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**AI Application**

**Penetration Testing Report**

**REPORT DATED: {d.startAt:formatD(L,YYYY-MM-DD)}**



# **Disclaimer**

# This report is intended solely for the information and use of the management of AllTrue.ai. It is not intended to be and should not be used by or shared with any other party. Any other party that makes use of this report does so solely at their own risk, and AllTrue.ai will have no responsibility in such cases.

# **{d.startAt:formatD(L,YYYY-MM-DD)}**

# To the Management of AllTrue.ai,

# We are pleased to present the results of our comprehensive penetration testing assessment of your AI Application. This evaluation was conducted using specialized testing methodologies designed to simulate potential attacker actions and procedures, with targeted prompts and attacks focused on exposing vulnerabilities within the system. The findings and recommendations resulting from this assessment are detailed in the findings section of this document.

# Our engagement in this project was conducted in accordance with the terms and conditions outlined in our service agreement. The scope and objectives of this review were defined in alignment with the requirements provided by AllTrue.ai. It is important to note that the matters addressed in this report are those identified within this specific scope and may not encompass all existing weaknesses or recommended actions.

# The assessment focused on {details[i].category sum} key categories of attacks:

# **{d.details[i].category.displayName}:** {d.details[i].category.description}

# **{d.details[i+1].category.displayName}:** {d.details[i+1].category.description}

# In total, **{d.result.attempted}** test cases were attempted, with **{d.result.passed}** successfully passing and **{d.result.failed}** revealing vulnerabilities. Detailed findings and specific recommendations for remediation are provided in the subsequent sections of this report.

# This report has been prepared exclusively for AllTrue.ai and contains sensitive information related to security weaknesses. Unauthorized access to this report should be strictly restricted to authorized personnel only.

# If you have any questions or require additional information, please do not hesitate to contact us.

# Sincerely,

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# Ron Bennatan AllTrue.ai CEO

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## **Assessment Summary**

AllTrue.ai, a leader in AI cybersecurity assessment, has conducted a comprehensive penetration test of AllTrue’s AI application, focusing on Large-Language Model (LLM) security. This report presents a detailed evaluation of the security measures in place, highlighting vulnerabilities and weaknesses identified during our assessment. The primary objective of this assessment was to evaluate the security posture of AllTrue.ai's application and provide recommendations for enhancing its security.

### **Assessment Scope**

The scope of this penetration test was defined to concentrate on key security aspects, following the Mitre Atlas and OWASP Top 10 Risks for Large-Language Models and Machine Learning. The assessment encompassed the following key areas and components:

Mitre Atlas Risks:

* Execution (TA0002): Tested for techniques that could result in adversary-controlled code running on the system, simulating scenarios where malicious scripts or commands could be executed to compromise the system.
* Defense Evasion (TA0005): Evaluated the application’s defenses against techniques that adversaries use to avoid detection, such as obfuscating data or abusing trusted processes to hide malicious activities.
* Privilege Escalation (TA0004): Assessed the potential for adversaries to gain higher-level permissions, exploiting system weaknesses or misconfigurations to achieve elevated access.

OWASP Top 10 Risks:

* ML01:2023 Input Manipulation Attack: Examined the model's resilience against crafted inputs designed to produce unintended outputs, potentially leading to unauthorized actions or data leaks.
* ML09:2023 Output Integrity Attack: Tested the model's output for vulnerabilities that could be manipulated to achieve malicious goals, ensuring the integrity of the generated responses.
* ML10:2023 Model Poisoning: Investigated the potential for corrupting the training data to bias the model towards malicious outputs, ensuring the training process is secure and robust.
* LLM01:2023 Prompt Injections: Conducted tests to identify vulnerabilities where crafty inputs could lead to undetected manipulations, ranging from data exposure to unauthorized actions.
* LLM02:2023 Insecure Output Handling: Evaluated the handling of LLM outputs, ensuring that plugins or applications accepting these outputs scrutinize them properly to prevent XSS, CSRF, SSRF, privilege escalation, remote code execution, and agent hijacking attacks.

### **Description of AI Application**

AllTrue.ai's AI Application under evaluation is designed to assess third-party compliance with various AI regulations, such as the EU AI Act and NIST AI Risk Management Framework (RMF). The application evaluates customer-provided information and conducts an AI-driven analysis to determine the appropriate risk category for the customer's audit. It generates a set of tailored audit questions, which are presented to the customer, who then provides responses along with uploaded evidence. The system evaluates these responses and the uploaded evidence to determine compliance with the specified regulations. The portion of the application tested focuses on evaluating customer responses and the associated uploaded evidence.

### **Target Large-Language Model**

|  |  |
| --- | --- |
| **Provider** | **Model** |
| {d.llmApplication.displayName} | {llmApplication.model} |

### **AI Application Components**

Database

Optical Character

Recognition

Embedding Model

Vector Database

AI Framework

Large-Language

Model



In the AI Application, AWS Textract processes the uploaded PDF documents to extract text via Optical Character Recognition (OCR). This extracted text forms the basis for further analysis and compliance evaluation.

The AI Application stores processed responses and extracted text in a SQL database. This ensures organized and efficient data management, allowing for quick retrieval and manipulation of data during the compliance evaluation process.

The system uses an OpenAI embedding model to embed the extracted text and customer responses into vector format. These vectors are then used for similarity searches in the Pinecone vector database.

The AI Application adds the embedded text vectors to the Pinecone vector database. This allows for efficient similarity searches to find relevant evidence for each regulatory requirement based on vector similarity.

The Langchain retriever pulls similar evidence from the Pinecone vector database based on each regulatory requirement. This ensures that the most relevant evidence is considered during the compliance evaluation.The retrieved evidence, regulatory requirement, and a prompt are input into a Langchain prompt template.

The AI Application uses the Meta-Llama-3-8B model to evaluate the formatted input from the Langchain prompt template. The model analyzes the evidence and responses to determine compliance with the regulatory requirements.

### **Assessed Pentest Categories**

In this pentest, the following categories of vulnerabilities are assessed.

|  |  |  |
| --- | --- | --- |
| **Category** | **Description** | **Attempted Test Cases** |
| {d.details[i].category.displayName} | {d.details[i].category.description} | {d.details[i].result.attempted} |
| {d.details[i+1].category.displayName} | {d.details[i+1].category.description} | {d.details[i+1].result.attempted} |

### **Summary of Findings**

|  |  |
| --- | --- |
| **Total Attempted Test Cases** | **{d.result.attempted}** |
| **Passed Test Cases** | **{d.result.passed} – Passed** |
| **Failed Test Cases** | **{d.result.failed} – Failed** |

### 

### **Recommended Mitigation Initiatives**

The following is a summary of the recommended mitigation activities for AllTrue.ai to implement in order to address the security vulnerabilities within the application, discovered during our assessment. These initiatives aim to enhance the organization's information security posture.

1. **Activate AllTrue.ai's XSS Protection LLM Firewall Rule**

* Implement AllTrue.ai’s XSS Protection LLM firewall rule, specifically designed to detect and block XSS attempts in LLM prompts. Activate now in your AllTrue.ai portal to immediately mitigate these risks.

1. **Activate AllTrue's Jailbreak Prevention LLM Firewall Rule**

* Implement AllTrue.ai’s Prevent Jailbreak LLM firewall rule, specifically designed to detect and block malicious prompts intended to bypass the LLM's security restrictions.Activate now in your AllTrue.ai portal to immediately mitigate these risks.

1. **Develop Additional Code to Address Specific Threats**

* Create and implement additional security measures in the application code to address identified vulnerabilities, such as XSS and DAN jailbreak attempts.

1. **Fix or Re-train Models**

* Update or re-train the LLM models to better recognize and resist malicious prompts and inputs.

# 

## **Penetration Testing Detailed Findings**

### **Findings Summary**

|  |  |
| --- | --- |
| **Category** | **Failed Tests** |
| {d.details[i].category.displayName} | {d.details[i].result.failed} |
| {d.details[i+1].category.displayName} | {d.details[i+1].result.failed} |

### **Findings Descriptions**

|  |  |  |
| --- | --- | --- |
| **Category** | **Module** | **Details** |
| {d.result.findings[i].name} | {d.result.findings[i].module} | {d.result.findings[i].details} |
| {d.result.findings[i+1].name} | {d.result.findings[i+1].module} | {d.result.findings[i+1].details} |

### 

### **{d.details[i].category.displayName} Susceptible**

**Severity:** {details[i].category.severity}

**Category:** {d.details[i].category.displayName}

**Module:** {details[i].category.module}

**Input Prompt:**

{d.details[i].failedPentests[i].input}

**Result:**

{d.details[i].failedPentests[i].output}

**Input Prompt:**

{d.details[i].failedPentests[i+1].input}

**Result:**

{d.details[i].failedPentests[i+1].output}

**Finding:** {details[i].failedPentests.details} AI

**Mitigation Recommendation:** {details[i].failedPentests.recommendation} AI

### **{d.details[i+1].category.displayName} Susceptible**

**Severity:** {details[i+1].category.severity}

**Category:** {d.details[i+1].category.displayName}

**Module:** {details[i+1].category.module}

**Input Prompt:**

{d.details[i+1].failedPentests[i].input}

**Result:**

{d.details[i+1].failedPentests[i].output}

**Input Prompt:**

{d.details[i+1].failedPentests[i+1].input}

**Result:**

{d.details[i+1].failedPentests[i+1].output}

**Finding:** {details[i+1].failedPentests.details} AI

**Mitigation Recommendation:** {details[i+1].failedPentests.recommendation} AI

## **Appendix A: Model Card**

**Model Details**

Meta developed and released the Meta Llama 3 family of large language models (LLMs), a collection of pretrained and instruction tuned generative text models in 8 and 70B sizes. The Llama 3 instruction tuned models are optimized for dialogue use cases and outperform many of the available open source chat models on common industry benchmarks. Further, in developing these models, we took great care to optimize helpfulness and safety.

**Model developers** Meta

**Variations** Llama 3 comes in two sizes — 8B and 70B parameters — in pre-trained and instruction tuned variants.

**Input** Models input text only.

**Output** Models generate text and code only.

**Model Architecture** Llama 3 is an auto-regressive language model that uses an optimized transformer architecture. The tuned versions use supervised fine-tuning (SFT) and reinforcement learning with human feedback (RLHF) to align with human preferences for helpfulness and safety.

A screenshot of a computer

Description automatically generated

**Llama 3 family of models.** Token counts refer to pretraining data only. Both the 8 and 70B versions use Grouped-Query Attention (GQA) for improved inference scalability.

**Model Release Date** April 18, 2024.

**Status** This is a static model trained on an offline dataset. Future versions of the tuned models will be released as we improve model safety with community feedback.

**License** A custom commercial license is available at: <https://llama.meta.com/llama3/license>

Where to send questions or comments about the model Instructions on how to provide feedback or comments on the model can be found in the model [README](https://github.com/meta-llama/llama3). For more technical information about generation parameters and recipes for how to use Llama 3 in applications, please go [here](https://github.com/meta-llama/llama-recipes).

**Intended Use**

**Intended Use Cases** Llama 3 is intended for commercial and research use in English. Instruction tuned models are intended for assistant-like chat, whereas pretrained models can be adapted for a variety of natural language generation tasks.

**Out-of-scope** Use in any manner that violates applicable laws or regulations (including trade compliance laws). Use in any other way that is prohibited by the Acceptable Use Policy and Llama 3 Community License. Use in languages other than English\*\*.

\*\*Note: Developers may fine-tune Llama 3 models for languages beyond English provided they comply with the Llama 3 Community License and the Acceptable Use Policy.

**How to use**

This repository contains two versions of Meta-Llama-3-8B, for use with transformers and with the original llama3 codebase.

**Use with transformers**

See the snippet below for usage with Transformers:

>>> import transformers

>>> import torch

>>> model\_id = "meta-llama/Meta-Llama-3-8B"

>>> pipeline = transformers.pipeline(

"text-generation", model=model\_id, model\_kwargs={"torch\_dtype": torch.bfloat16}, device\_map="auto"

)

>>> pipeline("Hey how are you doing today?")

**Use with** llama3

Please, follow the instructions in the [repository](https://github.com/meta-llama/llama3).

To download Original checkpoints, see the example command below leveraging huggingface-cli:

huggingface-cli download meta-llama/Meta-Llama-3-8B --include "original/\*" --local-dir Meta-Llama-3-8B

For Hugging Face support, we recommend using transformers or TGI, but a similar command works.

**Hardware and Software**

**Training Factors** We used custom training libraries, Meta's Research SuperCluster, and production clusters for pretraining. Fine-tuning, annotation, and evaluation were also performed on third-party cloud compute.

**Carbon Footprint Pretraining utilized a cumulative** 7.7M GPU hours of computation on hardware of type H100-80GB (TDP of 700W). Estimated total emissions were 2290 tCO2eq, 100% of which were offset by Meta’s sustainability program.

A screenshot of a computer

Description automatically generated

**CO2 emissions during pre-training.** Time: total GPU time required for training each model. Power Consumption: peak power capacity per GPU device for the GPUs used adjusted for power usage efficiency. 100% of the emissions are directly offset by Meta's sustainability program, and because we are openly releasing these models, the pretraining costs do not need to be incurred by others.

**Training Data**

Overview Llama 3 was pretrained on over 15 trillion tokens of data from publicly available sources. The fine-tuning data includes publicly available instruction datasets, as well as over 10M human-annotated examples. Neither the pretraining nor the fine-tuning datasets include Meta user data.

**Data Freshness** The pretraining data has a cutoff of March 2023 for the 8B and December 2023 for the 70B models respectively.

**Benchmarks**

In this section, we report the results for Llama 3 models on standard automatic benchmarks. For all the evaluations, we use our internal evaluations library. For details on the methodology see [here](https://github.com/meta-llama/llama3/blob/main/eval_methodology.md).

**Base pretrained models**

**A screenshot of a computer

Description automatically generated**

**Instruction tuned models**

**A screenshot of a graph

Description automatically generated**

**Responsibility & Safety**

We believe that an open approach to AI leads to better, safer products, faster innovation, and a bigger overall market. We are committed to Responsible AI development and took a series of steps to limit misuse and harm and support the open source community.

Foundation models are widely capable technologies that are built to be used for a diverse range of applications. They are not designed to meet every developer preference on safety levels for all use cases, out-of-the-box, as those by their nature will differ across different applications.

Rather, responsible LLM-application deployment is achieved by implementing a series of safety best practices throughout the development of such applications, from the model pre-training, fine-tuning and the deployment of systems composed of safeguards to tailor the safety needs specifically to the use case and audience.

As part of the Llama 3 release, we updated our [Responsible Use Guide](https://llama.meta.com/responsible-use-guide/) to outline the steps and best practices for developers to implement model and system level safety for their application. We also provide a set of resources including [Meta Llama Guard 2](https://llama.meta.com/purple-llama/) and [Code Shield](https://llama.meta.com/purple-llama/) safeguards. These tools have proven to drastically reduce residual risks of LLM Systems, while maintaining a high level of helpfulness. We encourage developers to tune and deploy these safeguards according to their needs and we provide a [reference implementation](https://github.com/meta-llama/llama-recipes/tree/main/recipes/responsible_ai) to get you started.

## **Appendix B: Risk Analysis**

This section describes the risk factors and calculation methodology used in this report for AllTrue.ai. The presented results are based on the output of AllTrue.ai’s penetration testing suite for AI applications.

The risk scoring is calculated based on the likelihood and impact of the detected vulnerabilities, using the matrix described below.

The likelihood of occurrence is determined through a systematic evaluation of the potential that a threat actor can successfully exploit a specific vulnerability or a combination thereof. This assessment considers factors such as ease of exploitation, existing security controls, and the nature of the threat actor.

The Impact score for a threat signifies the potential extent of harm resulting from the exploitation of a detected vulnerability. This includes:

* Unauthorized information disclosure
* Unauthorized information alteration
* Unauthorized information destruction
* Loss of system availability

Each finding's risk level was determined from one of the four possible categories: Critical, High, Medium, or Low risk level. This determination was made by assessing the potential impact magnitude and the likelihood of exposure exploitation, with reference to the following table:

A chart with different colored squares

Description automatically generated

## **About Us**

AllTrue.ai is at the forefront of AI security, specializing in comprehensive AI Application Penetration Testing. Our mission is to safeguard your AI-driven applications by identifying and mitigating potential vulnerabilities. Leveraging our extensive experience in cybersecurity, we provide a robust platform designed to protect, secure, and ensure compliance across all AI instances—whether you’re developing AI applications, utilizing embedded AI, or exploring new AI innovations.

**AI Cybersecurity Risk**: Our platform addresses the entire attack surface of AI within your organization, providing holistic protection for all AI uses.

**AI Compliance Risk**: We ensure that your AI applications comply with the latest regulatory requirements, helping you stay ahead of evolving standards.

**AI Privacy Risk**: We enable the coexistence of AI and privacy, ensuring your AI applications respect and protect user data.

**AI Supply-Chain Risk**: Our solutions also cover AI sourced from third parties, ensuring that external AI components meet your security and compliance standards.

**Our Approach**

We utilize well-established frameworks such as MITRE Atlas and NIST AI RMF, combined with out-of-the-box compliance workflows, reports, and dashboards for AI regulations. Our open and integrated architecture provides a seamless experience, making AI security manageable and effective.

