

Arkhineo

Service Organization Controls 2

(SOC2, Type 2) Report

**Description of
ARKHINEO IT Outsourcing Services Systems relevant to
Security as of June 30th, 2020**

With the Independent Service Auditor's Report



September 2020

TABLE OF CONTENTS

| | |
|--|----|
| Assertion of ARKHINEO | 1 |
| Independent Service Auditor's Report..... | 5 |
| Description of ARKHINEO IT Outsourcing Services Systems relevant to Security as of June 30th, 2020, | 12 |
| ARKHINEO IT Outsourcing Services Overview | 13 |
| Description of the control environment, information communication, monitoring and Risk Assessment process | 13 |
| Type of services provided | 17 |
| Components of the system providing the defined services | 18 |
| Design and implementation of controls process, policies and procedures requirements | 18 |
| Key system operations domains related to security | 20 |
| Complementary User Entity Controls | 23 |
| Description of Criteria and Controls..... | 25 |
| CC1.0 Organization and Management..... | 26 |
| CC2.0 Communications..... | 29 |
| CC3.0 Risk Management and Design and Implementation of Controls..... | 35 |
| CC4.0 Monitoring of Controls..... | 40 |
| CC5.0 Logical and Physical Access Controls | 43 |
| CC6.0 System Operations | 59 |
| CC7.0 Change Management | 62 |

This document contains 62 pages excluding header and summary

Arkhineo

ARKHINEO
24 Rue Drouot,
75009 Paris
Tél: 01 78 09 39 10

Assertion of ARKHINEO

We have prepared the accompanying Description, *Description of ARKHINEO IT Outsourcing Services Systems relevant to Security as of June 30th, 2020* and *Description of Criteria and Controls* ('Description') based on the criteria in items (a)–(b) below, which are the criteria for a description of a service organization's system set forth in paragraphs 1.26 of the AICPA Guide Reporting on Controls at a Service Organization relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy (the description criteria).

The description is intended to provide users with information about ARKHINEO Outsourcing Services System, particularly system controls intended to meet the criteria for the security principle set forth in AICPA's TSP section 100 Trust Services Principles, Criteria, and Illustrations for Security, Availability, Processing Integrity, Confidentiality, And Privacy (applicable trust services criteria).

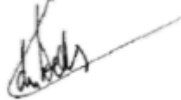
We confirm, to the best of our knowledge and belief, that:

- a.** The description contains the following information:
 - i.** The types of services provided
 - ii.** The components of the system used to provide the services, which are as follows:
 - (1)** Infrastructure. The physical structures, IT, and other hardware (for example, facilities, computers, equipment, mobile devices, and telecommunications networks).
 - (2)** Software. The application programs and IT system software that support application programs (operating systems, middleware, and utilities).
 - (3)** People. The personnel involved in the governance, operation, and use of a system (developers, operators, entity users, vendor personnel, and managers).
 - (4)** Procedures. The automated and manual procedures.

- (5) Data. Transaction streams, files, databases, tables, and output used or processed by the system.
 - iii. The boundaries or aspects of the system covered by the description
 - iv. For information provided to, or received from, subservice organizations and other parties
 - (1) How the information is provided or received and the role of the subservice organizations and other parties
 - (2) The procedures the service organization performs to determine that such information and its processing, maintenance, and storage are subject to appropriate controls
 - v. The applicable trust services criteria and the related controls designed to meet those criteria, including, as applicable, the following:
 - (1) Complementary user entity controls contemplated in the design of the service organization's system
 - (2) When the inclusive method is used to present a subservice organization, controls at the subservice organization
 - vi. If the service organization presents the subservice organization using the carve-out method
 - (1) The nature of the services provided by the subservice organization
 - (2) Each of the applicable trust services criteria that are intended to be met by controls at the subservice organization, alone or in combination with controls at the service organization, and the types of controls expected to be implemented at carved-out subservice organizations to meet those criteria
 - vii. Any applicable trust services criteria that are not addressed by a control and the reasons
 - viii. In the case of a type 2 report, relevant details of changes to the service organization's system during the period covered by the description
- a. The description does not omit or distort information relevant to the service organization's system while acknowledging that the description is prepared to meet the

common needs of a board range of report users and, may not, therefore, include every aspect of the system that each individual report user may consider important to its own needs.

Mr. CHARLES DU BOULLAY
CEO of BU Archiving Docaposte Arkhineo

A handwritten signature in black ink, appearing to be 'Charles Du Boullay', written over a horizontal line.

DOCAPOSTE ARKHINEO
GROUPE DOCAPOSTE
24, RUE DROUOT - 75009 PARIS
WWW.ARKHINEO.COM
RCS CRETEIL B 435 405 923

Utilisation du rapport

Ce rapport est uniquement destiné aux clients de ARKHINEO en date du 30 juin 2020 et à ses prospects, aux auditeurs indépendants et fournisseurs de services de ses clients et prospects, ainsi qu'aux autorités réglementaires ; étant entendu que ces tiers disposent d'une connaissance et d'une compréhension suffisantes des éléments suivants :

- La nature des services fournis par ARKHINEO,
- La manière dont le système de ARKHINEO interagit avec les clients, les sous-traitants, et d'autres tiers,
- Le contrôle interne et ses limites,
- Les critères de confiance,
- Les risques qui peuvent menacer le respect des critères de confiance et la manière dont les contrôles couvrent ces risques.

Ce rapport n'est pas destiné et ne devrait être utilisé par un tiers autre que précédemment noté.

RSM Paris
Jean Philippe Isemann
Associé
Paris, France

Signé électroniquement par
CONNECTIVE NV - CONNECTIVE
ESIGNATURES de la part de
Jean-Philippe Isemann
(jean-philippe.isemann@rsmfrance.fr)
Date : 18/01/2021 17:29:08
Signé avec le code à usage unique
: 514217