Audit Attestation for

A-Trust Gesellschaft für Sicherheitssysteme im elektronischen Datenverkehr GmbH

Reference: VIG-22-089

Vienna, 2023-02-23

To whom it may concern,

This is to confirm that “A-SIT, Secure Information Technology Center – Austria” has audited the CAs of the “A-Trust Gesellschaft für Sicherheitssysteme im elektronischen Datenverkehr GmbH” without critical findings.

This present Audit Attestation Letter is registered under the unique identifier number “VIG-22-089” and consists of << 8 >> pages.

Kindly find here below the details accordingly.

In case of any question, please contact:

A-SIT, Secure Information Technology Center – Austria
Seidlgasse 22/9
1030 Wien, Austria
E-Mail: office@a-sit.at
Phone: +43 1 503 19 63 - 0

With best regards,

Herbert Leitold, Director

This attestation is based on the template version 2.9 as of 2022-04-04, that was approved for use by ACAB-c.
### Identification of the conformity assessment body (CAB) and assessment organization acting as ETSI auditor:

- **A-SIT, Secure Information Technology Center – Austria**, Seidlgasse 22/9, 1030 Wien, Austria registered under association registration number ZVR: 948166612
- Accredited by Akkreditierung Austria under registration ID 0929 for the certification of trust services according to “EN ISO/IEC 17065:2012” and “ETSI EN 319 403-1 V2.3.1 (2020-06)” respectively.
- Insurance Carrier (BRG section 8.2): Generali Versicherung AG
- 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
- 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;
  b) understanding functioning of trust services and information security including network security issues;

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1 in the following termed shortly “CAB”
2 https://akkreditierung-austria.gv.at/ (search for “A-SIT” or “0929”)
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.

- 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:

- 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):

A-Trust Gesellschaft für Sicherheitssysteme im elektronischen Datenverkehr GmbH, Landstraßer Hauptstraße 1b, E02, 1030 Wien, Austria

registered under Company registration number FN 195738a

Type of audit:

☐ Point in time audit

☐ Period of time, after x month of CA operation

☒ Period of time, full audit

This attestation is based on the template version 2.9 as of 2022-04-04, that was approved for use by ACAB-c.
<table>
<thead>
<tr>
<th>Standards considered:</th>
<th>European Standards:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>☒ ETSI EN 319 411-2, V2.4.1 (2021-11)</td>
</tr>
<tr>
<td></td>
<td>☒ ETSI EN 319 411-1, V1.3.1 (2021-05)</td>
</tr>
<tr>
<td></td>
<td>☒ ETSI EN 319 401, V2.3.1 (2021-05)</td>
</tr>
<tr>
<td></td>
<td>☒ ETSI EN 319 421, V1.1.1 (2016-03)</td>
</tr>
</tbody>
</table>

|                       | CA Browser Forum Requirements: |
|                       | ☒ EV SSL Certificate Guidelines, version 1.8.0 |
|                       | ☒ Baseline Requirements, version 1.8.6 |

|                       | For the Trust Service Provider Conformity Assessment: |
|                       | ☒ ETSI EN 319 403 V2.3.1 (2020-06) |
|                       | ☒ ETSI TS 119 403-2 V1.2.4 (2020-11) |
The full annual audit was based on the following policy and practice statement documents of the CA / TSP:

1. A-Trust PKI Disclosure Statement (PDS), version 1.4, as of 2022-05-02
3. A-Trust Zertifizierungsrichtlinie (Certificate Practice Statement) für qualifizierte Zertifikate a.sign premium (a-sign-premium CPS), version 1.4.6, as of 2022-12-16
5. A-Trust Zertifizierungsrichtlinie (Certificate Practice Statement) für qualifizierte Zertifikate a.sign premium mobile (a-sign-premium-mobile CPS), version 1.1.6, as of 2022-11-22
10. A-Trust Zertifizierungsrichtlinie (Certificate Practice Statement) für qualifizierte Zeitstempel (a-sign-premium-timestamping CPS), version 1.0.4, as of 2022-12-12

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 related to the covered Sub-CAs during the audited period.
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.

<table>
<thead>
<tr>
<th>Distinguished Name</th>
<th>SHA-256 fingerprint</th>
<th>Applied policy and OID</th>
<th>EKU</th>
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</thead>
<tbody>
<tr>
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<td>81687160EEBE0D05637113F132BEE01D2EC2BDA27073093DFC27944811259973</td>
<td>ETSI EN 319 411-1 V1.3.1, policies NCP+, OVCP</td>
<td>not defined</td>
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<tr>
<td>OU = a-sign-Premium-Enc-07</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
<td></td>
<td></td>
</tr>
<tr>
<td>C = AT</td>
<td></td>
<td>ETSI EN 319 411-1 V1.3.1, policies NCP+, OVCP</td>
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</tr>
<tr>
<td>CN = a-sign-premium-mobile-07</td>
<td>0F522765DB829D9AE9E6AF380A72443C9688B0988FBA2CEE17322F848BAD0511</td>
<td>ETSI EN 319 411-2 V2.4.1, QCP-n-qscd</td>
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<tr>
<td>OU = a-sign-premium-mobile-07</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
<td></td>
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</tr>
<tr>
<td>C = AT</td>
<td></td>
<td>ETSI EN 319 411-2 V2.4.1, QCP-n-qscd</td>
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<td>CN = a-sign-premium-mobile-seal-07</td>
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<td>not defined</td>
</tr>
<tr>
<td>OU = a-sign-premium-mobile-seal-07</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
<td></td>
<td></td>
</tr>
<tr>
<td>C = AT</td>
<td></td>
<td>ETSI EN 319 411-2 V2.4.1, QCP-l-qscd</td>
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<td>ETSI EN 319 411-2 V2.4.1, QCP-l-qscd</td>
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<tr>
<td>OU = a-sign-premium-seal-07</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
<td></td>
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<tr>
<td>C = AT</td>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>CN = a-sign-Premium-Sig-07</th>
<th>OU = a-sign-Premium-Sig-07</th>
<th>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</th>
<th>C = AT</th>
<th>17D13622F3A190F41C0E9BE2BCC271B3E3686400B15A4BCF23F69DA05DCE9E66</th>
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</thead>
<tbody>
<tr>
<td>CN = a-sign-SSL-07</td>
<td>OU = a-sign-SSL-07</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
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<td>OU = a-sign-SSL-EV-07a</td>
<td>O = A-Trust Ges. f. Sicherheitssysteme im elektr. Datenverkehr GmbH</td>
<td>C = AT</td>
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</table>

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Modifications record

<table>
<thead>
<tr>
<th>Version</th>
<th>Issuing Date</th>
<th>Changes</th>
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<tbody>
<tr>
<td>Version 1</td>
<td>2023-02-23</td>
<td>Initial attestation</td>
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End of the audit attestation letter.