

Payment Card Industry   
Data Security Standard

Attestation of Compliance for Self-Assessment Questionnaire D for Merchants

**For use with PCI DSS Version 4.0**

Publication Date: April 2022

Section 1: Assessment Information

***Instructions for Submission***

This document must be completed as a declaration of the results of the merchant’s self-assessment against the *Payment Card Industry Data Security Standard (PCI DSS) Requirements and Testing Procedures.* Complete all sections. The merchant is responsible for ensuring that each section is completed by the relevant parties, as applicable. Contact the entity(ies) to which the Attestation of Compliance (AOC) will be submitted for reporting and submission procedures.

This AOC reflects the results documented in an associated Self-Assessment Questionnaire (SAQ).

Capitalized terms used but not otherwise defined in this document have the meanings set forth in the PCI DSS Self-Assessment Questionnaire.

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| **Part 1. Contact Information** | |
| **Part 1a. Assessed Merchant** | |
| Company Name: |  |
| DBA (doing business as): |  |
| Company mailing address: |  |
| Company main website: |  |
| Company Contact Name: |  |
| Company contact title: |  |
| Contact phone number: |  |
| Contact e-mail address: |  |
| **Part 1b. Assessor** | |
| Provide the following information for all assessors involved in the assessment. If there was no assessor for a given assessor type, enter Not Applicable. | |
| PCI SSC Internal Security Assessor(s) | |
| ISA name(s): |  |
| Qualified Security Assessor | |
| Company Name: |  |
| Company mailing address: |  |
| Company website: |  |
| Lead Assessor Name: |  |
| Assessor phone number: |  |
| Assessor e-mail address: |  |
| Assessor certificate number: |  |

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| **Part 2. Executive Summary** | |
| **Part 2a. Merchant Business Payment Channels (select all that apply):** | |
| Indicate all payment channels used by the business that are included in this assessment.  Mail order/telephone order (MOTO)  E-Commerce  Card-present | |
| Are any payment channels not included in this assessment?  If yes, indicate which channel(s) is not included in the assessment and provide a brief explanation about why the channel was excluded. | Yes  No |
| ***Note:*** *If the organization has a payment channel that is not covered by this SAQ, consult with the entity(ies) to which this AOC will be submitted about validation for the other channels.* | |

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| **Part 2b. Description of Role with Payment Cards** | |
| For each payment channel included in this assessment as selected in Part 2a above, describe how the business stores, processes, and/or transmits account data. | |
| **Channel** | **How Business Stores, Processes, and/or Transmits Account Data** |
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| **Part 2c. Description of Payment Card Environment** | | |
| Provide a ***high-level*** description of the environment covered by this assessment.  *For example:*   * *Connections into and out of the cardholder data environment (CDE).* * *Critical system components within the CDE, such as POI devices, databases, web servers, etc., and any other necessary payment components, as applicable.* * *System components that could impact the security of account data.* |  | |
| Indicate whether the environment includes segmentation to reduce the scope of the assessment.  *(Refer to “Segmentation” section of PCI DSS for guidance on segmentation.)* | | Yes  No |

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| **Part 2. Executive Summary** *(continued)* | | |
| **Part 2d. In-Scope Locations/Facilities** | | |
| List all types of physical locations/facilities (for example, corporate offices, data centers, call centers, and mail rooms) in scope for the PCI DSS assessment. | | |
| **Facility Type** | **Total number of locations**  (How many locations of this type are in scope) | **Location(s) of facility (city, country)** |
| *Example: Data centers* | *3* | *Boston, MA, USA* |
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| **Part 2e. PCI SSC Validated Products and Solutions** | | | | |
| Does the merchant use any item identified on any PCI SSC Lists of Validated Products and Solutions[[1]](#footnote-2)♦?  Yes  No | | | | |
| Provide the following information regarding each item the merchant uses from PCI SSC’s Lists of Validated Products and Solutions. | | | | |
| **Name of PCI SSC- validated Product or Solution** | **Version of Product or Solution** | **PCI SSC Standard to which product or solution was validated** | **PCI SSC listing reference number** | **Expiry date of listing** (YYYY-MM-DD) |
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| **Part 2. Executive Summary** *(continued)* | | |
| **Part 2f. Third-Party Service Providers** | | |
| Does the merchant have relationships with one or more third-party service providers that: | | |
| * Store, process, or transmit account data on the merchant’s behalf (for example, payment gateways, payment processors, payment service providers (PSPs), and off-site storage) | | Yes  No |
| * Manage system components included in the scope of the merchant’s PCI DSS assessment¾for example, via network security control services, anti-malware services, security incident and event management (SIEM), contact and call centers, web-hosting services, and IaaS, PaaS, SaaS, and FaaS cloud providers. | | Yes  No |
| * Could impact the security of the merchant’s CDE (for example, vendors providing support via remote access, and/or bespoke software developers) | | Yes  No |
| ***If Yes:*** | | |
| **Name of service provider:** | **Description of service(s) provided:** | |
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| ***Note:*** *Requirement 12.8 applies to all entities in this list.* | | |

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| **Part 2. Executive Summary** *(continued)* |

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| **Part 2g. Summary of Assessment**  *(SAQ Section 2 and related appendices)* |

*Indicate below all responses that were selected for each PCI DSS requirement.*

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| **PCI DSS Requirement** | **Requirement Responses**  *More than one response may be selected for a given requirement.  Indicate all responses that apply.* | | | | | |
| In Place | In Place with CCW | In Place with Remediation | Not Applicable | Not Tested | Not in Place |
| Requirement 1: |  |  |  |  |  |  |
| Requirement 2: |  |  |  |  |  |  |
| Requirement 3: |  |  |  |  |  |  |
| Requirement 4: |  |  |  |  |  |  |
| Requirement 5: |  |  |  |  |  |  |
| Requirement 6: |  |  |  |  |  |  |
| Requirement 7: |  |  |  |  |  |  |
| Requirement 8: |  |  |  |  |  |  |
| Requirement 9: |  |  |  |  |  |  |
| Requirement 10: |  |  |  |  |  |  |
| Requirement 11: |  |  |  |  |  |  |
| Requirement 12: |  |  |  |  |  |  |
| Appendix A2: |  |  |  |  |  |  |

Section 2: Self-Assessment Questionnaire D for Merchants

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| Self-assessment completion date: | YYYY-MM-DD |
| Were any requirements in the SAQ unable to be met due to a legal constraint? | Yes  No |

Section 3: Validation and Attestation Details

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| **Part 3. PCI DSS Validation** |

**This AOC is based on results noted in SAQ D (Section 2), dated (Self-assessment completion date** *YYYY-MM-DD****).***

Indicate below whether a full or partial PCI DSS assessment was completed:

**Full** – All requirements have been assessed therefore no requirements were marked as Not Tested in the SAQ.

**Partial** – One or more requirements have not been assessed and were therefore marked as Not Tested in the SAQ. Any requirement not assessed is noted as Not Tested in Part 2g above.

Based on the results documented in the SAQ D noted above, each signatory identified in any of Parts 3b-3d, as applicable, assert(s) the following compliance status for the merchant identified in Part 2 of this document.

***Select one:***

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|  | | **Compliant:** All sections of the PCI DSS SAQ are complete, and all assessed requirements are marked as being either 1) In Place, 2) In Place with Remediation, or 3) Not Applicable, resulting in an overall **COMPLIANT** rating; thereby *(Merchant Company Name)* has demonstrated compliance with all PCI DSS requirements included in this SAQ except those noted as Not Tested above. | | | | |
|  | | **Non-Compliant:** Not all sections of the PCI DSS SAQ are complete, or one or more requirements are marked as Not in Place, resulting in an overall **NON-COMPLIANT** rating, thereby *(Merchant Company Name)* has not demonstrated compliance with the PCI DSS requirements included in this SAQ.  **Target Date** for Compliance: *YYYY-MM-DD*  A merchant submitting this form with a Non-Compliant status may be required to complete the Action Plan in Part 4 of this document. Confirm with the entity to which this AOC will be submitted *before completing Part 4.* | | | | |
|  | | **Compliant but with Legal exception:** One or more assessed requirements in the PCI DSS SAQ are marked as Not in Place due to a legal restriction that prevents the requirement from being met and all other assessed requirements are marked as being either 1) In Place, 2) In Place with Remediation, or 3) Not Applicable, resulting in an overall **COMPLIANT BUT WITH LEGAL EXCEPTION** rating; thereby *(Merchant Company Name)* has demonstrated compliance with all PCI DSS requirements included in this SAQ except those noted as Not Tested above or as Not in Place due to a legal restriction.  This option requires additional review from the entity to which this AOC will be submitted. *If selected, complete the following:* | | | | |
|  | |  | | Affected Requirement | Details of how legal constraint prevents  requirement from being met |  |
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| Part 3a. Merchant Acknowledgement | | | | | | |
| **Signatory(s) confirms:**  ***(Select all that apply)*** | | | | | | |
|  | | PCI DSS Self-Assessment Questionnaire D, Version *4.0* was completed according to the instructions therein. | | | | |
|  | | All information within the above-referenced SAQ and in this attestation fairly represents the results of the merchant’s assessment in all material respects. | | | | |
|  | | PCI DSS controls will be maintained at all times, as applicable to the merchant’s environment. | | | | |

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| Part 3b. Merchant Attestation | |
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| *Signature of Merchant Executive Officer* á | *Date: YYYY-MM-DD* |
| *Merchant Executive Officer Name:* | *Title:* |

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| Part 3c. Qualified Security Assessor (QSA) Acknowledgement | | |
| If a QSA was involved or assisted with this assessment, indicate the role performed: | QSA performed testing procedures. | |
| QSA provided other assistance.  If selected, describe all role(s) performed: | |
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| *Signature of Lead QSA á* | | *Date: YYYY-MM-DD* |
| Lead QSA Name: | | |
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| *Signature of Duly Authorized Officer of QSA Company* á | | *Date: YYYY-MM-DD* |
| *Duly Authorized Officer Name:* | | *QSA Company:* |

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| Part 3d. PCI SSC Internal Security Assessor (ISA) Involvement | |
| If an ISA(s) was involved or assisted with this assessment, indicate the role performed: | ISA(s) performed testing procedures. |
| ISA(s) provided other assistance.  If selected, describe all role(s) performed: |

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| Part 4. Action Plan for Non-Compliant Requirements | | | | |
| *Only complete Part 4 upon request of the entity to which this AOC will be submitted, and only if the Assessment has a Non-Compliant status noted in Section 3.*  If asked to complete this section, select the appropriate response for “Compliant to PCI DSS Requirements” for each requirement below. For any “No” responses, include the date the merchant expects to be compliant with the requirement and a brief description of the actions being taken to meet the requirement. | | | | |
| **PCI DSS Requirement** | **Description of Requirement** | **Compliant to PCI DSS Requirements**  (Select One) | | **Remediation Date and Actions** (If “NO” selected for any Requirement) |
| **YES** | **NO** |
| 1 | Install and maintain network security controls |  |  |  |
| 2 | Apply secure configurations to all system components |  |  |  |
| 3 | Protect stored account data |  |  |  |
| 4 | Protect cardholder data with strong cryptography during transmission over open, public networks |  |  |  |
| 5 | Protect all systems and networks from malicious software |  |  |  |
| 6 | Develop and maintain secure systems and software |  |  |  |
| 7 | Restrict access to system components and cardholder data by business need to know |  |  |  |
| 8 | Identify users and authenticate access to system components |  |  |  |
| 9 | Restrict physical access to cardholder data |  |  |  |
| 10 | Log and monitor all access to system components and cardholder data |  |  |  |
| 11 | Test security systems and networks regularly |  |  |  |
| 12 | Support information security with organizational policies and programs |  |  |  |
| Appendix A2 | Additional PCI DSS Requirements for Entities using SSL/Early TLS for Card-Present POS POI Terminal Connections |  |  |  |



1. ♦ For purposes of this document, ”Lists of Validated Products and Solutions” means the lists of validated products, solutions, and/or components appearing on the PCI SSC website ([www.pcisecuritystandards.org](http://www.pcisecuritystandards.org))¾for example, 3DS Software Development Kits, Approved PTS Devices, Validated Payment Software, Payment Applications (PA-DSS), Point to Point Encryption (P2PE) solutions, Software-Based PIN Entry on COTS (SPoC) solutions, and Contactless Payments on COTS (CPoC) solutions. [↑](#footnote-ref-2)