



KPMG LLP
Mission Towers I
Suite 100
3975 Freedom Circle Drive
Santa Clara, CA 95054

Independent Accountant's Report

To the Management of Symantec Corporation:

We have examined for its certification authority (CA) operations at Mountain View, California, USA; New Castle, Delaware, USA; Dublin, Ireland; and Melbourne, Australia, Symantec Corporation's (Symantec) disclosure of its extended validation code signing ("EV CS") certificate life cycle management business practices, the effectiveness of its controls over EV CS key and certificate integrity, and the authenticity of subscriber information, throughout the period December 1, 2015 to June 15, 2016 for its STN, GeoTrust, and Thawte CAs listed in Appendix A ("the STN, GeoTrust, and Thawte Root and EV Code Signing Issuing CAs").

These disclosures and controls are the responsibility of Symantec's management. Our responsibility is to express an opinion on the conformity of these disclosures and controls with the WebTrust Principles and Criteria for Certification Authorities – Extended Validation Code Signing v1.1, based on our examination.

We conducted our examination in accordance with standards for attestation engagements established by the American Institute of Certified Public Accountants and, accordingly, included:

- (1) obtaining an understanding of Symantec's EV CS certificate life cycle management business practices, including its relevant controls over the issuance, renewal, and revocation of EV CS certificates;
- (2) selectively testing transactions executed in accordance with disclosed EV CS certificate life cycle management 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.

The relative effectiveness and significance of specific controls at Symantec 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.

Because of the nature and inherent limitations of controls, Symantec'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.

We noted the following matter that resulted in a modification of our opinion:



Impacted WebTrust for CAs Criteria		Matter Noted
1	Principle 2, Criterion §59 requires that 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 years.	It was noted that physical access entry and exit logs for one of the CA facilities were not archived for 7 years as specified in the STN CPS, GeoTrust CPS, and Thawte CPS. This caused WebTrust Principles and Criteria for Certification Authorities – Extended Validation Code Signing V 1.1 Principle 2, Criterion 59, to not be met with respect to the retention of CA facility entry and exit logs.

In our opinion, except for the matter discussed above, in providing its Symantec EV CS services in Mountain View, California, USA; New Castle, Delaware, USA; Dublin, Ireland; and Melbourne, Australia, during the period to December 1, 2015 through June 15, 2016, in all material respects, Symantec:

- Disclosed its Extended Validation (EV) Code Signing Certificate practices and procedures in its:
 - Symantec Trust Network Certification Practice Statement, Version 3.8.24, dated May 20, 2016 ("STN CPS") and Symantec Trust Network Certificate Policy, Version 2.8.20, dated May 20, 2016 ("STN CP") on the Symantec website;
 - GeoTrust Certification Practice Statement, Version 1.1.18, dated September 24, 2015 ("GeoTrust CPS") on Symantec's GeoTrust website; and
 - Thawte Certification Practice Statement, Version 3.7.15, dated March 8, 2016 ("Thawte CPS") on Symantec's Thawte website

including its commitment to provide EV Code Signing certificates in conformity with the applicable CA/Browser Forum Guidelines and

- Maintained effective controls to provide reasonable assurance that:
 - EV subscriber information was properly collected, authenticated (for the registration activities performed by Symantec) and verified and
 - The integrity of keys and EV Code Signing certificates it manages was established and protected throughout their life cycles

based on the WebTrust Principles and Criteria for Certification Authorities – Extended Validation Code Signing v1.1 for the STN, GeoTrust, and Thawte Root and EV Code Signing Issuing CAs.

This report does not include any representation as to the quality of Symantec's services beyond those covered by the WebTrust Principles and Criteria for Certification Authorities – Extended Validation Code Signing v1.1, nor the suitability of any of Symantec's services for any customer's intended purpose.

KPMG LLP

Certified Public Accountants
Santa Clara, CA
February 28, 2017

APPENDIX A –STN, GeoTrust, and Thawte Root and EV Code Signing Issuing CAs

<p>STN Root CA:</p> <ul style="list-style-type: none">• VeriSign Class 3 Public Primary Certification Authority - G5• VeriSign Universal Root Certification Authority <p>GeoTrust Root CA:</p> <ul style="list-style-type: none">• GeoTrust Primary Certification Authority <p>Thawte Root CA:</p> <ul style="list-style-type: none">• thawte Primary Root CA - G3	<p>EV Code Signing Issuing CAs:</p> <ul style="list-style-type: none">• Symantec Class 3 Extended Validation Code Signing CA• Symantec Class 3 Extended Validation Code Signing CA - G2• Symantec Class 3 Extended Validation Code Signing CA - G3• Symantec SAS EV Code Signing CA• thawte EV Code Signing CA
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**Assertion of Management as to
Its Disclosure of its Business Practices and its Controls
Over its Extended Validation Code Signing Certification Authority Operations
During the period from December 1, 2015 through June 15, 2016**

February 28, 2017

Symantec Corporation ("Symantec") provides Extended Validation Code Signing (EV CS) Certification Authority services through its STN, GeoTrust, and Thawte CAs listed in Appendix A ("the STN, GeoTrust, and Thawte Root and EV Code Signing Issuing CAs").

The management of Symantec is responsible for establishing and maintaining effective controls over its EV CS CA operations; including its EV CS CA business practices disclosure on its Symantec website; EV CS key life cycle management controls; and EV CS certificate life cycle 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 Symantec's Certification Authority operations. Furthermore, because of changes in conditions, the effectiveness of controls may vary over time.

Management has assessed its disclosures of its certificate practices and controls over its EV CS CA services. Based on that assessment, in Symantec management's opinion, in providing its EV CS certification authority (CA) services at Mountain View, California, USA; New Castle, Delaware, USA; Dublin, Ireland; and Melbourne, Australia, throughout the period from December 1, 2015 through June 15, 2016, Symantec has:

- Disclosed its EV Code Signing certificate practices and procedures in its
 - Symantec Trust Network Certification Practice Statement, Version 3.8.24 dated May 20, 2016 ("STN CPS") and
 - Symantec Trust Network Certificate Policy, Version 2.8.20, dated May 20, 2016 ("STN CP") on its Symantec website;
 - GeoTrust Certification Practice Statement, Version 1.1.18 dated, September 24, 2015 ("GeoTrust CPS") on Symantec's GeoTrust website; and
 - Thawte Certification Practice Statement, Version 3.7.15 dated, March 8, 2016 ("Thawte CPS") on Symantec's Thawte website


including its commitment to provide EV Code Signing Certificates in conformity with the applicable CA/Browser Forum Guidelines and

- Maintained effective controls to provide reasonable assurance that:
 - EV subscriber information was properly collected, authenticated (for the registration activities performed by Symantec) and verified and
 - The integrity of keys and EV Code Signing certificates it manages was established and protected throughout their life cycles

based on the WebTrust Principles and Criteria for Certification Authorities – Extended Validation Code Signing v1.1 for the EV CAs except for the effects of the matter noted below:

	Impacted WebTrust for CAs Criteria	Issue Noted
1	Principle 2, Criterion §59 requires that 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 years.	<p>It was noted that physical access entry and exit logs for one of the CA facilities were not archived for a minimum of 7 years, as specified in the STN CPS, GeoTrust CPS, and Thawte CPS, to meet Principle 2, Criterion 59.</p> <p>Access log retention requirements for Symantec CA facilities exceed Symantec Corporate Security requirements. Due to recent personnel changes within the Corporate team that manages data retention across the company, CA facility log retention periods were reduced to match Corporate security log retention requirements without approval from the Symantec Website Security business unit. Upon identification and communication of the issue, the retention periods of physical access logs have since been updated to comply with the respective requirements for CA facilities. In addition, policy updates have been put in place to require supplemental approval and periodic monitoring of data retention requirements moving forward.</p>

Symantec Corporation


Roxane Divol
EVP and GM, Website Security

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STN Root CA: <ul style="list-style-type: none">• VeriSign Class 3 Public Primary Certification Authority - G5• VeriSign Universal Root Certification Authority GeoTrust Root CA: <ul style="list-style-type: none">• GeoTrust Primary Certification Authority Thawte Root CA: <ul style="list-style-type: none">• thawte Primary Root CA - G3	EV Code Signing Issuing CAs: <ul style="list-style-type: none">• Symantec Class 3 Extended Validation Code Signing CA• Symantec Class 3 Extended Validation Code Signing CA - G2• Symantec Class 3 Extended Validation Code Signing CA - G3• Symantec SAS EV Code Signing CA• thawte EV Code Signing CA
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