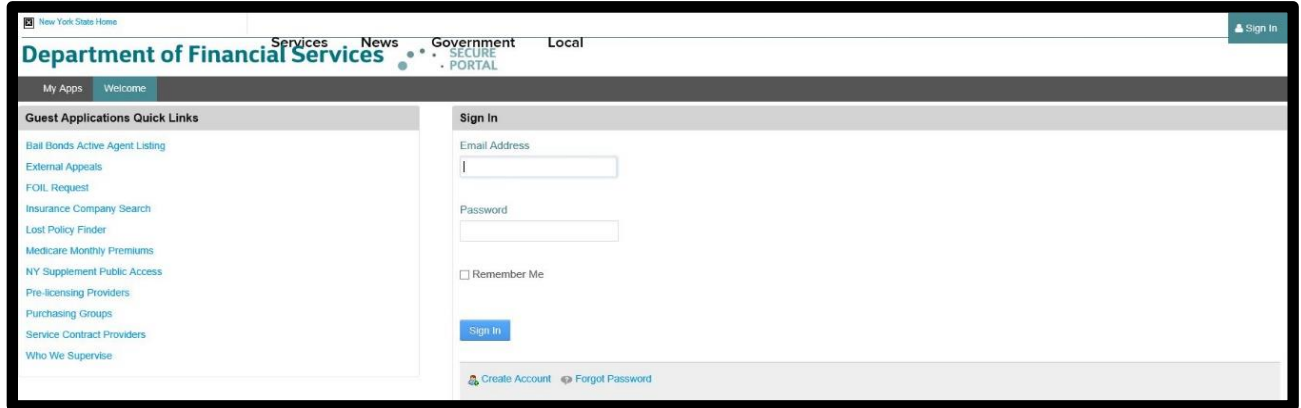


Instructions on How to File a Certification of Compliance

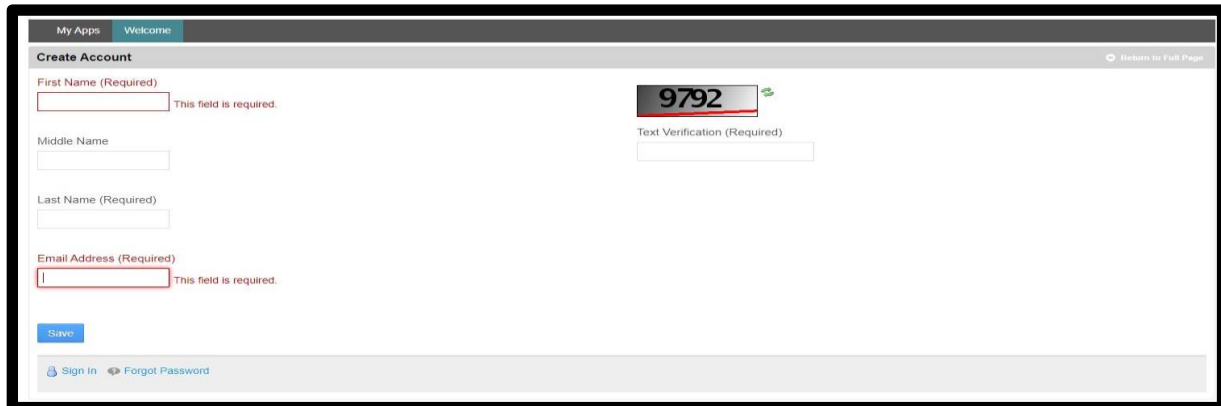
1. Go to the DFS Portal which can be accessed [here](#) or through [DFS's Cybersecurity Resource Center](#) by clicking on the yellow "DFS Portal" button on the top right corner of the website. Once you have accessed the DFS Portal, you will see the following screen:

A screenshot of the Department of Financial Services (DFS) Portal. The page has a header with "New York State Home" on the left and "Sign In" on the right. Below the header is a navigation bar with "Services", "News", "Government", and "Local". The main content area is divided into two columns. The left column is titled "Guest Applications Quick Links" and contains a list of links: "Bail Bonds Active Agent Listing", "External Appeals", "FOIL Request", "Insurance Company Search", "Lost Policy Finder", "Medicare Monthly Premiums", "NY Supplement Public Access", "Pre-licensing Providers", "Purchasing Groups", "Service Contract Providers", and "Who We Supervise". The right column is titled "Sign In" and contains a form with "Email Address" and "Password" input fields, a "Remember Me" checkbox, and a "Sign In" button. At the bottom of the sign-in section are links for "Create Account" and "Forgot Password".

Enter the information requested. Click "Sign In".

2. ***If you already have a DFS Portal account***, log into the DFS Portal by entering the email address and password associated with your account.

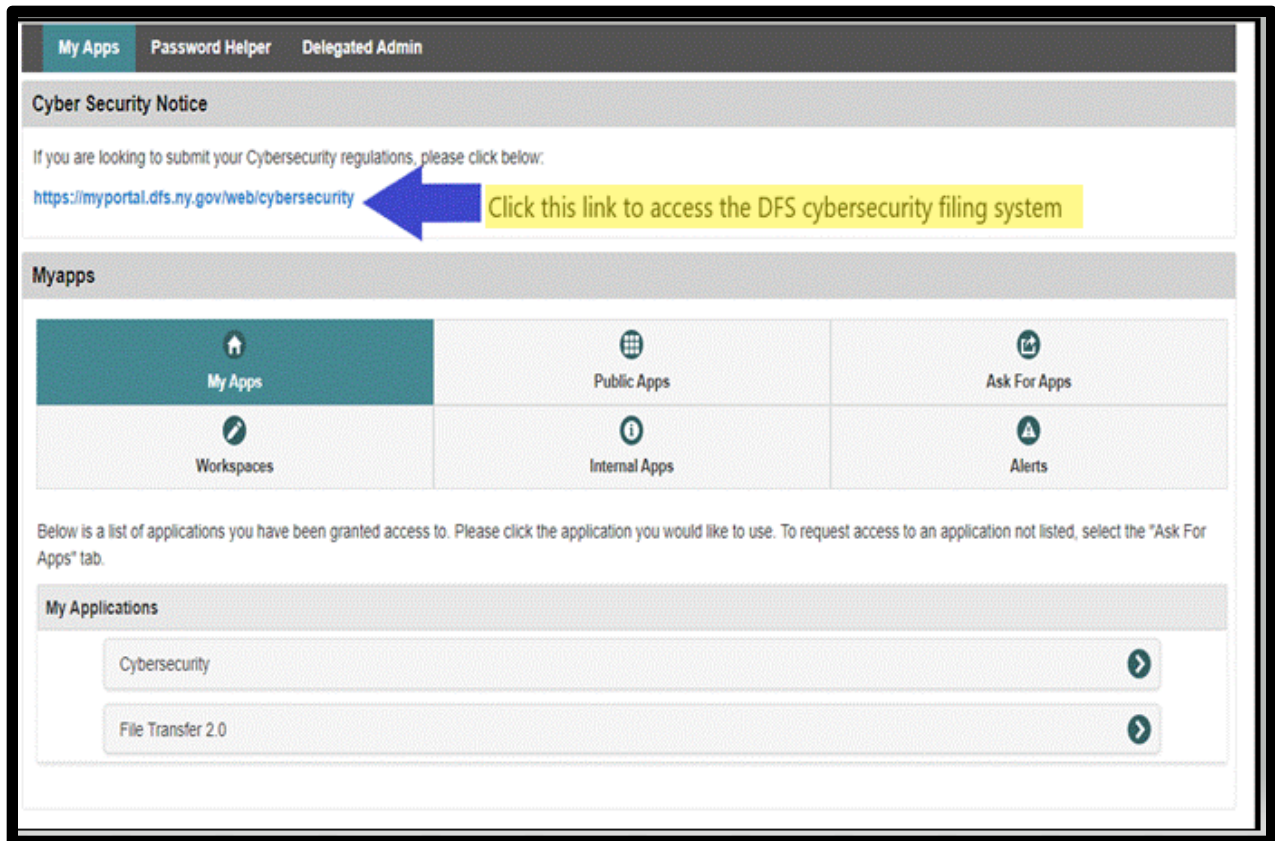
If you do not have a DFS Portal account, click the "Create Account" link shown at the bottom of the picture above. You will then see the following screen:

A screenshot of the "Create Account" page on the DFS Portal. The page has a header with "My Apps" and "Welcome" on the left and "Return to Full Page" on the right. The main content area is titled "Create Account" and contains a form with several input fields: "First Name (Required)", "Middle Name", "Last Name (Required)", and "Email Address (Required)". Each of these fields has a red border and the text "This field is required." below it. To the right of the form is a "Text Verification (Required)" section with a box containing the number "9792" and a "Text Verification (Required)" input field. At the bottom of the form is a "Save" button. Below the form are links for "Sign In" and "Forgot Password".

Enter the required information and complete the text verification. Click "Save."

A password will be sent to the email address you provided. You can then use the password and email address you provided to sign in to the DFS Portal.

3. Once you have signed into the DFS Portal, you will see the following screen:



Click the link under the “Cyber Security Notice” header, indicated by the arrow above, to access the DFS cybersecurity filing system.

4. Once you have accessed the cybersecurity filing system, you will see the following three options:



Under “Compliance,” select “Begin.”

5. The following screen will appear:

Find My Entity | Find My Entity (Cont) | Certification Detail | Cyber Contacts | Signature | Done

Enter Entity Information

Choose how you will be identifying your entity:

- NYS License Number**
• Adjusters • Bail Bond Agents • Brokers • 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
- NAIC/NY Entity Number**
• Continuing Care Retiring Community • Employee Welfare Funds and Retirement Systems • Fraternal Benefit Societies • Health Maintenance Organizations • Managed Long Term Care Plans • NYS Licensed Insurance Companies
• Municipal Cooperative Health Benefit Plan • Prepaid Health Services Plan • Rate Service Organizations • Student Health Plan
- NMLS**
• Budget Planners • Check Cashers • Licensed Lenders • Money Transmitters • Mortgage Institutions/Loan Originators • Premium Finance Agencies • Sales Finance Companies • Student Loan Servicers • Virtual Currency licensees
- Institution Number**
• All Banking Institutions • Consumer Credit Reporting Agencies • Trust Companies

[Help me find my entity](#)

[Back](#) [Next](#)

If you do not have an identifying number associated with any of the 4 options in the above screenshot, skip to Step 7.

If you have an identifying number associated with any of the 4 options in the above screenshot, select the relevant option. (If you have more than one identifying number, you will only be able to choose one option, and any will work.) Click “Next” and go to Step 6.

6. The following screen will appear:

Find My Entity | Find My Entity (Cont) | Certification Detail | Cyber Contacts | Signature | Done

Enter Entity Information

Please provide your entity's **Identifying Number**

[Search](#)

[Help me find my entity](#)

[Back](#) [Next](#)

Enter the individual or entity’s identifying number and click “Search.”

You will see the following:

Click “Next.”

7. ***If you do not have an identifying number*** associated with any of the 4 options on the above screenshot, select “Help me find my entity” located on the bottom of that screenshot. The following screen will appear:

If you are searching for an entity, enter its name exactly as it appears on its DFS license or registration in the first text box.

If you are searching for an individual, enter the individual’s first and last names in the corresponding text boxes. **Do not include blank spaces.**

Click “Search.” You will be shown a list of results, similar to the results below:

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

John Doe	John H. Doe	John Doe, Inc.
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Showing 2 results
Some results may have been omitted from the list below. To see all records, click here.

If you do not know an Identifying Number or cannot find yourself or your entity on the search, then please reach out to your DFS contact. Insurance agents and brokers can visit <https://myportal.dfs.ny.gov/mylinxext/elsearch.alice> to find their DFS license number. For any other questions, please email cyberregsupport@dfs.ny.gov

Click on the name that matches the name of the entity or individual on whose behalf you are filing the Certification of Compliance. Click “Next.”

8. The following screen will appear:

Find My Entity | Find My Entity (Cont) | **Certification Detail** | Cyber Contacts | Signature | Done

Certification of compliance reviewed by:

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

Name of the Board member certifying Compliance

Title

Email for Board

Phone 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)

In this Step, you will need to identify whether the individual who reviewed the regulated entity’s cybersecurity program and determined it was in compliance with Part 500 is a member of the entity’s Board of Directors (“Board of Directors”), senior officer of the entity (“Senior Officer”), or if you are filing on your own behalf (“Self”). Select the appropriate option. If a member of the Board of Directors made the determination, provide the identifying information requested in the

screenshot above and the date of the Board’s compliance finding. If compliance is being certified by the senior officer go to Step 9. If you are certifying on your own behalf, go to Step 10.

The year for which the Certification of Compliance is being filed will be automatically populated.

Click “Next.”

9. If a senior officer is certifying compliance, select “Senior Officer.” You will see the following.

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

Certification of compliance reviewed by:

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

Name of the Senior Officer certifying Compliance

Title

Email for Senior Officer

Phone for Senior Officer

Covered Entity Tax ID Number

Date of the Senior Officer Resolution Compliance Finding

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

Provide the identifying information for the senior officer that determined the DFS-regulated entity was in compliance with Part 500, and the date of the senior officer’s compliance finding. The year for which the Certification of Compliance is being filed will be automatically populated.

Click “Next.”

10. If you are certifying on your own behalf, select “Self.” The following screen will appear.

Find My Entity | Find My Entity (Cont) | **Certification Detail** | Cyber Contacts | 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(s)

Email of person self-certifying

Phone for 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 >](#)

Provide your own identifying information as requested in the screenshot above. The year for which a Certification of Compliance is being filed will be automatically populated. Click “Next.”

11. The following screen will appear:

Find My Entity | Find My Entity (Cont) | Certification Detail | **Cyber Contacts** | Signature | Done

Please enter contact information for at least one senior officer who should receive cybersecurity communications – including alerts and guidance – from DFS. If you are an individual filing on your own behalf, please enter the contact information where you would like to receive cybersecurity communications.

Title:

Name:

Phone:

Email:

[Add Another Contact](#)

[< Back](#) [Next >](#)

Enter the contact information for the senior officer who will serve as the point of contact for DFS regarding cybersecurity-related communications. If you are an individual filing on your own behalf, provide the contact information for the individual you would like to receive cybersecurity-related communications from DFS. Click “Next.”

12. The following screen will appear:

Enter the name, title, and contact information for the person submitting the Certification of Compliance. Then, check the box at the bottom of the screen (the name of the entity will be automatically populated) if you agree to swear or affirm as stated. Click “Next.”

13. You will then see the following confirmation:

The person(s) whose email address(es) you provided in Steps 8, 9, 10, and/or 12 will also receive a similar email with the receipt number.

IMPORTANT: Only the person making this filing, and the person(s) whose email address(es) you provided in Steps 8, 9, 10, and/or 12 will receive an email receipt. ALL RECIPIENTS SHOULD SAVE THEIR COPY OF THE RECEIPT FOR THEIR RECORDS. THIS IS THE ONLY CONFIRMATION THAT DFS WILL PROVIDE.

Questions regarding these instructions and how to file should be directed to:
cyberregsupport@dfs.ny.gov.