

COVID-19 Updates

COVID-19 is still spreading, even as the vaccine is here. Wear a mask, social distance and stay up to date on New York State's vaccination program.

GET THE FACTS >

Department of Financial Services

Industry Guidance

source Center

Recent Updates	Date
Insurance Circular Letter No. 2 (2021): Cyber Insurance Risk Framework	02/04/2021
Industry Letter - Supply Chain Compromise Alert	12/18/2020
FAQ Update	12/10/2020

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.

- [Memo from the Superintendent \(PDF\)](#)
 - [Text of Regulation \(NYCRR\)](#)
 - [Frequently Asked Questions \(FAQs\)](#)
 - [Frequently Asked Questions for Producers \(Producers FAQs\)](#)
 - [Information about 2021 filings](#)
 - [Guidance to Regulated Entities Regarding Cybersecurity Awareness During COVID-19 Pandemic](#)
 - [Cybersecurity Tools for Small Businesses](#)
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Cybersecurity Events Filing

To report a Cybersecurity Event to DFS, please visit our

DFS Portal

Key Dates for 2021 Filings

April 15, 2021 - Compliance Certification Filing Deadline

- Regulated entities and licensed persons must file the Certification of Compliance for the calendar year 2020 by April 15, 2021.

Covered Entities Do Not Need to File New Notices of Exemption

- Any DFS regulated entity or licensed person who filed a Notice of Exemption previously does not need to refile a Notice of Exemption. However, if your exempt status has changed, then the entity or individual should amend or terminate their filing through the DFS portal.
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How to File

The **DFS Cybersecurity Portal** has been redesigned to assist you with your filings. To ensure that filings are matched to the appropriate Covered Entity or licensed person, we encourage the use of an identifying number when filing. Identifying numbers are: New York State License number, NAIC/NY Entity number, NMLS number or Institution number. Please make sure that you have your license number available when you make your filing. A look-up feature is included in the Portal for anyone who does not know which number to use.

To get started please **visit the DFS Cybersecurity Portal**:

DFS Portal

- [New or Initial Exemption Filings \(PDF\)](#)
 - [Amend previous Exemption Filings \(PDF\)](#)
 - [Terminate previous Exemption Filings \(PDF\)](#)
 - [Certification of Compliance \(PDF\)](#)
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Bulk Filing Request

By permission, the Department will approve certain Covered Entities to file notices of exemption on behalf of other Covered Entities. To gain access to the bulk filings, the Covered Entity needs to:

- Have at least 50 employees or captive agents
- Only file on behalf of employees or captive agents
- Only file on behalf of employees or captive agents that qualify for the same exemption

To gain access to the bulk filings, email the Department at CyberRegComments@dfs.ny.gov from the email address associated with your Portal account, and attach a completed [Request for Multiple Filing of Notice of Exemption \(PDF\)](#) Form.

Once approved, the Department will send filing instructions and the template that must be used for filing.

Exemptions

Section 19 of the DFS cybersecurity regulation contains several exemptions. Each have been crafted to meet the particular circumstances of the Covered Entity, including smaller organizations, licensed persons who are following the cybersecurity program of another regulated company, or those who do not have any Information Systems and Nonpublic Information. Most exemptions are limited in nature and require Covered Entities to still comply with some provisions of the Regulation. All regulated persons and companies that wish to claim an exemption must file with DFS a Notice of Exemption stating their current exempt status if there was no exemption previously filed.

Exemptions previously filed have **not** expired. If there are changes, Covered Entities should Amend previous filings or Terminate previous filings.

Notice of Exemption

- Any DFS regulated entity or licensed person that is currently entitled to an exemption must file an Initial Notice of Exemption prior to the due date for the annual Certification of Compliance. Regulated entities and licensed persons must file the Certification of Compliance by April 15 to certify for the previous calendar year.
 - [Information About Exemptions](#)
 - [Instructions on Filing a New or Initial Notice of Exemption \(PDF\)](#)
-

Receipts

After each filing you complete, you will receive an email that includes a receipt number. The receipt will indicate the year the filing was made. The receipt will also indicate the type of filing made:

- **Notice of Exemption** will have a receipt number that begins with the letter “E.”
- **Certifications of Compliance** will have a receipt number that starts with the letter “C.”

You should maintain a copy of this email in your records for future reference.

Questions

If you still have questions about the Cybersecurity filing process or regulation email us at cyberregsupport@dfs.ny.gov

Who
We

Institutions That We Supervise

The Department of Financial Services supervises many different types of institutions. Supervision by

[Learn More](#)

Supervise

DFS may entail chartering, licensing, registration requirements, examination, and more.

Department of Financial Services

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