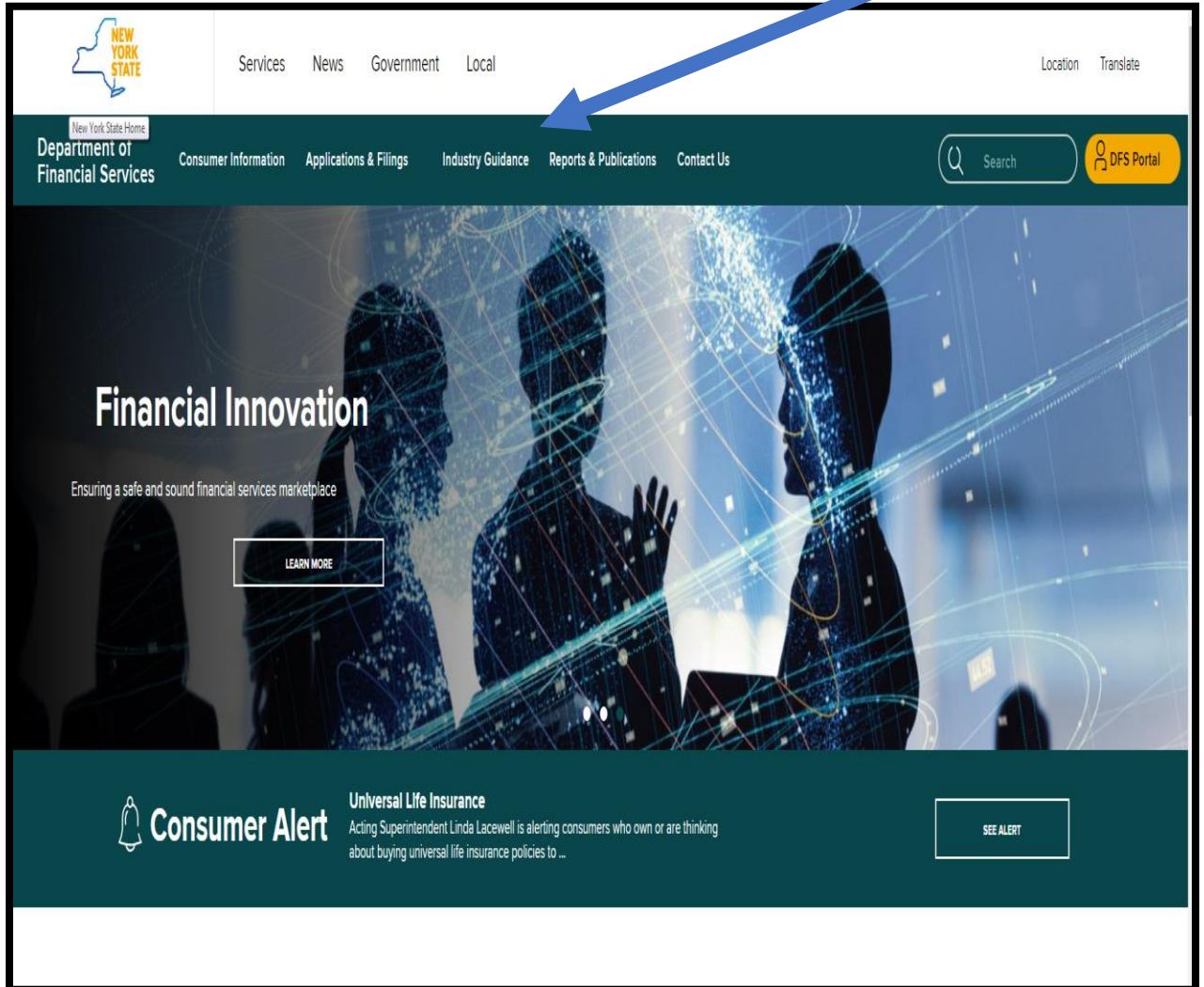


Instructions on How to File Certification of Compliance

The DFS Certification of Compliance is a critical governance pillar for the cybersecurity program of all DFS regulated entities. Prior to **April 15 of every year**, all regulated entities and licensed persons must file a Certification of compliance to the Superintendent covering previous calendar year confirming their compliance with the DFS cybersecurity regulation. An entity or individual should only submit a Certification if they were in compliance with all portions of the regulations that apply to that Covered Entity. Even if you filed a Notice of Exemption, you might have to submit a Certification of Compliance to demonstrate that you were in compliance with the portions of the regulation that apply to you.

1. First, from the Department of Financial Services webpage (www.dfs.ny.gov), please click on the “Industry Guidance” column.



2. Once in Industry Guidance, click on “Cybersecurity Resource Center” which opens to below:

The screenshot shows the Department of Financial Services website. The top navigation bar includes 'Services', 'News', 'Government', and 'Local'. The main navigation bar lists 'Consumer Information', 'Applications & Filings', 'Industry Guidance', 'Reports & Publications', and 'Contact Us'. A search bar and a 'DFS Portal' button are also visible. The left sidebar is titled 'Industry Guidance' and lists various categories, with 'Cybersecurity Resource Center' highlighted. The main content area features the following sections:

- Cybersecurity Resource Center**: A heading followed by a paragraph stating that all entities and persons regulated or licensed by the New York State Department of Financial Services are required to file various cybersecurity notices to the Superintendent. Below this are links to:
 - Memo from the Superintendent (PDF)
 - Text of Regulation (PDF)
 - Frequently Asked Questions (FAQs)
 - Information about 2019 filings
- Key Dates for 2019 Filings**: A heading followed by two sub-sections:
 - January 2019 Covered Entities Must File Notices of Exemption**: A paragraph stating that exemptions filed in 2017 and 2018 have expired, and any DFS regulated entity or licensed person currently entitled to an exemption must file an Initial Notice of Exemption prior to February 15, 2019.
 - February 15, 2019 Compliance Certification Filing Deadline**: A paragraph stating that regulated entities and licensed persons must file the Certification of Compliance for calendar year 2018 no later than February 15, 2019.
- How to File**: A heading followed by a paragraph explaining that the DFS Cybersecurity Portal has been redesigned to assist with filings and encourage the use of identifying numbers (New York State License number, NAIC/NY Entity number, NMLS number, or Institution number).

- Once selected, go to the middle of the page under “Instructions on How to File” you can click on it to access the DFS Cybersecurity Portal. Please note, filing instruction links can be found under “How to File”.

The screenshot shows the 'How to File' page on the Department of Financial Services website. The left sidebar is titled 'Industry Guidance' and lists various categories, with 'Cybersecurity Resource Center' highlighted. The main content area features the following sections:

- How to File**: A heading followed by a paragraph explaining that the DFS Cybersecurity Portal has been redesigned to assist with filings and encourage the use of identifying numbers (New York State License number, NAIC/NY Entity number, NMLS number, or Institution number). A paragraph below states: "To get started please visit the DFS Cybersecurity Portal:"
- DFS Portal**: A prominent yellow button with a person icon and the text 'DFS Portal'.
- Links**: A list of links to various filing documents:
 - New or Initial Exemption Filings (PDF)
 - Amend previous Exemption Filings (PDF)
 - Terminate previous Exemption Filings (PDF)
 - Certification of Compliance (PDF)

Identify the Filing Entity

- Enter your DFS portal account information and select “Sign In.” If you previously made any cybersecurity filing with DFS, the account information you previously used remains the same and you should not create a new portal account. All prior filings are associated with your existing account and you should use the same account.

If you have never created a DFS portal account, you will need to create a new account by selecting “Create Account”. Please refer to the details in the next step for creating a new account.

5. Skip to Step 9 if you already have an account. After clicking “Create Account”, you will be prompted to enter information required to create a DFS portal account. The “Text Verification” on the right side of the screen will be unique with each attempt to create an account. Select “Save” to create your DFS portal account.

After selecting “Save”, a confirmation message as shown below will be displayed. Use the password sent to the email address you entered in the prior screen to sign in.

NEW YORK STATE

Services News Government Local

Department of Financial Services . . . SECURE PORTAL

My Apps

Sign In [Return to Full Page](#)

Thank you for creating an account. Your password has been sent

Email Address This field is required.

Password

Remember Me

Sign In

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

6. Upon logging in, you will find the landing page shown below.

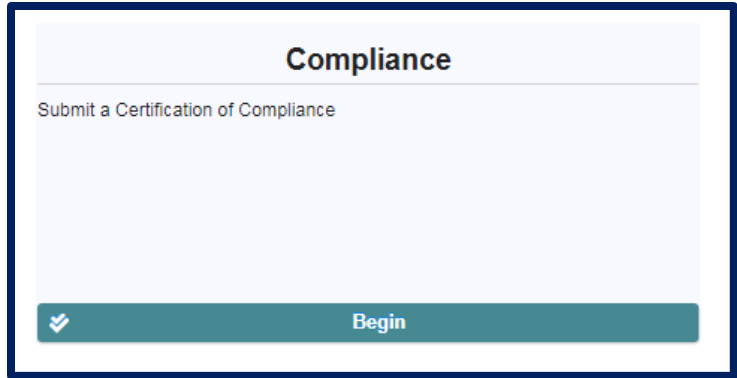
Department of Financial Services . . . SECURE PORTAL

My Apps Cybersecurity

NYS DFS CyberSecurity 23 NYCRR 500 Regulation

Exemption	Compliance	Event
Perform actions related to your entity's NYS DFS cybersecurity regulation exemption status. <ul style="list-style-type: none">File new Notice of ExemptionAmend previously filed Notice of ExemptionTerminate previously filed Notice of Exemption	Submit a Certification of Compliance	Submit Notice of a Cybersecurity Event
Begin Begin Bulk Exemption	Begin	Begin New

7. To start a Notice of Compliance Filing, please select “Begin” under the Notice of Compliance banner. You will need to file a Certification of Compliance on an annual basis, by April 15.



8. After clicking Begin, you will need to select the license number that you will be using to identify the regulated company or licensed person for whom you are filing. Please select your NY State License Number, NAIC/NY Entity Number, NMLS Number or Institution Number.

Please note, to facilitate ease of use, DFS allowed the use of different types of license numbers to enable users to identify themselves by various means. The portal includes recommendations for each type of license number. However, most regulated entities and licensed persons have more than one type of license number and the system will accept the filing using any of these types provide you identify the type of number being used. For example, if your company has both an NMLS number and a NYS License number, you can

use either to identify yourself in the portal. If you do not know your entity's number, then please select "Help me find my entity" (Skip to Step 12 for further instructions).

9. If you already know your license number, then you will land on the page below.

Enter Entity Information

Please provide your entity's NYS License #:

[Help me find my entity](#)

10. Please enter your number and click "Search". A message that an entity or individual has been found and the name of the individual or entity will appear in the box; please verify that the information is accurate. If accurate, click next at the bottom right of the screen and skip to step 14.

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.

NAME WILL APPEAR HERE

[Help me find my entity](#)

11. If your identifying number is incorrect you will receive the following error message.

Please provide your entity's NYS License #:

No entity or License # could be found which matched your entry.

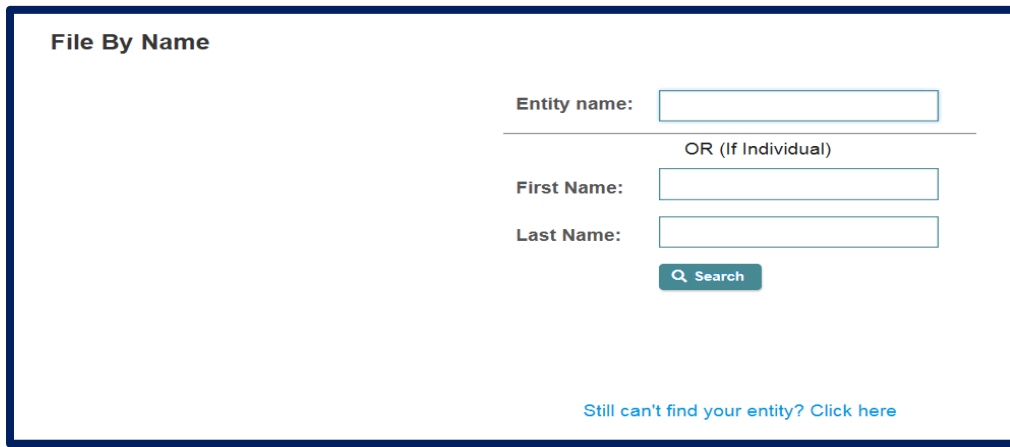
12. If you receive an error, please check your number was entered correctly and search again if possible. If you do not know your number, please select "Help me find my entity" located at the bottom left of the page in blue font.

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.

NAME WILL APPEAR HERE

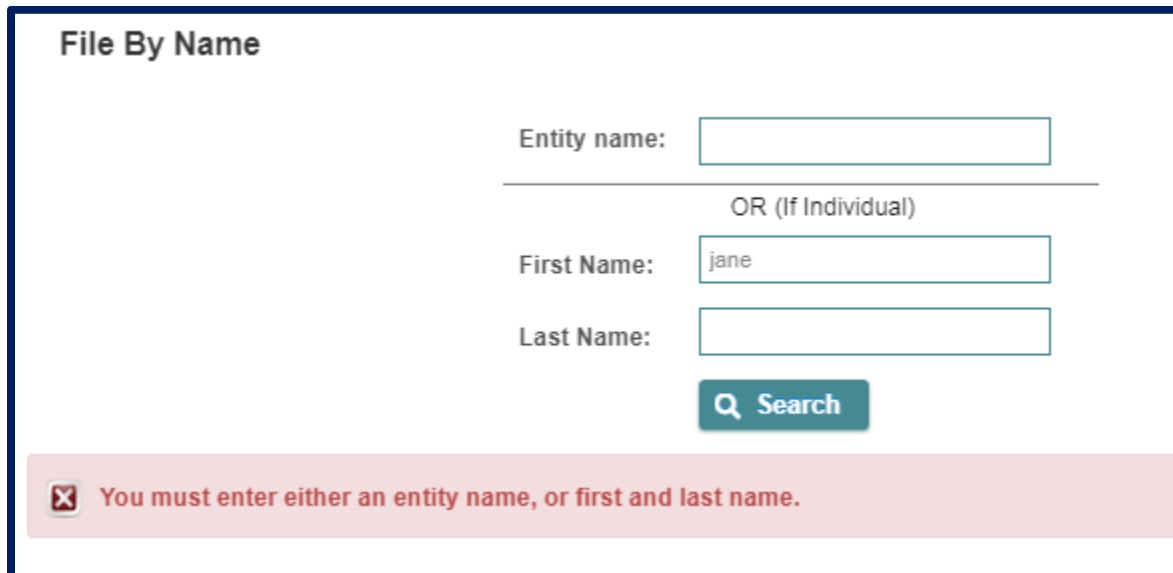
[Help me find my entity](#)

13. Once you select “Help me find my entity” you will see this screen, and you will be able to enter information (your entity name or individual name- including both first name and last name) which will prompt a search for your license number.



The screenshot shows a search form titled "File By Name". It has three input fields: "Entity name:", "First Name:", and "Last Name:". A horizontal line separates the "Entity name" field from the "First Name" and "Last Name" fields. Below the "First Name" field, the text "OR (If Individual)" is displayed. A "Search" button with a magnifying glass icon is located below the "Last Name" field. At the bottom of the form, there is a link that says "Still can't find your entity? Click here".

Note, when searching as an individual, if you do not enter the first and last name you will receive this error message:



The screenshot shows the same "File By Name" search form as above, but with an error message displayed at the bottom. The "Entity name" field is empty. The "First Name" field contains the text "jane". The "Last Name" field is empty. The "Search" button is visible. The error message is: "You must enter either an entity name, or first and last name." The message is preceded by a red square icon with a white 'X'.

Once you enter your entity information in the Entity name box, then click “Search”, results will appear in blue, which specify the entity name(s) and license number(s) (see example below). Please select the name that matches you or your entity. The name you selected will display in the upper right corner of the screen. You can skip to Step 14.

File By Name

Entity name: All or part of the name

OR (If Individual)

First Name:

Last Name:

Please carefully review the search results before making a selection

Fake Company Name NYS License #: #####	Fake Company Name NYS License #: #####	Fake Company Name NYS License #: #####
Fake Company Name NYS License #: #####	Fake Company Name NYS License #: #####	

Showing 5 results

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

14. If you are still unable to find your entity, please click on “Still can’t find your entity?”. By clicking and moving to this page, you will be able to manually enter more detailed information to make your filing. While filing by name is possible, it will not result in your filing being automatically associated with your license record. We may contact you for further information to confirm your license. You may also get notice of delinquency and missing filings until your Notice of Exemption (if applicable) has been associated with your record.

File By Name

Filing by name will require you to provide the additional information below:

Entity or First Name: *	<input type="text"/>
Last Name (required for individuals):	<input type="text"/>
Employed by (required for individuals):	<input type="text"/>
Social Security or Tax ID Number: *	<input type="text"/>
Home Address (required for individuals):	<input type="text"/>
Work or Office Address: *	<input type="text"/>
DOB (required for individuals):	<input type="text"/>
Type of license or field of business: *	<input type="text"/>
Phone Number: *	<input type="text"/>

Back

Submit

Filing a Certification of Compliance

15. Regulated entities and licensed persons must file a Certification of Compliance to the Superintendent covering calendar year 2019 confirming compliance with 23 NYCRR 500. This certification can be made by the Board of Directors, a Senior Officer, or in the case of an individual licensed person, by self. Please indicate who is making the certification for the cybersecurity program.

Certifications by the Board: This option can be used for certifications made by the governing body of any type of corporate body including corporations, partnerships, or any other formations. The certification should be made by the highest governing body, irrespective of whether it is called the “Board of Directors.” When completing the certification for the Board or equivalent governing body, please indicate the name of the Board, partner or committee member(s) who participated in the decision in the first box. In the field for title, please indicate the title(s) of these individuals (i.e., directors, partners, or other applicable title). Please indicate a single email address that can be used for communications with the Board about the certification to certify compliance.

Find My Entity Find My Entity (Cont) **Certification Detail** Signature Done

Certification of compliance reviewed by:

Board of Directors Senior Officer(s) Self (if filing on behalf of your own individual license)

Name(s) of the Board member(s) certifying Compliance

Title(s)

Email for Board

Covered Entity Tax ID Number

Date of the Board Resolution Compliance Finding

For the year ended (year for which Board Resolution of Compliance Finding is provided)

< Back Next >

16. **Certifications by Senior Officer(s):** This option can be used for certifications made by the senior individual or individuals (acting collectively or as a committee) responsible for the management, operations, security, information systems, compliance and/or risk of a Covered Entity. When completing the certification for a Senior Officer(s), please indicate the name(s) of the Senior Officer(s) who participated in the decision in the first field. In second field please indicate the title(s) of these individuals. Please indicate a single email address that can be used for communications with the Senior Officers(s) about the certification.

Find My Entity Find My Entity (Cont) **Certification Detail** Signature Done

Certification of compliance reviewed by:

Board of Directors Senior Officer(s) Self (if filing on behalf of your own individual license)

Name(s) of the Board member(s) certifying Compliance

Title(s)

Email for Board

Covered Entity Tax ID Number

Date of the Board Resolution Compliance Finding

For the year ended (year for which Board Resolution of Compliance Finding is provided)

< Back Next >

17. **Certifications by Individual Licensees:** Self can be used if you are filing for your own individual license. If you are not an entity, but an individual and are filing for a license that you hold for yourself, then select this option.

Find My Entity Find My Entity (Cont) **Certification Detail** Signature Done

Certification of compliance reviewed by:

Board of Directors Senior Officer(s) Self (if filing on behalf of your own individual license)

Name of person self-certifying

Title

Email of person self-certifying

Covered Entity Social Security Number or Tax ID Number

Date of the Self-determination Compliance Finding

For the year ended (year for which Resolution of Compliance Finding is provided)

< Back Next >

18. The signature tab should be completed by the person making the filing in the cybersecurity system.

Name of person submitting certification:

Title of person submitting certification:

Phone:

Email:

19. You will also need to check the box at the bottom of the screen in which you will swear or affirm that you have the authority to submit this certification. After checking the affirmation box, please click “Submit”.

I swear or affirm that I am authorized to submit this Certification of Compliance on behalf of , and that the information herein is accurate.

By checking this box, I understand and agree that I am the named person above, that I am electronically signing and filing this Certification of Compliance, and that I agree to the language as stated above.

20. Once your Certification of Compliance has been filed, you will move to the “Done” tab, and you will see a Success message indicating that you have completed your Cybersecurity Certification of Compliance filing (*Appendix A of the Regulation*). Please print/save a copy for your records as it also includes a receipt number which you may need to reference if questions arise. You will also receive an email with this information. If you filed a

Certification on behalf of Senior Officers or Board of Directors, then confirmation of filing will also be sent to the email address provided for the Board of Directors of Senior Officer(s).

Find My EntityFind My Entity (Cont)Certification DetailSignatureDone

Success

You have successfully submitted your Cybersecurity Certification of Compliance form.
Receipt number: C-2018-8002

The Board of Directors of YOUR ENTITY NAME certifies:

(1) YOUR NAME has reviewed documents, reports, certifications and opinions of such officers, employees, representatives, outside vendors and other individuals or entities as necessary.

(2) To the best of YOUR NAME's knowledge, the Cybersecurity Program as of 12-04-2018 for the 2018 year ended complies with 23 NYCRR Part 500.

Signed by
Name: YOUR NAME
Date: Mon Dec 17 17:10:30 EST 2018

Please note: Covered Entities are required to maintain all documents that support this filing.

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

21. Once these steps are completed, you have successfully submitted a Certification of Compliance.