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Business Area
Life, Training &
Certification Austria

Certification Body

TÜV ®

Audit Attestation for SwissSign AG

Reference: AA2018122002

Your ref.:	Your message from:	Our ref.:	Date:
-	-	TUV TRUST IT/wcl	2018-12-20

To whom it may concern,

This is to confirm that TUV AUSTRIA CERT has successfully audited the CAs of "SwissSign" without critical findings.

This present Audit Attestation letter is registered under the unique identifier number AA2018122002 and consist of 6 pages. Predecessor is Audit Attestation letter AA2017113001 as of 2017-11-30 from TÜViT.

Kindly find here below the details accordingly.

In case of any question, please contact:

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With best regards,

i.A. i.V.

Certification Body

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Identification of the conformity assessment body (CAB):	*TÜV AUSTRIA CERT GmbH*[1] *TÜV AUSTRIA-Platz 1, 2345 Brunn am Gebirge,* Company registration: Vienna / Wien / FN 288474 b Accreditation Body: Federal Ministry for Digital and Economic Affairs 1010 Wien, Stubenring 1 mailto: akkreditierung@bmdw.gv.at https://www.bmdw.gv.at/ Accreditation: The CAB is accredited for the certification of trust services according to DIN EN ISO/IEC 17065 and ETSI EN 319 403. URL to accreditation[2]: https://www.bmdw.gv.at/TechnikUndVermessung/Akkreditierung/Documents/AA_0943_17065_TUEV_AUSTRIA_CERT_GMBH.pdf

Identification of the trust service provider (TSP):	*SwissSign AG* *Sägereistraße 25* *CH-8152 Glattbrugg, Schwitzerland* *Contact: Mr. Michael Günther* *E-Mail: michael.guenther@swisssign.com* *Company registration: CHE-403.679.996,* *CHE-109.357.012 (SwissSign Ltd.)*

Identification of the audited Root-CA:	SwissSign Gold CA - G2	
	Distinguished Name	CN = SwissSign Gold CA - G2 O = SwissSign AG C = CH
	SHA-256 fingerprint	62 dd 0b e9 b9 f5 0a 16 3e a0 f8 e7 5c 05 3b 1e ca 57 ea 55 c8 68 8f 64 7c 68 81 f2 c8 35 7b 95
	Certificate Serial number	00 bb 40 1c 43 f5 5e 4f b0
	Applied policy	ETSI EN 319 411-1, policies NCP, NCP+, OVCP, EVCP

[1] in the following termed shortly „*CAB*“

[2] *URL to the accreditation certificate hosted by the national accreditation body*

The audit was performed as full annual audit at the TSP's location in Zurich, Switzerland. It took place from September, 24th to September, 28th 2018 and covered the period from October 10th, 2017 until September 28th, 2018 for all policies. The audit was performed according to the applicable European Standards ETSI EN 319 411-1, V1.2.2 (2018-04), ETSI EN 319 401, V2.2.1 (2018-04), CA/B-Forum Requirements: EV SSL Certificate Guidelines, V1.6.8, Baseline Requirements, V1.6.0, under consideration of ETSI EN 319 403, V2.2.2 (2015-08) as guidelines for general Trust Service Provider Conformity Assessment.

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

1. "SwissSign Gold CP/CPS, Certificate Policy and Certification Practice Statement of the SwissSign Gold CA", OID: 2.16.756.1.89.1.2.1.11, Version: 2.7.0 as of December 17th, 2018
2. "SwissSign, PKI Disclosure Statement Certificate Services", OID: 2.16.756.1.89.1.0.6.0.1, Version: 1.0 as of July 14th, 2017
3. "SwissSign, Subscriber Agreement Certificate Services", OID: 2.16.756.1.89.1.0.2.0.2, Version 1.01 as of November 20th, 2018
4. "SwissSign, Relying Party Agreement", OID: 2.16.756.1.89.1.0.5.0.1, Version: 1.0 as of July 14th, 2017

No Major Non-Conformities have been identified throughout the audit.
In the following areas minor Non-Conformities have been identified throughout the audit:

Findings with regard to ETSI EN 319 401:

7.2 Human resources
Documentation and implementation of the training and role concept shall be improved.
7.4 Access control
Documentation and implementation physical system access control measures shall be improved.
7.8 Network security
Documentation and implementation of regular pentesting shall be improved.

Findings with regard to ETSI EN 319 411-1/2:

6.2 Identification and authentication
Documentation and/or implementation of certificate application shall be improved.
6.5 Technical security controls
Documentation and/or implementation of user authentication shall be improved.
6.9 Other provisions
Documentation and/or implementation of test certificate provisioning shall be improved.

All Minor Non-Conformities have been scheduled to be remediated within three month after the onsite audit and will be covered by a corresponding audit.

This Audit Attestation also covers the following incidents as documented under

- Policy OVCP: Bug 1443731, SwissSign: Cert issued with a to long validity period: https://bugzilla.mozilla.org/show_bug.cgi?id=1443731.
- Policy OVCP: Bug 1459557, SwissSign: Certificate issue with Signature: https://bugzilla.mozilla.org/show_bug.cgi?id=1459557.
- Policy OVCP: Bug 1428877, SwissSign: Invalid DNSName in SAN: https://bugzilla.mozilla.org/show_bug.cgi?id=1428877.
- Any policy: Bug 1455132, SwissSign: Undisclosed Intermediate Certificates: https://bugzilla.mozilla.org/show_bug.cgi?id=1455132.

The remediation measures taken by SwissSign as described on Bugzilla (see link above) have been accompanied by the auditors and showed to properly address the incident. The longterm effectiveness of the measures will be rechecked at the next regular audit.

The Sub-CAs that have been issued by the aforementioned Root-CA and that have been covered by this audit are listed in table 1 below. The TSP assured that all non-revoked SubCA's that are technically capable of issuing server or email certificates and that have been issued by this Root-CA are in the scope of regular audits.

Identification of the Sub-CA	Distinguished Name	SHA-256 fingerprint	Certificate Serial number	Applied policy OID	Service	EKU	Validy
SwissSign Personal Gold CA 2008 - G2	CN = SwissSign Personal Gold CA 2008 - G2 O = SwissSign AG C = CH	2b 65 e4 5e a1 81 c1 cc 21 b1 cc 9e 9f b1 e1 0f 54 12 94 32 bb 78 97 3f 60 8c 66 a4 15 1f bf 0e	39 2b 24 1d 61 44 c3 5a	ETSI EN 319 411-1, policy NCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 07/07/2008 17:24:18 GMT to UTCTime 07/07/2023 17:24:18 GMT
SwissSign Server Gold CA 2008 - G2	CN = SwissSign Server Gold CA 2008 - G2 O = SwissSign AG C = CH	fd 29 91 b1 34 ce 57 bf 9c d6 86 87 88 54 a5 ee d5 ea 64 43 30 02 45 2b a4 03 98 da 78 84 5c a7	5e cc fa 69 c0 33 27 ef	ETSI EN 319 411-1, policy OVCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 07/07/2008 17:06:03 GMT to UTCTime 07/07/2023 17:06:03 GMT
SwissSign EV Gold CA 2014 - G22	CN = SwissSign EV Gold CA 2014 - G22 O = SwissSign AG C = CH	a4 34 aa e4 e1 5a 55 19 e9 b1 11 fd 08 ec 19 0f d2 ad f1 3b be 30 81 5c 6e 16 06 55 5c b3 14 50	00 81 08 38 3c c0 07 75 c4 0c 6d 73 6b e3 30 8b	ETSI EN 319 411-1, policy EVCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 15/09/2014 16:16:37 GMT to UTCTime 04/03/2035 16:16:37 GMT
SwissSign Server Gold CA 2014 - G22	CN = SwissSign Server Gold CA 2014 - G22 O = SwissSign AG C = CH	56 1d c7 83 51 f5 e7 ee 5a 46 4a c6 e5 8a 0d 16 4e f2 76 8f 98 f0 2e 6e e6 55 01 12 0f cd 9c 5e	00 fa 1d aa ea c9 b3 a5 fa 57 98 0b 99 74 da 31	ETSI EN 319 411-1, policy OVCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 19/09/2014 14:09:12 GMT to UTCTime 15/09/2029 14:09:12 GMT
SwissSign Personal Gold CA 2014 - G22	CN = SwissSign Personal Gold CA 2014 - G22 O = SwissSign AG C = CH	77 d6 c2 af 5a 7b 86 f6 3d 99 18 c8 75 33 77 9f 2a f0 8d 35 cf a1 4d a4 93 8c 80 3f 53 de 18 a1	19 17 95 dc 22 74 1b 12 1d db 54 4c 5c cb dc	ETSI EN 319 411-1, policy NCP, NCP+	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 19/09/2014 14:10:25 GMT to UTCTime 15/09/2029 14:10:25 GMT
SwissSign CH Person Gold CA 2017 - G22	2.5.4.97 = NTRCH-CHE-109.357.012 CN = SwissSign CH Person Gold CA 2017 - G22 O = SwissSign AG C = CH	0f 40 6e 94 73 93 bf 05 0a a5 9b 1b 86 fc 0f bf 7b aa 6d 46 91 76 ff 52 a7 b0 85 12 82 80 bd 40	00 b3 69 a3 5c 84 38 c2 2e 47 94 cb c0 81 22 3e	ETSI EN 319 411-1, policy NCP, NCP+	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 18/12/2017 06:23:29 GMT to UTCTime 18/12/2032 06:23:29 GMT
SwissSign EV Gold CA 2008 - G2	CN = SwissSign EV Gold CA 2008 - G2 O = SwissSign AG C = CH	fa ff c0 85 fc 87 b2 a5 e3 cd 5a c9 bd 44 b4 6a 09 23 4b 11 9b a8 0e 01 65 90 89 f8 e3 10 04 4a	32 c2 82 c3 a0 12 00 7e	ETSI EN 319 411-1, policy EVCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 13/11/2008 14:24:15 GMT to UTCTime 13/11/2023 14:24:15 GMT

SwissSign EV Gold CA 2009 - G2	CN = SwissSign EV Gold CA 2009 - G2 O = SwissSign AG C = CH	f9 c2 6b 91 a1 86 21 78 60 dc 5a a1 a6 98 74 94 78 65 ae c1 56 d8 9f ac 9b 18 66 0e a8 29 c2 5e	00 f7 92 b7 c4 81 8c 04 58	ETSI EN 319 411-1, policy EVCP	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 10/06/2009 09:29:39 GMT to UTCTime 06/06/2024 09:29:39 GMT

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

The following issuing CA certificate has been generated as cross-sign certificate by the Root-CA. It has been ensured by AffirmTrust that the cross signed CA was continuously WebTrust audited with no gaps over time. Corresponding evidences (audit reports) have been reviewed by the auditors:

Identification of the Sub-CA	Distinguished Name	SHA-256 fingerprint	Certificate Serial number	Applied policy OID	Service	EKU	Validy
AffirmTrust Commercial	CN = AffirmTrust Commercial O = AffirmTrust C = US	e1 aa f1 19 19 ed fd 67 e5 01 4a 00 ff 6b c6 09 5c 7c da 18 56 f4 a8 2b 38 af 40 6d 6c 04 81 79	27 2b 67 22 97 45 d2 43 8b f9 77 41 86 ae bd	WebTrust for CA	Certificate Signing, Off-line CRL Signing, CRL Signing	none	from UTCTime 01/12/2009 00:00:00 GMT to UTCTime 02/11/2019 00:00:00 GMT

Table 2: Cross-Signed Sub-CA's issued by the Root-CA

Modifications record

Version	Issuing Date	Changes
Version 1	2018-12-20	initial attestation

End of the audit attestation letter.