



Audit Attestation for D-Trust GmbH

Reference: AA2020120303

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 "AA2020120303" and consists of 6 pages.

Kindly find here-below the details accordingly.

In case of any question, please contact:

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With best regards,

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Reviewer

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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 Class 3 CA 2 EV 2009	
	Distinguished Name	C=DE, O=D-Trust GmbH, CN=D-TRUST Root Class 3 CA 2 EV 2009
	SHA-256 fingerprint	EEC5496B988CE98625B934092EEC2908BED0B0F316C2D4730C84EAF1F3D34881
	Applied policy	ETSI EN 319 411-1 V1.2.2, EVCP policy ETSI EN 319 411-2 V2.2.2, QCP-w 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 319 411-2, V2.2.2 (2018-04)", "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 "EV SSL Certificate Guidelines, version 1.7.3" and "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

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.

Findings with regard to ETSI EN 319 411-2:

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.

This Audit Attestation also covers the following incidents as documented under

- Bug 1567588, D-TRUST: incorrectly formatted businessCategory entry:
https://bugzilla.mozilla.org/show_bug.cgi?id=1567588
- Bug 1599561, D-TRUST: EV certificates issued with incorrectly used businessCategory entry
https://bugzilla.mozilla.org/show_bug.cgi?id=1599561
- Bug 1580525, D-TRUST: delayed revocation of EV certificates:
https://bugzilla.mozilla.org/show_bug.cgi?id=1580525 .

The remediation measures taken by D-Trust as described on Bugzilla (see link above) have been checked by the auditors and properly addressed the incident. The long-term effectiveness of the measures will be rechecked at the next regular audit.

Distinguished Name	SHA-256 fingerprint	Applied policy	EKU
C=DE, O=D-Trust GmbH, CN=D-TRUST CA 2-2 EV 2016, 2.5.4.97=NTRDE-HRB74346	2316D05A2E2D347FA141135B98ED09F56E81F1CF5679793D3B39DD6D8E461A48	ETSI EN 319 411-2 V2.2.2, QCP-w policy	not defined
C=DE, O=D-Trust GmbH, CN=D-TRUST SSL Class 3 CA 1 EV 2009	B0935DC04B4E60C0C42DEF7EC57A1B1D8F958D17988E71CC80A8CF5E635BA5B4	ETSI EN 319 411-1 V1.2.2, EVCP policy	not defined
C=DE, O=D-Trust GmbH, CN=VR IDENT EV SSL CA 2020	9E6C8035C0F1C8A945310E72D83E531947B571F9292E42A4248A370BF7B305BE	ETSI EN 319 411-1 V1.2.2, EVCP policy	id-kp-serverAuth (1.3.6.1.5.5.7.3.1) id-kp-clientAuth (1.3.6.1.5.5.7.3.2)

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.