



CA TECHNOLOGIES

SERVICE ORGANIZATION CONTROL (SOC 1) REPORTSM

Nimsoft SaaS Hosting Services System (NSD 7.0)

**FOR THE PERIOD
OCTOBER 1, 2013 THROUGH MAY 31, 2014**



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INDEPENDENT SERVICE AUDITORS' REPORT

To the Board of Directors of CA Technologies:

Scope

We have examined CA Technologies' (CA) description of its Nimsoft Service Desk (NSD 7.0) SaaS Hosting Services system (the SaaS Hosting Services system) in support of the processing of user entities' transactions throughout the period October 1, 2013 to May 31, 2014 (description) and the suitability of the design and the operating effectiveness of CA's general computer controls to achieve the related control objectives stated in the description. The description indicates that certain control objectives specified in the description can be achieved only if complementary user entity controls contemplated in the design of CA's controls are suitably designed and operating effectively, along with related controls at the service organization. We have not evaluated the suitability of the design or the operating effectiveness of such complementary user entity controls.

CA uses third-party sub-service organizations (Section 2, Page 2) to provide data center hosting services for the data centers in which the SaaS Hosting Application is hosted. The description includes only the control objectives and related controls of CA and excludes the control objectives and related controls of the third-party sub-service organizations. Our examination did not extend to controls of the third-party sub-service organizations.

The information in Section Four of management's description of the service organization's system, "Other Information Provided by CA Technologies," that describes CA's Management Responses to Exceptions Noted by KPMG and Contingency/Disaster Recovery Planning is presented by management of CA to provide additional information and is not a part of CA's description of its system made available to user entities during the period October 1, 2013 to May 31, 2014. This information has not been subjected to the procedures applied in the examination of the description of the system and of the suitability of the design and operating effectiveness of controls to achieve the related control objectives stated in the description of the system, and, accordingly, we express no opinion on it.

Service organization's responsibilities

In its description, CA has provided an assertion about the fairness of the presentation of the description, the suitability of the design and the operating effectiveness of the controls to achieve the related control objectives stated in the description. CA is responsible for preparing the description and for the assertion, including the completeness, accuracy, and method of presentation of the description and the assertion, providing the services covered by the description, specifying the control objectives and stating them in the description, identifying the risks that threaten the achievement of the control objectives, selecting and using suitable criteria, and designing, implementing, and documenting controls to achieve the related control objectives stated in the description.



Service auditors' responsibilities

Our responsibility is to express an opinion on the fairness of the presentation of the description, the suitability of the design and the operating effectiveness of the controls to achieve the related control objectives stated in the description, based on our examination. We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether, in all material respects, the description is fairly presented, the controls were suitably designed and the controls were operating effectively to achieve the related control objectives stated in the description throughout the period October 1, 2013 to May 31, 2014.

An examination of a description of a service organization's system and the suitability of the design and operating effectiveness of the service organization's controls to achieve the related control objectives stated in the description involves performing procedures to obtain evidence about the fairness of the presentation of the description and the suitability of the design and the operating effectiveness of those controls to achieve the related control objectives stated in the description. 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 achieve the related control objectives stated in the description. Our procedures also included testing the operating effectiveness of those controls that we consider necessary to provide reasonable assurance that the related control objectives stated in the description were achieved. An examination engagement of this type also includes evaluating the overall presentation of the description and the suitability of the control objectives stated therein, and the suitability of the criteria specified by the service organization and described in management's assertion. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Inherent limitations

Because of their nature, controls at a service organization may not prevent, or detect and correct, all errors or omissions in the hosting services provided in support of the processing or reporting of user entities' transactions. Also, the projection to the future of any evaluation of the fairness of the presentation of the description, or conclusions about the suitability of the design or operating effectiveness of the controls to achieve the related control objectives is subject to the risk that controls at a service organization may become inadequate or fail.

Basis for qualified opinion

Management identified 13 users who did not require access to production, including seven developers. Although no instances of inappropriate changes have been noted, specific monitoring controls were not in place to compensate for such access which was remediated in April 2014. In addition, exceptions were noted regarding periodic access reviews, lack of password expiration for a selection of users, and lack of documentation of remediation of vulnerabilities. As a result the controls were not operating effectively from October 1, 2013 to April 20, 2014 to achieve the control objectives "Controls provide reasonable assurance that changes to existing SaaS Hosting Applications are authorized, tested, approved, implemented and documented" and "Controls provide reasonable assurance that logical access to production systems, applications, and data is limited to authorized individuals."



Opinion

In our opinion, except for the matters described in the preceding paragraph, and based on the criteria described in CA's assertion, in all material respects, (1) the description fairly presents the SaaS Hosting Services system that was designed and implemented throughout the period October 1, 2013 to May 31, 2014, (2) the controls related to the control objectives stated in the description were suitably designed to provide reasonable assurance that the control objectives would be achieved if the controls operated effectively throughout the period October 1, 2013 to May 31, 2014, and user entities applied the complementary user entity controls contemplated in the design of CA's controls throughout the period October 1, 2013 to May 31, 2014, and (3) 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 control objectives stated in the description were achieved, operated effectively throughout the period October 1, 2013 to May 31, 2014.

Description of tests of controls

The specific controls and the nature, timing, extent, and results of the tests are listed in Section Three.

Restricted use

This report, including the description of tests of controls and results thereof in Section Three, is intended solely for the information and use of CA, user entities of CA's SaaS Hosting Services system during some or all of the period October 1, 2013 to May 31, 2014, and the independent auditors of such user entities, who have a sufficient understanding to consider it, along with other information including information about controls implemented by user entities themselves, when assessing the risks of material misstatements of user entities' financial statements. This report is not intended to be and should not be used by anyone other than these specified parties.

KPMG LLP

Santa Clara, California
December 5, 2014