



PKCS #11 Cryptographic Token Interface Profiles Version 2.40

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Related work:

This specification is related to:

- *PKCS #11 Cryptographic Token Interface Base Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/pkcs11-base-v2.40.html>.
- *PKCS #11 Cryptographic Token Interface Current Mechanisms Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/pkcs11-curr-v2.40.html>.
- *PKCS #11 Cryptographic Token Interface Historical Mechanisms Specification Version 2.40.* Edited by Susan Gleeson and Chris Zimman. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/pkcs11-hist-v2.40.html>.

- *PKCS #11 Cryptographic Token Interface Usage Guide Version 2.40.* Edited by John Leiseboer and Robert Griffin. Latest version. <http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/pkcs11-ug-v2.40.html>.

Abstract:

This document is intended for developers and architects who wish to design systems and applications that conform to the PKCS #11 Cryptographic Token Interface standard.

The PKCS #11 Cryptographic Token Interface standard documents an API for devices that may hold cryptographic information and may perform cryptographic functions.

Status:

This document was last revised or approved by the OASIS PKCS 11 TC on the above date. The level of approval is also listed above. Check the “Latest version” location noted above for possible later revisions of this document. [Any other numbered Versions and other technical work produced by the Technical Committee \(TC\) are listed at https://www.oasis-open.org/committees/tc_home.php?wg_abbrev=pkcs11#technical](#)

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Table of Contents

1	Introduction	5
1.1	Description of this Document.....	5
1.2	Terminology	5
1.3	Normative References	5
1.4	Non-Normative References	6
2	Profiles.....	7
2.1	PKCS #11 Profiles	7
2.2	Guidelines for Specifying Conformance Clauses	7
2.3	Guidelines for Validating Conformance to PKCS #11 Profiles	7
3	Conformance	8
3.1	Purpose of this Section.....	8
3.2	Baseline Consumer Clause	8
3.2.1	Implementation Conformance	8
3.2.2	Conformance of a PKCS #11 Baseline Consumer	8
3.3	Baseline Provider Clause	9
3.3.1	Implementation Conformance	9
3.3.2	Conformance of a PKCS #11 Baseline Provider.....	9
3.4	Extended Consumer Clause.....	10
3.4.1	Implementation Conformance	10
3.4.2	Conformance of a PKCS #11 Extended Consumer	10
3.5	Extended Provider Clause	11
3.5.1	Implementation Conformance	11
3.5.2	Conformance of a PKCS #11 Extended Provider	11
3.6	Authentication Token Clause.....	11
3.6.1	Implementation Conformance	11
3.6.2	Conformance of a Authentication Token.....	11
Appendix A.	Acknowledgments	13
Appendix B.	Revision History	16

1 Introduction

2 1.1 Description of this Document

3 OASIS requires a conformance section in an approved committee specification ([PKCS11-Base]
4 [TCPROC], section 2.18 Work Product Quality, paragraph 8a):

5 A specification that is approved by the TC at the Public Review Draft, Committee Specification or
6 OASIS Standard level must include a separate section, listing a set of numbered conformance
7 clauses, to which any implementation of the specification must adhere in order to claim conformance
8 to the specification (or any optional portion thereof).

9 This document intends to meet this OASIS requirement on conformance clauses for providers and
10 consumers of cryptographic services via PKCS #11 ([PKCS11-Base] Section 6 (PKCS#11
11 Implementation Conformance) through profiles that define the use of PKCS #11 data types, objects,
12 functions and mechanisms within specific contexts of provider and consumer interaction. These profiles
13 define a set of normative constraints for employing PKCS #11 within a particular environment or context
14 of use. They may, optionally, require the use of specific PKCS #11 functionality or in other respects define
15 the processing rules to be followed by profile actors.

16 For normative definition of the elements of PKCS #11 specified in these profiles, see the PKCS #11
17 Cryptographic Token Interface Base Specification ([PKCS11-Base]). and the PKCS #11 Cryptographic
18 Token Interface Current Mechanisms ([PKCS11-Curr]). Illustrative guidance for the implementation of
19 providers and consumers of PKCS #11 is provided in the PKCS #11 Cryptographic Token Interface
20 Usage Guide ([PKCS11-UG]).

21 1.2 Terminology

22 The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD
23 NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described
24 in **[RFC2119]**.

25 1.3 Normative References

26	[PKCS11-Base]	<i>PKCS #11 Cryptographic Token Interface Base Specification Version 2.40. 27 Edited by Susan Gleeson and Chris Zimman. 16 September 2014. OASIS 28 Committee Specification 01. http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/cs01/pkcs11-base-v2.40-cs01.html. Latest version: http://docs.oasis-open.org/pkcs11/pkcs11-base/v2.40/pkcs11-base-v2.40.html <>DATE>>. OASIS 31 Working Draft.</i>
32	[PKCS11-Curr]	<i>PKCS #11 Cryptographic Token Interface Current Mechanisms Specification 33 Version 2.40 <>DATE>>. Edited by Susan Gleeson and Chris Zimman. 16 34 September 2014. OASIS Working Draft, Committee Specification 01. 35 http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/cs01/pkcs11-curr-v2.40-cs01.html. Latest version: http://docs.oasis-open.org/pkcs11/pkcs11-curr/v2.40/pkcs11-curr-v2.40.html</i>
38	[PKCS11-Hist]	<i>PKCS #11 Cryptographic Token Interface Historical Mechanisms Specification 39 Version <>VERSION>>, <>DATE>>, 2.40. Edited by Susan Gleeson and Chris 40 Zimman. 16 September 2014. OASIS Committee Specification 01. 41 http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/cs01/pkcs11-hist-v2.40-cs01.html. Latest version: http://docs.oasis-open.org/pkcs11/pkcs11-hist/v2.40/pkcs11-hist-v2.40.html Working Draft.</i>
44	[RFC2119]	Bradner, S., “Key words for use in RFCs to Indicate Requirement Levels”, BCP 45 14, RFC 2119, March 1997. http://www.ietf.org/rfc/rfc2119.txt .

46 [TCPDOC] OASIS, Technical Committee (TC) Process, Version 31 January 2013,
47 31January 2013, <https://www.oasis-open.org/policies-guidelines/tc-process>.
48

49 1.4 Non-Normative References

50 | [PKCS11-UG] *PKCS #11 Cryptographic Token Interface Usage Guide* Specification Version
51 | 2.40<DATE>, Edited by John Leiseboer and Robert Griffin, 16 September
52 | 2014, OASIS Committee Note 01. <http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/cn01/pkcs11-ug-v2.40-cn01.html>. Latest version: <http://docs.oasis-open.org/pkcs11/pkcs11-ug/v2.40/pkcs11-ug-v2.40.html> Working Draft.
53 |
54 |
55 |

56 2 Profiles

57 2.1 PKCS #11 Profiles

58 This document defines a selected set of conformance clauses which form PKCS #11 Profiles. The PKCS
59 11 TC also welcomes proposals for new profiles. PKCS 11 TC members are encouraged to submit these
60 proposals to the PKCS 11 TC for consideration for inclusion in a future version of this TC-approved
61 document. However, some OASIS members MAY simply wish to inform the committee of profiles or other
62 work related to PKCS #11.

63 2.2 Guidelines for Specifying Conformance Clauses

64 This section provides a checklist of issues that SHALL be addressed by each clause.

- 65 1. Implement functionality as mandated by **[PKCS11-Base] Section 6** (PKCS#11 Implementation
66 Conformance)
- 67 2. Specify the list of additional data types that SHALL be supported
- 68 3. Specify the list of additional objects that SHALL be supported
- 69 4. Specify the list of additional functions that SHALL be supported
- 70 5. Specify the list of additional mechanisms that SHALL be supported

72 2.3 Guidelines for Validating Conformance to PKCS #11 Profiles

73 A PKCS #11 provider implementation SHALL claim conformance to a specific provider profile only if it
74 instruments all required data types, objects, functions and mechanisms of that profile

- 75 • All data types specified as required in that profile
- 76 • All objects specified as required in that profile
- 77 • All functions specified as required in that profile
- 78 • All mechanisms specified as required in that profile

79 A PKCS #11 consumer implementation SHALL claim conformance to a specific consumer profile only
80 if it instruments all required data types, objects, functions and mechanisms of that profile

- 81 • All data types specified as required in that profile
- 82 • All objects specified as required in that profile
- 83 • All functions specified as required in that profile
- 84 • All mechanisms specified as required in that profile

86 **3 Conformance**

87 **3.1 Purpose of this Section**

88 The following subsections describe currently-defined profiles related to the use of PKCS #11. The profiles
89 define classes of PKCS #11 functionality to which an implementation can declare conformance.

90 **3.2 Baseline Consumer Clause**

91 A PKCS #11 consumer calls a PKCS #11 provider implementation of the PKCS #11 API in order to use
92 the cryptographic functionality from that provider.

93

94 This profile specifies the most basic functionality that would be expected of a conformant PKCS #11
95 consumer – the ability to consume information via the cryptographic services offered by a provider.

96 **3.2.1 Implementation Conformance**

97 An implementation is a conforming Baseline Consumer Clause if it meets the conditions as outlined in the
98 following section.

99 **3.2.2 Conformance of a PKCS #11 Baseline Consumer**

100 An implementation conforms to this specification as a Baseline Consumer if it meets the following
101 conditions:

- 102 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]
103 Section 6 (PKCS#11 Implementation Conformance))
- 104 2. Supports the following data types:
 - 105 a. CK_VERSION ([PKCS11-Base] 3.1)
 - 106 b. CK_INFO ([PKCS11-Base] 3.1)
 - 107 c. CK_SLOT_ID ([PKCS11-Base] 3.2)
 - 108 d. CK_SLOT_INFO ([PKCS11-Base] 3.2)
 - 109 e. CK_TOKEN_INFO ([PKCS11-Base] 3.2)
 - 110 f. CK_SESSION_HANDLE ([PKCS11-Base] 3.3)
 - 111 g. CK_USER_TYPE ([PKCS11-Base] 3.3)
 - 112 h. CK_SESSION_INFO ([PKCS11-Base] 3.3)
 - 113 i. CK_OBJECT_HANDLE ([PKCS11-Base] 3.4)
 - 114 j. CK_OBJECT_CLASS ([PKCS11-Base] 3.4)
 - 115 k. CK_ATTRIBUTE_TYPE ([PKCS11-Base] 3.4)
 - 116 l. CK_ATTRIBUTE ([PKCS11-Base] 3.4)
 - 117 m. CK_RV ([PKCS11-Base] 3.6)
 - 118 n. CK_FUNCTION_LIST ([PKCS11-Base] 3.6)
 - 119 o. CK_C_INITIALIZE_ARGS ([PKCS11-Base] 3.7)
- 120 3. Supports the following objects:
 - 121 a. CKA_CLASS ([PKCS11-Base] 4.2)
 - 122 b. CKA_VALUE ([PKCS11-Base])
- 123 4. Supports the following functions:
 - 124 a. C_GetFunctionList ([PKCS11-Base] 5.4)
 - 125 b. C_Initialize ([PKCS11-Base] 5.4)
 - 126 c. C_Finalize ([PKCS11-Base] 5.4)
 - 127 d. C_GetInfo ([PKCS11-Base] 5.4)
 - 128 e. C_GetSlotList ([PKCS11-Base] 5.5)

- 129 f. C_GetSlotInfo ([PKCS11-Base] 5.5)
130 g. C_GetTokenInfo ([PKCS11-Base] 5.5)
131 h. C_OpenSession ([PKCS11-Base] 5.6)
132 i. C_CloseSession ([PKCS11-Base] 5.6)
- 133 5. Supports the following mechanisms:
134 a. None specified
135 6. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
136 7. Optionally supports any clause within [PKCS11-Base] that is not listed above
137 8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
138 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

139 **3.3 Baseline Provider Clause**

140 A PKCS #11 provider makes cryptographic functionality available to a consuming application in terms of
141 the PKCS #11 API.

142 This profile specifies the most basic functionality that would be expected of a conformant PKCS #11
143 provider – the ability to provide information about the capabilities of the cryptographic services provided.

144 **3.3.1 Implementation Conformance**

145 An implementation is a conforming Baseline Provider if it meets the conditions as outlined in the following
146 section.

147 **3.3.2 Conformance of a PKCS #11 Baseline Provider**

148 An implementation conforms to this specification as a Baseline Provider if it meets the following
149 conditions:

- 150 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]

151 Section 6 (PKCS#11 Implementation Conformance)

- 152 2. Supports the following data types:

- 153 a. CK_VERSION ([PKCS11-Base] 3.1)
154 b. CK_INFO ([PKCS11-Base] 3.1)
155 c. CK_SLOT_ID ([PKCS11-Base] 3.2)
156 d. CK_SLOT_INFO ([PKCS11-Base] 3.2)
157 e. CK_TOKEN_INFO ([PKCS11-Base] 3.2)
158 f. CK_SESSION_HANDLE ([PKCS11-Base] 3.3)
159 g. CK_USER_TYPE ([PKCS11-Base] 3.3)
160 h. CK_SESSION_INFO ([PKCS11-Base] 3.3)
161 i. CK_OBJECT_HANDLE ([PKCS11-Base] 3.4)
162 j. CK_OBJECT_CLASS ([PKCS11-Base] 3.4)
163 k. CK_ATTRIBUTE_TYPE ([PKCS11-Base] 3.4)
164 l. CK_ATTRIBUTE ([PKCS11-Base] 3.4)
165 m. CK_RV ([PKCS11-Base] 3.6)
166 n. CK_FUNCTION_LIST ([PKCS11-Base] 3.6)
167 o. CK_C_INITIALIZE_ARGS ([PKCS11-Base] 3.7)

- 168 3. Supports the following objects:

- 169 a. CKA_CLASS ([PKCS11-Base] 4.2)
170 b. CKA_TOKEN ([PKCS11-Base] 4.2)
171 c. CKA_VALUE ([PKCS11-Base])
172 d. CKA_ID ([PKCS11-Base])
173 e. CKA_PRIVATE ([PKCS11-Base] x.y)
174 f. CKA_MODIFIABLE ([PKCS11-Base])
175 g. CKA_LABEL ([PKCS11-Base])

- 176 4. Supports the following functions:

- 177 a. C_GetFunctionList ([PKCS11-Base] 5.4)
178 b. C_Initialize ([PKCS11-Base] 5.4)
179 c. C_Finalize ([PKCS11-Base] 5.4)
180 d. C_GetInfo ([PKCS11-Base] 5.4)
181 e. C_GetSlotList ([PKCS11-Base] 5.5)
182 f. C_GetSlotInfo ([PKCS11-Base] 5.5)
183 g. C_GetTokenInfo ([PKCS11-Base] 5.5)
184 h. C_OpenSession ([PKCS11-Base] 5.6)
185 i. C_CloseSession ([PKCS11-Base] 5.6)
186 j. C_GetSessionInfo ([PKCS11-Base] 5.6)
187 k. C_FindObjectsInit ([PKCS11-Base] 5.6)
188 l. C_FindObjects ([PKCS11-Base] 5.6)
189 m. C_FindObjectsFinal ([PKCS11-Base] 5.6)
190 n. C_GetAttributeValue ([PKCS11-Base] 5.7)
- 191 5. Supports the following mechanisms:
192 a. None specified
193 6. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
194 7. Optionally supports any clause within [PKCS11-Base] that is not listed above
195 8. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
196 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

197 **3.4 Extended Consumer Clause**

198 This profile builds on the PKCS#11 Baseline Consumer profile to add support for mechanism-based
199 usage.

200 **3.4.1 Implementation Conformance**

201 An implementation is a conforming Extended Consumer if it meets the conditions as outlined in the
202 following section.

203 **3.4.2 Conformance of a PKCS #11 Extended Consumer**

204 An implementation conforms to this specification as Extended Consumer if it meets the following
205 conditions:

- 206 1. Supports the conditions required by the PKCS11 conformance clauses ([PKCS11-Base] Section
207 6 (PKCS#11 Implementation Conformance))
- 208 2. Supports the conditions required by the PKCS11 Baseline Consumer clauses section 3.2
- 209 3. Supports the following additional data types:
 - 210 a. CK_MECHANISM_TYPE ([PKCS11-Base] 3.4)
 - 211 b. CK_MECHANISM ([PKCS11-Base] 3.4)
- 212 4. Supports the following additional objects:
 - 213 a. None specified
- 214 5. Supports the following additional functions:
 - 215 a. C_GetMechanismList ([PKCS11-Base] 5.5)
 - 216 b. C_GetMechanismInfo ([PKCS11-Base] 5.5)
- 217 6. Supports the following additional mechanisms:
 - 218 a. None specified
- 219 7. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism
- 220 8. Optionally supports any clause within [PKCS11-Base] that is not listed above
- 221 9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
222 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

223 **3.5 Extended Provider Clause**

224 This profile builds on the PKCS#11 Baseline Provider to add support for mechanism-based usage.

225 **3.5.1 Implementation Conformance**

226 An implementation is a conforming Extended Provider if it meets the conditions as outlined in the
227 following section.

228 **3.5.2 Conformance of a PKCS #11 Extended Provider**

229 An implementation conforms to this specification as Extended Provider if it meets the following conditions:

- 230 1. Supports the conditions required by the PKCS #11 conformance clauses ([PKCS11-Base]
231 Section 6 (PKCS#11 Implementation Conformance)

232 2. Supports the conditions required by the PKCS #11 Baseline Provider clauses section 3.3.

233 3. Supports the following additional data types:

- 234 a. CK_MECHANISM_TYPE ([PKCS11-Base] 3.4)
- 235 b. CK_MECHANISM ([PKCS11-Base] 3.4)

236

237 4. Supports the following additional objects:

- 238 a. None specified

239 5. Supports the following additional functions:

- 240 a. C_GetMechanismList ([PKCS11-Base] 5.5)
- 241 b. C_GetMechanismInfo ([PKCS11-Base] 5.5)
- 242 c. C_Login ([PKCS11-Base] 5.6)
- 243 d. C_Logout ([PKCS11-Base] 5.6)

244 6. Supports the following additional mechanisms:

- 245 a. None specified

246 7. Supports Error Handling ([PKCS11-Base] 5.1) for any supported object, function or mechanism

247 8. Optionally supports any clause within [PKCS11-Base] that is not listed above

248 9. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
249 extensions, conformance clauses) that do not contradict any PKCS #11 requirements

250 **3.6 Authentication Token Clause**

251 This profile builds on the PKCS #11 Baseline Provider and/or Baseline Consumer profiles to provide for
252 use in the context of an authentication token.

253 **3.6.1 Implementation Conformance**

254 An implementation is a conforming Authentication Token if it meets the conditions as outlined in the
255 following section.

256 **3.6.2 Conformance of a Authentication Token**

257 An implementation conforms to this specification as an Authentication Token if it meets the following
258 conditions:

- 259 1. If the implementation is a consumer then it SHALL support the conditions required by the PKCS
260 #11 Baseline Consumer Clause (Section 3.2)
- 261 2. If the implementation is a provider then it SHALL support the conditions required by the PKCS
262 #11 Baseline Provider Clause (Section 3.3)
- 263 3. Supports the following objects:

- 264 a. CKO_PRIVATE_KEY
265 b. CKO_PUBLIC_KEY
- 266 4. Supports the following functions:
267 a. C_Login
268 b. C_Logout
269 c. C_SignInit
270 d. C_Sign and/or C_SignUpdate and C_SignFinal
- 271 5. Supports the following mechanisms:
272 a. None specified
- 273 6. Optionally supports any clause within [PKCS11-Base] that is not listed above
- 274 7. Optionally supports extensions outside the scope of this standard (e.g., vendor defined
275 extensions, conformance clauses) that do not contradict any PKCS #11 requirements.
- 276

277 Appendix A. Acknowledgments

278 The following individuals have participated in the creation of this specification and are gratefully
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280

281 Participants:

282

283 Gil Abel, Athena Smartcard Solutions, Inc.

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285 Jeff Bartell, Semper Foris Solutions LLC

286 Peter Bartok, Venafi, Inc.

287 Anthony Berglas, Cryptsoft

288 Joseph Brand, Semper Fortis Solutions LLC

289 Kelley Burgin, National Security Agency

290 Robert Burns, Thales e-Security

291 Wan-Teh Chang, Google Inc.

292 Hai-May Chao, Oracle

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294 Sangrae Cho, Electronics and Telecommunications Research Institute (ETRI)

295 Doron Cohen, SafeNet, Inc.

296 Fadi Cotran, Futurex

297 Tony Cox, Cryptsoft

298 Christopher Duane, EMC

299 Chris Dunn, SafeNet, Inc.

300 Valerie Fenwick, Oracle

301 Terry Fletcher, SafeNet, Inc.

302 Susan Gleeson, Oracle

303 Sven Gossel, Charismathics

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307 Peter Gutmann, Individual

308 Dennis E. Hamilton, Individual

309 Thomas Hardjono, M.I.T.

310 Tim Hudson, Cryptsoft

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313 Wang Jingman, Feitan Technologies

314 Andrey Jivsov, Symantec Corp.

315 Mark Joseph, P6R

316 Stefan Caesar, Infineon Technologies

317 Greg Kazmierczak, Wave Systems Corp.
318 Mark Knight, Thales e-Security
319 Darren Krahn, Google Inc.
320 Alex Krasnov, Infineon Technologies AG
321 Dina Kurktchi-Nimeh, Oracle
322 Mark Lambiase, SecureAuth Corporation
323 Lawrence Lee, GoTrust Technology Inc.
324 John Leiseboer, QuintessenceLabs
325 [Sean Leon, Infineon Technologies](#)
326 [Geoffrey Li, Infineon Technologies](#)
327 [Howie Liu, Infineon Technologies](#)
328 Hal Lockhart, Oracle
329 Robert Lockhart, Thales e-Security
330 Dale Moberg, Axway Software
331 Darren Moffat, Oracle
332 Valery Osheter, SafeNet, Inc.
333 Sean Parkinson, EMC
334 Rob Philpott, EMC
335 Mark Powers, Oracle
336 Ajai Puri, SafeNet, Inc.
337 Robert Relyea, Red Hat
338 Saikat Saha, Oracle
339 Subhash Sankuratripati, NetApp
340 [Anthony Scarpino, Oracle](#)
341 Johann Schoetz, Infineon Technologies AG
342 Rayees Shamsuddin, Wave Systems Corp.
343 Radhika Siravara, Oracle
344 Brian Smith, Mozilla Corporation
345 David Smith, Venafi, Inc.
346 Ryan Smith, Futurex
347 Jerry Smith, US Department of Defense (DoD)
348 Oscar So, Oracle
349 [Graham Steel, Cryptosense](#)
350 Michael Stevens, QuintessenceLabs
351 Michael StJohns, Individual
352 [Jim Susoy, P6R](#)
353 Sander Temme, Thales e-Security
354 Kiran Thota, VMware, Inc.
355 Walter-John Turnes, Gemini Security Solutions, Inc.
356 Stef Walter, Red Hat
357 [James Wang, Vormetric](#)
358 Jeff Webb, Dell

359 | [Peng Yu, Feitian Technologies](#)
360 Magda Zdunkiewicz, Cryptsoft
361 | [Chris Zimman, Bloomberg Finance L.P.Individual](#)
362

363 **Appendix B. Revision History**

364

Revision	Date	Editor	Changes Made
wd01	20-Mar-2013	Tim Hudson	Template provided by OASIS
wd02	3-Apr-2013	Tim Hudson	Initial draft
wd03	18-Sep-2013	Tim Hudson	Updated draft matching current drafts of the specification
wd04	27-Oct-2013	Robert Griffin	Final participant list and other editorial changes for Committee Specification Draft
wd04a	27-Oct-2013	Tim Hudson	Deleted no longer valid comment and corrected unknown section reference.
<u>csd01</u>	<u>30-Oct-2013</u>	<u>OASIS</u>	<u>Committee Specification Draft</u>
wd05	25-Feb-2014	Tim Hudson / Robert Griffin	Incorporated changes from v2.40 public review
<u>csd02</u>	<u>23-Apr-2014</u>	<u>OASIS</u>	<u>Committee Specification Draft</u>
<u>csd02a</u>	<u>Sep 3 2013</u>	<u>Robert Griffin</u>	<u>Updated revision history and participant list in preparation for Committee Specification ballot</u>

365

366