



Instructions for Terminating a Notice of Exemption

Pursuant to DFS's Cybersecurity Regulation, 23 NYCRR Part 500 (as of November 1, 2023)

These instructions are for those who need to terminate their submitted Notices of Exemption because they no longer qualify for an exemption to DFS's Cybersecurity Regulation. More information on exemptions can be found on the [Cybersecurity Resource Center](#) under the section titled "Exemptions."

Step 1. Go to the DFS Portal, which can be accessed at myportal.dfs.ny.gov or by clicking on the yellow "DFS Portal" button on the top right corner of the DFS website.

On the DFS Portal, you will be prompted to sign into your account.

A screenshot of the DFS Portal's sign-in page. 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 fields for "Email Address" and "Password", a "Remember Me" checkbox, and a "Sign In" button. At the bottom of the sign-in form are links for "Create Account" and "Forgot Password".

Step 2. If you have a DFS Portal account, enter your login information and click "Sign In."

If you do not have a DFS Portal account, click the "Create Account" link at the bottom of the page. Enter your information, complete the text verification, and 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 into the DFS Portal.

Step 3. Once you have signed into the DFS Portal, click the link under the “Cybersecurity Notice” header to access the DFS cybersecurity filing system.

Step 4. After you click on the link, you will see the following three options: Exemption, Compliance, and Event.

Under the Exemption header, select “Begin.”

Step 5. You will then be provided with four options to find your entity. Click an option to identify the individual or entity on whose behalf you are filing and click “Next.”

If you do not have an identifying number for any of the listed options, go to Step 7 in the instructions.

Find My Entity Find My Entity (Cont) Exemption Status Contact Info Done

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."

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 • Municipal Cooperative Health Benefit Plan
• NYS Licensed Insurance Companies • Prepaid Health Services Plan • Rate 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 licensees

Institution Number

• All Banking Institutions • Consumer Credit Reporting Agencies • Trust Companies

[Help find the entity or individual on whose behalf you are filing](#)

Next >

Step 6. Enter the individual or entity’s identifying number and click “Search.” Select the entity name and click “Next.”

Find My Entity Find My Entity (Cont) Exemption Status Contact Info Done

Enter Entity Information

Enter the **Identification** number of the individual or entity on whose behalf you are filing. If you plan to file an exemption pursuant to § 500.19(b), do NOT enter the name of the covered entity whose cybersecurity program the individual or entity is covered by. That information will be requested later in this process.

XXXXXX

Q 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

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Step 7. 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.

You can then search by entity or individual name. If you are searching for an entity, enter its name in the first text box and click “Search.” If you are searching for an individual, enter their first name and last name in the corresponding text boxes and click “Search.” Do not include blank spaces, as the system will not be able to locate your entity if you do.

Click on the name that matches the name of the entity or individual on whose behalf you are filing the Notice of Exemption, and then click “Next.”

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.
If you plan to file an exemption pursuant to § 500.19(b), do NOT enter the name of the covered entity whose cybersecurity program the individual or entity is relying upon. That information will be requested later in this process.

Entity name:

OR (If Individual)

First Name:

Last Name:

Please carefully review the search results before making a selection

Entity Name	Identification #	Entity Name	Identification #	Entity Name	Identification #

Showing 3 results

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/nylinxext/elsearch.alice> to find their NYS license number.

Step 8. On the Exemption Status page, select the third option: “The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed, and they would like to terminate all previously filed exemptions.”

This will terminate all existing exemptions for the individual or entity on whose behalf you are filing.

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Please choose from the following:

- This is the first submission regarding an exemption for the individual or entity on whose behalf you are filing.
- The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.
- The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they would like to terminate all previously filed exemptions.

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Step 9: You will then see a notice that states, “By completing this submission, you are stating that the entity or licensed person for which you are filing is no longer exempt from the DFS Cybersecurity Regulation. Selecting this choice indicates that the individual or entity on whose behalf you are filing is required to comply with all selection of the Cybersecurity Regulation within 180 days from the date that the individual or entity ceased to qualify for an exemption.”

Click “Next” to continue.

Find My Entity Find My Entity (Cont) **Exemption Status** Contact Info Done

Please choose from the following:

- This is the first submission regarding an exemption for the individual or entity on whose behalf you are filing.
- The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they need to amend their previous filings. Select this option if the individual or entity on whose behalf you are filing needs to change or add new exemptions. Please check all exemptions that currently apply, even if you have filed for them previously, as this will replace any previously filed notices of exemption.
- The individual or entity on whose behalf you are filing had qualified for exemptions, but those qualifications have changed and they would like to terminate all previously filed exemptions.

By completing this submission, you are stating that the entity or licensed person for which you are filing is no longer exempt from the DFS Cybersecurity regulation. Selecting this choice indicates that the individual or entity on whose behalf you are filing is required to comply with all sections of the Cybersecurity Regulation within 180 days from the date that individual or entity ceased to qualify for an exemption.

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Step 10. You will be prompted to fill out the contact information form.

Fill out the requested information, and then check the box to affirm that the Notice of Exemption is accurate and click “Submit.”

Find My Entity Find My Entity (Cont) Exemption Status **Contact Info** Done

Enter Contact Information

Please note the person filing may not be the same as the individual or entity on whose behalf they are filing.

Name of Person filing the exemption: *

Title of the Person filing the exemption: *

Phone Number of the Person filing the exemption: *

Email Address of the Person filing the exemption: *

I swear or affirm that the Notice of Exemption is accurate.*

< Back **Submit >**

Step 11. DFS will then send you an email with a receipt number for the individual or entity on whose behalf you filed.

EXEMPTION NOTIFICATION - NYS Department of Financial Services Cybersecurity Exemption Notification Receipt

 noreply@dfs.ny.gov
To

[Reply](#) [Reply All](#) [Forward](#) [...](#)

Entity Name

The NYS Department of Financial Services has received your Cybersecurity Notice of Exemption. This is the only receipt and confirmation of this filing that you will receive. Please keep a copy of the below receipt number for your records.

Receipt Number: **Receipt Number**

Please Note: ACTION IS STILL REQUIRED. The exemption(s) you submitted are limited exemptions that exempt from certain provisions of the regulation. Any Covered Entities and licensed persons exempt under these sections are required to maintain a cybersecurity program and file an annual Certification of Compliance to confirm compliance with the provisions of the regulation that apply to the Covered Entity. See the Cybersecurity FAQs on the DFS [website](#) for more information.

For more information please visit our [website](#)

IMPORTANT: ALL RECIPIENTS SHOULD SAVE A 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.