Audit Attestation for

D-Trust GmbH

Reference: AA2022121603

Essen, 2022-12-16

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 “AA2022121603” and consists of 8 pages.

Kindly find here-below the details accordingly.

In case of any question, please contact:

TÜV Informationstechnik GmbH
TÜV NORD GROUP
Certification Body
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45307 Essen, Germany
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With best regards,

Dr. Silke Keller	Matthias Wiedenhorst
Reviewer	Lead Auditor

Identification of the conformity assessment body (CAB):	• TÜV Informationstechnik GmbH[1], TÜV NORD GROUP, Am TÜV 1, 45307 Essen, Germany, registered under HRB 11687, Amtsgericht Essen, Germany • Accredited by DAkkS under registration D-ZE-12022-01-01[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)". • Insurance Carrier (BRG section 8.2): HDI Global SE • Third-party affiliate audit firms involved in the audit: None.
Identification and qualification of the audit team:	• Number of team members: 1 Lead Auditor, 1 Auditor, 1 Trainee Auditor • 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 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:

[1] In the following termed shortly „TÜViT"
[2] https://www.dakks.de/en/accredited-body.html?id=D-ZE-12022-01-01

	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; 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 f) 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 a) has acted as auditor in at least three complete TSP audits; b) has adequate knowledge and attributes to manage the audit process; and c) 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.
Identification and qualification of the reviewer performing audit quality management:	• 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.

Identification of the CA / Trust Service Provider (TSP):	D-Trust GmbH, Kommandantenstraße 15, 10969 Berlin, Germany, registered under "HRB 74346" at AG Charlottenburg, Berlin, Germany

Type of audit	☐Point in time audit ☐Period of time, after x month of CA operation ☒Period of time, full audit

Audit period covered for all policies:	2021-10-08 to 2022-10-07
Point in time date:	None. The audit was a Period-of-Time Audit.
Audit dates:	2022-10-04 to 2022-10-07 (on site) 2022-10-10 to 2022-10-13 (on site) 2022-10-17 to 2022-10-20 (on site)
Audit location:	10969 Berlin

Standards considered	European Standards: ☐ETSI EN 319 411-2, V2.4.1 (2021-11) ☒ETSI EN 319 411-1, V1.3.1 (2021-05) ☒ETSI EN 319 401, V2.3.1 (2021-05) Browser Policy Requirements: ☐EV SSL Certificate Guidelines, version 1.7.9 ☒Baseline Requirements, version 1.8.4 For the Trust Service Provider Conformity Assessment: ☒ ETSI EN 319 403 V2.2.2 (2015-08) ☒ ETSI TS 119 403-2 V1.2.4 (2020-11)

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

1. Certificate Policy (CP) of D-Trust GmbH, version 4.4 as of 2022-11-14, valid from 2022-11-17, D-Trust GmbH
2. D-TRUST Trust Service Practice Statement (TSPS), version 1.5 as of 2022-11-14, valid from 2022-11-17, D-Trust GmbH
3. Certification Practice Statement of the D-TRUST Root PKI, version 3.8 as of 2022-11-17, valid from 2022-11-22, D-Trust GmbH
4. Certification Practice Statement of the D-TRUST CSM PKI, version 3.8 as of 2022-11-14, valid from 2022-11-17, D-Trust GmbH
5. Certification Practice Statement of the D-TRUST Cloud PKI, Version 3.4 as of 2022-11-14, valid from 2022-11-18, D-Trust GmbH
6. Certification Practice Statement of the E.ON SE PKI, Version 2.7 as of 2022-11-18, valid from 2022-11-22, D-Trust GmbH
7. Certification Practice Statement of the Uniper PKI, Version 2.6 as of 2022-11-18, valid from 2022-11-22, D-Trust GmbH

No 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	**SHA-256 fingerprint**	**Applied policy and OID**
C=DE, O=D-Trust GmbH, CN=D-TRUST Root CA 3 2013	A1A86D04121EB87F027C66F53303C28E5739F943FC84B38AD6AF009035DD9457	ETSI EN 319 411-1 V1.3.1, LCP

Table 1: Root-CA in scope of the audit

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	**SHA-256 fingerprint**	**Applied policy**	**EKU**
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXI	8B1698B51BF6EF2C31C553E6FF7A7734901806BCC87704182D2293183348B334	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXII	B2B7C755C80FBE20E2134A620157A53B5B0724B6947B4EED1CA9DF7951FC5D44	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=E.ON SE, OU=CA, CN=E.ON CA 2 2013 XXIII	99CADFF0B43B45405D471AB7F04817B04925D603007A57CA1BABA48BC8721BF6	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=D-Trust GmbH, OU=CA, CN=Partner CA 2 2013 XXIV	A099851198F66AA47D11D1FF42A6876E7F328C22184BC0B66559AF5A51459511	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXI	F471920D5679EE48219F51CBF44F0F22A7305332B869025E26050C5BED762F72	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXII	EFA0A2F29EABB43EAD97AD067297656088679C0B2E297C2D898C4F12C9759805	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 2 2015 XXXIII	79B9D31504B604293570ECCDC8A92553F937FD823380E560793987037C8B181D	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=Uniper Holding GmbH, OU=CA, CN=Uniper CA 3 2020 XXXI	19D99B7FDD7EC707AC3023D72F50D4AB5199AF1FDD3013A96815CBC99B63BFD6	ETSI EN 319 411-1 V1.3.1, 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 V1.3.1, 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 V1.3.1, 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=D-Trust GmbH, CN=D-TRUST Application Certificates CA 3-1 2013	CB0F7B7670EA2B818ABE80587902434B30EF7A8C0273B84884243F89593EA630	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=D-Trust GmbH, CN=E.ON Group CA 2 2013	43247EF5A09A0867BA4A7E1716463577AAD6EFA057BFF763B43FD2A979608FE2	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=D-Trust GmbH, CN=Uniper Group CA 2 2015	B4B2810E787B8E6DBB8B0EA9242D8E195AD5BF4201FD98A09AEDAC8B5F23FAFE	ETSI EN 319 411-1 V1.3.1, LCP	not defined
C=DE, O=D-Trust GmbH, CN=Uniper Group CA 3 2020	A502172DEAF811DD7FA9BC3329AEA72589F2FAEC9401CB7348819C75F2E705B9	ETSI EN 319 411-1 V1.3.1, 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=D-Trust GmbH, CN=D-TRUST Application Certificates CA 3-2 2016, 2.5.4.97=NTRDE-HRB74346	7890EED59E95743C62826398129BC2F54AD414794AAC075BA67177332802B029	ETSI EN 319 411-1 V1.3.1, LCP	not defined

Table 2: Sub-CA's issued by the Root-CA or its Sub-CA's in scope of the audit

Modifications record

Version	Issuing Date	Changes
Version 1.0	2022-12-16	Initial Attestation

End of the audit attestation letter.