

NYS FINANCIAL SERVICES CYBERSECURITY REGULATION CHECKLIST

FOR AGENCIES THAT QUALIFY FOR THE LIMITED EXEMPTION

This is a fillable PDF form - download it to complete it.

In 2024, did your agency ...	YES	NO
1. Have a cybersecurity program? (Computerized devices + protective devices and software such as firewalls and anti-virus software + written policies and procedures that all users of your computer system must follow.)	<input type="checkbox"/>	<input type="checkbox"/>
2. Have written policies and procedures that included:		
• Limits on who can access different parts of your computer system?	<input type="checkbox"/>	<input type="checkbox"/>
• Limits on the use of system administrator accounts (if your agency has a system administrator)?	<input type="checkbox"/>	<input type="checkbox"/>
• Procedures for regularly managing users' access to the system?	<input type="checkbox"/>	<input type="checkbox"/>
• Policies and procedures for ensuring that systems and data that third-party service providers can access are secure?	<input type="checkbox"/>	<input type="checkbox"/>
• Policies and procedures for periodically and securely disposing of non-public information that your agency no longer needs?	<input type="checkbox"/>	<input type="checkbox"/>
3. Perform a risk assessment of your computer system and access to non-public information?	<input type="checkbox"/>	<input type="checkbox"/>
4. Implement and maintain multi-factor authentication (MFA)?	<input type="checkbox"/>	<input type="checkbox"/>
5. Provide cybersecurity awareness training to your employees?	<input type="checkbox"/>	<input type="checkbox"/>
6. Submit either a Certification of Material Compliance or an Acknowledgement of Non-Compliance on the website of the NYS Department of Financial Services?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to any of these questions was "NO," complete the
Acknowledgement of Non-Compliance.

Otherwise, complete the **Certification of Material Compliance.**