Standard Audit Attestation for

GLOBALTRUST operated by e-commerce monitoring GmbH

Reference: VIG-24-034

"Wien, 2024-07-22"

To whom it may concern,

This is to confirm that "A-SIT, Secure Information Technology Center – Austria" has audited the CAs of "GLOBALTRUST operated by e-commerce monitoring GmbH" with critical findings.

This present Audit Attestation Letter is registered under the unique identifier number "VIG-24-034", covers multiple Root-CAs and consists of 23 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,

placeholder for the
electronic signature
NR: 1

Herbert Leitold, Director

This attestation is based on the template version 3.1 as of 2023-08-24, that was approved for use by ACAB-c.

page 1 of 23 pages

General audit information

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[1] for the certification of trust services according to "EN ISO/IEC 17065:2012" and "ETSI EN 319 403-1 V2.3.1 (2020-06)".
- 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: 2
- 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;
  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

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[1] https://akkreditierung-austria.gv.at/ (search for "A-SIT" or "0929")

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
- 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):	GLOBALTRUST operated by e-commerce monitoring GmbH, Lamezanstraße 4-8, 1230 Wien, Austria, registered under "Handelsgericht Wien, Company registration number FN 224536 a"

Type of audit:	☐ Point in time audit ☐ Period of time, after x month of CA operation ☒ Period of time, full audit
Audit period covered for all policies:	2023-04-01 to 2024-03-31
Point in time date:	none, as audit was a period of time audit
Audit dates:	2024-04-19 (on site) 2024-05-03 (remote) 2024-06-04 (remote) 2024-06-14 (remote)
Audit location:	e-commerce monitoring GmbH (c/o AUSTRIA CARD-Plastikkarten und Ausweissysteme Gesellschaft m.b.H.), Lamezanstraße 4-8, 1230 Wien, Austria (office location)

Root 1: GLOBALTRUST

Standards considered:	European Standards: • ETSI EN 319 411-2 V2.5.1 (2023-10) • ETSI EN 319 411-1 V1.4.1 (2023-10) • ETSI EN 319 401 V2.3.1 (2021-05) • ETSI EN 319 421, V1.2.1 (2023-05) CA Browser Forum Requirements: • Guidelines for the Issuance and Management of Extended Validation Certificates, Version 1.8.1 • Baseline Requirements for the Issuance and Management of Publicly-Trusted TLS Server Certificates, Version 2.0.2 For the Trust Service Provider Conformity Assessment: • ETSI EN 319 403-1 V2.3.1 (2020-06) • ETSI TS 119 403-2 V1.3.1 (2023-03)

The audit was based on the following policy and practice statement documents of the CA / TSP:

- GLOBALTRUST Certificate Policy, version 3.2a, as of 2024-02-16 (OID-Number: 1.2.40.0.36.1.1.8.1)

- GLOBALTRUST Certificate Practice Statement, version 3.0b, as of 2024-02-16 (OID-Number: 1.2.40.0.36.1.2.3.1)

- GLOBALTRUST Company Certificate Practice Statement, version 1.0d, as of 2024-02-19 (OID-Number: 1.2.40.0.36.1.1.999.999)

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

Findings with regard to ETSI EN 319 401:

5 Risk assessment

The risk assessment shall be revised within the review cycle. In particular, risk treatment measures related to the takeover by the new owner (AUSTRIA CARD-Plastikkarten und Ausweissysteme Gesellschaft m.b.H.) should be addressed. [REQ-5-04]

7.2 Human resources

The TSP shall use resources with senior experience provided by the new owner to improve TSP's processes (in particular incident reporting, internal auditing and development). The use of resources provided by the new owner shall be appropriately documented. [REQ-7.2-02, REQ-7.2-06, REQ-7.2-10]

7.6 Physical and environmental security

The TSP shall provide documentation of integration into the infrastructure of the new owner. [REQ-7.6-01]

7.8 Network security

The TSP shall provide documentation of integration into the infrastructure of the new owner and take this into account in future vulnerability scans and penetration tests. [REQ-7.8-13, REQ-7.8-14]

7.9 Incident management

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> The TSP shall improve the incident response processes and provide sufficient resources to reduce response times and the time for implementing remediation measures. [REQ-7.9-05, REQ-7.9-07, REQ-7.9-11]

> Findings with regard to ETSI EN 319 411-1:
> 6.3 Certificate Life-Cycle operational requirements
>> Monitoring of CRL issuance shall be improved. [CSS-6.3.9-05]

> Findings with regard to ETSI EN 319 411-2:
> None.

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 1815534, e-commerce monitoring GmbH: SCT in precertificate:
    https://bugzilla.mozilla.org/show_bug.cgi?id=1815534
-   Bug 1830536, e-commerce monitoring gmbh: certificate issued with two pre-certificates:
    https://bugzilla.mozilla.org/show_bug.cgi?id=1830536
-   Bug 1862004, e-commerce monitoring GmbH: Delayed revocation:
    https://bugzilla.mozilla.org/show_bug.cgi?id=1862004
-   Bug 1883711, e-commerce monitoring gmbh: precertificate validity does not match leaf certificate:
    https://bugzilla.mozilla.org/show_bug.cgi?id=1883711
-   Bug 1888371, e-commerce monitoring GmbH: CRLs with mismatched issuer:
    https://bugzilla.mozilla.org/show_bug.cgi?id=1888371

The remediation measures taken by e-commerce monitoring GmbH as described on Bugzilla (see links above) have been checked by the auditors and properly addressed the incident.
During the audit, the TSP was able to credibly demonstrate that the incident response processes will be improved with the support of human resources with senior experience provided by the new owner. The long-term effectiveness of the measures will be rechecked at the next regular audit.

This Audit Attestation also covers the following key-lifecycle events:

-   2023-06-24: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: office)
-   2023-07-04: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)
-   2023-10-24: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)

Audit Attestation "VIG-24-034", issued to "GLOBALTRUST operated by e-commerce monitoring GmbH"

All key-lifecycle events were performed in compliance with the standards ETSI EN 319 401, V2.3.1, ETSI EN 319 411-1, V1.4.1, ETSI EN 319 411-2, V2.5.1 and ETSI EN 319 421, V1.2.1 as well as the CA Browser Baseline Requirements, version 2.0.2 and EV SSL Certificate Guidelines, version 1.8.1.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN=GLOBALTRUST O=ARGE DATEN - Austrian Society for Data Protection OU=GLOBALTRUST Certification Service C=AT L=Vienna ST=Austria emailAddress=info@globaltrust.info	5E3571F33F45A7DF1537A68B5FFB9E036AF9D2F5BC4C9717130DC43D7175AAC7	ETSI EN 319 411-1 V1.4.1, policies LCP, NCP, NCP+, OVCP ETSI EN 319 411-2 V2.5.1, policies QCP-n, QCP-n-qscd

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=GLOBALTRUST SERVER OV 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	6F7718A79ACDC673C6113F21A22843084A80442F97D08EBB400929BE51D820AE	ETSI EN 319 411-1 V1.4.1, OVCP
CN=GLOBALTRUST CLIENT 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien emailAddress=info@globaltrust.eu	08A0FD0AB6369EE96191C1C246B79971A3DB5C5F2CFC6C4C5CD68CDFEBBE0E73	ETSI EN 319 411-1 V1.4.1, LCP
CN=GLOBALTRUST ADVANCED 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien emailAddress=info@globaltrust.eu	D6D244742E8FC5645B15010F1CD59208F7A63E3BF100083E146F182941A61D98	ETSI EN 319 411-1 V1.4.1, NCP

CN=GLOBALTRUST GOVERNMENT 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien emailAddress=info@globaltrust.eu	6F10E437CF15E54B7B4167C9676DB8F7FD78BC0B63B01CB68EBD00C37334D983	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST CODESIGNING O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien emailAddress=info@globaltrust.eu	378687012B46CBCAE8E0D9F09C9362BFB1F2883E26D411A2B686E935CEB68501	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST QUALIFIED 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	AF9F3BCE85779A95C56B4E4D90CDBBF8D4215B9DD5B36C79EA80B05DA922B1B3	ETSI EN 319 411-2 V2.5.1, QCP-n, QCP-n-qscd
CN=GLOBALTRUST QUALIFIED TIMESTAMP 2 O=e-commerce monitoring GmbH C=AT ST=Wien L=Wien	C87C2D7B322F1A19AF6BF34095A08275E2C16E0874343DFDCBDC79D0F0EE74BB	ETSI EN 319 421 V1.2.1
CN=GLOBALTRUST COMPANYCLIENT 1 O=e-commerce monitoring GmbH C=AT ST=Wien L=Wien	D00619199BA1D93CF9971C0C57B01E240C220BDE981A5FA1757D975D269E7EF1	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY CLIENT LUNIK2 1 O=Lunik2 Marketing Services GmbH C=AT	16DF814F336B9D6318EE1D4BAFE6889C540566669A78523BF691BD0F3D0A98FE	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA LVA 1 O=LVA GmbH C=AT ST = Wien L = Wien	2214F5CCE9DEDECB6F5633E8AD19C43C178315D6EE795780938973E67A463250	ETSI EN 319 411-1 V1.4.1, NCP

CN=COMPANY SubCA STROBL 1 O=Strobl Advertising Group GmbH C=AT	A8F3508859C2172C1ADF01D51362A121238948A19DB99128CD71DF9327E5017C	ETSI EN 319 411-1 V1.4.1, NCP

Table 2: Sub-CAs issued by the Root-CA 1 or its Sub-CAs in scope of the audit

Root 2: GLOBALTRUST 2015

Standards considered:	European Standards: • ETSI EN 319 411-2 V2.5.1 (2023-10) • ETSI EN 319 411-1 V1.4.1 (2023-10) • ETSI EN 319 401 V2.3.1 (2021-05) • ETSI EN 319 421, V1.2.1 (2023-05) CA Browser Forum Requirements: • Guidelines for the Issuance and Management of Extended Validation Certificates, Version 1.8.1 • Baseline Requirements for the Issuance and Management of Publicly-Trusted TLS Server Certificates, Version 2.0.2 For the Trust Service Provider Conformity Assessment: • ETSI EN 319 403-1 V2.3.1 (2020-06) • ETSI TS 119 403-2 V1.3.1 (2023-03)

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

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The risk assessment shall be revised within the review cycle. In particular, risk treatment measures related to the takeover by the new owner (AUSTRIA CARD-Plastikkarten und Ausweissysteme Gesellschaft m.b.H.) should be addressed. [REQ-5-04]

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7.6 Physical and environmental security

The TSP shall provide documentation of integration into the infrastructure of the new owner. [REQ-7.6-01]

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Audit Attestation "VIG-24-034", issued to "GLOBALTRUST operated by e-commerce monitoring GmbH"

> The TSP shall improve the incident response processes and provide sufficient resources to reduce response times and the time for implementing remediation measures. [REQ-7.9-05, REQ-7.9-07, REQ-7.9-11]

> Findings with regard to ETSI EN 319 411-1:
> 6.3 Certificate Life-Cycle operational requirements
>> Monitoring of CRL issuance shall be improved. [CSS-6.3.9-05]

> Findings with regard to ETSI EN 319 411-2:
> None.

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.
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  https://bugzilla.mozilla.org/show_bug.cgi?id=1830536
- Bug 1862004, e-commerce monitoring GmbH: Delayed revocation:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1862004
- Bug 1883711, e-commerce monitoring gmbh: precertificate validity does not match leaf certificate:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1883711
- Bug 1888371, e-commerce monitoring GmbH: CRLs with mismatched issuer:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1888371

The remediation measures taken by e-commerce monitoring GmbH as described on Bugzilla (see links above) have been checked by the auditors and properly addressed the incident.
During the audit, the TSP was able to credibly demonstrate that the incident response processes will be improved with the support of human resources with senior experience provided by the new owner. The long-term effectiveness of the measures will be rechecked at the next regular audit.

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- 2023-07-04: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)
- 2023-10-24: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)

All key-lifecycle events were performed in compliance with the standards ETSI EN 319 401, V2.3.1, ETSI EN 319 411-1, V1.4.1, ETSI EN 319 411-2, V2.5.1 and ETSI EN 319 421, V1.2.1

Audit Attestation "VIG-24-034", issued to "GLOBALTRUST operated by e-commerce monitoring GmbH"
as well as the CA Browser Baseline Requirements, version 2.0.2 and EV SSL Certificate Guidelines, version 1.8.1.

Audit Attestation "VIG-24-034", issued to "GLOBALTRUST operated by e-commerce monitoring GmbH"

Distinguished Name	SHA-256 fingerprint	Applied policy
CN=GLOBALTRUST 2015 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	416B1F9E84E74C1D19B23D8D7191C6AD81246E641601F599132729F507BEB3CC	ETSI EN 319 411-1 V1.4.1, policies EVCP, LCP, NCP, NCP+, OVCP ETSI EN 319 411-2 V2.5.1, policies QCP-n, QCP-n-qscd, QEVCP-w

Table 3: 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=GLOBALTRUST 2015 SERVER OV 2 O=e-commerce monitoring GmbH C=AT ST=Wien L=Wien	2AA69ED0228F06A409254105DFBBF5924C2BEEB3EDBBB6C5F99087D810DCF504	ETSI EN 319 411-1 V1.4.1, OVCP
CN=GLOBALTRUST 2015 SERVER EV 2 O=e-commerce monitoring GmbH C=AT ST=Wien L=Wien	3A014BEF9DE8E25AE4A685A5CA351EDD2B110EB8CDE33E17B829509D78FC5E4A	ETSI EN 319 411-1 V1.4.1, EVCP
CN=GLOBALTRUST 2015 CLIENT 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	ED1E061A00B8E0F4C8409C63CBADD21550A4CEB6BB0D678A8A88973DE8ACB86E	ETSI EN 319 411-1 V1.4.1, LCP
CN=GLOBALTRUST 2015 ADVANCED 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	A75DC97C261D126B705064989B0F7E1C19C5EA4A4FE08C6A61A41AD8BF6252AF	ETSI EN 319 411-1 V1.4.1, NCP

CN=GLOBALTRUST 2015 ADVANCED 2 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	7D110CECF2665C1D0F0ABBDB545B4A87BC8D6C70C4B527D71006A57959A0AC6C	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2015 ADVANCED SEAL 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	8027F453DF0D4D7D521B1F57F06D4773DCE7CCBA63EE96C627656BFC11A20790	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2015 GOVERNMENT 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	A41D1216216EE3316902080C5589313597A5474DD7F21E78FCD9E7705837D547	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2015 CODESIGNING 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	C2E14A608A41BEE20238EB6BF407582578BEAE11131D62825F0801525A11C698	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2015 QUALIFIED 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	012E7FA627D3AB6ED00496A8BD3C7A35B7A195ABE13E45D95363FA85ACF245C4	ETSI EN 319 411-2 V2.5.1, QCP-n, QCP-n-qscd
CN=GLOBALTRUST 2015 QUALIFIED 2 O=e-commerce monitoring GmbH C=AT	7D2BA4C9666673791E5955C874868EEB938791E248572590B15AEF3361ECF811	ETSI EN 319 411-2 V2.5.1, QCP-n, QCP-n-qscd

CN=GLOBALTRUST 2015 QUALIFIED TIMESTAMP 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST C=AT ST=Wien L=Wien	945522340E54B7F2226BE9E6272F18D2C3D6ECA5A579764518DAC7B0E0883FC9	ETSI EN 319 421 V1.2.1
CN=GLOBALTRUST 2015 SERVER QUALIFIED 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	4B9235A7FEA69307129E842F392BF28E98C6F6084660ABC44855654FA5099805	ETSI EN 319 411-2 V2.5.1, QEVCP-w (including all EVCP requirements)
CN=GLOBALTRUST 2015 SERVER QUALIFIED EV 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	23EA405BB51D89CA5B67504C0F7193FA51B77C831774094D59937503FF716369	ETSI EN 319 411-2 V2.5.1, QEVCP-w (including all EVCP requirements)
CN=GLOBALTRUST 2015 SERVER QUALIFIED EV 2 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	761503E31F5D1A48E1ECCA91312DFC81C46265BA7FEECF276F8C04D19264B93B	ETSI EN 319 411-2 V2.5.1, QEVCP-w (including all EVCP requirements)
CN=GLOBALTRUST 2015 COMPANY CLIENT 1 O=e-commerce monitoring GmbH C=AT ST=Wien L=Wien	EFCF30EFEFD471867EBA62E42ADD6F698243FE315887B9D2486EB84CD2BC3EA1	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2015 COMPANY SERVER 1 O=e-commerce monitoring GmbH OU=GLOBALTRUST Certification Service C=AT ST=Wien L=Wien	3E7F788E6F6CDC0482EC554906E965B4D073213CBFD545F6848097D2B0499858	ETSI EN 319 411-1 V1.4.1, OVCP

CN=COMPANY SubCA LGV 1 O=LGV-Frischgemüse Wien reg. Gen.m.b.H C=AT	495035E99A3BF280EE2345C78C5468DC4687C37BE42376271DDF370A090A9348	ETSI EN 319 411-1 V1.4.1, NCP
CN=E-Control Client CA 01 O=Energie-Control Austria OU=IT&TK C=AT emailAddress=cert.services@e-control.at	B84A33D93EF1B1738475C5A36F35E4E7649A7A27BAB8F8C51A133926C218F745	ETSI EN 319 411-1 V1.4.1, NCP

Table 4: Sub-CAs issued by the Root-CA 2 or its Sub-CAs in scope of the audit

Root 3: GLOBALTRUST 2020

Standards considered:	European Standards: • ETSI EN 319 411-2 V2.5.1 (2023-10) • ETSI EN 319 411-1 V1.4.1 (2023-10) • ETSI EN 319 401 V2.3.1 (2021-05) • ETSI EN 319 421, V1.2.1 (2023-05) CA Browser Forum Requirements: • Guidelines for the Issuance and Management of Extended Validation Certificates, Version 1.8.1 • Baseline Requirements for the Issuance and Management of Publicly-Trusted TLS Server Certificates, Version 2.0.2 For the Trust Service Provider Conformity Assessment: • ETSI EN 319 403-1 V2.3.1 (2020-06) • ETSI TS 119 403-2 V1.3.1 (2023-03)

The audit was based on the following policy and practice statement documents of the CA / TSP:

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- GLOBALTRUST Certificate Practice Statement, version 3.0b, as of 2024-02-16 (OID-Number: 1.2.40.0.36.1.2.3.1)

- GLOBALTRUST Company Certificate Practice Statement, version 1.0d, as of 2024-02-19 (OID-Number: 1.2.40.0.36.1.1.999.999)

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

Findings with regard to ETSI EN 319 401:

5 Risk assessment

The risk assessment shall be revised within the review cycle. In particular, risk treatment measures related to the takeover by the new owner (AUSTRIA CARD-Plastikkarten und Ausweissysteme Gesellschaft m.b.H.) should be addressed. [REQ-5-04]

7.2 Human resources

The TSP shall use resources with senior experience provided by the new owner to improve TSP's processes (in particular incident reporting, internal auditing and development). The use of resources provided by the new owner shall be appropriately documented. [REQ-7.2-02, REQ-7.2-06, REQ-7.2-10]

7.6 Physical and environmental security

The TSP shall provide documentation of integration into the infrastructure of the new owner. [REQ-7.6-01]

7.8 Network security

The TSP shall provide documentation of integration into the infrastructure of the new owner and take this into account in future vulnerability scans and penetration tests. [REQ-7.8-13, REQ-7.8-14]

7.9 Incident management

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> The TSP shall improve the incident response processes and provide sufficient resources to reduce response times and the time for implementing remediation measures. [REQ-7.9-05, REQ-7.9-07, REQ-7.9-11]

> Findings with regard to ETSI EN 319 411-1:
> 6.3 Certificate Life-Cycle operational requirements
> > Monitoring of CRL issuance shall be improved. [CSS-6.3.9-05]

> Findings with regard to ETSI EN 319 411-2:
> None.

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 1815534, e-commerce monitoring GmbH: SCT in precertificate:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1815534
- Bug 1830536, e-commerce monitoring gmbh: certificate issued with two pre-certificates:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1830536
- Bug 1862004, e-commerce monitoring GmbH: Delayed revocation:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1862004
- Bug 1883711, e-commerce monitoring gmbh: precertificate validity does not match leaf certificate:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1883711
- Bug 1888371, e-commerce monitoring GmbH: CRLs with mismatched issuer:
  https://bugzilla.mozilla.org/show_bug.cgi?id=1888371

The remediation measures taken by e-commerce monitoring GmbH as described on Bugzilla (see links above) have been checked by the auditors and properly addressed the incident.
During the audit, the TSP was able to credibly demonstrate that the incident response processes will be improved with the support of human resources with senior experience provided by the new owner. The long-term effectiveness of the measures will be rechecked at the next regular audit.

This Audit Attestation also covers the following key-lifecycle events:

- 2023-06-24: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: office)
- 2023-07-04: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)
- 2023-10-24: Backup and Restore of HSM-partitions (including keys intended for use in a CA Certificate, location: datacenter)

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All key-lifecycle events were performed in compliance with the standards ETSI EN 319 401, V2.3.1, ETSI EN 319 411-1, V1.4.1, ETSI EN 319 411-2, V2.5.1 and ETSI EN 319 421, V1.2.1 as well as the CA Browser Baseline Requirements, version 2.0.2 and EV SSL Certificate Guidelines, version 1.8.1.

Distinguished Name	SHA-256 fingerprint	Applied policy
CN=GLOBALTRUST 2020 O=e-commerce monitoring GmbH C=AT	9A296A5182D1D451A2E37F439B74DAAFA267523329F90F9A0D2007C334E23C9A	ETSI EN 319 411-1 V1.4.1, policies EVCP, LCP, NCP, NCP+, OVCP ETSI EN 319 411-2 V2.5.1, policies QCP-n, QCP-n-qscd, QCP-l, QCP-l-qscd, QEVCP-w

Table 5: 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=GLOBALTRUST 2020 SERVER OV 1 O=e-commerce monitoring GmbH C=AT	AF55B372EA64FF3080F31F8429913816DEABAF390FC5D2AC271E9A9F62D8F575	ETSI EN 319 411-1 V1.4.1, OVCP
CN=GLOBALTRUST 2020 SERVER EV 1 O=e-commerce monitoring GmbH C=AT	A5B27D844A0ECB68F1D065723202A2F07C667DE96B84E68A9AF234669397D6C4	ETSI EN 319 411-1 V1.4.1, EVCP
CN=GLOBALTRUST 2020 CLIENT 1 O=e-commerce monitoring GmbH C=AT	6DCA83EF586C940A2040ABDD900CAF0E00A014851F7F9C46EBA20BEDCC07BED7	ETSI EN 319 411-1 V1.4.1, LCP
CN=GLOBALTRUST 2020 ADVANCED 1 O=e-commerce monitoring GmbH C=AT	96D3B4C2FC953B3C12148BDFE9F20A265937B399CFAEFAF68D6273D876B58B43	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2020 AATL 1 O=e-commerce monitoring GmbH C=AT	EB6CAF5650B44E2C962AAFBE01B4359B11F77329784ECD715A6EC43437C2B64C	ETSI EN 319 411-1 V1.4.1, NCP+
CN=GLOBALTRUST 2020 GOVERNMENT 1 O=e-commerce monitoring GmbH C=AT	BA0555CB3C41A0063B767A85414EDD99B64AEEDEDA0430B75983F7E4387FA95A	ETSI EN 319 411-1 V1.4.1, NCP
CN=GLOBALTRUST 2020 CODESIGNING 1 O=e-commerce monitoring GmbH C=AT	8AEAC99EF365CD48C311CD09BFEA889BE99D5A8275A5B820EEC906243612A436	ETSI EN 319 411-1 V1.4.1, NCP

CN=GLOBALTRUST 2020 CODESIGNING EV 1 O=e-commerce monitoring GmbH C=AT	F2438A6E12295054348E64D1DF1C572F248F52F4BB4CEB7FA4DBF16148A6D563	ETSI EN 319 411-1 V1.4.1, NCP+, EVCP
CN=GLOBALTRUST 2020 QUALIFIED 1 O=e-commerce monitoring GmbH C=AT	16A84116D5D22CA0329EA360927B67EDC61D9583F6846577A3F38734BB459D88	ETSI EN 319 411-2 V2.5.1, QCP-n, QCP-n-qscd, QCP-l, QCP-l-qscd
CN=GLOBALTRUST 2020 SERVER QUALIFIED EV 1 O=e-commerce monitoring GmbH C=AT	FE95A24E7F94978E58D99350AB7AB789774A987CD25187C128C191D207523BB1	ETSI EN 319 411-2 V2.5.1, QEVCP-w (including all EVCP requirements)
CN=GLOBALTRUST 2020 COMPANY CLIENT 1 O=e-commerce monitoring GmbH C=AT	B868C8A09F1766D3289CE2CAC27488254A7310996C1B049C42C9EADD1A5ED621	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA AGRANA 1 O=AGRANA Beteiligungs-Aktiengesellschaft C=AT	0717B1C5ADE972B79187DAB4A3053324DA3EBD50CD94E1463A91BEC4EEC90B57	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA WIENERLINIEN 1 O=WIENER LINIEN GmbH & Co KG C=AT	4416CB141753C6BA7246C92C27531BF8D14EB738521C1AB6A9947BF50BA04F4E	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA ANTARES 1 O=Antares-NetlogiX Netzwerkberatung GmbH C=AT	B90233270D0C854B7C0908806D5862BFBC74E09504DEABA59A6F8A748A7E774E	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA REPOWER 1 O=Repower AG C=CH	473D7D1016A5174B4D36539A870B16D070B907B2597345F74A7FAB5D50CB8AD4	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA SNAP-AT 1 O=SNAP Consulting GmbH C=AT	53CC112AF72BEE2E3D436022BD65BAE67C736E7506BC0052465D854BB5C69F84	ETSI EN 319 411-1 V1.4.1, NCP
CN=COMPANY SubCA TUEV 1 O=TÜV AUSTRIA SERVICES GMBH C=AT	51B95BB417DE138B7F0EB0D74C5AA19B63BBA6F96630DD2D14944E7FB9059803	ETSI EN 319 411-1 V1.4.1, NCP

CN = COMPANY SubCA WAFF 2 O = Wiener ArbeitnehmerInnen Förderungsfonds (waff) C = AT	0A1EC5339BD0AF72925C376227D6BEA9CDA16A081A36C0D354B837D3B691105D	ETSI EN 319 411-1 V1.4.1 NCP

Table 6: Sub-CAs issued by the Root-CA 3 or its Sub-CAs in scope of the audit

Modifications record

Version	Issuing Date	Changes
Version 1	2024-07-22	Initial attestation

End of the audit attestation letter.