

Audit Attestation for

D-Trust GmbH

Reference: AA2021121005

Essen, 2021-12-10

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 "AA2021121005" 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
Am TÜV 1
45307 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

AmTÜV 1
45307 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

<p>Identification of the conformity assessment body (CAB):</p>	<ul style="list-style-type: none"> • TÜV Informationstechnik GmbH¹, Am TÜV 1, 45307 Essen, Germany, registered under HRB 11687, Amtsgericht Essen, Germany • Accredited by DAkkS under registration D-ZE-12022-01² for the certification of trust services according to “DIN EN ISO/IEC 17065:2013” and “ETSI EN 319 403 V2.2.2 (2015-08)”. • Insurance Carrier (BRG section 8.2): HDI Global SE • Third-party affiliate audit firms involved in the audit: None.
<p>Identification and qualification of the audit team:</p>	<ul style="list-style-type: none"> • Number of team members: 1 Lead Auditor, 2 Auditors • Academic qualifications of team members: • All team members have formal academic qualifications or professional training or extensive experience indicating general capability to carry out audits based on the knowledge given below and at least four years full time practical workplace experience in information technology, of which at least two years have been in a role or function relating to relevant trust services, public key infrastructure, information security including risk assessment/management, network security and physical security. • Additional competences of team members: All team members have knowledge of <ol style="list-style-type: none"> 1) audit principles, practices and techniques in the field of CA/TSP audits gained in a training course of at least five days; 2) the issues related to various areas of trust services, public key infrastructure, information security including risk assessment/management, network security and physical security; 3) the applicable standards, publicly available specifications and regulatory requirements for CA/TSPs and other relevant publicly available specifications including standards for IT product evaluation; and 4) the Conformity Assessment Body's processes. Furthermore, all team members have language skills appropriate for all organizational levels within the CA/TSP organization; note-taking, report-writing, presentation, and interviewing skills; and relevant personal attributes: objective, mature, discerning, analytical, persistent and realistic. • Professional training of team members: • See “Additional competences of team members” above. Apart from that are all team members trained to demonstrate adequate competence in: <ol style="list-style-type: none"> a) knowledge of the CA/TSP standards and other relevant publicly available specifications; b) understanding functioning of trust services and information security including network security issues;

¹ In the following termed shortly „TÜViT“

² <https://www.dakks.de/en/accredited-body.html?id=D-ZE-12022-01-01>

	<p>c) understanding of risk assessment and risk management from the business perspective; d) technical knowledge of the activity to be audited; e) general knowledge of regulatory requirements relevant to TSPs; and</p> <ul style="list-style-type: none"> • knowledge of security policies and controls. • Types of professional experience and practical audit experience: • The CAB ensures, that its personnel performing audits maintains competence on the basis of appropriate education, training or experience; that all relevant experience is current and prior to assuming responsibility for performing as an auditor, the candidate has gained experience in the entire process of CA/TSP auditing. This experience shall have been gained by participating under supervision of lead auditors in a minimum of four TSP audits for a total of at least 20 days, including documentation review, on-site audit and audit reporting. • Additional qualification and experience Lead Auditor: On top of what is required for team members (see above), the Lead Auditor <ul style="list-style-type: none"> ○ has acted as auditor in at least three complete TSP audits; ○ has adequate knowledge and attributes to manage the audit process; and ○ has the competence to communicate effectively, both orally and in writing. • All members are qualified and registered assessors within the accredited CAB. • Auditors code of conduct incl. independence statement: Code of Conduct as of Annex A, ETSI EN 319 403 or ETSI EN 319 403-1 respectively.
<p>Identification and qualification of the reviewer performing audit quality management:</p>	<ul style="list-style-type: none"> • Number of Reviewers/Audit Quality Managers involved independent from the audit team: 1 Reviewer • The reviewer fulfils the requirements as described for the Audit Team Members above and has acted as an auditor in at least three complete CA/TSP audits.
<p>Identification of the trust service provider (TSP):</p>	<p>D-Trust GmbH, Kommandantenstraße 15, 10969 Berlin, Germany, registered under HRB 74346 B, Amtsgericht Charlottenburg (Berlin), Germany</p>
<p>Audit Period covered for all policies:</p>	<p>2020-10-08 to 2021-10-07</p>
<p>Audit dates:</p>	<p>2021-09-27 to 2021-09-30 (on site) 2021-10-04 to 2021-10-07 (on site) 2021-10-11 to 2021-10-14 (on site)</p>
<p>Audit Location:</p>	<p>D-Trust GmbH, Kommandantenstraße 15, 10969 Berlin, Germany</p>

Type of audit	<input type="checkbox"/> Point in time audit <input type="checkbox"/> Period of time, after x month of CA operation <input checked="" type="checkbox"/> Period of time, full audit
---------------	--

Standards considered	<p>European Standards:</p> <input checked="" type="checkbox"/> ETSI EN 319 411-2, V2.2.2 (2018-04) <input checked="" type="checkbox"/> ETSI EN 319 411-1, V1.2.2 (2018-04) <input checked="" type="checkbox"/> ETSI EN 319 401, V2.2.1 (2018-04)
	<p>CA Browser Forum Requirements:</p> <input checked="" type="checkbox"/> EV SSL Certificate Guidelines, version 1.7.7 <input checked="" type="checkbox"/> Baseline Requirements, version 1.7.9
	<p>For the Trust Service Provider Conformity Assessment:</p> <input checked="" type="checkbox"/> ETSI EN 319 403 V2.2.2 (2015-08) <input checked="" type="checkbox"/> ETSI TS 119 403-2 V1.2.4 (2020-11)

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

1. Certificate Policy (CP) of D-Trust GmbH, Version 4.2 as of 2021-06-18, valid from 2021-07-09, D-Trust GmbH
2. D-TRUST Trust Service Practice Statement (TSPS), Version 1.3 as of 2021-10-14, valid from 2021-10-15, D-Trust GmbH
3. Certification Practice Statement of the D-TRUST Root PKI, Version 3.5 as of 2021-10-14, valid from 2021-10-15, D-Trust GmbH
4. Certification Practice Statement of the D-TRUST CSM PKI, Version 3.4 as of 2021-10-14, valid from 2021-10-15, D-Trust GmbH

No major or minor non-conformities have been identified during the audit.

To the best of our knowledge, no incidents have occurred within this Root-CA's hierarchy during the audited period.

Identification of the audited Root-CA:			
Distinguished Name	C=DE, O=D-Trust GmbH, CN=D-TRUST Root Class 3 CA 2 EV 2009	Applied policy	ETSI EN 319 411-1 V1.2.2, EVCP ETSI EN 319 411-2 V2.2.2, QCP-w
SHA-256 fingerprint	EEC5496B988CE98625B934092EEC2908BED0B0F316C2D4730C84EAF1F3D34881		

Table 1: Root-CA in scope of this attestation

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

Identification of the audited Sub-CAs					
Distinguished Name	C=DE, O=D-Trust GmbH, CN=D-TRUST CA 2-2 EV 2016, 2.5.4.97=NTRDE-HRB74346	Applied policy	ETSI EN 319 411-1 V1.2.2, EVCP ETSI EN 319 411-2 V2.2.2, QCP-w	EKU	not defined
SHA-256 fingerprint	2316D05A2E2D347FA141135B98ED09F56E81F1CF5679793D3B39DD6D8E461A48				
Distinguished Name	C=DE, O=D-Trust GmbH, CN=D-TRUST SSL Class 3 CA 1 EV 2009	Applied policy	ETSI EN 319 411-1 V1.2.2, EVCP	EKU	not defined
SHA-256 fingerprint	B0935DC04B4E60C0C42DEF7EC57A1B1D8F958D17988E71CC80A8CF5E635BA5B4				

Distinguished Name	C=DE, O=D-Trust GmbH, CN=VR IDENT EV SSL CA 2020 ³	Applied policy	ETSI EN 319 411-1 V1.2.2, EVCP	EKU	id-kp-serverAuth (1.3.6.1.5.5.7.3.1) id-kp-clientAuth (1.3.6.1.5.5.7.3.2)
SHA-256 fingerprint	9E6C8035C0F1C8A945310E72D83E531947B571F9292E42A4248A370BF7B305BE				

Table 2: Sub-CA's issued by the Root-CA or its Sub-CA's

³ This CA has been revoked under the attendance of the auditor on 2021-10-14

Modifications record

Version	Issuing Date	Changes
Version 1.0	2021-12-10	Initial attestation

End of the audit attestation letter.