



# SAML V2.0 Holder-of-Key Assertion Profile

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## Abstract:

~~The SAML V2.0 Holder-of-Key Assertion Profile describes the issuing and processing of holder-of-key SAML assertions. Specifically, we show how a SAML issuer binds X.509 data to a <ds:KeyInfo> element and how a relying party confirms that a <ds:KeyInfo> element matches given X.509 data. The binding material used by the SAML issuer and the matching data used by the relying party areis profile describes the issuing and processing of a holder-of-key <saml:SubjectConfirmation> element. Specifically, we show how a SAML issuer binds X.509 data to a <ds:KeyInfo> element and how a relying party confirms that a <ds:KeyInfo> element matches given X.509 data. The binding material used by the SAML issuer and the matching data used by the relying party is~~ obtained from a standard X.509 public key certificate.

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## 82 **Table of Contents**

|     |  |    |
|-----|--|----|
| 83  | 1 Introduction.....  | 4  |
| 84  | 1.1 Notation.....  | 4  |
| 85  | 1.2 Normative References.....  | 4  |
| 86  | 1.3 Non-normative References.....  | 5  |
| 87  | 1.4 Conformance.....   | 5  |
| 88  | 1.4.1 SAML V2.0 Holder-of-Key Assertion Profile.....   | 5  |
| 89  | 2 SAML V2.0 Holder-of-Key Assertion Profile.....   | 7  |
| 90  | 2.1 Required Information.....  | 7  |
| 91  | 2.2 Profile Description.....   | 7  |
| 92  | 2.3 Background.....  | 7  |
| 93  | 2.4 X.509 Certificate Usage.....   | 8  |
| 94  | 2.5 Issuing Holder-of-Key AssertionHolder-of-Key Subject Confirmation Issuing Rules.....       | 8  |
| 95  | 2.5.1 KeyInfo Usage.....   | 9  |
| 96  | 2.5.2 Example.....   | 9  |
| 97  | 2.6 Processing Holder-of-Key AssertionHolder-of-Key Subject Confirmation Processing Rules..... | 10 |
| 98  | 2.7 Security and Privacy Considerations.....   | 11 |
| 99  | Appendix A. Acknowledgments.....   | 12 |
| 100 | Appendix B. Revision History.....  | 13 |
| 101 |  |    |

# 1 Introduction

The *SAML V2.0 Holder-of-Key Assertion Profile* describes the issuing and processing of a holder-of-key SAML assertion, that is, an assertion containing a `<saml:SubjectConfirmation>` element whose `Method` attribute is set to `urn:oasis:names:tc:SAML:2.0:cm:holder-of-key`. Specifically, we describe the structural characteristics of a `<ds:KeyInfo>` element with bound X.509 data and show how a relying party confirms that such a `<ds:KeyInfo>` element matches given X.509 data. The binding material used by the SAML issuer and the matching data used by the relying party areis *SAML V2.0-Holder-of-Key Assertion Profile* describes the issuing and processing of a holder-of-key `<saml:SubjectConfirmation>` element. Specifically, we show how a SAML issuer binds X.509 data to a `<ds:KeyInfo>` element and how a relying party confirms that a `<ds:KeyInfo>` element matches given X.509 data. The binding material used by the SAML issuer and the matching data used by the relying party is obtained from a standard X.509 public key certificate.

A distinguishing characteristic of this profile is that *the presenter is the subject*. The case where the presenter is acting on behalf of the subject does not apply since the latter does not result in holder-of-key SAML assertions.

## 1.1 Notation

This specification uses normative text.

The keywords "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this specification are to be interpreted as described in [RFC2119]:

...they MUST only be used where it is actually required for interoperation or to limit behavior which has potential for causing harm (e.g., limiting retransmissions)...

These keywords are thus capitalized when used to unambiguously specify requirements over protocol and application features and behavior that affect the interoperability and security of implementations. When these words are not capitalized, they are meant in their natural-language sense.

Listings of XML schemas appear like this.

Example code listings appear like this.

Conventional XML namespace prefixes are used throughout the listings in this specification to stand for their respective namespaces as follows, whether or not a namespace declaration is present in the example:

| Prefix | XML Namespace                         | Comments   |
|--------|---------------------------------------|--|
| saml:  | urn:oasis:names:tc:SAML:2.0:assertion | This is the SAML V2.0 assertion namespace defined in the SAML V2.0 core specification [SAML2Core]. |
| ds:    | http://www.w3.org/2000/09/xmldsig#    | This is the XML Signature namespace [XMLSig].  |

This specification uses the following typographical conventions in text: `<SAMLElement>`, `<ns:ForeignElement>`, `Attribute`, **Datatype**, `OtherCode`.

## 1.2 Normative References

- [RFC2119] S. Bradner. *Key words for use in RFCs to Indicate Requirement Levels*. IETF RFC 2119, March 1997. <http://www.ietf.org/rfc/rfc2119.txt>

138 **[RFC4514]** ~~K. Zeilenga. *Lightweight Directory Access Protocol (LDAP): String*~~  
139 ~~*Representation of Distinguished Names*. IETF RFC 4514, June 2006.~~  
140 ~~<http://www.ietf.org/rfc/rfc4514.txt> **2253]**—M. Wahl, S. Kille, T. Howes. *Lightweight*~~  
141 ~~*Directory Access Protocol (v3): UTF-8 String Representation of Distinguished*~~  
142 ~~*Names*. IETF RFC 2253, December 1997. <http://www.ietf.org/rfc/rfc2253.txt>~~

143 **[SAML2Core]** S. Cantor, J. Kemp, R. Philpott, E. Maler. *Assertions and Protocols for the OASIS*  
144 *Security Assertion Markup Language (SAML) V2.0*. OASIS Standard, March  
145 2005. <http://docs.oasis-open.org/security/saml/v2.0/saml-core-2.0-os.pdf>

146 **[SAML2Prof]** J. Hughes, S. Cantor, J. Hodges, F. Hirsch, P. Mishra, R. Philpott, E. Maler.  
147 *Profiles for the OASIS Security Assertion Markup Language (SAML) V2.0*. OASIS  
148 Standard, March 2005. [http://docs.oasis-open.org/security/saml/v2.0/saml-](http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf)  
149 [profiles-2.0-os.pdf](http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf)

150 **[XMLSig]** D. Eastlake, J. Reagle, D. Solo, ~~F. Hirsch, T. Roessler. *XML Signature Syntax*~~  
151 ~~*and Processing (Second Edition)*. World Wide Web Consortium~~  
152 ~~*Recommendation, 10 June 2008. XML Signature Syntax and Processing. World*~~  
153 ~~*Wide Web Consortium Recommendation, 12 February 2002.*~~  
154 <http://www.w3.org/TR/xmlsig-core/>

### 155 1.3 Non-normative References

156 **[AIXCM]** T. Moreau. *Auto Issued X.509 Certificate Mechanism (AIXCM)*. IETF Internet-  
157 Draft, 6 August 2008. See [http://www.ietf.org/internet-drafts/draft-moreau-pkix-](http://www.ietf.org/internet-drafts/draft-moreau-pkix-aixcm-00.txt)  
158 [aixcm-00.txt](http://www.ietf.org/internet-drafts/draft-moreau-pkix-aixcm-00.txt)

159 **[RFC3820]** S. Tuecke, V. Welch, D. Engert, L. Pearlman, M. Thompson. *Internet X.509*  
160 *Public Key Infrastructure (PKI) Proxy Certificate Profile*. IETF RFC 3820, June  
161 2004. <http://www.ietf.org/rfc/rfc3820.txt>

162 **[RFC4346]** T. Dierks, E. Rescorla. *The Transport Layer Security (TLS) Protocol*. IETF  
163 RFC 4346, April 2006. <http://www.ietf.org/rfc/rfc4346.txt>

164 **[RFC5280]** D. Cooper, S. Santesson, S. Farrell, S. Boeyen, R. Housley, W. Polk. *Internet*  
165 *X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL)*  
166 *Profile*. IETF RFC 5280, May 2008. <http://www.ietf.org/rfc/rfc5280.txt>

## 167 1.4 Conformance

### 168 1.4.1 SAML V2.0 Holder-of-Key Assertion Profile

169 ~~Both the SAML issuer and the relying party MUST conform to section 2.4. All parties involved MUST~~  
170 ~~conform to section 2.4. This includes the SAML issuer, the relying party, and the subject.~~

171 A SAML issuer MUST follow the issuing rules in section 2.5. In particular, a SAML issuer MUST produce  
172 `<ds:KeyInfo>` elements that conform to section 2.5.1. Likewise, a relying party MUST follow the  
173 processing rules in section 2.6.

174 To claim conformance to this specification, a SAML issuer implementation MUST support the  
175 `<ds:X509Certificate>` element specified in section 2.5.1. Support for the remaining child elements  
176 specified in section 2.5.1 is OPTIONAL for SAML issuers both the `<ds:X509Certificate>` element and  
177 the `<ds:X509SKI>` element specified in section 2.5.1. Support for the `<ds:X509SubjectName>`  
178 element and the `<ds:X509SerialIssuer>` element by SAML issuers is OPTIONAL.

179 Likewise a conforming relying party implementation MUST support the `<ds:X509Certificate>`  
180 element specified in section 2.6. Support for the remaining child elements specified in section 2.6 is  
181 OPTIONAL for relying parties both the `<ds:X509Certificate>` element and the `<ds:X509SKI>`

182 | ~~element specified in section 2.6. Support for the <ds:X509SubjectName> element and the~~  
183 | ~~<ds:X509SerialIssuer> element by relying parties is OPTIONAL.~~

## 2 SAML V2.0 Holder-of-Key Assertion Profile

### 2.1 Required Information

**Identification:** [urn:oasis:names:tc:SAML:2.0:profiles:holder-of-key](#)

**Contact information:** [security-services-comment@lists.oasis-open.org](mailto:security-services-comment@lists.oasis-open.org)

**SAML Confirmation Method Identifiers:** The SAML V2.0 holder-of-key confirmation method identifier ([urn:oasis:names:tc:SAML:2.0:cm:holder-of-key](#)) is associated with every `<saml:SubjectConfirmation>` element issued under this profile.

**Description:** Given below.

**Updates:** Extends the holder-of-key confirmation method described in section 3.1 of [SAML2Prof].

### 2.2 Profile Description

Suppose a SAML response issued by a SAML issuer contains one or more holder-of-key assertions (otherwise this specification is not applicable). By definition, a holder-of-key SAML assertion contains a `<saml:SubjectConfirmation>` element whose Method attribute is set to [urn:oasis:names:tc:SAML:2.0:cm:holder-of-key](#). This specification describes how the SAML issuer binds selected X.509 data from an X.509 public key certificate to the `<saml:SubjectConfirmation>` element of a holder-of-key assertion.

The complementary process involves a relying party that confirms that the X.509 data bound to the assertion matches the data in a given X.509 certificate. We assume that the relying party trusts the SAML issuer to issue holder-of-key assertions. The SAML issuer, on the other hand, may not even know the intended relying party, so there is no underlying assumption that the SAML issuer trusts the relying party.

It is assumed that both the SAML issuer and the relying party have access to an X.509 public key certificate that is known to be associated with the subject of the assertion. How the X.509 certificate is obtained, however, is completely out of scope.

### 2.3 Background

~~Suppose a subject presents a SAML request and an X.509 certificate to a SAML issuer. The subject proves possession of the private key corresponding to the public key of the presented certificate and authenticates to the SAML issuer by unspecified means. The SAML issuer consumes the SAML request and returns a SAML response to the subject.~~

~~Assume the SAML response issued by the SAML issuer contains one or more holder-of-key assertions (otherwise this specification is not applicable). By definition, a holder-of-key SAML assertion contains a `<saml:SubjectConfirmation>` element whose Method attribute is set to [urn:oasis:names:tc:SAML:2.0:cm:holder-of-key](#). This specification describes how the SAML issuer binds selected X.509 data to the `<saml:SubjectConfirmation>` element of a holder-of-key assertion.~~

~~The complementary exchange involves a subject who presents a signed holder-of-key SAML assertion and an X.509 certificate to a SAML relying party. Again the subject proves possession of the private key corresponding to the public key of the presented certificate, after which the relying party consumes the assertion and creates a security context for the subject. This specification describes how the relying party confirms that the X.509 data bound to the assertion matches the data in the X.509 certificate.~~

223 ~~We assume that the relying party trusts the SAML issuer to issue assertions regarding the subject. On the~~  
224 ~~other hand, the SAML issuer may not even know the intended relying party (if the subject is the SAML-~~  
225 ~~requester, e.g.), so there is no underlying assumption that the SAML issuer trusts the relying party.~~

226 ~~The SAML issuer and the relying party may or may not trust the issuer of the X.509 certificate. For our~~  
227 ~~purposes here, this is mostly out of scope. In some situations, however, it is assumed that the relying~~  
228 ~~party trusts the X.509 issuer to safely confirm the subject. These cases are included for completeness but~~  
229 ~~a conforming SAML entity (issuer or relying party) is not mandated to implement these special cases.~~

## 230 **2.4 X.509 Certificate Usage**

231 ~~There are no explicit requirements with respect to the X.509 certificate(s) available to the SAML issuer~~  
232 ~~and the relying party. That said, this specification mandates that the X.509 data bound to the SAML~~  
233 ~~assertion by the SAML issuer MUST be taken from an X.509 public key certificate. Likewise the X.509~~  
234 ~~data matched against the bound X.509 data by the relying party MUST also be taken from an X.509 public~~  
235 ~~key certificate. The specific characteristics of these certificates, however, are wholly out of scope with~~  
236 ~~respect to this specification. In particular, there is no expectation that either the SAML issuer or the relying~~  
237 ~~party trusts the issuer of the certificate, and therefore all portions of the certificate, apart from the X.509~~  
238 ~~data specified in the following sections, are out of scope presented to the SAML issuer, and later to the~~  
239 ~~relying party. All that matters is that the subject MUST prove possession of the private key corresponding~~  
240 ~~to the presented public key. The fact that the latter is typically bound to an X.509 public key certificate is~~  
241 ~~mostly irrelevant.~~

242 ~~That said, this specification mandates that the subject MUST present an X.509 public key certificate to the~~  
243 ~~SAML issuer or the relying party. However, the specific characteristics of this certificate are wholly out of~~  
244 ~~scope with respect to this specification. In particular, there is no expectation that either the SAML issuer or~~  
245 ~~the relying party trusts the issuer of the certificate, and therefore all portions of the certificate, apart from~~  
246 ~~the public key, are out of scope.~~

247 ~~The only exception is the case where the <ds:X509Data> element specified in section 2.5.1 contains a~~  
248 ~~<ds:X509SubjectName> element or a <ds:X509SerialIssuer> element. In these two cases, the~~  
249 ~~relying party MUST trust the X.509 issuer in order to confirm the subject. This is discussed more fully in~~  
250 ~~section 2.6 below.~~

## 251 **2.5 Issuing Holder-of-Key AssertionHolder-of-Key Subject** 252 **Confirmation Issuing Rules**

253 ~~Every assertion containing a holder-of-key <saml:SubjectConfirmation> element MUST conform to~~  
254 ~~[SAML2Core] (see section 2.4.1, and especially section 2.4.1.3) and section 3.1 of [SAML2Prof]. Where~~  
255 ~~this specification conflicts with the SAML V2.0 specification, the former takes precedence.~~

256 ~~Suppose a SAML issuer wishes to issue a response containing one or more holder-of-key assertions. As~~  
257 ~~a prerequisite, the SAML issuer MUST have access to an X.509 public key certificate known to be~~  
258 ~~associated with the subject. The SAML issuer binds some or all of the X.509 data in the certificate to the~~  
259 ~~<saml:SubjectConfirmation> element of a SAML assertion. The expected content of a holder-of-~~  
260 ~~key <saml:SubjectConfirmation> element is specified in the next sectionThe subject presents a~~  
261 ~~SAML request and an X.509 certificate to the SAML issuer. The subject MUST prove possession of the~~  
262 ~~private key corresponding to the public key of the presented certificate. The subject authenticates to the~~  
263 ~~SAML issuer by unspecified means.~~

264 ~~If the subject can prove possession of the private key, the SAML issuer issues a response containing one~~  
265 ~~or more holder-of-key assertions. The expected content of a holder-of-key~~  
266 ~~<saml:SubjectConfirmation> element is specified in the next section.~~



## 267 2.5.1 KeyInfo Usage

268 According to the SAML V2.0 specification, a holder-of-key <saml:SubjectConfirmation> element  
269 MUST contain at least one <ds:KeyInfo> element, and that <ds:KeyInfo> element MUST conform to  
270 the XML Signature specification [XMLSig]. The current specification further constrains the content of each  
271 <ds:KeyInfo> element to contain exactly one <ds:X509Data> element. The <ds:X509Data>  
272 element MUST NOT contain a <ds:X509CRL> element. Instead, the following content options are  
273 specified, at least one of which MUST be satisfied:

- 274 • The <ds:X509Data> element MAY contain a <ds:X509Certificate> element. If it does, the  
275 <ds:X509Certificate> element MUST contain a base64 encoding of a DER-encoded X.509  
276 certificate~~the DER-encoded X.509 certificate presented to the SAML issuer.~~
- 277 • The <ds:X509Data> element MAY contain a <ds:X509SKI> element. If it does, the  
278 <ds:X509SKI> element MUST contain a base64 encoding of the SHA-1 hash of the public key  
279 bound to an X.509 certificate~~the X.509 certificate presented to the SAML issuer.~~
- 280 • The <ds:X509Data> element MAY contain a <ds:X509SubjectName> element. If it does, the  
281 <ds:X509SubjectName> element MUST contain the subject distinguished name (DN) bound to  
282 an X.509 certificate~~the X.509 certificate presented to the SAML issuer.~~
- 283 • The <ds:X509Data> element MAY contain a <ds:X509IssuerSerial> element. If it does,  
284 the <ds:X509IssuerSerial> element MUST contain the issuer DN and the issuer serial  
285 number (as specified in [XMLSig]) bound to an X.509 certificate~~the X.509 certificate presented to~~  
286 ~~the SAML issuer.~~

287 Use of the <ds:X509Certificate> element or the <ds:X509IssuerSerial> element is most  
288 restrictive since each implies that the exact same certificate is used by both the SAML issuer and the  
289 relying party. Use of the <ds:X509SKI> element or the <ds:X509SubjectName> element is less  
290 restrictive since each permits a different certificate to be used by the relying party provided the certificate  
291 contains the same key or DN (resp.) used by the exact same certificate must be presented to both the  
292 SAML issuer and the relying party. Use of the <ds:X509SKI> element or the <ds:X509SubjectName>  
293 element is less restrictive since a different certificate may be presented to the relying party provided the  
294 certificate contains the same key or DN (resp.) presented to the SAML issuer.

295 Use of the <ds:X509SubjectName> element or the <ds:X509IssuerSerial> element is warranted  
296 in those situations where the relying party trusts the issuer of the X.509 certificate. The SAML issuer  
297 SHOULD NOT bind either of these elements to the <ds:X509Data> element unless it knows such a trust  
298 relationship exists.

299 Note that the format of the DN contained in the <ds:X509SubjectName> element or the  
300 <ds:X509IssuerSerial> element is specified in [XMLSig]. In accordance with that specification, it is t-  
301 is RECOMMENDED that the DN conform to [RFC4514] in all cases.

## 302 2.5.2 Example

303 Here is an example of a holder-of-key <saml:SubjectConfirmation> element containing both a  
304 <ds:X509Certificate> element and a <ds:X509SKI> element:

```
305 <saml:SubjectConfirmation  
306   Method="urn:oasis:names:tc:SAML:2.0:cm:holder-of-key">  
307   <saml:SubjectConfirmationData  
308     xsi:type="saml:KeyInfoConfirmationDataType" Address="141.142.234.158"  
309     InResponseTo="someId1218218187577"  
310     NotOnOrAfter="2008-08-08T18:01:27.712Z"  
311     Recipient="https://useragent.example.org">  
312     <ds:KeyInfo>  
313       <ds:X509Data>  
314         <ds:X509Certificate>
```



368 issue such a DN, the subject is not confirmed and the relying party SHOULD disregard the  
369 enclosing assertion.

- 370 • If the <ds:X509Data> element contains a <ds:X509IssuerSerial> element, the relying party  
371 MUST confirm that the issuer DN and issuer serial number bound to the assertion match the  
372 issuer DN and the issuer serial number (resp.) bound to the X.509 certificate. If the relying party  
373 does not trust the certificate issuer to issue X.509 certificates, however presented X.509-  
374 certificate. If the relying party does not trust the issuer to issue X.509 certificates, the subject is  
375 not confirmed and the relying party SHOULD disregard the enclosing assertion.

376 In the case of a <ds:X509Certificate> element or a <ds:X509SKI> element, the matching is a  
377 relatively straightforward process. If the <ds:X509Data> element contains a <ds:X509SubjectName>  
378 element or a <ds:X509IssuerSerial> element, however, the relying party MUST trust the issuer of the  
379 available certificate before the subject can be considered confirmed. If such a trust relationship between  
380 the relying party and the certificate before the subject can be considered confirmed. If such a trust-  
381 relationship between the relying party and certificate issuer does not exist, the relying party SHOULD  
382 disregard the enclosing assertion.

## 383 2.7 Security and Privacy Considerations

384 This profile assumes that both the SAML issuer and the relying party have access to an X.509 public key  
385 certificate. For those deployments that wish to avoid or do not require a public key infrastructure (PKI), this  
386 may seem unnecessarily restrictive. In fact, the use of X.509 certificates is typical and provides a number  
387 of advantages. First, if the subject is the SAML requester, the subject DN of the certificate may be used in  
388 lieu of an URLe-subject possesses an X.509 public key certificate and corresponding private key. For  
389 those deployments that wish to avoid or do not require a public key infrastructure (PKI), this may seem-  
390 unnecessarily restrictive. However, the use of X.509 certificates provides a number of advantages. First, if  
391 the subject is the SAML requester, the subject DN of the certificate can be used in lieu of an entityID.  
392 Second, observe that the SSL/TLS protocol [RFC4346] requires the use of X.509 certificates. Finally, and  
393 most importantly, since there is no presumption of an underlying trust model for X.509 certificates, the full  
394 range of possible content for the <ds:KeyInfo> element is avoided. Those deployments that are in fact  
395 based on such a trust model, or wish to avoid X.509 certificates altogether, may choose to profile  
396 additional child elements such as <ds:KeyName> or <ds:KeyValue>.

397 Deployments that rely on holder-of-key SAML assertions will no doubt impose their own requirements on  
398 the X.509 certificates used to obtain those assertions. For example, some deployments will require the  
399 certificate to be an X.509 end-entity certificate [RFC5280] issued by a trusted X.509 certification  
400 authority applications will require the certificate to be an X.509 end-entity certificate [RFC5280] issued by a  
401 trusted X.509 certification authority (CA) or a certificate based on a trusted X.509 end-entity certificate  
402 (such as an X.509 proxy certificate [RFC3820]). This specification imposes no such restrictions, however.

403 In particular, note that self-signed certificates are permitted with this specification. However, self-signed  
404 certificates should be used with care since it is well known that the use of such certificates may break  
405 certain implementations or protocols. For maximum interoperability, implementers are encouraged to use  
406 X.509 end-entity certificates [RFC5280] whenever possible exclusively. For those deployments that wish to  
407 avoid or do not require a PKI, yet want to maintain interoperability, observe that so-called "meaningless  
408 X.509 certificates" [AIXCM] satisfy the requirements of X.509 end-entity certificates without belaboring the  
409 assumption of an underlying trust model.

## 410 **Appendix A. Acknowledgments**

411 The editors would like to acknowledge the contributions of the OASIS Security Services Technical  
412 Committee, whose voting members at the time of publication were:

- 413 • TBD

414 The editor would also like to acknowledge the following contributors:

- 415 • Joana M. F. da Trindade, Universidade Federal do Rio Grande do Sul (Brazil)

## Appendix B. Revision History

| Document ID                       | Date        | Committer | Comment                                |
|-----------------------------------|-------------|-----------|--|
| sstc-saml2-holder-of-key-draft-01 | 7 Aug 2008  | T. Scavo  | Initial draft.                         |
| sstc-saml2-holder-of-key-draft-02 | 14 Aug 2008 | T. Scavo  | Remove all refs to <code>samlp:</code> |
| sstc-saml2-holder-of-key-draft-03 | 7 Sep 2008  | T. Scavo  | Remove proof of possession requirement |