AUTODESK, INC.

SYSTEM AND ORGANIZATION CONTROLS (SOC3®)

For the period November 1, 2021 to October 31, 2022

Section I: Independent Service Auditor's Report Provided by KPMG LLP

AUTODESK

Independent Service Auditor's Report

Board of Directors of Autodesk, Inc.:

Scope

We have examined Autodesk, Inc.'s accompanying assertion titled "Autodesk, Inc.'s Assertion" (assertion) that the controls within Autodesk, Inc.'s system were effective throughout the period November 1, 2021 to October 31, 2022 to provide reasonable assurance that Autodesk, Inc.'s service commitments and system requirements were achieved based on the trust services criteria relevant to Security, Availability and Confidentiality (applicable trust services criteria) set forth in TSP section 100, 2017 *Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (AICPA, Trust Services Criteria)*.

Autodesk, Inc. uses subservice organizations to perform some of the services provided to user entities. Attachment A indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Autodesk, Inc., to achieve Autodesk, Inc.'s service commitments and system requirements based on the applicable trust services criteria. Attachment A 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 Assertion also indicates that Autodesk, Inc.'s controls can provide reasonable assurance that certain service commitments and system requirements can be achieved only if complementary user entity controls assumed in the design of Autodesk, Inc.'s controls are suitable designed and operating effectively, along with related controls at the services organization. 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 complementary user entity controls.

Service organization's responsibilities

Autodesk, Inc. 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 Autodesk, Inc.'s service commitments and system requirements were achieved. Autodesk, Inc. has provided the accompanying assertion about the effectiveness of controls within the system. When preparing its assertion, Autodesk, Inc. is responsible for selecting and identifying in its assertion, the applicable trust services criteria and for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system.

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. Our examination was conducted in accordance with attestation standards established by the American Institute of CPAs (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.

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

Our examination included the following:

- Obtaining an understanding of the system and the service organization's service commitments and system requirements

- Assessing the risks that the controls were not effective to achieve Autodesk's service commitments and system requirements based on the applicable trust services criteria

- Performing procedures to obtain evidence about whether controls within the system were effective to achieve Autodesk, Inc.'s 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.

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 were achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the 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 Autodesk, Inc.'s system were effective through the period November 1, 2021 to October 31, 2022 to provide reasonable assurance that Autodesk, Inc.'s service commitments and system requirements were achieved based on the applicable trust services criteria is fairly stated, in all material respects, if the subservice organizations and user entities applied the complementary controls assumed in the design of Autodesk, Inc.'s controls throughout the period, and if those complementary controls assumed in the design of Autodesk, Inc.'s controls operated effectively throughout the period.

KPMG LLP

February 10, 2023
Kansas City, Missouri

Section II: Autodesk, Inc.'s Assertion

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Autodesk, Inc.'s Assertion

We are responsible for designing, implementing, operating, and maintaining effective controls within Autodesk, Inc.'s system (system) throughout the period November 1, 2021 to October 31, 2022 to provide reasonable assurance that Autodesk, Inc.'s service commitments and system requirements were achieved based on the trust service relevant to security, availability, and confidentiality (applicable trust services criteria) set forth in TSP section 100, 2017 *Trust Service Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy*, in AICPA Trust Services Criteria. Our description of the boundaries of the system is presented in the Attachment A 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 through the period November 1, 2021 to October 31, 2022, to provide reasonable assurance that Autodesk, Inc.'s service commitments and system requirements were achieved based on the trust services criteria. Autodesk, Inc.'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 the Attachment B.
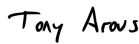
Autodesk, Inc. uses subservice organizations to perform some of the services provided to user entities. Attachment A indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Autodesk, Inc. to achieve Autodesk, Inc.'s service commitments and system requirements based on the applicable trust services criteria. Attachment A does not disclose the actual controls at the subservice organizations.

In designing the controls over Autodesk, Inc.'s system, we determined that certain trust criteria can be met only if complementary user entity controls are suitably designed and operating effectively for the period November 1, 2021 to October 31, 2022.

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 through the period November 1, 2021 to October 31, 2022 provide reasonable assurance that Autodesk, Inc.'s service commitments and system requirements were achieved based on the applicable trust services criteria, if the subservice organizations and user entities applied the complementary controls assumed in the design of Autodesk, Inc.'s controls throughout the period, and if those complementary controls assumed in the design of Autodesk, Inc.'s controls operated effectively throughout the period.

Autodesk, Inc.

DocuSigned by:

Tony Arous

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Tony Arous

Chief Security Officer (interim)

2/10/2023

Attachment A: Autodesk, Inc.'s System Boundaries

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Corporate Overview

Autodesk, Inc. ("Autodesk" or the "Company"), is a leader in 3D design, engineering, and entertainment software and Autodesk makes software for people who make things.

System Overview and Services Provided

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The scope of this report is applicable to the Autodesk Cloud Products and Infrastructure System (hereafter referred to as "Cloud Services") and covers the following Software as a Service ("SaaS") products and platform services located within Autodesk's US and European regions:

Products	Product Picker / Modules	Tools/ Services	Description
Autodesk Docs (includes BIM 360 Docs)	• Document Management	• Document Management (US and Europe)	Delivers a complete, connected solution to manage all 2D plans, 3D models and other project documents specifically for AEC industry
		• Microsoft Office File Access Service (US and Europe)	Microsoft service that processes Office files and provides viewing feature directly from the products
		• Command Processor (US and Europe)	Backend orchestration for BIM360 document processing platform.
		• Document Data Service (US and Europe)	Backend cache service that intercept all related read and write requests originally sent to WIP-DM.
	• Account Administration • Project Administration	• Apps (US and Europe)	App store for external apps to integrate with BIM services
		• Data Connector (US and Europe)	Allows customers to request and download extracts of all managed database stored for an account
		• HQ (US and Europe)	From account and project setup to user and company management, to helpful analytics around BIM 360 usage, HQ is a one-stop resource for account and project administrators to setup and manage their BIM 360 accounts.
		• Revit Cloud Model Upgrade	Upgrades Revit cloud models in a project to a newer release of Revit without downloading the models.

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Products	Product Picker / Modules	Tools/ Services	Description
	• Issues	• Issues (US and Europe)	Provides capability for end users to create, track and resolve construction project issues.
		• Next Generation Issues (US and Europe)	An updated Issues service which provides advanced capabilities and a unified representation of Issues across BIM 360 feature modules.
	• Reporting	• Reports (US and Europe)	Next gen reporting platform to provide BIM 360 services a report generation and scheduling framework
	• Insight (Construction IQ)	• IQ (US and Europe)	Helps customers improve their Construction project outcomes by predicting, monitoring and managing risk every day and every stage of a project.
BIM 360 Build	• Field Management	• Checklists (US and Europe)	Provides construction customers the ability to define and execute on punch lists, typically for the purpose of Quality Assurance / Quality Control.
		• Daily Logs (US and Europe)	Documents daily weather parameters, labor, notes and photo attachments in a construction site.
		• Next-Gen Field 2.0 (US and Europe)	In conjunction with the Submittals and Checklists supporting components, combines mobile technologies at the construction site with cloud-based collaboration and reporting for 2D and 3D environments.
	• Assets	• Assets (US and Europe)	Tracks and manages the lifecycle of construction assets from design through handover
	• Insight (Construction IQ)	• IQ (US and Europe)	Helps customers improve their Construction project outcomes by predicting, monitoring and managing risk every day and every stage of a project.

Products	Product Picker / Modules	Tools/ Services	Description
AUTODESK		• Data Platform (US and Europe)	Backend data platform to support BIM 360 next gen reporting platform
	• Project Management	• Submittals (US and Europe)	Allows customers to efficiently create, coordinate, and manage all submittals in a single document library and quickly move submittals through the review process, with actionable responses
		• Meeting Minutes (US and Europe)	Allows customers to create agendas, track attendance, document decisions and establish accountability for action items
BIM 360 Cost	• Cost Management	• Cost (US and Europe)	Provides industry-specific capabilities for managing all cost related construction activities including creating, organizing, and managing project budgets, contracts, purchase orders, potential change orders, and change management processes.
BIM 360 Design	• Design Collaboration	• Design Collaboration (US and Europe)	Allows controlled cloud worksharing in multi-discipline projects including milestone tracking and deliverable coordination
		• Revit Cloud Worksharing (US and Europe)	Helps project teams from multiple disciplines, locations, or firms to collaborate in the cloud with centralized access to Revit models.
BIM 360 Coordinate	• Model Coordination	• Model Coordination (US and Europe)	Delivers automated clash analysis and review tools to aid the coordination process.
Autodesk Build	• Build	• Sheet Service	Allows customers to manage 2D sheets in construction files.
		• RFIs (US and Europe)	Helps to seamlessly manage RFIs with clear responsibilities for each step in the process and connect RFIs to other tasks across the project lifecycle to streamline workflows and reduce the risk of data loss

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Products	Product Picker / Modules	Tools/ Services	Description
		• Scheduling Service	Helps to keep projects on track by allowing teams to collaborate, connect, and integrate with the most up-to-date schedule.
		• PDF Export Service	Allows teams to export up to 500 sheets at once and include private (visible to creator) and / or published (visible to all project members) markups.
Autodesk BIM Collaborate	• Design Collaboration • Model Coordination	• Design Collaboration (US and Europe)	Allows controlled cloud worksharing in multi-discipline projects including milestone tracking and deliverable coordination
		• Model Coordination (US and Europe)	Delivers automated clash analysis and review tools to aid the coordination process.
Autodesk BIM Collaborate PRO	• Design Collaboration • Model Coordination	• Design Collaboration (US and Europe)	Allows controlled cloud worksharing in multi-discipline projects including milestone tracking and deliverable coordination
		• Model Coordination (US and Europe)	Delivers automated clash analysis and review tools to aid the coordination process.
		• Revit Cloud Worksharing (US and Europe)	Helps project teams from multiple disciplines, locations, or firms to collaborate in the cloud with centralized access to Revit models.
		• Revit Cloud Model Upgrade	Upgrades Revit cloud models in a project to a newer release of Revit without downloading the models.
		• Plant Collaboration Services (US and Europe)	Creates and edits P&ID (Piping and Instrumentation Diagrams), 3D models, and extract piping ortho graphics and isometrics with industry-specific toolset for plant design.

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Products	Product Picker / Modules	Tools/ Services	Description
Autodesk Takeoff	• Takeoff	• Takeoff (US and Europe)	Allows estimators to perform more accurate 2D takeoffs and generate automated quantities from 3D models within a single solution.
PlanGrid		• PlanGrid Services	Replaces paper blueprints, brings the benefits of version control to field workers, and is a collaborative platform for sharing construction information, like sheet processing, field markups, progress photos, and progress tracking, thereby increasing productivity in the field.
Infraworks		• Infraworks	Supports connected BIM processes, enabling designers and civil engineers to plan and design infrastructure projects in the context of the real world.
Common Services		• Notifications (US and Europe)	Notifies project users of action they need to take on the project or changes made to project data.
		• Nucleus (US and Europe)	Supports Model Coordination to present a collection of services, APIs and components that enable users to manage model data.
		• Mailer (US and Europe)	Service mail functionality in across products
		• Locations (US and Europe)	Enables Project Management to categorize portions of design by Location to facilitate Location Breakdown Structure which for Construction may be more efficient than Work Breakdown Structure
		• Object Store (US and Europe)	Shared data service for object centric construction workflows within the product suite

Products	Product Picker / Modules	Tools/ Services	Description
Platform Services Supporting Multiple Autodesk Products			• Activities (US and Europe) • ACE Services (US and Europe) • ACM (US and Europe) • Autodesk Identity • CloudOSv2 (US and Europe) • Comments • CSEv2 (US and Europe) • Derivative Services (US and Europe) • Forge Content • Forge Data • Forge DM (US and Europe) • Forge Eventing Service L3 • Forge Schema • Forge Webhooks (US and Europe) • Forge Workflows • Helium • Notifications Service • OSS (US and Europe) • Search 2.0 (US and Europe) • Translation Services • WIPDM (US and Europe)

Components of the System

The components of the Autodesk's Cloud Services include the following infrastructure, software, people, procedures, and data elements. The processes are applicable for both Autodesk and PlanGrid if not specifically mentioned.

Infrastructure

Autodesk Cloud Services, including PlanGrid utilize infrastructure provided by the subservice organization, Amazon Web Services, Inc. ("AWS"). AWS manages the virtualization layer and physical security of the facilities in which Autodesk Cloud Services' environment resides. The following is a list of key AWS services that Autodesk Cloud Services use:

- Elastic Compute Cloud ("EC2")
- Elastic Container Service ("ECS")
- Identity Access Management ("IAM")
- Simple Storage Service ("S3")

- Relational Database Service ("RDS")
- Virtual Private Cloud ("VPC")

The controls relating to the physical security, infrastructure maintenance, and network availability of AWS have been carved out of the scope of Autodesk's Cloud Services' SOC 3 report. For additional information on Autodesk's Cloud Services' use of AWS and other relevant subservice providers, please refer to the section below titled 'Complementary Subservice Organization Controls'

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Separate network environments are maintained for staging and production. The production networks are logically segregated from all other corporate networks, and access is granted only to authorized personnel using unique user identifiers and passwords. All traffic into production networks must traverse a fully redundant fault-tolerant infrastructure, and all traffic is denied by default unless explicitly required for business reasons.

Software

Autodesk's Cloud Services encompass applications, supporting operating systems and databases. The following are the key components of Autodesk's Cloud Services along with key supporting software used to provide services for Autodesk's Cloud Services' user entities:

- **Operating Systems**
  - Linux OS
  - Windows server
  - Ubuntu
- **Databases**
  - MSSQL
  - RDS / MySQL
  - RDS / PostgreSQL
  - Redis
  - MongoDB Atlas
- **Security and Availability Monitoring Systems**
  - Splunk Enterprise – security monitoring
  - New Relic – availability monitoring
  - SentinelOne – security monitoring and endpoint protection
  - Datadog – availability monitoring
- **Other Key Supporting Software Includes**
  - CrowdStrike (subservice organization) – antivirus / anti-malware solution
  - Duo (subservice organization) – multi-factor authentication
  - Git / GitHub – centralized source code control system
  - SaltStack – configuration management
  - Jira – document tracking and ticket management system
  - Qualys (subservice organization) – policy management and vulnerability assessment
  - ServiceNow – document tracking and ticket management system
  - Twistlock (subservice organization) – policy management and vulnerability assessment
  - Orca (subservice organization) – policy management and vulnerability assessment

People

Core functions manage aspects of Autodesk's Cloud Services' internal controls to support the security, availability, and confidentiality categories and criteria.

- **Human resources (HR)** – Responsible for HR practices, and processes with a focus on key HR department delivery areas (e.g., talent acquisitions, employee retention, compensation, employee benefits, performance management, employee relations, training, and development).

- **Security and Compliance** – Responsible for risk management and identification, monitoring of security issues and incidents throughout the product delivery infrastructure, and compliance with security frameworks and regulations. The teams also develops, documents, and implements security policies, standards, and processes.

- **Engineering** – Responsible for development of Autodesk Services features, including front-end development, back-end development, tool development, infrastructure expansion and automation, security feature development, testing, quality assurance (QA), and staging. The roles that contribute to this effort include reliability engineering, infrastructure engineering, automation engineering, business service engineering, cloud architecture, and a service operation center ("SOC").

Procedures

Autodesk's Security and Compliance team has documented policies and standards to provide guidelines and requirements for management and employees to monitor security, availability, and confidentiality commitments are met. Relevant policies, standards, and procedures are documented for:

- Information Security Policy
- Acceptable Use
- Access Management
- Security SDLC and Change Management
- Availability Monitoring
- Configuration and System Hardening
- Security SDLC and Change Management
- IT Asset Management
- Business Continuity and Disaster Recovery
- Data Backup and Replication
- Data Classification
- Employee Termination
- Security Incident Management
- Network Security
- Security Risk Management
- Security Incident Management
- Security Logging and Monitoring Standard
- Third Party Security Risk Management Standard
- Vulnerability Management

Data

Data includes all electronic data or information uploaded to Autodesk's Cloud Products by user entities. Data is considered confidential information for the purposes of this report. Data is protected based on risk throughout its full lifecycle from unauthorized use, loss, or acquisition from an unauthorized party, Security and Compliance has established framework and policies based on legal, statutory and regulatory requirements.

Cryptographic controls are implemented, as deemed necessary by the data classification. Cardholder data must be protected during the transmission, storage, and at rest. Security and Compliance has established framework and policies based on PCI DSS requirements.

Content, a subset of Data, includes any files, designs, models, data sets, images, documents, or similar material submitted or uploaded to the Cloud Services by user entities; and user entity specific output generated from the Cloud Services, if any, based on the user entities own raw data or information. Content is considered confidential information for the purposes of this report.

Customers (also referred to as "user entities") maintain ownership of and responsibility for their Content and responsibility for their conduct while using Autodesk's Cloud Services. Autodesk's Cloud Services provide the ability to create, submit, post, or otherwise make Customer Content available to Autodesk and / or others. Autodesk personnel will not access Customer Content except (a) as part of providing, maintaining, securing, or modifying Cloud Services, (b) at the Customer request or with Customer consent as part of addressing or preventing a service, support or technical issue, or (c) in connection with legal obligations or proceedings.

Autodesk also maintains internally generated information and configuration data (referred to as "Operational Data") from the normal operations of the systems.

Data sent to and from PlanGrid Services is encrypted in transit. Files uploaded by users are encrypted at rest.

Autodesk has procedures in place to securely delete customer data upon request in accordance with their data deletion commitments to its customers.

Complementary User Entity Controls

Autodesk, Inc. controls were designed with the assumption that certain controls would be implemented by user entities (or "customers"). Certain requirements can be met only if complementary user entity controls assumed in the design of Autodesk, Inc.'s controls are suitable designed and operating effectively, along with related controls Autodesk, Inc.

Complementary Subservice Organization Controls

Certain principal service commitments and system requirements can be met only if complementary subservice organization controls (CSOC) assumed in the design of Autodesk, Inc.'s controls are suitable designed and operating effectively at the service organizations, along with related controls at Autodesk, Inc.

Attachment B: Principal Service Commitments and System Requirements

Principal Service Commitments and System Requirements

Autodesk designs its processes and procedures related to their cloud products and platform services to meet security, availability, and confidentiality objectives. Those objectives are based on the service commitments that Autodesk makes to user entities, the laws and regulations that govern the provision of Autodesk's services and the financial, operational, and compliance requirements that Autodesk has established for their services.

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Security commitments to user entities are documented and communicated in Service Level Agreements (SLAs) and other customer agreements, as well as in the description of the service offering provided online. Security commitments are standardized and include, but are not limited to, the following:

Security principles and non-negotiables are embedded within the fundamental designs of the system. Access provisioning is designed to permit system users access to information they need based on their role in the system and restrict them from accessing information not needed for their role. Autodesk commits to adequately securing customer data as part of its Cloud Services. Autodesk uses encryption technology to encrypt uploaded customer data at rest and in transit.

Autodesk maintains High-Availability and Disaster Recovery procedures. Availability commitments include Autodesk maintaining high-availability architecture, ensuring fail-over mechanisms are in place within the Autodesk Cloud Services' environment. Autodesk also has a Global Business Continuity Program and disaster recovery plans for the environment within Autodesk's Cloud Services.

Autodesk helps ensures the confidentiality of customer data by limiting access. Customer data is limited and restricted to authorized individuals. Autodesk has commitments to their customers to delete data upon requests and initiate deletion after 30 days from termination of customer agreements. In addition, upon expiration or termination of a subscription or service, Autodesk will provide its customers with a 30-day period in order to retrieve their data. Additionally, a subset of PlanGrid legacy customers have custom negotiated terms as part of their legacy contracts, where data deletion requirements vary per customer.

The full Terms of Services and Terms of Use which detail Autodesk's commitments to its customers are made available publicly on Autodesk's website.