

Introduction to WebTrust for Certification Authorities – WebTrust for Extended Validation Audit Criteria

The attached WebTrust for Certification Authorities – WebTrust Extended Validation Audit Criteria (DRAFT) has been prepared in cooperation with internet browsers and issuers of digital certificates by the WebTrust for Certification Authorities Working Group. The attached document is in draft form recognizing that there has not yet been any Extended Validation Certificates issued or wide exposure of the guidelines. However, a significant requirement for the acceptance of Extended Validation Certificates by browsers is the completion of an examination by licensed WebTrust practitioners. This document should be used as the basis for conducting such an examination for the purposes of meeting industry expectations. This document has had the benefit of being commented on by both browsers and many issuers of digital certificates. Included in the attached document is both the WebTrust Criteria for Extended Validation Certificates as well as the industry developed Criteria for Extended Validation Certificates.

We would appreciate any comments you may have based on your experiences with using WebTrust for Certification Authorities – WebTrust Extended Validation Audit Criteria (DRAFT). Please address your comments to:

Bryan Walker, CA
New Assurance Services Group
Canadian Institute of Chartered Accountants
277 Wellington St West
Toronto, Ontario
Canada, M5V 3H2

Or by email

Bryan.walker@cica.ca

WEBTRUST FOR CERTIFICATION AUTHORITIES – WEBTRUST EXTENDED VALIDATION AUDIT CRITERIA

BASED ON:

CA/BROWSER FORUM

**GUIDELINES FOR
EXTENDED VALIDATION CERTIFICATES**

DRAFT October 20, 2006

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This document has been prepared for the use of licensed WebTrust practitioners, Certification Authorities, Browsers and users of Extended Validation Certificates by the WebTrust Certification Authorities Advisory Group. Members of this Group are:

<u>Chair</u> Donald E. Sheehy <i>Deloitte & Touche LLP</i> Michael Greene <i>Ernst & Young LLP</i> Mark Lundin <i>KPMG LLP</i> Jeffrey Ward <i>Stone Carlie & Company LLC</i>	<u>Staff Contact:</u> Bryan Walker, <i>Canadian Institute of Chartered Accountants</i>
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Introduction

1. “The explosive growth of internet transactions and web services relies on strong authentication of the identity of web sites, domain owners and online servers. Browser developers, other application developers, and many of the certification authorities (CAs) that issue TLS/SSL certificates, all support improved and standardized certificates to provide stronger assurance of organizational identity than is often the case with certificates used on the web today (early 2006).”¹
2. The Certificate Authorities and browser developers have worked together to develop guidelines that creates the basis for differentiating certificates which have stronger authentication standards than other certificates. Certificates that have been issued under stronger authentication controls, processes and procedures are called Extended Validation (“EV Certificates”).
3. A working group consisting of many of the issuers of digital certificates and browser developers has developed a set of guidelines that set out the expected requirements for issuing EV certificates. This group is known as the CA Browser Forum (“CAB Forum”). The guidelines are entitled “Guidelines for Extended Validation Certificates” (“EV Guidelines”). A copy of these guidelines can be found at <http://www.cabforum.org/>.
4. CAs and browser developers have recognized the importance of an independent third party examination of the controls, processes and procedures of CAs. Accordingly, the EV Guidelines include a specific requirement for CAs that wish to issue EV certificates to undergo a WebTrust for Certification Authorities examination or equivalent which would cover hierarchy roots and subordinate roots involved in the EV Certificate process. There is also a requirement that the CA would undergo an additional independent examination by the WebTrust auditor to provide an opinion whether the additional requirements for the issuance of EV certificates have also been followed.
5. The purpose of this EV Addendum to the WebTrust Program Certification Authorities is to set additional criteria and examples of reports that would be used by the WebTrust auditor with respect to providing the assurances requested by the CA, browsers and other users. With one exception **this Addendum should be used only in conjunction with the Principles and Criteria contained in the current version of the WebTrust Program for Certification Authorities. These criteria may be used on a standalone basis for the purposes of issuing a readiness report provided that the CA has a current WebTrust for Certification Seal.**
6. This Addendum contains additional criteria to be tested by the WebTrust auditor when providing assurances with respect to EV certificates. It also provides some

¹ Extracted from an unpublished background paper prepared for the CA Browser Forum called “The Quill Guidelines”.

additional guidance in the form of illustrative controls to assist the WebTrust auditor in understanding the intent of the specific criteria and sample reports that illustrate the form of reports that is expected from WebTrust auditors. .

Transition and Adoption

7. In order to meet the needs and expectations of the market place, these WebTrust Guidelines for Extended Validation Certificates (The WT EV Guidelines) included in this Addendum may be used effective [TBD]. The WT EV Guidelines have been developed by an experienced Working Group of WebTrust for Certification Authority practitioners. The WT EV Guidelines have been circulated to CAB Forum participants as well as other experienced WebTrust for Certification Authorities practitioners. These guidelines, however, should be considered “draft” however until a broader constituency has used and become familiar with them. Based on experience with these criteria subsequent changes may be made before the Guidelines should be considered final. In addition, it is expected that these criteria will be reviewed by the AICPA’s Assurance Service Executive Committee.
8. As mentioned, the WT EV Guidelines are only to be used in conjunction with the Principles and Criteria in the WebTrust Program for Certification Authorities. CAs that wish to issue EV Certificates must first go through a WT examination and then a WT for EV examination. The WebTrust auditor should identify the CA’s requirements early in the process to identify whether the WebTrust report will be used to support the issuance of EV certificates. {See section 35 A}
9. The two examinations would normally be conducted simultaneously. In the interim however, it is expected that they will be conducted separately. For CAs that have successfully (successfully meaning an opinion without reservation issued by the WebTrust auditor) undergone a WebTrust for Certification (WT for CA) examination and the report and related WebTrust seal are still current (see WebTrust Program for Certification Authorities page xx), the procedures undertaken by the WebTrust auditor would only be those that are necessary to examine the added procedures for EV certificates. The currently valid WebTrust for Certification Authorities examination would not need to be updated to a more recent date that would match the date of the WT EV examination.
10. For CAs that do not have a currently valid WebTrust report, the criteria contained in the WebTrust Program for Certificate Authorities and the criteria in this Addendum would be tested.

Reports

Organizations with a currently valid WebTrust Report

11. It is acceptable for a WebTrust Auditor to issue a “point in time” report with respect to providing assurance on WT for EV criteria. This is acceptable for the initial examination only. At the time the existing WebTrust report is to be

renewed, however, the examination should cover the full twelve months or less following the period covered by the previous WebTrust report. (See Sample Reports [to be developed]).

12. For examples of an initial report on a CAs readiness to meet the WebTrust for EV Certificates criteria see Appendix A.

Organizations without a currently valid WebTrust Report

13. An important element for acceptance of EV certificates by the browser developers is the existence of a non-qualified WebTrust opinion. In order to facilitate acceptance by the browser developers, the WebTrust auditor may issue a “point in time” report that covers the criteria in both the WebTrust Program for Certification Authorities and the Addendum. (See Sample Reports [to be developed]).

WebTrust Seal Issues

14. A WebTrust seal is provided to CAs that have successfully completed a WebTrust examination that covers a period of time.
15. A WebTrust Seal is provided to any CA that meets the criteria established in the WebTrust program for Certification Authorities. A CA does not need to meet the additional criteria established in this Addendum to obtain a WebTrust for Certification Authorities Seal.
16. The WebTrust working group is considering the question as to whether the WebTrust seal should be modified to differentiate between EV certificates and non-EV Certificates. Until a decision is made the current WebTrust Seal will be used in both circumstances. The differentiation of the two levels of certificates will be evidenced by the user interface established by the browser developers and disclosures made by the CA with respect to the certificates that it has issued.

WEBTRUST FOR CERTIFICATION AUTHORITIES – WEBTRUST EV AUDIT CRITERIA

PRINCIPLE 1: CA EV Business Practices Disclosure - The Certification Authority discloses its EV Certificate practices and procedures and its commitment to provide EV Certificates in conformity with the CA/Browser Forum Guidelines.

	WebTrust EV Criteria		
1	<p>The CA and its Root CA discloses² on its website its</p> <ul style="list-style-type: none"> • EV Certificate practices, policies and procedures. • CAs in the hierarchy whose subject name is the same as the EV issuing CA, and • its commitment to conform with CA/Browser Forum Guidelines for Extended Validation Certificates <p>(See EV Certificate Guidelines Section 4 (b) (3))</p>		
2	<p>The Certificate Authority has published guidelines for revoking EV Certificates.</p> <p>(See EV Certificate Guidelines Section 27 (a))</p>		
3	<p>The CA provides instructions to Subscribers, Relying Parties, Application Software Vendors and other third parties for reporting complaints or suspected private key compromise, EV Certificate misuse, or other types of fraud, compromise, misuse, or inappropriate conduct related to EV Certificates to the CA .</p> <p>(See EV Certificate Guidelines Section 28)</p>		
4	<p>The CA and its Root has controls to provide reasonable assurance that there is public access to the CPS on a 24x7 basis.</p> <p>(See EV Certificate Guidelines Section 4 (b))</p>		

² The criteria are those that are to be tested for the purpose of expressing an opinion on WebTrust for Certificate Authorities - Extended Validation. For an initial “readiness assessment” where there has not been a minimum of two months of operations disclosure to the public is not required. The CA, however, must have all other aspects of the disclosure completed such that the only action remaining is to activate the disclosure so that it can be accessed by users in accordance with the EV Certificate Guidelines.

PRINCIPLE 2: Service Integrity - The Certification Authority maintains effective controls to provide reasonable assurance that:

- EV Subscriber information was properly collected, authenticated (for the registration activities performed by the CA, RA and subcontractor) and verified
- The integrity of keys and EV certificates it manages is established and protected throughout their life cycles.

	WebTrust EV Criteria		
	The following criteria apply to both new and renewed EV Certificates.		
	Subscriber Profile		
1.1	<p>The CA maintains controls to provide reasonable assurance that it issues EV Certificates to Private Organizations or Government Entities as defined within the EV Certificate Guidelines that meet the following requirements:</p> <p>For Private Organizations:</p> <ul style="list-style-type: none"> • the organization is a legally recognized entity • the organization has a Registered Agent, Registered Office in the jurisdiction of incorporation. or equivalent. • the organization is not designated as inactive, invalid, non-current or equivalent in records of the Incorporating Agency(See also section 21 (b)) • the organization's Jurisdiction of Incorporation and/or its Place of Business is not in a country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA's jurisdiction; and • the organization is not listed on a published government denial list or prohibited list (e.g., trade embargo) under the laws of the CA's jurisdiction. <p>Or</p> <p>For Government Entities</p> <ul style="list-style-type: none"> • The legal existence of the Government Entity is established • The Government Entity is not in a country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA's jurisdiction; and • The Government Entity is not listed on a published government denial list or prohibited list (e.g., trade embargo) under the laws of the CA's jurisdiction. <p>(See EV Certificate Guidelines Section 5 (a) and (b))</p>		
1.2	<p>The CA maintains controls to provide reasonable assurance that EV Certificates are not issued to the following</p> <ul style="list-style-type: none"> • General partnerships 		

	WebTrust EV Criteria		
	<ul style="list-style-type: none"> • Unincorporated associations • Sole proprietorships • Individuals (natural persons) <p>(See EV Certificate Guidelines Section 5 (d))</p>		
	<u>EV CERTIFICATE CONTENT AND PROFILE</u>		
2.1	<p>The CA maintains controls to provide reasonable assurance that the EV certificates issued meet the minimum requirements for Certificate Content and profile as established in section 6 of the EV Certificate Guidelines including the following:</p> <ul style="list-style-type: none"> • full legal organization name and if space is available the d/b/a name may also be disclosed • Domain name • Jurisdiction of Incorporation • Registration Number • Physical address of Place of Business. <p>(See EV Certificate Guidelines Section 6)</p>		
2.2	<p>The CA maintains controls and procedures to provide reasonable assurance that the EV Certificates issued include the minimum requirements for the content of EV Certificates as established in the EV Certificate Guidelines relating to:</p> <p>EV Subscriber Certificates</p> <p>EV Subordinate CA Certificates.</p> <p>(See EV Certificate Guidelines Section 7)</p>		
2.3	<p>For EV Certificates issued to Subordinate CAs, the CA maintains controls and procedures to provide reasonable assurance that the certificates contain one or more OID that explicitly defines the EV Policies that Subordinate CA supports.</p> <p>(See EV Certificate Guidelines Section 7 (a))</p>		
2.4	<p>The CA maintains controls and procedures to provide reasonable assurance that EV Certificates are valid for a period not exceeding 27 months.</p> <p>(See EV Certificate Guidelines Section 8 (a))</p>		
2.5	<p>The CA maintains controls and procedures to provide reasonable assurance that the data that supports the EV Certificates is revalidated within the time frames established in the EV Certificate Guidelines.</p>		

	WebTrust EV Criteria		
	(See EV Certificate Guidelines Section 8 (b))		
	<u>EV CERTIFICATE REQUEST REQUIREMENTS</u>		
3	<p>The CA maintains controls and procedures to provide reasonable assurance that the EV Certificate Request is</p> <ul style="list-style-type: none"> • are obtained and complete prior to the issuance of EV Certificates (See EV Certificate Guidelines Section 11) • completed and signed by an authorized individual (Certificate Requester) • Properly certified as to being true and correct by the applicant, and • Contains the information specified in Section 11 of the EV Certificate Guidelines. 		
	Subscriber Agreement		
4	<p>The CA maintains controls and procedures to provide reasonable assurance that Subscriber Agreements</p> <ul style="list-style-type: none"> • are signed by an authorized Contract Signer • names the applicant and the individual Contract Signer, and • contains provisions imposing obligations and warranties on the Application relating to <ul style="list-style-type: none"> - the accuracy of information - protection of Private Key - acceptance of EV Certificate • use of EV Certificate • reporting and revocation upon compromise • termination of use of EV Certificate. <p>(See EV Certificate Guidelines Section 12)</p>		
	<u>INFORMATION VERIFICATION REQUIREMENTS</u>		
5	<p>The CA maintains controls and procedures to provide reasonable assurance that the following information provided by the Applicant is verified directly by performing the steps established by the EV Certificate Guidelines:</p> <ul style="list-style-type: none"> • Legal Existence • Organization Name • Registration Number • Registered agent 		

	WebTrust EV Criteria		
	<ul style="list-style-type: none"> Assumed name (if applicable) <p>(See EV Certificate Guidelines Sections 14 and 15)</p>		
	Verification of Applicant		
6.1	<p>The CA maintains controls and procedures to provide reasonable assurance that it verifies the physical address provided by Applicant is an address where Applicant conducts business operations (e.g., not a mail drop or P.O. Box), and is the address of Applicant's Place of Business using a method of verification established by the EV Certificate Guidelines.</p> <p>(See EV Certificate Guidelines Section 16)</p>		
6.2	<p>The CA maintains controls and procedures to provide reasonable assurance that the telephone number provided by the Applicant is verified as a main phone number for Applicant's Place of Business by performing the steps set out in the EV Certificate Guidelines.</p> <p>(See EV Certificate Guidelines Section 16 (b))</p>		
6.3	<p>If the Applicant has been in existence for less than three (3) years, as indicated by the records of the Incorporating Agency, and is not listed in the current version of one (1) Qualified Independent Information Source, the CA maintains controls to provide reasonable assurance that the Applicant is actively engaged in business by:</p> <ul style="list-style-type: none"> Verifying that the Applicant has an active current Demand Deposit Account with a regulated financial institution, or Obtaining a Verified Legal Opinion or a Verified Accountant Letter that the Applicant has an active current Demand Deposit Account with a Regulated Financial Institution. <p>(See EV Certificate Guidelines Section 17 (a))</p>		
6.4	<p>The CA maintains controls and procedures to provide reasonable assurance that the Applicant's registration or exclusive control of each domain name(s), to be listed in the EV Certificate, satisfies the following requirements using a method of verification established by the EV Certificate Guidelines:</p> <ul style="list-style-type: none"> The domain name is registered with an Internet Corporation for Assigned Names and Numbers (ICANN)-approved registrar or a registry listed by the Internet Assigned Numbers Authority (IANA); Domain registration information in the WHOIS database SHOULD be public and SHOULD show the name, physical address, and administrative contact information for the organization. The Applicant: <ul style="list-style-type: none"> - is the registered holder of the domain name; or 		

	WebTrust EV Criteria		
	<ul style="list-style-type: none"> - has been granted the exclusive right to use the domain name by the registered holder of the domain name - The Applicant is aware of its registration or exclusive control of the domain name. <p>(See EV Certificate Guidelines Section 18)</p>		
	Verification of Other		
7.1	<p>The CA maintains controls to provide reasonable assurance that it identifies “High Risk Applicants” and undertakes additional precautions as are reasonably necessary to ensure that such Applicants are properly verified using a verification method identified in the EV Certificate Guidelines</p> <p>(See EV Certificate Guidelines Section 23 (a))</p>		
7.2	<p>The CA maintains controls to provide reasonable assurance that no EV Certificate is issued if the Applicant, the Contract Signer, the Certificate Approver or the Applicant’s Jurisdiction of Incorporation or place of Business is</p> <ul style="list-style-type: none"> • on any government denied list, list of prohibited persons, or other list that prohibits doing business with such organization or person under the laws of the country of the CA’s jurisdiction(s) of operation; and • has its Jurisdiction of Incorporation <i>or</i> Place of Business in any country with which the laws of the CA’s jurisdiction prohibit doing business. <p>(See EV Certificate Guidelines Section 23 (b))</p>		
	Verification of Contract Signer and Approver		
8	<p>The CA maintains controls and procedures to provide reasonable assurance that it verifies, using a method of verification established by the EV Certificate Guidelines:</p> <ul style="list-style-type: none"> • the name and title of the Contract Signer and the Certificate Approver, as applicable and verifying that the Contract Signer and the Certificate Approver are agents representing the Applicant. • through a source other than the Contract Signer, that the Contract Signer is expressly authorized by the Applicant to enter into the Subscriber Agreement (and any other relevant contractual obligations) on behalf of the Applicant, including a contract that designates one or more Certificate Approvers on behalf of Applicant (“Signing Authority”). • through a source other than the Certificate Approver, that the Certificate Approver is expressly authorized by the Applicant to do the following, as of the date of the EV Certificate Request (“EV Authority”) to: <ul style="list-style-type: none"> - Submit, and if applicable authorize a Certificate Requester to submit, the EV Certificate Request on behalf of the Applicant; and - Provide, and if applicable authorize a Certificate Requester to provide, the information requested from the Applicant by the CA for issuance of the EV 		

	WebTrust EV Criteria		
	<p>Certificate; and</p> <ul style="list-style-type: none"> - Approve EV Certificate Requests submitted by a Certificate Requester. <p>(See EV Certificate Guidelines Section 19)</p>		
	Verification of EV Certificate requests		
9.1	<p>The CA maintains controls to provide reasonable assurance, using a method of verification established in the EV Certificate Guidelines that</p> <ul style="list-style-type: none"> • Subscriber Agreements are signed by an authorized Contract signer • EV Certificate Requests are signed by an authorized Contract signer • The EV Certificate Request is signed by the Certificate Requester submitting the document • If the Certificate requester is not also an authorized Certificate Approver, an authorized Certificate Approver independently approves the EV Certificate Request • signatures have been properly authenticated. <p>(See EV Certificate Guidelines Section 20)</p>		
9.2	<p>In cases where an EV Certificate Request is submitted by a Certificate Requester, the CA maintains controls to provide reasonable assurance that, before it issues the requested EV Certificate, it verifies that an authorized Certificate Approver reviewed and approved the EV Certificate Request.</p> <p>(See EV Certificate Guidelines Section 21)</p>		
9.3	<p>The CA maintains controls to provide reasonable assurance that it verifies information sources prior to placing reliance on them using a verification procedure set out in the EV Certificate Guidelines. The verification includes:</p> <ul style="list-style-type: none"> • With respect to legal opinions <ul style="list-style-type: none"> - The independent status of the author - The basis of the opinion, and - Authenticity • With respect to accountants letters <ul style="list-style-type: none"> - The independent status of the author - The basis of the opinion, and - Authenticity • With respect to independent confirmation from applicant <ul style="list-style-type: none"> - The request is initiated by the CA requesting verification of particular facts - The request is directed to a Qualifying Person at the Applicant The basis of the 		

	WebTrust EV Criteria		
	<p>opinion, or a the Applicant's Registered Agent or Registered Office</p> <ul style="list-style-type: none"> - The request is sent in such a manner such that it is reasonable likely to reach the Qualified Person - The Confirming Person confirms the fact or issue. • With respect to Qualified Independent Information Sources (QIIS) <ul style="list-style-type: none"> - The database used is a QIIS as defined by the EV Certificate Guidelines 22 (d) • With respect to Qualified Government Information Sources (QGIS) <ul style="list-style-type: none"> - The database used is a QGIS as defined by the EV Certificate Guidelines 22 (e) <p>(See EV Certificate Guidelines Section 22)</p>		
	Other Matters		
10.1	<p>Except for certificate requests processed by an Enterprise RA, the CA maintains controls to provide reasonable assurance that:</p> <ul style="list-style-type: none"> • the set of information gathered to support a certificate request is reviewed for completeness and accuracy by an individual who did not gather such information, • any identified discrepancies are documented and resolved before certificate issuance, and • the Final Cross-Correlation and Due Diligence is performed by employees under its control having appropriate training, experience, and judgment in confirming organizational identification and authorization. <p>(See EV Certificate Guidelines Section 24)</p>		
10.2	<p>The CA maintains controls to provide reasonable assurance that RAs, subcontractors, and Enterprise RAs are contractually obligated to comply with the applicable requirements in the EV Certificate Guidelines and to perform them as required of the CA itself.</p> <p>(See EV Certificate Guidelines Section 30)</p>		
	<u>CERTIFICATE STATUS CHECKING AND REVOCATION</u>		
11	<p>The Certificate Authority maintains controls to provide reasonable assurance that a repository is available 24/7 that enable Internet browsers to check online the current status of all certificates.</p> <p>(See EV Certificate Guidelines Section 26)</p>		

	WebTrust EV Criteria		
12	<p>The Certificate Authority (CA) maintains controls to provide reasonable assurance that</p> <ul style="list-style-type: none"> • for EV Certificates or Subordinate CA Certificates issued to entities not controlled by the entity that controls the Root CA <ul style="list-style-type: none"> - CRLs are updated and reissued at least every seven (7) days, and with a maximum expiration time of ten (10) days, or - if the CA uses an Online Certificate Status Protocol (OCSP) resource, the CA maintains an OCSP capability that is updated at least every four (4) days, and with a maximum expiration time of ten (10) days. • For subordinate CA Certificates controlled by the Root CA that <ul style="list-style-type: none"> - CRLs are updated and reissued at least every twelve (12) months, and with a maximum expiration time of twelve (12) months; or - if the CA uses an Online Certificate Status Protocol (OCSP) resource, the CA maintains an OCSP capability that is updated at least every twelve (12) months, and with a maximum expiration time of twelve (12) months. 		
13	<p>For CA that operate only a CRL capability, the CA maintains controls to provide reasonable assurance that an EV certificate chain can be downloaded in no more than 3 seconds over an analog telephone line under normal network conditions.</p> <p>(See EV Certificate Guidelines Section 26 (b))</p>		
14	<p>The CA performs capacity planning at least annually to operate and maintain its CRL or OCSP to provide accepted response times.</p> <p>(See EV Certificate Guidelines Section 26 (c))</p>		
15	<p>The Certificate Authority (CA) maintains controls to provide reasonable assurance that Revocation procedures established in the EV Certificate Guidelines are followed.</p>		
16	<p>The Certificate Authority (CA) maintains controls to provide reasonable assurance that Revocation entries on a CRL or OCSP are not removed until after the expiration date of the revoked EV Certificate.</p> <p>(See EV Certificate Guidelines Section 26 (d))</p>		
17	<p>The Certificate Authority maintains controls to provide reasonable assurance that it can accept and respond to revocation requests and related inquiries on a continuous 24/7 basis.</p> <p>(See EV Certificate Guidelines Section 27 (a))</p>		
18	<p>The Certificate Authority maintains controls to provide reasonable assurance that EV Certificates are revoked on the occurrence of any of the following events:</p> <ul style="list-style-type: none"> • The Subscriber requests revocation of its EV Certificate; • The Subscriber indicates that the original EV Certificate Request was not authorized 		

	WebTrust EV Criteria		
	<p>and does not retroactively grant authorization;</p> <ul style="list-style-type: none"> • The CA obtains reasonable evidence that the Subscriber's private key (corresponding to the public key in the EV Certificate) has been compromised, or that the EV Certificate has otherwise been misused; • The CA receives notice or otherwise become aware that a Subscriber violates any of its material obligations under the Subscriber Agreement; • The CA receives notice or otherwise become aware that a court or arbitrator has revoked a Subscriber's right to use the domain name listed in the EV Certificate, or that the Subscriber has failed to renew its domain name; • The CA receives notice or otherwise become aware of a material change in the information contained in the EV Certificate; • A determination, in the CA's sole discretion, that the EV Certificate was not issued in accordance with the terms and conditions of these Guidelines or the CA's EV Policies; • If the CA determines that any of the information appearing in the EV Certificate is not accurate. • The CA ceases operations for any reason and has not arranged for another EV CA to provide revocation support for the EV Certificate; • The CA's right to issue EV Certificates under these Guidelines expires or is revoked or terminated [unless the CA makes arrangements to continue maintaining the CRL/OCSP Repository]; • The CA's Private Key for that EV Certificate has been compromised; • Such additional revocation events as the CA publishes in its EV Policies; • The CA receives notice or otherwise become aware that a Subscriber has been added as a denied party or prohibited person to a blacklist, or is operating from a prohibited destination under the laws of the CA's jurisdiction of operation as described in Section 23 of the EV Certificate Guidelines. <p>(See EV Certificate Guidelines Section 27 (b) and Section 23)</p>		
19	<p>The CA maintains controls to provide reasonable assurance that it</p> <ul style="list-style-type: none"> • has the capability to accept and acknowledge Certificate Problem Reports on a 24x7 basis • Identifies high priority Certificate Problem Reports • begin investigation of Certificate Problem Reports within 24 hours • decide whether revocation or other appropriate action is warranted and • where appropriate, forwards such complaints to law enforcement. 		
20	The CA maintains controls to provide reasonable assurance that ensure the system used to		

	WebTrust EV Criteria		
	process and approve EV Certificate Requests requires actions by at least two trusted persons before the EV Certificate is created. (See EV Certificate Guidelines Section 34)		
21	For new root keys generated after November 11, 2006 for the purpose of issuing EV Certificates, the CA obtained an unqualified report from the CA's qualified auditor opining on the CA's root key and certificate generation process. (See EV Certificate Guidelines Section 35 (e))		
22	The CA maintains controls and procedures to provide reasonable assurance that <ul style="list-style-type: none"> • applicable requirements of the CA/Browser Forum Guidelines for Extended Validation Certificates are included (directly or by reference) in contracts with subordinate CAs, RAs, Enterprise RAs, and subcontractors that involve or relate to the issuance or maintenance of EV Certificates, and • The CA monitors and enforces compliance with the terms of the contracts. (See EV Certificate Guidelines Section 4 (b) (3))		
23	The Certification Authority (CA) maintains controls to provide reasonable assurance that it complies with <ul style="list-style-type: none"> • laws applicable to its business and the certificates it issues in each jurisdiction where it operates, and • licensing requirements in each jurisdiction where it issues EV certificates. (See EV Certificate Guidelines Section 4 (a))		
24	The CA maintains controls and procedures to provide reasonable assurance that <ul style="list-style-type: none"> • the CA and Root CA maintain the minimum levels of Commercial General Liability Insurance (occurrence form) and Professional Liability/Errors & Omissions insurance as established by the EV Certificate Guidelines, and • the providers of the Insurance coverage meet the ratings qualifications established under the EV Certificate Guidelines, or • If the CA and/or its root CA self insures for liabilities, the CA and/or its root CA maintains the minimum liquid asset size requirement established in the EV Certificate Guidelines. (See EV Certificate Guidelines Section 4 (c))		
	<u>EMPLOYEE AND THIRD PARTY ISSUES</u>		

	WebTrust EV Criteria		
25.1	<p>With respect to employees, agents, or independent contractors engaged in the EV process, the CA maintains controls to:</p> <ul style="list-style-type: none"> • verify the identity of each person • perform background checks of such person to confirm employment, check personal references, confirm the highest or most relevant educational degree obtained and search criminal records where allowed in the jurisdiction where the person will be employed, and • for employees at the time of the adoption of the EV Certificate Guidelines by the CA, verify the identity and perform background checks within three months of the date of the adoption of the EV Certificate Guidelines. <p>(See EV Certificate Guidelines Section 29 (a))</p>		
25.2	<p>The CA maintains controls to provide reasonable assurance that</p> <ul style="list-style-type: none"> • All personnel performing validation duties (Validation Specialists) have been trained with skill training that covers basic public key infrastructure (PKI) knowledge, authentication and verification policies and procedures, common threats to the validation process including phishing and other social engineering tactics, and these Guidelines. • records of such training are maintained • personnel entrusted with Validation Specialist duties meet a minimum skills requirement that enable them to perform such duties satisfactorily • Validation Specialists engaged in EV Certificate issuance are qualified to have issuance privilege, consistent with a CA's training and performance programs. • Validation Specialists qualify for each skill level required by the corresponding validation task before granting privilege to perform said task • Validation Specialists take and pass an examination on the EV Certificate validation criteria outlined in these Guidelines. <p>(See EV Certificate Guidelines Section 29 (b))</p>		
26	<p>The CA maintains controls to provide reasonable assurance that there is a separation of duties such that no one person can both validate and authorize the issuance of an EV Certificate.</p> <p>(See EV Certificate Guidelines Section 29 (c))</p>		
	<u>DATA AND RECORD ISSUES</u>		
27	<p>The CA maintains controls to provide reasonable assurance that the following EV key and certificate management events are recorded and maintained and the records maintained:</p> <ul style="list-style-type: none"> • CA key lifecycle management events, including: 		

	WebTrust EV Criteria		
	<ul style="list-style-type: none"> - Key generation, backup, storage, recovery, archival, and destruction - Cryptographic device lifecycle management events • CA and Subscriber EV Certificate lifecycle management events, including: <ul style="list-style-type: none"> - EV Certificate Requests, renewal and re-key requests, and revocation - All verification activities required by these Guidelines - Date, time, phone number used, persons spoken to, and end results of verification telephone calls - Acceptance and rejection of EV Certificate Requests - Issuance of EV Certificates - Generation of EV Certificate revocation lists (CRLs) and OCSP entries • The CA maintains controls to provide reasonable assurance that following security events are recorded <ul style="list-style-type: none"> - Successful and unsuccessful PKI system access attempts - PKI and security system actions performed - Security profile changes - System crashes, hardware failures, and other anomalies - Firewall and router activities - Entries to and exits from CA facility <p>(See EV Certificate Guidelines Section 31)</p>		
28	<p>The CA and RA maintain controls to provide reasonable assurance that event logs at the CA and RA site are retained for at least seven (7) years.</p> <p>(See EV Certificate Guidelines Section 32 (a))</p>		
29	<p>The CA maintains controls to provide reasonable assurance that all previously revoked certificates and previously rejected certificate requests due to suspected phishing or other fraudulent usage or concerns are recorded in an internally managed database and used to flag suspicious EV Certificate Requests.</p> <p>(See EV Certificate Guidelines Section 32 (b))</p>		
30	<p>The CA has a policy to retain all documentation relating to all EV Certificate Requests and verification thereof, and all EV Certificates and revocation thereof, for at least seven (7) year(s) after any EV Certificate based on that documentation ceases to be valid.</p> <p>(See EV Certificate Guidelines Section 32 (b))</p>		
31	<p>The CA maintains controls to provide reasonable assurance that risks impacting its CA operations over EV certifications are assessed regularly and address the following:</p> <ul style="list-style-type: none"> • Identify reasonably foreseeable internal and external threats that could result in 		

	WebTrust EV Criteria		
	<p>unauthorized access, disclosure, misuse, alteration, or destruction of any EV Data or EV Processes;</p> <ul style="list-style-type: none"> • Assess the likelihood and potential damage of these threats, taking into consideration the sensitivity of the EV Data and EV Processes; and • Assess the sufficiency of the policies, procedures, information systems, technology, and other arrangements that the CA has in place to control such risks. <p>(See EV Certificate Guidelines Section 34)</p>		
32	<p>The CA develops, implement, and maintain a Security Plan consisting of security, policies, procedures, measures, and products designed to reasonably manage and control the risks identified during the Risk Assessment.</p> <p>(See EV Certificate Guidelines Section 34)</p>		

APPENDIX A – ILLUSTRATIVE PRACTITIONER’S REPORTS

Illustration No. 1– Unqualified Opinion (Point in Time)

Report of Independent Practitioners

To the Management of

ABC Certification Authority, Inc.:

We have examined the assertion by the management of ABC Certification Authority, Inc. (ABC-CA) [hot link to management’s assertion] that in providing its Certification Authority (CA) services [Name of Service (at LOCATION, ABC-CA,)] as of XXX, XX, 2006, ABC-CA has suitably designed its practices and procedures based on the WebTrust for Certification Authorities EV Criteria [hot link to WebTrust for Certification Authorities EV Criteria]. This assertion is the responsibility of ABC-CA’s management. Our responsibility is to express an opinion based on our examination.

Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants and, accordingly, included (1) obtaining an understanding of ABC Company’s EV certificate life cycle management practices and procedures, including its relevant controls over the issuance, renewal and revocation of EV certificates; (2) evaluating the suitability of the design of practices and procedures; and (3) performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion.

In our opinion, ABC-CA management’s assertion set forth in the first paragraph, as of XXX, XX, 2006, is fairly stated, in all material respects, based on the AICPA/CICA WebTrust for Certification Authorities EV Criteria.

Management has not placed its Certification Authority (CA) services in operation and, therefore, additional changes may be made to the design of the controls before the System is implemented. We did not perform procedures to determine the operating effectiveness of controls for any period. Accordingly, we express no opinion on the operating effectiveness of any aspects of ABC-CA’s controls, individually or in the aggregate.

Because of inherent limitations in controls, error or fraud may occur and not be detected. Furthermore, the projection of any conclusions, based on our findings, to future periods is subject to the risk that the validity of such conclusions may be altered because of changes made to the system or controls, or the failure to make needed changes to the system or controls.

This report does not include any representation as to the quality of ABC-CA's services beyond those covered by the WebTrust for Certification Authorities EV Criteria, nor the suitability of any of ABC-CA's services for any customer's intended purpose.

[Name of CPA firm]

Certified Public Accountants

[City, State]

[Date]

If one or more criteria have not been achieved, the practitioner issues a qualified or adverse report. Under AICPA attestation standards, when issuing a qualified or adverse report the practitioner should report directly on the subject matter rather than on the assertion. CICA standards permit the practitioner to report on either the assertion or the subject matter in these circumstances. Under CICA standards, however, a practitioner would issue a reservation of opinion in both circumstances when one or more criteria have not been met.

Report of Independent Practitioners

Illustration No. 2- Qualified Opinion (Point in Time)

To the Management of

ABC Certification Authority, Inc.:

We have examined the suitability of design of ABC Certification Authority, Inc.'s (ABC-CA's) practices and procedures over its Certification Authority (CA) services [Name of Service (at LOCATION, ABC-CA,)] as of XXX, XX, 2006, based on the WebTrust for Certification Authorities EV Criteria [hot link to WebTrust for Certification Authorities EV Criteria]. The design of these practices and procedures is the responsibility of ABC-CA's management. Our responsibility is to express an opinion based on our examination.

Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants and, accordingly, included (1) obtaining an understanding of ABC Company's EV certificate life cycle management practices and procedures, including its relevant controls over the issuance, renewal and revocation of EV certificates; (2) evaluating the suitability of the design of practices and procedures; and (3) performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion.

The AICPA/CICA WebTrust for Certification Authorities EV Criteria require that the CA maintain controls to provide reasonable assurance that [*indicate criteria not achieve*]]. In the course of our examination, we noted that ABC-CA Company had not suitably designed controls over [*areas where controls had not been developed to meet criteria*]. Accordingly, ABC-CA Company had not suitably designed controls to meet [*area where criteria was not achieved*].

In our opinion, except for the effects of the matter discussed in the preceding paragraph, ABC-CA designed, in all material respects, suitable practices and procedures, as of XXX, XX, 2006, based on the AICPA/CICA WebTrust for Certification Authorities EV Criteria.

Management has not placed its Certification Authority (CA) services in operation and, therefore, additional changes may be made to the design of the controls before the System is implemented. We did not perform procedures to determine the operating effectiveness of controls for any period. Accordingly, we express no opinion on the operating effectiveness of any aspects of ABC-CA's controls, individually or in the aggregate.

Because of inherent limitations in controls, error or fraud may occur and not be detected. Furthermore, the projection of any conclusions, based on our findings, to future periods is subject to the risk that the validity of such conclusions may be altered because of changes made to the system or controls, or the failure to make needed changes to the system or controls.

This report does not include any representation as to the quality of ABC-CA's services beyond those covered by the WebTrust for Certification Authorities EV Criteria, nor the suitability of any of ABC-CA's services for any customer's intended purpose.

[Name of CPA firm]

Certified Public Accountants

[City, State]

[Date]

CA/BROWSER FORUM

GUIDELINES FOR EXTENDED VALIDATION CERTIFICATES

GUIDELINES FOR

Extended Validation Certificates

Version 1.0, as adopted by the CA/Browser Forum on _____.

Notice to Readers

The Guidelines for Extended Validation Certificates present criteria established by the CA/Browser Forum for use by certification authorities when issuing, maintaining, and revoking certain digital certificates for use in Internet website commerce. These Guidelines may be revised from time to time as appropriate in accordance with the procedures adopted by the CA/Browser Forum. Questions or suggestions may be directed to the CA/Browser Forum at questions@cabforum.org.

The CA/Browser Forum

The CA/Browser Forum is a voluntary open organization of certification authorities and vendors of Internet browser software and other applications. Membership as of October 2006 is as follows:

Certification Authorities

- Certum
- Comodo CA Ltd
- Cybertrust
- DigiCert, Inc.
- Echoworx Corporation
- Entrust, Inc.
- GeoTrust Inc.
- GoDaddy.com, Inc.
- IdenTrust Inc.
- ipsCA, IPS Certification Authority s.l.
- Network Solutions, LLC
- QuoVadis Ltd.
- RSA Security, Inc.
- SecureTrust Corporation
- TDC Certification Authority
- Thawte, Inc.
- Trustis Limited
- VeriSign, Inc.
- Wells Fargo Bank, N.A.
- XRamp Security Services, Inc.

Internet Browser Software Vendors

- KDE
- Microsoft Corporation
- Opera Software ASA
- The Mozilla Foundation

Other groups that have participated in the process of developing these Guidelines include members of the Information Security Committee of the American Bar Association Section of Science & Technology Law, and WebTrust for CA. Participation by such groups does not imply their endorsement, recommendation, or approval of the final product.

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GUIDELINES FOR EXTENDED VALIDATION CERTIFICATES

A. INTRODUCTION

1. Introduction

(a) General

These Guidelines for Extended Validation Certificates (“Guidelines”) describe certain of the minimum requirements that a Certificate Authority (CA) must meet in order to issue Extended Validation Certificates (“EV Certificates”).

Organization information from Valid EV Certificates may be displayed in a special manner by certain software applications (e.g., browser software) in order to provide users with a trustworthy confirmation of the identity of the entity that controls the website they are accessing. Terms not otherwise defined in these Guidelines shall be as defined in applicable agreements, user manuals, certification practice statements (CPS), and certificate policies (CP) of the CA issuing such EV Certificates.

(b) Scope

These Guidelines address basic issues relating to the verification of information regarding Subjects named in EV Certificates and certain related matters.

These Guidelines do not address many of the other issues that must be addressed by the CA issuing EV Certificates, such as technical or operational issues.

This version of the Guidelines addresses only requirements for EV Certificates intended to be used for server-authentication SSL/TLS on the Internet. Similar requirements for client-authentication SSL/TLS, S/MIME, code-signing, time-stamping, VOIP, IM, web services, etc. may be covered in future versions.

These Guidelines do not address the verification of information, or the issuance, use, maintenance, or revocation of EV Certificates by enterprises that operate their own Public Key Infrastructure (PKI) for internal purposes only, where its Root CA Certificate is not distributed by any Application Software Vendor.

(c) Guidelines Issuing Authority

These Guidelines are issued by the CA/Browser Forum, and are available online at <http://www.cabforum.org>. Comments and questions regarding these

Guidelines may be addressed to the CA/Browser Forum at questions@cabforum.org.

(d) Revisions to Guidelines

These Guidelines may be updated from time-to-time in accordance with the rules of the CA/Browser Forum. In the event the CA/Browser Forum decides to make significant changes to these Guidelines, notification of such changes will be posted at <http://www.cabforum.org> at least 30 days before they become effective. Minor changes will take effect on posting. A complete history of all revisions (including dates of changes) will be maintained on the site.

Unless otherwise stated in the revised version of the Guidelines, changes will apply only to EV Certificates issued after the effective date of a change. However, any renewal of an EV Certificate MUST comply with the Guidelines in effect as of the date of such renewal.

The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this guidelines document are to be interpreted as described in RFC 2119.

B. BASIC CONCEPT OF THE EV CERTIFICATE

- 2. Purpose of EV Certificates.** EV Certificates are intended for use in establishing web-based data communication conduits via TLS/SSL protocols.

(a) Primary Purposes. The primary purposes of an EV Certificate are to:

- (1) Identify the legal entity that controls a website: Provide a reasonable assurance to the user of an Internet browser that the website the user is accessing is controlled by a specific legal entity identified in the EV Certificate by name, address of Place of Business, Jurisdiction of Incorporation, and Registration Number; and
- (2) Enable/encrypted communications with a website: Facilitate the exchange of encryption keys in order to enable the encrypted communication of information over the Internet between the user of an Internet browser and a website.

(b) Secondary Purposes. The secondary purposes of an EV Certificate are to help establish the legitimacy of a business claiming to operate a website by confirming its legal and physical existence, and to provide a vehicle that can be used to assist in addressing problems related to phishing and other forms of online identity fraud. By providing more reliable third-party verified identity and address information regarding the owner of a website, EV Certificates may help to:

- (1) Make it more difficult to mount phishing and other online identity fraud attacks using SSL certificates;
 - (2) Assist companies that may be the target of phishing attacks or online identity fraud by providing them with a tool to better identify themselves and their legitimate websites to users; and
 - (3) Assist law enforcement in investigations of phishing and other online identity fraud, including where appropriate, contacting, investigating, or taking legal action against the Subject.
- (c) **Excluded Purposes.** EV Certificates focus only on the identity of the Subject named in the Certificate, and not on the behavior of the Subject. As such, an EV Certificate is **not** intended to provide any assurances, or otherwise represent or warrant:
- (1) That the Subject named in the EV Certificate is actively engaged in doing business;
 - (2) That the Subject named in the EV Certificate complies with applicable laws;
 - (3) That the Subject named in the EV Certificate is trustworthy, honest, or reputable in its business dealings; or
 - (4) That it is “safe” to do business with the Subject named in the EV Certificate.

3. **EV Certificate Warranties and Representations**

(a) **By the CA and Root CA**

When the CA issues an EV Certificate, the CA and its Root CA make the EV Certificate Warranties listed below to the EV Certificate Beneficiaries listed below:

- (1) **EV Certificate Beneficiaries.** When the CA issues an EV Certificate, the CA and its Root CA make the EV Certificate Warranties listed below to the following persons (“EV Certificate Beneficiaries”):
 - (A) The Subscriber entering into the Subscriber Agreement for the EV Certificate;
 - (B) The Subject named in the EV Certificate;
 - (C) All Application Software Vendors with whom the CA or its Root CA has entered into a contract for inclusion of its Root Certificate in software distributed by such Application Software Vendors;
 - (D) All Relying Parties that actually rely on such EV Certificate during the period when it is Valid.

(2) EV Certificate Warranties. When the CA issues an EV Certificate, the CA and its Root CA represent and warrant to the EV Certificate Beneficiaries, during the period when the EV Certificate is Valid, that the CA has followed the requirements of these Guidelines and its EV Policies (further described in Section 4(b)) in issuing the EV Certificate and in verifying the accuracy of the information contained in the EV Certificate (“EV Certificate Warranties”). The EV Certificate Warranties specifically include, but are not limited to, warranties that:

- (A) Legal Existence: The CA has confirmed with the Incorporating Agency in the Subject’s Jurisdiction of Incorporation that, as of the date the EV Certificate was issued, the Subject named in the EV Certificate legally exists as a valid organization or entity in the Jurisdiction of Incorporation;
- (B) Identity: The CA has confirmed that, as of the date the EV Certificate was issued, the legal name of the Subject named in the EV Certificate matches the name on the official government records of the Incorporating Agency in the Subject’s Jurisdiction of Incorporation, and if an assumed name is also included, that the assumed name is properly registered by the Subject in the jurisdiction of its Place of Business;
- (C) Right to Use Domain Name: The CA has taken all steps reasonably necessary to verify that, as of the date the EV Certificate was issued, the Subject named in the EV Certificate has the exclusive right to use the domain name listed in the EV Certificate;
- (D) Authorization for EV Certificate: The CA has taken all steps reasonably necessary to verify that the Subject named in the EV Certificate has authorized the issuance of the EV Certificate;
- (E) Accuracy of Information: The CA has taken all steps reasonably necessary to verify that all of the other information in the EV Certificate is accurate, as of the date the EV Certificate was issued;
- (F) Subscriber Agreement: The Subject named in the EV Certificate has entered into a legally valid and enforceable Subscriber Agreement with the CA that satisfies the requirements of these Guidelines;
- (G) Status: The CA will follow the requirements of these Guidelines and maintain a 24 x 7 online-accessible Repository with current information regarding the status of the EV Certificate as Valid or revoked; and
- (H) Revocation: The CA will follow the requirements of these Guidelines and revoke the EV Certificate upon the occurrence of any revocation event as specified in these Guidelines.

(b) By the Subscriber

The CA will require, as part of the Subscriber Agreement, that the Subscriber make the commitments and warranties set forth in Subscriber Agreement Requirements section of these Guidelines, for the benefit of the CA and the EV Certificate Beneficiaries.

C. COMMUNITY AND APPLICABILITY

4. Issuance of EV Certificates

Any CA may issue EV Certificates, provided that before the CA issues any EV Certificates the CA and its Root CA satisfy the following requirements:

(a) **Compliance.** The CA and its Root CA MUST at all times:

- (1) Comply with all law applicable to its business and the certificates it issues in each jurisdiction where it operates;
- (2) Comply with the requirements of these Guidelines;
- (3) Comply with the requirements of (i) the then-current WebTrust Program for CAs, and (ii) the then-current WebTrust EV Program, or an equivalent for both (i) and (ii) as approved by the CA/Browser Forum; and
- (4) Be licensed as a CA in each jurisdiction where it operates if licensing is required by the law of such jurisdiction for the issuance of EV Certificates.

(b) **EV Policies.**

- (1) **Implementation.** The CA and its Root CA MUST develop, implement, enforce, display prominently on its website, and periodically update as necessary its own auditable EV Certificate practices, policies and procedures, such as a certification practice statement (CPS) and certificate policy (CP) (“EV Policies”) that:
 - (A) Implement the requirements of these Guidelines as they are revised from time-to-time;
 - (B) Implement the requirements of (i) the then current WebTrust Program for CAs, and (ii) the then-current WebTrust EV Program, or an equivalent for both (i) and (ii) as approved by the CA/Browser Forum;
 - (C) Specify the CA’s and its Root CA’s entire root certificate hierarchy including all roots that its EV Certificates depend on for proof of those EV Certificates’ authenticity; and
- (2) **Disclosure.** The CA and its Root CA MUST publicly disclose their EV Policies through an appropriate and readily accessible online means that is available on a 24x7 basis. The CA is also required to publicly disclose its CPS. The CPS SHOULD be structured in accordance with either RFC 2527 or RFC 3647
- (3) **Commitment to Comply with Guidelines.** The CA and its Root CA MUST publicly give effect to these Guidelines and represent that it will adhere to

them by incorporating them into their respective EV Policies, using a clause such as the following (which must include a link to the official version of these Guidelines):

[Name of CA] conforms to the current version of the *CA/Browser Forum Guidelines for Extended Validation Certificates* (“Guidelines”) published at <http://www.cabforum.org>. In the event of any inconsistency between this document and those Guidelines, those Guidelines take precedence over this document.

In addition, the CA MUST include (directly or by reference) the applicable requirements of these Guidelines in all contracts with subordinate CAs, RAs, Enterprise RAs, and subcontractors, that involve or relate to the issuance or maintenance of EV Certificates. The CA MUST enforce compliance with such terms.

(c) Insurance.

- (1) The CA and its Root CA MUST maintain the following insurance related to their respective performance and obligations under these Guidelines:
 - (A) Commercial General Liability insurance (occurrence form) with policy limits of at least \$2 million in coverage, and
 - (B) Professional Liability/Errors & Omissions insurance, with policy limits of at least \$5 million in coverage, and including coverage for (i) claims for damages arising out of an act, error, or omission, unintentional breach of contract, or neglect in issuing or maintaining EV Certificates, and (ii) claims for damages arising out of infringement of the proprietary rights of any third party (excluding copyright, and trademark infringement), and invasion of privacy and advertising injury.
- (2) Such insurance MUST be with companies rated no less than A- as to Policy Holder’s Rating in the current edition of Best’s Insurance Guide (or with an association of companies each of the members of which are so rated).
- (3) The CA and/or its Root CA MAY self-insure for liabilities that arise from such party's performance and obligations under these Guidelines provided that it has at least \$500 million in liquid assets based on audited financial statements in the past twelve (12) months, and a quick ratio (ratio of liquid assets to current liabilities) of not less than 1.0.

(d) Audit Requirements. The CA and its Root CA MUST satisfy the Audit Requirements set forth in the “Compliance” section (section “J”) of these Guidelines.

5. Obtaining EV Certificates

(a) **General.** The CA MUST issue EV Certificates only to Private Organizations and Government Entities that satisfy the requirements specified below:

(b) **Private Organization Subjects.** The CA may issue EV Certificates to Private Organizations that satisfy the following requirements:

- (1) The Private Organization MUST be a legally recognized entity whose existence was created by a filing with (or an act of) the Incorporating Agency in its Jurisdiction of Incorporation (e.g., by issuance of a certificate of incorporation);
- (2) The Private Organization MUST have designated with the Incorporating Agency a Registered Agent, Registered Office (as required under the laws of the Jurisdiction of Incorporation) or equivalent;
- (3) The Private Organization MUST NOT be designated on the records of the Incorporating Agency by labels such as “inactive,” “invalid,” “not current,” or the equivalent;
- (4) The Private Organization’s Jurisdiction of Incorporation and/or its Place of Business MUST NOT be in any country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and
- (5) The Private Organization MUST NOT be listed on any government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction.

(c) **Government Entity Subjects.** The CA may issue EV Certificates to Government Entities that satisfy the following requirements:

- (1) The legal existence of the Government Entity MUST be established by the law of the Jurisdiction of Incorporation;
- (2) The Government Entity MUST NOT be in any country where the CA is prohibited from doing business or issuing a certificate by the laws of the CA’s jurisdiction; and
- (3) The Government Entity MUST NOT be listed on any government denial list or prohibited list (e.g., trade embargo) under the laws of the CA’s jurisdiction.

(d) **Excluded Subjects.** Until additional criteria for validation are defined by these Guidelines, the CA MUST NOT issue EV Certificates to any person or any organization or entity that does not satisfy the requirements above, including but not limited to the following:

- (1) General partnerships

- (2) Unincorporated associations
- (3) Sole proprietorships
- (4) Individuals (natural persons)

Validation criteria for these organizations or entities will be addressed in the next major revision of these guidelines.

D. EV CERTIFICATE CONTENT AND PROFILE

- 6. EV Certificate Content Requirements** . This section sets forth minimum requirements for the content of the EV Certificate as they relate to the identity of the CA and the Subject of the EV Certificate.

- (a) Subject Organization Information**. Subject to the requirements of these Guidelines, the EV Certificate and certificates issued to subordinate CAs that are not controlled by the same entity as the Root CA **MUST** include the following information about the Subject organization in the fields listed (“Subject Organization Information”):

(1) Organization name:

Certificate Field: subject:organizationName (OID 2.5.4.10)

Required/Optional: Required

Contents: This field **MUST** contain the Subject’s full legal organization name as listed in the official records of the Incorporating Agency in the Subject’s Jurisdiction of Incorporation. In addition, an assumed name or d/b/a name used by the Subject **MAY** be included at the beginning of this field, provided that it is followed by the full legal organization name in parenthesis. If the combination of the full legal organization name and the assumed or d/b/a name exceeds 64 bytes as defined by RFC 3280, the CA **SHOULD** use only the full legal organization name in the certificate.

(2) Domain name:

Certificate Field: subject:commonName (OID 2.5.4.3) or SubjectAlternativeName:dNSName

Required/Optional: Required

Contents: This field **MUST** contain one or more host domain name(s) owned or controlled by the Subject and to be associated with Subject’s publicly accessible server. Such server may be owned and operated by the Subject or another entity (e.g., a hosting service). Wildcard certificates are not allowed for EV certificates.

(3) Jurisdiction of Incorporation:

Certificate Fields:

City or town (if any):

subject:jurisdictionOfIncorporationLocalityName
(1.3.6.1.4.1.311.60.2.1.1)

ASN.1 - X520LocalityName as specified in RFC 3280

State or province (if any):

subject:jurisdictionOfIncorporationStateOrProvinceName
(1.3.6.1.4.1.311.60.2.1.2)

ASN.1 - X520StateOrProvinceName as specified in RFC 3280

Country:

subject:jurisdictionOfIncorporationCountryName
(1.3.6.1.4.1.311.60.2.1.3)

ASN.1 - X520countryName as specified in RFC 3280

Required/Optional: Required

Contents: These fields MUST contain information only to the level of the Incorporating Agency – e.g., the Jurisdiction of Incorporation for an Incorporating Agency at the country level would include country information but would not include state or province or city or town information; the Jurisdiction of Incorporation for an Incorporating Agency at the state or province level would include both country and state or province information, but would not include city or town information; and so forth. Country information MUST be specified using the applicable ISO country code. State or province information, and city or town information (where applicable) for the Subject's Jurisdiction of Incorporation MUST be specified using the full name of the applicable jurisdiction.

Compliance with European Union Qualified Certificates Standard: In addition, CAs MAY include a qcStatements extension per RFC 3739. The OID for qcStatements:qcStatement:statementId is 1.3.6.1.4.1.311.60.2.1.

(4) Registration Number:

Certificate Field: Subject:serialNumber (OID 2.5.4.5)

Required/Optional: Required

Contents: This field MUST contain the unique Registration Number assigned to the Subject by the Incorporating Agency in its Jurisdiction of Incorporation (for Private Organization Subjects only).

(5) Physical Address of Place of Business:

Certificate Fields:

Number & street (optional) subject:streetAddress (OID 2.5.4.9)

City or town subject:localityName (OID 2.5.4.7)

State or province (if any)	subject:stateOrProvinceName (OID 2.5.4.8)
Country	subject:countryName (OID 2.5.4.6)
Postal code (optional)	subject:postalCode (2.5.4.17)

Required/Optional: City, state, and country – Required; Street and postal code – Optional

Contents: This field **MUST** contain the address of the physical location of the Subject's Place of Business.

7. **EV Certificate Policy Identification Requirements.** This section sets forth minimum requirements for the content of the EV Subscriber and non-Root CA Certificates as they relate to the identification of EV certificate policy:

- (a) **EV Subscriber Certificates.** Each EV Certificate issued by the CA to a Subscriber **MUST** contain an OID defined by the CA in the certificate's certificatePolicies extension that: (i) indicates which CA policy statement relates to that certificate, (ii) asserts the CA's adherence to and compliance with these Guidelines, and which (iii), by pre-agreement with the Application Software Vendor, marks the certificate as being an EV Certificate.
- (b) **EV Subordinate CA Certificates.**
 - (1) Certificates issued to Subordinate CAs that are not controlled by the same entity as the Root CA **MUST** contain one or more OID defined by the CA that explicitly defines the EV Policies the Subordinate CA supports;
 - (2) Certificates issued to Subordinate CAs that are controlled by the same entity as the Root CA **MAY** contain the special anyPolicy OID (2.5.29.32.0).
- (c) **Root CA Certificates.** Root CA Certificates **SHOULD NOT** contain the certificatePolicies or extendedKeyUsage fields.

The Application Software Vendor identifies Root CAs that can issue EV Certificates by storing EV OIDs in metadata associated with Root CA Certificates.

8. **Maximum Validity Period.**

- (a) **For EV Certificate.** The maximum validity period for an EV Certificate is twenty seven (27) months. It is **RECOMMENDED** that EV Subscriber Certificates have a maximum validity period of twelve (12) months.
- (b) **For Validated Data.** The maximum validity period for validated data that can be used to support issuance of an EV Certificate (before revalidation is required) is as follows:
 - (1) Legal existence and identity – one (1) year;
 - (2) Assumed name – one (1) year;

- (3) Address of Place of Business – one (1) year, but thereafter data may be refreshed by checking a Qualified Independent Information Source, even where a site visit was originally required;
 - (4) Telephone number for Place of Business – one (1) year;
 - (5) Bank account verification – one (1) years;
 - (6) Domain name – one (1) year;
 - (7) Identity and authority of Certificate Approver – one (1) year, unless a contract is in place between the CA and the Applicant that specifies a different term, in which case, the term specified in such contract will control. For example, the contract may use terms that allow the assignment of roles that are perpetual until revoked, or until the contract expires or is terminated.
9. **Other Technical Requirements for EV Certificates.** See Appendix A and Appendix B attached.

E. EV CERTIFICATE REQUEST REQUIREMENTS

10. General Requirements

- (a) **Documentation Requirements.** Prior to the issuance of an EV Certificate, the CA MUST obtain from the Applicant the following documentation, in compliance with the requirements of these Guidelines:
- (1) EV Certificate Request
 - (2) Subscriber Agreement
 - (3) Such additional documentation as the CA requires from the Applicant to satisfy its obligations under these Guidelines
- (b) **Role Requirements.** The following Applicant roles are required for the issuance of an EV Certificate
- (1) **Certificate Requester** – The EV Certificate Request MUST be submitted by an authorized Certificate Requester. A Certificate Requester is a natural person who is employed by the Applicant, or an authorized agent who has express authority to represent the Applicant or a third party (such as an ISP or hosting company) that completes and submits an EV Certificate Request on behalf of the Applicant.
 - (2) **Certificate Approver** – The EV Certificate Request MUST be approved by an authorized Certificate Approver. A Certificate Approver is a natural person who is employed by the Applicant, or an authorized agent who has express authority to represent the Applicant to (i) act as a Certificate Requester and to authorize other employees or third parties to act as a Certificate Requester, and (ii) to approve EV Certificate Requests submitted by other Certificate Requesters.
 - (3) **Contract Signer** – A Subscriber Agreement applicable to the requested EV Certificate MUST be signed by an authorized Contract Signer. A Contract

Signer is a natural person who is employed by the Applicant, or an authorized agent who has express authority to represent the Applicant who has authority on behalf of the Applicant to sign Subscriber Agreements on behalf of the Applicant.

One person MAY be authorized by the Applicant to fill one, two, or all three of these roles, provided that in all cases the Certificate Approver and Contract Signer must be an employee of Applicant. An Applicant MAY also authorize more than one person to fill each of these roles.

11. EV Certificate Request Requirements

- (a) **General.** Prior to the issuance of an EV Certificate, the CA MUST obtain from the Applicant (via a Certificate Requester authorized to act on Applicant's behalf) a properly completed and signed EV Certificate Request in a form prescribed by the CA and that complies with these Guidelines. One EV Certificate Request MAY suffice for multiple EV Certificates to be issued to the same Applicant at the same time.
- (b) **Request and Certification.** The EV Certificate Request MUST contain a request from or on behalf of the Applicant for the issuance of an EV Certificate, and a certification by or on behalf of the Applicant that all of the information contained therein is true and correct.
- (c) **Information Requirements.** The EV Certificate Request MAY include all factual information about the Applicant to be included in the EV Certificate, and such additional information as is necessary for the CA to obtain from the Applicant in order to comply with these Guidelines and the CA's own policies. In cases where the EV Certificate Request does not contain all necessary information about the Applicant, the CA MUST obtain the remaining information from either the Certificate Approver or Contract Signer.

Applicant information shall include, but not be limited to, the following information:

- (1) **Organization Name:** Applicant's formal legal organization name to be included in EV Certificate, as recorded with the Incorporating Agency in Applicant's Jurisdiction of Incorporation (for Private Organizations), or as specified in the law of Applicant's Jurisdiction of Incorporation (for Government Entities);
- (2) **Assumed Name (Optional):** Applicant's assumed name (e.g., d/b/a name) to be included in the EV Certificate, as recorded in the jurisdiction of Applicant's Place of Business, if applicable;
- (3) **Domain Name:** Applicant's domain name to be included in the EV Certificate;

- (4) Jurisdiction of Incorporation: Applicant's Jurisdiction of Incorporation to be included in EV Certificate, and consisting of:
 - (a) City or town (if any),
 - (b) State or province (if any), and
 - (c) Country.
- (5) Incorporating Agency: The name of the Applicant's Incorporating Agency;
- (6) Registration Number: The unique registration number assigned to Applicant by the Incorporating Agency in Applicant's Jurisdiction of Incorporation and to be included in EV Certificate (for Private Organization Applicants only).
- (7) Applicant Address: The address of Applicant's Place of Business, including –
 - (a) Building number and street,
 - (b) City or town,
 - (c) State or province (if any),
 - (d) Country,
 - (e) Postal code (zip code), and
 - (f) Main telephone number.
- (8) Certificate Approver: Name and contact information of the Certificate Approver submitting and signing, or that has authorized the Certificate Requester to submit and sign, the EV Certificate Application on behalf of the Applicant; and
- (9) Certificate Requester: Name and contact information of the Certificate Requester submitting the EV Certificate Request on behalf of the Applicant, if other than the Certificate Approver.

12. Subscriber Agreement Requirements

- (a) **General**. Prior to the issuance of the EV Certificate, the CA MUST obtain the Applicant's agreement to a legally enforceable Subscriber Agreement with the CA for the express benefit of Relying Parties and Application Software Vendors. The Subscriber Agreement must be signed by an authorized Contract Signer acting on behalf of the Applicant in accordance with Section 20 of these Guidelines, and must apply to the EV Certificate to be issued pursuant to the EV Certificate Request. A separate Subscriber Agreement may be used for each EV Certificate Request, or a single Subscriber Agreement may be used to cover multiple future EV Certificate Requests and resulting EV Certificates, so long as each EV Certificate that the CA issues to an Applicant is clearly covered by a Subscriber Agreement signed by an authorized Contract Signer acting on behalf of the Applicant.

(b) Agreement Requirements. The Subscriber Agreement MUST, at a minimum, specifically name both the Applicant and the individual Contract Signer signing the Agreement on the Applicant's behalf, and contain provisions imposing on the Applicant the following obligations and warranties:

- (1) Accuracy of Information: An obligation and warranty to provide accurate and complete information at all times to the CA, both in the EV Certificate Request and as otherwise requested by the CA in connection with the issuance of the EV Certificate(s) to be supplied by the CA;
- (2) Protection of Private Key: An obligation and warranty by the subscriber or a subcontractor (e.g. hosting provider) to take all reasonable measures necessary to maintain sole control of, keep confidential, and properly protect at all times the Private Key that corresponds to the Public Key to be included in the requested EV Certificate(s) (and any associated access information or device – e.g., password or token);
- (3) Acceptance of EV Certificate: An obligation and warranty that it will not install and use the EV Certificate(s) until it has reviewed and verified the accuracy of the data in each EV Certificate;
- (4) Use of EV Certificate: An obligation and warranty to install the EV Certificate only on the server accessible at the domain name listed on the EV Certificate, and to use the EV Certificate solely in compliance with all applicable laws, solely for authorized company business, and solely in accordance with the Subscriber Agreement;
- (5) Reporting and Revocation Upon Compromise: An obligation and warranty to promptly cease using an EV Certificate and its associated Private Key, and promptly request the CA to revoke the EV Certificate, in the event that: (a) any information in the EV Certificate is or becomes incorrect or inaccurate, or (b) there is any actual or suspected misuse or compromise of the Subscriber's Private Key associated with the Public Key listed in the EV Certificate;
- (6) Termination of Use of EV Certificate. An obligation and warranty to promptly cease all use of the Private Key corresponding to the Public Key listed in an EV Certificate upon expiration or revocation of that EV Certificate.

F. INFORMATION VERIFICATION REQUIREMENTS

13. General Overview. This part of the Guidelines sets forth Verification Requirements and Acceptable Methods of Verification for each such Requirement

(a) Verification Requirements – Overview. Before issuing an EV Certificate, the CA MUST ensure that all Subject organization information in the EV Certificate conforms to the requirements of, and has been verified in accordance with, these Guidelines and matches the information confirmed and documented by the CA pursuant to its verification processes. Such verification processes are intended accomplish the following:

- (1) Verify Applicant's existence and identity, including;
 - (a) Verify Applicant's legal existence and identity (as established with an Incorporating Agency),
 - (b) Verify Applicant's physical existence (business presence at a physical address) , and
 - (c) Verify Applicant's operational existence (business activity)
- (2) Verify Applicant is a registered holder or has exclusive control of the domain name to be included in the EV Certificate;
- (3) Verify Applicant's authorization for the EV Certificate, including;
 - (a) Verify the name, title, and authority of the Contract Signer, Certificate Approver, and Certificate Requester;
 - (b) Verify that Contract Signer signed the Subscriber Agreement; and
 - (c) Verify that a Certificate Approver has signed or otherwise approved the EV Certificate Request.

(b) Acceptable Methods of Verification – Overview. As a general rule, the CA is responsible for taking all verification steps reasonably necessary to satisfy each of the Verification Requirements set forth in the sections below. The Acceptable Methods of Verification set forth in each of Sections 14 through 25 below (which usually include alternatives) are considered to be the minimum acceptable level of verification required of the CA. In all cases, however, the CA is responsible for taking any additional verification steps that may be reasonably necessary under the circumstances to satisfy the applicable Verification Requirement.

14. **Verification of Applicant's Legal Existence and Identity**

- (a) Verification Requirements.** To verify Applicant's legal existence and identity, the CA MUST do the following:
- (1) **Legal Existence:** Verify that the Applicant is a legally recognized entity, in existence and validly formed (e.g., incorporated) with the Incorporating Agency in Applicant's Jurisdiction of Incorporation, and not designated on the records of the Incorporating Agency by labels such as "inactive," "invalid," "not current," or the equivalent.
 - (2) **Organization Name:** Verify that the Applicant's formal legal name as recorded with the Incorporating Agency in Applicant's Jurisdiction of Incorporation matches Applicant's name in the EV Certificate Request.
 - (3) **Registration Number:** Obtain the specific unique Registration Number assigned to Applicant by the Incorporating Agency in the Applicant's Jurisdiction of Incorporation
 - (4) **Registered Agent:** Obtain the identity and address of the Applicant's Registered Agent or Registered Office (as applicable) in the Applicant's Jurisdiction of Incorporation.

- (b) **Acceptable Method of Verification.** All of the foregoing MUST be verified directly with or obtained directly from the Incorporating Agency in the Applicant's Jurisdiction of Incorporation. Such verification may be through use of a Qualified Government Information Source operated by or on behalf of the Incorporating Agency, or by direct contact with the Incorporating Agency in person or via mail, e-mail, web address, or telephone using an address or phone number obtained from a Qualified Independent Information Source.

15. Verification of Applicant's Legal Existence and Identity – Assumed Name

- (a) **Verification Requirements.** If, in addition to the Applicant's formal legal name as recorded with the Incorporating Agency in Applicant's Jurisdiction of Incorporation, Applicant's identity as asserted in the EV Certificate is to contain any assumed name (also known as "doing business as", "DBA", or "d/b/a" in the US and "trading as" in the UK) under which Applicant conducts business, the CA MUST verify that: (i) the Applicant has registered its use of the assumed name with the appropriate government agency for such filings in the jurisdiction of its Place of Business (as verified in accordance with these Guidelines), and (ii) that such filing continues to be valid.

- (b) **Acceptable Method of Verification.** To verify any assumed name under which Applicant conducts business:

- (1) The CA may verify the assumed name through use of a Qualified Government Information Source operated by or on behalf of an appropriate government agency in the jurisdiction of the Applicant's Place of Business, or by direct contact with such government agency in person or via mail, e-mail, web address, or telephone; or
- (2) The CA may verify the assumed name through use of a Qualified Independent Information Source provided that the QIIS has verified the assumed name with the appropriate government agency.
- (3) The CA may rely on a Verified Legal Opinion, or a Verified Accountant Letter that indicates the assumed name under which Applicant conducts business, the government agency such assumed name is registered with, and that such filing continues to be valid.

16. Verification of Applicant's Physical Existence

- (a) **Address of Applicant's Place of Business**

- (1) **Verification Requirements.** To verify Applicant's physical existence and business presence, the CA MUST verify that the physical address provided by Applicant is an address where Applicant conducts business operations (e.g., not a mail drop or P.O. Box), and is the address of Applicant's Place of Business.

(2) Acceptable Methods of Verification. To verify the address of Applicant's Place of Business:

(A) For Applicants whose Place of Business is in the same country as the Applicant's Jurisdiction of Incorporation:

(1) For Applicants listed at the same Place of Business address in the current version of at least one (1) Qualified Independent Information Source, the CA MUST confirm that the Applicant's address as listed in the EV Certificate Request is a valid business address for Applicant by reference to such Qualified Independent Information Sources, and may rely on Applicant's representation that such address is its Place of Business;

(2) For Applicants who are not listed at the same Place of Business address in the current version of at least one (1) Qualified Independent Information Source, the CA MUST confirm that the address provided by the Applicant in the EV Certificate Request is in fact Applicant's business address by obtaining documentation of a site visit to the business address which MUST be performed by a reliable individual or firm. The documentation of the site visit MUST:

(a) Verify that the Applicant's business is located at the exact address stated in the EV Certificate Request (e.g., via permanent signage, employee confirmation, etc.);

(b) Identify the type of facility (e.g., office in a commercial building, private residence, storefront, etc.) and whether it appears to be a permanent business location;

(c) Indicate whether there is a permanent sign (that cannot be moved) that identifies the Applicant

(d) Indicate whether there is evidence that Applicant is conducting ongoing business activities at the site (e.g., that it is not just a mail drop, P.O. box, etc.), and

(e) Include one or more photos of (i) the exterior of the site (showing signage indicating the Applicant's name, if present, and showing the street address if possible), and (ii) the interior reception area or workspace.

(3) For all Applicants, the CA MAY alternatively rely on a Verified Legal Opinion or a Verified Accountant Letter that indicates the address of Applicant's Place of Business and that business operations are conducted there.

(B) For Applicants whose Place of Business is not in the same country as the Applicant's Jurisdiction of Incorporation, the CA MUST rely on a

Verified Legal Opinion that indicates the address of Applicant's Place of Business and that business operations are conducted there.

(b) Telephone Number for Applicant's Place of Business

- (1) Verification Requirements. To further verify Applicant's physical existence and business presence, as well as to assist in confirming other verification requirements, the CA MUST verify that the telephone number provided by Applicant is a main phone number for Applicant's Place of Business.
- (2) Acceptable Methods of Verification. To verify Applicant's telephone number, the CA MUST perform A and one of B, C, or D as listed below:
 - (A) Confirm Applicant's telephone number by calling it and obtaining an affirmative response sufficient to enable a reasonable person to conclude that the Applicant is reachable by telephone at the number dialed; *and*
 - (B) Confirm that the telephone number provided by the Applicant is listed as the Applicant's telephone number for the verified address of its Place of Business in records provided by the applicable phone company or alternatively in at least one (1) Qualified Independent Information Source; *or*
 - (C) During a site visit, the person who is conducting the site visit MUST confirm the Applicant's main telephone number by calling it and obtaining an affirmative response sufficient to enable a reasonable person to conclude that the Applicant is reachable by telephone at the number dialed. The CA MUST also confirm that the Applicant's main telephone number is not a mobile phone; *or*
 - (D) Rely on a Verified Legal Opinion or a Verified Accountant Letter to the effect that the Applicant telephone number provided is a main phone number for Applicant's Place of Business;

17. Verification of Applicant's Operational Existence

- (a) Verification Requirements. If the Applicant has been in existence for less than three (3) years, as indicated by the records of the Incorporating Agency, *and* is not listed in the current version of one (1) Qualified Independent Information Source, the CA MUST verify that the Applicant has the ability to engage in business.
- (b) Acceptable Methods of Verification. To verify the Applicant's operational existence, the CA MUST perform one of the following:
 - (1) Verify the Applicant has an active current Demand Deposit Account with a Regulated Financial Institution. The CA MUST receive authenticated documentation directly from a Regulated Financial Institution verifying that

the Applicant has an active current Demand Deposit Account with the institution.

- (2) Rely on a Verified Legal Opinion or a Verified Accountant Letter to the effect that the Applicant has an active current Demand Deposit Account with a Regulated Financial Institution;

18. Verification of Applicant's Domain Name

- (a) **Verification Requirements.** To verify Applicant's registration or exclusive control of the domain name(s) to be listed in the EV Certificate, the CA MUST verify that each such domain name satisfies the following requirements:

- (1) The domain name is registered with an Internet Corporation for Assigned Names and Numbers (ICANN)-approved registrar or a registry listed by the Internet Assigned Numbers Authority (IANA);
- (2) Domain registration information in the WHOIS database SHOULD be public and SHOULD show the name, physical address, and administrative contact information for the organization.
- (3) The Applicant:
 - (A) is the registered holder of the domain name; or
 - (B) has been granted the exclusive right to use the domain name by the registered holder of the domain name;
- (4) The Applicant is aware of its registration or exclusive control of the domain name;

(b) Acceptable Methods of Verification

- (1) **Applicant as Registered Holder.** Acceptable methods by which the CA MAY verify that the Applicant is the registered holder of the domain name includes the following:
 - (A) Performing a WHOIS inquiry on the Internet for the domain name supplied by the Applicant, and obtaining a response indicating that the Applicant is the entity registered to the domain name; or
 - (B) Communicating with the contact listed on the WHOIS record to confirm that the Applicant is the registered holder of the domain name and having the contact update the WHOIS records to reflect the proper domain registration;
 - (C) In cases where domain registration information is private, the CA may contact the applicant through the domain registrar by e-mail or paper mail if the domain registrar offers services to forward such communication to the registered domain holder.

- (2) Applicant's Exclusive Right to Use. In cases where Applicant is not the registered holder of the domain name, the CA MUST verify the Applicant's exclusive right to use a domain name.

- (A) In cases where the registered domain holder can be contacted using information obtained from WHOIS, or through the domain registrar, the CA MUST obtain positive confirmation from the registered domain holder by paper mail, e-mail, telephone, or facsimile that the applicant has been granted the exclusive right to use the requested Fully Qualified Domain Name (FQDN).

If the Top-Level Domain is a generic top-level domain (gTLD) such as .com, .net, or .org in accordance to RFC 1591, the CA MUST obtain positive confirmation with the second level domain registration holder unless explicitly delegated by the holder. For example, if the requested FQDN is www1.www.example.com, the CA MUST obtain positive confirmation from the domain holder of example.com.

If the Top-Level Domain is a 2 letter Country Code Top-Level Domain (ccTLD), the CA MUST obtain positive confirmation with the domain holder at the domain level appropriate based on the rules of the ccTLD. For example, if the requested FQDN is www.mysite.users.internet.co.uk, the CA MUST obtain positive confirmation from the domain holder of internet.co.uk.

In addition, the CA MUST also verify that the Applicant's exclusive right to use the domain name using one of the following methods:

- (1) Relying on a Verified Legal Opinion to the effect that the Applicant has the exclusive right to use the specified domain name in identifying itself on the Internet; or
 - (2) Relying on a representation from the Contract Signer, or the Certificate Approver if expressly authorized in a mutually agreed upon contract, coupled with a practical demonstration by the Applicant establishing that it controls the confirmed domain name by making an agreed-upon change in information found online on a web page identified by a uniform resource identifier containing the Applicant's FQDN;
- (B) In cases where the registered domain holder cannot be contacted, the CA MUST:
- (1) Rely on a Verified Legal Opinion to the effect that the Applicant has the exclusive right to use the specified domain name in identifying itself on the Internet, *and*
 - (2) Rely on a representation from the Contract Signer, or the Certificate Approver if expressly authorized in a mutually agreed upon contract, coupled with a practical demonstration by the Applicant establishing that it controls the confirmed domain name by making an agreed-upon

change in information found online on a web page identified by a uniform resource identifier containing the Applicant's FQDN;

- (3) **Knowledge.** Acceptable methods by which the CA may verify the Applicant is aware that it has exclusive control of the domain name include the following:
 - (A) Relying on a Verified Legal Opinion to the effect that the Applicant is aware that it has exclusive control of the domain name; or
 - (B) Obtaining a confirmation from the Contract Signer or Certificate Approver verifying that the Applicant is aware that it has exclusive control of the domain name.
- (4) **Mixed Character Set Domain Names.** EV Certificates MAY include domain names containing mixed character sets only in compliance with the rules set forth by the domain registrar. The CA MUST visually compare any domain names with mixed character set with known high risk domains. If similarity is found then the EV Certificate Request MUST be flagged as High Risk. The CA must perform reasonably appropriate additional authentication and verification to be certain beyond reasonable doubt that the Applicant and the target in question are the same organization.

19. Verification of Name, Title, and Authority of Contract Signer and Certificate Approver

- (a) **Verification Requirements.** For both the Contract Signer and the Certificate Approver, the CA MUST verify the following:
 - (1) **Name, Title and Agency.** The CA MUST verify the name and title of the Contract Signer and the Certificate Approver, as applicable. The CA MUST also verify that the Contract Signer and the Certificate Approver are agents representing the Applicant.
 - (2) **Authorization of Contract Signer.** The CA MUST verify, through a source other than the Contract Signer, that the Contract Signer is expressly authorized by the Applicant to enter into the Subscriber Agreement (and any other relevant contractual obligations) on behalf of the Applicant, including a contract that designates one or more Certificate Approvers on behalf of Applicant ("Signing Authority").
 - (3) **Authorization of Certificate Approver.** The CA MUST verify, through a source other than the Certificate Approver, that the Certificate Approver is expressly authorized by the Applicant to do the following, as of the date of the EV Certificate Request ("EV Authority"):
 - (a) Submit, and if applicable authorize a Certificate Requester to submit, the EV Certificate Request on behalf of the Applicant; and

(b) Provide, and if applicable authorize a Certificate Requester to provide, the information requested from the Applicant by the CA for issuance of the EV Certificate; and

(c) Approve EV Certificate Requests submitted by a Certificate Requester

(b) **Acceptable Methods of Verification – Name, Title and Agency.** Acceptable methods of verification of the name, title, and agency status of the Contract Signer and the Certificate Approver include:

(1) **Name and Title:** The CA MAY verify the name and title of the Contract Signer and the Certificate Approver by any appropriate method designed to provide reasonable assurance that a person claiming to act in such role is in fact the named person designated to act in such role.

(2) **Agency:** The CA MAY verify agency of the Contract Signer and the Certificate Approver by:

(A) Contacting the Applicant's Human Resources Department by phone or mail (at the phone number or address for Applicant's Place of Business, verified in accordance with these Guidelines) and obtaining confirmation that the Contract Signer and/or the Certificate Approver, as applicable, is an employee; or

(B) Obtaining an Independent Confirmation From Applicant, or a Verified Legal Opinion (as described in Section 22 (a)), or a Verified Accountant Letter (as described in Section 22 (b)) verifying that the Contract Signer and/or the Certificate Approver, as applicable, is either an employee or has been otherwise been appointed as an agent of Applicant

The CA MAY also verify the agency of the Certificate Approver via a certification from the Contract Signer (including in a contract between the CA and the Applicant signed by the Contract Signer), provided that the employment or agency status and Signing Authority of the Contract Signer has been verified.

(c) **Acceptable Methods of Verification - Authorization.** Acceptable methods of verification of the Signing Authority of the Contract Signer, and the EV Authority of the Certificate Approver, as applicable, include:

(1) **Legal Opinion:** The Signing Authority of the Contract Signer, and/or the EV Authority of the Certificate Approver, may be verified by reliance on a Verified Legal Opinion (as described in Section 22 (a));

(2) **Accountant Letter:** The Signing Authority of the Contract Signer, and/or the EV Authority of the Certificate Approver, may be verified by reliance on a Verified Accountant Letter (as described in Section 22(b));

(3) **Corporate Resolution:** The Signing Authority of the Contract Signer, and/or the EV Authority of the Certificate Approver, may be verified by reliance on a

properly authenticated corporate resolution that confirms that the person has been granted such Signing Authority, provided that such resolution is (1) certified by the appropriate corporate officer (e.g., secretary), and (2) the CA can reliably verify that the certification was validly signed by such person, and that such person does have the requisite authority to provide such certification.

(4) **Independent Confirmation from Applicant:** The Signing Authority of the Contract Signer, and/or the EV Authority of the Certificate Approver, may be verified by obtaining an Independent Confirmation From Applicant.

(5) **Contract between CA and Applicant:** The EV Authority of the Certificate Approver may be verified by reliance on a contract between the CA and the Applicant that designates the Certificate Approver with such EV Authority, provided the contract is signed by the Contract Signer and provided that the agency and Signing Authority of the Contract Signer has been verified.

(d) **Pre-Authorized Certificate Approver.** Where the CA and the Applicant contemplate the submission of multiple future EV Certificate Requests, then, after the CA:

- (1) Has verified the name and title of the Contract Signer and that he/she is an employee or agent of the Applicant, and
- (2) Has verified the Signing Authority of such Contract Signer in accordance with one of the procedures in the preceding Subsection (c) above.

The CA and the Applicant may enter into a written agreement, signed by the Contract Signer on behalf of the Applicant, whereby, for a specified term, the Applicant expressly authorizes one or more Certificate Approver(s) designated in such agreement to exercise EV Authority with respect to each future EV Certificate Application submitted on behalf of the Applicant and properly authenticated as originating with, or otherwise being approved by, such Certificate Approver(s).

Such an agreement MUST provide that the Applicant shall be obligated under the Subscriber Agreement for all EV Certificates issued at the request of, or approved by, such Certificate Approver(s) until such EV Authority is revoked, and MUST include mutually agreed-upon provisions for (i) authenticating the Certificate Approver when EV Certificate Requests are approved, (ii) periodic re-confirmation of the EV Authority of the Certificate Approver, (iii) secure procedure by which the Applicant can notify the CA that the EV Authority of any such Certificate Approver is revoked, and (iv) such other appropriate precautions as are reasonably necessary.

20. Verification of Signature on Subscriber Agreement and EV Certificate Requests.

Both the Subscriber Agreement and each EV Certificate Request MUST be signed. The Subscriber Agreement MUST be signed by an authorized Contract Signer. The EV Certificate Request MUST be signed by the Certificate Requester submitting the document. If the Certificate requester is not also an authorized Certificate Approver, an authorized Certificate Approver MUST independently approve the EV Certificate Request. In all cases, the signature MUST be a legally valid and enforceable seal or handwritten signature (for a paper Subscriber Agreement and/or EV Certificate Request), or a legally valid and enforceable electronic signature (for an electronic Subscriber Agreement and/or EV Certificate Request), that binds the Applicant to the terms of each respective document.

(a) Verification Requirements.

- (1) Signature. The CA MUST authenticate the signature of the Contract Signer on the Subscriber Agreement and the signature of the Certificate Requester on each EV Certificate Request in a manner that makes it reasonably certain that the person named as the signer in the applicable document is, in fact, the person who signed the document on behalf of the Applicant.
- (2) Approval Alternative: In cases where an EV Certificate Request is signed and submitted by a Certificate Requester who does not also function as a Certificate Approver, approval and adoption of the EV Certificate Request by a Certificate Approver in accordance with the requirements of Section 19 below can substitute for authentication of the signature of the Certificate Requester on such EV Certificate Request.

(b) Acceptable Methods of Signature Verification. Acceptable methods of authenticating the signature of the Certificate Requester or Contract Signer include:

- (1) A phone call to the Applicant's or Agent's phone number, as verified in accordance with these Guidelines, asking to speak to the Certificate Requester or Contract Signer, as applicable, followed by a response from someone who identifies themselves as such person confirming that he/she did sign the applicable document on behalf of the Applicant.
- (2) A letter mailed to the Applicant's or Agent's address, as verified through independent means in accordance with these Guidelines, c/o of the Certificate Requester or Contract Signer, as applicable, followed by a phone or mail response from someone who identifies themselves as such person confirming that he/she did sign the applicable document on behalf of the Applicant.
- (3) Use of a signature process that establishes the name and title of the signer in a secure manner, such as through use of an appropriately secure login process that identifies the signer before signing, or through use of a digital signature made with reference to an appropriately verified certificate.

- (4) Notarization by a notary, provided that the CA independently verifies that such notary is a legally qualified notary in the jurisdiction of the Certificate Requester or Contract Signer;

21. Verification of Approval of EV Certificate Request

- (a) **Verification Requirements.** In cases where an EV Certificate Request is submitted by a Certificate Requester, before the CA may issue the requested EV Certificate, the CA MUST verify that an authorized Certificate Approver reviewed and approved the EV Certificate Request.
- (b) **Acceptable Methods of Verification.** Acceptable methods of verifying the Certificate Approver's approval of an EV Certificate Request include:
 - (1) Contacting the Certificate Approver by phone or mail at a verified phone number or address for the applicant and obtaining oral or written confirmation that the Certificate Approver has reviewed and approved the EV Certificate Request;
 - (2) Notifying the Certificate Approver that one or more new EV Certificate Requests are available for review and approval at a designated access-controlled and secure website, followed by a login by and an indication of approval from the Certificate Approver in the manner required by the website; or
 - (3) Verifying the signature of the Certificate Requestor on the EV Certificate Request in accordance with Section 20 of these Guidelines.

22. Verification of Certain Information Sources

- (a) **Verified Legal Opinion.**
 - (1) **Verification Requirements.** Before relying on any legal opinion submitted to the CA, the CA MUST verify that such legal opinion meets the following requirements ("Verified Legal Opinion"):
 - (A) **Status of Author.** The CA MUST verify that the legal opinion is authored by an independent legal practitioner retained by and representing the Applicant (or an in-house legal practitioner employed by the Applicant) (Legal Practitioner) who is either:
 - (i) A lawyer (or solicitor, barrister, advocate, or equivalent) licensed to practice law in the country of the Applicant's Jurisdiction of Incorporation or any jurisdiction where the Applicant maintains an office or physical facility; or
 - (ii) A notary that is a member of the International Union of Latin Notaries, and is licensed to practice in the country of Applicant's Jurisdiction of Incorporation or any jurisdiction where the Applicant maintains an office or physical facility (and that such jurisdiction recognizes the role of the Latin Notary).

- (B) Basis of Opinion. The CA MUST verify that the Legal Practitioner is acting on behalf of the Applicant and that the conclusions of the Verified Legal Opinion are based on the Legal Practitioner's stated familiarity with the relevant facts and the exercise of the Legal Practitioner's professional judgment and expertise.
 - (C) Authenticity. The CA MUST confirm the authenticity of the Verified Legal Opinion.
- (2) Acceptable Methods of Verification. Acceptable methods of establishing the foregoing requirements for a Verified Legal Opinion are:
- (A) Status of Author. The CA MUST verify the professional status of the author of the legal opinion by directly contacting the authority responsible for registering or licensing such Legal Practitioner(s) in the applicable jurisdiction.
 - (B) Basis of Opinion. The text of the legal opinion MUST make clear that the Legal Practitioner is acting on behalf of the Applicant and that the conclusions of the legal opinion are based on the Legal Practitioner's stated familiarity with the relevant facts and the exercise of the practitioner's professional judgment and expertise. The legal opinion may also include disclaimers and other limitations customary in the Legal Practitioner's jurisdiction, provided that the scope of the disclaimed responsibility is not so great as to eliminate any substantial risk (financial, professional, and/or reputational) to the Legal Practitioner should the legal opinion prove to be erroneous. An acceptable form of legal opinion is attached as Appendix C
 - (C) Authenticity. To confirm the authenticity of the legal opinion, the CA MUST call or send a copy of the legal opinion back to the Legal Practitioner at the address, phone number, facsimile, or (if available) e-mail address for the Legal Practitioner listed with the authority responsible for registering or licensing such Legal Practitioner and obtain confirmation from the Legal Practitioner or the Legal Practitioner's assistant that the legal opinion is authentic.

(b) Verified Accountant Letter.

- (1) Verification Requirements. Before relying on any accountant letter submitted to the CA, the CA MUST verify that such accountant letter meets the following requirements ("Verified Accountant Letter"):
- (A) Status of Author. The CA MUST verify that the accountant letter is authored by an independent professional accountant retained by and representing the Applicant (or an in-house professional accountant employed by the Applicant) (Accounting Practitioner) who is a certified public accountant, chartered accountant, or equivalent licensed by a full member of the International Federation of Accountants (IFAC) to practice accounting in the country of the Applicant's Jurisdiction of Incorporation

or any jurisdiction where the Applicant maintains an office or physical facility; or

- (B) Basis of Opinion. The CA MUST verify that the Accounting Practitioner is acting on behalf of the Applicant and that the conclusions of the Verified Accountant Letter are based on the Accounting Practitioner's stated familiarity with the relevant facts and the exercise of the Accounting Practitioner's professional judgment and expertise.
- (C) Authenticity. The CA MUST confirm the authenticity of the Verified Accountant Letter.

(2) Acceptable Methods of Verification. Acceptable methods of establishing the foregoing requirements for a Verified Accountant Letter are:

- (A) Status of Author. The CA MUST verify the professional status of the author of the accountant letter by directly contacting the authority responsible for registering or licensing such Accounting Practitioner (s) in the applicable jurisdiction.
- (B) Basis of Opinion. The text of the accountant letter MUST make clear that the Accounting Practitioner is acting on behalf of the Applicant and that the information in the accountant letter are based on the Accounting Practitioner's stated familiarity with the relevant facts and the exercise of the practitioner's professional judgment and expertise. The accountant letter may also include disclaimers and other limitations customary in the Accounting Practitioner's jurisdiction, provided that the scope of the disclaimed responsibility is not so great as to eliminate any substantial risk (financial, professional, and/or reputational) to the Accounting Practitioner should the accountant letter prove to be erroneous. Acceptable forms of an accountant letter is attached as Appendix D
- (C) Authenticity. To confirm the authenticity of the accountant's opinion, the CA MUST call or send a copy of the accountant letter back to the Accounting Practitioner at the address, phone number, facsimile, or (if available) e-mail address for the Accounting Practitioner listed with the authority responsible for registering or licensing such Accounting Practitioner and obtain confirmation from the Accounting Practitioner or the Accounting Practitioner's assistant that the accountant letter is authentic.

(c) **Independent Confirmation From Applicant**. An "Independent Confirmation From Applicant" is a confirmation of a particular fact (e.g., knowledge of its exclusive control of a domain name, confirmation of the employee or agency status of a Contract Signer or Certificate Approver, confirmation of the EV Authority of a Certificate Approver, etc.) that:

- (i) Received by the CA from a person employed by the Applicant (other than the person who is the subject of the inquiry) that has the appropriate authority to

confirm such a fact (“Confirming Person”), and who represents that he/she has confirmed such fact;

(ii) Received by the CA in a manner that authenticates and verifies the source of the confirmation; and

(iii) Binding on the Applicant.

An Independent Confirmation From Applicant may be obtained via the following procedure:

(1) Confirmation Request: The CA MUST initiate an appropriate out-of-band communication requesting verification or confirmation of the particular fact in issue (“Confirmation Request”) as follows:

(A) Addressee: The Confirmation Request MUST be directed to:

- (i) A position within Applicant’s organization that qualifies as a Confirming Person (e.g., Secretary, President, CEO, CFO, COO, CIO, CSO, Director, etc.) and is identified by name and title in a current Qualified Government Information Source (e.g., an SEC filing), a Qualified Independent Information Source, a Verified Legal Opinion, a Verified Accountant Letter, or by contacting the Applicant’s Human Resources Department by phone or mail (at the phone number or address for Applicant’s Place of Business, verified in accordance with these Guidelines); or
- (ii) Applicant’s Registered Agent or Registered Office in the Jurisdiction of Incorporation as listed in the official records of the Incorporating Agency, with instructions that it be forwarded to an appropriate Confirming Person.

(B) Means of Communication: The Confirmation Request MUST be directed to the Confirming Person in a manner reasonably likely to reach such person. The following options are acceptable:

- (i) By paper mail, addressed to the Confirming Person at:
 - (a) The address of Applicant’s Place of Business as verified by the CA in accordance with these Guidelines; or
 - (b) The business address for such Confirming Person specified in a current Qualified Government Information Source (e.g., an SEC filing), a Qualified Independent Information Source, a Verified Legal Opinion, or a Verified Accountant Letter; or
 - (c) The address of Applicant’s Registered Agent or Registered Office listed in the official records of the Jurisdiction of Incorporation; or
- (ii) By e-mail addressed to the Confirming Person at the business e-mail address for such person listed in a current Qualified Government Information Source, a Qualified Independent Information Source, a Verified Legal Opinion, or a Verified Accountant Letter; or

(iii) By telephone call to the Confirming Person, where such person is contacted by calling the main phone number of Applicant's Place of Business (verified in accordance with these Guidelines) and asking to speak to such person, and a person taking the call identifies himself as such person; or

(iv) By facsimile to the Confirming Person at the Place of Business. The facsimile number must be listed in a current Qualified Government Information Source, a Qualified Independent Information Source, a Verified Legal Opinion, or a Verified Accountant Letter. The cover page must be clearly addressed to the Confirming Person.

(2) Confirmation Response: The CA MUST receive a response to the Confirmation Request from a Confirming Person that confirms the particular fact in issue. Such response may be provided to the CA by telephone, by e-mail, or by paper mail, so long as the CA can reliably verify that it was provided by a Confirming Person in response to the Confirmation Request.

(d) **Qualified Independent Information Sources (QIIS)**. A regularly-updated and current online publicly available database designed for the purpose of accurately providing the information for which it is consulted, and which is generally recognized as a dependable source of such information. A Commercial database is QIIS if the following are true:

- (1) data that will be relied upon has been independently verified by other independent information sources;
- (2) the database distinguishes between self-reported data and data reported by independent information sources;
- (3) the database provider identifies how frequently they update the information in their database;
- (4) changes in the data that will be relied upon will be reflected in the database in no more than 12 months; and
- (5) the database provider uses authoritative sources independent of the subject or multiple corroborated sources to which the data pertains.

Databases in which the CA or its owners or affiliated companies maintain a controlling interest, or in which any registration agents (RAs) or subcontractors to whom the CA has outsourced any portion of the vetting process (or their owners or affiliated companies) maintain any ownership or beneficial interest do not qualify as a QIIS. The CA SHOULD check the accuracy of the database and ensure its data is acceptable.

(e) **Qualified Government Information Source (QGIS)**. A regularly-updated and current online publicly available database designed for the purpose of accurately providing the information for which it is consulted, and which is generally recognized as a dependable source of such information provided they are maintained by a Government Entity, the reporting of data is required by law and false or misleading reporting is punishable with criminal or civil penalties.

23. Other Verification Requirements

(a) High Risk Status

- (1) Verification Requirements. The CA MUST seek to identify Applicants likely to be at a high risk of being targeted for fraudulent attacks (“High Risk Applicants”), and conduct such additional verification activity and take such additional precautions as are reasonably necessary to ensure that such Applicants are properly verified under these Guidelines.
- (2) Acceptable Methods of Verification. The CA may identify High Risk Applicants by checking appropriate lists of organization names that are most commonly targeted in phishing and other fraudulent schemes, and automatically flagging EV Certificate Requests from Applicants named on these lists for further scrutiny before issuance. Examples of such lists include:

(A) Lists of phishing targets published by the Anti-Phishing Work Group (APWG); and

(B) Internal databases maintained by the CA that include previously revoked EV Certificates and previously rejected EV Certificate Requests due to suspected phishing or other fraudulent usage;

The information should then be used to flag suspicious new EV Certificate Requests. If an Applicant is flagged as a High Risk Applicant, the CA MUST perform reasonably appropriate additional authentication and verification to be certain beyond reasonable doubt that the Applicant and the target in question are the same organization.

(b) Denied Lists and Other Legal Black Lists

- (1) Verification Requirements. The CA MUST verify that if the Applicant, the Contract Signer or Certificate Approver, or if the Applicant’s Jurisdiction of Incorporation or Place of Business is on any such list:
 - (a) Is identified on any government denied list, list of prohibited persons, or other list that prohibits doing business with such organization or person under the laws of the country of the CA’s jurisdiction(s) of operation; and
 - (b) Has its Jurisdiction of Incorporation *or* Place of Business in any country with which the laws of the CA’s jurisdiction prohibit doing business

The CA SHOULD [NOT issue any EV Certificate to the Applicant if either the Applicant, the Contract Signer, or Certificate Approver or if the Applicant’s Jurisdiction of Incorporation or Place of Business is on any such list.](#)

- (2) Acceptable Methods of Verification The CA MUST take reasonable steps to verify with the following lists and regulations:

If the CA has operations in the U.S., the CA MUST take reasonable steps to verify with the following US Government Denied lists and regulations:

(A) BIS Denied Persons List - <http://www.bis.doc.gov/dpl/thedeniallist.asp>

(B) BIS Denied Entities List - <http://www.bis.doc.gov/Entities/Default.htm>

(C) US Treasury Department List of Specially Designated Nationals and Blocked Persons - <http://www.treas.gov/ofac/t11sdn.pdf>

(D) US Government export regulations

(3) If the CA has operations in any other country, the CA SHOULD take reasonable steps to verify with [all equivalent denied lists and export regulations \(if any\) in such other country.](#)

24. Final Cross-Correlation and Due Diligence

- (a) The results of the verification processes and procedures outlined in these Guidelines are intended to be viewed both individually and as a group. Thus, after all of the verification processes and procedures are completed, the CA MUST have a person who is not responsible for the collection of information review all of the information and documentation assembled in support of the EV Certificate and look for discrepancies or other details requiring further explanation except for EV Subscriber Certificates approved by an Enterprise RA.
- (b) The CA MUST obtain and document further explanation or clarification from the Applicant, Certificate Approver, Certificate Requester, Qualified Independent Information Sources, and/or other sources of information, as necessary to resolve the discrepancies or details requiring further explanation.
- (c) The CA MUST refrain from issuing an EV Certificate until the entire corpus of information and documentation assembled in support of the EV Certificate is such that issuance of the EV Certificate will not communicate inaccurate factual information that the CA knows, or by the exercise of due diligence should discover, from the assembled information and documentation. If satisfactory explanation and/or additional documentation are not received within a reasonable time, the CA should decline the EV Certificate Request and notify the Applicant accordingly.
- (d) The CA MUST perform the requirements of this Final Cross-Correlation and Due Diligence section through employees under its control and having appropriate training, experience, and judgment in confirming organizational identification and authorization. Notwithstanding the foregoing, in the case of Enterprise EV Certificates to be issued in compliance with the requirements of Section 30 of these Guidelines, the Enterprise RA may perform the requirements of this Final Cross-Correlation and Due Diligence section.

25. Certificate Renewal Verification Requirements.

Before renewing an EV Certificate, the CA must perform all authentication and verification tasks required by these Guidelines to ensure that the renewal request is properly authorized by the Applicant and that the information displayed in the EV Certificate is still accurate and valid.

G. CERTIFICATE STATUS CHECKING AND REVOCATION ISSUES

26. EV Certificate Status Checking.

- (a) **Repository.** The CA MUST maintain an online 24/7 Repository mechanism whereby Internet browsers can automatically check online the current status of all certificates.
 - (1) **For EV Certificates or Subordinate CA Certificates issued to entities not controlled by the entity that controls the Root CA:**
 - (A) CRLs MUST be updated and reissued at least every seven (7) days, and with a maximum expiration time of ten (10) days; or
 - (B) OCSP. If the CA uses an Online Certificate Status Protocol (OCSP) resource, the CA MUST maintain an OCSP capability that is updated at least every four (4) days, and with a maximum expiration time of ten (10) days.
 - (2) **For subordinate CA Certificates controlled by the Root CA:**
 - (A) CRLs MUST be updated and reissued at least every twelve (12) months, and with a maximum expiration time of twelve (12) months; or
 - (B) OCSP. If the CA uses an Online Certificate Status Protocol (OCSP) resource, the CA MUST maintain an OCSP capability that is updated at least every twelve (12) months, and with a maximum expiration time of twelve (12) months.

It is strongly recommended that all CAs support OCSP when a majority of deployed web servers support TLS 1.0 extension in accordance to RFC 3546 to return “stapled” OCSP responses to EV enabled applications. CAs MUST support an OCSP capability for Subscriber Certificates that are issued after Dec 31, 2010.

- (b) **Reasonable User Experience.** In cases where the CA chooses to operate only a CRL capability, the CA MUST ensure all CRLs for an EV Certificate chain can be downloaded in no more than three (3) seconds over an analog telephone line under normal network conditions.

(c) **Response Time.** The CA MUST operate and maintain its CRL and/or OCSP capability with resources sufficient to provide a commercially reasonable response time for the number of queries generated by all of the EV Certificates issued by the CA.

(d) **Deletion of Entries.** Revocation entries on a CRL or OCSP MUST NOT be removed until after the expiration date of the revoked EV Certificate.

27. EV Certificate Revocation.

(a) **Revocation Guidelines and Capability.** The CA MUST publish clear guidelines for revoking EV Certificates as part of its EV Policies, and maintain a continuous 24/7 ability to accept and respond to revocation requests and related inquiries.

(b) **Revocation Events.** **The CA MUST revoke an EV Certificate it has issued upon the occurrence of any of the following events:**

- (1) The Subscriber requests revocation of its EV Certificate;
- (2) The Subscriber indicates that the original EV Certificate Request was not authorized and does not retroactively grant authorization;
- (3) The CA obtains reasonable evidence that the Subscriber's Private Key (corresponding to the Public Key in the EV Certificate) has been compromised, or that the EV Certificate has otherwise been misused;
- (4) The CA receives notice or otherwise become aware that a Subscriber violates any of its material obligations under the Subscriber Agreement;
- (5) The CA receives notice or otherwise become aware that a court or arbitrator has revoked a Subscriber's right to use the domain name listed in the EV Certificate, or that the Subscriber has failed to renew its domain name;
- (6) The CA receives notice or otherwise become aware of a material change in the information contained in the EV Certificate;
- (7) A determination, in the CA's sole discretion, that the EV Certificate was not issued in accordance with the terms and conditions of these Guidelines or the CA's EV Policies;
- (8) If the CA determines that any of the information appearing in the EV Certificate is not accurate.
- (9) The CA ceases operations for any reason and has not arranged for another EV CA to provide revocation support for the EV Certificate;
- (10) The CA's right to issue EV Certificates under these Guidelines expires or is revoked or terminated [*unless the CA makes arrangements to continue maintaining the CRL/OCSP Repository*];
- (11) The CA's Private Key for that EV Certificate has been compromised;

- (12) Such additional revocation events as the CA publishes in its EV Policies; or
- (13) The CA receives notice or otherwise become aware that a Subscriber has been added as a denied party or prohibited person to a blacklist, or is operating from a prohibited destination under the laws of the CA's jurisdiction of operation as described in Section 23 of these Guidelines.

28. EV Certificate Problem Reporting and Response Capability.

- (a) **Reporting.** In addition to EV Certificate revocation, the CA MUST provide Subscribers, Relying Parties, Application Software Vendors, and other third parties with clear instructions for reporting complaints or suspected Private Key compromise, EV Certificate misuse, or other types of fraud, compromise, misuse, or inappropriate conduct related to EV Certificates ("Certificate Problem Reports"), and a 24x7 capability to accept and acknowledge such Reports.
- (b) **Investigation.** CAs MUST begin investigation of all Certificate Problem Reports within twenty-four (24) hours and decide whether revocation or other appropriate action is warranted based on at least the following criteria:
 - (i) The nature of the alleged problem;
 - (ii) Number of Certificate Problem Reports received about a particular EV Certificate or website;
 - (iii) The identity of the complainants (for example, complaints from a law enforcement official that a web site is engaged in illegal activities have more weight than a complaint from a consumer alleging they never received the goods they ordered); and
 - (iv) Relevant legislation in force.
- (c) **Response.** The CA MUST also maintain a continuous 24/7 ability to internally respond to any high priority Certificate Problem Report, and where appropriate, forward such complaints to law enforcement and/or revoke an EV Certificate that is the subject of such a complaint.

H. EMPLOYEE AND THIRD PARTY ISSUES

29. Trustworthiness and Competence.

- (a) **Identity and Background Verification.** Prior to the commencement of employment of any person by the CA for engagement in the EV Certificate process, whether as an employee, agent, or an independent contractor, of the CA, the CA MUST:
 - (1) Verify the identity of such person. Verification of identity should be performed through:

- (A) The personal (physical) presence of such person before trusted persons who perform human resource or security functions, and
 - (B) The verification of well-recognized forms of government-issued photo identification (e.g., passports and/or driver's licenses); and
- (2) Verify the trustworthiness of such person. Verification of trustworthiness shall include background checks which address at least the following *[or their equivalent]*:
- (A) Confirmation of previous employment,
 - (B) Check of professional references;
 - (C) Confirmation of the highest or most relevant educational degree obtained,
 - (D) Search of criminal records (local, state or provincial, and national) where allowed by the jurisdiction where the person will be employed, and
- (3) In the case of employees of the CA at the time of the adoption of these Guidelines whose identity and background has not previously been verified as set forth above, the CA shall conduct such verification within three (3) months of the date of adoption of these Guidelines.

(b) Training and Skills Level.

- (1) The CA MUST provide all personnel performing validation duties ("Validation Specialists") with skills training that covers basic Public Key Infrastructure (PKI) knowledge, authentication and verification policies and procedures, common threats to the validation process including phishing and other social engineering tactics, and these Guidelines.
- (2) The CA MUST maintain records of such training and ensure that personnel entrusted with Validation Specialist duties meet a minimum skills requirement that enable them to perform such duties satisfactorily
- (3) Validation Specialists engaged in EV Certificate issuance must maintain adequate skill levels in order to have issuance privilege, consistent with a CA's training and performance programs.
- (4) The CA MUST ensure that its Validation Specialists qualify for each skill level required by the corresponding validation task before granting privilege to perform said task
- (5) The CA MUST require all Validation Specialists to pass an internal examination on the EV Certificate validation criteria outlined in these Guidelines.

(c) Separation of Duties.

- (1) The CA MUST enforce rigorous control procedures for the separation of validation duties to ensure that no one person can single-handedly validate and authorize the issuance of an EV Certificate. The final due diligence steps

as outlined in Section 24 MAY be performed by one of the persons. For example, one Validation Specialist reviews and verifies all Applicant information and a second Validation Specialist approves issuance of the EV Certificate.

(2) Such controls MUST be auditable.

30. Delegation of Functions to Registration Authorities and Subcontractors.

- (a) **General.** The CA MAY delegate the performance of all or any part of a requirement of these Guidelines to a registration agent (RA) or subcontractor, except for the performance of the Final Cross-Correlation and Due Diligence requirements of Section 24 of these Guidelines.
- (b) **Enterprise RAs.** The CA MAY contractually authorize the Subject of a specified Valid EV Certificate to perform the RA function and authorize the CA to issue additional EV Certificates at third and higher domain levels that contain the domain that was included in the original EV Certificate (also known as “Enterprise EV Certificates”). In such case, the Subject shall be considered an Enterprise RA, and the following shall apply:
 - (i) No Enterprise RA MAY authorize the CA to issue an Enterprise EV Certificate at the third or higher domain levels to any Subject other than the Enterprise RA or a business that is owned or directly controlled by the Enterprise RA;
 - (ii) In all cases, the Subject of an Enterprise EV Certificate MUST be an organization verified by the CA in accordance with these Guidelines;
 - (iii) The CA MUST impose these limitations as a contractual requirement with the Enterprise RA and monitor compliance by the Enterprise RA;
 - (iv) The Final Cross-Correlation and Due Diligence requirements of Section 24 of these Guidelines MAY be performed by a single person representing the Enterprise RA; and
 - (v) The audit requirements in Section 35 of these Guidelines will not apply to the Enterprise RA if the CA maintains control over the root key or sub-root key used to issue the enterprise certificates, but the audit must cover the Enterprise RA in all other cases.
- (c) **Guidelines Compliance Obligation.** In all cases, the CA MUST contractually obligate each such RA, subcontractor, and Enterprise RA to comply with all applicable requirements in these Guidelines and to perform them as required of the CA itself. The CA MUST enforce compliance with such terms.
- (d) **Responsibility.** In delegating tasks, the CA and its RAs, Enterprise RAs, and subcontractors (as applicable) MAY allocate liability between themselves contractually as they determine, but the CA and its Root CA remain fully responsible for the performance of all parties in accordance with these Guidelines, the same as if the tasks had not been delegated.

I. DATA AND RECORD ISSUES

31. Documentation and Audit Trail Requirements

- (a) The CA MUST record in detail every action taken to process an EV Certificate Request and to issue an EV Certificate, including all information generated or received in connection with an EV Certificate Request, and every action taken to process the Request, including time, date, and personnel involved in the action. These records MUST be available as auditable proof of the CA's practices. The foregoing also applies to all registration agents (RAs) and subcontractors as well.
- (b) The foregoing record requirements include, but are not limited to, an obligation to record the following events:
 - (i) CA key lifecycle management events, including:
 - (a) Key generation, backup, storage, recovery, archival, and destruction; and
 - (b) Cryptographic device lifecycle management events
 - (ii) CA and Subscriber EV Certificate lifecycle management events, including:
 - (a) EV Certificate Requests, renewal and re-key requests, and revocation;
 - (b) All verification activities required by these Guidelines
 - (c) Date, time, phone number used, persons spoken to, and end results of verification telephone calls;
 - (d) Acceptance and rejection of EV Certificate Requests;
 - (e) Issuance of EV Certificates; and
 - (f) Generation of EV Certificate revocation lists (CRLs); and OCSP entries
 - (iii) Security events, including:
 - (a) Successful and unsuccessful PKI system access attempts;
 - (b) PKI and security system actions performed;
 - (c) Security profile changes;
 - (d) System crashes, hardware failures, and other anomalies;
 - (e) Firewall and router activities; and
 - (f) Entries to and exits from CA facility
 - (iv) Log entries MUST include the following elements:
 - (a) Date and time of entry;
 - (b) Identity of the persona and entity making the journal entry; and
 - (c) Description of entry

32. Document Retention

- (a) **Audit Log Retention.** Audit logs MUST be available to independent auditors upon request. Audit logs SHOULD be retained for at least seven (7) years.
- (b) **Retention of Documentation.** The CA MUST retain all documentation relating to all EV Certificate Requests and verification thereof, and all EV Certificates and revocation thereof, for at least seven (7) year(s) after any EV Certificate based on that documentation ceases to be valid. In connection therewith, the CA MUST maintain current an internal database of all previously revoked EV Certificates and previously rejected EV Certificate Requests due to suspected phishing or other fraudulent usage or concerns. Such information should be used to flag suspicious EV Certificate Requests.

33. Reuse and Updating Information and Documentation.

- (a) **Use of Documentation to Support Multiple EV Certificates.** The CA may issue multiple EV Certificates listing the same Subject and based on a single EV Certificate Request, subject to the aging and updating requirement in (b) below.
- (b) **Use of Pre-Existing Information or Documentation.**
 - (1) Each EV Certificate issued by the CA MUST be supported by a valid current EV Certificate Request and a Subscriber Agreement signed by the Applicant Representative on behalf of the Applicant.
 - (2) The age of information used by the CA to verify such an EV Certificate Request MUST not exceed the Maximum Validity Period for such information set forth in these Guidelines in Section 8, based on the earlier of the date the information was obtained (e.g., the date of a confirmation phone call) or the date the information was last updated by the source (e.g., if an online database was accessed by the CA on July 1, but contained data last updated by the vendor on February 1, then the date of information would be considered to be February 1).
 - (3) In the case of outdated information, the CA MUST repeat the verification processes required in these Guidelines.

34. Data Security

- (a) **Objectives.** The CA MUST develop, implement, and maintain a comprehensive Security Program reasonably designed to:
 - (1) Protect the confidentiality, integrity, and availability of: (i) all EV Certificate Requests and data related thereto (whether obtained from the Applicant or otherwise) in CA's possession or control or to which CA has access ("EV Data"), and (ii) the keys, software, processes, and procedures by which the

CA verifies EV Data, issues EV Certificates, maintains a Repository, and revokes EV Certificates (“EV Processes”);

- (2) Protect against any anticipated threats or hazards to the confidentiality, integrity, and availability of the EV Data and EV Processes;
- (3) Protect against unauthorized or unlawful access, use, disclosure, alteration, or destruction of any EV Data or EV Processes;
- (4) Protect against accidental loss or destruction of, or damage to, any EV Data or EV Processes; and
- (5) Comply with all other security requirements applicable to the CA by law.

(b) Risk Assessment. The CA’s Security Program MUST include regular risk assessments (“Risk Assessments”) that:

- (1) Identify reasonably foreseeable internal and external threats that could result in unauthorized access, disclosure, misuse, alteration, or destruction of any EV Data or EV Processes;
- (2) Assess the likelihood and potential damage of these threats, taking into consideration the sensitivity of the EV Data and EV Processes; and
- (3) Assess the sufficiency of the policies, procedures, information systems, technology, and other arrangements that the CA has in place to control such risks.

(c) Security Plan. Based on such Risk Assessment, CA MUST develop, implement, and maintain a Security Plan consisting of security procedures, measures, and products designed to achieve the objectives set forth above and to reasonably manage and control the risks identified during the Risk Assessment, commensurate with the sensitivity of the EV Data and EV Processes, as well as the complexity and scope of the activities of the CA. Such Security Plan shall include administrative, organizational, technical, and physical safeguards appropriate to the size, complexity, nature, and scope of the CA’s business and the EV Data and EV Processes. Such Security Plan shall also take into account then-available technology and the cost of implementing the specific measures, and MUST implement a reasonable level of security appropriate to the harm that might result from a breach of security and the nature of the data to be protected.

(d) Dual Access Control. The CA MUST ensure the system used to process and approve EV Certificate Requests requires actions by at least two trusted persons before the EV Certificate is created.

J. COMPLIANCE

35. Audit Requirements.

(a) Pre-Issuance Readiness Audit.

- (1) If the CA has a currently valid WebTrust Seal of Assurance for CAs (or a currently valid unqualified opinion indicating compliance with equivalent

audit procedures approved by the CA/Browser Forum), then before issuing EV Certificates the CA and its Root CA MUST successfully complete a point-in-time readiness assessment audit against the WebTrust EV Program, or a point-in-time readiness assessment audit against equivalent audit procedures approved by the CA/Browser Forum.

- (2) If the CA does ***not*** have a currently valid WebTrust Seal of Assurance for CAs (or a currently valid unqualified opinion indicating compliance with equivalent audit procedures approved by the CA/Browser Forum), then before issuing EV Certificates the CA and its Root CA MUST successfully complete both: (i) a point-in-time readiness assessment audit against the WebTrust for CA Program, and (ii) a point-in-time readiness assessment audit against the WebTrust EV Program, or an equivalent for both (i) and (ii) as approved by the CA/Browser Forum.

- (b) **Regular Self Audits.** During the period in which it issues EV Certificates, the CA MUST strictly control its service quality by performing ongoing self audits against a randomly selected sample of at least three percent (3%) of the EV Certificates it has issued in the period beginning immediately after the last sample was taken.

(c) **Annual Independent Audit.**

- (1) During the period in which it issues EV Certificates, the CA and its Root CA MUST undergo and pass an annual (i) WebTrust Program for CAs audit and (ii) WebTrust EV Program audit, or an equivalent for both (i) and (ii) as approved by the CA/Browser Forum. Such audits MUST cover all CA obligations under these Guidelines regardless of whether they are performed directly by the CA or delegated to an RA or subcontractor.
- (2) **Government CAs.** In cases where the CA is a government entity, an annual audit of the government CA by the appropriate internal government auditing agency is acceptable in lieu of the (i) WebTrust Program for CAs audit and (ii) WebTrust EV Program audit specified above, provided that such internal government auditing agency publicly certifies in writing that its audit addresses the criteria specified in the WebTrust Program for CAs and the WebTrust EV Program, and certifies that the government CA has successfully passed the audit

- (3) The audit report MUST be made publicly available by the CA

- (d) **Auditor Qualifications.** All audits required under these Guidelines MUST be performed by a Qualified Auditor. A Qualified Auditor MUST:

- (1) Be an independent public accounting firm that has proficiency in examining Public Key Infrastructure technology, information security tools and techniques, information technology and security auditing, and the third-party attestation function and be currently licensed to perform WebTrust for CA

audits and WebTrust EV Program audits, or to perform such alternate equivalent audits approved by the CA/Browser Forum as will be performed;
and

- (2) Be a member of the American Institute of Certified Public Accountants (AICPA), or by a non-US equivalent that requires that audits be completed under defined standards that include the possession of certain skill sets, quality assurance measures such as peer review, competency testing, standards with respect to proper assignment of staff to engagements, and requirements for continuing professional education; *and*
 - (3) Maintain Professional Liability/Errors & Omissions insurance, with policy limits of at least \$1 million in coverage,
- (e) **Root Key Generation.** For CA root keys generated after the release of these Guidelines, the CA's Qualified Auditor SHOULD witness the root key generation ceremony in order to observe the process and the controls over the integrity and confidentiality of the CA root keys produced. The Qualified Auditor MUST then issue a report opining that the CA, during its root key and certificate generation process:
- (1) Documented its Root CA key generation and protection procedures in its Certificate Policy , version, date and its Certification Practices Statement , version, date (CP and CPS);
 - (2) Included appropriate detailed procedures and controls in a documented plan of procedures to be performed for the generation of the root certification authority key pair (the "Root Key Generation Script") for the Root CA;
 - (3) Maintained effective controls to provide reasonable assurance that the Root CA was generated and protected in conformity with the procedures described in its CP/CPS and with its Root Key Generation Script; and
 - (4) Performed, during the root key generation process, all the procedures required by its Root Key Generation Script.
 - (5) A video of the entire key generation ceremony should be recorded for auditing purposes.

K. OTHER CONTRACTUAL COMPLIANCE

36. Privacy Issues

The CA and its Root CA MUST comply with all applicable privacy laws and regulations, as well as its published privacy policy, in the collection, use and disclosure of non-public personal information as part of the EV Certificate vetting process.

37. Limitations on EV Certificate Liability

(a) CA Liability

- (1) **Subscribers and Relying Parties.** In cases where the CA has issued and managed the EV Certificate in compliance with these Guidelines and its EV Policies, the CA shall not be liable to the EV Certificate Beneficiaries or any other third parties for any losses suffered as a result of use or reliance on such EV Certificate beyond those specified in the CA's EV Policies. In cases where the CA has *not* issued or managed the EV Certificate in complete compliance with these Guidelines and its EV Policies, the CA may seek to limit its liability to the Subscriber and to Relying Parties for any cause of action or legal theory involved for any and all claims, losses or damages suffered as a result of the use or reliance on such EV Certificate by any appropriate means that the CA desires, provided that all such purported limitations on the CA's liability MUST also be specified in the CA's EV Policies, and provided further that in no event shall the CA seek to limit its liability to Subscribers or Relying Parties for legally recognized and provable claims to a monetary amount less than \$2,000 per Subscriber or Relying Party per EV Certificate. The CA assumes all risk regarding whether its limitations of liability are legally enforceable.
 - (2) **Indemnification of Application Software Vendors.** Notwithstanding any limitations on its liability to Subscribers and Relying Parties, the CA (and its Root CA) understands and acknowledges that the Application Software Vendors who has a root certificate distribution agreement in place with the CA do not assume any obligation or potential liability of the CA under these Guidelines or that otherwise might exist because of the issuance or maintenance of EV Certificates or reliance thereon by Relying Parties or others. Thus, the CA (and its Root CA) shall defend, indemnify, and hold harmless each Application Software Vendor for any and all claims, damages, and losses suffered by such Application Software Vendor related to an EV Certificate issued by the CA, regardless of the cause of action or legal theory involved. This shall not apply, however, to any claim, damages, or loss suffered by such Application Software Vendor related to an EV Certificate issued by the CA where such claim, damage, or loss was directly caused by such Application Software Vendor's software displaying as not trustworthy an EV Certificate this is still valid, or displaying as trustworthy: (1) an EV Certificate that has expired, or (2) an EV Certificate that has been revoked (but only in cases where the revocation status is currently available from the CA online, and the browser software either failed to check such status or ignored an indication of revoked status).
- (b) Root CA Indemnification.** In cases where the Subordinate CA and the Root CA are different legal entities and the Root CA specifically enables the Subordinate CA to issue EV Subscriber Certificates, the Root CA shall also be responsible for the performance and warranties of the Subordinate CA, for the Subordinate CA's

compliance with these Guidelines, and for all liabilities and indemnification obligations of the Subordinate CA under these Guidelines, as if the Root CA was the Subordinate CA issuing the EV Certificates.

For example, this Section shall not apply to cases where a Root CA, Root CA “A”, from a different legal entity, cross-certifies Root CA “B” to enable certificates issued by “B” to be trusted in older, non-EV enabled browsers. The cross certificate issued by “A” to “B” does not enable EV according to these guidelines. Certificates issued by “B” are EV enabled only when an EV enabled browser can build a certificate chain to the root certificate of “B”.

DEFINITIONS

1. **Accounting Practitioner:** *[defined in Section 22(b)]*
2. **Applicant:** The Private Organization or Government Entity that applies for (or seeks renewal of) an EV Certificate naming it as the Subject.
3. **Applicant Representative:** An individual person employed by the Applicant: (i) who signs and submits, or approves an EV Certificate Request on behalf of an Applicant, and/or (ii) who signs and submits a Subscriber Agreement on behalf of an Applicant.
4. **Application Software Vendor:** A developer of Internet browser software or other software that displays or uses certificates and distributes root certificates, such as KDE, Microsoft Corporation, Mozilla Corporation, Opera Software ASA, and Red Hat, Inc.
5. **CA:** See Certification Authority.
6. **Certificate Approver:** *[defined in Section 10]*
7. **Certificate Authority (CA):** An organization agreeing to be bound by these Guidelines that is responsible for the creation, issuance, revocation, and management of EV Certificates. Where the CA is also the Root CA, references to the CA will be synonymous with Root CA.
8. **Certificate Policy (CP):** A set of rules that indicates the applicability of a named certificate to a particular community and/or PKI implementation with common security requirements.
9. **Certificate Problem Report:** *[defined in Section 28(a)]*
10. **Certificate Requester:** *[defined in Section 10]*
11. **Certificate Revocation List (CRL):** A regularly updated time-stamped list of revoked or invalid EV Certificates that is created and digitally signed by the CA that issued the EV Certificates.
12. **Certification Practice Statement (CPS):** One of several documents providing the framework under which certificates are created, issued, managed and used.
13. **Confirmation Request:** *[defined in Section 21(b)]*
14. **Confirming Person:** *[defined in Section 22(c)]*
15. **Contract Signer:** *[defined in Section 10]*
16. **CRL:** See Certificate Revocation List
17. **Demand Deposit Account:** a deposit account held at a bank or other financial institution, the funds deposited in which are payable on demand. The primary purpose of demand accounts is to facilitate cashless payments by means of check, bank draft, direct debit, electronic funds transfer, etc. Usage varies among

countries, but a demand deposit account is commonly known as: a checking account, a share draft account, a current account, or a checking account.

18. **Enterprise EV Certificate:** An EV Certificate that an Enterprise RA authorizes the CA to issue at third and higher domain levels that contain the domain that was included in an original Valid EV Certificate issued to the Enterprise RA.
19. **Enterprise RA:** The Subject of a specified Valid EV Certificate that is authorized by the issuing CA to perform the RA function and authorize the CA to issue additional EV Certificates at third and higher domain levels that contain the domain that was included in the original EV Certificate, in accordance with the requirements of these Guidelines.
20. **EV Authority:** *[defined in Section 19(a)]*
21. **EV Certificate:** A certificate that contains information specified in these Guidelines and that has been validated in accordance with these Guidelines.
22. **EV Certificate Beneficiaries:** *[defined in Section 3]*
23. **EV Certificate Request:** A request from an Applicant to the CA and requesting that the CA issue an EV Certificate to the Applicant, which request is validly authorized by the Applicant and signed by the Applicant Representative.
24. **EV Certificate Warranties:** *[defined in Section 3]*
25. **EV Data:** *[defined in Section 34(a)(1)]*
26. **EV OID:** an identifying number, called an “object identifier,” that is included in the certificatePolicies field of a certificate that: (i) indicates which CA policy statement relates to that certificate, and which, (ii) by pre-agreement with one or more Application Software Vendor, marks the certificate as being an EV Certificate.
27. **EV Policies:** *[defined in section 4]*
28. **EV Processes:** *[defined in Section 34(a)(1)]*
29. **Extended Validation Certificate:** See EV Certificate.
30. **Government Entity:** A government-operated legal entity, agency, department, ministry, or similar element of the government of a country, or political subdivision within such country (such as a state, province, city, county, etc.).
31. **Guidelines:** This document.
32. **High Risk Applicants:** *[defined in Section 23(a)(1)]*
33. **Incorporating Agency:** In the case of a Private Organization, the government agency in the Jurisdiction of Incorporation under whose authority the legal existence of the Private Organization was established (e.g., the government agency that issued the Certificate of Incorporation). In the case of a Government Entity, the entity that enacted the law, regulation, or decree establishing the legal existence of the Government Entity.
34. **Independent Confirmation From Applicant:** *[defined in Section 22(c)]*

35. **Jurisdiction of Incorporation:** In the case of a Private Organization, the country and (where applicable) the state or province where the organization's legal existence was established by a filing with (or an act of) an appropriate government agency or entity (e.g., where it was incorporated). In the case of a Government Entity, the country and (where applicable) the state or province where the Entity's legal existence was created by law.
36. **Legal Practitioner:** *[defined in Section 22(a)]*
37. **Maximum Validity Period** (for verification information): *[defined in Section 8]*
38. **Object Identifier (OID):** A unique alphanumeric/numeric identifier registered under the International Standards Organization's applicable standard for a specific object or object class.
39. **OCSP Responder:** An online software application operated under the authority of the CA and connected to the Repository to process EV Certificate status requests. See also, Online Certificate Status Protocol.
40. **OID:** See Object Identifier
41. **Online Certificate Status Protocol (OCSP):** An online Certificate-checking protocol that enables an OCSP Responder to determine the status of an identified Certificate by contacting the Repository. See also OCSP Responder
42. **Place of Business:** The location of any facility (such as a factory, retail store, warehouse, etc) where the Applicant's business is conducted.
43. **Private Key:** The key of a Key Pair that is kept secret by the holder of the Key Pair, and that is used to create Digital Signatures and/or to decrypt electronic records or files that were encrypted with the corresponding Public Key.
44. **Private Organization:** A non-governmental legal entity (whether ownership interests are privately held or publicly traded).
45. **Public Key:** The key of a Key Pair that may be publicly disclosed by the holder of the corresponding Private Key and that is used by a Relying Party to verify Digital Signatures created with the holder's corresponding Private Key and/or to encrypt messages so that they can be decrypted only with the holder's corresponding Private Key.
46. **Public Key Infrastructure (PKI):** A set of hardware, software, people, procedures, rules, policies, and obligations used to facilitate the trustworthy creation, issuance, management, and use of Certificates and keys based on Public Key Cryptography.
47. **Qualified Auditor:** *[defined in Section 35(d)]*
48. **Qualified Government Information Source (QGIS):** *[defined in Section 22(e)]*
49. **Qualified Independent Information Source (QIIS):** *[defined in Section 22(d)]*
50. **Registered Agent:** An individual or entity that is both:

- a. authorized by the Applicant to receive service of process and business communications on behalf of the Applicant; and
 - b. listed in the official records of the Applicant's Jurisdiction of Incorporation as acting in the role specified in (a) above.
- 51. **Registered Office:** the official address of a company, as recorded with the Incorporating Agency, to which official documents are sent and legal notices received.
- 52. **Registration Number:** The unique number assigned to the Private Organization Applicant or Subject entity by the Incorporating Agency in such entity's Jurisdiction of Incorporation.
- 53. **Regulated Financial Institution:** A financial institution that is regulated, supervised, and examined by governmental, national, state or provincial, or local authorities having regulatory authority over such financial institution based on the governmental, national, state or provincial, or local laws under which such financial institution was organized and/or licensed.
- 54. **Relying Party:** Any person (individual or entity) that relies on a Valid EV Certificate. A Application Software Vendor is not considered a Relying Party when software distributed by such Vendor merely displays information regarding an EV Certificate.
- 55. **Repository:** An online database of EV Certificate status information, either in the form of a CRL or an OCSP responder.
- 56. **Risk Assessments:** *[defined in Section 34(b)]*
- 57. **Root CA:** The top level certification authority that issues the self-signed Root Certificate under which the CA issues EV Certificates.
- 58. **Root Certificate:** The self-signed certificate issued by the Root CA to identify itself and to facilitate signing of certificates identifying Subordinate CAs.
- 59. **Root Key:** The Private Key and its associated Public Key that identifies the Root CA.
- 60. **Root Key Generation Script:** *[defined in Section 36(e)(2)]*
- 61. **Security Plan:** *[defined in Section 34(c)]*
- 62. **Signing Authority:** *[defined in Section 19]*
- 63. **Subject:** The organization identified as the Subject in the Subject:organizationName field of an EV Certificate, whose identity is unambiguously bound to a Public Key also specified in the EV Certificate. An Applicant is also a Subject once the EV Certificate it requested is issued.
- 64. **Subject Organization Information:** *[defined in Section 6(a)]*
- 65. **Subordinate CA:** Certification authority whose certificates are signed by the Root CA, or another Subordinate CA. A Subordinate CA may issue EV

Certificates if the appropriate EV OID(s) or the special anyPolicy OID is specified in the certificatePolicies extension.

- 66. **Subscriber / Subscribing Organization:** The organization identified as the Subject in the Subject:organizationName field of an EV Certificate issued pursuant to these Guidelines, as qualified by the Jurisdiction of Incorporation information in the EV Certificate..
- 67. **Subscriber Agreement:** An agreement between the CA and the Subject named or to be named in an EV Certificate that specifies the right sand responsibilities of the parties, and that complies with the requirements of these Guidelines.
- 68. **Technical Representative:** A person authorized by the Applicant or the Applicant Representative to submit EV Certificate Requests on behalf of the Applicant.
- 69. **Trustworthy System:** Computer hardware, software, and procedures that are reasonably secure from intrusion and misuse; provide a reasonable level of availability, reliability, and correct operation; are reasonably suited to performing their intended functions; and enforce the applicable security policy.
- 70. **Valid:** An EV Certificate that has not expired and has not been revoked.
- 71. **Validation Specialists:** *[defined in Section 29(b)(1)]*
- 72. **Verified Accountant Letter:** *[defined in Section 22].*
- 73. **Verified Legal Opinion:** *[defined in Section 22].*
- 74. **WebTrust EV Program:** The additional audit procedures specified for CAs that issue EV Certificates by the AICPA/CICA to be used in conjunction with its WebTrust Program for Certification Authorities.
- 75. **WebTrust Program for CAs:** The then-current version of the AICPA/CICA WebTrust Program for Certification Authorities, available at <http://www.webtrust.org/certauth fin.htm>.
- 76. **WebTrust Seal of Assurance:** *[defined in Section 35(a)(1)]*

Appendix A

Minimum Cryptographic Algorithm and Key Sizes

1. Root CA Certificates

	Certificate issued on or before 31 Dec 2010	Certificate issued after 31 Dec 2010
Digest algorithm	MD5 (NOT RECOMMENDED), SHA-1	SHA-1*, SHA-256, SHA-384 or SHA-512
RSA	1024	2048
ECC	224, 233, 256 or 283	224, 233, 256 or 283

2. Subordinate CA Certificates

	Certificate issued on or before 31 Dec 2010	Certificate issued after 31 Dec 2010
Digest algorithm	SHA-1	SHA-1*, SHA-256, SHA-384 or SHA-512
RSA	1024	2048
ECC	224, 233, 256 or 283	224, 233, 256 or 283

3. Subscriber Certificates

	Certificate issued on or before 31 Dec 2010	Certificate issued after 31 Dec 2010
Digest algorithm	SHA-1	SHA1*, SHA-256, SHA-384 or SHA-512
RSA	1024 or 2048 (Note: subscriber certificates containing a 1024 bit RSA key MUST expire on or before 31 Dec 2010)	2048
ECC	224, 233, 256 or 283	224, 233, 256 or 283

*SHA-1 should be used only until SHA-256 is supported widely by browsers used by a majority of relying parties worldwide.

Appendix B

EV Certificates Required Certificate Extensions

1. Root CA Certificate

Root certificates generated after October 2006 MUST be X.509 v3.

(a) basicConstraints

If the certificate is v3 and is created after October 2006, this extension MUST appear as a critical extension in all CA certificates that contain Public Keys used to validate digital signatures on certificates. The cA field MUST be set true. The pathLenConstraint field SHOULD NOT be present.

(b) keyUsage

If the certificate is v3 and is created after October 2006, this extension MUST be present and MUST be marked critical. Bit positions for CertSign and cRLSign MUST be set. All other bit positions SHOULD NOT be set.

All other fields and extensions set in accordance to RFC 3280.

2. Subordinate CA Certificate

(a) certificatePolicies

MUST be present and SHOULD NOT be marked critical. The set of policy identifiers MUST include the identifier for the CA's extended validation policy if the certificate is issued to a subordinate CA that is not controlled by the Root CA.

certificatePolicies:policyIdentifier (Required)

- anyPolicy if subordinate CA is controlled by Root CA
- explicit EV policy OID(s) if subordinate CA is not controlled by Root CA

The following fields MUST be present if the Subordinate CA is not controlled by the same entity that controls the Root CA.

certificatePolicies:policyQualifiers:policyQualifierId

- id-qt 2 [RFC 3280]

certificatePolicies:policyQualifiers:qualifier

- URI to the Certificate Practice Statement

(b) cRLDistributionPoint

MUST be present and MUST NOT be marked critical. If present, it MUST contain the HTTP URL of the CA's CRL service.

(c) authorityInformationAccess

SHOULD be present and MUST NOT be marked critical. SHALL contain the HTTP URL of the CA's OCSP responder (accessMethod = 1.3.6.1.5.5.7.48.1). An HTTP accessMethod MAY be included for the CA's certificate (accessMethod = 1.3.6.1.5.5.7.48.2).

(d) basicConstraints

This extension MUST appear as a critical extension in all CA certificates that contain Public Keys used to validate digital signatures on certificates. The cA field MUST be set true. The pathLenConstraint field MAY be present.

(e) keyUsage

This extension MUST be present and MUST be marked critical. Bit positions for CertSign and cRLSign MUST be set. All other bit positions MUST NOT be set.

All other fields and extensions set in accordance to RFC 3280.

3. Subscriber Certificate

(a) certificate Policies

MUST be present and SHOULD NOT be marked critical. The set of policyIdentifiers MUST include the identifier for the CA's extended validation policy.

certificatePolicies:policyIdentifier (Required)

- EV policy OID

certificatePolicies:policyQualifiers:policyQualifierId (Required)

- id-qt 2 [RFC 3280]

certificatePolicies:policyQualifiers:qualifier (Required)

- URI to the Certificate Practice Statement

(b) cRLDistributionPoint

SHOULD be present and MUST NOT be marked critical. If present, it MUST contain the HTTP URL of the CA's CRL service. This extension MUST be present if the certificate does not specify OCSP responder

locations in an authorityInformationAccess extension. See section 26(b) for details.

(c) authorityInformationAccess

SHOULD be present and MUST NOT be marked critical. SHALL contain the HTTP URL of the CA's OCSP responder (accessMethod = 1.3.6.1.5.5.7.48.1). An HTTP accessMethod MAY be included for the CA's certificate (accessMethod = 1.3.6.1.5.5.7.48.2). This extension MUST be present if the certificate does not contain a cRLDistributionPoint extension. See section 26(b) for details.

(d) basicConstraints (optional)

If present, the cA field MUST be set false.

(e) keyUsage (optional)

If present, bit positions for CertSign and cRLSign MUST NOT be set.

All other fields and extensions set in accordance to RFC 3280.

Appendix C
Sample Form Legal Opinion Letter

[Law Firm Letterhead]

[Date]

To:	<i>[Name of Issuing Certification Authority] [Address / fax number of Issuing CA – may be sent by fax or email attachment]</i>
Re:	EV Certificate Request No. ____ <i>[CA Reference Number]</i>
Client:	<i>[<u>Exact</u> company name of Client – see footnote 1]</i>
Client Representative:	<i>[<u>Exact</u> name of Client Representative who signed the Application – see footnote 2]</i>
Application Date:	<i>[Insert date of Client’s Application to the Issuing CA,]</i>

This firm represents *[exact company name of Client]*³ (“Client”), who has submitted the Application to you dated as of the Application Date shown above (“Application”). We have been asked by our Client to present you with our opinion as stated in this letter.

[Insert customary preliminary matters for opinion letters in your jurisdiction.]

On this basis, we hereby offer the following opinion:

1. That *[exact company name of Client]* (“Company”) is a duly formed *[corporation, LLC, etc.]* that is “active,” “valid,” “current,” or the equivalent under the laws of the state/province of *[name of governing jurisdiction where Client is incorporated or registered]* and is not under any legal disability known to the author of this letter.
2. That Company conducts business under the assumed name or “dba”*[assumed name of Applicant]* and as registered such name with the appropriate government agency in the jurisdiction of its place of business below.
3. That *[name of Client’s Representative]*⁴ has authority to act on behalf of Company to: *[select as appropriate]* (a) provide the information about Company

³ Note: This must be the Client’s exact corporate name, as registered with the relevant Incorporating Agency in the Client’s Jurisdiction of Incorporation. This is the name that will be included in the EV Certificate.

⁴ Note: If necessary to establish the Client Representative’s actual authority, you may rely on a Power of Attorney from an officer of Client who has authority to delegate the authority to the Client Representative.

required for issuance of the EV Certificates as contained in the attached Application, (b) request one or more EV Certificates and to designate other persons to request EV Certificates, and (c) agree to the relevant contractual obligations contained in the Subscriber Agreement on behalf of Company.

4. That Company has a physical presence and its place of business at the following location:

5. That Company can be contacted at its stated place of business at the following telephone number:

6. That Company has an active current Demand Deposit Account with a regulated financial institution.

7. That Company has the exclusive right to use the following domain name in identifying itself on the Internet:

[Insert customary limitations and disclaimers for opinion letters in your jurisdiction.]

[Name and signature]

[Jurisdiction(s) in which attorney / latin notary is admitted to practice]⁵

cc: *[Send copy to Client]*

⁵ Note: This letter may be issued by in-house counsel for the Client so long as permitted by the rules of your jurisdiction.

Appendix D

Sample Accountant Letters Confirming Specified Information⁶

It is acceptable for professional accountants to provide letters that addresses specified matters. The letters would be provided in accordance with the professional standards in the jurisdiction in which the accountant practices.

Two examples of the letter that might be prepared by an accountant in the United States and in Canada follow:

UNITED STATES

To the [Certification Authority] and Management of [Client]:

We have performed the procedures enumerated below, which were agreed to by the Managements of Client, solely to assist you in evaluating the company's application for an Extended Validation (EV) Certificate, dated....., 20..... This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of these procedures is solely the responsibility of those parties specified in this report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose.

Specified Information:	Procedure: (Note 1: These are illustrative of the procedures that would be undertaken and are designed to meet the needs of the Certification Authorities issuing Extended Validation Certificates)	Results: (Note 2: If you are unavailable to perform any of the stated procedure, this should be noted in this column. Any exceptions should be noted in a separate paragraph below)
Legal Name - 123456 Ontario limited	Agree legal name to permanent audit file information (If audit has been completed).	Legal name on the application agrees with the information contained in our permanent file with respect to Client. (If there is no permanent file, state that this fact)

⁶ These are sample letters only and are subject to change. They have not been approved or endorsed by any professional accounting organization.

Doing business as - "Name"	Agree name to government data base of business names	The name "Name" is registered with the (name of database to which the name was agreed)
Physical location - "Address Information"	Visit the location at the address	Site visit completed at Address
Business Phone Number - 555 999 9999	Phone the number provided and confirmed that it was answered by the named organization	Phoned Business Number and noted that was answered with the Doing Business As name. This would provided by the receptionist
Bank Account – "Bank Name", "Account Number"	Request a letter directly from "the Bank" confirming the existence of the account for the benefit of "the Client"	Received letter directly from "the Bank" confirming the existence of the account for the benefit of "the Client"
The corporate officers are "NAMED" (verified officer)	Agree Names to annual shareholders meeting minutes (Note - not required to personally know the officers)	Agreed Names listed as corporate officers on the application to minute books maintained by the Client
Name of application signer and approver	Obtain letter from verified Officer confirming the names of the application signer and approver	Obtained letter from the President confirming the names of the duly authorized names of the application signer and approver as they appear in the application

We were not engaged to and did not conduct an examination, the objective of which would be the expression of an opinion on the Application for Extended Validation Certificate. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the Certification Authority and managements of Client, and is not intended to be and should not be used by anyone other than these specified parties.

[Signature]

[Date]

CANADA

To: [Name of Certification Authority]

Re: Client Limited [Applicant]

As specifically agreed, I/we have performed the following procedures in connection with the above company's application for an Extended Validation (EV) Certificate, dated, 20.... with respect to the following specified information contained in the application

Specified Information:	Procedure: (Note 1: These are illustrative of the procedures that would be undertaken and are designed to meet the needs of the Certification Authorities issuing Extended Validation Certificates)	Results: (Note 2: If you are unavailable to perform any of the stated procedure, this should be noted in this column. Any exceptions should be noted in a separate paragraph below)
Legal Name - 123456 Ontario limited	Agree legal name to permanent audit file information (If audit has been completed)	Legal name on the application agrees with the information contained in our permanent file with respect to Client. (If there is no permanent file, state that this fact)
Doing business as - "Name"	Agree name to government data base of business names	The name "Name" is registered with the (name of database to which the name was agreed)
Physical location - "Address Information"	Visit the location at the address	Site visit completed at Address
Business Phone Number - 555 999 9999	Phone the number provided and confirmed that it was answered by the named organization	Phoned Business Number and noted that was answered with the Doing Business As name. This would provided by the receptionist
Bank Account – "Bank Name", "Account Number"	Request a letter directly from "the Bank" confirming the existence of the account for the benefit of "the Client"	Received letter directly from "the Bank" confirming the existence of the account for the benefit of "the Client"

The corporate officers are "NAMED" (verified officer)	Agree Names to annual shareholders meeting minutes (Note - not required to personally know the officers)	Agreed Names listed as corporate officers on the application to minute books maintained by the Client
Name of application signer and approver	Obtain letter from verified Officer confirming the names of the application signer and approver	Obtained letter from the President confirming the names of the duly authorized names of the application signer and approver as they appear in the application

As a result of applying the above procedures, I/we found [no / the following] exceptions [list of exceptions]. However, these procedures do not constitute an audit of the company's application for an EV Certificate, and therefore I express no opinion on the application dated, 20.....

This letter is for use solely in connection with the application for an Extended Validation Certificate by [Client] dated, 20.....

City
(signed)