

TÜV AUSTRIA GMBH

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Certification Body

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TÜV®

TLS BR Audit Attestation for

SwissSign AG

Reference: AA2023091402

“Cologne, 2023-09-14”

To whom it may concern,

This is to confirm that TÜV AUSTRIA GMBH has audited the CAs of the SwissSign AG without critical findings.

This present Audit Attestation Letter is registered under the unique identifier number “AA2023091402” covers multiple Root-CAs and consists of 18 pages. This audit attestation is issued based on the reports number TA235224302_SR and TA235224303_SR. Predecessors are Audit Attestation letters AA2022113001_V2 as of 2023-01-17 and AA2022113002, AA2022113004, AA2022113006 as of 2022-11-30 which it supersedes.

Kindly find here below the details accordingly.

In case of any question, please contact:

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Certification Body

Managing director:
Dr. Stefan Haas
Mag. Christoph
Wenninger

Registered office:
Deutschstraße 10
1230 Wien/Österreich

Further offices:
www.tuv.at/standorte

Company register court:
Wien / FN 288476 f

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IBAN
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With best regards,



i.A. Clemens Wanko



i.V. Andreas Dvorak

Audit Attestation

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General audit information

Identification of the conformity assessment body (CAB) and assessment organization acting as ETSI auditor

- CAB TÜV AUSTRIA GMBH
TÜV AUSTRIA-Platz 1, 2345 Brunn am Gebirge,
registered under: Vienna / Wien / FN 288476 f
- Accredited by Federal Ministry for Digital and Economic Affairs, Stubenring 1, 1010 Wien, Austria (mailto: akkreditierung@bmdw.gv.at, <https://akkreditierung-austria.gv.at/>) under registration 0944¹ for the certification of trust services according to “EN ISO/IEC 17065:2012” and “ETSI EN 319 403 V2.2.2 (2015-08)” / “ETSI EN 319 403-1 V2.3.1 (2020-06)”.
- Insurance Carrier (BRG section 8.2):
Vienna Insurance Group
Schottenring 30, 1010 Wien
- Third-party affiliate audit firms involved in the audit:
None.

Identification and qualification of the audit team

- Number of team members: 1
- 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:
 - a) knowledge of the CA/TSP standards and other relevant publicly available specifications;

¹ https://www.tuv.at/wp-content/uploads/2021/09/TA_GmbH_Akkreditierte_Zertifizierungsstelle-fuer-Produkte-17065-2012_2023-ID-0944.pdf

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<ul style="list-style-type: none">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; andf) knowledge of security policies and controls. <ul style="list-style-type: none">• 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">a) has acted as auditor in at least three complete TSP audits;b) has adequate knowledge and attributes to manage the audit process; andc) has the competence to communicate effectively, both orally and in writing.• Special skills or qualifications employed throughout audit: None.• Special Credentials, Designations, or Certifications: 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
<ul style="list-style-type: none">• Number of Reviewers/Audit Quality Managers involved independent from the audit team: 1• 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.

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Identification of the CA / Trust Service Provider (TSP):	<i>SwissSign AG Sägereistraße 25 CH-8152 Glattbrugg, Switzerland registered under: CHE-109.357.012</i>
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
Audit period covered for all policies:	2022-09-24 to 2023-06-16
Point in time date:	none, as audit was a period of time audit
Audit dates:	Stage 1: 2023-03-20 to 2023-04-28 Stage 2: 2023-05-02 to 2023-05-17 and 2023-06-05 to 2023-06-16
Audit location:	Zürich and Glattbrugg, Switzerland

Audit Attestation

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Root 1: SwissSign Gold CA – G2

Standards considered:	<p>European Standards:</p> <ul style="list-style-type: none">• ETSI EN 319 411-1 V1.3.1 (2021-05)• ETSI EN 319 401 V2.3.1 (2021-05) <p>CA Browser Forum Requirements:</p> <ul style="list-style-type: none">• Baseline Requirements for TLS Server Certificates, version 2.0.0 <p>Browser Policy Requirements:</p> <ul style="list-style-type: none">• Mozilla Root Store Policy• Microsoft Trusted Root Program• Google Root Program• Apple Root Store Program <p>Other:</p> <p>For the Trust Service Provider Conformity Assessment:</p> <ul style="list-style-type: none">• ETSI EN 319 403 V2.2.2 (2015-08)• ETSI EN 319 403-1 V2.3.1 (2020-06)• ETSI TS 119 403-2 V1.3.1 (2023-03)
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The audit was based on the following policy and practice statement documents of the CA / TSP:

- *SwissSign CP OV - Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign CP DV – Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign TSPS - Trust Services Practice Statement, version 4.0, as of 2022-07-18*
- *SwissSign CPS TLS - Certification Practice Statement for TLS certificates“, version 4.0, as of 2022-07-01*
- *SwissSign CPR TLS - Certificate, CRL and OCSP Profiles for TLS Certificates, version 5.0, as of 2022-09-30*

Audit Attestation

Audit Attestation SwissSign AG – AA2023091402



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

Findings with regard to ETSI EN 319 401:

7.8 Network security

SwissSign shall improve the implementation of the pentesting.

[ETSI EN 319 401, REQ-7.8-14]

Findings with regard to ETSI EN 319 411-1:

6.2 Identification and authentication

SwissSign shall improve the validation process for certificate applications.

[ETSI EN 319 411-1, REG-6.2.2-02B]

6.3 Certificate Life-Cycle operational requirements

SwissSign shall improve the implementation for handling revocation requests.

[ETSI EN 319 411-1, REV-6.3.9-01]

6.5 Technical security controls

SwissSign shall improve the process for dealing with suspicious network activity.

[ETSI EN 319 411-1, OVR-6.5.5-07]

SwissSign shall improve its process for reviewing rights-management changes.

[ETSI EN 319 411-1, OVR-6.5.5-07]

All major non-conformities have been closed before the issuance of this attestation. For all minor 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 described in the following.

- Bug 1815466, SwissSign AG: CRL/OCSP revocation time mismatch:

https://bugzilla.mozilla.org/show_bug.cgi?id=1815466

The remediation measures taken by SwissSign AG as described on Bugzilla (see link above) have been checked by the auditors and properly addressed the incident.

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Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign Gold CA – G2, O = SwissSign AG, C = CH	62DD0BE9B9F50A163EA0F8E75C053B1ECA57EA55C8688F647C6881F2C8357B95	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP

Table 1: Root-CA 1 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.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS Root CA 2021 - 1, O = SwissSign AG, C = CH	4E5666DAC579161CF00B8D87046D074D6C9C0C0E3994C653BE57998736C55D93	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS Root CA 2022 - 1, O = SwissSign AG, C = CH	288B4A9F605B09B999B215850825C81F9B537DBAF23664ACA98BF6BA98EDC379	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS Root CA 2021 - 1, O = SwissSign AG, C = CH	7EB8F631AD1C8408E9716AE920BCD677973B059E990AED01DDA5E1C5970B402C	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS Root CA 2022 - 1, O = SwissSign AG, C = CH	193144F431E0FDDDB740717D4DE926A571133884B4360D30E272913CBE660CE41	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP

Table 2: Intermediate-CA issued by the Root-CA (includes x-signed and self-signed root CA)

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS DV ICA 2021 - 1, O = SwissSign AG, C = CH	0E55D0985482BBB7C490EBA147C5A021A2C2A2089D3A8AF57D01EDD540CA5A45	ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS OV ICA 2021 - 1, O = SwissSign AG, C = CH	B3679FDDDC644858B97DBB67DE778DD56C6E5D53A96B70E85AB509D09868186D	ETSI EN 319 411-1 V1.3.1, OVCP

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CN = SwissSign RSA TLS DV ICA 2022 - 1, O = SwissSign AG, C = CH	B400250EF2B09B30E9AAA3E2C20017B8911BD039DF8AF54949C60AED5BF697D4	ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS OV ICA 2022 - 1, O = SwissSign AG, C = CH	332F9EAE3650C77454AF14FE1A621A2498FD128773662890A0D12835B3436E23	ETSI EN 319 411-1 V1.3.1, OVCP

Table 3: CA issuing end entity certificates where the CA was issued by an Intermediate-CA

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign Server Gold CA 2014 - G22, O = SwissSign AG, C = CH	561DC78351F5E7EE5A464AC6E58A0D164EF2768F98F02E6EE65501120FCD9C5E	ETSI EN 319 411-1 V1.3.1, OVCP
CN = SwissSign Server Gold CA 2008 - G2, O = SwissSign AG, C = CH	FD2991B134CE57BF9CD686878854A5EED5EA64433002452BA40398DA78845CA7	ETSI EN 319 411-1 V1.3.1, OVCP

Table 4: CA issuing end entity certificates issued by the Root-CA

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Root 2: SwissSign Silver CA - G2

Standards considered:	<p>European Standards:</p> <ul style="list-style-type: none">• ETSI EN 319 411-1 V1.3.1 (2021-05)• ETSI EN 319 401 V2.3.1 (2021-05) <p>CA Browser Forum Requirements:</p> <ul style="list-style-type: none">• Baseline Requirements for TLS Server Certificates, version 2.0.0 <p>Browser Policy Requirements:</p> <ul style="list-style-type: none">• Mozilla Root Store Policy• Microsoft Trusted Root Program• Google Root Program• Apple Root Store Program <p>Other:</p> <p>For the Trust Service Provider Conformity Assessment:</p> <ul style="list-style-type: none">• ETSI EN 319 403 V2.2.2 (2015-08)• ETSI EN 319 403-1 V2.3.1 (2020-06)• ETSI TS 119 403-2 V1.3.1 (2023-03)
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The audit was based on the following policy and practice statement documents of the CA / TSP:

- *SwissSign CP DV – Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign TSPS - Trust Services Practice Statement, version 4.0, as of 2022-07-18*
- *SwissSign CPS TLS - Certification Practice Statement for TLS certificates“, version 4.0, as of 2022-07-01*
- *SwissSign CPR TLS - Certificate, CRL and OCSP Profiles for TLS Certificates, version 5.0, as of 2022-09-30*

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

Findings with regard to ETSI EN 319 401:

7.8 Network security

SwissSign shall improve the implementation of the pentesting.

[ETSI EN 319 401, REQ-7.8-14]

Findings with regard to ETSI EN 319 411-1:

6.3 Certificate Life-Cycle operational requirements

SwissSign shall improve the implementation for handling revocation requests.

[ETSI EN 319 411-1, REV-6.3.9-01]

6.5 Technical security controls

SwissSign shall improve the process for dealing with suspicious network activity.

[ETSI EN 319 411-1, OVR-6.5.5-07]

SwissSign shall improve its process for reviewing rights-management changes.

[ETSI EN 319 411-1, OVR-6.5.5-07]

All major non-conformities have been closed before the issuance of this attestation. For all minor 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 described in the following.

- Bug 1815466, SwissSign AG: CRL/OCSP revocation time mismatch:
https://bugzilla.mozilla.org/show_bug.cgi?id=1815466

The remediation measures taken by SwissSign AG as described on Bugzilla (see link above) have been checked by the auditors and properly addressed the incident.

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Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign Silver CA - G2, O = SwissSign AG, C = CH	BE6C4DA2BBB9BA59B6F3939768374246C3C005993FA98F020D1DEDBED48A81D5	ETSI EN 319 411-1 V1.3.1, DVCP

Table 5: Root-CA 2 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.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign Server Silver CA 2014 - G22, O = SwissSign AG, C = CH	67F91F26F5BFBFA48738BE0678DD2F8F75F7B80761D5656783CA8B920AAA5659	ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign Server Silver CA 2008 - G2, O = SwissSign AG, C = CH	06E5DEC31C91D7D33435201D2E22116C207193A874E0A426532A2F69530C86B5	ETSI EN 319 411-1 V1.3.1, DVCP

Table 6: CA issuing end entity certificates issued by the Root-CA

Root 3: SwissSign RSA TLS Root CA 2021 - 1

Standards considered:	<p>European Standards:</p> <ul style="list-style-type: none">• ETSI EN 319 411-1 V1.3.1 (2021-05)• ETSI EN 319 401 V2.3.1 (2021-05) <p>CA Browser Forum Requirements:</p> <ul style="list-style-type: none">• Baseline Requirements for TLS Server Certificates, version 2.0.0 <p>Browser Policy Requirements:</p> <ul style="list-style-type: none">• Mozilla Root Store Policy• Microsoft Trusted Root Program• Google Root Program• Apple Root Store Program <p>Other:</p> <p>For the Trust Service Provider Conformity Assessment:</p> <ul style="list-style-type: none">• ETSI EN 319 403 V2.2.2 (2015-08)• ETSI EN 319 403-1 V2.3.1 (2020-06)• ETSI TS 119 403-2 V1.3.1 (2023-03)
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The audit was based on the following policy and practice statement documents of the CA / TSP:

- *SwissSign CP OV - Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign CP DV – Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign TSPS - Trust Services Practice Statement, version 4.0, as of 2022-07-18*
- *SwissSign CPS TLS - Certification Practice Statement for TLS certificates“, version 4.0, as of 2022-07-01*
- *SwissSign CPR TLS - Certificate, CRL and OCSP Profiles for TLS Certificates, version 5.0, as of 2022-09-30*

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

Findings with regard to ETSI EN 319 401:

7.8 Network security

SwissSign shall improve the implementation of the pentesting.

[ETSI EN 319 401, REQ-7.8-14]

Findings with regard to ETSI EN 319 411-1:

6.2 Identification and authentication

SwissSign shall improve the validation process for certificate applications.

[ETSI EN 319 411-1, REG-6.2.2-02B]

6.3 Certificate Life-Cycle operational requirements

SwissSign shall improve the implementation for handling revocation requests.

[ETSI EN 319 411-1, REV-6.3.9-01]

6.5 Technical security controls

SwissSign shall improve the process for dealing with suspicious network activity.

[ETSI EN 319 411-1, OVR-6.5.5-07]

SwissSign shall improve its process for reviewing rights-management changes.

[ETSI EN 319 411-1, OVR-6.5.5-07]

All major non-conformities have been closed before the issuance of this attestation. For all minor 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 described in the following.

- Bug 1815466, SwissSign AG: CRL/OCSP revocation time mismatch:

https://bugzilla.mozilla.org/show_bug.cgi?id=1815466

The remediation measures taken by SwissSign AG as described on Bugzilla (see link above) have been checked by the auditors and properly addressed the incident.

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Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS Root CA 2021 - 1, O = SwissSign AG, C = CH	7EB8F631AD1C8408E9716AE920BCD677973B059E990AED01DDA5E1C5970B402C	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP

Table 7: Root-CA 3 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.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS DV ICA 2021 - 1, O = SwissSign AG, C = CH	0E55D0985482BBB7C490EBA147C5A021A2C2A2089D3A8AF57D01EDD540CA5A45	ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS OV ICA 2021 - 1, O = SwissSign AG, C = CH	B3679FDDDC644858B97DBB67DE778DD56C6E5D53A96B70E85AB509D09868186D	ETSI EN 319 411-1 V1.3.1, OVCP

Table 8: CA issuing end entity certificates issued by the Root-CA

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Root 4: SwissSign RSA TLS Root CA 2022 - 1

Standards considered:	<p>European Standards:</p> <ul style="list-style-type: none">• ETSI EN 319 411-1 V1.3.1 (2021-05)• ETSI EN 319 401 V2.3.1 (2021-05) <p>CA Browser Forum Requirements:</p> <ul style="list-style-type: none">• Baseline Requirements for TLS Server Certificates, version 2.0.0 <p>Browser Policy Requirements:</p> <ul style="list-style-type: none">• Mozilla Root Store Policy• Microsoft Trusted Root Program• Google Root Program• Apple Root Store Program <p>Other:</p> <p>For the Trust Service Provider Conformity Assessment:</p> <ul style="list-style-type: none">• ETSI EN 319 403 V2.2.2 (2015-08)• ETSI EN 319 403-1 V2.3.1 (2020-06)• ETSI TS 119 403-2 V1.3.1 (2023-03)
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The audit was based on the following policy and practice statement documents of the CA / TSP:

- *SwissSign CP OV - Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign CP DV – Certificate Policy for Organization Validated Certificates, version 2.0, as of 2022-08-15*
- *SwissSign TSPS - Trust Services Practice Statement, version 4.0, as of 2022-07-18*
- *SwissSign CPS TLS - Certification Practice Statement for TLS certificates“, version 4.0, as of 2022-07-01*
- *SwissSign CPR TLS - Certificate, CRL and OCSP Profiles for TLS Certificates, version 5.0, as of 2022-09-30*

Audit Attestation

Audit Attestation SwissSign AG – AA2023091402



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

Findings with regard to ETSI EN 319 401:

7.8 Network security

SwissSign shall improve the implementation of the pentesting.

[ETSI EN 319 401, REQ-7.8-14]

Findings with regard to ETSI EN 319 411-1:

6.2 Identification and authentication

SwissSign shall improve the validation process for certificate applications.

[ETSI EN 319 411-1, REG-6.2.2-02B]

6.3 Certificate Life-Cycle operational requirements

SwissSign shall improve the implementation for handling revocation requests.

[ETSI EN 319 411-1, REV-6.3.9-01]

6.5 Technical security controls

SwissSign shall improve the process for dealing with suspicious network activity.

[ETSI EN 319 411-1, OVR-6.5.5-07]

SwissSign shall improve its process for reviewing rights-management changes.

[ETSI EN 319 411-1, OVR-6.5.5-07]

All major non-conformities have been closed before the issuance of this attestation. For all minor 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 this Root-CA's hierarchy during the audited period.

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Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS Root CA 2022 - 1, O = SwissSign AG, C = CH	193144F431E0FDDB740717D4DE926A571133884B4360D30E272913CBE660CE41	ETSI EN 319 411-1 V1.3.1, OVCP ETSI EN 319 411-1 V1.3.1, DVCP

Table 7: Root-CA 4 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.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN = SwissSign RSA TLS DV ICA 2022 - 1, O = SwissSign AG, C = CH	B400250EF2B09B30E9AAA3E2C20017B8911BD039DF8AF54949C60AED5BF697D4	ETSI EN 319 411-1 V1.3.1, DVCP
CN = SwissSign RSA TLS OV ICA 2022 - 1, O = SwissSign AG, C = CH	332F9EAE3650C77454AF14FE1A621A2498FD128773662890A0D12835B3436E23	ETSI EN 319 411-1 V1.3.1, OVCP

Table 8: CA issuing end entity certificates issued by the Root-CA

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Modifications record

Version	Issuing Date	Changes
Version 1	2023-09-14	Initial attestation

End of the audit attestation letter.