

# Windows Defender Application Control: Image verification

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This work is part of the *Windows Insight* series. This series aims to assist efforts on analysing inner working principles, functionalities, and properties of the Microsoft Windows operating system. For general inquiries contact Aleksandar Milenkoski (amilenkoski@ernw.de) or Dominik Phillips (dphillips@ernw.de). For inquiries on this work contact the corresponding author ( $\square$ ).

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# **Required Reading**

In addition to referenced work, related work focussing on Device Guard Image Integrity, part of the *Windows Insight* series, are relevant for understanding concepts and terms mentioned in this document.

# **Technology Domain**

The operating system in focus is Windows 10, build 1607, 64-bit, long-term servicing branch (LTSB).

## 1 Introduction

Windows 10 performs WDAC verification (i.e., verification of images conducted by WDAC) in the *CiEvaluatePolicyInfo* and *CipApplySIPolicyUMCI* functions, implemented in *ci.dll*. Both functions ultimately invoke the *ci.dll* function *SIPolicyValidateImage*. Figure 1 and Figure 2 depict sample function call stacks resulting in the invocation of *SIPolicyValidateImage* by *CiEvaluatePolicyInfo* and *CipApplySIPolicyUMCI*.

All digitally signed critical system images, which include the Windows kernel and drivers loaded during the Windows boot process, are subjected to non-configurable code integrity verification when loaded. If the non-configurable code integrity verification succeeds, WDAC verification is performed. This is done by invoking *CiEvaluatePolicyInfo* which invokes *SIPolicyValidateImage*. WDAC verification takes place only if WDAC is enabled (i.e., if a WDAC policy is deployed). If the non-configurable or the WDAC verification fails, the verified image is not loaded. All critical system images are digitally signed by Microsoft.

All other digitally signed images, such as third-party images operating in user-mode, are also subjected to nonconfigurable code integrity verification when loaded. After non-configurable integrity verification, WDAC verification is performed. This is done by conditionally invoking *CiEvaluatePolicyInfo* and/or *CipApplySIPolicyUMCI*, which invoke *SIPolicyValidateImage*. WDAC verification takes place only if WDAC is enabled (i.e., if a WDAC policy is deployed). If the non-configurable integrity verification had failed, for all policy levels, except *Hash* and



Figure 1: Function stack: Invoking SIPolicyValidateImage by CiEvaluatePolicyInfo



Figure 2: Function stack: Invoking SIPolicyValidateImage by CipApplySiPolicyUMCI

*FileName*, WDAC blocks the execution of the image in *CipApplySIPolicyUMCI*. For the policy levels *Hash* and *FileName*, WDAC blocks, or allows, the execution of the image in *CipApplySIPolicyUMCI* only if WDAC verification fails, or succeeds, respectively. *CipApplySIPolicyUMCI* is not invoked when a critical system image is verified.

If a verified image is not digitally signed, WDAC performs image verification in an identical manner as in the scenario when the image is signed and the policy level *Hash* or *FileName* is configured. That is, WDAC blocks, or allows, the execution of the image in *CipApplySIPolicyUMCI* if WDAC verification fails, or succeeds, respectively. For unsigned images, only the policy levels *Hash* or *FileName* may be configured.

## 2 Image verification in SIPolicyValidateImage

SIPolicyValidateImage verifies images based on data stored in an initialized WDAC policy and brings the decision whether an image is allowed to execute. This section provides an overview of the working principles of SIPolicyValidateImage.

SIPolicyValidateImage verifies an image based on comparing:

- data stored in a deployed WDAC policy as part of file rules; with
- verification data associated with the image being verified. This work refers to this data as image verification data.

What image verification data is compared in *SIPolicyValidateImage* depends on the policy levels configured in the deployed WDAC policy. For example, this data involves the image's file name if the policy level *FileName* is configured.

SIPolicyValidateImage compares data stored in the deployed WDAC policy with image verification data using

standard data comparison functions, such as memory and string comparison functions. Examples include *memcmp* and *RtlEqualUnicodeString*.<sup>1,2</sup> *SIPolicyValidateImage* accesses the content of the deployed WDAC policy through the *ci.dll* variable *g\_SiPolicyHandles*. This variable stores at the offset *0x6C* the content of the policy in binary format. *g\_SiPolicyHandles* is passed as the first parameter of *SIPolicyValidateImage*.

g\_SiPolicyHandles is populated with the content of the deployed WDAC policy in the SIPolicyInitialize and SIPolicySetActivePolicy functions. These functions are invoked during the initialization of code integrity. Label [1] in Figure 3 depicts SIPolicyInitialize storing the content of a policy in g\_SiPolicyHandles. Label [2] in Figure 3 depicts the policy content, stored in g\_SiPolicyHandles, passed as a parameter to SIPolicyValidateImage. Label [3] in Figure 3 depicts the policy content as viewed with the HxD hex editor, in the context of the Windows 10 instance where the policy is deployed.

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I!SIPolicy1						f		cal	1	CTL	nom	- nv	(++		000	. 02	000	8c0)	
d> t	esubi	Ua	200	100	Tur			Cal		CIN	nemo	сру	(11		005	92	eve	800)	
I!memcpy:																			
ffff803`926	0008	-a	108	hdo				mo	,	r11	ne	~							
d> db @rdx	eveo		400	Dus				IIIO	(	111	, 1.0	~							
ffff800`06a	072	60	00	00	00	00	00	27	11	a2-c9	11	06	10	hE	E1	£6. 1	01	7DD.	0
ffff800`06a					1.57			0.0		2e-4c						12.7		nVØvL. /	
ffff800`06a										2e-4C 82-00		-							
ffff800`06a																		4	
			100							00-00									
ffff800`06a	a0/2a	90	40	00	00	00	01	66	99	00-2e	00	00	90	22	90	43 1	90	@	
]																			
			teIn	nage	e:														[2]
CI!SIPolicy fffff803`92	Vali e3f0	dat 84	4c	8940	1.1	20		mo	v	qwo	ord	ptr	[r	sp+:	20h	],r9	)		[2]
CI!SIPolicy fffff803`92 kd> db poi(	Vali e3f0 @rcx	.da 84 (+0)	4c8 x6C	894( )	:24		) Øe	-		qwo a2-c9							_	7DD.	
CI!SIPolicy fffff803`92 kd> db poi( ffffd88f`eb	Vali e3f0 @rcx ae20	.da1 984 (+0)	4c8 x6C	8940 ) 2 00	24: 0 0	9 06	1000	37	44		44	06	4c	b5	51	f6	01	7DD. nV0vL	L.Q.
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CI!SIPolicy fffff803`92 kd> db poi( ffffd88f`eb ffffd88f`eb ffffd88f`eb	Vali e3f0 @rcx ae20 ae20 ae20	.da 984 (+0) 900 910 920	4c8 x6C 0: 64	8940 ) 2 00 e 50 6 c!	24 0 0 5 3 5 a	0 00 0 70 2 34	6 e4	37 f7	44 07 88	a2-c9 2e-4c	44 19	06 20 00	4c 4d 00	b5 b7 a6	51 c9 31	f6 6f 00	01 44 00	nVØvL.	MoE
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CI!SIPolicy fffff803`92 kd> db poi( ffffd88f`eb ffffd88f`eb ffffd88f`eb ffffd88f`eb ffffd88f`eb	Vali e3f0 @rcx ae20 ae20 ae20 ae20	dat (+0) (+0) (00) (10) (20) (30)	4ct x6C 6t at 0t	8940 ) 2 00 e 50 6 c! 0 00	24 0 0 5 3 5 a 0 0	0 00 0 70 2 34 0 00	6 e4 04 0 02	37 f7 00	44 07 88 00	a2-c9 2e-4c 82-00 00-00	44	06 20 00	4c 4d 00	b5 b7 a6 00	51 c9 31 00	f6 6f 00 0a	01 44 00 00	nV0vL. 4 @	L.Q MoE 1
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CIISPolicy ffff803'92 kd> db poi( ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb []	Vali e3f0 @rcx ae20 ae20 ae20 ae20 ae20	dat (+0) (+0) (+0) (10) (20) (20) (20) (20) (20) (20) (20) (2	4ct x6C 00 40 40	894 ) 2 00 e 50 6 c! 0 00 0 00	224. 3 00 5 30 5 a. 3 00 3 00	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	6 e4 04 02 01	37 f7 00 00 00	44 07 88 00 00	a2-c9 2e-4c 82-00 00-00 00-2e	44 19 00 00	06 20 00 00 00	4c 4d 00 00 00	b5 b7 a6 00 22 0E	51 c9 31 00 00	f6 6f 00 0a 43	01 44 00 00	NVØVL. 4 @ [3] ded text	L.Q Mo[ 1.
C1!SIPolicy fffff803'92 (d> db poi( ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb (] Offset(h) 00000000	Vali e3f0 @rcx ae20 ae20 ae20 ae20 ae20 ae20 ae20 ae20	dat 84 (+0) 000 010 020 030 040 01 01 00	4ct x6C 66 40 40 40 00 00	8944 )) 2 00 e 50 6 c! 0 00 0 00	224. 0 00 5 30 5 a 0 00 0 4 0 E	0 00 0 70 2 34 0 00 0 00 0 00 0 5 37	0 e4 0 02 0 01 0 6 4 4	<ul> <li>37</li> <li>60</li> <li>00</li> <li>00</li> <li>00</li> </ul>	44 07 88 00 00	a2-c9 2e-4c 82-00 00-00 00-2e	<ul> <li>44</li> <li>19</li> <li>00</li> <li>0</li></ul>	06 20 00 00 00	4c 4d 00 00 00	b5 b7 a6 00 22 0E F6	51 c9 31 00 00	f6 6f 00 0a 43	01 44 00 00	nV0vL. 4 @	L.Q Mo[ 1.
CI!SIPolicy fffff803'92 kd> db poi( ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb ffffd88f'eb [] Offset(h) 00000000 0000010	Vali e3f0 @rcx ae20 ae20 ae20 ae20 ae20 ae20 ae20 ae20	dat 84 (+0) 000 010 020 030 040 01 00 56	4ct x6C 0 6 4 0 4 0 0 2 00 30	8940 )) 2 00 e 50 6 c! 0 00 0 00 76	224. 0 00 5 30 0 00 0 00 0 4 0 E E 4	05 37 05 37	06 44 07	: 37 <b>f7</b> 00 00 00 07 A2 2E	44 07 88 00 00 00 08 C9 4C	a2-c9 2e-4c 82-00 00-00 00-2e 09 0A 44 06	<ul> <li>44</li> <li>19</li> <li>00</li> <li>0</li></ul>	06 20 00 00 00 85 87	4c 4d 00 00 00 00 51	b5 b7 a6 00 22 0E F6 6F	51 c9 31 00 00 0F	f6 6f 00 0a 43 De	01 44 00 00 00	nVØvL. @ @	L.Q Mo[ 1.
00000000 00000010 00000020	Vali e3f0 @rcx ae20 ae20 ae20 ae20 ae20 ae20 ae20 ae20	dat 84 900 900 900 900 900 900 900 90	4ct x6C 02 00 30 A2	03 00 00 00 00 00	224. 0 00 5 30 0 00 0 00 0 4 0 E E 4	05 37 00 05 37 57 00	6 e4 0 02 0 01 0 6 4 4 0 7 8 8	: 37 <b>f7</b> 00 00 07 A2 2E 82	44 07 88 00 00 00 00 00 40 00	a2-c9 2e-4c 82-00 00-2e 00-2e 00-2e 00-2e 00-2e 00 0A 44 06 19 20	<ul> <li>44</li> <li>19</li> <li>00</li> <li>00</li> <li>00</li> <li>00</li> <li>00</li> <li>40</li> </ul>	06 20 00 00 00 85 87	4c 4d 00 00 00 51 C9	b5 b7 a6 00 22 0E F6 6F 00	51 c9 31 00 00 0F	f6 6f 00 0a 43 De	01 44 00 00 00	nV0vL. 4 @ [3] ded text .7DoźD.LuQö. i÷L. M-źoD	L.Q Mo[ 1.

Figure 3: The content of a deployed DeviceGuard policy in different contexts

Image verification data is passed to *SIPolicyValidateImage* in the form of a structure, referred to as validation context. The validation context stores the image verification data that may be relevant when verifying an image based on any policy level. For example, the validation context stores:

- at offset 0x30 data related to the certificate chain used to sign the image being verified, including the leaf (i.e., the signer's certificate) and the *PCAcertificate*. This data is relevant when an image is verified based on the *Leaf* and *Publisher* policy levels;
- at offset 0x160 the name of the image being verified. This data is relevant when an image is verified based on the *FileName* policy level;
- at offset 0x1A0 the hash value of the image being verified. This data is relevant when an image is verified based on the Hash policy level.

<sup>&</sup>lt;sup>1</sup>https://docs.microsoft.com/en-us/cpp/c-runtime-library/reference/memcmp-wmemcmp?view=vs-2019 [Retrieved: 6/10/2019]

<sup>&</sup>lt;sup>2</sup>https://docs.microsoft.com/en-us/windows-hardware/drivers/ddi/content/wdm/nf-wdm-rtlequalunicodestring [Retrieved: 6/10/2019]

The validation context is populated with data in multiple functions that are invoked before *SIPolicyValidateIm-age*. As an example, Figure 4 depicts Windows 10 populating the validation context with image verification data when the image *filecrypt.sys* is verified. This image is verified against a WDAC policy with the *PcaCertificate* policy level configured. The validation context is initialized in the *CipValidateImageHash* function, at the address *0xffffac05af19fbc0*. Once the validation context is initialized, the functions *CipCalculateImageHash*, *CipUpdate-ValidatationContextWithFileInfo*, and *MinCryptCopyPolicyInfo* populate the offsets *0x1A0*, *0x160*, and *0x30* of the validation context (see Figure 4, function *CipCalculateImageHash*). *CipUpdateValidatation-ContextWithFileInfo* extracts the name of the image from its properties and stores it at the offset *0x160* of the validation context (see Figure 4, function *CipUpdateValidatationContextWithFileInfo*). *CipUpdateValidatationContextWithFileInfo* extracts the name of the image from its properties and stores it at the offset *0x160* of the validation context (see Figure 4, function *CipUpdateValidatationContextWithFileInfo*). *CipUpdateValidatationContextWithFileInfo* extracts the image's name and version from the image itself, by invoking the *SIPolicyGetOriginalFilenameAndVersionFromImage* function.

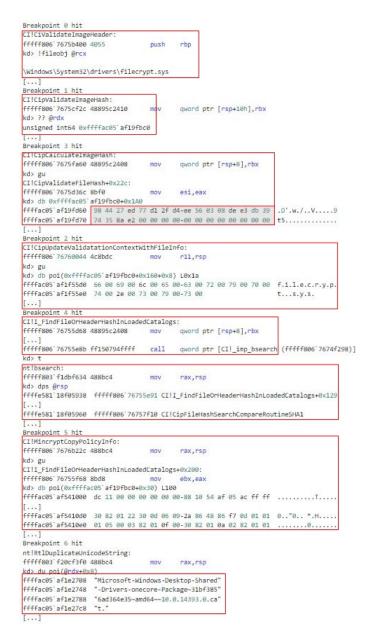
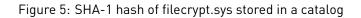


Figure 4: Populating the validation context with image integrity verification data

*filecrypt.sys* is signed through a catalog file. Windows 10 uses catalogs to associate Authenticode signatures with a given image.<sup>3</sup> Catalogs are files that contain a set of file hashes such that each hash identifies a specific image. The catalog file itself is signed with an Authenticode signature. Therefore, a single catalog file serves as a detached signature that may be associated with multiple images.<sup>4</sup> The data related to the certificate chain used to sign the *filecrypt.sys* image is extracted from the Authenticode signature embedded in the catalog. This data is relevant for image verification, for example, when the *PcaCertificate* policy level is configured. The *I\_-FindFileOrHeaderHashInLoadedCatalogs* function searches through deployed catalog files for the image's hash value previously calculated by *CipCalculateImageHash*. In Windows 10, deployed catalog files are stored in the *%SystemRoot%\System32\CatRoot* folder. *I\_FindFileOrHeaderHashInLoadedCatalogs* performs binary search in order to locate the image's hash value stored in a catalog (see *bsearch* in Figure 4).<sup>5</sup>

Since *CipCalculateImageHash* has calculated a Secure Hash Algorithm (SHA)-1 hash value of the image, *bsearch* invokes the *CipFileHashSearchCompareRoutineSHA1* function in order to locate the SHA-1 hash in a catalog. The SHA-1 hash of *filecrypt.sys* is stored in the catalog *Microsoft-Windows-Desktop-Shared-Drivers-onecore*-*Package~31bf3856ad364e35~amd64~~10.0.14393.0.cat* (see Figure 4, function *RtlDuplicateUnicodeString*). Figure 5 depicts the SHA-1 hash of *filecrypt.sys* stored in this catalog as viewed with the *HxD* hex editor (see also Figure 4, function *CipCalculateImageHash*).

Decoded text																	
1.,.0*~D'iwÑ	D1	77	ED	27	44	98	14	04	2A	30	00	82	02	31	03	02	00001C10
/ÔîVÞãÛ9t5Šâ1.	12	31	E2	8A	35	74	39	DB	E3	DE	08	03	56	EE	D4	2F	00001C20
0+,71.	02	31	03	02	0C	37	82	01	04	01	06	2B	OA	06	10	30	00001C30
€.0*œ*qmÅðtî	EE	74	FO	C5	9D	2D	6D	71	2A	9C	14	04	2A	30	00	80	00001C40



Once *FindFileOrHeaderHashInLoadedCatalogs* has located the catalog, *MinCryptCopyPolicyInfo* stores data related to the certificate chain used to sign the catalog at the offset 0x30 of validation context (see Figure 4, function *MinCryptCopyPolicyInfo*). This includes the certificate chain itself. The binary sequence beginning with 30 82 depicted in Figure 4 mark certificate content encoded in the *ASN.1* format.

Once *MinCryptCopyPolicyInfo* has stored in the validation context data related to the certificate chain used to sign the catalog, *SIPolicyValidateImage* compares this data with data stored in the deployed WDAC policy (see Figure 6, label [1], function *memcmp*). The data *SIPolicyValidateImage* compares is a hash of the *TbsCertificate* field of the PCAcertificate used to sign *Microsoft-Windows-Desktop-Shared-Drivers-onecore-Package~* 

31bf3856ad364e35~amd64~~10.0.14393.0.cat (4e 80 be... in Figure 6, label [1]).<sup>6</sup> Figure 6, label [2], depicts the extraction of the *TbsCertificate* field from this certificate with the *openssl* and *dd* utilities. It also depicts the calculated SHA-256 hash of the extracted *TbsCertificate* field with the *sha256sum* utility.

Figure 6 shows that the data related to the certificate chain used to sign *filecrypt.sys*, compared in *SIPolicyVal-idateImage*, originates from the catalog that represents a detached signature of *filecrypt.sys*. In general, the discussion above shows that the image verification data compared in *SIPolicyValidateImage* originates either from the image being verified itself, or from the catalog serving as the image's detached signature.

Once the validation context has been populated with data, it is passed to *SIPolicyValidateImage* for comparison with data originating from the deployed WDAC policy. The text blocks below provide an insight into the operation of *SIPolicyValidateImage*. They provide an overview of *SIPolicyValidateImage* comparing image verification data with data stored in a deployed WDAC policy when the policy levels *Hash*, *PcaCertificate*, and *Publisher* are configured (see also Figure 6). In the text blocks below:

• in the label *Policy* and *integrity verification*:

<sup>&</sup>lt;sup>3</sup>https://docs.microsoft.com/en-us/windows-hardware/drivers/install/authenticode [Retrieved: 6/10/2019]

<sup>&</sup>lt;sup>4</sup>https://docs.microsoft.com/en-us/windows-hardware/drivers/install/catalog-files [Retrieved: 6/10/2019]

<sup>&</sup>lt;sup>5</sup>https://docs.microsoft.com/en-us/cpp/c-runtime-library/reference/bsearch?view=vs-2019 [Retrieved: 6/10/2019]

<sup>&</sup>lt;sup>6</sup>https://tools.ietf.org/html/rfc5280#section-4.1.1.1



Figure 6: SIPolicyValidateImage comparing certificate data

- the field *Policy level* holds the configured policy level and the field *Policy generation* holds the command used to create the WDAC policy.<sup>7</sup> \$*InitialCIPolicy* is a variable that specifies the path to the file in which the generated policy is to be stored;
- the field Verified data holds the data based on which the image is verified;
- the field Verification function holds the name of the function invoked by SIPolicyValidateImage in which data originating from the WDAC policy and image verification data is compared; and
- the field Comparison function(s) holds the name of the function, or functions, that compare data originating from the WDAC policy with image verification data;
- in the label *Depiction* is placed a figure:
  - the label [1] of this figure depicts the execution of SIPolicyValidateImage, with a focus on what is
    documented in the fields Verified data, Verification function, and Comparison function(s). This includes
    data stored in the validation context, data stored in the deployed WDAC policy, the function invoked
    by SIPolicyValidateImage in which this data is compared, and the function(s) with which the data is
    compared;
  - the label [2] of this figure depicts the data compared in SIPolicyValidateImage, extracted from the deployed WDAC policy in XML format with the findstr utility.

<sup>&</sup>lt;sup>7</sup>https://docs.microsoft.com/en-us/powershell/module/configci/new-cipolicy?view=win10-ps [Retrieved: 6/10/2019]

### Policy and integrity verification

Policy level:

Hash

Policy generation:

New-CIPolicy -Level Hash -FilePath \$InitialCIPolicy -UserPEs

Verified data:

the image's hash value

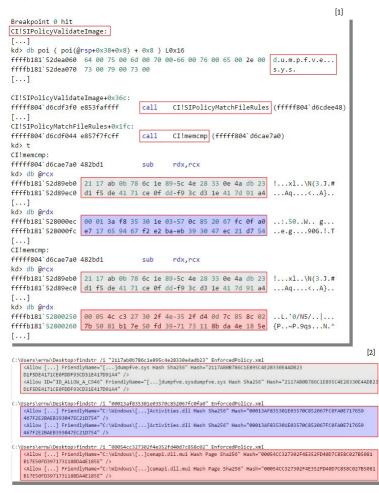
Verification function:

SIPolicyMatchFileRules

Comparison function(s):

тетстр

#### Depiction



### Policy and integrity verification

Policy level:

PcaCertificate

Policy generation:

New-CIPolicy -Level PcaCertificate -FilePath \$InitialCIPolicy -UserPEs

Verified data:

the hash value of the TcbCertificate field of the PCAcertificate

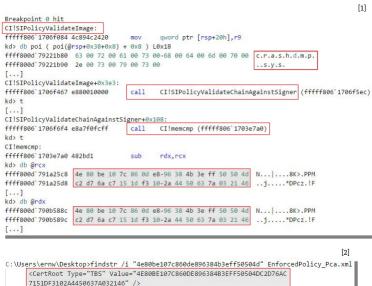
Verification function:

SIPolicyValidateChainAgainstSigner

Comparison function(s):

тетстр

#### Depiction



<CertRoot Type="TBS" Value="4E80BE107C860DE896384B3EFF50504DC2D76AC

7151DF3102A4450637A032146" />

### Policy and integrity verification

Policy level:

Publisher

Policy generation:

New-CIPolicy -Level Publisher -FilePath \$InitialCIPolicy -UserPEs

Verified data:

the CN field of the certificate of the image's signer the hash value of the TcbCertificate field of the PCAcertificate

Verification function:

SIPolicyValidateChainAgainstSigner

Comparison function(s):

memcmp, RtlEqualUnicodeString

#### Depiction

