “Next.” You can change the autofilled information that 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.)

Certify Material Compliance

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Find My Entity

Find My Entity (Cont)

Signatory Info

Submitter Info

Certification

Other Cyber Contacts

Done

Enter Submitter Information

Submitter Name: *

Submitter Title: *

Submitter Phone Number: *

Submitter Email Address *

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Step 9: 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 at link: www.dfs.ny.gov/industry_guidance/cybersecurity to help you. (Please note: You must check one of the three options.)

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.

Back **Next**

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 DFS's Cybersecurity Resource Center at link: www.dfs.ny.gov/industry_guidance/cybersecurity#part-500-exemptions.

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.

Back **Next**

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 10: 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.

The screenshot shows a web interface titled "Certify Material Compliance". At the top left 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", "Submitter Info", "Certification", "Other Cyber Contacts" (which is highlighted), and "Done". The main content area contains the following text: "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." Below this text are four input fields labeled "Title:", "Name:", "Phone:", and "Email:". At the bottom of this section is a button labeled "Add Another Contact". At the very bottom of the screen are "Back" and "Submit" buttons.

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.”

This screenshot shows the same "Other Cyber Contacts" form as above, but with a list of contacts added. The input fields for "Title:", "Name:", "Phone:", and "Email:" now have red asterisks next to them, indicating they are required. Below the "Add Another Contact" button is a table with the following structure:

Title	Name	Phone	Email	

Below the table is a "Remove" button. At the bottom of the screen are "Back" and "Submit" buttons.

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

Step 11: Done.

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

Certify Material Compliance

Back to Main Menu

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

Success

You have successfully submitted a Certification of Material Compliance for **Covered Entity**.

Receipt number: C- XXXX-XXXXXX

Highest-Ranking Executive and CISO certify that:

(1) **Covered Entity** qualifies for the following limited exemption(s)

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

(2) they have reviewed data and documentation sufficient to accurately determine and demonstrate **Covered Entity**'s material compliance with Part 500; and

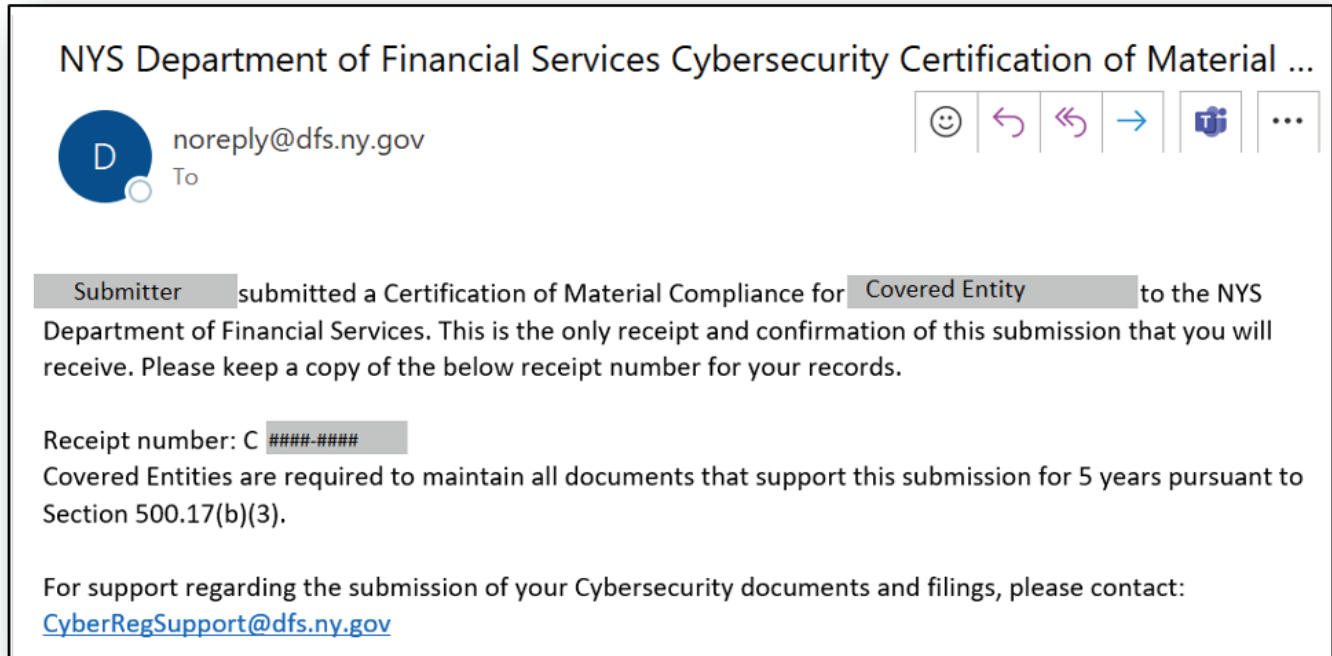
(3) after such review, they have determined that **Covered Entity** materially complied with the requirements in Part 500 applicable to **Covered Entity** during the prior calendar year.

Signed by Highest-Ranking Executive
Signed by CISO
Submitted by Submitter
Date **XX/XX/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 12: Email Receipts.

The person(s) whose email address(es) you provided in Steps 7 and 8 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.