



Instructions for Submitting a Certification of Material Compliance for Entities Pursuant to 23 NYCRR § 500.17(b)(1)(i) (as of February 25, 2025)

Step 1: Sign into the DFS Portal.

Visit the DFS Portal online at <https://myportal.dfs.ny.gov/> or use the yellow “DFS Portal” button at the top right corner of any page on the DFS website.

You will be prompted to sign in:

A screenshot of the DFS Portal sign-in page. At the top is a dark blue navigation bar with white text links: "Department of Financial Services", "Consumer Information", "Applications & Filings", "Industry Guidance", "Reports & Publications", and "Contact Us". Below this is a dark blue header with a white user icon and the text "DFS Portal". The main content area is white and features a heading "Sign In to the DFS Portal" with a right-pointing arrow. Below the heading are two input fields: "Your Email" (with "Email" in small text below it) and "Your Password" (with "Password" in small text below it). There is a checkbox labeled "Remember Me" and a dark blue "Sign In" button. At the bottom, there are two links: "Forgot your password?" with a "Forgot Password" button, and "Need an account?" with a "Create Account" button.

If you have a DFS Portal account, enter your email address and password and click the “Sign In” button and go to Step 3.

If you do not have a DFS Portal account, use the “Create Account” button at the bottom of the page to create one.

Step 2: Create a Portal Account. Enter the required information, complete the text verification, and click “Create Account”.

The screenshot shows the 'Sign Up for the DFS Portal' page. At the top is a navigation bar with links: Department of Financial Services, Consumer Information, Applications & Filings, Industry Guidance, Reports & Publications, and Contact Us. Below the navigation bar is the 'DFS Portal' header. The main content area is titled 'Sign Up for the DFS Portal' with the subtext 'Create an account using your email.' The form includes fields for 'Your Email', 'Your First Name', 'Your Middle Name', 'Last Name', and 'Suffix'. Below these fields is a 'mHute' CAPTCHA image with a 'Refresh CAPTCHA' link. A 'Text Verification' field is also present. At the bottom of the form is a 'Create Account' button. Below the button are links for 'Forgot your password?', 'Forgot Password', 'Remember Your Password?', and 'Sign In'.

You will receive an email containing a password at the email address you provided. Use that password and your email address to sign into the DFS Portal.

Step 3: Access the Application. Once you have signed into the DFS Portal, click “Cybersecurity” under the header “APP NAME” to enter the DFS cybersecurity filing system.

The screenshot shows the 'My Apps' page in the DFS Portal. The navigation bar at the top is the same as in the previous screenshot. Below the navigation bar is the 'DFS Portal' header. On the right side of the header, there is a 'My account' link and a 'Sign Out' button. Below the header is a sub-navigation bar with 'My Apps', 'Delegated Admin', and 'Internal Apps'. The main content area has three tabs: 'MY APPS', 'REQUEST APPS', and 'ALERTS'. Below the tabs is a table with two columns: 'APP NAME' and 'DESCRIPTION'. The table contains one row with the app name 'Cybersecurity'. At the bottom of the page is a footer that says 'Click *Request Apps* to access more DFS Portal Apps'.

Step 4: 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 homepage. At the top is a navigation bar with links: 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'. The main content area has three columns. The first column is 'Submit an Exemption Filing' with links: Submit Notice of Exemption, Amend previously filed Notice of Exemption, and Terminate previously filed Notice of Exemption. The second column is 'Submit a Compliance Filing' with links: Submit a Certification of Material Compliance and Submit an Acknowledgment of Noncompliance. The third column is 'Report a Cybersecurity Incident' with links: Report Cybersecurity Incident and Report Extension Payment. Each column has a 'Begin' button at the bottom.

Step 5: 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 7.

The screenshot shows the 'Certify Material Compliance' form. At the top is a 'Back to Main Menu' button. Below is a tabbed interface with 'Find My Entity' selected. Other tabs include 'Find My Entity (Cont)', 'Signatory Info', 'Submitter Info', 'Certification', 'Other Cyber Contacts', and 'Done'. The main content area is titled 'Enter Entity Information'. It contains a paragraph: '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."'. Below this are four options, each with a checkbox and a list of entities: 1. DFS License Number (checkbox), 2. NAC/NY Entity Number (checkbox), 3. NMLS Number (checkbox), 4. Institution Number (checkbox). At the bottom is a link: 'Help find the entity or individual on whose behalf you are filing'.

Step 6: Enter the Identifying Number. Enter the identifying number for the entity and click “Search.”

The screenshot shows the 'Certify Material Compliance' form. At the top, there is a 'Back to Main Menu' button. Below it is a navigation bar with buttons: 'Find My Entity', 'Find My Entity (Cont)' (which is highlighted), 'Signatory Info', 'Submitter Info', 'Certification', and 'Other Cyber Contacts'. Below the navigation bar is a 'Done' button. The main content area is titled 'Enter Entity Information'. It contains a text input field with the placeholder text 'Please provide your entity's identification #' and a 'Search' button with a magnifying glass icon. Below the input field is a link that says 'Help find the entity or individual on whose behalf you are filing'. At the bottom of the form, there are 'Back' and 'Next' buttons.

When the name of the entity on whose behalf you are filing appears in the bottom half of the screen, click “Next.”

The screenshot shows the 'Certify Material Compliance' form. At the top, there is a 'Back to Main Menu' button. Below it is a navigation bar with buttons: 'Find My Entity', 'Find My Entity (Cont)' (which is highlighted), 'Signatory Info', 'Submitter Info', 'Certification', 'Other Cyber Contacts', and 'Done'. Below the navigation bar is a 'Done' button. The main content area is titled 'Enter Entity Information'. It contains a text input field with the placeholder text 'Please provide your entity's identification #' and a 'Search' button with a magnifying glass icon. Below the input field is a link that says 'Help find the entity or individual on whose behalf you are filing'. Below the link is a text box containing the text 'ENTITY NAME'. At the bottom of the form, there are 'Back' and 'Next' buttons.

Step 7: 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 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: All or part of the name

OR (If Individual)

First Name:

Last Name:

 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/mylicense/search.html> to find their DFS license number.

Enter the name in the first text box and click “Search.”

There may be more than one entity with all or part of the name you enter; so, you may see more than one choice, as shown in the screen below. The image below shows two results, but there may be more depending on the name entered.


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 #
Entity Name	Identification #

Showing 2 results

Choose the name of the entity on whose behalf you are filing.

Step 8: 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.)

The screenshot shows the 'Signatory Info' step of the 'Certify Material Compliance' process. At the top, there is a 'Back to Main Menu' button. Below it are navigation tabs: 'Find My Entity', 'Find My Entity (Cont)', 'Signatory Info' (which is highlighted), 'Submitter Info', and 'Certification'. There are also buttons for 'Other Cyber Contacts' and 'Done'. The main content area has two radio button options: 'Highest Ranking Executive and CISO/Senior Officer' (selected) and 'Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program'. Below these are two columns of input fields, each with a red asterisk indicating a required field. The left column fields are 'Highest-Ranking Executive: *', 'Title: *', 'Email: *', and 'Phone Number: *'. The right column fields are 'CISO, or if there is no CISO, the Senior Officer responsible for the Cybersecurity Program: *', 'Title: *', 'Email: *', and 'Phone Number: *'. At the bottom, there are 'Back' and 'Next' buttons.

Step 9: Submitter Info. Fill out the requested information and click “Next.” You can change the name and email address that automatically 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.)

The screenshot shows the 'Submitter Info' step of the 'Certify Material Compliance' process. At the top, there is a 'Back to Main Menu' button. Below it are navigation tabs: 'Find My Entity', 'Find My Entity (Cont)', 'Signatory Info', 'Submitter Info' (which is highlighted), and 'Certification'. There are also buttons for 'Other Cyber Contacts' and 'Done'. The main content area is titled 'Enter Submitter Information' and contains four input fields, each with a red asterisk indicating a required field: 'Submitter Name: *', 'Submitter Title: *', 'Submitter Phone Number: *', and 'Submitter Email Address *'. At the bottom, there are 'Back' and 'Next' buttons.

Step 10: 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: https://www.dfs.ny.gov/industry_guidance/cybersecurity to help you. (Please note: You must check one of the three options.)

Certify Material Compliance

← Back to Main Menu

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 500.13(a)(1)
☐ Section 500.13(a)(2)
☐ Section 500.13(a)(3)
☐ Section 500.13(a)(4)
☐ Section 500.13(a)(5)

When determining whether the Covered Entity qualifies as a Class A Company or for the Section 500.13(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 500.13(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: https://www.dfs.ny.gov/industry_guidance/cybersecurity#part-500-exemptions.

Certify Material Compliance

Back to Main Menu

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(e)

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 500.19(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 11: 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 the 'Certify Material Compliance' interface with the 'Other Cyber Contacts' tab selected. At the top, there 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 a text prompt: '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 prompt are four input fields labeled 'Title:', 'Name:', 'Phone:', and 'Email:'. Under these fields is an 'Add Another Contact' button. At the bottom left is a 'Back' button, and at the bottom right is a 'Submit' button.

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 'Certify Material Compliance' interface, but now with a list of contacts displayed below the 'Add Another Contact' button. The list has columns for 'Title', 'Name', 'Phone', and 'Email'. Below the list is a 'Remove' button. The rest of the interface, including the navigation bar and input fields, remains the same as in the previous screenshot.

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

Step 12: Done. You will receive an online confirmation once the certification is successfully submitted. Please print the screen for your records.

The screenshot shows a web interface titled "Certify Material Compliance". At the top, there is a "Back to Main Menu" button. Below it are several tabs: "Find My Entity", "Find My Entity (Cont)", "Signatory Info", "Submitter Info", "Certification", "Other Cyber Contacts", and a highlighted "Done" button. The main content area is titled "Success" and contains the following text:

You have successfully submitted a Certification of Material Compliance for **Covered Entity**.
Receipt number: C- **XXXX-XXXX**
Highest-Ranking Executive and CISO certify that:
(1) **Covered Entity** qualifies for the following limited exemption(s):
Section 500.17(a)(1)
Section 500.17(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: **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).
(3)

Step 13: Email Receipts. The person(s) whose email address(es) you provided in Steps 8 and 9 will receive an email with a receipt number.

The screenshot shows an email receipt from the NYS Department of Financial Services. The header reads "NYS Department of Financial Services Cybersecurity Certification of Material ...". The email is from "noreply@dfs.ny.gov" to "To". The body of the email contains the following text:

Submitter submitted a Certification of Material Compliance for **Covered Entity** to the NYS Department of Financial Services. This is the only receipt and confirmation of this submission that you will receive. Please keep a copy of the below receipt number for your records.

Receipt number: C- **XXXX-XXXX**
Covered Entities are required to maintain all documents that support this submission for 5 years pursuant to Section 500.17(b)(3).

For support regarding the submission of your Cybersecurity documents and filings, please contact:
CyberRegSupport@dfs.ny.gov

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.