## NY CYBERSECURITY REGULATION

# CERTIFICATION OF COMPLIANCE

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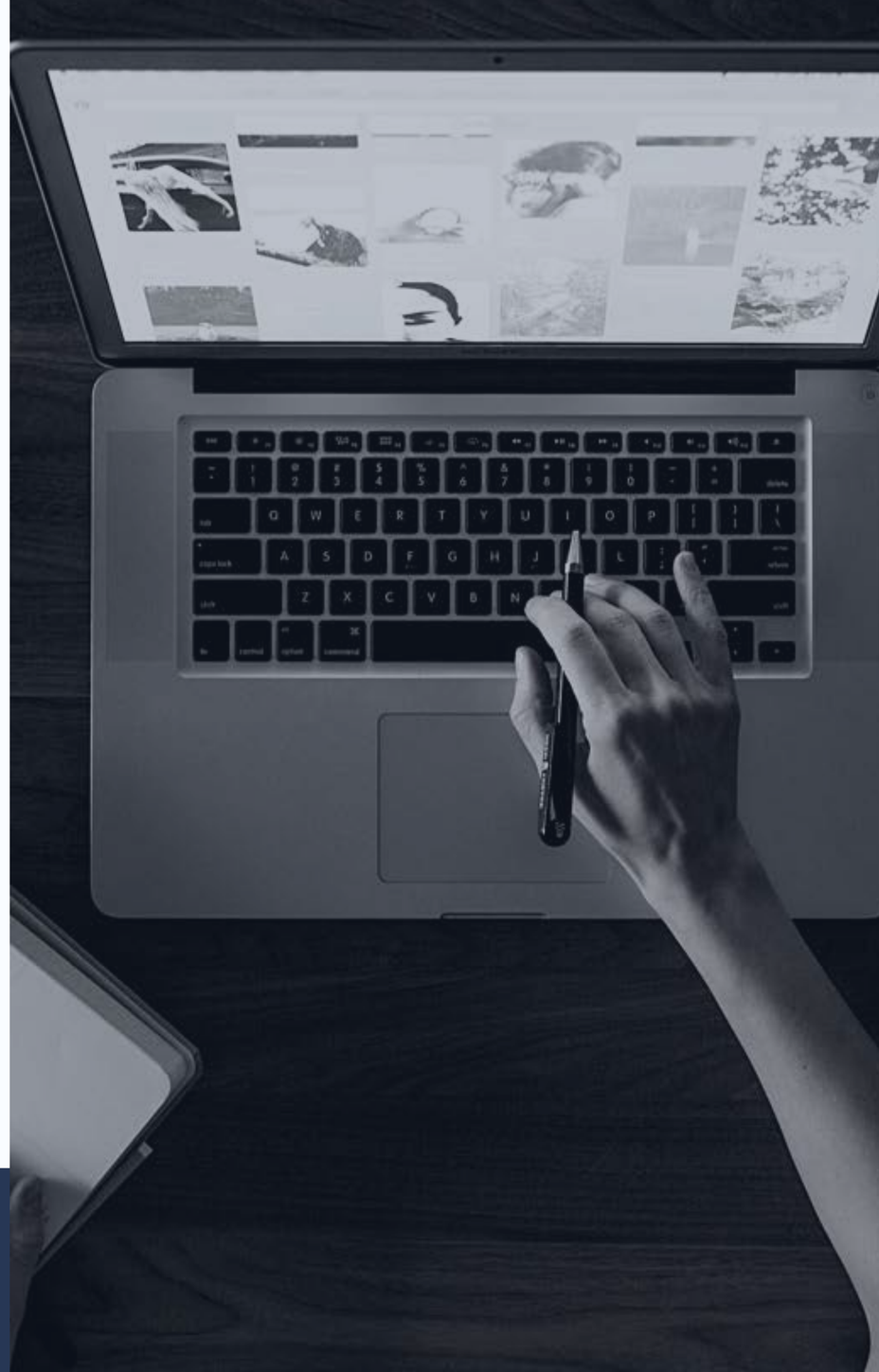


# BEFORE YOU START

## DID YOUR AGENCY HAVE A CYBERSECURITY PROGRAM AT THE END OF LAST YEAR THAT MET THE REGULATION'S REQUIREMENTS?

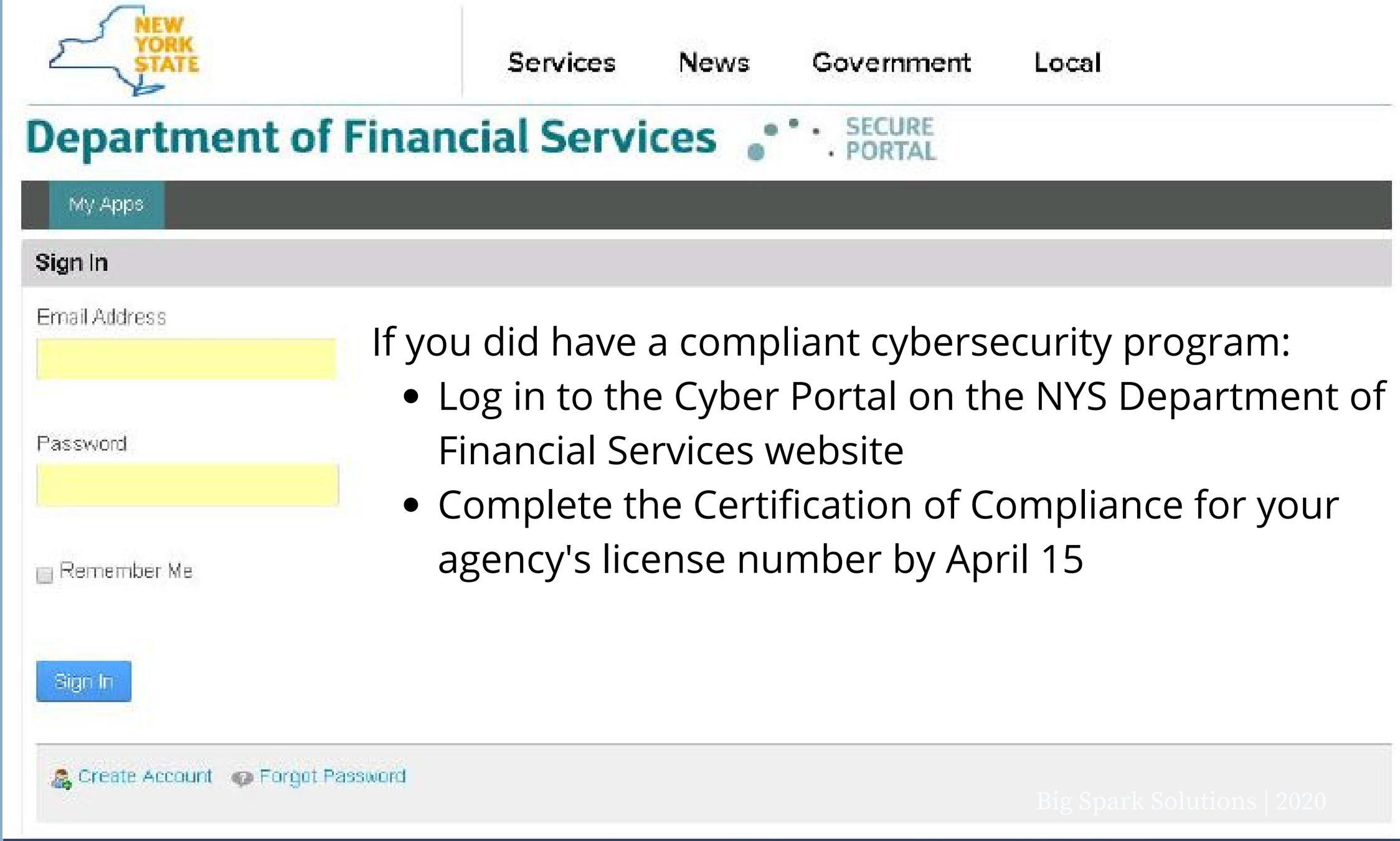
If not, file the Certification of Compliance, but also take immediate steps to identify the shortcomings and make plans for addressing them as soon as possible. Document your findings & plans.

# NEED HELP WITH THAT?

Log in at www.biginy.org

Click on "Cybersecurity"

Look for "Filing Instructions" and "Compliance Resources"




If you did have a compliant cybersecurity program:

- Log in to the Cyber Portal on the NYS Department of Financial Services website
- Complete the Certification of Compliance for your agency's license number by April 15

## REMEMBER!

# THIS REQUIREMENT **DOES NOT** APPLY TO LICENSED MEMBERS OF YOUR STAFF

THEY DO NOT HAVE TO FILE

# TIPS

## AFTER YOU LOG IN

Click the "Begin" button under the "Compliance" column

## ON THE "FIND MY ENTITY" TAB

Choose "NYS License Number" as how you will identify your entity. It's the easiest method.

## ENTER THE AGENCY'S LICENSE NUMBER

Skip the two-letter prefix
Enter "123456" instead of "PC-123456"

# TIPS

## IDENTIFY WHO REVIEWED THE CERTIFICATION

If your agency is a corporation, it's either your board of directors (if you have one) or a senior officer (probably the agency principal)

Otherwise, just enter the agency principal's name, title and email address

## DATE OF CERTIFICATION

Enter the date you're completing the certification

## "YEAR ENDED" DEFAULTS TO THE PREVIOUS YEAR

This cannot be changed

# TIPS

## SIGNATURE TAB

Enter the name and contact information of the person completing the form

## AFFIRMATION

Check the box to affirm that the information on the form is accurate, then click "Submit"

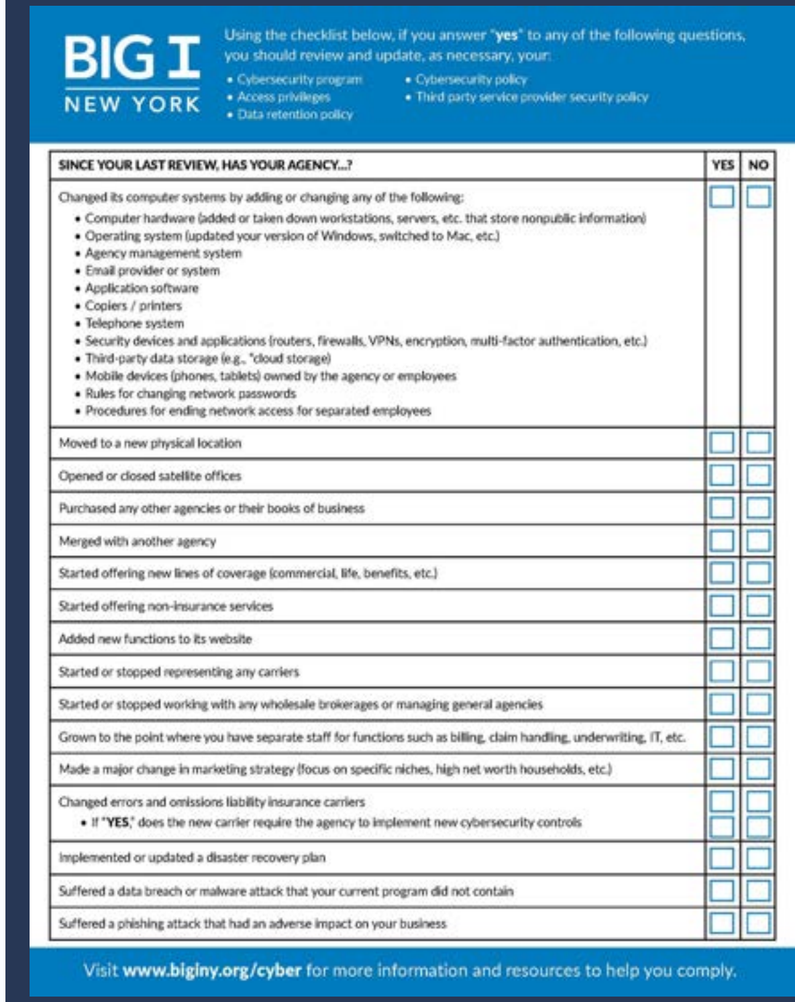
# FINISHED!

PRINT A COPY OF THE RECEIPT
YOU MIGHT NEED THE CONFIRMATION
NUMBER ONE DAY

# MORE INFORMATION

## WWW.BIGINY.ORG
## CLICK ON "CYBERSECURITY"

- Review the steps for compliance
- Download the "Cybersecurity Bundle"
- See if it's time to review your cybersecurity program
- Watch videos and recorded webinars
- Learn about cybersecurity consulting firm LCG



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Using the checklist below, if you answer "**yes**" to any of the following questions, you should review and update, as necessary, your:

- Cybersecurity program
- Access privileges
- Data retention policy
- Cybersecurity policy
- Third party service provider security policy

| SINCE YOUR LAST REVIEW, HAS YOUR AGENCY...? | YES | NO |
|---|---|---|
| Changed its computer systems by adding or changing any of the following:<br>• Computer hardware (added or taken down workstations, servers, etc. that store nonpublic information)<br>• Operating system (updated your version of Windows, switched to Mac, etc.)<br>• Agency management system<br>• Email provider or system<br>• Application software<br>• Copiers / printers<br>• Telephone system<br>• Security devices and applications (routers, firewalls, VPNs, encryption, multi-factor authentication, etc.)<br>• Third-party data storage (e.g., "cloud storage)<br>• Mobile devices (phones, tablets) owned by the agency or employees<br>• Rules for changing network passwords<br>• Procedures for ending network access for separated employees | ☐ | ☐ |
| Moved to a new physical location | ☐ | ☐ |
| Opened or closed satellite offices | ☐ | ☐ |
| Purchased any other agencies or their books of business | ☐ | ☐ |
| Merged with another agency | ☐ | ☐ |
| Started offering new lines of coverage (commercial, life, benefits, etc.) | ☐ | ☐ |
| Started offering non-insurance services | ☐ | ☐ |
| Added new functions to its website | ☐ | ☐ |
| Started or stopped representing any carriers | ☐ | ☐ |
| Started or stopped working with any wholesale brokerages or managing general agencies | ☐ | ☐ |
| Grown to the point where you have separate staff for functions such as billing, claim handling, underwriting, IT, etc. | ☐ | ☐ |
| Made a major change in marketing strategy (focus on specific niches, high net worth households, etc.) | ☐ | ☐ |
| Changed errors and omissions liability insurance carriers<br>• If "**YES**," does the new carrier require the agency to implement new cybersecurity controls | ☐<br>☐ | ☐<br>☐ |
| Implemented or updated a disaster recovery plan | ☐ | ☐ |
| Suffered a data breach or malware attack that your current program did not contain | ☐ | ☐ |
| Suffered a phishing attack that had an adverse impact on your business | ☐ | ☐ |

Visit **www.biginy.org/cyber** for more information and resources to help you comply.

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