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Testing Organization Name	MRG-Effitas
Test Plan Name	MRG-Effitas Q4 2019 360 Degree Assessment and Certification [AMTSO-LS1-TP018]
Compliance Assessor's First Name	Scott
Compliance Assessor's Last Name	Jeffreys
Compliance Assessment Date	February 25, 2020
Report Summary and Commentary	<ol style="list-style-type: none"> 1. Due to overlapping tests and a clerical error, Phase 1 Commentary attestations from test subject vendors and/or participants were not collected against this test (Criteria 3.5). AMTSO has confirmed that the test subject vendors statuses were identical to the previous Q3'2019 test and to that end, there was no objections raised. 2. The MRG-Effitas Q4'2019 Test Report was issued on January 31st, 2020 and AMTSO has validated the links back to the AMTSO commentary site. 3. Five vendors supplied Phase 2 Commentary during the February 10th, 2020 to February 17th, 2020 period. 4. One vendor (Sophos) raised claim that their dispute processing was not handled properly and cited three of four e-mails sent to the Tester to which a response was not received, potentially in violation of Criteria 2.9 in this Compliance Report. In response to this claim, AMTSO intervened with the Tester and received a report that the e-mails themselves sent by the Vendor included content which caused their e-mail SPAM filters to trigger and embargo the e-mails thereby giving the appearance of no action being taken. Following discussions between the Vendor and Tester, all remaining disputed items have been cleared and the Vendor has supplied written agreement that the Dispute Process was followed as of Monday, February 24th, 2020. This meets the requirements established in Criteria 5.9. 5. AMTSO points out that a key learning here was that the Tester was made aware of a dispute prior to Test Report publication and could have had a more complete process in place to close any received issue received during the Dispute Period. While this is a point of improvement, given the waiver from both sides in this dispute, this is not a blocker to the Compliance Confirmation. 6. This test is Confirmed Compliant with AMTSO Standard V1.2. The next

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quarter's test, Q1'2020, will be examined against AMTSO Standard V1.3.

Notifications

- Criteria 1.1 : Contact information is current and valid in the AMTSO managed contact list.
- Criteria 1.2 : Participants have been notified regarding this Test through Public Notification or Direct Contact.
- Criteria 1.3 : The Test Plan is included with the notification sent to Participants.
- Criteria 1.4 : The Test Plan is available to all Participants upon request.
- Criteria 1.5 : The Test Plan is available on the AMTSO web site for a Public Test.
- Criteria 1.6 : The Test Plan is distributed within the time line requirements prior to the Test Commencement Date.

Test Plan Content

- Criteria 2.1 : The Test Plan includes a Statement of Intention to follow the AMTSO Testing Protocol Standards.
- Criteria 2.2 : The Test Plan includes a Statement of Purpose indicating the criteria for the product types and threats to be used in the Test.
- Criteria 2.3 : The Test Plan includes the Test Commencement date(s).
- Criteria 2.4 : The Test Plan includes a Test Schedule with key Participant dates including periods for product configuration consultation.
- Criteria 2.5 : A Test Methodology describing the process used to execute the Test and Test Plan is defined.
- Criteria 2.6 : The Test Plan details the Test Environment and what said Environment aims to represent.
- Criteria 2.7 : The Test Plan includes a policy on reporting product version information.
- Criteria 2.8 : The Test Plan details of how the test will be scored and how (if any) certifications given will be measured.
- Criteria 2.9 : The Test Plan provides any dispute process details.
- Criteria 2.10 : The Test Plan details the Sample acquisition and selection process for use in this Test.
- Criteria 2.11 : The Test Plan details how Samples will be validated and

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	<p>classified.</p> <ul style="list-style-type: none"> • <input checked="" type="checkbox"/> Criteria 2.12 : If potential Participants are given the option not to participate in the Test then the opt-out option is honored if requested. • <input checked="" type="checkbox"/> Criteria 2.13 : The Test Plan provides high-level details on the sample provenance and Sample Curation strategy. • <input checked="" type="checkbox"/> Criteria 2.14 : The Test Plan provides a description as to how Curated Sample feedback is solicited and processed. • <input checked="" type="checkbox"/> Criteria 2.15 : The Test Plan defines whether Vendor participation in Sample Curation is restricted to Voluntary Participants. • <input checked="" type="checkbox"/> Criteria 2.16 : The Test Plan defines whether a Vendor can opt-out of a Public Test and if permitted explains how that process works. • <input checked="" type="checkbox"/> Criteria 2.17 : The Test Plan provides instructions for potential Participants to provide advanced configuration details.
Voluntary Participation	<ul style="list-style-type: none"> • <input checked="" type="checkbox"/> Criteria 3.1 : All potential Participants are given the option to become official Voluntary Participants. • <input checked="" type="checkbox"/> Criteria 3.2 : All Voluntary Participants are notified which products and services were being included in the Test. • <input checked="" type="checkbox"/> Criteria 3.3 : All Voluntary Participants are given the opportunity to review the configuration of their products in the Test Environment. • <input checked="" type="checkbox"/> Criteria 3.4 : All Voluntary Participants are given the opportunity to provide commentary on the Test. • <input type="checkbox"/> Criteria 3.5 : All Voluntary Participants complete a Voluntary Participation Attestation. • <input checked="" type="checkbox"/> Criteria 3.6 : All Voluntary Participants are asked to disclose any unlicensed third party intellectual material prior to the Product being tested.
Testing Process	<ul style="list-style-type: none"> • <input checked="" type="checkbox"/> Criteria 4.1 : All product logs, tested configurations, and environmental details generated during the Test are retained until all disputes are resolved. • <input checked="" type="checkbox"/> Criteria 4.2 : Participants are contacted prior to the Test's completion when their product(s) are suspected of malfunctioning. • <input checked="" type="checkbox"/> Criteria 4.3 : Participants are notified of the Test's completion with

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Test Report and Feedback	<p>performance feedback and Test records made available for review.</p> <ul style="list-style-type: none"> • <input checked="" type="checkbox"/> Criteria 4.4 : Participants are given the opportunity to review their product configurations at the Test's completion. • <input checked="" type="checkbox"/> Criteria 5.1 : Test results are presented in a clear, understandable format. • <input checked="" type="checkbox"/> Criteria 5.2 : The Test Report includes the tested product names and version information. • <input checked="" type="checkbox"/> Criteria 5.3 : The Test Report discloses any additional products or services related to this Test which were made available to Participants. • <input checked="" type="checkbox"/> Criteria 5.4 : The Test Report includes a reference to the Test Plan. • <input checked="" type="checkbox"/> Criteria 5.5 : The Test Report includes details of what Tests were run including the dates and times. • <input checked="" type="checkbox"/> Criteria 5.6 : The Test Report provides details of how the results can be used. • <input checked="" type="checkbox"/> Criteria 5.7 : The Test Report includes specific scores or certifications awarded. • <input checked="" type="checkbox"/> Criteria 5.8 : The Test Report includes a link to the AMTSO web site where commentary or additional information may be found. • <input checked="" type="checkbox"/> Criteria 5.9 : If any disputes extend beyond the Test Report's publication then subsequent updates are made in a clear and timely manner. • <input checked="" type="checkbox"/> Criteria 5.10 : Voluntary Participants are afforded the opportunity to audit their solution configuration and attach commentary to the Test covering the Test itself and the specific solution's results. • <input checked="" type="checkbox"/> Criteria 5.11 : Participants outside of Voluntary Participants are given the chance to attach commentary to the Test explaining why said Vendor was not participating as a Voluntary Participant.
Attestations	<ul style="list-style-type: none"> • <input checked="" type="checkbox"/> Criteria 6.1 : The Tester may charge for Participation in a Test, but may not charge additional fees for Participants to be Voluntary, and confirms that this was the case for this Compliance Check. • <input checked="" type="checkbox"/> Criteria 6.2 : Any material conflicts of interest that could impact the Test's reliability have been disclosed to AMTSO and as part of the Test Report.

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- Criteria 6.3 : All products included in your AMTSO Accredited Test are fairly and equally analyzed.
- Criteria 6.4 : Any anticipated inequity in your test design is disclosed to all Participants.
- Criteria 6.5 : Details disclosing how the test was funded are available.