



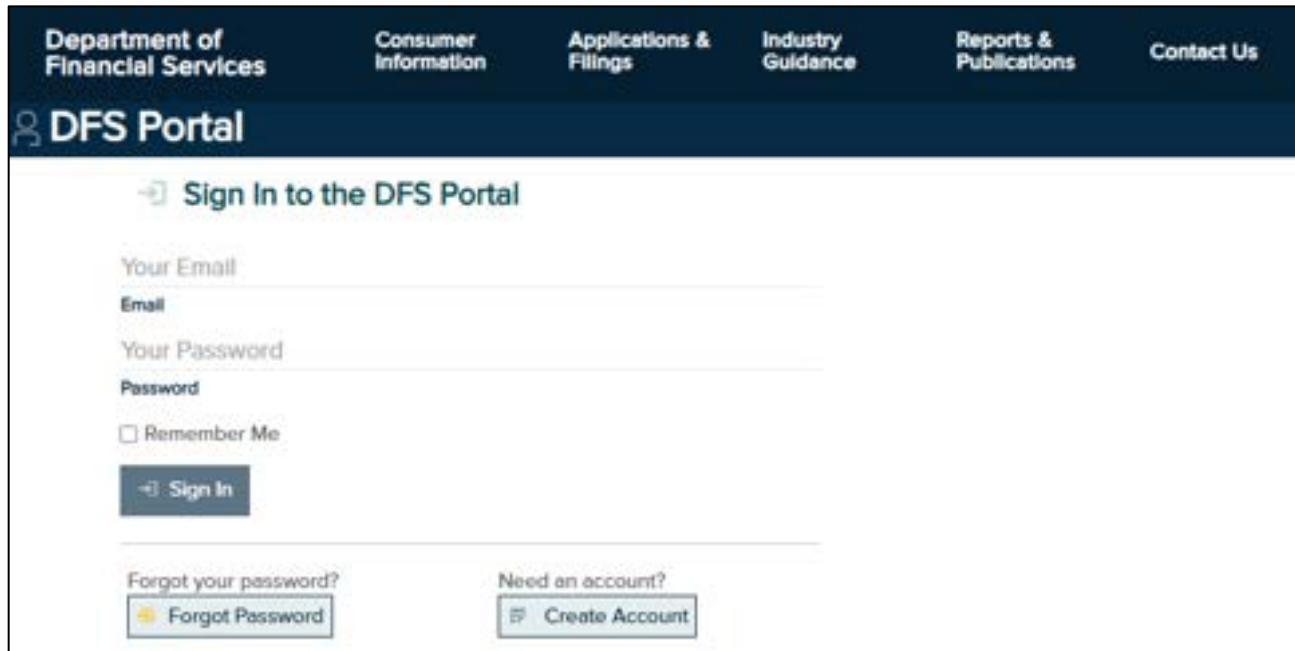
## Instructions for Submitting a Certification of Material Compliance for Entities Pursuant to 23 NYCRR § 500.17(b)(1)(i) (as of February 25, 2025)

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### 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.

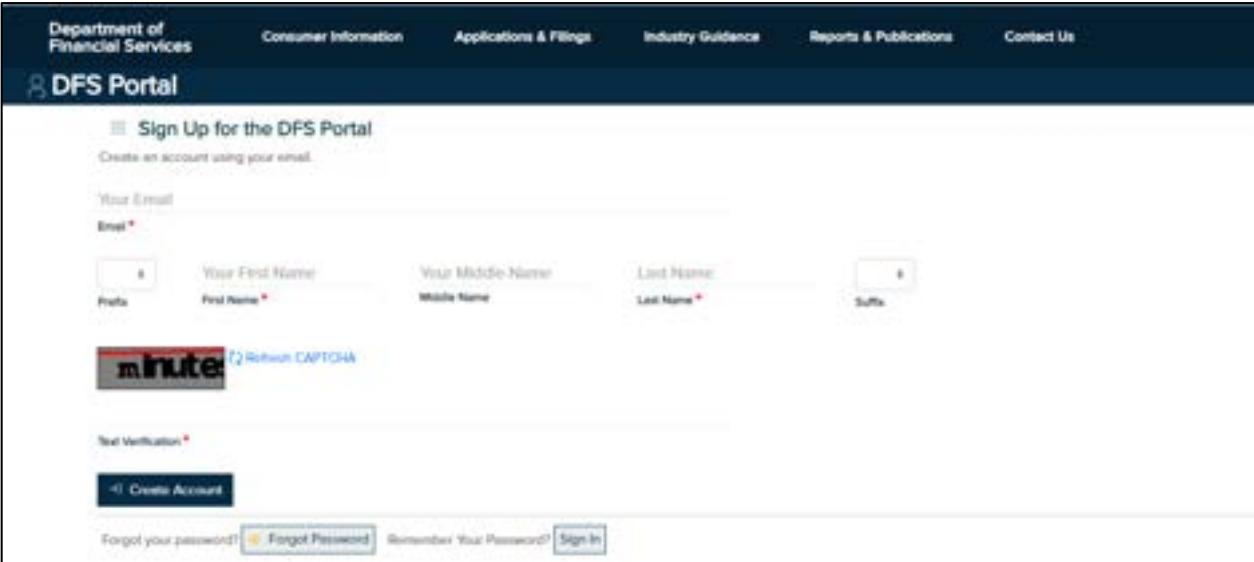
You will be prompted to sign in:

A screenshot of the DFS Portal sign-in page. The page has a dark blue header with the DFS logo and a navigation menu with links for Department of Financial Services, Consumer Information, Applications & Filings, Industry Guidance, Reports & Publications, and Contact Us. Below the header is a white sign-in form. It has fields for "Your Email" and "Email", and "Your Password" and "Password". There is a "Remember Me" checkbox and a "Sign In" button. At the bottom of the form are links for "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”.



Sign Up for the DFS Portal

Create an account using your email.

Your Email

Email \*

First Name \*

Middle Name

Last Name \*

Suffix

minute Return CAPTCHA

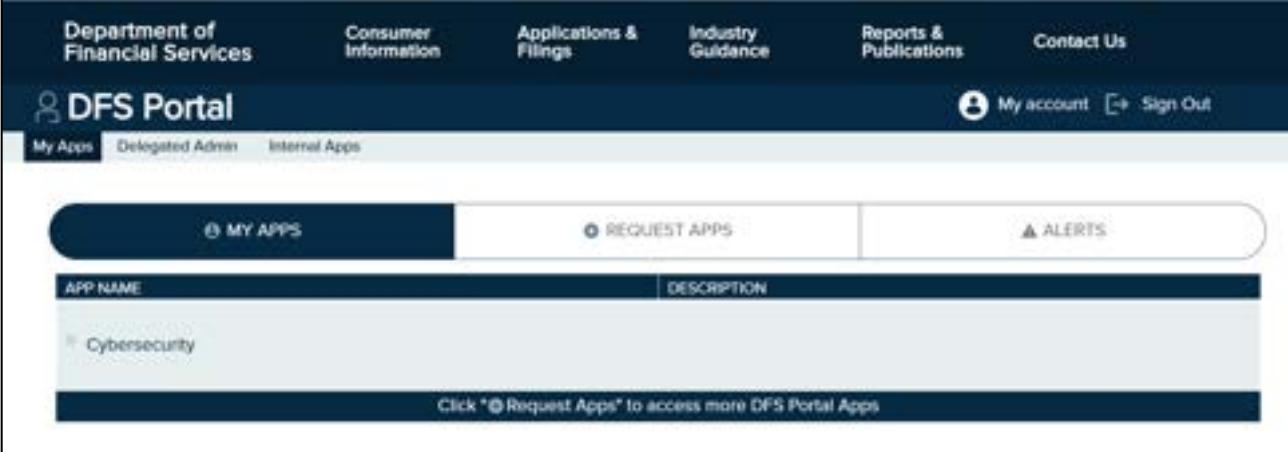
Text Verification \*

Create Account

Forgot your password? Forgot Password Remember Your Password? 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.



Department of Financial Services

Consumer Information

Applications & Filings

Industry Guidance

Reports & Publications

Contact Us

DFS Portal

My Apps Delegated Admin Internal Apps

APP NAME	DESCRIPTION
Cybersecurity	

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.”



**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.

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Certify Material Compliance

Find My Entity Find My Entity (Cont) Signatory Info Submitter Info Certification Other Cyber Contacts Done

Enter Entity Information

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."

**DFS License Number**

[Advertisers](#) [Bill Board Agents](#) [Broker](#) [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](#)

**NAC/NY Entity Number**

[Continuing Care Retirement Community](#) [Employee Welfare Funds and Retirement Systems](#) [Franchise Benefit Societies](#) [Health Maintenance Organizations](#) [Managed Long Term Care Plans](#) [NYS Licensed Insurance Companies](#) [Municipal Cooperative Health Benefit Plan](#) [Prepaid Health Services Plan](#) [Risk Service Organizations](#) [Student Health Plan](#)

**NMLS Number**

[Budget Planners](#) [Check Cashers](#) [Licensed Lenders](#) [Money Transmitters](#) [Mortgage Institutions/Loan Originators](#) [Premium Finance Agencies](#) [Sales Finance Companies](#) [Student Loan Servicers](#) [Virtual Currency Licenses](#)

**Institution Number**

[All Banking Institutions](#) [Consumer Credit Reporting Agencies](#) [Trust Companies](#)

[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.”

Certify Material Compliance

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[Done](#)

Enter Entity Information

Please provide your entity's identification #:

[Search](#)

Help find the entity or individual on whose behalf you are filing

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

Certify Material Compliance

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Enter Entity Information

Please provide your entity's identification #:

[Search](#)

The following entity or individual has been found, and if you are filing on their behalf, you may continue by clicking 'Next'. Please carefully review the entity information listed below to ensure you select the correct information.

ENTITY NAME

Help find the entity or individual on whose behalf you are filing

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**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 DPS contact. Insurance agents and brokers can visit <https://myportal.dps.ny.gov/myDPSentitySearch.alice> to find their DPS 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 #
---------------------------------	---------------------------------

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.)

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[Find My Entity](#) [Find My Entity \(Cont\)](#) **Signatory Info** [Submitter Info](#) [Certification](#)

[Other Cyber Contacts](#) [Done](#)

Highest-Ranking Executive and CISO/Senior Officer  Individual Licensee functionally acting as the Highest-Ranking Executive and the Senior Officer responsible for my Cybersecurity Program

Highest-Ranking Executive: \* CISO, or if there is no CISO, the Senior Officer responsible for the Cybersecurity Program: \*

Title: \*  Title: \*

Email: \*  Email: \*

Phone Number: \*  Phone Number: \*

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**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.)

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[Other Cyber Contacts](#) [Done](#)

Enter Submitter Information

Submitter Name: \*

Submitter Title: \*

Submitter Phone Number: \*

Submitter Email Address: \*

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

**Certify Material Compliance**

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[Done](#)

Highest-Ranking Executive and CEO 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(b)(6)(B)  
 Section 500(b)(6)(C)  
 Section 500(b)(6)(D)  
 Section 500(b)(6)(E)  
 Section 500(b)(6)(F)

When determining whether the **Covered Entity** qualifies as a Class A Company or for the Section 500(b)(6) 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(b) 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** **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.

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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](https://www.dfs.ny.gov/industry_guidance/cybersecurity#part-500-exemptions).

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[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(d)

*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 500.8(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** **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.

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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.

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[Find My Entity](#) [Find My Entity \(Cont\)](#) [Signatory Info](#) [Submitter Info](#) [Certification](#) **Other Cyber Contacts** [Done](#)

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.

Title:

Name:

Phone:

Email:

[Add Another Contact](#)

[Back](#) [Submit](#)

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.”

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[Find My Entity](#) [Find My Entity \(Cont\)](#) [Signatory Info](#) [Submitter Info](#) [Certification](#) **Other Cyber Contacts** [Done](#)

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.

Title:

Name:

Phone:

Email:

[Add Another Contact](#)

Remove

[Back](#) [Submit](#)

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.

**Certify Material Compliance**

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[Other Cyber Contacts](#) **Done**

**Success**

You have successfully submitted a Certification of Material Compliance for **Covered Entity**

Receipt number: C- **XXXX-XXXX**

Highest Ranking Executive and CSO 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 CSO  
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).

**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.

**NYS Department of Financial Services Cybersecurity Certification of Material ...**

 [noreply@dfs.ny.gov](#)

To



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](mailto: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](mailto:cyberregsupport@dfs.ny.gov).