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|  | INFORMATION SECURITY POLICY |
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e4 Registration Authority Charter


(for e4 Strategic (Pty) Ltd and the Group of Companies of which it forms part)

e4 STRATEGIC (PTY) LTD
registration number 2006/027343/07
(e4)

55 Sixth Road
Hyde Park
Johannesburg
South Africa

Phone 0860 340 000
Web www.e4.co.za
Email support@e4.co.za

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1. Introduction

This *registration authority charter* (RA Charter) is subject to the LAWtrust *certification practice statement* (CPS) and describes the practices and procedures specific to e4 in authenticating:

- (i) the identity of a *subscriber*,
- (ii) the entity to which the *subscriber* is associated, and
- (iii) any other information that may be required before issuing a *digital certificate* in the name of the *subscriber* applying to be issued with a *digital certificate*.

This document is called the *e4 Registration Authority Charter*. The latest version of this RA Charter can be accessed and viewed on the LAWtrust website (www.lawtrust.co.za) or the e4 website (www.e4.co.za).


2. LAWtrust certificate authority

Law Trusted Third Party Services (Pty) Ltd (LAWtrust) (www.lawtrust.co.za), through the *certificate authority* (CA) it operates, issues *personal digital certificates* and *entity digital certificates* to *subscribers* in accordance with the provisions of its *Certificate Policy* and *Certification Practice Statement* (collectively referred to as the “CPS”), which includes the Entrust, Inc. (www.entrust.com) policies and procedures.

A *certificate authority*, such as LAWtrust, plays an important role in that it issues *digital certificates*, sets policy (as stated in its CPS) on what is required before a *digital certificate* can be issued to and used by a *subscriber*; and in order to maintain security, indicates in a published *certificate revocation list* (CRL) those *digital certificates* that are no longer valid (e.g. revoked, expired or suspended).

In terms of the CPS, LAWtrust may appoint *registration authorities* and prescribe the practices and procedures that the *registration authority* is to adhere to.

Before continuing, please note that certain italicised terms used in this document (e.g. *digital certificate*, *certification authority*, *registration authority*, *private key* and *public key*) are defined in the CPS. The latest version of the CPS can also be accessed and viewed on the LAWtrust website (www.lawtrust.co.za) or the e4 website (www.e4.co.za).

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3. e4 registration authority

In terms of its CPS, LAWtrust has appointed e4 Strategic (Pty) Ltd (e4) as a *registration authority* (RA).

A registration authority is an entity authorised to:

- a. receive applications for the issuance of *digital certificates*;
- b. validate information supplied in support of a *digital certificate* application;
- c. request a *certificate authority* to issue a *digital certificate* containing the information as validated by the *registration authority*;
- d. request a *certificate authority* to revoke *digital certificates* issued.

The e4 RA is appointed exclusively for the purposes authenticating the identity and verifying supporting and ancillary information of *applicants* who have need to access and make use of the *information system services* provided by e4 and its various subsidiary companies.

4. e4 RA Charter


e4 OPERATES AS A REGISTRATION AUTHORITY IN ACCORDANCE WITH THE PROVISIONS CONTAINED IN THIS RA CHARTER AND THE LAWTRUST CPS. THIS e4 RA CHARTER, SUBJECT TO THE PROVISIONS OF THE LAWTRUST CPS, DESCRIBES THE AUTHENTICATION, PERMISSIONS AND RESTRICTIONS OF SUBSCRIBERS WHEN USING DIGITAL CERTIFICATES IN ORDER TO:

- a. ACCESS AND WORK ON e4'S INFORMATION SYSTEMS OVER THE INTERNET; AND/OR
- b. DIGITALLY SIGN ELECTRONIC DOCUMENTS AND/OR ELECTRONIC COMMUNICATIONS.

5. Purpose of issuing digital certificates

Digital certificates, properly issued (i.e. in terms of the practices and procedures of the CPS and RA Charter), can be used to effectively manage:

- a. access control to *information systems* over the internet; and/or
- b. secure electronic communications (e.g. digital signatures, encrypted email, decrypting specific documents).

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The purpose of issuing *digital certificates to subscribers*, in accordance with the requirements of the *LAWtrust CPS* and *e4 RA Charter*, is to create an environment where it becomes commercially reasonable for persons to remotely transact electronically with each other, where the risks of being able to impersonate the electronic identity of a person, and/or alter the contents of an electronic communication unbeknownst to a recipient, are greatly reduced if not eliminated.

HAVING REGARD TO THE ABOVE, THE PURPOSE OF e4 ISSUING *DIGITAL CERTIFICATES TO SUBSCRIBERS IN TERMS HEREOF IS ONLY* FOR THE PURPOSES OF ENABLING SUBSCRIBERS TO:

- a. ACCESS AND WORK ON e4'S *INFORMATION SYSTEMS* OVER THE INTERNET; AND/OR
- b. *DIGITALLY SIGN* e4'S ELECTRONIC DOCUMENTS AND/OR ELECTRONIC COMMUNICATIONS.

6. Personal digital certificates & Entity digital certificates

Two types of digital certificates are issued in terms of this RA Charter, namely:


- (i) ***entity digital certificates***: issued to legal entities or a partnerships (treated as legal persons for e4's purposes in terms hereof); and
- (ii) ***personal digital certificates***: issued to natural persons (i.e. human beings).

Entity digital certificates are used in e4's environment to enable a legal entity (e.g. a law firm) to receive electronic instructions (e.g. conveyancing or debt collection instructions) from those other entities (e.g. the banks) making use of e4's *information system services* to instruct them.

Personal digital certificates are used in e4's environment by employees (e.g. the conveyancer or her/his assistant) of the entity (e.g. a law firm) in order to, on the entity's behalf, carry out the work required to be done in terms of the electronic instruction received (e.g. conveyancing or debt collection instructions).

e4 associates *entity digital certificates* and *personal digital certificates* by means of e4 User Numbers (LUN) in order to ascribe the work of a particular individual to a particular entity.

Reference to a *digital certificate* (or simply a *certificate*) refers to, depending on the context, either a *personal digital certificate* or an *entity digital certificate*.

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7. Applicants and subscribers



In this RA Charter, a person/entity applying for the issuance/renewal of a *digital certificate* is described as an *applicant*, until such application has been approved. Once the *digital certificate* applied for has been issued/renewed, the person or entity in whose name it has been issued/renewed is then referred to as a *subscriber*.

Please note that, when reading further, reference to an *applicant* or a *subscriber* depends on the context and will mean either a natural person (in respect of a *personal digital certificate*) or a legal entity or partnership (in respect of an *entity digital certificate*).

8. Certificate administrators

Processing applications for *digital certificates* commences with persons called *certificate administrators*, who are *subscribers* (i.e. they have also been issued with a *personal digital certificate*) appointed and authorised by e4 to authenticate the identity of *applicants* in an application for the issuance of a *digital certificate*.


A certificate administrator can be either:

- (i) an authorised e4 employee; or
- (ii) an employee of the entity (to whom an *entity digital certificate* has been issued) that requires *personal digital certificates* to be issued to other members of its staff.

The *certificate administrator* is required to enter into an agreement (called a *Certificate Administrator Agreement*) with e4 in the prescribed form. This agreement sets out the *certificate administrator's* obligations when authenticating the identity of an *applicant* before, on behalf of the e4 RA, authorising the issuance by the LAWtrust CA of a *digital certificate* to the *applicant*.



Certificate administrators must receive proper training or the e4 Installation Manual in administering applications for *digital certificates*, authenticating *subscribers*, authorising the issuance of *digital certificates*, downloading and installing *digital certificates*, and *digital certificate* revocation.


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9. Applying to be issued with a digital certificate

An applicant is required to:

- a. complete a *digital certificate application form*, to be signed by the *certificate administrator*;
- b. complete and sign the *LAWtrust subscriber agreement*;
- c. in respect of a *personal digital certificate*, present to the *certificate administrator* the:
 - (i) personal digital certificate application form (duly completed);
 - (ii) subscriber agreement (duly completed and signed);
 - (iii) her/his ID document, passport or drivers license.
- d. in respect of an *entity digital certificate*, present to the *certificate administrator* (in this instance an authorised e4 employee (e.g. e4 Relationship Managers or other e4 client- facing personnel):
 - (i) the e4 order form (the applicable agreement in order to receive a particular service from e4);
 - (ii) entity digital certificate application form (duly completed);
 - (iii) subscriber agreement (duly completed and signed);
 - (iv) certificate administrator personal digital certificate application form (duly completed);
 - (v) certificate administrator agreement (duly completed and signed);
 - (vi) debit order authority (duly completed and signed);
 - (vii) fidelity fund certificate (if a registered law firm);
 - (viii) cancelled cheque;
 - (ix) details of appointment to bank's panel of attorneys;
 - (x) ID document, passport or drivers license of the natural person authorised to make the application for the *entity digital certificate* on the entity's behalf;

(PLEASE NOTE: The above requirements are subject to change from time to time. Please see www.e4.co.za or contact the e4 call centre)

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10. Subscriber agreement obligations




IN THE *SUBSCRIBER AGREEMENT*, THE *SUBSCRIBER* IS REQUIRED TO AGREE TO THE FOLLOWING:

- a. in making the application, be satisfied that the *digital certificate* applied for will meet the purpose for which the subscriber intends to use it;
- b. comply with the applicable terms in the LAWtrust CPS and this e4 RA Charter;
- c. generate a *key-pair* using the a trustworthy system provided by the *subscriber* operating system or the *token cryptographic* service provider;
- d. be responsible for the management of the *private key* associated with the *digital certificate*;
- e. protect the confidentiality of the *private key* as well as any pass-phrase or token used to activate the *private key*;
- f. **under no circumstances permit or otherwise allow any other person to use his/her/its *digital certificate*;**
- g. **not use the *digital certificate* for any unlawful purpose, or for any purpose that does not have to do with accessing e4's information systems and/or transacting with e4;**
- h. on receipt of the *digital certificate* check that the information contained in the *digital certificate* is accurate;
- i. promptly request the e4 RA to *revoke* the *digital certificate* immediately on becoming aware of any inaccuracy in the *digital certificate* or suspected loss, disclosure or *compromise* of the *digital certificate* and/or its associated *private key*;
- j. not use the *digital certificate* issued to him/her/it as a *certificate authority* issuing further *digital certificates*, *certificate revocation* or otherwise;
- k. not monitor, interfere with, or reverse-engineer any technical implementation required for the creation of the *digital certificate*, or its use, or otherwise in any manner *compromise* the security provided by e4 and/or LAWtrust.

11. Submitting subscriber application to e4

After confirming the identity of the *applicant*, the information contained in the *digital certificate* application form, the *applicant's* signature of the *digital certificate* application

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form and the *subscriber* agreement, the *certificate administrator* is then required to countersign the *digital certificate* application form (using either his/her hand-written signature or his/her *digital signature* using a LAWtrust issued *personal digital certificate*) and thereafter fax/email the documents to the e4 RA.

12. Processing the application

On receipt of the *digital certificate* application form and supporting documents, the e4 RA shall process the application.

The e4 RA shall in the course of this process remain responsible for the authentication of the *applicant* and the verification of the information received with the application.

The e4 RA shall securely keep a record of the application, together with all documentation relevant to the authentication of the identity of the *applicant* and verification of supporting information securely, for a period of 5 (five) years after the expiry or revocation of the *digital certificate*.

13. Advising on outcome of the application

If the application is refused, the e4 RA shall notify the *applicant* accordingly, which notice shall include the reasons for such refusal to issue the *digital certificate* applied for.

If the application is approved, the e4 RA shall notify the applicant accordingly, and authorise the LAWtrust CA to issue/renew the *digital certificate*.


14. Provision of digital certificate to the subscriber

The e4 RA shall, after the issue of the *digital certificate* by the LAWtrust CA, deliver to the *subscriber* a reference number and an activation code for the *digital certificate*.

The e4 RA shall, if required by the *subscriber*, provide telephonic assistance in activating the *digital certificate*.

The LAWtrust *digital certificate* profile will include the following fields:

| | | |
|---------------|---|------------------|
| CN | = | Name and Surname |
| Serial Number | = | Law User ID |
| O | = | e4 Entity |
| O | = | LAWtrust |
| C | = | ZA |

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The *Certificate Revocation List (CRL)* profile will be in accordance with the CPS.

15. Acceptance of the digital certificate

After activating the *digital certificate*, the *subscriber* shall carefully check that the contents of the *digital certificate* specific to him/her/it are true and correct.



Unless the subscriber notifies the e4 RA in writing within 1 (one) week of activating the *digital certificate* of any inaccuracies in the content of the *digital certificate*, the information as contained in the *digital certificate* shall be deemed to be true and correct and accepted by the *subscriber*.

16. Digital certificate 1 year duration



DIGITAL CERTIFICATES ARE VALID A PERIOD OF 1 (ONE) YEAR, where after the *subscriber* will need to renew his/her/its *digital certificate* by making a renewed application to the e4 RA to be issued with a *digital certificate*.

17. Digital certificate use for named subscriber only


It is important that e4 is able to identify the person/entity (*subscriber*) using a particular *digital certificate* to gain access to e4's information systems and/or communicate with e4, and to further be able to accurately ascribe the work of a particular natural person to a particular entity.



IT IS THEREFORE THAT A DIGITAL CERTIFICATE IS ONLY ISSUED ON THE BASIS THAT ITS SUBSEQUENT USE IS AT ALL TIMES PERSONAL TO THE PERSON/ENTITY ACTUALLY NAMED IN THE DIGITAL CERTIFICATE; FAILING WHICH, THE DIGITAL CERTIFICATE IS CONSIDERED COMPROMISED AND REQUIRED TO BE REVOKED.



NO SUBSCRIBER MAY ALLOW OR OTHERWISE PERMIT THE USE OF HIS/HER/ITS DIGITAL CERTIFICATE BY ANY OTHER PERSON/ENTITY; SUCH ACTIONS NOT ONLY ARE A BREACH OF THE TERMS OF THE SUBSCRIBER AGREEMENT, BUT ALSO RENDER SUCH PERSON/ENTITY

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POTENTIALLY LIABLE FOR THE ACTIONS OF OTHERS MADE USING HIS/HER/ITS DIGITAL CERTIFICATE.



A SUBSCRIBER IS ALSO NOT ALLOWED TO USE ANOTHER PERSON/ENTITY'S DIGITAL CERTIFICATE IN ORDER TO ACCESS e4'S INFORMATION SYSTEMS AND/OR COMMUNICATE WITH e4.

18. Revocation of a digital certificate


The e4 RA shall request revocation of, and the LAWtrust CA shall be entitled to revoke a subscriber's *digital certificate* where the e4 RA or LAWtrust CA acquires knowledge of, or has a reasonable basis for believing, the occurrence of any of the following events:

- a. the compromise of the LAWtrust CA *private key*, or if applicable, the compromise of a superior *certification authority's private key*;
- b. the *digital certificate* or either the *private key* or *public key* associated with the *digital certificate* has been compromised;
- c. breach by the *subscriber* of any of the terms of the CPS, this RA Charter or the subscriber agreement entered into with the *subscriber*;
- d. any change in the information contained in the *digital certificate* issued;
- e. non-payment to LAWtrust or e4 of any fees in respect of any service provided by LAWtrust or e4 to the *subscriber* or the entity to which the *subscriber* is associated;
- f. a determination by the LAWtrust CA or the e4 RA that the *digital certificate* was not issued in accordance with the CPS, this RA Charter or the provisions of the subscriber agreement entered into with the *subscriber*; or
- g. any other reason that the e4 RA or LAWtrust CA reasonably believes may affect the integrity, security, or trustworthiness of *digital certificates* issued by them.

19. Revocation of a digital certificate by the subscriber

A *subscriber* may request revocation of the subscriber's *digital certificate* at any time, and for any reason.

The *subscriber* shall request revocation of a *digital certificate* if the *subscriber* suspects (or ought reasonably suspects) or has actual knowledge of a compromise of the subscriber's *private key* (e.g. used by another person) or that the information contained in *digital*

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certificate is inaccurate, incomplete, or misleading as a result of any change in circumstances relating to the *subscriber*.

A request for revocation by a *subscriber* shall be submitted in writing (by sending an email request, which includes all relevant details, to support@e4.co.za) to the e4 RA and processed with the *subscriber's* application for a new *digital certificate* (if applicable).

THE SUBSCRIBER REMAINS LIABLE FOR ANY AMOUNTS OWED UP TO THE DATE OF REVOCATION. IN ADDITION THE e4 RA MAY ALSO IMPOSE A REASONABLE CANCELLATION PENALTY WITH RESPECT TO ANY DIGITAL CERTIFICATE REVOCATION (E.G. FEES DUE BY IT TO L@WTRUST OR ENTRUST IN RESPECT THEREOF).

Revocation of a *digital certificate* shall not affect any of the *subscriber's* contractual obligations under the CPS, this RA Charter or the *subscriber* agreement entered into by the *subscriber* or any *relying party agreements*.

Before revoking a *digital certificate* at the request of a *subscriber*, the LAWtrust CA shall use commercially reasonable efforts to validate the identity of the *subscriber*, or the person representing the *subscriber*, and shall not be required to revoke the *digital certificate* until it is satisfied as to the identity of the *subscriber*.

The *subscriber* shall comply with any reasonable requests of the LAWtrust CA relating to revoking the *digital certificate*.


20. Procedure for a revocation request

The e4 RA shall authenticate a request by a *subscriber* for revocation of his/her *digital certificate* by requiring:

- a. a sub-set of the information provided by the *subscriber* with the *subscriber's digital certificate* application; or
- b. where applicable, verification by an authorised contact at the entity to which the *digital certificate* has been issued.

On receipt of confirmation of the above information required, the e4 RA shall send a *revocation request* to the LAWtrust CA.

The LAWtrust CA receiving the revocation request shall, within 24 hours of receiving such, post the serial number of the revoked *digital certificate* to the CRL in the LAWtrust repository.

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If a subscriber's *digital certificate* is revoked, for any reason, the e4 RA shall notify the *subscriber* by sending an email to the email address provided in the original application for the *digital certificate*.

21. Suspension of a digital certificate

The e4 RA may unilaterally suspend a *digital certificate* if: the subscriber is, for whatever reason, not in good standing with the LAWtrust CA or the e4 RA; or the subscriber fails to adhere to the provisions of the subscriber agreement, the CPS or this RA Charter; or the subscriber's role that requires the use of a *digital certificate* is suspended.

The e4 RA may request a LAWtrust CA to suspend a *digital certificate* without prior notice to the subscriber. The e4 RA shall to notify the *subscriber* by sending an email to the email address provided in the original application for the *digital certificate*.

22. e4 RA audit

The e4 RA's compliance with the practices and procedures set out in this RA Charter and the LAWtrust CPS are subject to audit by LAWtrust and/or Entrust (www.entrust.com). Where the results of an audit report recommend remedial action, the e4 RA shall initiate corrective action within 30 (thirty) days of receipt of such audit report.

23. Status of e4 RA and this RA Charter

The e4 RA's continued appointment by the LAWtrust CA is subject to the provisions of the CPS and the directions of the LAWtrust *policy authority* (PA) in respect of all practices relating to its obligations as a *registration authority*.



THE LAWTRUST PA RESERVES THE RIGHT TO UNILATERALLY AMEND THE CPS AND REQUIRE THE e4 RA TO AMEND THIS RA CHARTER, AT ANY TIME. THE e4 RA SHALL, UNDER THE DIRECTION OF THE LAWTRUST PA, NOTIFY *APPLICANTS* AND *SUBSCRIBERS* OF THE AMENDMENTS TO THE CPS OR THIS RA CHARTER, BY SENDING AN EMAIL TO THE EMAIL ADDRESSES PROVIDED IN THE ORIGINAL APPLICATIONS FOR THE *DIGITAL CERTIFICATES*.

* * * *