

## Independent Assurance Report

### To the Management of CERTISIGN CERTIFICADORA DIGITAL – Certificate Authority:

We have been engaged, in a reasonable assurance engagement, to report on Certisign Certificadora Digital (CERTISIGN-CA) management's assertion, that for its Certification Authority (CA) operations at *Rio de Janeiro, Brazil* and *São Paulo, Brazil*, throughout the period July 1, 2018 to June 30, 2019, for its CAs as enumerated in the Appendix A, CERTISIGN-CA has:

- disclosed its business, key lifecycle management, certificate lifecycle management, and CA environmental control practices in its:
  - For activity until March 18, 2019, the Certification Practices Statement (CPS) for Symantec Trust Network (STN) - Version 3.9, located at <https://www.digicert.com/legal-repository/>;
  - For activity March 18, 2019 – April 18, 2019, the Certification Practices Statement (CPS) for Symantec Trust Network (STN) - Version 3.11, located at <https://www.digicert.com/legal-repository/>;
  - For activity April 18, 2019 – July 30, 2019, the Certification Practices Statement (CPS) for Symantec Trust Network (STN) - Version 3.12, located at <https://www.digicert.com/legal-repository/>;

each version of the CPSs are consistent with their respective CP and provided such services in accordance with its disclosed practices.

- For activity October 10, 2017 – June 30, 2019, the Certisign - Certification Practices Statement - Version 3.3, located at <http://vtn.certisign.com.br/repositorio> and provided such services in accordance with its disclosed practices.
- maintained effective controls to provide reasonable assurance that:
  - CERTISIGN - CA's Certification Practice Statements are consistent with its Certificate Policies
  - CERTISIGN - CA provides its services in accordance with its Certificate Policies and Certification Practice Statements
- maintained effective controls to provide reasonable assurance that:
  - the integrity of keys and certificates it manages is established and protected throughout their lifecycles;
  - the integrity of subscriber keys and certificates it manages is established and protected throughout their lifecycles;
  - the subscriber information is properly authenticated (for the registration activities performed by CERTISIGN - CA); and
  - subordinate CA certificate requests are accurate, authenticated, and approved
- maintained effective controls to provide reasonable assurance that:
  - logical and physical access to CA systems and data is restricted to authorized individuals;
  - the continuity of key and certificate management operations is maintained; and

- CA systems development, maintenance and operations were properly authorized and performed to maintain CA systems integrity

in accordance with the [Webtrust Principles and Criteria for Certification Authorities, Version 2.1](#).

CERTISIGN - CA makes use of external registration authorities for specific subscriber registration activities as disclosed in CERTISIGN - CA's business practices. Our procedures did not extend to the controls exercised by these external registration authorities.

CERTISIGN - CA does not escrow its CA keys, does not provide rekey services, and does not provide certificate suspension services. Accordingly, our procedures did not extend to controls that would address those criteria or other controls performed by DigiCert.

### **Certification authority's responsibilities**

CERTISIGN - CA's management is responsible for its assertion, including the fairness of its presentation, and the provision of its described services in accordance with the [Webtrust Principles and Criteria for Certification Authorities, Version 2.1](#).

### **Our independence and quality control**

We have complied with the independence and other ethical requirements of the Code of Ethics for Professional Accountants issued by the International Ethics Standards Board for Accountants, which is founded on fundamental principles of integrity, objectivity, professional competence and due care confidentiality and professional behaviour.

The firm applies International Standard on Quality Control 1, and accordingly maintains a comprehensive system of quality control including documented policies and procedures regarding compliance with ethical requirements, professional standards and applicable legal and regulatory requirements.

### **Auditor's responsibilities**

Our responsibility is to express an opinion on management's assertion based on our procedures. We conducted our procedures in accordance with International Standard on Assurance Engagements 3000, *Assurance Engagements Other than Audits or Reviews of Historical Financial Information*, issued by the International Auditing and Assurance Standards Board. This standard requires that we plan and perform our procedures to obtain reasonable assurance about whether, in all material respects, management's assertion is fairly stated, and, accordingly, included:

1. obtaining an understanding of CERTISIGN - CA's key and certificate lifecycle management business practices and its controls over key and certificate integrity, over the authenticity and confidentiality of subscriber and relying party information, over the continuity of key and certificate lifecycle management operations, and over development, maintenance and operation of systems integrity;
2. selectively testing transactions executed in accordance with disclosed key and certificate lifecycle management business practices;
3. testing and evaluating the operating effectiveness of the controls; and,
4. performing such other procedures as we considered necessary in the circumstances.

We believe that the evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

## Relative effectiveness of controls

The relative effectiveness and significance of specific controls at CERTISIGN - CA and their effect on assessments of control risk for subscribers and relying parties are dependent on their interaction with the controls, and other factors present at individual subscriber and relying party locations. We have performed no procedures to evaluate the effectiveness of controls at individual subscriber and relying party locations.

## Inherent limitations

Because of the nature and inherent limitations of controls, CERTISIGN - CA's ability to meet the aforementioned criteria may be affected. For example, controls may not prevent, or detect and correct, error, fraud, unauthorized access to systems and information, or failure to comply with internal and external policies or requirements. Also, the projection of any conclusions based on our findings to future periods is subject to the risk that changes may alter the validity of such conclusions.

## Opinion

In our opinion, throughout the period July 1, 2018 to June 30, 2019, CERTISIGN - CA management's assertion, as referred to above, is fairly stated, in all material respects, in accordance with [Webtrust Principles and Criteria for Certification Authorities, Version 2.1](#).

This report does not include any representation as to the quality of CERTISIGN - CA's services beyond those covered by the [Webtrust Principles and Criteria for Certification Authorities, Version 2.1](#) criteria nor the suitability of any of CERTISIGN - CA's services for any customer's intended purpose.

## Use of the WebTrust seal

CERTISIGN – CA's use of the WebTrust for Certification Authorities Seal constitutes a symbolic representation of the contents of this report and it is not intended, nor should it be construed, to update this report or provide any additional assurance.

Assinado digitalmente por FRANCESCO  
GIGLIO BOTTINO:83217258720  
FRANCESCO GIGLIO  
BOTTINO:83217258720  
DN: cn=FRANCESCO GIGLIO  
BOTTINO:83217258720, c=BR, o=ICP-  
Brasil, ou=28555320005001,  
email=francesco.bottino@br.ey.com  
Data: 2019.09.03 22:21:21 -03'00'

August 30, 2019  
Ernst & Young Auditores Independentes S.S.  
Francesco Bottino  
Partner

## APPENDIX A

### List of CAs in Scope – Classification by Type

Secure Email (S/MIME) CAs
1.1 - Certisign Class 1 Consumer Individual Subscriber CA - G2
Other CAs
2.1 - Certisign Class 2 Managed PKI Individual Subscriber CA - G2
3.1 - CertiSign Autoridade Certificadora Classe 2 - G3

### Detailed Information

CA#	Cert#	CA	Subject	Issuer	Serial	Key Algorithm	Key Size	Digest Algorithm	Not Before	Not After	SKI	SHA256 Fingerprint
1	1	Certisign Class 1 Consumer Individual Subscriber CA - G2	CN = Certisign Class 1 Consumer Individual Subscriber CA - G2 OU = Terms of use at https://www.certisign.com.br/rpa (c)10 OU = VeriSign Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = VeriSign Class 1 Public Primary Certification Authority - G3 OU = (c) 1999 VeriSign, Inc. - For authorized use only OU = VeriSign Trust Network O = VeriSign, Inc. = C	635e079ca cd196323e cc0f0caaf9 a79b	sha256RSA	RSA (2048 Bits)	sha256	terça-feira, 26 de outubro de 2010 21:00:00	segunda-feira, 26 de outubro de 2020 20:59:59	a204315 0a66d89 54c3ca0 d8d40ae 4d8474f 72ece	71288cdc38f 662246942be b3219ac6d0f 04e93b7e35f 935ce9e9ce7 1b83ed407
2	1	Certisign Class 2 Managed PKI Individual Subscriber CA - G2	CN = Certisign Autoridade Certificadora Classe 2 - G2 OU = Class 2 Managed PKI Individual Subscriber CA OU = Terms of use at https://www.certisign.com.br/rpa (c)11 OU = VeriSign Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = VeriSign Class 2 Public Primary Certification Authority - G3 OU = (c) 1999 VeriSign, Inc. - For authorized use only OU = VeriSign Trust Network O = VeriSign, Inc. C = US	2c8cec51a 1764dfd85 44bb8a5ac e5007	sha256RSA	RSA (2048 Bits)	sha256	quarta-feira, 20 de outubro de 2010 21:00:00	terça-feira, 20 de outubro de 2020 20:59:59	f5391ca 688480b d753571 8287b6a ff2adfc4 4e69	6282aaf5fede b9da88e18b6 901c4044c65 d4b761428ea 1283a4e7a12 b12f69b4
3	1	CertiSign Autoridade Certificadora Classe 2 - G3	CN = Certisign Class 2 CA - G3 OU = Symantec Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = Certisign Class 2 CA - G3 OU = Symantec Trust Network O = Certisign Certificadora Digital S.A. C = BR	5352527d 85870697 b6462627 afa184bd	sha256RSA	RSA (2048 Bits)	sha256	segunda-feira, 21 de setembro de 2015 21:00:00	segunda-feira, 21 de setembro de 2020 20:59:59	b1309b4 0941ac8 7935a43 b136647 02e420d 05296	bea5661071d ac98c61be68 70b2a70a7a9 5b45d1623ee 38025149967 bffb6d8f9

## Certisign Certificadora Digital (Certisign – CA) Management’s Assertion

Certisign Certificadora Digital (CERTISIGN – CA) operates the Certification Authority (CA) services for AC Certisign and the subordinated CAs presented in the appendix A, and provides the following CA services:

- Subscriber registration
- Certificate renewal
- Certificate issuance
- Certificate distribution (using an online repository)
- Certificate revocation
- Certificate status information processing (using an online repository)
- Subscriber key generation and management

The management of CERTISIGN - CA is responsible for establishing and maintaining effective controls over its CA operations, including its CA business practices disclosure on its repositories presented in the Appendix B, CA business practices management, CA environmental controls, CA key lifecycle management controls, subscriber key lifecycle management controls, certificate lifecycle management controls, and subordinate CA certificate lifecycle management controls. These controls contain monitoring mechanisms, and actions are taken to correct deficiencies identified.

There are inherent limitations in any controls, including the possibility of human error, and the circumvention or overriding of controls. Accordingly, even effective controls can only provide reasonable assurance with respect to CERTISIGN - CA’s Certification Authority operations. Furthermore, because of changes in conditions, the effectiveness of controls may vary over time.

CERTISIGN – CA management has assessed its disclosures of its certificate practices and controls over its CA services. Based on that assessment, in CERTISIGN – CA’s management opinion, in providing its Certification Authority (CA) services in *Rio de Janeiro, Brazil* and *São Paulo, Brazil*, throughout the period July 1, 2018 to June 30, 2019, CERTISIGN – CA has:

- disclosed its business, key lifecycle management, certificate lifecycle management, and CA environmental control practices in its:
  - For activity until March 18, 2019, the Certification Practices Statement (CPS) for Symantec Trust Network (STN) - Version 3.9, located at <https://www.digicert.com/legal-repository/>;
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  - For activity April 18, 2019 – July 30, 2019, the Certification Practices Statement



(CPS) for Symantec Trust Network (STN) - Version 3.12, located at <https://www.digicert.com/legal-repository/>;

each version of the CPSs are consistent with their respective CP and provided such services in accordance with its disclosed practices.

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  - the integrity of subscriber keys and certificates it manages is established and protected throughout their lifecycles;
  - subscriber information is properly authenticated (for the registration activities performed by CERTISIGN - CA); and
  - subordinate CA certificate requests are accurate, authenticated, and approved
- maintained effective controls to provide reasonable assurance that:
  - logical and physical access to CA systems and data is restricted to authorised individuals;
  - the continuity of key and certificate management operations is maintained; and
  - CA systems development, maintenance, and operations were properly authorised and performed to maintain CA systems integrity

in accordance with the [Webtrust Principles and Criteria for Certification Authorities, Version 2.1](#), including the following:

### **CA Business Practices Disclosure**

Certification Practice Statement (CPS)  
Certification Policy (CP)

### **CA Business Practices Management**



Certificate Policy Management  
Certification Practice Statement Management  
CP and CPS Consistency (Certisign's Controls)

### **CA Environmental Controls**

Security Management  
Asset Classification and Management  
Personnel Security  
Physical and Environmental Security

Operations Management  
System Access Management  
Systems Development and Maintenance  
Business Continuity Management  
Monitoring and Compliance  
Audit Logging

### **CA Key Lifecycle Management Controls**

CA Key Generation  
CA Key Storage, Backup, and Recovery  
CA Public Key Distribution  
CA Key Usage  
CA Key Archival and Destruction  
CA Key Compromise  
CA Cryptographic Hardware Lifecycle Management

### **Subscriber Key Life Cycle Management Controls**

CA-Provided Subscriber Key Generation Services  
CA-Provided Subscriber Key Storage and Recovery Services  
Integrated Circuit Card Life Cycle Management  
Requirements for Subscriber Key Management

### **Certificate Life Cycle Management Controls**

Subscriber Registration (CA's Controls)  
Certificate Renewal (CA's Controls)  
Certificate Issuance  
Certificate Distribution  
Certificate Revocation  
Certificate Validation



## **Subordinate CA Certificate Life Cycle Management Controls**

Subordinate CA Certificate Lifecycle Management (Certisign's Controls)

CERTISIGN - CA's does not escrow its CA keys, does not provide rekey services, and does not provide certificate suspension services. Accordingly, our assertion does not extend to controls that would address those criteria or other controls performed by DigiCert.

August 20, 2019

CERTISIGN CERTIFICADORA DIGITAL – Certificate Authority





## APPENDIX A

### List of CAs in Scope – Classification by Type

<b>Secure Email (S/MIME) CAs</b>
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### Detailed Information

CA#	Cert#	CA	Subject	Issuer	Serial	Key Algorithm	Key Size	Digest Algorithm	Not Before	Not After	SKI	SHA256 Fingerprint
1	1	Certisign Class 1 Consumer Individual Subscriber CA - G2	CN = Certisign Class 1 Consumer Individual Subscriber CA - G2 OU = Terms of use at https://www.certisign.com.br/rpa (c)10 OU = VeriSign Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = VeriSign Class 1 Public Primary Certification Authority - G3 OU = (c) 1999 VeriSign, Inc. - For authorized use only OU = VeriSign Trust Network O = VeriSign, Inc. = C	635e079ca cd196323e cc0f0caaf9 a79b	sha256RSA	RSA (2048 Bits)	sha256	terça-feira, 26 de outubro de 2010 21:00:00	segunda-feira, 26 de outubro de 2020 20:59:59	a204315 0a66d89 54c3ca0 d8d40ae 4d8474f 72ece	71288cdc38f 662246942be b3219ac6d0f 04e93b7e35f 935ce9e9ce7 1b83ed407
2	1	Certisign Class 2 Managed PKI Individual Subscriber CA - G2	CN = Certisign Autoridade Certificadora Classe 2 - G2 OU = Class 2 Managed PKI Individual Subscriber CA OU = Terms of use at https://www.certisign.com.br/rpa (c)11 OU = VeriSign Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = VeriSign Class 2 Public Primary Certification Authority - G3 OU = (c) 1999 VeriSign, Inc. - For authorized use only OU = VeriSign Trust Network O = VeriSign, Inc. C = US	2c8cec51a 1764dfd85 44bb8a5ac e5007	sha256RSA	RSA (2048 Bits)	sha256	quarta-feira, 20 de outubro de 2010 21:00:00	terça-feira, 20 de outubro de 2020 20:59:59	f5391ca 688480b d753571 8287b6a ff2adfc4 4e69	6282aaf5fede b9da88e18b6 901c4044c65 d4b761428ea 1283a4e7a12 b12f69b4
3	1	CertiSign Autoridade Certificadora Classe 2 - G3	CN = Certisign Class 2 CA - G3 OU = Symantec Trust Network O = Certisign Certificadora Digital S.A. C = BR	CN = Certisign Class 2 CA - G3 OU = Symantec Trust Network O = Certisign Certificadora Digital S.A. C = BR	5352527d 85870697 b6462627 afa184bd	sha256RSA	RSA (2048 Bits)	sha256	segunda-feira, 21 de setembro de 2015 21:00:00	segunda-feira, 21 de setembro de 2020 20:59:59	b1309b4 0941ac8 7935a43 b136647 02e420d 05296	bea5661071d ac98c61be68 70b2a70a7a9 5b45d1623ee 38025149967 bff6d8f9



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- Roni De Oliveira Franco (Signatário) - 031.796.478-09 em  
30/08/2019 15:46 UTC-03:00  
**Tipo:** Certificado Digital
- Fabio Garbuio (Signatário) - 114.113.218-47 em 30/08/2019 15:47  
UTC-03:00  
**Tipo:** Certificado Digital

