

part of eex group



CTS++ Certificates

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1. Introduction

1.1 Audience

This document is intended for customers who will use CTS++, EPEX SPOT Market Operators and EPEX SPOT IT Team.

1.2 Purpose

This documentation provides information about certificates needed to connect to CTS++
It provides the technical information about certificates, the certificate management process and the process to obtain a certificate.

1.3 Changes History Table

Date	Version	Change description
14.10.2021	V0.1	Initiate document
22.11.2021	V0.2	Update with NGESO return
06.11.2021	V0.3	Updated
13.12.2021	V0.4	Included additional screenshots and a step by step guide for the OpenSSL method and alternative solution
10.01.2022	V0.5	Added '.pem file' in 3.1.4 and Section 5.1

2. Certification rules and process

2.1 General information

The certificate needed for CTS++ is a signed public key:

- generated by a trusted Certificate Authority (CA)
- based in a certificate signing request customers send to EPEX
- which is created by the customer using the private key

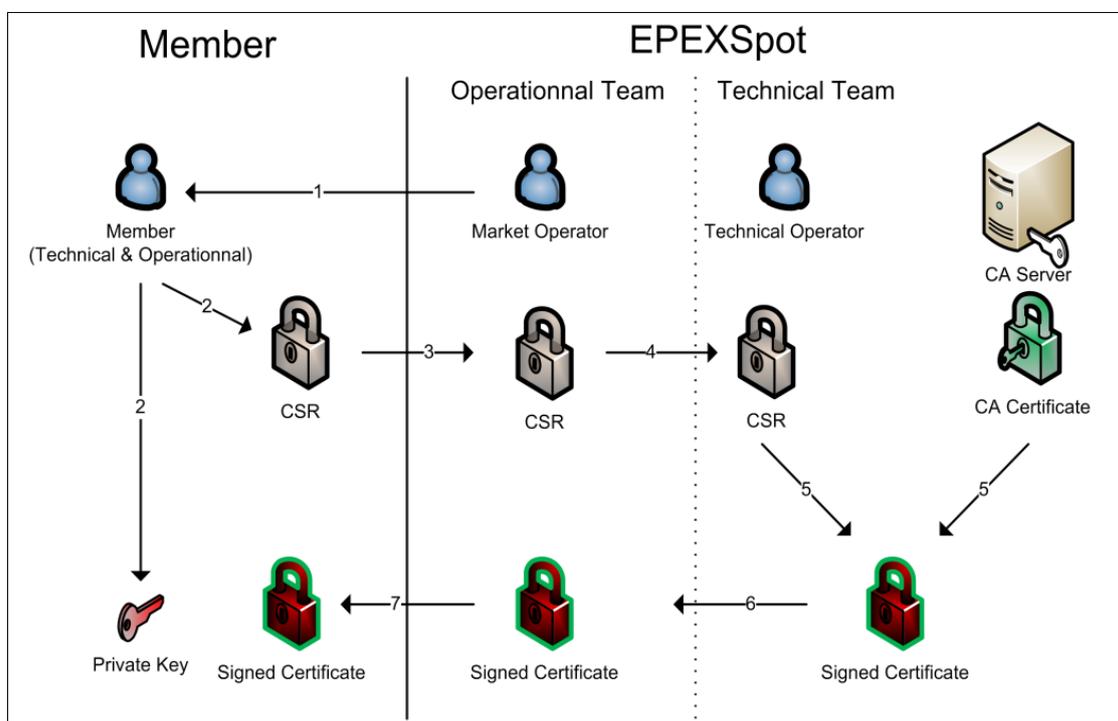
Customers have to generate the private key. Once the private key has been generated it can be used to generate the “Certificate Signing Request” file (CSR), as explained below.

Your private key should never be provided to anyone. Should for any reason the private part of the certificate be shared outside of the member, EPEX SPOT will not be able to guarantee the member identity.

The below sections will guide you through the required steps to obtain a signed certificate from EPEX and generate the mandatory technical file (keystore).

2.2 Certification process

The following schema describes the certification process for customers:



Steps:

1. Market Operators **validate the Member identity** (referred below as the “customer”).
2. **The member first generates the private key**, and once the key has been generated **the CSR can be generated using** that private key.
3. **The member sends by email the CSR file** to Market Operators **but does NOT share the private key**.
4. Market Operators validate the CSR file and if the checks are successful will transfer it to a Technical Operator otherwise will ask the member to perform the necessary changes
5. Market Operators transfer the CSR file to a Technical Operator in order to get the certificate signed.
6. The Technical Operator uses the CSR file and the Certificate Authority (CA) certificate to **generate the Signed certificate** (.pem file).
7. The Technical Operator transfers the signed certificate (.pem file) to Market Operators.
8. **Market Operators send by email the signed certificate (.pem file) to the Member.**
9. **What to do with the signed certificate (.pem file)?** : please refer to section 3 explaining how to build the Key Store you need to be able to connect to CTS++, using both the private key generated at step #2 and the signed certificate (.pem file).

2.3 CSR Creation Rules

Each certificate is unique and is identified by a combination of Country Name / Organization Name / Common Name.

This information is used by EPEX SPOT IT for the validation of the CSR and the generation of the signed certificate.

The following conditions must be met for the creation of the CSR:

- Only **ASCII** characters are accepted
- **Country Name** (2 letter code) : Must respect the country of the company (Validated by Operators),
- **Organization Name** (eg, company): Must meet the company name without any spaces.
- **Common Name**: Your email address which is registered on CTS++ and used for login

Example:

*Will Smith
Energy Trading Limited
Will.Smith@energytrading.com*

*Country: GB
Organization Name: energytradinglimited
Common Name: will.smith@energytrading.com*

(No capital letters are allowed in organization name and common name)

2.4 Revocation of certificate

In case the member would like to revoke a certificate (e.g. if the private key got exposed), the process is as follows:

- The member contacts Market Operators, who validate the member identity
- The member provides the **Country Name / Organization Name / Common Name** combination which identifies the certificate to be revoked
- The member is contacted (by email) by Market Operators to confirm the revocation of his certificate

Once revoked, a certificate cannot be used anymore.

2.5 Expiration and Renewal of a certificate

The certificates are valid for 1 year.

EPEX Market operators monitor PRODUCTION certificates expiry dates and informs customers one month before the expiry date.

The validity period of a certificate cannot be extended and a new CSR should be provided to EPEXSPOT to generate a new signed certificate.

Note: The same “**Country Name / Organization Name / Common Name**” combination can be used for the new CSR.

3. Full Certificate process

3.1 Install OpenSSL and Certificate Creation

To perform certain cryptographic operations (creation of a private key, generation of a CSR, conversion of a certificate ...) on a Windows computer we can use the OpenSSL tool.

- Go to this website: Download [link for OpenSSL](#)
- Scroll down the page and choose the version (in .EXE):
 - Win64 OpenSSL v1.X.X : if your OS is 64 bits click the EXE link below:

Win64 OpenSSL v1.1.1L Light EXE MSI	3MB Installer	Installs the most commonly used essentials of Win64 OpenSSL v1.1.1L (Recommended for users by the creators of OpenSSL). Only installs on 64-bit versions of Windows. Note that this is a default build of OpenSSL and is subject to local and state laws. More information can be found in the legal agreement of the installation.
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- Win32 OpenSSL v1.X.X : if your OS is 32 bits clock the EXE link below:

Win32 OpenSSL v1.1.1L Light EXE MSI	3MB Installer	Installs the most commonly used essentials of Win32 OpenSSL v1.1.1L (Only install this if you need 32-bit OpenSSL for Windows. Note that this is a default build of OpenSSL and is subject to local and state laws. More information can be found in the legal agreement of the installation.
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Note that for some versions of Windows systems, you may need to install "Visual C ++ 2008 Redistributable".

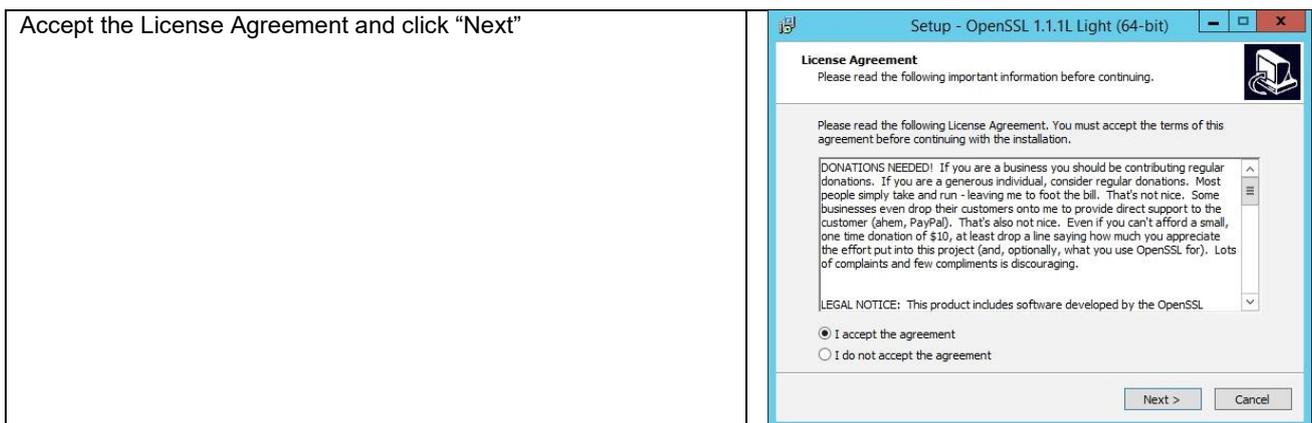
3.1.1 Use OpenSSL on a Windows machine

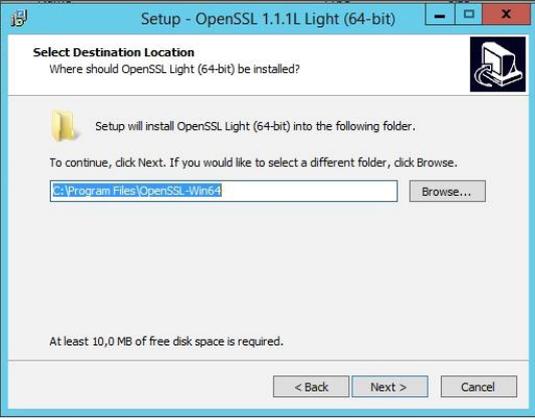
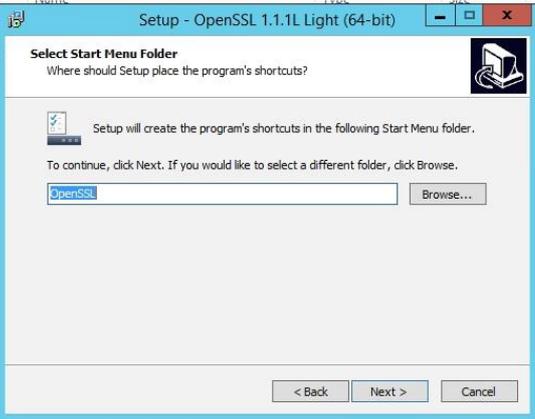
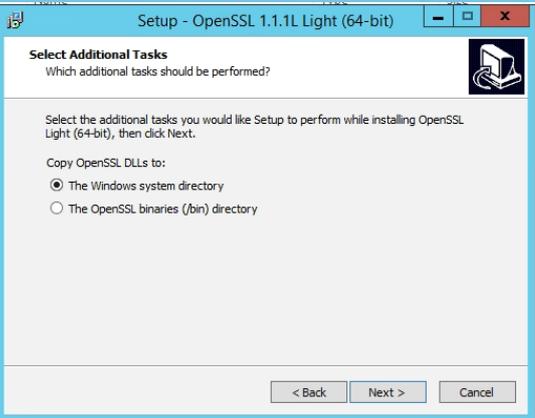
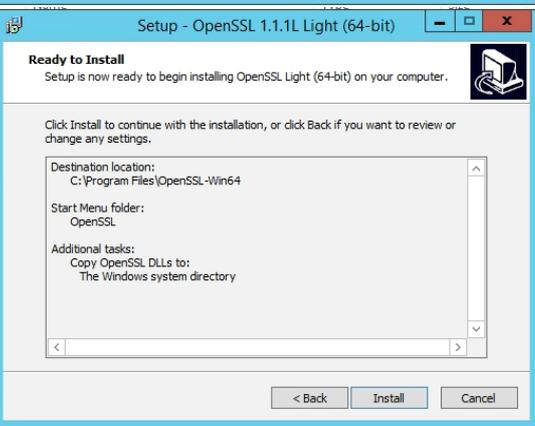
By default, OpenSSL for Windows is installed in the following directory:

- If you have installed Win64 OpenSSL v1.X.X: C:\Program Files\OpenSSL-Win64\
- If you have installed Win32 OpenSSL v1.X.X: C:\Program Files (x86)\OpenSSL-Win32\

3.1.2 Installation

Once downloaded, please follow the step by step guide below;



<p>Click "Next"</p>	
<p>Click "Next"</p>	
<p>Click "Next"</p>	
<p>Click "Install"</p>	

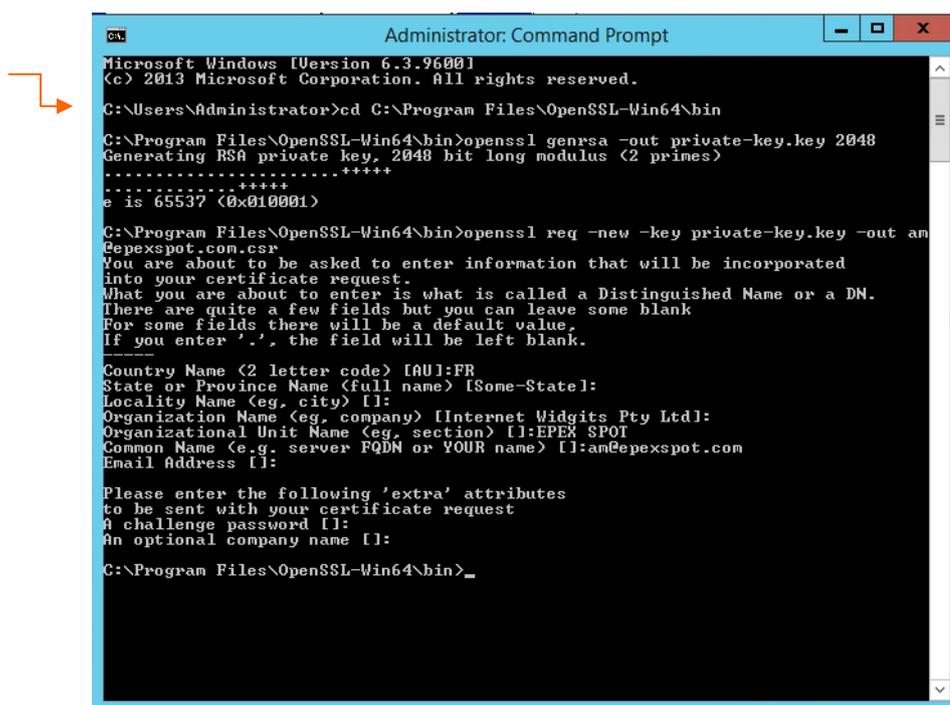


3.1.3 Generate the private key (.key) and the CSR (Certificate Signing Request)

As part of obtaining (or renewing or reissue) a certificate, you will have to generate a private key and the associated CSR.

1. To launch OpenSSL, open a command prompt with Administrators rights (right click - Run as ...). Go to the "bin" subdirectory from the OpenSSL installation folder:
 - o If you have installed Win64 OpenSSL:
cd C:\Program Files\OpenSSL-Win64\bin
 - o If you have installed Win32 OpenSSL:
cd C:\Program Files (x86)\OpenSSL-Win32\bin

You will have the following window open:



- To create the private key, you type the following:

`openssl genrsa -out private-key.key 2048`

```
C:\Program Files\OpenSSL-Win64\bin>openssl genrsa -out private-key.key 2048
Generating RSA private key, 2048 bit long modulus (2 primes)
.....+++++
.....+++++
e is 65537 (0x010001)
```

- The private key will now be generated.
- Create the Certificate request and type the following:

`openssl req -new -key private-key.key -out [Common Name].csr`

- Add the following details in the fields:

Country Name : GB
 State or Province Name : leave empty
 Locality Name : leave empty
 Organization Name : leave empty
 Organization Unit Name : Your company name
 Common Name : Your email address
 Email Address : leave empty
 A challenge password : leave empty
 An optional Company name : leave empty

```
C:\Program Files\OpenSSL-Win64\bin>openssl req -new -key private-key.key -out am@epexspot.com.csr
You are about to be asked to enter information that will be incorporated
into your certificate request.
What you are about to enter is what is called a Distinguished Name or a DN.
There are quite a few fields but you can leave some blank
For some fields there will be a default value,
If you enter '.', the field will be left blank.

Country Name (2 letter code) [AU]:FR
State or Province Name (full name) [Some-State]:
Locality Name (eg, city) []:
Organization Name (eg, company) [Internet Widgits Pty Ltd]:
Organizational Unit Name (eg, section) []:EPEX SPOT
Common Name (e.g. server FQDN or YOUR name) []:am@epexspot.com
Email Address []:

Please enter the following 'extra' attributes
to be sent with your certificate request
A challenge password []:
An optional company name []:
```

- A public/private key pair has now been created.
- The private key (i.e. private-key.key) is stored locally on the computer (in C:\Program Files\OpenSSL-Win64\bin or C:\Program Files (x86)\OpenSSL-Win32\bin). This private key is used for decryption.
- The public portion, in the form of a Certificate Signing Request (i.e. [email address].csr), need to be send to EPEX Market Operators via email to cts-fra-operation@epexspot.com.
- After EPEX Market Operators will authorize the csr and provide you with a .pem file. Please follow the instruction in the next section below.

3.1.4

3.1.4 Generate the PFX

1. After receiving the .pem file from EPEX Market Operators, place it in the same directory as the .csr and .key. (in C:\Program Files\OpenSSL-Win64\bin or C:\Program Files (x86)\OpenSSL-Win32\bin).
2. Open the command prompt again with Administrators rights (right click - Run as ...). Go to the "bin" subdirectory from the OpenSSL installation folder:
 - If you have installed Win64 OpenSSL:
cd C:\Program Files\OpenSSL-Win64\bin
 - If you have installed Win32 OpenSSL:
cd C:\Program Files (x86)\OpenSSL-Win32\bin
3. To generate the PFX file from the certificate and Private key, type the following:
(leave the two "Password" field empty)

`openssl pkcs12 -export -out [Common Name].pfx -inkey private-key.key -in [Common Name].pem`

```
C:\Program Files\OpenSSL-Win64\bin>openssl pkcs12 -export -out an@epexspot.com.p
fx -inkey private-key.key -in an@epexspot.com.pem
Enter Export Password:
Verifying - Enter Export Password:
```



3.1.5 Install the PFX in Windows

1. Double click on the .pfx file
2. follow the instructions

3.2 Alternative solution - use an online tool

Only if the above OpenSSL method mentioned in Section 3.1 does not work, we suggest to make use of an online tool for the CSR certification and conversion.

3.2.1 Generate the private key (.key) and the CSR (Certificate Signing Request)

The follow steps should be followed:

1. To create the CSR certification user the following link: https://decoder.link/csr_generator
2. Fill in the fields below:

Domain name certificate to be issued for* : your email address

Locality* : Your city

State* : your State / country

Organization* : CTS

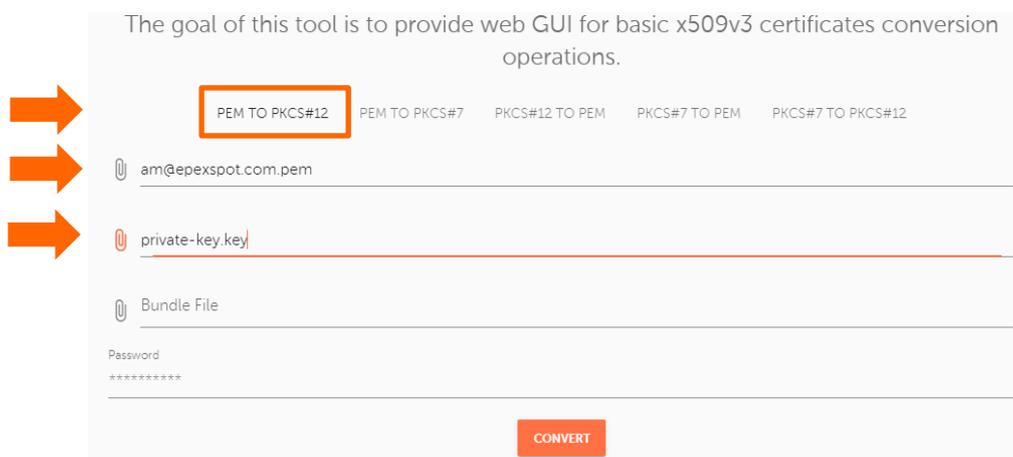
Organization Unit : your company

Two letter country abbreviation compliant with ISO 3166-2* : GB

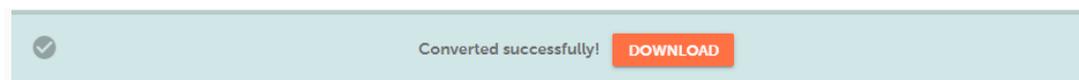
7. The public portion, in the form of a Certificate Signing Request (i.e. [email address].csr), need to be send to Market Operators via email to cts-fra-operation@epexspot.com.

3.2.2 Generate the PFX

1. After receiving the certificate (.pem file) from EPEX Market Operators, use the following link: <https://decoder.link/converter>
2. Click on “Certificate file” and chose the file `email address.pem`, received from EPEX Market Operators
3. Click on “Key File” and chose the file `private-key.key`
4. Click on “CONVERT”



5. Click on “Download”



3.2.3 Install the PFX in Windows

1. Open the zip downloaded in the previous step
2. Double click on the .pfx file and follow the instructions

4. Example

An EPEX platform user, Will Smith, wants to create a CSR and is required to install the Client certificate on his browser. Will Smith works for the company Energy Trading Ltd in the UK and is registered on the CTS++ auction platform with the following username/email address: will.smith@energytrading.com.

Following the instructions above in Section 3.1, Will Smith will be using the following commands;

4.1 Generate the private key (.key) and the CSR (Certificate Signing Request)

```
cd *OpenSSL base folder* \bin
openssl genrsa -out private-key.key 2048
openssl req -new -key private-key.key -out [Common Name].csr
```

Example:

```
cd *OpenSSL base folder* \bin
openssl genrsa -out private-key.key 2048
openssl req -new -key private-key.key -out will.smith@energytrading.com.csr
```

Fill in the required fields:

- **Country Name:** Must respect the country of the company
- **Organizational Unit:** the company name
- **Common Name:** email address

Example

- *Country Name: GB*
- *Organizational Unit: energytradinglimited*
- *Common Name: will.smith@energytrading.com*

(No capital letters are allowed in organization name and common name)

4.2 Generate the PFX

```
cd *OpenSSL base folder* \bin
openssl pkcs12 -export -out [Common Name].pfx -inkey private-key.key -in [Common Name].pem
```

Example:

```
cd *OpenSSL base folder* \bin
openssl pkcs12 -export -out will.smith@energytrading.com.pfx -inkey private-key.key -in
will.smith@energytrading.com.pem
```

5. Troubleshooting

Contact your local IT support or send an email to EPEX market Operators cts-fra-operation@epexspot.com.

5.1 How to check if your Certificate has been installed into your browser?

We recommend the following steps to check if you have installed the certificate in your browser:

1. Go to 'Browser Settings'
2. Search for "Certificates"
3. Click on 'Manage Certificates'
4. Verify if the Certificate has been Installed

