

## INDEPENDENT ASSURANCE REPORT

To the management of China Financial Certification Authority Co., Ltd. ("CFCA"):

We have been engaged, in a reasonable assurance engagement, to report on CFCA management's assertion that for its Certification Authority ("CA") operations at Beijing and Chengdu, China, throughout the period 1 August 2019 to 31 July 2020 for its CAs as enumerated in Appendix A, CFCA has:

- disclosed its Extended Validation SSL ("EV SSL") certificate life cycle management business practices in its Certification Practice Statement (CPS) and Certificate Policy (CP) as enumerated in Appendix B, including its commitment to provide EV SSL certificates in conformity with the CA/Browser Forum Guidelines on the CFCA website, and provided such services in accordance with its disclosed practices
- maintained effective controls to provide reasonable assurance that:
  - the integrity of keys and EV SSL certificates it manages is established and protected throughout their lifecycles; and
  - EV SSL certificate subscriber information is properly authenticated (for the registration activities performed by CFCA)

in accordance with the [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.6.8](#).

CFCA does not escrow its CA keys, does not provide subscriber key generation services, and does not provide certificate suspension services. Accordingly, our procedures does not extend to controls that would address those criteria.

### Certification authority's responsibilities

CFCA's management is responsible for its assertion, including the fairness of its presentation, and the provision of its described services in accordance with the [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.6.8](#).

### Our independence and quality control

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

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

### Auditor's responsibilities

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

- (1) obtaining an understanding of CFCA's EV SSL certificate lifecycle management business practices, including its relevant controls over the issuance, renewal, and revocation of EV SSL certificates;
- (2) selectively testing transactions executed in accordance with disclosed EV SSL certificate lifecycle management business practices;
- (3) testing and evaluating the operating effectiveness of the controls; and
- (4) performing such other procedures as we considered necessary in the circumstances.

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

### Relative effectiveness of controls

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

### Inherent limitations

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

### Opinion

In our opinion, throughout the period 1 August 2019 to 31 July 2020, CFCA management's assertion, as referred to above, is fairly stated, in all material respects, in accordance with the [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.6.8](#).

This report does not include any representation as to the quality of CFCA's services beyond those covered by the WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.6.8, nor the suitability of any of CFCA's services for any customer's intended purpose.

### Use of the WebTrust seal

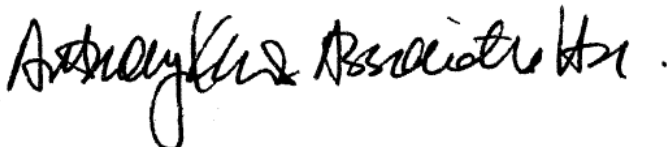
CFCA's use of the WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL Seal constitutes a symbolic representation of the contents of this report and it is not intended, nor should it be construed, to update this report or provide any additional assurance.

# AKAM

Anthony Kam & Associates Ltd.

2105 Wing On Ctr, 111 Connaught Road, HK SAR, China

21 October 2020



## Appendix A

The list of keys and certificates covered in the management’s assertion is as follow:

Subject DN	Key Type	Signature Algorithm	Key Size	Subject Key Identifier	SHA256 Certificate Thumbprints	Certificate Signed by
CN = CFCA EV ROOT O = China Financial Certification Authority C = CN	Root Key	sha256RSA	4096 bits	e3fe2dfd28d0 0bb5bab6a2c4 bf06aa058c93f b2f	5CC3D78E4E1 D5E45547A04 E6873E64F90C F9536D1CCC2 EF800F355C4C 5FD70FD	CFCA EV ROOT
CN = CFCA EV OCA O = China Financial Certification Authority C = CN	Signing Key	sha256RSA	2048 bits	5508e2dcc95 6d1f5ddeb347 e8e916c6c045 77c4	CC7253EBDE9 F7E92CBA297 B5BADED1B22 E5CEACA525E 201B4DC410F 4F3504B5E	CFCA EV ROOT

## Appendix B

Applicable versions of Certification Practice Statement (CPS) and Certificate Policy (CP) in-scope:

Name	Version	Date
<a href="#">Certification Practice Statement of CFCA Global-Trust System CFCA</a>	4.0	June 2019
<a href="#">CFCA Certificate Policy</a>	3.1	November 2018

## CFCA MANAGEMENT'S ASSERTION

China Financial Certification Authority Co., Ltd. ("CFCA") operates the Certification Authority (CA) services known as CAs in Appendix A and provides Extended Validation SSL ("EV SSL") CA services.


The management of CFCA is responsible for establishing and maintaining effective controls over its EV SSL CA operations, including its EV SSL CA business practices disclosure on its website, EV SSL key lifecycle management controls, EV SSL certificate lifecycle management controls. These controls contain monitoring mechanisms, and actions are taken to correct deficiencies identified.

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

CFCA management has assessed its disclosures of its EV SSL certificate life cycle management business practices and controls over its EV SSL CA services. Based on that assessment, in CFCA management's opinion, in providing its EV SSL CA services at Beijing and Chengdu, China, throughout the period 1 August 2019 to 31 July 2020, CFCA has:

- disclosed its EV SSL certificate lifecycle management business practices in its Certification Practice Statement (CPS) and Certificate Policy (CP) as enumerated in Appendix B, including its commitment to provide EV SSL certificates in conformity with the CA/Browser Forum Guidelines on the CFCA website, and provided such services in accordance with its disclosed practices
- maintained effective controls to provide reasonable assurance that:
  - the integrity of keys and EV SSL certificates it manages is established and protected throughout their lifecycles; and
  - EV SSL subscriber information is properly authenticated

in accordance with the [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.6.8](#).

Ms.  \_\_\_\_\_  
President and General Manager of China Financial Certification Authority  
Co., Ltd.  
20-3, Pingyuanli, Caishikou South Avenue, Xi Cheng District, Beijing, China

21 October 2020



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