simply secure

IncaMail

Information security

Version: V01.12

Date: March 2019

Contents

1 Introduction

With IncaMail Post CH Ltd provides a platform for confidential and verifiable e-mail exchange. Here technically and legally we rely on standards and make it possible – integrated in existing processes – to exchange information (e-mails) between users and systems confidentially and verifiably. In this regard we offer various identification and security levels oriented towards the business case / application.
Depending on the business case / application, different connection types are provided, for example Mail Gateway Integration (MGI), Enterprise Application Integration (EAI) or Web Interface.

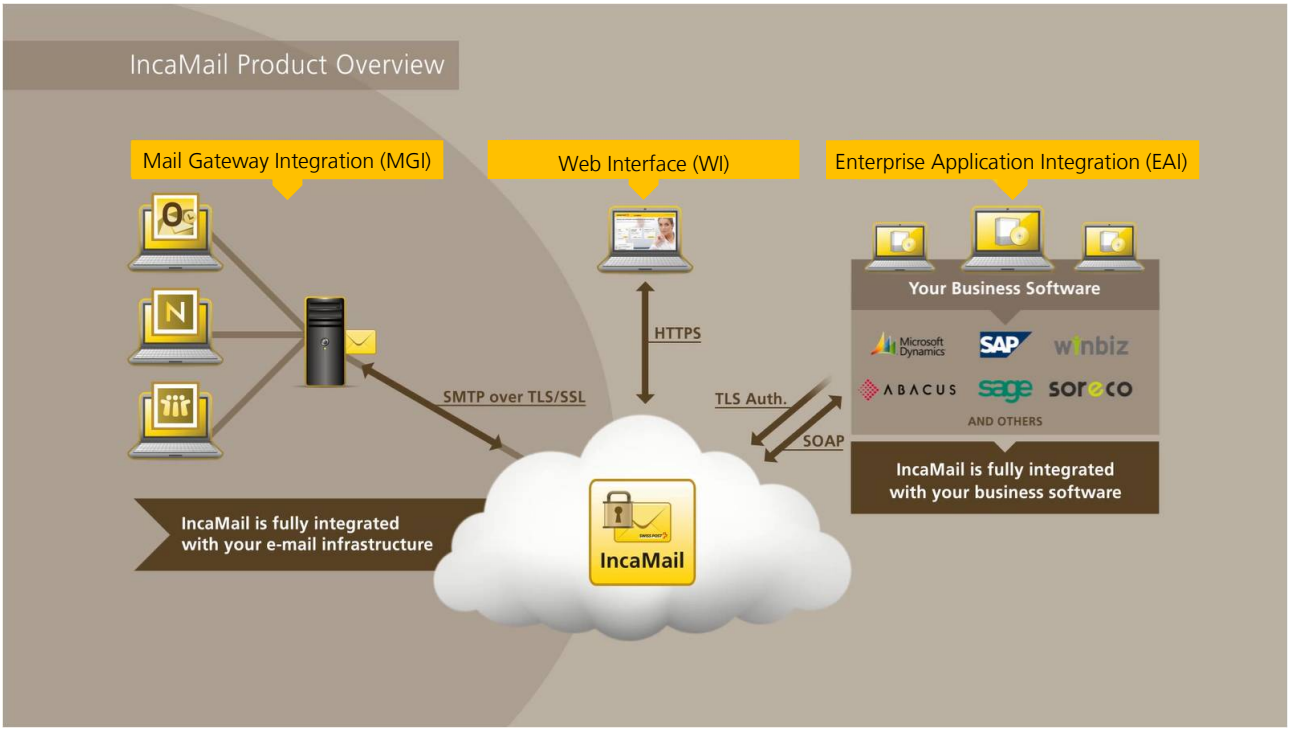
2 Basic principles

To ensure information security with IncaMail, Post CH Ltd adheres to the following basic principles which give the acronym INCA:

- **I**ntegrity
- **N**on-repudiability
- **C**onfidentiality
- **A**uthentication

Integrity	The messages remain unchanged. Post CH Ltd ensures that data is not changed when it is transferred.
Non-repudiability:	Sending and receiving can be verified. When the messages are retrieved, this is documented with IncaMail. With the message type "Registered", the sender receives proof as a digitally signed acknowledgement with a time stamp.
Confidentiality:	The data cannot be seen by third parties. IncaMail transfers all data via an encrypted connection.
Authentication:	The users are identified by entering their e-mail address and, if necessary, with the physical address when registering personally for the first time, and by entering the corresponding activation codes. If it is not a personal use of IncaMail but rather a company domain connection, the authentication is done via a written IncaMail service contract.

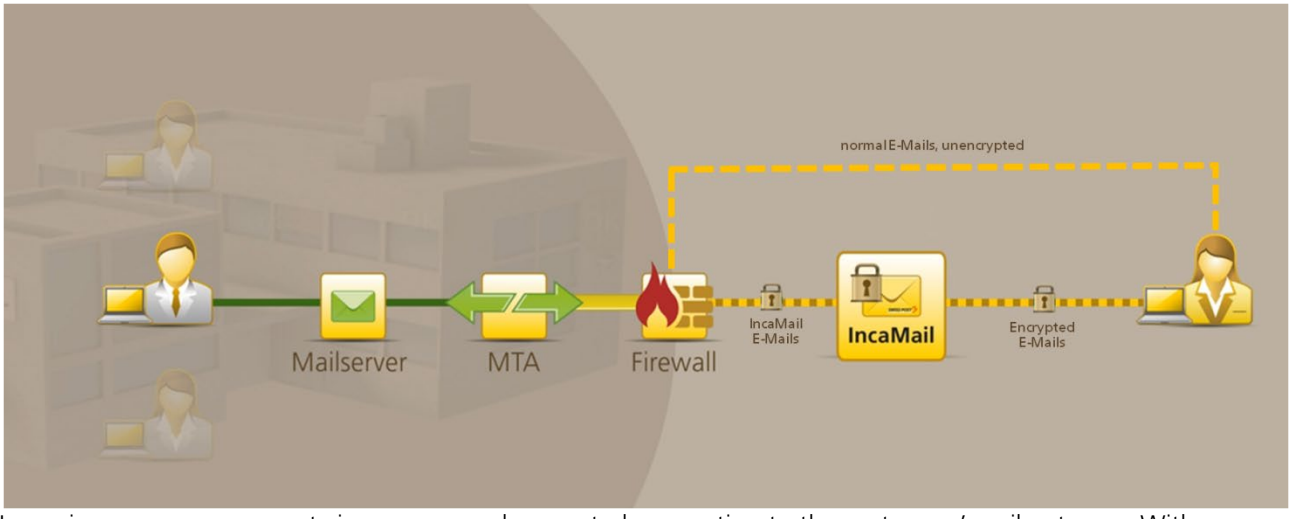
3 Connection types



IncaMail offers different connection types which are used depending on the customers' requirements. In the following chapters each connection type is explained briefly.

3.1 Mail Gateway Integration (MGI)

The customers connect their mail gateway to send and receive messages with an encrypted line with IncaMail. The gateway function is activated in the customers' own corporate network. The customers' existing mail gateway is configured by the customers so that normal e-mails are still sent and received via the customers' own infrastructure and only IncaMails are passed on to the IncaMail platform via an encrypted connection.

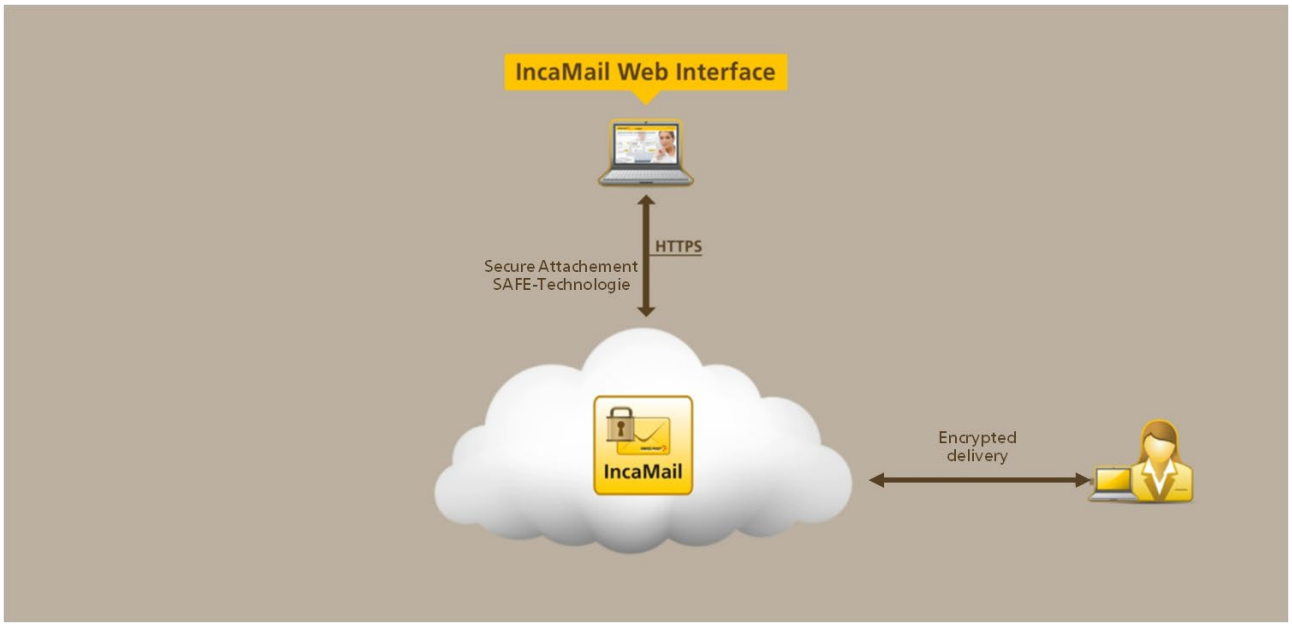


Incoming messages are sent via a secure and encrypted connection to the customers' mail gateway. With incoming messages from the customers' gateway and with outgoing messages until they are passed on to the IncaMail platform, the customers themselves are responsible for the integrity and confidentiality of the messages in their own network.
IncaMail receives only messages from the customers' mail gateway which are sent via TLS encryption (incl. certificate-authentication) and only delivers messages to the customers' mail gateway if TLS encryption (incl.

certificate-authentication) can be established (enforcement). The technical connection of the IncaMail customers is therefore encrypted, with the encryption technology based on the state of the art.

3.2 Web Interface (WI)

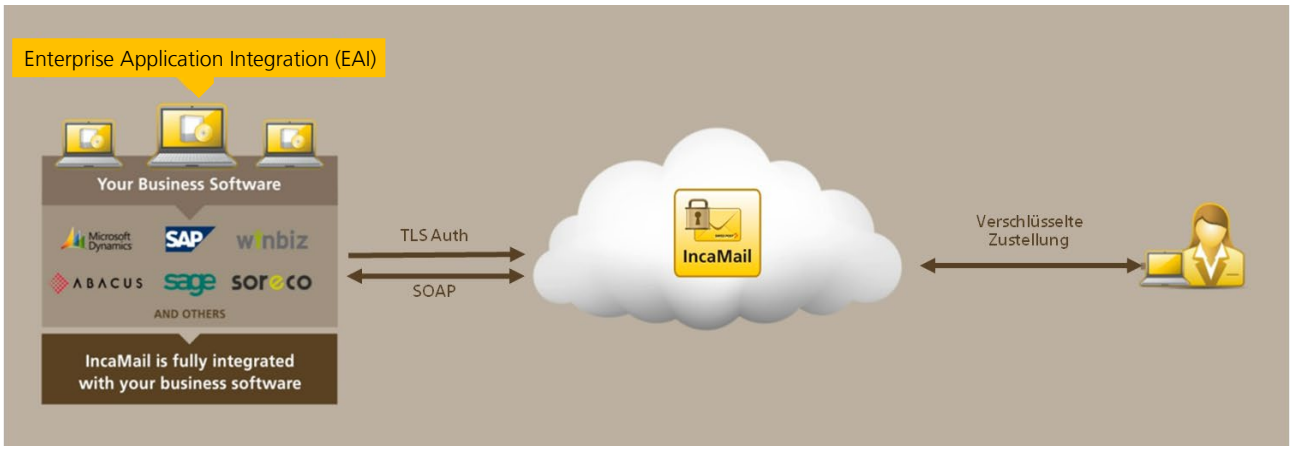
Via IncaMail Web Interface you can use IncaMail directly from your web browser and, thanks to the patented SAFE technology, receive e-mails directly in your usual inbox.



IncaMail can be used directly via Web Interface for sending and receiving e-mails – irrespective of your location. E-mails are received with the patented SAFE technology (Secure Attached File Encryption). The actual, confidential message is integrated as an encrypted attachment in a normal e-mail. The advantage of this is that you always find the e-mail directly in your inbox and the message is not stored on the IncaMail server.

3.3 Enterprise Application Integration (EAI)

With EAI, sending and receiving can be integrated directly in the business software.



Here IncaMail offers the two interfaces SOAP web service (HTTPS) and TLS Auth (SMTP over TLS). Authentication is via a valid user name/password.
The TLS Auth interface can be used only for sending messages.
Via SOAP web service messages can be sent and also received. When receiving messages, the encrypted messages can be decrypted via SOAP decrypt or the IncaMail messages are stored temporarily in encrypted form for the corresponding recipient until they are retrieved. This receiving function is activated only if desired by the recipient and only for these specific accounts. Messages are stored encrypted and only for a limited time of a maximum of 7 days until they are retrieved, after this period the messages are deleted.

4 Processing

IncaMail is a platform for the traceable and confidential exchange of e-mails. To support the different connection types and also the check for malware, content data is located temporarily on the platform as part of the sending, retrieval and reading process. Of course this is deleted immediately when these sending/retrieval/reading processes are concluded. ISO 27001-certified processes also ensure that no unauthorised people (e.g. administrators) have access during these sending, retrieval and reading processes.

5 Scope of services of IncaMail according to dispatch types

Service	Confidential	Personal	Registered
Identification of sender	At least verification of e-mail address or business customer contract	At least verification of e-mail address or business customer contract	At least verification of e-mail address or business customer contract
Identification of recipient	At least verification of e-mail address or business customer contract	At least verification of e-mail address or business customer contract	At least verification of e-mail address or business customer contract
Authentication of sender	At least e-mail address and individual password or domain certificate (BC-MGI*)	At least e-mail address and individual password or domain certificate (BC-MGI*)	At least e-mail address and individual password or domain certificate (BC-MGI*)
Authentication of recipient	At least e-mail address, encrypted message and security code via e-mail or domain certificate (BC-MGI*)	At least e-mail address, encrypted message and individual password	At least e-mail address, encrypted message and password or domain certificate (BC-MGI*)
Confidentiality	Transport route encrypted BC-MGI*: unencrypted in the internal network of the business customer	Transport route encrypted BC-MGI*: unencrypted when sending in the internal network of the sending business customer	Transport route encrypted BC-MGI*: unencrypted in the internal network of the business customer
Identifiable message status	Arrived at IncaMail Delivered Undeliverable System message Read (not for BC-SI*)	Arrived at IncaMail Delivered Undeliverable System message Read	Arrived at IncaMail Accepted Delivery refused Expired Undeliverable
Logging for the purpose of traceability (journal/logbook)	Status in online logbook or business software	Status in online logbook or business software	Status in online logbook or business software Digitally signed postal receipts for dispatch and receipt
Receipt	Web interface recipients have to actively open message; BC-MGI* receive message automatically.	All recipients have to actively open message.	All recipients have to actively agree to receiving message.
Delivery	Usually within a few seconds. If there are complications: Several delivery attempts within 72 hours incl. information to sender	Usually within a few seconds. If there are complications: Several delivery attempts within 72 hours incl. information to sender	Usually within a few seconds. If there are complications: Several delivery attempts within 72 hours incl. information to sender
Legal basis	General terms and conditions or business customer contract	General terms and conditions or business customer contract	General terms and conditions or business customer contract VeÜ-ZSSV**
Other	-	-	Acceptance can be refused by recipient.

* BC-MGI = Business customers with Mail Gateway Integration. MGI is a product for integrating IncaMail directly in a business customer e-mail infrastructure.
**Ordinance from 18 June 2010 on Electronic Transmission for Civil and Criminal Trials and for Debt Collection and Bankruptcy Proceedings (VeÜ-ZSSV)

6 Certification and obligations

As already mentioned, the information security of IncaMail is based on the certified setup of an information security management system (ISMS) according to ISO/IEC 27001:2013 (Information Technology – Security Techniques – Information Security Management Systems – Requirements).

In Switzerland, according to the legal requirements, Post CH Ltd has also been recognised by the state as an officially approved delivery platform for electronic legal dealings in court proceedings and matters with authorities (eGov). Accreditation as an approved delivery platform requires fulfilment of the requirements for the architecture and technical security and also fulfilment of high operational requirements (information security and IT service management).

When dealing with customer data, Post CH Ltd is bound to Swiss postal and telecommunications secrecy and, in connection with IncaMail, also guarantees the level of confidentiality required in the Swiss banking world, in the insurance business or in attorneyship (banking secrecy, stockbroker secrecy, insurance secrecy, attorney-client privilege). In addition the auditing firm KPMG confirms that the operation of the IncaMail platform fulfils the requirements of the Swiss Financial Market Supervisory Authority FINMA according to the FINMA circular 2008/7 "Outsourcing Banks" (revised in December 2012).

7 Use of IncaMail in Germany: order data processing and data protection

IncaMail is used at many companies in Germany. Characteristics of IncaMail include that the data is processed in Switzerland in compliance with Swiss data protection legislation and strict information and data security measures.

According to the European Data Protection Directive 95/46/EC (Art. 25) and the corresponding implementation in the German Federal Data Protection Act (§ 4b), a requirement for the lawful transfer of data to a foreign country is that an adequate level of data protection is guaranteed at the receiving location in the third country.

The European Commission has confirmed in due form that the level of data protection is adequate in Switzerland and has recorded this in particular in the following documents:

- Commission Decision of 26 July 2000 pursuant to Directive 95/46/EC of the European Parliament and of the Council on the adequate protection of personal data provided in Switzerland;
- Preparatory document from 7 June 1999;
- Commission Staff Working Document from 20.10.2004.

For the lawful transfer of data from Member States of the European Union to Switzerland, the requirement that an adequate level of data protection must be guaranteed at the receiving location in the third country is therefore fulfilled.

The IT systems used for IncaMail and other resources are protected against unauthorised processing by technical and organisational measures of information and data security.

Based on the prevailing legal situation in Germany, the transfer of personal data from Germany to Switzerland is therefore unproblematic in legal terms. This statement corresponds with our experiences from business dealings with other customers in Germany.

Nevertheless, we ask you to not consider our information as legally binding. We are confident, however, that your legal advisers will support our findings. If necessary we will be happy to arrange a discussion between your legal advisers and our lawyers.

8 Technical and organisational measures

The IncaMail Department of Post CH Ltd has taken technical and organisational measures so that its internal

organisation meets the particular requirements of information security to protect personal data against abuse. These explanations and descriptions which refer to the IncaMail Department of Post CH Ltd are, in their current version, part of the documentation on information security.

Entry control

The aim of entry control is to prevent unauthorised entry to data processing systems with which personal data is processed or used.

Measures of the IncaMail Department of Post CH Ltd for entry control:
The IncaMail servers are in a computer centre which has a multi-level security concept and is built according to the room-within-a-room principle.

The security features include:

- The computer centre is monitored by cameras and guarded around the clock (24/7) by security staff who check the buildings both inside and outside
- All building areas are alarmed
- Without proof of identity, nobody can enter or leave the building, all visitors are compared with a customer-specific permission list
- The security systems comprise contactless keycards which are usually complemented by biometric readers and personal interlock systems

Connection control

The aim of connection control is to take suitable measures to prevent unauthorised use of data processing systems with which personal data is processed or used.

Measures of the IncaMail Department of Post CH Ltd for connection control:
For administrative activities the operators have to connect to a jump host via a VPN and can then access the corresponding IncaMail servers only from here. Authentication in the VPN is done via a two-sided certificate-based process. Connecting to the jump host then requires a SuisseID (advanced certificate on a hardware token). Afterwards the operator has to log on to the IncaMail server again under his/her UserID. The respective operators are given corresponding authorisation by Post CH Ltd.

Access control

The aim of access control is to guarantee that only those people authorised to use the data processing systems can solely access the personal data which is subject to their access authorisation and that personal data cannot be read, copied, modified or deleted without authorisation during processing, use and after storage.

Measures of the IncaMail Department of Post CH Ltd for access control
Access is logged in the respective systems. These logs are archived according to the company accounts decree.

Transfer control

The aim of transfer control is to guarantee that personal data cannot be read, copied, modified or deleted without authorisation while being electronically transmitted, transported or stored on data carriers, and that it can be checked and determined at which locations the transfer of personal data by data transmission facilities is scheduled.

Measures of IncaMail Department of Post CH Ltd for transfer control:
IncaMail is a platform for the confidential and verifiable exchange of e-mails. Here the senders and also the recipients of the e-mails are identified and authenticated.
To support the different connection types and also the check for malware, content data is located temporarily on the platform as part of the sending and reading process. Of course this is removed again immediately when these sending/reading processes are concluded. ISO 27001-certified processes also ensure that no unauthorised

people (e.g. administrators) have access during these sending and reading processes. The account and transaction log data is stored on encrypted backup devices.

Input control

The aim of input control is that it can be determined subsequently whether and by whom personal data has been entered in the data processing systems, modified or deleted.

Measures of the IncaMail Department of Post CH Ltd for input control:

Every participant on the IncaMail platform is identified and authenticated. The corresponding activities are logged.

The activities of the operators of the IncaMail platform are logged.

Order supervision

The aim of order supervision is to guarantee that personal data processed as per order can be processed only according to the instructions of the orderer.

Measures of the IncaMail Department of Post CH Ltd for order supervision:
The sender selects a desired dispatch type for each IncaMail. This dispatch type determines how the IncaMails are to be processed. This processing is controlled via the SW.

Availability control

The aim of availability control is to guarantee that personal data is protected against accidental destruction or loss.

Measures of the IncaMail Department of Post CH Ltd for availability control:

The infrastructure is redundant and the account and transaction log data is backed up. The encrypted backups are stored in a safe at a Swiss bank.

Separation control

The aim of separation control is to guarantee that data collected for different purposes can be processed separately (limitation of use).

Measures of the IncaMail Department of Post CH Ltd for separation control:
IncaMail runs on dedicated servers.

9 Handling IncaMail

As a platform for the confidential and traceable exchange of information, IncaMail is integrated in an overall system (person, computer and internet) of senders and recipients, and here their security is outside the control of IncaMail.

As a user you can influence the security of this overall system, however:

- Person:
  - Make sure there is a secure password for the IncaMail Service or your e-mail service. Do not choose a password which is easy to guess. Tips on secure passwords can be found with the registration of IncaMail; when entering the password the password strength is displayed as a graphic next to the input field.
  - Make sure that the recipient address (e-mail) you enter is correct and corresponds with your desired recipient.
  - Check the right dispatch type is selected (e.g. for certain court petitions the dispatch type eGov Registered is compulsory).

    - If you are sending large attachments, it is recommended to clarify with the recipient in advance the maximum amount of data which can be received by e-mail. Here it needs to be taken into consideration that the message will become larger because of the encryption with IncaMail.
    - Check the acknowledgements issued by IncaMail for correctness.

- Computer:
    - Protect your computer with an antivirus program and keep your operating system and also your applications up to date (further information can be found at the Reporting and Analysis Centre for Information Assurance MELANI of the Federal Government). After a transaction is completed, log off correctly from IncaMail (Link "Logging off") and empty the browser cache.

- Internet:
    - Visit only websites you trust. When logging in, check the green display of the link in the browser. Observe the information of the Federal Government on caution when surfing the internet.

A requirement for every secure online transaction or communication is that all participants carefully deal with all elements in the process. This is the case in e-banking as well as in the use of IncaMail.

10 Appendix

10.1 ISO27001 certificate

CERTIFICATE

SQS has issued an IQNet recognized certificate that the organization:

Post CH AG
Development and innovation
Wankdorfallee 4
3030 Bern
Switzerland

has implemented and maintains a

Management System

for the following scope(s):

33

which fulfills the requirements of the following standard(s):

ISO/IEC 27001:2013 Information Security Management Systems

Issued on: 2018-11-16
Expires on: 2021-11-15

This attestation is directly linked to the IQNet Partner's original certificate and shall not be used as a stand-alone document

Registration Number: CH-60100

IQNet

Alex Stoichitoiu
President of IQNet

Felix Müller
CEO SQS

SQS

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