

Report of Independent Certified Public Accountants

To the Management of Open Access Technology International, Inc.:

We have examined the [assertion](#) by the management of Open Access Technology International, Inc. Certification Authority ("OATI webCARES CA") that in providing its Certification Authority (CA) services at OATI's facilities in Bloomington, Minnesota, and Minneapolis, Minnesota, during the period from January 01, 2017, to December 31, 2017, management of OATI has:

- Disclosed its key and certificate life cycle management business and information privacy practices in its [OATI webCARES Certification Practice Statement \(CPS\)](#) and provided such services in accordance with its disclosed practices
- Maintained effective controls to provide reasonable assurance that:
 - Subscriber information was properly authenticated (for the registration activities performed by OATI webCARES CA);
 - The integrity of keys and certificates it managed was established and protected throughout their life cycles;
 - Subscriber and relying party information was restricted to authorized individuals and protected from uses not specified in the CA's business practices disclosure;
 - The continuity of key and certificate life cycle management operations was maintained; and
 - CA systems development, maintenance and operations were properly authorized and performed to maintain CA systems integrity

based on the [AICPA/CPA Canada Trust Services Principles and Criteria for Certification Authorities Version 2.0 \("WebTrust for Certification Authorities Principles and Criteria"\)](#).

OATI webCARES CA's management is responsible for its assertion. Our responsibility is to express an opinion on management's assertion 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 OATI webCARES CA's key and certificate life cycle management business and information privacy practices and its controls over key and certificate integrity, over the authenticity and privacy of subscriber and relying party information, over the continuity of key and certificate life cycle management operations, and over development, maintenance and operation of systems integrity; (2) selectively testing transactions executed in accordance with disclosed key and certificate life cycle management business and information privacy 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 our examination provides a reasonable basis for our opinion.

In our opinion, for the period January 01, 2017, to December 31, 2017, OATI webCARES CA management's assertion, as set forth in the first paragraph, is fairly stated, in all material respects, based on the [AICPA/CPA Canada WebTrust for Certification Authorities Principles and Criteria](#).

Because of inherent limitations in controls, errors 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 (1) changes made to the system or controls, (2) changes in processing requirements, (3) changes required because of the passage of time, or (4) degree of compliance with the policies or procedures may alter the validity of such conclusions.

The WebTrust seal of assurance for Certification Authorities on OATI webCARES CA's Website 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.

The relative effectiveness and significance of specific controls at OATI webCARES CA 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.

This report does not include any representation as to the quality of OATI webCARES CA's services beyond those covered by the [WebTrust for Certification Authorities Principles and Criteria](#), nor the suitability of any of OATI webCARES CA's services for any customer's intended purpose.

SCHULMAN & COMPANY, LLC

Tampa, Florida
February 13, 2018



Assertion of Management as to its Disclosure of its Business Practices and Its Controls Over Its Certification Authority Operations During the period from January 01, 2017, to December 31, 2017

Open Access Technology International, Inc. (OATI) operates as a Certificate Authority (CA) known as OATI webCARES CA. OATI webCARES CA, as a Root CA, provides the following CA services:

- Subscriber registration
- Certificate renewal
- Certificate issuance
- Certificate distribution
- Certificate revocation
- Certificate suspension
- Certificate status information processing
- Integrated circuit card life cycle management

Management of OATI webCARES CA is responsible for establishing and maintaining effective controls over its CA operations, including CA business practices disclosure contained in [OATI's webCARES Certification Practice Statement \(CPS\)](#), service integrity (including key and certificate life cycle management controls), and CA environmental 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 provide only reasonable assurance with respect to OATI webCARES CA's Certificate Authority operations. Furthermore because of changes in conditions, the effectiveness of controls may vary over time.

Management has assessed the controls over its CA operations. Based on that assessment, in OATI webCARES CA management's opinion, in providing its Certificate Authority (CA) services at OATI's facilities in Bloomington, Minnesota and Minneapolis, Minnesota, during the period from January 01, 2017, to December 31, 2017, OATI has:

- Disclosed its key and certificate life cycle management business and information privacy practices and provided such services in accordance with its disclosed practices
- Maintained effective controls to provide reasonable assurance that:
 - Subscriber information was properly authenticated for the registration activities performed by OATI webCARES CA;
 - The integrity of keys and certificates it managed was established and protected throughout their life cycles;
 - Subscriber and relying party information was restricted to authorized individuals and protected from uses not specified in the CA's business practices disclosure;
 - The continuity of key and certificate life cycle management operations was maintained; and
 - CA systems development, maintenance and operations were properly authorized and performed to maintain CA systems integrity

based on the [AICPA/CPA Canada Trust Services Principles and Criteria for Certification Authorities Version 2.0 \("WebTrust for Certification Authorities Principles and Criteria"\)](#) including the following:

CA Business Practices Disclosure

Service Integrity

- *Key Life Cycle Management Controls*
 - CA Key Pair Generation
 - CA Private Key Storage, Backup, and Recovery
 - CA Public Key Distribution
 - CA Private Key Usage
 - CA Private Key Destruction
 - CA Private Key Archival
 - CA Cryptographic Hardware Life Cycle Management

- *Certificate Life Cycle Management Controls*
 - Subscriber Registration
 - Certificate Renewal
 - Certificate Issuance
 - Certificate Distribution
 - Certificate Revocation
 - Certificate Suspension
 - Certificate Status Information Processing
 - Integrated Circuit Card Life Cycle Management

CA Environmental Controls

- Certification Practice Statement Management
- Security Management
- Asset Classification and Management
- Personnel Security
- Physical and Environmental Security
- Operations Management
- System Access Management
- Systems Development and Maintenance
- Business Continuity Management
- Monitoring and Compliance
- Event Journaling

Sasan Mokhtari, Ph.D.

President and Chief Executive Officer