



SAML V2.0 Holder-of-Key Assertion Profile

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Technical Committee:

OASIS Security Services TC

Chair(s):

Hal Lockhart, BEA Systems, Inc.

Brian Campbell, Ping Identity Corporation

Editors:

Tom Scavo, National Center for Supercomputing Applications (NCSA)

Contributors:

Nate Klingenstein, Internet2

Scott Cantor, Internet2

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 are obtained from a standard X.509 v3 certificate.

Status

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1 Introduction

100 The *SAML V2.0 Holder-of-Key Assertion Profile* describes the issuing and processing of a holder-of-key
 101 SAML assertion, that is, an assertion containing a `<saml:SubjectConfirmation>` element whose
 102 Method attribute is set to `urn:oasis:names:tc:SAML:2.0:cm:holder-of-key`. Specifically, we
 103 describe the structural characteristics of a `<ds:KeyInfo>` element with bound X.509 data and show how
 104 a relying party confirms that such a `<ds:KeyInfo>` element matches given X.509 data. The binding
 105 material used by the SAML issuer and the matching data used by the relying party are obtained from a
 106 standard X.509 v3 certificate Error: Reference source not found.

107 This profile involves a SAML issuer and a SAML relying party, each with an X.509 v3 certificate in its
 108 possession. The SAML issuer uses its certificate to produce a holder-of-key SAML assertion. The
 109 relying party consumes the assertion, confirming the subject by comparing the X.509 data in the
 110 assertion with the X.509 data in its possession.

1.1 Notation

112 This specification uses normative text.

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

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

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

121 Listings of XML schemas appear like this.

122 Example code listings appear like this.

124 Conventional XML namespace prefixes are used throughout the listings in this specification to stand for
 125 their respective namespaces as follows, whether or not a namespace declaration is present in the
 126 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].
xs:	http://www.w3.org/2001/XMLSchema	This is the XML Schema namespace [Schema1].
xsi:	http://www.w3.org/2001/XMLSchema-instance	This is the XML Schema namespace for schema-related markup that appears in XML instances [Schema1].

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

129 1.2 Normative References

- 130 [RFC2119] S. Bradner. *Key words for use in RFCs to Indicate Requirement Levels*. IETF
131 RFC 2119, March 1997. <http://www.ietf.org/rfc/rfc2119.txt>
- 132 [RFC4514] K. Zeilenga. *Lightweight Directory Access Protocol (LDAP): String*
133 *Representation of Distinguished Names*. IETF RFC 4514, June 2006.
134 <http://www.ietf.org/rfc/rfc4514.txt>
- 135 [RFC5280] D. Cooper, S. Santesson, S. Farrell, S. Boeyen, R. Housley, W. Polk. *Internet*
136 *X.509 Public Key Infrastructure Certificate and Certificate Revocation List (CRL)*
137 *Profile*. IETF RFC 5280, May 2008. <http://www.ietf.org/rfc/rfc5280.txt>
- 138 [SAML2Core] S. Cantor, J. Kemp, R. Philpott, E. Maler. *Assertions and Protocols for the*
139 *OASIS Security Assertion Markup Language (SAML) V2.0*. OASIS Standard,
140 March 2005. <http://docs.oasis-open.org/security/saml/v2.0/saml-core-2.0-os.pdf>
- 141 [SAML2Prof] J. Hughes, S. Cantor, J. Hodges, F. Hirsch, P. Mishra, R. Philpott, E. Maler.
142 *Profiles for the OASIS Security Assertion Markup Language (SAML) V2.0*.
143 OASIS Standard, March 2005. [http://docs.oasis-](http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf)
144 [open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf](http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf)
- 145 [Schema1] H. S. Thompson et al. *XML Schema Part 1: Structures*. World Wide Web
146 Consortium Recommendation, May 2001. See [http://www.w3.org/TR/2001/REC-](http://www.w3.org/TR/2001/REC-xmlschema-1-20010502/)
147 [xmlschema-1-20010502/](http://www.w3.org/TR/2001/REC-xmlschema-1-20010502/)
- 148 [XMLSig] D. Eastlake, J. Reagle, D. Solo, F. Hirsch, T. Roessler. *XML Signature Syntax*
149 *and Processing (Second Edition)*. World Wide Web Consortium
150 Recommendation, 10 June 2008. <http://www.w3.org/TR/xmlsig-core/>

151 1.3 Non-normative References

- 152 [RFC3820] S. Tuecke, V. Welch, D. Engert, L. Pearlman, M. Thompson. *Internet X.509*
153 *Public Key Infrastructure (PKI) Proxy Certificate Profile*. IETF RFC 3820, June
154 2004. <http://www.ietf.org/rfc/rfc3820.txt>
- 155 [RFC4346] T. Dierks, E. Rescorla. *The Transport Layer Security (TLS) Protocol*. IETF
156 RFC 4346, April 2006. <http://www.ietf.org/rfc/rfc4346.txt>

157 1.4 Conformance

158 1.4.1 SAML V2.0 Holder-of-Key Assertion Profile

159 Both the SAML issuer and the relying party MUST conform to section 2.3.

160 A SAML issuer MUST follow the issuing rules in section 2.4. In particular, a SAML issuer MUST produce
161 `<ds:KeyInfo>` elements that conform to section 2.4.1. Likewise, a relying party MUST follow the
162 processing rules in section 2.5.

163 To claim conformance to this specification, a SAML issuer implementation MUST support the
164 `<ds:X509Certificate>` element specified in section 2.4.1. Support for the remaining child elements
165 specified in section 2.4.1 is OPTIONAL for SAML issuers.

166 Likewise a conforming relying party implementation MUST support the `<ds:X509Certificate>`
167 element specified in section 2.5. Support for the remaining child elements specified in section 2.5 is
168 OPTIONAL for relying parties.

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

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: Supplements 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 v3 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 v3 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 each possess an X.509 v3 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 X.509 Certificate Usage

There are no explicit requirements with respect to the X.509 certificate(s) possessed by the SAML issuer and the relying party. That said, this specification mandates that the X.509 data bound to the SAML assertion by the SAML issuer and matched against the bound X.509 data by the relying party MUST be taken from an X.509 v3 certificate. Error: Reference source not found. The specific characteristics of these certificates, however, are wholly out of scope with respect to this specification. In particular, there is no expectation that either the SAML issuer or the relying party trusts the issuer of the certificate, and therefore all portions of the certificate, apart from the X.509 data specified in the following sections, are unspecified.

The only exception is the case where the <ds:X509Data> element specified in section 2.4.1 contains a <ds:X509SubjectName> element or a <ds:X509SerialIssuer> element. In these two cases, the relying party MUST trust the X.509 issuer in order to confirm the subject. This is discussed more fully in section 2.5 below.

In what follows, we use the term *X.509 certificate* to refer to an X.509 v3 certificate conforming to Error: Reference source not found.

208 2.4 Issuing Holder-of-Key Assertions

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

212 Suppose a SAML issuer wishes to issue a response containing one or more holder-of-key assertions. As
213 a prerequisite, the SAML issuer MUST possess an X.509 certificate known to be associated with the
214 subject. The SAML issuer binds some or all of the X.509 data in the certificate to the
215 `<saml:SubjectConfirmation>` element of a SAML assertion. The expected content of a holder-of-
216 key `<saml:SubjectConfirmation>` element is specified in the next section.

217 The SAML issuer binds a `<ds:KeyInfo>` element to a SAML assertion. The `<ds:KeyInfo>` element
218 contains one or more of the following elements: `<ds:X509Certificate>`, `<ds:X509SKI>`,
219 `<ds:X509SubjectName>`, or `<ds:X509IssuerSerial>`. A `<ds:X509Certificate>` element
220 contains a base64 encoding of the certificate possessed by the SAML issuer. A `<ds:X509SKI>` element
221 contains the base64 encoding of the Subject Key Identifier (SKI) extension (if there is one) bound to the
222 certificate. A `<ds:X509SubjectName>` element contains the subject distinguished name (DN) bound to the
223 certificate. A `<ds:X509IssuerSerial>` element contains the issuer DN and the issuer serial
224 number bound to the certificate. In each case, the content of the `<ds:KeyInfo>` element conforms to
225 the XML Signature specification [XMLSig]. These requirements are spelled out more clearly in the next
226 section.

227 If the SAML issuer has reason to believe that the relying party trusts the certificate issuer, the SAML
228 issuer MAY include `NotBefore` or `NotOnOrAfter` XML attributes on the
229 `<saml:SubjectConfirmationData>` element. If so, the values bound to the assertion MUST be
230 consistent with the values in the certificate. In particular, the value of the `NotBefore` attribute (resp.,
231 the `NotOnOrAfter` attribute) MUST be greater than or equal to (resp., less than or equal to) the
232 `NotBefore` field (resp., the `NotOnOrAfter` field) of the certificate.

233 Since the `<ds:KeyInfo>` element is extensible [XMLSig], other fields or extensions from the X.509
234 certificate may be bound to the holder-of-key `<saml:SubjectConfirmation>` element. These are
235 provided as a convenience to the relying party, so that the relying party need not have to decode and
236 parse the certificate. All such extensions are of scope with respect to this profile, however.

237 2.4.1 KeyInfo Usage

238 According to the SAML V2.0 specification, a holder-of-key `<saml:SubjectConfirmation>` element
239 MUST contain at least one `<ds:KeyInfo>` element and that the `<ds:KeyInfo>` element conform to
240 the XML Signature specification. The current specification requires that the `<ds:KeyInfo>` element
241 MUST conform to the *Second Edition* of the XML Signature specification [XMLSig] and further constrains
242 the content of each `<ds:KeyInfo>` element to contain exactly one `<ds:X509Data>` element. The
243 `<ds:X509Data>` element MUST NOT contain a `<ds:X509CRL>` element. Instead, the following content
244 options are specified, at least one of which MUST be satisfied:

- 245 • The `<ds:X509Data>` element MAY contain a `<ds:X509Certificate>` element. If it does, the
246 `<ds:X509Certificate>` element MUST contain a base64 encoding of the X.509 certificate
247 possessed by the SAML issuer.
- 248 • The `<ds:X509Data>` element MAY contain a `<ds:X509SKI>` element. If it does, the
249 `<ds:X509SKI>` element MUST contain the base64 encoding of the plain (i.e., *not* DER-
250 encoded) value of the Subject Key Identifier (SKI) extension (as specified in [XMLSig]) of the
251 X.509 certificate possessed by the SAML issuer. If the certificate does not contain an SKI
252 extension, the `<ds:X509Data>` element MUST NOT contain a `<ds:X509SKI>` element.


```

308     <!-- the subject DN (in RFC 5414 format) bound to the
309         above X.509 certificate -->
310     <ds:X509SubjectName>emailAddress=some-address@host.org,CN=Joana
311 Trindade,OU=GSoc 2008,O=GSoc 2008,L=Some-City,ST=Some-
312 State,C=BR</ds:X509SubjectName>
313
314     <!-- the issuer DN (in RFC 5414 format) and the issuer serial
315         number (in decimal) bound to the above X.509 certificate -->
316     <ds:X509IssuerSerial>
317         <ds:X509IssuerName>emailAddress=some-address@host.org,CN=Joana
318 Trindade,OU=GSoc 2008,O=GSoc 2008,L=Some-City,ST=Some-
319 State,C=BR</ds:X509IssuerName>
320         <ds:X509SerialNumber>9900230501951362398</ds:X509SerialNumber>
321     </ds:X509IssuerSerial>
322
323     </ds:X509Data>
324 </ds:KeyInfo>
325 </saml:SubjectConfirmationData>
326 </saml:SubjectConfirmation>

```

327 A relying party can confirm the subject by the matching the available X.509 data to any of the above
328 child elements of the `<ds:X509Data>` element.

329 2.5 Processing Holder-of-Key Assertions

330 A relying party wishing to confirm the subject of a holder-of-key assertion MUST possess an X.509
331 certificate known to be associated with the presenter of the assertion. The relying party confirms the
332 subject of the assertion by comparing the X.509 data in the certificate to the X.509 data bound to the
333 assertion. If the X.509 data in the certificate matches the X.509 data bound to the assertion, the subject
334 is said to be *confirmed*.

335 Regardless of the protocol used, any assertions relied upon MUST be valid according to the processing
336 rules specified in [SAML2Core]. In particular, the relying party MUST verify the signature (if any) on each
337 assertion containing a holder-of-key `<saml:SubjectConfirmation>` element. Any assertion that is
338 not valid, or whose subject confirmation requirements cannot be met, SHOULD be discarded and
339 SHOULD NOT be used to establish a security context for the subject.

340 If the `<ds:X509Data>` element contains multiple child elements, the relying party may confirm the
341 subject based on any one of them. Specifically, the relying party MUST confirm that the certificate
342 matches the content of the `<ds:X509Data>` element as follows:

- 343 • If the `<ds:X509Data>` element contains a `<ds:X509Certificate>` element, and the relying
344 party chooses to confirm the subject based on this element, the relying party MUST ensure that
345 the certificate bound to the assertion matches the X.509 certificate in its possession. Matching is
346 done by comparing the base64-decoded certificates, or the hash values of the base64-decoded
347 certificates, byte-for-byte.
- 348 • If the `<ds:X509Data>` element contains a `<ds:X509SKI>` element, and the relying party
349 chooses to confirm the subject based on this element, the relying party MUST ensure that the
350 value bound to the assertion matches the Subject Key Identifier (SKI) extension bound to the
351 X.509 certificate. Matching is done by comparing the base64-decoded SKI values byte-for-byte.
352 If the X.509 certificate does not contain an SKI extension, the subject is not confirmed and the
353 relying party SHOULD disregard the assertion.
- 354 • If the `<ds:X509Data>` element contains a `<ds:X509SubjectName>` element, and the relying
355 party chooses to confirm the subject based on this element, the relying party MUST ensure that
356 the subject distinguished name (DN) bound to the assertion matches the DN bound to the X.509
357 certificate. If, however, the relying party does not trust the certificate issuer to issue such a DN,
358 the subject is not confirmed and the relying party SHOULD disregard the assertion.

359 • If the `<ds:X509Data>` element contains a `<ds:X509IssuerSerial>` element, and the relying
360 party chooses to confirm the subject based on this element, the relying party MUST ensure that
361 the issuer DN and issuer serial number bound to the assertion match the issuer DN and the
362 issuer serial number (resp.) bound to the X.509 certificate. If the relying party does not trust the
363 certificate issuer to issue X.509 certificates, however, the subject is not confirmed and the relying
364 party SHOULD disregard the assertion.

365 In the case of a `<ds:X509Certificate>` element or a `<ds:X509SKI>` element, the matching process
366 is relatively straightforward. If the `<ds:X509Data>` element contains a `<ds:X509SubjectName>`
367 element or a `<ds:X509IssuerSerial>` element, however, and the relying party chooses to confirm
368 the subject based on one of these elements, the relying party MUST trust the issuer of the X.509
369 certificate before the subject can be considered confirmed. If such a trust relationship between the
370 relying party and the certificate issuer does not exist, the relying party SHOULD disregard the enclosing
371 assertion.

372 If the `<saml:SubjectConfirmationData>` element includes `NotBefore` or `NotOnOrAfter`
373 attributes, and the relying party trusts the issuer of the X.509 certificate, the relying party MUST confirm
374 that the current time is greater than or equal to (resp., less than or equal to) the value of the `NotBefore`
375 (resp., the `NotOnOrAfter`) attribute. If this requirement is not met, the subject is not confirmed and the
376 relying party SHOULD disregard the assertion.

377 **2.6 Security and Privacy Considerations**

378 This profile assumes that both the SAML issuer and the relying party have access to an X.509 certificate.
379 For those deployments that wish to avoid or do not require an X.509-based public key infrastructure
380 (PKI), this may seem unnecessarily restrictive. In fact, the use of X.509 certificates is typical and
381 provides a number of advantages. First, observe that the SSL/TLS protocol [RFC4346] requires the use
382 of X.509 certificates. Second, and most importantly, since there is no presumption of an underlying trust
383 model for X.509 certificates, the full range of possible content for the `<ds:KeyInfo>` element is
384 avoided. Those deployments that are in fact based on such a trust model, or wish to avoid X.509
385 certificates altogether, may choose to profile additional child elements such as `<ds:KeyName>` or
386 `<ds:KeyValue>`.

387 Deployments that rely on holder-of-key SAML assertions will no doubt impose their own requirements on
388 the X.509 certificates used to obtain those assertions. For example, some deployments will require the
389 certificate to be an X.509 end-entity certificate Error: Reference source not found issued by a trusted
390 X.509 certification authority (CA) or a certificate based on a trusted X.509 end-entity certificate (such as
391 an X.509 proxy certificate [RFC3820]). This specification imposes no such restrictions, however.

392 **2.6.1 ASN.1 Encoding**

393 For compatibility with the XML Signature specification [XMLSig], this profile intentionally avoids any
394 discussion of the ASN.1 encoding of the X.509 certificates possessed by the SAML issuer and the relying
395 party. Indeed, in the case of the `<ds:X509Certificate>` element, the ASN.1 encoding of the
396 certificate doesn't matter. In this case, the SAML issuer simply base64-encodes the ASN.1-encoded
397 certificate in its possession and binds it to the `<ds:X509Certificate>` element. Later the relying
398 party base64-decodes the content of the `<ds:X509Certificate>` element and compares the resulting
399 certificate (byte-for-byte) with the ASN.1-encoded certificate in its possession.

400 In the case of the `<ds:X509SKI>`, `<ds:X509SubjectName>`, or `<ds:X509IssuerSerial>` elements,
401 however, the ASN.1 encoding of the certificates *does* matter. To produce these elements, the SAML
402 issuer must ASN.1-decode the certificate in its possession and parse the ASN.1 to obtain the X.509 data
403 to be bound to the assertion. Likewise the relying party must ASN.1-decode the certificate in its
404 possession, parsing the ASN.1 to obtain the required X.509 data, which it compares to the X.509 data
405 bound to the assertion.

406 The problem is that the ASN.1 encoding of an X.509 certificate is not specified. While it is true that an
407 X.509 certificate is often DER-encoded, a robust implementation must be prepared to handle other
408 ASN.1 encodings besides DER, mainly BER and CER. Consequently it is anticipated that deployments
409 will prefer the `<ds:X509Certificate>` element for maximum interoperability. In fact, this preference
410 is reflected in the conformance requirements of this profile (section 1.4).

411 **2.6.2 X.509 Serial Number**

412 Note that some CAs use large random numbers as serial numbers to prevent sequence guessing, but not
413 all XML libraries are capable of dealing with large integers in the `<ds:X509IssuerSerial>` element.
414 The problem is that the `<ds:X509SerialNumber>` child element of the `<ds:X509IssuerSerial>`
415 element is typed as an arbitrary integer in [XMLSig] yet conforming implementations are required to
416 support only 18 decimal digits. Thus the `<ds:X509IssuerSerial>` element should be used with care.

417 **Appendix A. Acknowledgments**

418 The editor would like to acknowledge the contributions of the OASIS Security Services Technical
419 Committee, whose voting members at the time of publication were:

- 420 • TBD

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

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- 424 • Peter Sylvester, EdelWeb

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
sstc-saml2-holder-of-key-draft-04	6 Oct 2008	T. Scavo	Response to comments
sstc-saml2-holder-of-key-draft-05	20 Oct 2008	T. Scavo	Updated KeyInfo Usage rules
sstc-saml2-holder-of-key-draft-06	13 Nov 2008	T. Scavo	Dropped DER-encoding requirement
sstc-saml2-holder-of-key-draft-07	7 Dec 2008	T. Scavo	Added NotBefore/NotOnOrAfter attributes