

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 as enumerated in Appendix C, throughout the period 1 August 2022 to 31 July 2023 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 (CP/CPS) 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 v1.7.8](#).

CFCA does not escrow its CA keys, does not provide subscriber key generation services, and does not provide certificate suspension services. Accordingly, our procedures do 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 v1.7.8](#).

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 2022 to 31 July 2023, 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 v1.7.8](#).

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 v1.7.8](#), 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

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27 October 2023

Anthony Kam & Associates Ltd.

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	5508e2dccc95 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
CFCA Certificate Policy and Certification Practice Statement for Global Trusted System	4.4	November 2022
Certification Practice Statement of CFCA Global-Trust System CFCA	4.3	July 2022

Appendix C

Locations in-scope:

Location	Function
Beijing (North), China	Datacenter Facility
Beijing (South), China	Datacenter Facility
Beijing (Central), China	Administration and Support
Chengdu, China	Registrations and Customer Services

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 locations as enumerated in Appendix C, throughout the period 1 August 2022 to 31 July 2023, 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 v1.7.8](#).

Ms. _____



President of China Financial Certification Authority Co., Ltd.
20-3, Pingyuanli, Caishikou South Avenue, Xi Cheng District, Beijing, China

27 October 2023



Appendix A

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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

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

Name	Version	Date
CFCA Certificate Policy and Certification Practice Statement for Global Trusted System	4.4	November 2022
Certification Practice Statement of CFCA Global-Trust System CFCA	4.3	July 2022

Appendix C

Locations in-scope:

Location	Function
Beijing (North), China	Datacenter Facility
Beijing (South), China	Datacenter Facility
Beijing (Central), China	Administration and Support
Chengdu, China	Registrations and Customer Services

独立鉴证报告

(注意：本中文报告只作参考。正文请参阅英文报告。)

致：中金金融认证中心有限公司管理阶层

我们接受委托，对附件表 A 所列中金金融认证中心有限公司（简称“CFCA”）于 2022 年 8 月 1 日至 2023 年 7 月 31 日期间于附件表 C 所列地点运营的电子认证(“CA”)服务其管理阶层认定执行了合理保证的鉴证业务。根据管理阶层认定，CFCA 已：

- 在附件表 B 列举的中国金融认证中心全球信任体系电子认证业务规则（CP/CPS）中披露了 EV SSL 证书生命周期业务规则，包括承诺遵循 CA/Browser 论坛的相关指引提供 EV SSL 证书服务，并依据披露的业务规则提供相关服务
- 通过有效控制机制，以提供以下合理保证：
 - 建立并保护所管理的密钥和 EV SSL 证书在生命周期中的完整性；以及
 - 于 CFCA 所执行的注册操作恰当地鉴定 EV SSL 证书申请者的信息
- 通过有效控制机制，以提供以下合理保证：
 - 对 CA 系统和数据的逻辑和物理访问仅限于授权的个人；
 - 保持密钥和证书管理操作的连续性；以及
 - CA 系统的开发，维护和操作得到适当的授权和执行，以维持 CA 系统的完整

以符合 [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.7.8](#)。

CFCA 未托管其私钥，未提供订户密钥生成服务，亦未提供证书挂起服务。据此，我们的审计程序未延伸至相关标准的有关控制。

CFCA 的责任

CFCA 的管理层负责确保管理层认定，包括其陈述的客观性以及认定中描述的 CFCA 所提供的服务能够符合 [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.7.8](#) 的规定。

审计师的独立性和质量控制

我们保持独立性并遵守国际道德委员会针对会计人员发布的职业会计师道德准则 (*Code of Ethics for Professional Accountants*) 规定的道德要求，该准则是建立在正直、客观、专业能力和谨慎、保密和职业行为的基本原则之上。我们公司遵循国际标准要求的质量控制 1 (*International Standard on Quality Control 1*)，并据此维护全面的质量控制体系，包括符合道德要求、专业标准和适用法律法规要求的文件化的政策和程序。

审计师的责任

我们的职责是在执行鉴证工作的基础上对 CFCA 的管理层认定发表结论。我们根据国际审计与鉴证准则理事会发布的国际鉴证业务准则第 3000 号“*历史财务信息审计或审阅以外的鉴证业务*”的规定执行了鉴证工作。此准则要求我们计划并执行相应的审计程序以获取所有重大方面和对管理层认定的合理保证，包括：

- (1) 了解 CFCA EV SSL 证书生命周期管理，包括 EV SSL 证书发放、更新和吊销；
- (2) 选择测试业务操作是否遵守了所披露的 EV SSL 证书生命周期管理；
- (3) 测试和评估控制活动执行的有效性；以及
- (4) 执行其他我们认为必要的鉴证程序。

我们相信，我们获取的证据是充分、适当的，为发表鉴证结论提供了基础。

控制的有效性

CFCA 的内部控制的有效性和重要性，及其对用户及相关依赖方的控制风险评估所产生的影响，取决于控制间的相互作用以及其他存在于每个用户和相关依赖方的因素。我们并没有对用户和依赖方所负责的控制的有效性进行任何评估工作。

固有限制

由于内部控制体系本身的限制，CFCA 满足上述要求的能力可能会受到影响，例如：控制可能未达到预防、发现或纠正错误、舞弊、对系统或信息的未授权访问，或违反内外部制度或规定的要求。此外，风险的变化可能会影响本评估报告在将来时间的参考价值。

结论

我们认为，CFCA 于 2022 年 8 月 1 日至 2023 年 7 月 31 日期间的电子认证服务的管理层认定在所有重大方面符合 [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.7.8](#)。

本报告并不包括任何 [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.7.8](#) 以外的质量标准声明，或对任何客户对 CFCA 服务的合适性声明。

对 Webtrust 标识的使用

在 CFCA 网站上的 WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL 电子认证标识是本报告内容的一种符号表示，它并不是为了也不应被认为是对本报告的更新或任何进一步的保证。

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27 October 2023

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附件表 A

本鉴证报告内包括的密钥与证书列举如下:

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

附件表 B

适用范围内的电子认证业务规则 (CPS) 和证书政策 (CP) 版本:

Name	Version	Date
CFCA Certificate Policy and Certification Practice Statement for Global Trusted System	4.4	November 2022
Certification Practice Statement of CFCA Global-Trust System CFCA	4.3	July 2022

附件表 C

范围中的地点:

位置	功能
北京 (北), 中国	数据中心
北京 (南), 中国	数据中心
北京 (中), 中国	行政支持
成都, 中国	注册与客户服务

CFCA 电子认证服务的管理阶层认定报告

(本中文报告仅作参考，正文请参阅英文报告)

中金金融认证中心有限公司(以下简称“CFCA”)运营电子认证服务机构(以下简称“CA”)，提供增强验证 SSL(以下简称“EV SSL”)电子认证服务，附件表 A 列举了服务所包括的根证书和中级证书。

CFCA 的管理阶层负责针对 EV SSL CA 服务建立并维护有效的控制，包括：EV SSL CA 业务规则披露、EV SSL CA 密钥生命周期管理和 EV SSL CA 证书生命周期管理。这些控制包括监控机制及为纠正已识别的缺陷所采取的改进措施。

任何控制都有其固有限制，包括人为失误以及规避或逾越控制的可能性。因此，即使有效的控制也仅能对 CFCA 运营的电子认证服务提供合理保证。此外，由于控制环境的变化，控制的有效性可能随时间而发生变化。

CFCA 管理层已对所提供的电子认证服务的业务规则披露及 EV SSL CA 服务控制进行评估。基于此评估，CFCA 管理层认为，在 2022 年 8 月 1 日至 2023 年 7 月 31 日就 CFCA 在附件表 C 所列地点提供 EV SSL CA 服务期间，CFCA 具备：

- 在附件表 B 列举的中国金融认证中心全球信任体系电子认证业务规则 (CPS) 和中国金融认证中心证书策略 (CP) 中披露了 EV SSL 证书生命周期业务规则，包括承诺遵循 CA/Browser 论坛的相关指引提供 EV SSL 证书服务，并依据披露的业务规则提供相关服务
- 通过有效控制机制，以提供以下合理保证：
 - 建立并保护所管理的密钥和订户 EV SSL 证书在生命周期中的完整性；以及
 - 于 CFCA 所执行的注册操作恰当地鉴定 EV SSL 证书申请者的信息；

以符合 [WebTrust Principles and Criteria for Certification Authorities – Extended Validation SSL v1.7.8](#)。

董事长

中金金融认证中心有限公司

中国北京市西城区菜市口南大街平原里 20-3

2023 年 10 月 27 日



附件表 A

本认定报告内包括的密钥与证书列举如下：

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成都, 中国	注册与客户服务

