



Audit Attestation for D-Trust GmbH

Reference: AA2020120301

Essen, 2020-12-03

To whom it may concern,

This is to confirm that "TÜV Informationstechnik GmbH" has audited the CAs of "D-Trust GmbH" without critical findings.

This present Audit Attestation Letter is registered under the unique identifier number "AA2020120301" and consists of 7 pages.

Kindly find here-below the details accordingly.

In case of any question, please contact:

TÜV Informationstechnik GmbH
TÜV NORD GROUP
Certification Body
Langemarckstr. 20
45141 Essen, Germany
E-Mail: certuvit@tuvit.de
Phone: +49 (0) 201 / 8999-9

With best regards,

Dr. Silke Keller
Reviewer

Matthias Wiedenhorst
Leadauditor

TÜV Informationstechnik GmbH – Member of TÜV NORD GROUP

Langemarckstrasse 20
45141 Essen, Germany
Phone: +49 201 8999-9
Fax: +49 201 8999-888
info@tuvit.de
www.tuvit.de

Court of jurisdiction:
Essen HRB 11687
VAT ID.: DE 176132277
Tax No.: 111/57062251

Commerzbank AG
SWIFT/BIC Code: DRES DEFF 360
IBAN: DE47 3608 0080 0525 4851 00

Management Board
Dirk Kretzschmar

Identification of the conformity assessment body (CAB):	TÜV Informationstechnik GmbH ¹ , Langemarckstraße 20, 45141 Essen, Germany registered under HRB 11687, Amtsgericht Essen, Germany Accredited by DAkkS under registration D-ZE-12022-01 ² for the certification of trust services according to “DIN EN ISO/IEC 17065:2013” and “ETSI EN 319 403 V2.2.2 (2015-08)”.
---	---

Identification of the trust service provider (TSP):	D-Trust GmbH, Kommandantenstraße 15, 10969 Berlin, Germany, registered under HRB 74346 B, Amtsgericht Charlottenburg (Berlin), Germany
---	--

Identification of the audited Root-CA:	D-TRUST Root CA 3 2013	
	Distinguished Name	C=DE, O=D-Trust GmbH, CN=D-TRUST Root CA 3 2013
	SHA-256 fingerprint	A1A86D04121EB87F027C66F53303C28E5739 F943FC84B38AD6AF009035DD9457
	Applied policy	ETSI EN 319 411-1 V1.2.2, LCP policy

¹ In the following termed shortly „TÜViT“

² <http://www.dakks.de/en/content/accredited-bodies-dakks?Regnr=D-ZE-12022-01-01>

The audit was performed as full period of time audit at the TSP's location in Berlin, Germany. It took place from 2020-09-28 until 2020-10-15 and covered the period from 2019-10-08 until 2020-10-07. The audit was performed according to the European Standards "ETSI EN 319 411-1, V1.2.2 (2018-04)" and "ETSI EN 319 401, V2.2.1 (2018-04)" as well as CA Browser Forum Requirements "Baseline Requirements, version 1.7.2" considering the requirements of the "ETSI EN 319 403, V2.2.2 (2015-08)" for the Trust Service Provider Conformity Assessment.

The audit was based on the following policy and practice statement documents of the TSP:

1. Certificate Policy of D-TRUST GmbH, version 4.0 as of 2020-11-10, valid from 2020-11-12
2. TSPS – Trust Service Practice Statement D-TRUST, version 1.0 as of 2020-11-10, valid from 2020-11-12
3. Certification Practice Statement of the D-TRUST Root PKI, version 3.0 as of 2020-11-10, valid from 2020-11-12,
4. Certification Practice Statement of the D-TRUST CSM PKI, Version 3.0 as of 2020-11-10, valid from 2020-11-12
5. Certification Practice Statement of the E.ON SE PKI, Version 2.4 as of 2020-04-27, valid from 2020-10-30
6. Certification Practice Statement of the Uniper PKI, Version 2.4 as of 2020-04-27, valid from 2020-04-28

The TSP named the Sub-CAs that have been issued by the aforementioned Root-CA, that are listed in table 1 and that been covered in this audit.

In the following areas, non-conformities have been identified throughout the audit:

Findings with regard to ETSI EN 319 401:

7.7 Operation security

Documentation and implementation of product configuration processes shall be improved. [REQ-7.7-03]

7.10 Collection of evidence

Documentation and implementation of archiving processes shall be improved. [REQ-7.10-01]

Findings with regard to ETSI EN 319 411-1:

None.

For all non-conformities, remediation has been scheduled within three months after the onsite audit at latest and will be covered by a corresponding audit.

To the best of our knowledge no incidents have occurred within D-TRUST Root CA 3 2013 hierarchy.

Distinguished Name	SHA-256 fingerprint	Applied policy	EKU
C=DE, O=D-Trust GmbH, CN=D-TRUST Application Certificates CA 3-1 2013	CB0F7B7670EA2B818ABE80587902434B30E F7A8C0273B84884243F89593EA630	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=D-Trust GmbH, CN=D-TRUST Application Certificates CA 3-2 2016, 2.5.4.97=NTRDE-HRB74346	7890EED59E95743C62826398129BC2F54AD 414794AAC075BA67177332802B029	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=D-Trust GmbH, CN=E.ON Group CA 2 2013	43247EF5A09A0867BA4A7E1716463577AAD 6EFA057BFF763B43FD2A979608FE2	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXI	8B1698B51BF6EF2C31C553E6FF7A7734901 806BCC87704182D2293183348B334	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXII	B2B7C755C80FBE20E2134A620157A53B5B0 724B6947B4EED1CA9DF7951FC5D44	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXIII	99CADFF0B43B45405D471AB7F04817B0492 5D603007A57CA1BABA48BC8721BF6	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=D-Trust GmbH, OU=CA, CN=Partner CA 2 2013 XXIV	A099851198F66AA47D11D1FF42A6876E7F3 28C22184BC0B66559AF5A51459511	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=D-Trust GmbH, CN=Uniper Group CA 2 2015	B4B2810E787B8E6DBB8B0EA9242D8E195A D5BF4201FD98A09AEDAC8B5F23FAFE	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXI	F471920D5679EE48219F51CBF44F0F22A73 05332B869025E26050C5BED762F72	ETSI EN 319 411-1 V1.2.2, LCP	not defined

C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXII	EFA0A2F29EABB43EAD97AD067297656088679C0B2E297C2D898C4F12C9759805	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXIII	79B9D31504B604293570ECCDC8A92553F937FD823380E560793987037C8B181D	ETSI EN 319 411-1 V1.2.2, LCP	not defined
C=DE, O=D-Trust GmbH, CN=Uniper Group CA 3 2020	A502172DEAF811DD7FA9BC3329AEA72589F2FAEC9401CB7348819C75F2E705B9	ETSI EN 319 411-1 V1.2.2, LCP	id-kp-clientAuth (1.3.6.1.5.5.7.3.2) id-kp-emailProtection (1.3.6.1.5.5.7.3.4)
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 3 2020 XXXI	19D99B7FDD7EC707AC3023D72F50D4AB5199AF1FDD3013A96815CBC99B63BFD6	ETSI EN 319 411-1 V1.2.2, LCP	id-kp-clientAuth (1.3.6.1.5.5.7.3.2) id-kp-emailProtection (1.3.6.1.5.5.7.3.4)
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 3 2020 XXXII	B576C4A703CB973079F8374EF359E4FD8788584B4E9FB4BC90A7E9F8C3838791	ETSI EN 319 411-1 V1.2.2, LCP	id-kp-clientAuth (1.3.6.1.5.5.7.3.2) id-kp-emailProtection (1.3.6.1.5.5.7.3.4)
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 3 2020 XXXIII	364ED83755EA3EA8533856EFF72DE38271B54FF44905785EBF735BFFC29B6636	ETSI EN 319 411-1 V1.2.2, LCP	id-kp-clientAuth (1.3.6.1.5.5.7.3.2) id-kp-emailProtection (1.3.6.1.5.5.7.3.4)

Table 1: Sub-CA's issued by the Root-CA or its Sub-CA's

Modifications record

Version	Issuing Date	Changes
Version 1.0	2020-12-03	Initial attestation

End of the audit attestation letter.