



**A-LIGN**

KnowBe4, Inc

Type 2 SOC 3

2024

**KnowBe4**  
Human error. Conquered.



**SOC 3 FOR SERVICE ORGANIZATIONS REPORT**

**March 16, 2023 to March 15, 2024**

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**SECTION 1**  
**ASSERTION OF KNOWBE4, INC MANAGEMENT**

## ASSERTION OF KNOWBE4, INC MANAGEMENT

March 25, 2024

We are responsible for designing, implementing, operating, and maintaining effective controls within KnowBe4, Inc's ('KnowBe4' or 'the Company') Cloud Hosted Data Platforms System throughout the period March 16, 2023 to March 15, 2024, to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved based on the trust services criteria relevant to Security, Availability, Processing Integrity, Confidentiality, and Privacy (applicable trust services criteria) set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy*, in AICPA, *Trust Services Criteria*, and KnowBe4's compliance with the commitments in its Privacy Notice. Our description of the boundaries of the system is presented below in "KnowBe4, Inc's Description of Its Cloud Hosted Data Platforms System throughout the period March 16, 2023 to March 15, 2024" and identifies the aspects of the system covered by our assertion.

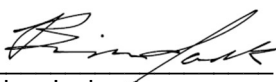
We have performed an evaluation of the effectiveness of the controls within the system throughout the period March 16, 2023 to March 15, 2024, to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved based on the trust services criteria. KnowBe4's objectives for the system in applying the applicable trust services criteria are embodied in its service commitments and system requirements relevant to the applicable trust services criteria. The principal service commitments and system requirements related to the applicable trust services criteria are presented in "KnowBe4, Inc's Description of Its Cloud Hosted Data Platforms System throughout the period March 16, 2023 to March 15, 2024".

KnowBe4 uses Amazon Web Services, Inc. ('AWS' or 'subservice organization') to provide cloud hosting services. The description indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at KnowBe4, to achieve KnowBe4's service commitments and system requirements based on the applicable trust services criteria and KnowBe4's compliance with the commitments in its Privacy Notice. The description presents KnowBe4's controls, the applicable trust services criteria, and the types of complementary subservice organization controls assumed in the design of KnowBe4's controls. The description does not disclose the actual controls at the subservice organization.

The description indicates that complementary user entity controls that are suitably designed and operating effectively are necessary to achieve KnowBe4's service commitments and system requirements based on the applicable trust services criteria and KnowBe4's compliance with the commitments in its Privacy Notice. The description presents the applicable trust services criteria and the complementary user entity controls assumed in the design of KnowBe4's controls.

There are inherent limitations in any system of internal control, including the possibility of human error and the circumvention of controls. Because of these inherent limitations, a service organization may achieve reasonable, but not absolute, assurance that its service commitments and system requirements are achieved.

We assert that the controls within the system were effective throughout the period March 16, 2023 to March 15, 2024 to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved based on the applicable trust services criteria and KnowBe4's compliance with the commitments in its Privacy Notice, if complementary subservice organization controls and complementary user entity controls assumed in the design of KnowBe4's controls operated effectively throughout that period.



Brian Jack  
Chief Information Security Officer  
KnowBe4, Inc

**SECTION 2**  
**INDEPENDENT SERVICE AUDITOR'S REPORT**



## INDEPENDENT SERVICE AUDITOR'S REPORT

To KnowBe4, Inc:

### *Subject*

We have examined KnowBe4's accompanying assertion titled "Assertion of KnowBe4, Inc Management" (assertion) that the controls within KnowBe4's Cloud Hosted Data Platforms System were effective throughout the period March 16, 2023 to March 15, 2024, to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved based on the trust services criteria relevant to Security, Availability, Processing Integrity, Confidentiality, and Privacy (applicable trust services criteria) set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy*, in AICPA *Trust Services Criteria*, and KnowBe4's compliance with the commitments in its Privacy Notice.

KnowBe4 uses AWS to provide cloud hosting services. The description indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at KnowBe4, to achieve KnowBe4's service commitments and system requirements based on the applicable trust services criteria and KnowBe4's compliance with the commitments in its Privacy Notice. The description presents KnowBe4's controls, the applicable trust services criteria, and the types of complementary subservice organization controls assumed in the design of KnowBe4's controls. The description does not disclose the actual controls at the subservice organization. Our examination did not include the services provided by the subservice organization, and we have not evaluated the suitability of the design or operating effectiveness of such complementary subservice organization controls.

The description indicates that complementary user entity controls that are suitably designed and operating effectively are necessary, along with controls at KnowBe4, to achieve KnowBe4's service commitments and system requirements based on the applicable trust services criteria and KnowBe4's compliance with the commitments in its Privacy Notice. The description presents KnowBe4's controls, the applicable trust services criteria, and the complementary user entity controls assumed in the design of KnowBe4's controls. Our examination did not include such complementary user entity controls and we have not evaluated the suitability of the design or operating effectiveness of such controls.

### *Service Organization's Responsibilities*

KnowBe4 is responsible for its service commitments and system requirements and for designing, implementing, and operating effective controls within the system to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved. KnowBe4 has also provided the accompanying assertion (KnowBe4 assertion) about the effectiveness of controls within the system. When preparing its assertion, KnowBe4 is responsible for selecting, and identifying in its assertion, the applicable trust services criteria, for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system, and complying with the commitments in its Privacy Notice.

### *Service Auditor's Responsibilities*

Our responsibility is to express an opinion, based on our examination, on management's assertion that controls within the system were effective throughout the period to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria and its compliance with the commitments in its Privacy Notice. Our examination was conducted in accordance with attestation standards established by the AICPA. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether management's assertion is fairly stated, in all material respects. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Our examination included:

- Obtaining an understanding of the system and the service organization's service commitments and system requirements
- Assessing the risks that the description is not presented in accordance with the description criteria and that controls were not suitably designed or did not operate effectively
- Performing procedures to obtain evidence about whether controls stated in the description were suitably designed to provide reasonable assurance that the service organization achieved its service commitments and system requirements based on the applicable trust services criteria

Our examination also included performing such other procedures as we considered necessary in the circumstances.

#### *Independence and Ethical Responsibilities*

We are required to be independent and to meet our other ethical responsibilities in accordance with relevant ethical requirements relating to the examination engagement.

#### *Inherent Limitations*

There are inherent limitations in the effectiveness of any system of internal control, including the possibility of human error and the circumvention of controls.

Because of their nature, controls may not always operate effectively to provide reasonable assurance that the service organization's service commitments and system requirements are achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the suitability of the design and operating effectiveness of controls is subject to the risk that controls may become inadequate because of changes in conditions or that the degree of compliance with the policies or procedures may deteriorate.

#### *Opinion*

In our opinion, management's assertion that the controls within KnowBe4's Cloud Hosted Data Platforms System were suitably designed and operating effectively throughout the period March 16, 2023 to March 15, 2024, to provide reasonable assurance that KnowBe4's service commitments and system requirements were achieved based on the applicable trust services criteria is fairly stated, in all material respects, if complementary subservice organization controls and complementary user entity controls assumed in the design of KnowBe4's controls operated effectively throughout that period.

The SOC logo for Service Organizations on KnowBe4's website constitutes a symbolic representation of the contents of this report and is not intended, nor should it be construed, to provide any additional assurance.



*Restricted Use*

This report, is intended solely for the information and use of KnowBe4, user entities of KnowBe4's Cloud Hosted Data Platforms during some or all of the period March 16, 2023 to March 15, 2024, business partners of KnowBe4 subject to risks arising from interactions with the Cloud Hosted Data Platforms, and those who have sufficient knowledge and understanding of the complementary subservice organization controls and complementary user entity controls and how those controls interact with the controls at the service organization to achieve the service organization's service commitments and system requirements.

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

A-LIGN ASSURANCE

Tampa, Florida  
March 25, 2024

### **SECTION 3**

## **KNOWBE4, INC'S DESCRIPTION OF ITS CLOUD HOSTED DATA PLATFORMS SYSTEM THROUGHOUT THE PERIOD MARCH 16, 2023 TO MARCH 15, 2024**

## OVERVIEW OF OPERATIONS

### Company Background

KnowBe4 is a security awareness training and simulated phishing platform (KMSAT); lightweight security orchestration, automation, and response platform (PhishER), along with SecurityCoach which is a real-time security coaching aimed at reducing risky behavior utilizing Human Detection and Response (HDR) techniques to correlate events from existing security infrastructure. Founded by data and IT security expert Stu Sjouwerman, KnowBe4 helps organizations address the human element of security by raising awareness of ransomware, Chief Executive Officer (CEO) fraud, and other social engineering tactics through a new-school approach to security awareness training. Kevin Mitnick was an internationally recognized computer security expert and was KnowBe4's Chief Hacking Officer, helped design KnowBe4's training based on his documented social engineering tactics. Thousands of organizations leverage KnowBe4's platform to train their workforce to make smarter security decisions and create a human firewall.

### Description of Services Provided

KnowBe4's Cloud Hosted Data Platforms includes the PhishER and Kevin Mitnick Security Awareness Training and Simulated Phishing (KMSAT) platform.

The KMSAT platform has over 60,000 customers. KMSAT is designed to provide users with a platform to better manage information technology (IT) security problems of social engineering, spear-phishing, and ransomware attacks.

The KMSAT platform provides users with self-service enrollment and both pre-and post-training phishing security tests that show the percentage of end-users that are Phish-prone. KnowBe4's random Phishing Security Tests provide several remedial options if an employee falls for a simulated phishing attack. The KnowBe4 Security Awareness Training (KMSAT) platform is a comprehensive web-based SaaS service designed to help organizations manage the ongoing problem of social engineering.

Here's an overview of KMSAT's capabilities: KMSAT provides access to the world's largest library of security awareness training content, including interactive modules, videos, games, posters, and newsletters. The platform allows users to simulate phishing attacks to test employees' vigilance and train them to recognize and report attempts. Phish Alert Button (PAB) enables users to report suspected phishing emails with a single click. KMSAT offers advanced reporting features that provide insights into the effectiveness of the training programs and the phish-prone percentage of users. The smart group's feature allows for the tailoring of phishing campaigns, training assignments, remedial learning, and reporting. KMSAT can synchronize with an organization's Active Directory (AD). Security Roles for granular access control for different users and groups. The KMSAT platform is designed to be intuitive and easy to use, allowing for quick deployment and management of training and phishing campaigns.

KMSAT platform's key features:

- User Management and Reporting:
  - Easy User Management with AD Integration
  - SmartGroups to automate user training paths based on behavior and user attributes
  - Granular Security Roles for access control within the console
  - Enterprise-Strength Reporting for actionable metrics on security awareness program
- Phishing Simulation Features:
  - Phishing Templates available in over 30 languages
  - AI-Based Phishing for dynamic and adaptive phishing tests
  - Domain Spoofing capabilities for realistic simulations
  - Randomized Testing to prevent pattern recognition among users
  - Full Customization of phishing templates and landing pages
  - Over 20,000 templates to choose from, fully localized

- Training Campaign Options:
  - Configurable Start Times and Time zones
  - Business Hours option to send phishing tests within work hours
  - Frequency and Duration settings for campaign customization
  - Target Specific Groups or users with campaigns
- Phish Alert Button (PAB):
  - Functionality for users to report phishing attempts
  - Data Capture details available in the Product Manual
  - Environment Customization for the PAB
- Advanced Phishing Features:
  - Phishing Reply Tracking to monitor user responses to simulated phishing emails
  - Geolocation data to visualize phishing test failures
  - Social Engineering Indicators to educate users on phishing emails
  - Universal Serial Bus (USB) Drive Test to assess user reactions to unknown USB drives
- Training Access Levels:
  - Multiple levels of access to a vast content library based on subscription levels
  - Fresh content to address the needs of any organization size
- Additional Features:
  - Advanced Reporting with over 60 built-in reports
  - Unlimited Use of phishing features and access to the content library
  - Simulated Attachments in various file formats for phishing tests
  - Risk Scoring to monitor the risk level of employees and groups
- Integrations:
  - AD and Security Assertion Markup Language (SAML) Integration for user synchronization and single sign-on (SSO)
  - Various third-party integrations to enhance functionality and data analysis
- Automated Security Awareness Program (ASAP):
  - ASAP is a tool that allows the creation of a customized Security Awareness Program to create a fully mature training program

PhishER is KnowBe4's lightweight Security Orchestration, Automation, and Response (SOAR) platform designed to help manage emails reported by users as suspicious. It's an integral part of a security incident response plan, providing a centralized platform to help prioritize and analyze these reported messages. The purpose of this platform is to provide an organization with a way to evaluate suspicious emails making it through to the inbox of users. Using PhishER as a detective security control, the organization can identify potential threats and strengthen its security measures and defense-in-depth plan.

PhishER's key features:

- Simple and Advanced Rule Creation: PhishER allows the creation of custom rules using a Basic or Advanced Editor, utilizing built-in YARA-based system rules, or editing existing YARA rules to disposition and categorize messages efficiently.
- PhishML: A machine-learning module within PhishER that helps to identify and assess the potential threat of suspicious messages reported by users. It generates confidence values and allows users to customize threshold values for automated prioritization.
- Data Enrichment and Intelligence: PhishER can integrate with external services like VirusTotal to analyze attachments and URLs for malicious content, providing additional context and intelligence for reported messages.
- SIEM Integrations: PhishER can connect with existing security infrastructure to maximize customers security investments and streamline incident response.
- PhishRIP: An email quarantine feature that integrates with Microsoft 365 and Google Workspace, allows the search for and removal of threats across mailboxes.
- Automatic Message Prioritization: PhishER automatically prioritizes every reported message into one of three categories: Clean, Spam, or Threat, helping the team focus on the most dangerous threats first.

- PhishFlip: This feature allows for turning user-reported phishing attacks targeted at customer organizations into safe simulated phishing campaigns, enhancing the customer training program.
- Emergency Rooms: These are pre-filtered views of unresolved messages in the PhishER inbox, grouped by commonalities, which help to quickly address potential threats.

SecurityCoach allows the Security team to leverage existing cybersecurity infrastructure to identify risky user behaviors. SecurityCoach then helps to augment the security awareness training effectiveness with a data-driven approach by quantifying and reducing human risk with real-time behavior coaching and new school security awareness training.

SecurityCoach is an add-on for KnowBe4's Platinum and Diamond customers that enhances the security awareness training experience by providing real-time coaching based on user behavior. It integrates with customer security stack to detect and address risky user behavior as it occurs, reinforcing a robust security culture within customer organization.

SecurityCoach Key features:

- Real-Time Coaching: SecurityCoach monitors user activity for risky behavior and delivers instant, automated SecurityTips to coach users on safer practices. This real-time feedback helps correct actions that could lead to security incidents.
- Vendor Integrations: The platform integrates with various third-party security vendors to leverage data for user coaching. This integration allows SecurityCoach to use events detected by existing security solutions to provide targeted coaching.
- User Mapping: SecurityCoach links risky activity detected by security vendors to specific users, enabling personalized coaching. This mapping can be done automatically for email and web security vendors and either manually or automatically for endpoint security vendors.
- Detection Rules: The platform comes with system detection rules provided by KnowBe4 and also allows for the creation of custom rules. These rules are used to identify risky behavior and trigger real-time coaching.
- SecurityTips: These are customizable graphics and notification templates used in coaching campaigns. They can be filtered by type, topic, and language, and are designed to engage users and reinforce security best practices.
- Real-Time Coaching Campaigns: Training campaigns can be created to send SecurityTips when risky behavior is detected. These campaigns can be tested with specific user groups before rolling out organization wide.
- Dashboard and Reporting: SecurityCoach provides a comprehensive dashboard and reporting features that offer an overview of SecurityCoach data, risk reports for security vendors, detection rules reports, real-time coaching reports and vendor events reports.
- Workflow: The workflow of SecurityCoach involves third-party vendors monitoring for risky activity, sharing events with SecurityCoach, triggering detection rules, and sending SecurityTips if part of a campaign.
- Availability: SecurityCoach is available to Platinum and Diamond customers of KnowBe4, providing an additional layer of security awareness and behavior modification to complement the existing training and phishing simulation features.

## Principal Service Commitments and System Requirements

KnowBe4's management designs its processes and procedures related to the Cloud Hosted Data Platforms system to meet its objectives. Those objectives are based on the service commitments that KnowBe4's management makes to user entities, the laws and regulations that govern the provisioning of the system, and the financial, operational, and compliance requirements that KnowBe4 has established for the services.

Commitments to user entities are documented and communicated in Service Level Agreements (SLAs), licensing agreements, Master Service Agreements (MSAs), and other customer agreements, as well as in the description of the service offerings online. Commitments and system requirements are standardized and include, but are not limited to, the following:

Trust Services Category	Service Commitments	System Requirements
Security	<ul style="list-style-type: none"> <li>System access is granted to authorized personnel only</li> <li>Identification and remediation of security incidents/events</li> </ul>	<ul style="list-style-type: none"> <li>Logical access standards</li> <li>Physical access standards</li> <li>Encryption standards</li> </ul>
Availability	<ul style="list-style-type: none"> <li>Production system uptime of 99.99%</li> <li>Ability to recover and restore customer data</li> </ul>	<ul style="list-style-type: none"> <li>System monitoring</li> <li>Backup and recovery standards</li> </ul>
Processing Integrity	<ul style="list-style-type: none"> <li>Customer reports will be complete</li> <li>Customer reports will be accurate</li> </ul>	<ul style="list-style-type: none"> <li>Data input validation standards</li> <li>Report generation standards</li> </ul>
Confidentiality	<ul style="list-style-type: none"> <li>Customer data will be maintained and protected from disclosure to unauthorized persons or entities</li> </ul>	<ul style="list-style-type: none"> <li>Data handling and retention standards</li> <li>Data disposal standards</li> <li>Multifactor Authentication (MFA) standards</li> </ul>
Privacy	<ul style="list-style-type: none"> <li>Changes to privacy commitments will be communicated to customers</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring of applicable laws and regulations</li> <li>Personal information accessibility standards</li> <li>Data handling and retention standards</li> </ul>

## Components of the System

### Infrastructure

Primary infrastructure used to provide KnowBe4's Cloud Hosted Data Platforms System includes the following:

Primary Infrastructure		
Hardware	Type	Purpose
Web Services	AWS Elastic Container Service (ECS) Fargate	AWS Fargate is a serverless computer engine for Amazon ECS
Database Services	DynamoDB	Relational Database Services (RDS) Database
Database Services	Aurora	Structured Query Language (SQL) Database
Simple Storage Service (S3)	S3 buckets	Object storage service

### Software

Primary software used to provide KnowBe4's Cloud Hosted Data Platforms System includes the following:

Primary Software		
Software	Operating System	Purpose
Airbrake	Cloud based	Application error monitoring
Datadog	Cloud based	Application log monitoring, system logging, application performance and error monitoring, and analytics
Salesforce	Cloud based	CRM
Zendesk	Cloud based	Ticketing system
Mixpanel	Cloud based	Business analytics
Pendo	Cloud based	Analytics
LaunchDarkly	Cloud based	Deploying new features through 'feature-flagging'
Okta	Cloud based	User access and account management
AWS Identity and Access Management (IAM)	Cloud based	User access and account management

## *People*

KnowBe4 has seven main sectors: (1) Executive; (2) Revenue; (3) People Operations; (4) Finance; (5) Research and Development; (6) Product; (7) Courseware development.

The roles and responsibilities of key functions include the following:

- CEO: The CEO oversees the Executive Team and is responsible for the strategic vision and execution of the organization.
- Chief Product Officer (CPO): The CPO is the Head of Support and Product Management. The CPO is responsible for the tech direction of products and customer-facing issues.
- Chief Information Security Officer / Data Privacy Officer (CISO / DPO): The CISO / DPO is responsible for security and risk-related issues for the company and for the product. The CISO / DPO is also responsible for privacy-related issues.
- Chief Information Officer (CIO): The CIO is responsible for Internal IT including IT helpdesk, business process analytics, and business applications.
- Chief Financial Officer (CFO): The CFO is head of finance, accounting, and order processing.
- Chief Legal Officer: Responsible for contracts, privacy, agreements, and internal and external matters regarding litigation.
- EVP of Engineering: Responsible for leading and mentoring the Software Development, Quality Assurance, and Site Reliability Engineering teams.
- Chief Human Resources Officer (CHRO): Responsible for directing the people functions of the organization in accordance with the policies and practices of KnowBe4.
- Chief Learning Officer: Responsible for aspects of courseware design, content, creation, and delivery.

## *Data*

KnowBe4's KMSAT instances and data are hosted in various geographic AWS locations to comply with legal requirements and to provide better speed and reliability for customers. The locations where KMSAT is running are noted below:

- United States: AWS US-East-1 (Northern Virginia)
- Backup location: AWS US-West-2 (Oregon)
- Canada: AWS Central (Canada)
- Backup location: AWS EU-West-1 (Dublin, Ireland)
- European Union: AWS EU-West-1 (Ireland)
- Backup location: AWS EU-Central-1 (Frankfurt, Germany)
- United Kingdom: AWS EU-West-2 (London)
- Backup location: AWS EU-West-1 (Dublin, Ireland)
- Germany: AWS EU-Central-1 (Germany)
- Backup location: AWS EU-West-1 (Dublin, Ireland)

These locations are strategically chosen to ensure that KnowBe4's services are available to customers in a manner that is compliant with local data protection regulations and provides optimal performance based on the customer's location. Customers can select their preferred setup region during the initial setup of their KMSAT instance.

There is temporary storage by some sub-processors located in the US. A detailed list of sub-processors can be found here: <https://support.knowbe4.com/hc/en-us/articles/1500007523981-KnowBe4-Sub-Processors>. These sub-processors are vendors that are reviewed on an annual basis through third-party attestations review or vendor security questionnaires.



Customer data is stored in a multi-tenant single schema architecture. KnowBe4 does not have individual databases or systems for each customer. Privacy controls exist in the application code to ensure data privacy and prevent one customer from accessing another customer's data. This is done using unique account identifiers which attribute each user to a specific account. KnowBe4 has unit and integration tests in place to ensure these privacy controls work as expected. Unit and integration tests are run each time the code base is updated, and any single test failing will prevent new code from being shipped to production.

Policies and procedures are documented to guide personnel in protecting and handling data and assets.

Policies include, but are not limited to, the following:

- Data Handling and Protection Standards
- Data Retention and Destruction Policy

### *Privacy Commitments*

The following table describes the information included as part of the Cloud Hosted Data Platforms System of KnowBe4:

Client Data	Reporting
<p>Types of client data collected</p> <ul style="list-style-type: none"> <li>• Business Contact information: employee first name, employee last name, manager first name, manager last name, organization, employee title, department, phone number, and business email addresses</li> <li>• Automatically collected information: information collected via cookies and web beacons, including IP address, browser name, operating system details, domain name, date of visit, time of visit, pages viewed, or other similar information</li> <li>• Console Information: simulated phishing, security awareness testing and training results, risk score, security assessment results, training, and coaching information; and information uploaded to the Services</li> </ul>	<p>Reports provided:</p> <ul style="list-style-type: none"> <li>• Generated Information: phishing campaign results and metrics; security awareness training results; risk score; training and coaching information</li> </ul>

### Collection and Obtaining of Personal Information

KnowBe4 collects various types of personal information from individuals, user entities, or other third-parties to provide and improve its services. The types of personal information that may be collected include but are not limited to:

- Contact details such as names, e-mail addresses, and phone numbers
- Employment-related information for workforce training and management
- User credentials and authentication data for system access
- Internet Protocol (IP) addresses and device identifiers for IT security and system analytics

Information is gathered through direct user input during service registration, product use, support interactions, and through automated means such as tracking technologies when individuals interact with KnowBe4's services or website.

When user entities collect personal information, they may share relevant data with KnowBe4 as part of service provisioning or support. This transfer of information from user entities to KnowBe4 typically occurs through secure channels and application programming interfaces (APIs), or direct data uploads to KnowBe4's platforms, ensuring encryption and protection during the data transfer process.

### Requirements Identification

The process for identifying specific requirements in agreement with user entities, laws, and regulations applicable to the personal information is described in the following steps:

- a. **Agreements Review:** Legal and compliance teams conduct thorough reviews of contracts and data processing addendums with user entities. These documents often specify the types of personal information to be processed, data retention periods, and security measures to be maintained.
- b. **Legislation and Regulation Analysis:** Compliance officers scrutinize relevant privacy and data protection laws and regulations, which vary by location, industry, and the nature of the data processed.
- c. **Risk Assessment:** Annual risk assessments help identify specific areas where personal information is involved, and where contractual or legal obligations may apply.
- d. **Stakeholder Engagement:** Cross-functional meetings with stakeholders, such as the IT department, customer service, and human resources, help gather insights into how personal information is processed across the organization. This collaborative approach ensures comprehensive identification of relevant requirements.

### Implementation of Controls and Practices

Once specific requirements are identified, the following steps are taken to implement controls and practices to meet these requirements:

- a. **Policy Development and Updating:** Based on identified requirements, policies governing the collection, storage, use, and disclosure of personal information are developed or updated. These policies form the framework of internal guidelines and practices regarding data handling.
- b. **Control Implementation:** Controls are instituted across the information lifecycle to ensure adherence to the requirements.
- c. **Training and Awareness Programs:** Employees are educated through training programs about their roles and responsibilities for protecting data. Regular updates and refreshers help reinforce best practices.
- d. **Monitoring and Auditing:** Continuous monitoring mechanisms, such as automated tools and periodic assessments, are deployed to ensure controls are effective and in place.
- e. **Incident Response Planning:** An incident response plan is established to manage and respond to data breaches or non-compliance issues promptly and in alignment with legal obligations. This plan includes clear procedures for internal escalation, external communication, and remediation.
- f. **Effective Communication:** Communication channels with user entities are maintained to report on compliance measures, data breaches, or any relevant changes in data protection practices that may impact the services provided.
- g. **Records of Processing Activities:** Records are kept detailing data processing activities, demonstrating alignment with identified requirements and providing audit trails.

Implementing these controls and practices requires a dynamic approach due to the evolving nature of data protection laws and technology. KnowBe4 remains vigilant and adaptable to maintain compliance and protect the personal information under their stewardship effectively.

## Data Protection

KnowBe4's Data Protection Highlights provide a concise overview of its policies for processing Personal Data, which include information that can personally identify individuals, such as names, e-mail addresses, and IP addresses. The organization collects Personal Data through various interactions with its services, including website visits, form submissions, and data uploads, as well as through data received from affiliates and third-party providers.

KnowBe4 uses this collected data to respond to inquiries, deliver services, manage its technology platforms, improve service offerings, address employment needs, and fulfill legal obligations.

For individuals who are not customers or end users but whose data KnowBe4 possesses, the organization provides a means to access, amend, or object to the processing of their Personal Data through an e-mail request. Those who are customers or end users, where services are provided under contract with their organization, the customer organization is responsible for their data, and individuals are advised to contact their organization's Account Owner or reach out to KnowBe4 for assistance in exercising their rights.

Personal Data may be shared with third-party partners for service provisioning and processing. These partners are contractually obligated not to use the data beyond the designated services. KnowBe4 does not sell Personal Data and allows for rights associated with data, including correction, objecting to processing, and consent withdrawal.

International data transfers are managed with protective measures compliant with regulatory standards.

The organization does not require or request sensitive information like protected health information (PHI), financial information covered by GLBA, or payment card information protected by PCI DSS for its services. End users should not share such data and the responsibility for compliance with respective regulations remains with the disclosing party.

## *Processes, Policies and Procedures*

Information security policies have been established to set the overall framework for managing the security of the IT infrastructure and applications. These policies are approved at the executive management level and establish standards for information security throughout KnowBe4's information resources. The Engineering Development team has primary responsibility for interpreting these standards, developing procedures and processes for implementing the standards, and overseeing logical security for KnowBe4 IT and applications. In addition, the Engineering Development team develops configuration standards for each type of hardware and associated system software. User administration processes for IT systems and applications are tied to the new hire and termination processes established by KnowBe4. Role-based access controls for least privilege with additional control requirements for SSO, MFA, IP restrictions, and Virtual Private Network (VPN) have been defined.

## Physical Security

The in-scope system and supporting infrastructure is hosted by AWS. As such, AWS is responsible for the physical security controls for the in-scope service. Please refer to the "Subservice Organization" section below for detailed controls.

## Logical Access

Access to the production system is controlled via Okta SSO. Production system users are assigned role-based permission within Okta. Administrator access to AWS is restricted to authorized personnel commensurate with their job roles and responsibilities and reviewed on a quarterly basis. Users authenticate to Okta via MFA. Shared privileged accounts are accessible by users who have access to the vault where the shared passwords are stored. There are individual vaults for the systems that are accessible via a shared password.

KnowBe4's production systems are virtualized and hosted by AWS. AWS Fargate combined with Amazon S3 supports several mechanisms that allow flexibility to how access to data is controlled as well as how, when, and where it can be accessed. Amazon S3 provides four different access control mechanisms: Identity and Access Management (IAM) policies, ACLs, bucket policies, and query string authentication. IAM enables organizations with multiple employees to create and manage multiple users under a single AWS account. With IAM policies, IAM users can be granted fine-grained control to Amazon S3 buckets or objects. ACLs can be used to selectively grant certain permissions on individual objects. Amazon S3 Bucket Policies can be used to grant or deny permissions across objects within a single bucket.

Amazon S3 supports the logging of requests made against Amazon S3 resources. Amazon S3 buckets are configured to create access log records for the requests made against it. The system access logs capture requests made against a bucket or the objects in it and can be used for auditing purposes.

KnowBe4 utilizes AWS security groups and applies them to systems to deny traffic and only allow specific services to the systems. Web Application Firewalls (WAFs) are also in place and configured to protect against external web-based attacks. WAF rules are applied at AWS CloudFront CDN as well as within the application itself (in-application WAF).

## Computer Operations - Backups

KnowBe4's backup and recovery infrastructure is hosted and utilizes the combination of S3 and Amazon RDS which provides resizable database capacity with scalable and efficient data storage infrastructure. RDS snapshots are used for launching RDS instances. In case of instance failure stored RDS snapshots can be used to promptly launch another instance, thereby allowing for fast recovery and business continuity. Amazon RDS also uses Amazon S3 to store snapshots (backup copies). Snapshots are used for recovering data in case of database failures. Snapshots can also be used as a baseline to create multiple new data volumes, expand the size of an existing data volume, or move data volumes across multiple Availability Zones, thereby making data usage highly scalable. Full backups of production databases are configured to be performed daily.

Backups are stored within an encrypted vault that restricts unauthorized access. Stored backups are only accessible by users within administrative level access.

## Computer Operations - Availability

KnowBe4 ensures the high availability of computer operations, which is pivotal to fulfilling the service commitments and objectives. Knowbe4 has a thorough framework, which encompasses redundancy, resilience, and disaster recovery protocols to address and mitigate potential service disruptions. Integral to the strategy is the proactive system monitoring and the robust business continuity plans, designed to withstand and rapidly recover from unforeseen incidents. Advanced tools are utilized for real-time system health monitoring, enabling prompt identification and remediation of issues potentially affecting availability. This effort is complemented by an environment designed to scale with a growing user base. In addition, the incident response protocol is a critical component of the availability strategy; it ensures timely and effective action to manage and mitigate the impacts of incidents, while adhering to strict service level requirements. Support teams stand ready to address and resolve issues and deliver swift responses to uphold the high system availability. Maintenance activities, incident management, and system statuses are made available to users via the company website.

## Change Control

KnowBe4 has implemented a formal change management process that will allow staff to request, manage, approve, and control changes that modify services or systems within the KnowBe4 environments. The change control process is designed to enforce key development controls each time a change to the software is made, including development and emergency changes. The change management process begins with the identification, recording, and classification of the change, and continues with its review and approval, testing, and staging for implementation. Change requests are logged and tracked within a ticketing system. Once implementation has been completed, measured, and reported, the change process is complete.

The Engineering Development team has been structured to promote communication through each stage in the design process. This results in the Management team ultimately being responsible for ensuring development initiatives meet client needs and the strategic direction of the application including the transition from concept to production functionality. A code repository (change control software) tool is utilized and is combined with documentation of each release which provides for the ability to quickly revert to a previously functioning state version in the event that new code does not function as intended at any point in the development process. The ability to access and edit source code is restricted to personnel commensurate with their job role.

The code repository tool facilitates the development processes by systematically enforcing access controls, testing requirements, approvals, and deployments. Development work is done in a segregated environment. Failure of any tests, or failure to get approval as defined within the workflow, prevents the code from further progression within the code repository tool. Once the change has passed testing and the required approvals have been obtained, it is ready for deployment. A deployment automation tool is utilized to facilitate changes to the production environment. Product teams have authorization to deploy code only through the code repository tool which systematically enforces testing and approval rules prior to migration to production. Access to the production operating system and database systems is restricted to the infrastructure support teams.

## Data Communications

The internal network is protected from public Internet traffic via stateful inspection firewalls provided by AWS. The firewalls are called security groups in AWS and are configured to deny traffic and only allow specific services to a specific destination. Access to administer the firewalls is restricted to personnel commensurate with their job responsibilities. A security group acts as a firewall that controls the traffic allowed into a group of instances. For each security group, custom rules are added that govern the allowed inbound traffic to instances in the group. Other inbound traffic is denied. Rules for a security group can be modified dynamically and new rules are automatically enforced for existing and future instances in the group.

Encrypted communications are utilized to protect remote Internet sessions to the KnowBe4 applications and internal network. Encryption is used to ensure the privacy and integrity of the data being passed over the public network.

## **Boundaries of the System**

The scope of this report includes the Cloud Hosted Data Platforms System performed in Clearwater, Florida.

This report does not include the cloud hosting services provided by AWS at the multiple facilities.

## **Changes to the System in the Last 12 Months**

No significant changes have occurred to the services provided to user entities in the 12 months preceding the end of the review period.

## Incidents in the Last 12 Months

No significant incidents have occurred to the services provided to user entities in the 12 months preceding the end of the review period.

## Criteria Not Applicable to the System

All Common/Security, Availability, Processing Integrity, Confidentiality and Privacy Criteria were applicable to the KnowBe4 Cloud Hosted Data Platforms System.

## Subservice Organizations

This report also includes the cloud hosting services provided by AWS at the multiple facilities.

### *Subservice Description of Services*

AWS provides cloud hosting services which include physical and environmental security controls over the cloud servers.

### *Complementary Subservice Organization Controls*

KnowBe4's services are designed with the assumption that certain controls will be implemented by subservice organizations. Such controls are called complementary subservice organization controls. It is not feasible for all of the trust services criteria related to KnowBe4's services to be solely achieved by KnowBe4 control procedures. Accordingly, subservice organizations, in conjunction with the services, should establish their own internal controls or procedures to complement those of KnowBe4.

The following subservice organization controls should be implemented by AWS and included in this report to provide additional assurance that the trust services criteria are met:

Subservice Organization - AWS		
Category	Criteria	Control
Common Criteria / Security, Availability	CC6.4, CC7.2	Data center server floors, network rooms and security systems are physically isolated from public spaces and/or delivery areas.
		Visitors to data center facilities must gain approval from authorized personnel, have their identity verified at the perimeter, and remain with an escort for the duration of the visit.
	CC6.4	Access to sensitive data center zones requires approval from authorized personnel and is controlled via badge access readers, biometric identification mechanism, and/or physical locks.
		Data center perimeters are defined and secured via physical barriers.
		Access lists to high security areas in data centers are reviewed on a periodic basis and inappropriate access is removed in a timely manner.
	Security measures utilized in data centers are assessed annually and the results are reviewed by executive management.	
	A1.2	Redundant power is utilized to support the continued operation of critical data center equipment in the event of a loss of the primary power source(s).

Subservice Organization - AWS		
Category	Criteria	Control
		All data centers are equipped with fire detection alarms and protection equipment. Data center server floors and network rooms are connected to an Universal Power Supply (UPS) system and emergency generator power is available in the event of a loss of power. AWS protects the information system from damage resulting from water leakage by providing shutoff valves that are accessible, working properly and known to key personnel.

KnowBe4 management, along with the subservice organization, define the scope and responsibility of the controls necessary to meet all the relevant trust services criteria through written contracts, such as SLAs. In addition, KnowBe4 performs monitoring of the subservice organization controls, including the following procedures:

- Holding periodic discussions with vendors and the subservice organization
- Reviewing attestation reports over services provided by vendors and the subservice organization
- Monitoring external communications, such as customer complaints relevant to the services provided by the subservice organization

#### COMPLEMENTARY USER ENTITY CONTROLS

KnowBe4's services are designed with the assumption that certain controls will be implemented by user entities. Such controls are called complementary user entity controls. It is not feasible for all of the Trust Services Criteria related to KnowBe4's services to be solely achieved by KnowBe4 control procedures. Accordingly, user entities, in conjunction with the services, should establish their own internal controls or procedures to complement those of KnowBe4's.