



***SOC2 Security Report on Controls Supporting DriveSavers Services***

Independent Service Auditor's Report on Design of Controls Placed in  
Operation and Tests of Operational Effectiveness Relevant to Security (SOC2)

***For the Period of April 16, 2015 to April 15, 2016***

# SECTION I – INDEPENDENT SERVICE AUDITOR’S REPORT

PROVIDED BY GOETSCH & ASSOCIATES



June 9<sup>th</sup>, 2016

Board of Directors  
DriveSavers Data Recovery Inc. (DriveSavers)  
400 Bel Marin Keys Boulevard  
Novato, CA 94949

## Re: SOC2 Type II Security Examination Results

We have examined the accompanying description of controls related to the services of DriveSavers Data Recovery Inc. (DriveSavers), titled “Section III – DriveSavers System Description”, for the period April 16, 2015 to April 15, 2016 (the description) and the suitability of the design and operating effectiveness of controls to meet the criteria for security principles set forth in TSP section 100, Trust Services Principles, Criteria, and Illustrations for Security, Availability, Processing Integrity, Confidentiality, and Privacy (AICPA, Technical Practice Aids) (applicable trust services criteria), throughout the period April 16, 2015 to April 15, 2016. The description indicates that certain applicable trust services criteria specified in the description can be achieved only if complementary user-entity controls contemplated in the design of the service organization’s controls are suitably designed and operating effectively, along with the related controls at the service organization. We have not evaluated the suitability of the design or operating effectiveness of such complementary user entity controls identified in Section III – C., titled “C. Complementary Controls at Client / User Organization”.

The service organization has provided their accompanying assertion titled “Section II – DriveSavers Management Assertion” for the period April 16, 2015 to April 15, 2016, which is based on the criteria identified in management’s assertion. The service organization is responsible for (1) preparing the description and the assertion; (2) the completeness, accuracy, and method of presentation of both the description and assertions; (3) providing the services covered by the description; (4) specifying the controls that meet the applicable trust services criteria and stating them in the description; and (5) designing, implementing, and documenting the controls to meet the applicable trust services criteria.

Our responsibility is to express an opinion on the fairness of the presentation of the description based on the description criteria set forth in the service organization’s assertion and on the suitability of the design and operating effectiveness of the controls to meet the applicable trust services criteria, based on our examination. We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants (AICPA). Those standards require that we plan and perform our examination to obtain reasonable assurance about whether, in all material respects, (1) the description is fairly presented based on the description criteria, and (2) the controls were suitably designed and operating effectively to meet the applicable trust services criteria throughout the period April 16, 2015 to April 15, 2016.

Our examination involved performing procedures to obtain evidence about the fairness of the presentation of the description based on the description criteria and the suitability of the design and operating effectiveness of those controls to meet the applicable trust services criteria. Our procedures included assessing the risks that the description is not fairly presented and that the controls were not suitably designed or operating effectively to meet the applicable trust services criteria. Our procedures also included testing the operating effectiveness of those controls that we consider necessary to provide reasonable assurance that the applicable trust services criteria

were met. Our examination also included evaluating the overall presentation of the description. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Because of their nature and inherent limitations, controls at a service organization may not always operate effectively to meet the applicable trust services criteria. Also, the projection to the future of any evaluation of the fairness of the presentation of the description or conclusions about the stability of the design or operating effectiveness of the controls to meet the applicable trust services criteria is subject to the risks that the system may change or that controls at a service organization may become inadequate or fail.

In our opinion, in all material respects, based on the description criteria identified in DriveSavers' assertion and the applicable trust services criteria:

- The description fairly presents the system that was designed and implemented throughout the period April 16, 2015 to April 15, 2016.
- The controls stated in the description were suitably designed to provide reasonable assurance that the applicable trust services criteria would be met if the controls operated effectively throughout the period April 16, 2015 to April 15, 2016, and user entities applied the complementary user-entity controls contemplated in the design of DriveSavers controls throughout the period April 16, 2015 to April 15, 2016.
- The controls tested, which together with the complementary user-entity controls referred to in the scope paragraph of this report, if operating effectively, were those necessary to provide reasonable assurance that the applicable trust services criteria were met, operated effectively throughout the period April 16, 2015 to April 15, 2016.

The specific controls we tested and the nature, timing, and results of our tests are presented in the section of our report titled "Section IV – Testing".

This report and the description of tests of controls and results thereof are intended solely for the information and use of DriveSavers' user entities during some or all of the period April 16, 2015 to April 15, 2016; independent auditors and practitioners providing services to such user entities, and regulators who have sufficient knowledge and understanding of the following:

- The nature of the service provided by the service organization
- How the service organization's system interacts with user entities, and other parties
- Internal control and its limitations
- Complementary user-entity controls and how they interact with related controls at the service organization to meet the applicable trust services criteria
- The applicable trust services criteria
- The risks that may threaten the achievement of the applicable trust services criteria and how controls address those risks

This report is not intended to be and should not be used by anyone other than these specified parties.



Goetsch & Associates CPA's PLLC  
Certified Public Accountants  
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## SECTION II – DRIVESAVERS MANAGEMENT ASSERTION

PROVIDED BY DRIVESAVERS



# DriveSavers Data Recovery

We have prepared the attached description titled “SECTION III - DriveSavers System Description” for the period April 16, 2015 to April 15, 2016 (the description) based on the criteria in items (c) (i)-(ii) below, which are the criteria for a description of a service organization’s system in paragraphs 1.33-34 of the AICPA Guide Reporting on Controls at a Service Organization Relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy (the description criteria). The description is intended to provide users with information about the DriveSavers Data Recovery Systems, particularly system controls intended to meet the criteria for the security Principles set forth in TSP section 100, Trust Services Principles, Criteria and Illustrations for Security, Availability, Processing Integrity, Confidentiality, and Privacy (AICPA Technical Practice Aids) (applicable trust services criteria). We confirm, to the best of our knowledge and belief, that

- a. The controls stated in description were suitable designed throughout the specified period to meet the applicable trust services criteria.
- b. The controls stated in the description operated effectively throughout the specified period to meet the applicable trust service criteria.
- c. The description fairly presents the DriveSavers Data Recovery system throughout the period April 16, 2015 to April 15, 2016, based on the following description criteria:
  - i. The description contains the following information:
    - (1) The types of services provided
    - (2) The components of the system used to provide the services, which are the following:
      - *Infrastructure*. The physical and hardware components of a system (facilities, equipment, and networks).
      - *Software*. The programs and operating software of a system (system applications, and utilities).
      - *People*. The personnel involved in the operation and use of a system (developers, operators, users, and managers).
      - *Procedures*. The automated and manual procedures involved in the operation of a system.
      - *Data*. The information used and supported by a system (transactions streams, files, databases, and tables).
    - (3) The boundaries or aspects of the system covered by the description
    - (4) How the system captures and addresses significant events and conditions
    - (5) The process used to prepare and deliver reports and other information to user entities and other parties
    - (6) If information is provided to, or received from, subservice organizations or other parties, how such information is provided or received; the role of the subservice organization and other parties; and the procedures performed to determine that such information and its processing, maintenance, and storage are subject to appropriate controls
    - (7) For each principle being report on, the applicable trust services criteria and the related controls designed to meet those criteria, including, as applicable, complementary user – entity controls contemplated in the design of the service organization’s system
    - (8) For subservice organizations presented using the carve-out method, the nature of the services provided by other subservice organization’ each of the applicable trust services criteria that are intended to be met by controls at the subservice organization, alone or in combination with controls at the service organization, and the types of controls expected

to be implemented at carved-out subservice organizations to meet those criteria; and for privacy, the types of activities that the subservice organization would need to perform to comply with our privacy commitments

- (9) Any applicable trust services criteria that are not addressed by a control at the service organization or a subservice organization and the reasons therefore
  - (10) Other aspects of the service organization's control environment, risk assessment process, information and communication systems, and monitoring of controls that are relevant to the services provided and the applicable trust services criteria
  - (11) Relevant details of changes to the service organization's system during the period covered by the description
- ii. The description does not omit or distort information relevant to the service organization's system while acknowledging that the description is prepared to meet the common needs of a broad range of users and may not, therefore, include every aspect of the system that each individual user may consider important to his or her own particular needs.



Michael Hall  
Chief Information Security Officer  
DriveSavers Data Recovery Inc.