



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 are obtained from an X.509 certificate.

Status

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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 are obtained from an X.509 certificate.

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

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].
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].

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>

133 **[RFC4514]** K. Zeilenga. *Lightweight Directory Access Protocol (LDAP): String*
134 Representation of Distinguished Names. IETF RFC 4514, June 2006.
135 <http://www.ietf.org/rfc/rfc4514.txt>

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

139 **[SAML2Core]** S. Cantor, J. Kemp, R. Philpott, E. Maler. *Assertions and Protocols for the OASIS*
140 *Security Assertion Markup Language (SAML) V2.0*. OASIS Standard, March
141 2005. <http://docs.oasis-open.org/security/saml/v2.0/saml-core-2.0-os.pdf>

142 **[SAML2Prof]** J. Hughes, S. Cantor, J. Hodges, F. Hirsch, P. Mishra, R. Philpott, E. Maler.
143 *Profiles for the OASIS Security Assertion Markup Language (SAML) V2.0*. OASIS
144 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)
145 [profiles-2.0-os.pdf](http://docs.oasis-open.org/security/saml/v2.0/saml-profiles-2.0-os.pdf)

146 **[Schema1]** H. S. Thompson et al. *XML Schema Part 1: Structures*. World Wide Web
147 Consortium Recommendation, May 2001. See [http://www.w3.org/TR/2001/REC-](http://www.w3.org/TR/2001/REC-xmlschema-1-20010502/)
148 [xmlschema-1-20010502/](http://www.w3.org/TR/2001/REC-xmlschema-1-20010502/)

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

152 **1.3 Non-normative References**

153 **[RFC3820]** S. Tuecke, V. Welch, D. Engert, L. Pearlman, M. Thompson. *Internet X.509*
154 *Public Key Infrastructure (PKI) Proxy Certificate Profile*. IETF RFC 3820, June
155 2004. <http://www.ietf.org/rfc/rfc3820.txt>

156 **[RFC4346]** T. Dierks, E. Rescorla. *The Transport Layer Security (TLS) Protocol Version 1.1*.
157 IETF RFC 4346, April 2006. <http://www.ietf.org/rfc/rfc4346.txt>

158 **1.4 Conformance**

159 **1.4.1 SAML V2.0 Holder-of-Key Assertion Profile**

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

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

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

167 Likewise a conforming relying party implementation MUST support the <ds:X509Certificate>
168 element specified in section 2.5. Support for the remaining child elements specified in section 2.5 is
169 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 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 each possess an X.509 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. If, however, the certificate contains a Subject Key Identifier (SKI) extension, then the certificate MUST be an X.509 v3 certificate [RFC5280]. Other than that, the specific characteristics of these certificates 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.

2.4 Issuing Holder-of-Key Assertions

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

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

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

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

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

234 2.4.1 KeyInfo Usage

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

- 242 • The <ds:X509Data> element MAY contain a <ds:X509Certificate> element. If it does, the
243 <ds:X509Certificate> element MUST contain a base64 encoding of the X.509 certificate
244 possessed by the SAML issuer.
- 245 • The <ds:X509Data> element MAY contain a <ds:X509SKI> element. If it does, the
246 <ds:X509SKI> element MUST contain the base64 encoding of the plain (i.e., *not* DER-encoded)
247 value of the Subject Key Identifier (SKI) extension (as specified in [XMLSig]) of the X.509
248 certificate possessed by the SAML issuer. If the certificate does not contain an SKI extension, the
249 <ds:X509Data> element MUST NOT contain a <ds:X509SKI> element.
- 250 • The <ds:X509Data> element MAY contain a <ds:X509SubjectName> element. If it does, the
251 <ds:X509SubjectName> element MUST contain the subject distinguished name (DN) bound to
252 the X.509 certificate possessed by the SAML issuer.
- 253 • The <ds:X509Data> element MAY contain a <ds:X509IssuerSerial> element. If it does,
254 the <ds:X509IssuerSerial> element MUST contain the issuer DN and the issuer serial
255 number (as specified in [XMLSig]) bound to the X.509 certificate possessed by the SAML issuer.


```

314         <ds:X509IssuerName>emailAddress=some-address@host.org,CN=Joana
315 Trindade,OU=GSOC 2008,O=GSOC 2008,L=Some-City,ST=Some-
316 State,C=BR</ds:X509IssuerName>
317         <ds:X509SerialNumber>9900230501951362398</ds:X509SerialNumber>
318         </ds:X509IssuerSerial>
319
320     </ds:X509Data>
321 </ds:KeyInfo>
322 </saml:SubjectConfirmationData>
323 </saml:SubjectConfirmation>

```

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

326 2.5 Processing Holder-of-Key Assertions

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

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

337 If the <ds:X509Data> element contains multiple child elements, the relying party may choose to confirm
338 the subject based on any one of them. Specifically, the relying party MUST confirm that the certificate
339 matches the content of the <ds:X509Data> element as follows:

- 340 • If the <ds:X509Data> element contains a <ds:X509Certificate> element, and the relying
341 party chooses to confirm the subject based on this element, the relying party MUST ensure that
342 the certificate bound to the assertion matches the X.509 certificate in its possession. Matching is
343 done by comparing the base64-decoded certificates, or the hash values of the base64-decoded
344 certificates, byte-for-byte.
- 345 • If the <ds:X509Data> element contains a <ds:X509SKI> element, and the relying party
346 chooses to confirm the subject based on this element, the relying party MUST ensure that the
347 value bound to the assertion matches the Subject Key Identifier (SKI) extension bound to the
348 X.509 certificate. Matching is done by comparing the base64-decoded SKI values byte-for-byte.
349 If the X.509 certificate does not contain an SKI extension, the subject is not confirmed and the
350 relying party SHOULD disregard the assertion.
- 351 • If the <ds:X509Data> element contains a <ds:X509SubjectName> element, and the relying
352 party chooses to confirm the subject based on this element, the relying party MUST ensure that
353 the subject distinguished name (DN) bound to the assertion matches the DN bound to the X.509
354 certificate. If, however, the relying party does not trust the certificate issuer to issue such a DN,
355 the subject is not confirmed and the relying party SHOULD disregard the assertion.
- 356 • If the <ds:X509Data> element contains a <ds:X509IssuerSerial> element, and the relying
357 party chooses to confirm the subject based on this element, the relying party MUST ensure that
358 the issuer DN and issuer serial number bound to the assertion match the issuer DN and the
359 issuer serial number (resp.) bound to the X.509 certificate. If the relying party does not trust the
360 certificate issuer to issue X.509 certificates, however, the subject is not confirmed and the relying
361 party SHOULD disregard the assertion.

362 In the case of a <ds:X509Certificate> element or a <ds:X509SKI> element, the matching process
363 is relatively straightforward. If the <ds:X509Data> element contains a <ds:X509SubjectName>

364 element or a `<ds:X509IssuerSerial>` element, however, and the relying party chooses to confirm the
365 subject based on one of these elements, the relying party MUST trust the issuer of the X.509 certificate
366 before the subject can be considered confirmed. If such a trust relationship between the relying party and
367 the certificate issuer does not exist, the relying party SHOULD disregard the assertion.

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

373 **2.6 Security and Privacy Considerations**

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

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

387 **2.6.1 ASN.1 Encoding**

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

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

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

406 **2.6.2 X.509 Serial Number**

407 Note that some CAs use large random numbers as serial numbers to prevent sequence
408 guessing. However, not all XML libraries are capable of dealing with large integers in the

409 <ds:X509IssuerSerial> element. The problem is that the <ds:X509SerialNumber> child element
410 of the <ds:X509IssuerSerial> element is typed as an arbitrary integer in [XMLSig] yet conforming
411 implementations are required to support only 18 decimal digits. Thus the <ds:X509IssuerSerial>
412 element should be used with care.

413 **Appendix A. Acknowledgments**

414 The editor would like to acknowledge the contributions of the OASIS Security Services (SAML) Technical
415 Committee, whose voting members at the time of publication were:

- 416 • TBD

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

- 418 • Joana M. F. da Trindade, Universidade Federal do Rio Grande do Sul (Brazil)
- 419 • The members of the IETF PKIX Working Group
- 420 • Peter Sylvester, EdelWeb (France)

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
sstc-saml2-holder-of-key-draft-08	11 Jan 2009	T. Scavo	Relaxed the X.509 v3 requirement