

HOW TO FILE CERTIFICATION OF COMPLIANCE

New Filing (Meaning new filing in 2019): All prior filings have expired.

When: File between January 1, 2019-February 15, 2019

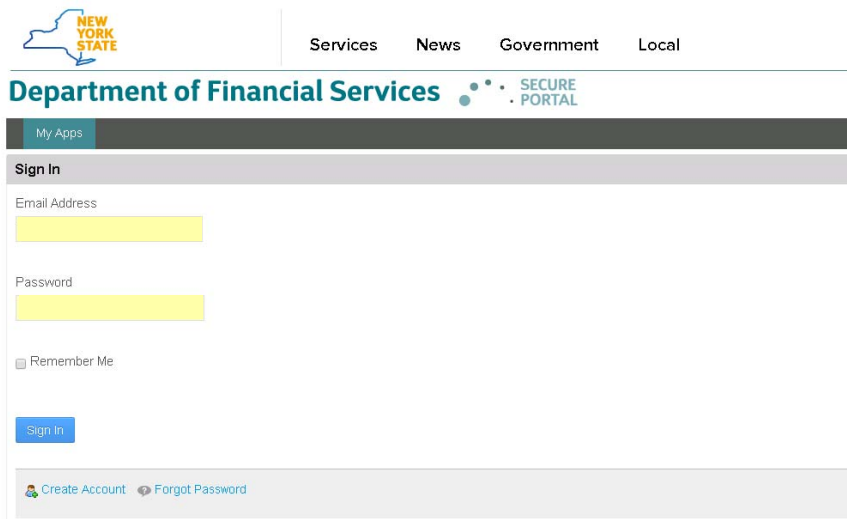
Who: Any entity that has not qualified for the Individual Exemption (500.19(b))

Qualifier: All regulated entities and licensed persons must file a certificate of compliance to the Superintendent covering calendar year 2019 confirming their compliance with the DFS cybersecurity regulation. An entity or individual should only submit a Certification if they were in compliance with all portions of the regulations that apply to that Covered Entity. Even if you filed a Notice of Exemption, you might have to submit a Certification of Compliance to demonstrate that you were in compliance with the portions of the regulation that apply to you.

Info Needed: Before you begin the filing you'll need-

1. Your user name & password (this will be the same one that you used last year).
 - a. If you don't have your password, but you filed last year, use the "forgot password" button.
 - b. If this is your very first filing, use the "create account" button and follow the prompts.
2. Your agency license number (just the numerical portion)
3. Your Tax ID # (FEIN)

Go to the [NYS DFS Cybersecurity Portal](#) & [sign in:](#)



The screenshot shows the top navigation bar of the NYS DFS Cybersecurity Portal. It includes the New York State logo, a search bar, and links for Services, News, Government, and Local. Below the navigation bar is the Department of Financial Services logo and the text "SECURE PORTAL". The main content area is titled "My Apps" and "Sign In". It contains two input fields for "Email Address" and "Password", both highlighted in yellow. There is a "Remember Me" checkbox and a "Sign In" button. At the bottom, there are links for "Create Account" and "Forgot Password". A red arrow points to the "Email Address" input field.

On the next page click on the Compliance column-Begin:

Department of Financial Services **SECURE PORTAL**

My Apps Cybersecurity

NYS DFS CyberSecurity 23 NYCRR 500 Regulation

Exemption	Compliance	Event
Perform actions related to your entity's NYS DFS cybersecurity regulation exemption status. <ul style="list-style-type: none">File new Notice of ExemptionAmend previously filed Notice of ExemptionTerminate previously filed Notice of Exemption	Submit a Certification of Compliance	Submit Notice of a Cybersecurity Event
Begin Begin Bulk Exemption	Begin	Begin New

Since you've got your license number, at the next page Choose-NYS License Number

← Back to Main Menu Submit Notice of Exemption

Find My Entity Find My Entity (Cost) Exemption Status Contact Info Done

Choose how you will be identifying your entity:

- NYS License Number**
- Advertisers - Ball Bond Agents - Brokers - Budget Planners - Check Cashiers - Licensed Agents - Licensed Lenders - Life Settlement Brokers - Money Transmitters - Premium Finance Agencies - Sales Finance Companies - Service Contract Providers - Trust Companies - Virtual Currency
- NAIGNY Entity Number**
- Continuing Care Retirement Community - Employee Welfare Funds and Retirement Systems - Fraternal Benefit Societies - Health Maintenance Organizations - Managed Long Term Care Plans - Municipal Corporation Health Benefit Plan - NYS Licensed Insurance Companies - Prepaid Health Services Plan - Rule Service Organizations - Student Health Plan
- NMLS**
- Budget Planners - Check Cashiers - Licensed Lenders - Money Transmitters - Mortgage Institutions/Loan Originators - Premium Finance Agencies - Sales Finance Companies - Virtual Currency Licenses
- Institution Number**
- All Banking Institutions - Consumer Credit Reporting Agencies - Trust Companies

[Help me find my entity](#) Next >

Fill in the numerical portion of your agency license and hit search, choose your name from the list that appears:

Enter Entity Information

Please provide your entity's NYS License #:

[Help me find my entity](#)

If you don't have your license number choose-Help me find by entity and hit search & choose your agency name (& choose your agency #) from the list that appears.:

File By Name

Entity name:

OR (If Individual)

First Name:

Last Name:

[Still can't find your entity? Click here](#)

Filing the Certificate of Compliance:

Regulated entities and licensed persons must file a Certification of Compliance to the Superintendent covering calendar year 2019 confirming compliance with 23 NYCRR 500. **This certification can be made by the Board of Directors, a Senior Officer, or in the case of an individual licensed person, by self.**

Please indicate who is making the certification for the cybersecurity program.

Certifications by Individual Licensees:

Self can be used if you are filing for your own individual license. If you are not an entity, but an individual and are filing for a license that you hold for yourself, then select this option.

The screenshot shows a web form titled 'Certification Detail' with navigation tabs: 'Find My Entity', 'Find My Entity (Cont)', 'Certification Detail' (active), 'Signature', and 'Done'. The form is for 'Certification of compliance reviewed by:' and has three radio button options: 'Board of Directors', 'Senior Officer(s)', and 'Self (if filing on behalf of your own individual license)'. The 'Self' option is selected. Below the options are several input fields: 'Name of person self-certifying', 'Title', 'Email of person self-certifying', 'Covered Entity Social Security Number or Tax ID Number', and 'Date of the Self-determination Compliance Finding' (with a 'Click here' link). At the bottom, there is a field for 'For the year ended (year for which Resolution of Compliance Finding is provided)' with '2018' entered. Navigation buttons '< Back' and 'Next >' are at the bottom corners.

Certifications by Senior Officer(s)(including LLC):

This option can be used for certifications made by the senior individual or individuals (acting collectively or as a committee) responsible for the management, operations, security, information systems, compliance and/or risk of a Covered Entity. When completing the certification for a Senior Officer(s), please indicate the name(s) of the Senior Officer(s) who participated in the decision in the first field. In second field please indicate the title(s) of these individuals. Please indicate a single email address that can be used for communications with the Senior Officers(s) about the certification.

The screenshot shows a web form titled 'Certification Detail' with navigation tabs: 'Find My Entity', 'Find My Entity (Cont)', 'Certification Detail' (active), 'Signature', and 'Done'. The form is for 'Certification of compliance reviewed by:' and has three radio button options: 'Board of Directors', 'Senior Officer(s)' (selected), and 'Self (if filing on behalf of your own individual license)'. Below the options are several input fields: 'Name(s) of the Board member(s) certifying Compliance', 'Title(s)', 'Email for Board', 'Covered Entity Tax ID Number', and 'Date of the Board Resolution Compliance Finding' (with a 'Click here' link). At the bottom, there is a field for 'For the year ended (year for which Board Resolution of Compliance Finding is provided)' with '2018' entered. Navigation buttons '< Back' and 'Next >' are at the bottom corners.

Certifications by Board of Directors:

This option can be used for certifications made by the governing body of any type of corporate body including corporations, partnerships, or any other formations. The certification should be made by the highest governing body, irrespective of whether it is called the “Board of Directors.” When completing the certification for the Board or equivalent governing body, please indicate the name of the Board, partner or committee member(s) who participated in the decision in the first box. In the field for title, please indicate the title(s) of these individuals (i.e., directors, partners, or other applicable title). Please indicate a single email address that can be used for communications with the Board about the certification to certify compliance.

Find My Entity Find My Entity (Cont) **Certification Detail** Signature Done

Certification of compliance reviewed by:

Board of Directors Senior Officer(s) Self (if filing on behalf of your own individual license)

Name(s) of the Board member(s) certifying Compliance

Title(s)

Email for Board

Covered Entity Tax ID Number

Date of the Board Resolution Compliance Finding

For the year ended (year for which Board Resolution of Compliance Finding is provided)

< Back

Signature

The signature tab should be completed by the person making the filing in the cybersecurity system.

Name of person submitting certification:

Title of person submitting certification:

Phone:

Email:

You will also need to check the box at the bottom of the screen in which you will swear or affirm that you have the authority to submit this certification. After checking the affirmation box, please click “Submit”.

I swear or affirm that I am authorized to submit this Certification of Compliance on behalf of , and that the information herein is accurate. By checking this box, I understand and agree that I am the named person above, that I am electronically signing and filing this Certification of Compliance, and that I agree to the language as stated above.

Once your Certification of Compliance has been filed, you will move to the “Done” tab, and you will see a Success message indicating that you have completed your Cybersecurity Certification of Compliance filing. **Please print/save a copy for your records as it also includes a receipt number which you may need to reference if questions arise. You will also receive an email with this information. If you filed a 12 Certification on behalf of Senior Officers or Board of Directors, then confirmation of filing will also be sent to the email address provided for the Board of Directors of Senior Officer(s).**

The screenshot shows the New York State Department of Financial Services Secure Portal. The top navigation bar includes the New York State logo, "Services", "News", "Government", and "Local". Below this is the "Department of Financial Services" header with a "SECURE PORTAL" logo. A dark navigation bar contains "My Apps" and "Cybersecurity". A secondary bar has a "Back to Main Menu" button and a "Submit Certificate of Compliance" button. A breadcrumb trail shows "Find My Entity", "Find My Entity (Cont)", "Certification Detail", "Signature", and "Done" (highlighted). The main content area displays a "Success" message: "You have successfully submitted your Cybersecurity Certification of Compliance form. Receipt number: C-2019- [redacted]". Below this, it states "Senior Officer of [redacted] certifies:" followed by two numbered points: (1) [redacted] has reviewed documents, reports, certifications and opinions of such officers, employees, representatives, outside vendors and other individuals or entities as necessary. (2) To the best of [redacted] knowledge, the Cybersecurity Program as of 01-02-2019 for the 2018 year ended complies with 23 NYCRR Part 500. The message also includes "Signed by", "Name:", and "Date: Wed Jan 02 09:33:46 EST 2019". A note at the bottom states: "Please note: Covered Entities are required to maintain all documents that support this filing. For support regarding the submission of your Cybersecurity documents and filings, please contact: CyberRegComments@dfs.ny.gov".

You do not need to send anything to the DFS at this point, however, you should have a written plan in place and on hand as required by the Cybersecurity Law.