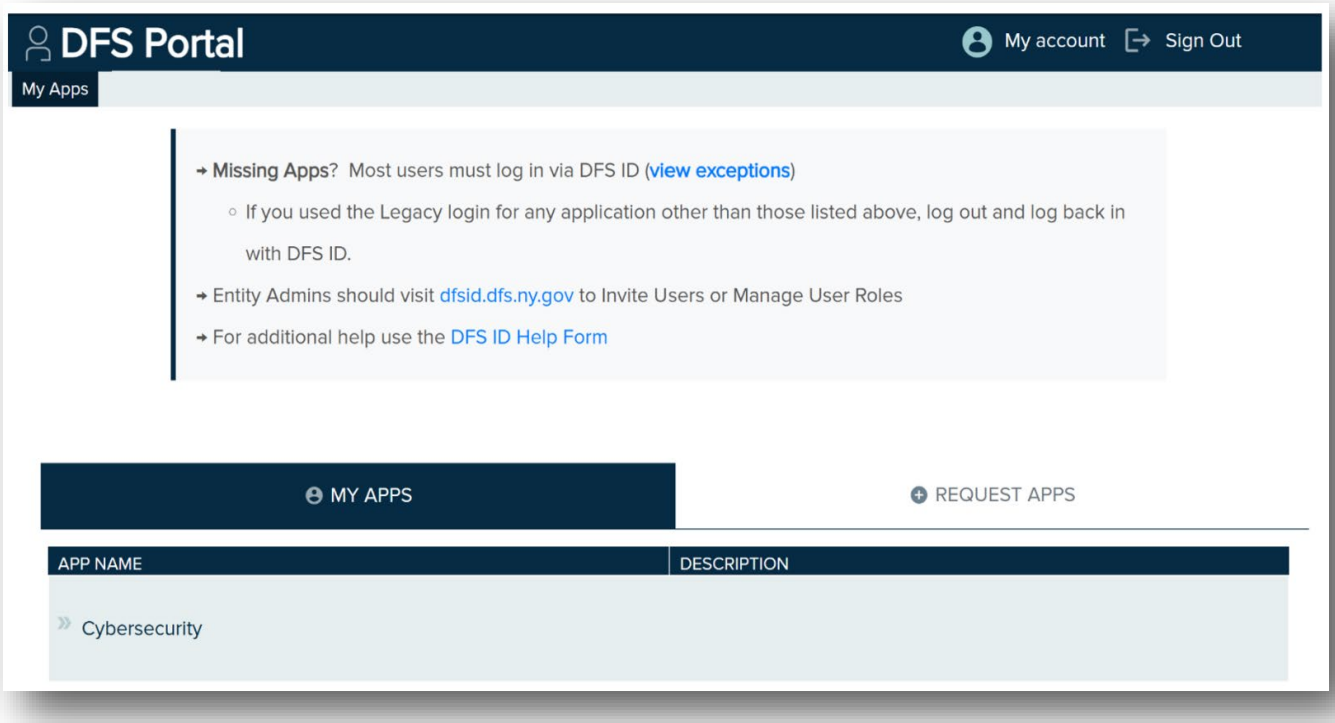
Instructions for Submitting a Certification of Material Compliance for Individual Licensees

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

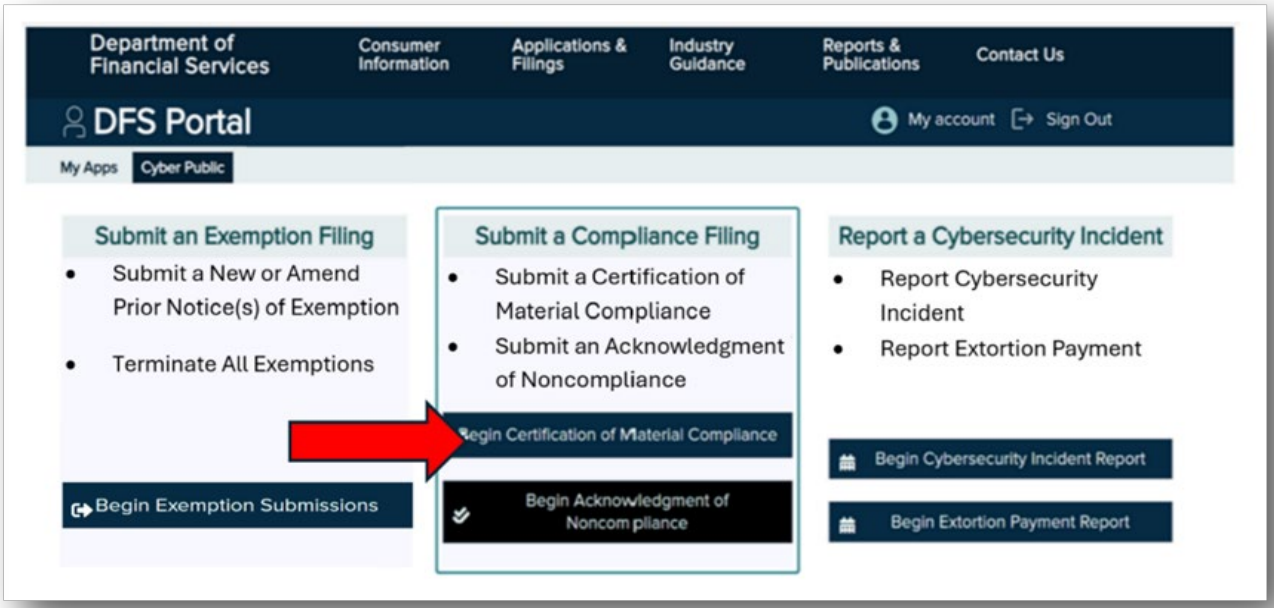
Step 1: Visit the DFS Portal to submit a Certification of Material Compliance.

Sign in using DFS ID credentials and an MFA authenticator. If you need help with DFS ID, visit the DFS ID page, for DFS ID FAQs, resources, and to access the DFS ID Help Form.

Step 2: Access the Cybersecurity Application. Once you have logged in, select "Cybersecurity" in the "APP NAME" column to enter the DFS cybersecurity filing system.

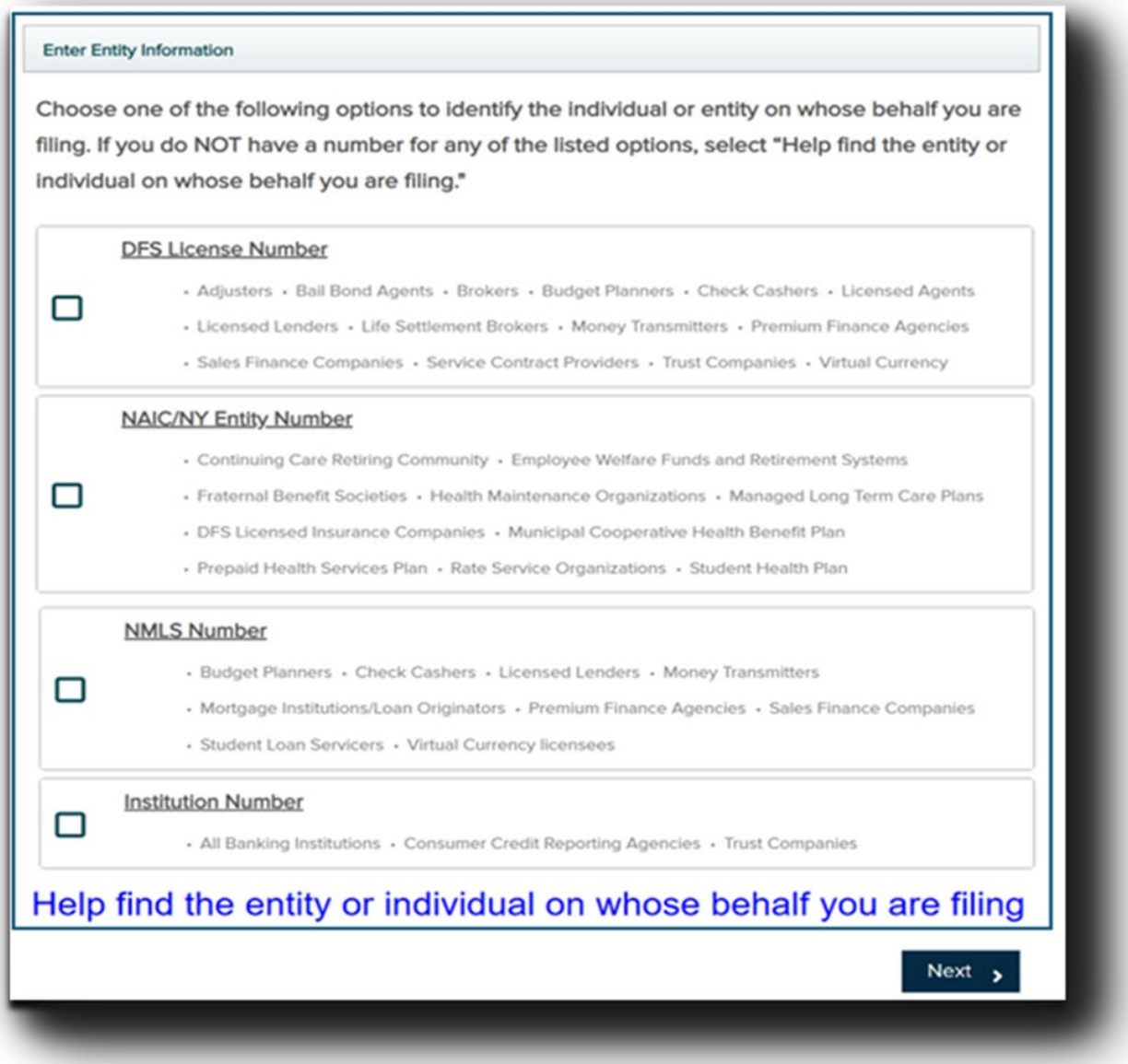


Step 3: Choose a Section. You will see three categories of options: Submit an Exemption Filing, Submit a Compliance Filing, and Report a Cybersecurity Incident. **Under Submit a Compliance Filing**, select "**Begin Certification of Material Compliance**."

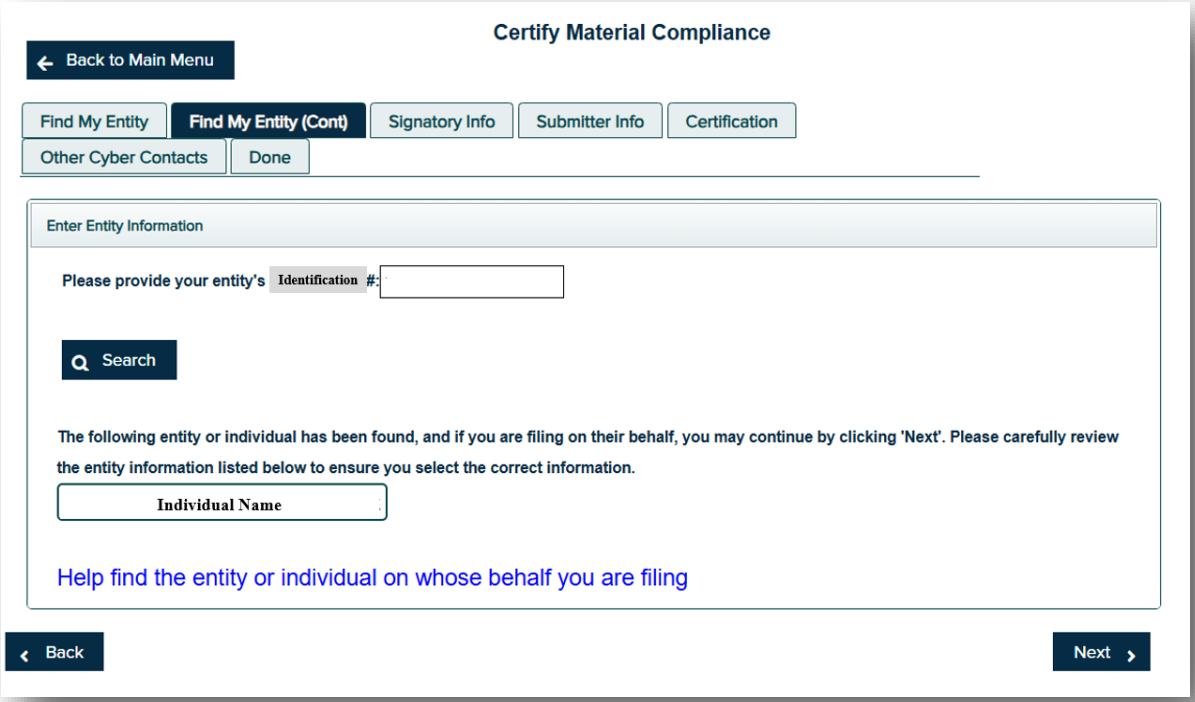


Step 4: Identify the Individual. You will be provided with options to identify the individual on whose behalf you are filing. Select one of the option boxes and click "Next."

If you do not have an identifying number for any of the listed options, go to **Step 5b** below.

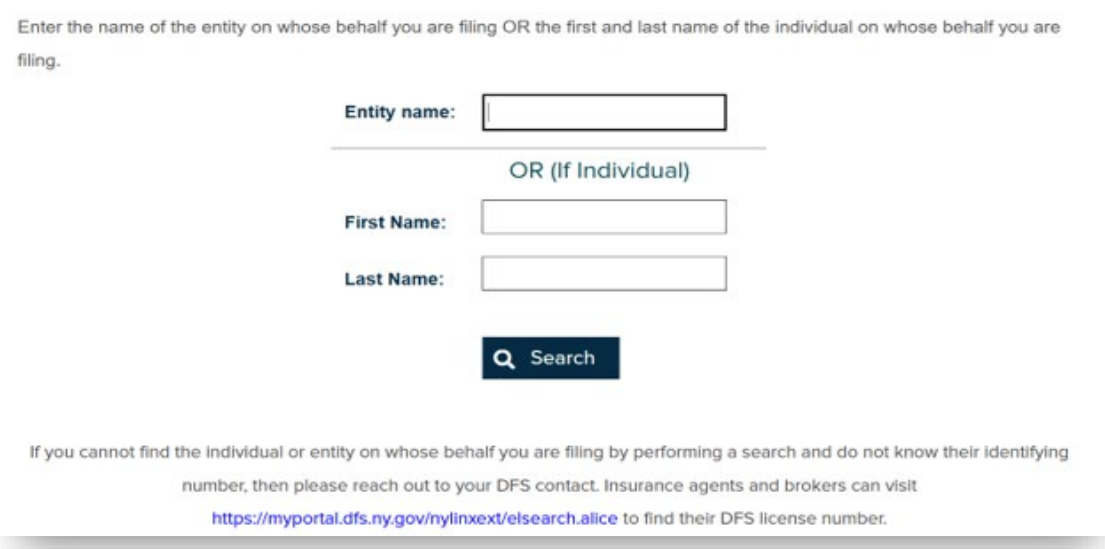


Step 5a: Enter the Identifying Number. Enter the identifying number for the individual and click “Search.” When the name of the individual on whose behalf you are filing appears in the bottom half of the screen, click “Next.”



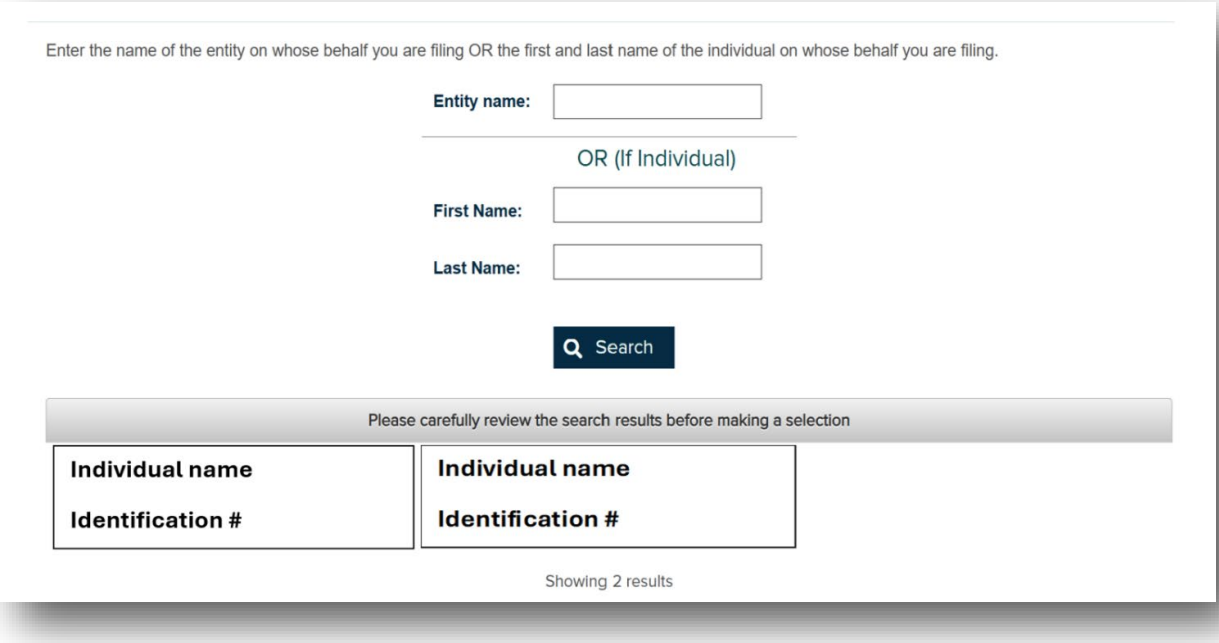
Step 5b: Help Find the Individual. If you do not have an identifying number associated with any of the four options provided, select “Help find the entity or individual on whose behalf you are filing” located at the bottom of the page.

A set of searchable fields will appear. Enter the first name and last name and click “Search.”

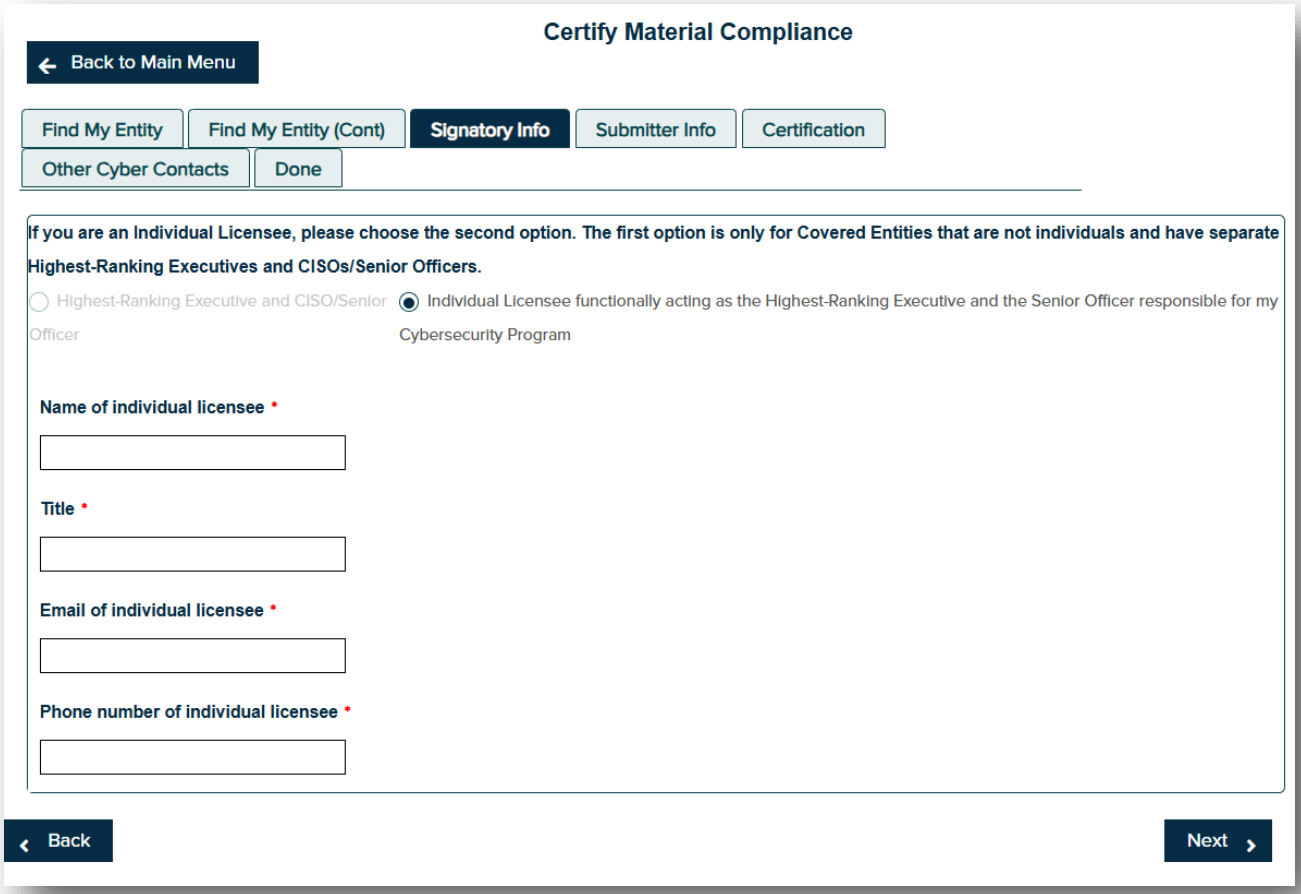


Because there may be more than one individual with all or part of the name you enter, you may see more than one choice, as shown in the screen below, which shows two results (there may be more depending on the name entered).

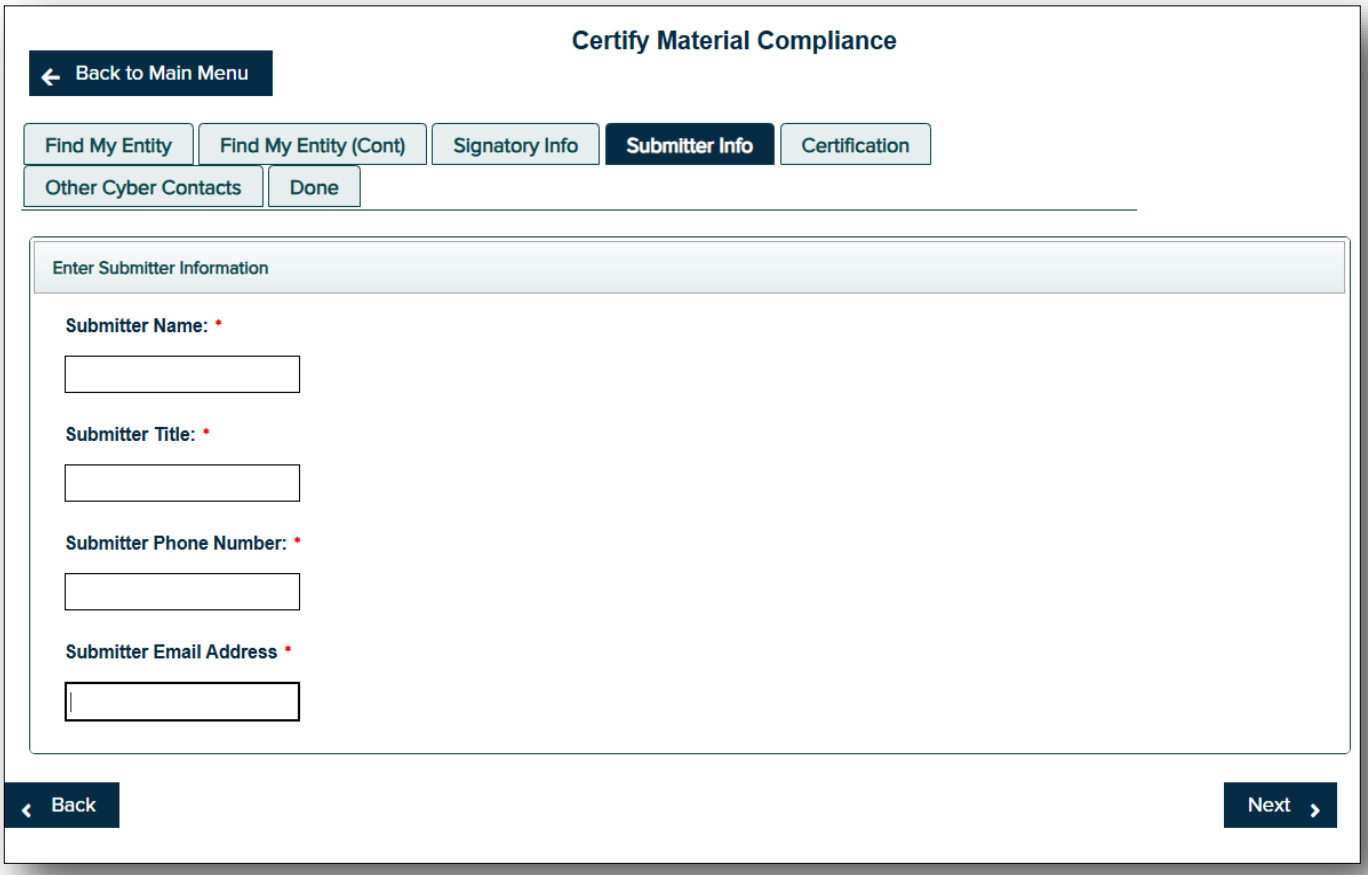
Choose only the name of the individual on whose behalf you are filing.



Step 6: Signatory Info. Once you have filled out all of the requested information, click “Next.” (Note: A red asterisk on the screen indicates it is a required field.)

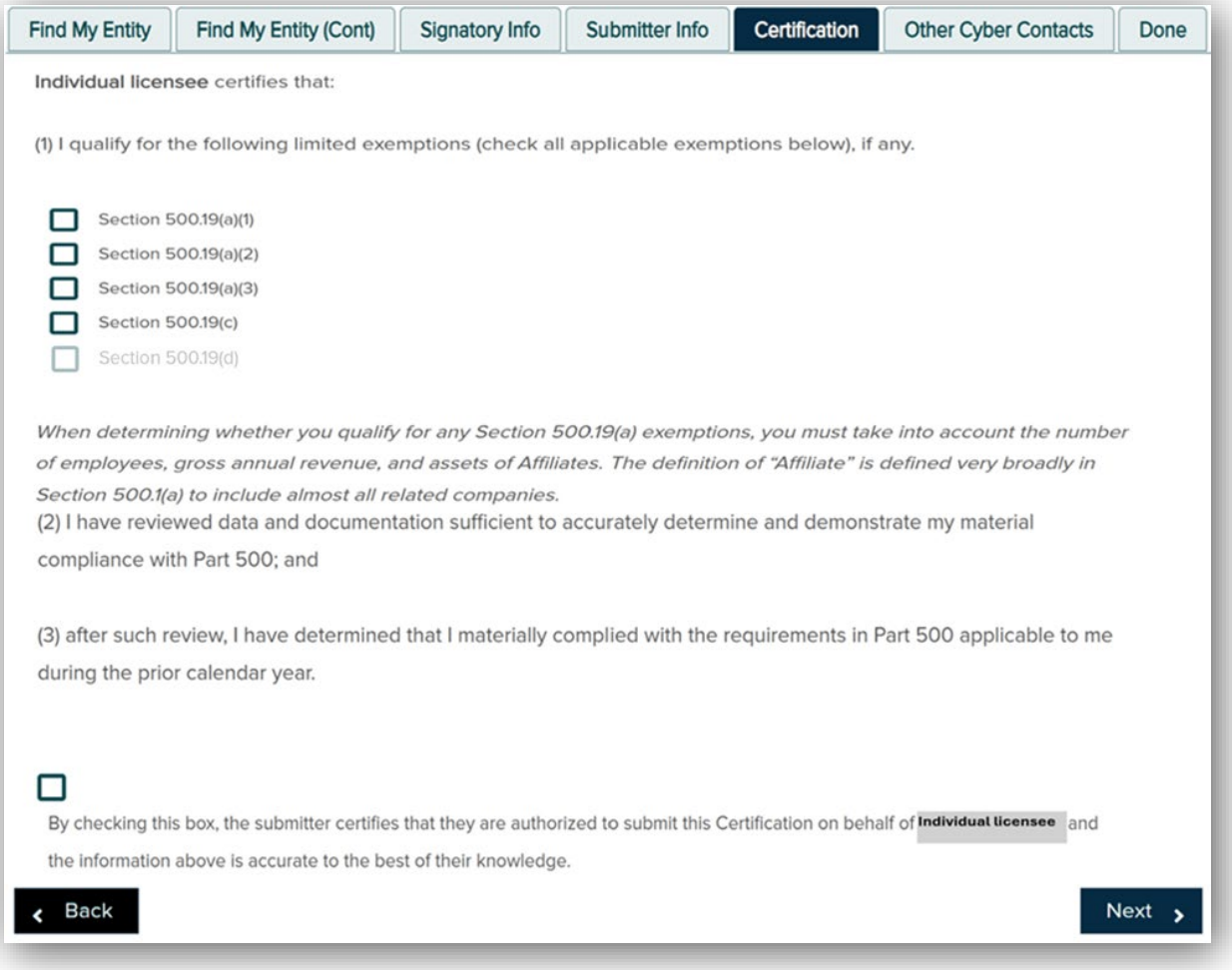


Step 7: Submitter Info. Fill out the requested information and click “Next.” You can change the information that automatically appears in the “Submitter Name” and “Submitter Email Address” fields. (Note: The submitter does not need to be the same individual as the signatory.)

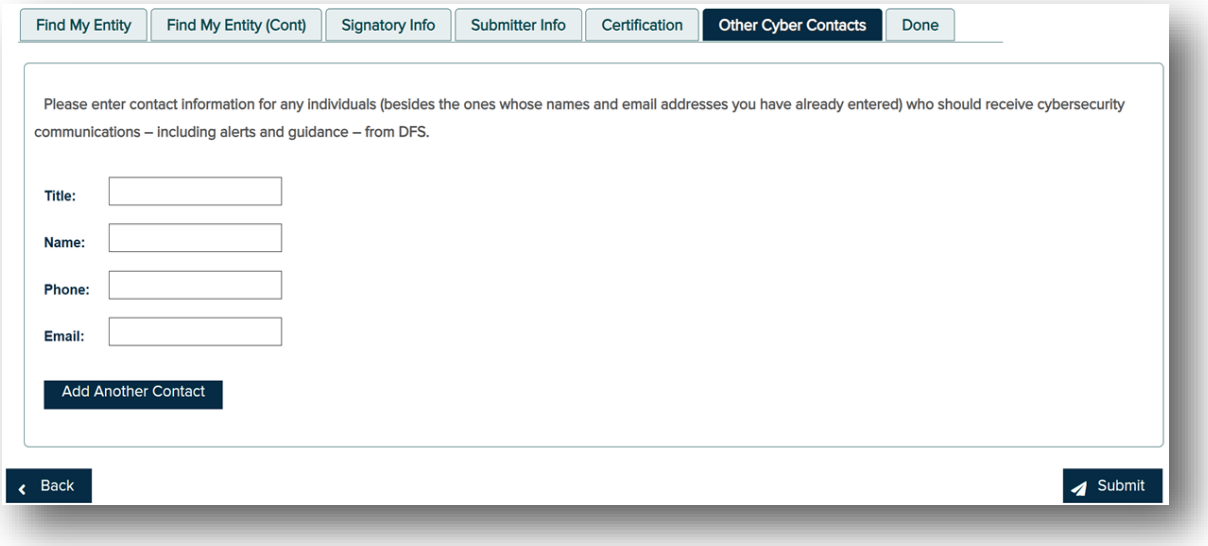


Step 8: **Certification**. If the individual licensee qualifies for any limited exemptions, check all applicable boxes corresponding to the exemptions for which such individual licensee qualifies. If the individual licensee does not qualify for any limited exemptions, do not check any of the boxes. Then, 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 and click "Next."

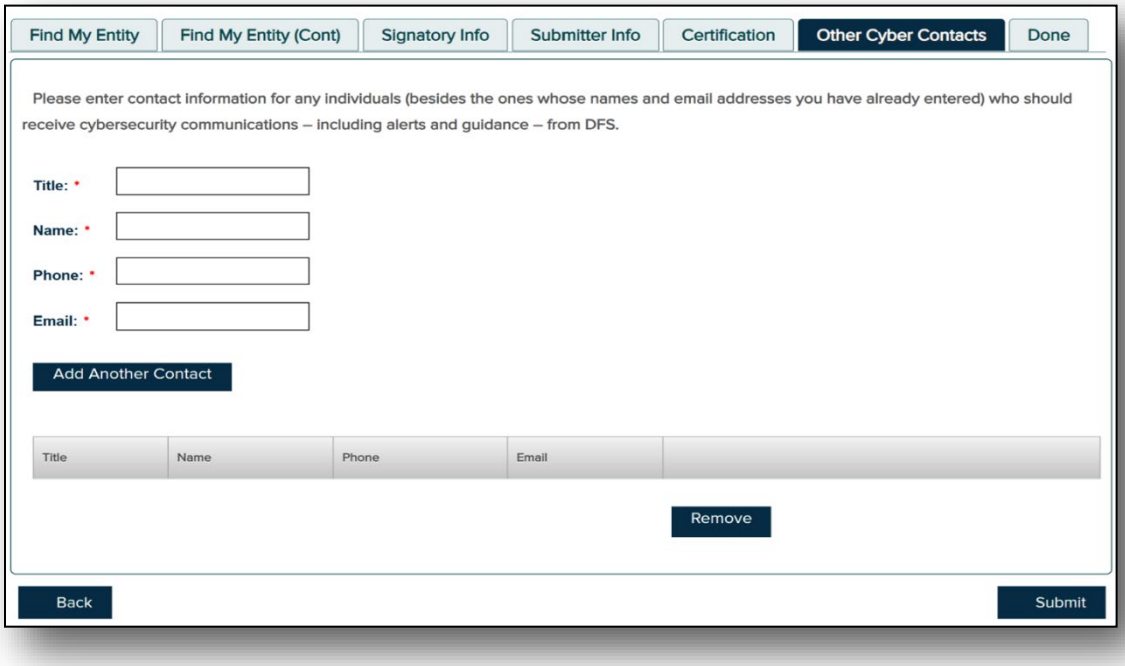
- Visit Exemptions from the Requirements of the Cybersecurity Regulation for detailed information about exemptions.



Step 9: Other Cyber Contacts. From time to time, DFS sends updates with cybersecurity developments, recommendations, and compliance deadlines. 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.

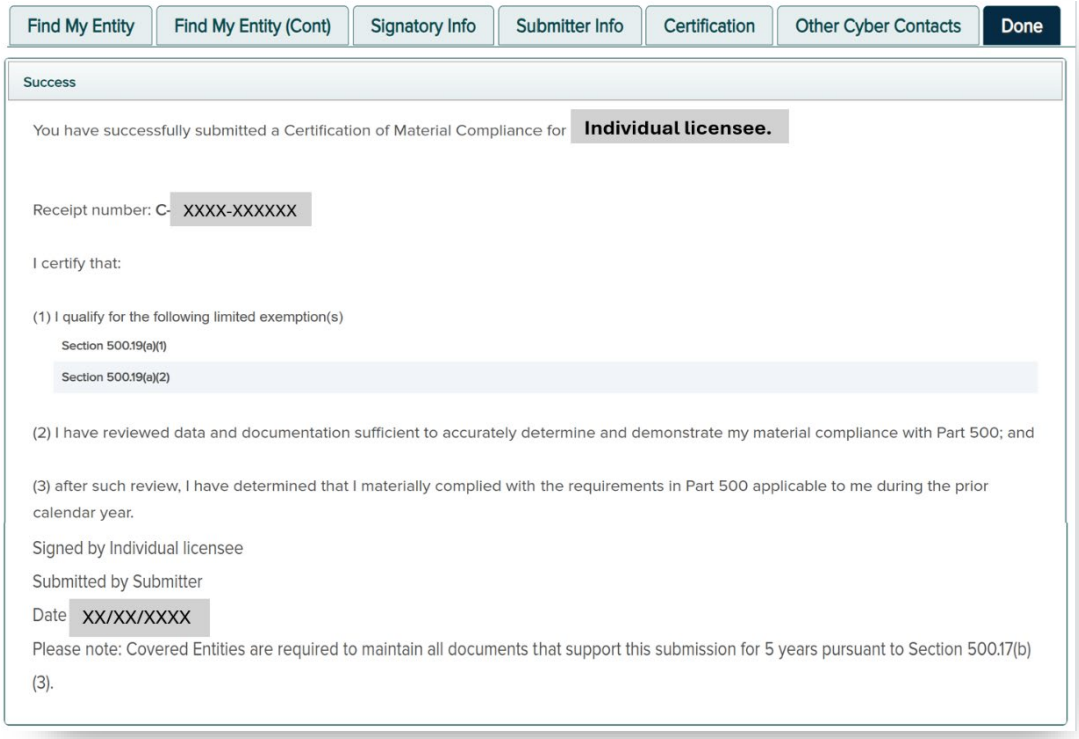


You may add another contact by clicking “Add Another Contact.” The contact information you previously submitted on this screen will appear under “Add Another Contact.”

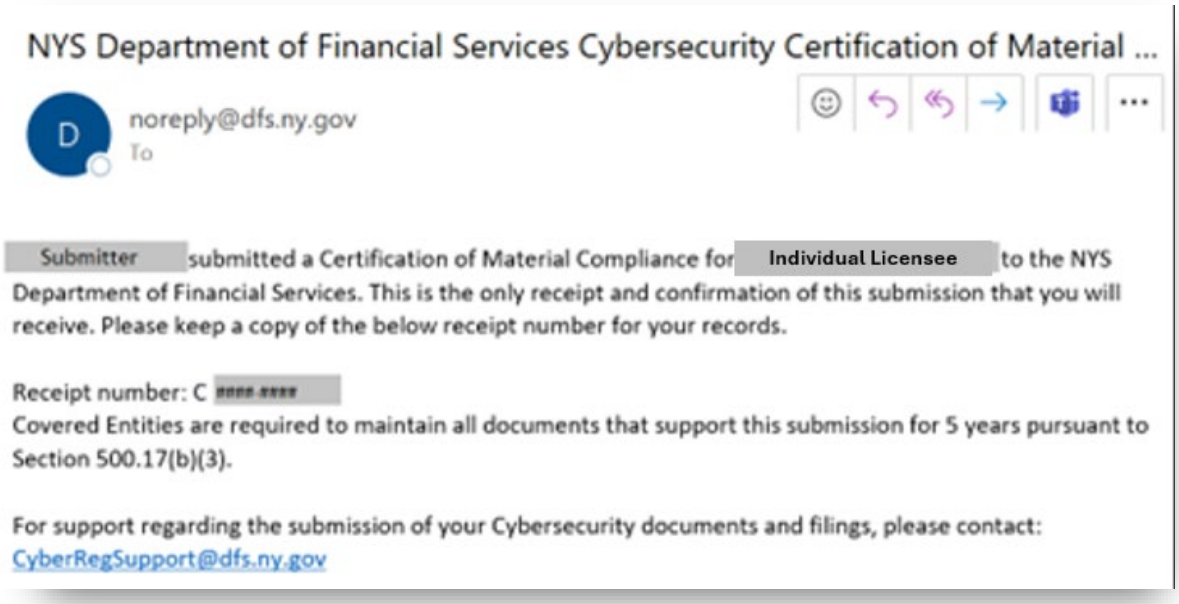


After you enter the information, click “Submit” to proceed to the next screen.

Step 10: Submission Confirmation. You will receive an online confirmation once the certification is successfully submitted. Print the screen for your records.



Step 11: Email Receipts. The person(s) whose email address(es) you provided in Steps 6 and 7 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, email cyberregsupport@dfs.ny.gov