

HOW TO FILE INDIVIDUAL NOTICE OF EXEMPTION

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

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

Who: 500.19(b) – You are entitled to this exemption when you are an employee, agent, representative or designee of another Covered Entity and you are following that entity’s cybersecurity program. Under this exemption persons do not need to create their own program, but will be required to identify the Covered Entity’s whose program you are following to claim this exemption.

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 individual license number (just the numerical portion)
3. The name of the entity whose Cybersecurity you fall under (example: ABC Agency) AND the name, email & phone number of the person within that entity who will confirm that you fall within their program.
 - a. Important note: because of this requirement, if you change employers, you will need to go into the Cybersecurity portal and make the updates.

Note: If you change employers at any point in the future, you must change your address with the DFS using the [address change form](#) and you must amend your Cybersecurity Individual Exemption.

Bulk Filing: If you have 50 or more licensed employees, you can [request permission to do a bulk filing](#).

Begin the filing (It looks more complicated than it is, it’ll only take you a few minutes):

Go to the [NYS DFS Cybersecurity Portal](#)

If you have your password:

The screenshot shows the sign-in interface for the NYS DFS Cybersecurity Portal. At the top left is the New York State logo. To its right are navigation links: Services, News, Government, and Local. Below these is the header for the Department of Financial Services, with a 'SECURE PORTAL' badge. The main content area is titled 'My Apps' and contains a 'Sign In' section. This section has two input fields: 'Email Address' and 'Password', both highlighted in yellow. Below the password field is a 'Remember Me' checkbox. A blue 'Sign In' button is positioned below the checkbox. At the bottom of the sign-in area are two links: 'Create Account' and 'Forgot Password'.

If you're creating an account for the 1st time (skip if you have your sign in information):

NEW YORK STATE

Services News Government Local

Department of Financial Services SECURE PORTAL

My Apps

Sign In [Return to Full Page](#)

Email Address
test@email.com

Password

Remember Me

Sign In

[Create Account](#) [Forgot Password](#)

Department of Financial Services SECURE PORTAL

My Apps

Create Account [Return to Full Page](#)

First Name (Required)
 This field is required.

Middle Name

Last Name (Required)
 This field is required.

Email Address (Required)
 This field is required.

Text Verification (Required)
7053 This field is required.

Save

Click SAVE & You'll receive an email with a temporary password, then follow the prompts to sign in and set your new password.

At the next page you'll see:

The screenshot shows the Department of Financial Services Secure Portal. At the top, it says "Department of Financial Services" and "SECURE PORTAL". Below that, there's a navigation bar with "My Apps" and "Cybersecurity". The main heading is "NYS DFS CyberSecurity 23 NYCRR 500 Regulation". There are three main sections: "Exemption", "Compliance", and "Event".

- Exemption:** Perform actions related to your entity's NYS DFS cybersecurity regulation exemption status.
 - File new Notice of Exemption
 - Amend previously filed Notice of Exemption
 - Terminate previously filed Notice of ExemptionButtons: "Begin" and "Begin Bulk Exemption".
- Compliance:** Submit a Certification of Compliance. Button: "Begin".
- Event:** Submit Notice of a Cybersecurity Event. Button: "Begin New".

For the individual exemption CHOOSE the 1st column and click begin if you're doing your own exemption, if your agency has 50 people or more you must seek prior approval from the DFS and do a bulk filing:

The screenshot shows the "Exemption" page. It has the heading "Exemption" and the text "Perform actions related to your entity's NYS DFS cybersecurity regulation exemption status." Below that, there are three bullet points:

- File new Notice of Exemption
- Amend previously filed Notice of Exemption
- Terminate previously filed Notice of Exemption

At the bottom, there are two buttons: "Begin" and "Begin Bulk Exemption".

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

The screenshot shows the "Submit Notice of Exemption" page. At the top, it says "Submit Notice of Exemption". There are navigation tabs: "Find My Entity", "Find My Entity (Cont)", "Exemption Status", "Contact Info", and "Done". Below that, it says "Choose how you will be identifying your entity:". There are four options, each with a checkbox and a list of applicable entities:

- NYS License Number:** - Adjudicators - Ball 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 Retirement Community - Employee Welfare Funds and Retirement Systems - Fraternal Benefit Societies - Health Maintenance Organizations - Managed Long Term Care Plans - Managed Long Term Care Health Benefit Plan - NYS Licensed Insurance Companies - Prepaid Health Services Plan - Public Service Organizations - Student Health Plan
- NMLS:** - Budget Planners - Check Cashers - Licensed Lenders - Money Transmitters - Mortgage Institutions/Lien Originators - Premium Finance Agencies - Sales Finance Companies - Virtual Currency Licensees
- Institution Number:** - All Banking Institutions - Consumer Credit Reporting Agencies - Trust Companies

At the bottom left, there is a link "Help me find my entity". At the bottom right, there is a "Next" button.

Fill in the numerical portion of your 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 name & individual license number 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](#)

Choose "This is a re-submission or an expired exemption or the first submission for this entity or individual":

Department of Financial Services · SECURE PORTAL

My Apps Cybersecurity

Submit Notice of Exemption

[← Back to Main Menu](#)

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Indicate what you are filing

Please choose from the following:

This is a re-submission of an expired exemption or the first submission for this entity or individual

I wish to amend an exemption filed after December 21, 2018

I would like to remove a previously filed exemption

[← Back](#) [Next >](#)

For the full individual exemption, click 500.19(b):

In accordance with 23 NYCRR 500.19(e), JOHN SMITH provides notice of qualification for the following Exemption(s) (check all that apply): *

500.19(a)(1) – I certify the Covered Entity has fewer than 10 employees, including independent contractors.

500.19(a)(2) – I certify the Covered Entity has less than \$5,000,000 in gross annual revenue in each of the last 3 fiscal years from NY business.

500.19(a)(3) – I certify the Covered Entity has less than \$10,000,000 in year-end total assets.

500.19(b) – I certify I am an employee, agent, representative or designee of another Covered Entity and am covered by that entity's cybersecurity program.

500.19(c) – I certify the Covered Entity does not operate, maintain, utilize or control any IT systems and that does not, and is not required to, control, own, access, generate, receive or possess Nonpublic Information.

500.19(d) – I certify the Covered Entity is a captive insurance company that does not, and is not required to, control, own, access, generate, receive or possess Nonpublic Information.

Please note that you are responsible for maintaining documentation sufficient to demonstrate you are qualified for any exemptions claimed; as such, you may be asked to provide documentation to the Department. In addition, the Department will periodically require you to refile your exemption upon request.

After choosing 500.19 (b) a box will appear at the bottom:

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Indicate what you are filing

Please choose from the following:

- This is the first exemption filed for this entity or individual
- I wish to amend a previously filed exemption
- I would like to remove a previously filed exemption

In accordance with 23 NYCRR 500.19(e), JOHN SMITH provides notice of qualification for the following Exemption(s) (check all that apply): *

- 500.19(a)(1) – I certify the Covered Entity has fewer than 10 employees, including independent contractors.
- 500.19(a)(2) – I certify the Covered Entity has less than \$5,000,000 in gross annual revenue in each of the last 3 fiscal years from NY business.
- 500.19(a)(3) – I certify the Covered Entity has less than \$10,000,000 in year-end total assets.
- 500.19(b) – I certify I am an employee, agent, representative or designee of another Covered Entity and am covered by that entity's cybersecurity program.
- 500.19(c) – I certify the Covered Entity does not operate, maintain, utilize or control any IT systems and that does not, and is not required to, control, own, access, generate, receive or possess Nonpublic Information.
- 500.19(d) – I certify the Covered Entity is a captive insurance company that does not, and is not required to, control, own, access, generate, receive or possess Nonpublic Information.

Please note that you are responsible for maintaining documentation sufficient to demonstrate you are qualified for any exemptions claimed; as such, you may be asked to provide documentation to the Department. In addition, the Department will periodically require you to refile your exemption upon request.

What Cybersecurity Policy I Am Following:

You have certified that you are following the cybersecurity program of the following Covered Entity or licensed person and that entity is fully covering the cybersecurity program for all Nonpublic Information and systems in your possession. Please indicate the name of that Covered Entity

Find/Choose my covering entity

Click on "Find or Choose My Covering Entity (for the agency name enter it in Entity Name, if you work for sole proprietor you can choose first & last name) & hit search:

What Cybersecurity Policy I Am Following

Entity name:

OR (If Individual)

First Name:

Last Name:

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

We're almost done, now fill out the following screen with the contact person who will confirm your filing if needed, make sure the email address that you fill in for the person responsible is in the correct format AND click the "I understand...." button: (NOTE: You can change the email on your account on the upper right of the page under your name "my account")

Entity contact who can confirm coverage:

First Name: *

Last Name: *

Email Address: *

Phone Number: *

I understand that The New York State Department of Financial Services may verify the information provided above. I certify that the Covered Entity listed above is entitled to the exemption.

[← Back](#) [Next →](#)

After entering your contact information, please click Submit. On the Done tab, you will find your receipt number that will start with the letter E (for Exemption). Please print this page which shows the 500.19(b) exemption filing and keep for your records as you may need to refer to this if any questions arise. You will also receive an email acknowledgement containing similar information from this screen including your receipt number.

Sample:

Please find your receipt number below.
Receipt Number: E-2018-00000

