著

Windows Internals

Part 2 Sixth Edition

深入解析 Windows操作系统

卷2(英文版·第6版)

Mark Russinovich [加] Alex Ionescu

- 微软官方权威著作最新版
- 深入剖析Windows技术内幕
- 大幅更新, 涵盖Windows内核最新特性

Windows Internals

Part 2 Sixth Edition

深入解析 Windows操作系统

卷2(英文版 · 第6版)



人民邮电出版社 北京

图书在版编目 (CIP) 数据

深入解析Windows操作系统:第6版.卷2 = Windows Internals:Sixth Edition.Part 2:英文/(美)拉希诺维奇(Russinovich, M.),(美)所罗门(Solomon, D.),(加)艾欧内斯库(Ionescu, A.)著. — 北京:人民邮电出版社,2013.2

(图灵程序设计丛书) ISBN 978-7-115-30450-6

I. ①深… Ⅱ. ①拉… ②所… ③艾… Ⅲ. ① Windows操作系统-英文 Ⅳ. ①TP316.7

中国版本图书馆CIP数据核字(2012)第308318号

内容提要

本书是操作系统内核专家 Russinovich 等人的 Windows 操作系统原理的最新版著作,针对 Windows 7 和 Windows Server 2008 R2 进行了全面的更新,主要讲述 Windows 的底层关键机制、Windows 的核心组件(包括进程/线程/作业,安全性,I/O系统,存储管理、内存管理、缓存管理、文件系统和网络),并分析了启动进程、关机进程以及缓存转储。书中提供了许多实例,读者可以借此更好地理解 Windows 的内部行为。

本书内容丰富,信息全面,适合众多 Windows 平台开发人员、系统管理员阅读。

图灵程序设计丛书 深入解析Windows操作系统,卷2(英文版・第6版)

◆ 著 [美] Mark Russinovich [美] David Solomon [加] Alex Ionescu

责任编辑 朱 巍

◆ 人民邮电出版社出版发行 北京市崇文区夕照寺街14号邮编 100061 电子邮件 315@ptpress.com.cn 网址 http://www.ptpress.com.cn 北京艺辉印刷有限公司印刷

◆ 开本: 800×1000 1/16

印张: 41.25

字数: 748千字

2013年2月第1版

2013年 2月北京第 1 次印刷

印数: 1-3 000册

2013年 2月北京第1 次印刷

著作权合同登记号 图字: 01-2012-8544号 ISBN 978-7-115-30450-6

ISBN 978-7-115-30450-

定价: 99.00元

读者服务热线: (010)51095186转604 印装质量热线: (010)67129223

反盗版热线: (010)67171154

站在巨人的肩上 Standing on Shoulders of Giants



www.ituring.com.cn

站在巨人的肩上 Standing on Shoulders of Giants



www.ituring.com.cn

Introduction

Windows Internals, Sixth Edition is intended for advanced computer professionals (both developers and system administrators) who want to understand how the core components of the Microsoft Windows 7 and Windows Server 2008 R2 operating systems work internally. With this knowledge, developers can better comprehend the rationale behind design choices when building applications specific to the Windows platform. Such knowledge can also help developers debug complex problems. System administrators can benefit from this information as well, because understanding how the operating system works "under the covers" facilitates understanding the performance behavior of the system and makes troubleshooting system problems much easier when things go wrong. After reading this book, you should have a better understanding of how Windows works and why it behaves as it does.

Structure of the Book

For the first time, the book has been divided in two parts. This was done to get the information out more quickly since it takes considerable time to update the book for each release of Windows.

Part 1 begins with two chapters that define key concepts, introduce the tools used in the book, and describe the overall system architecture and components. The next two chapters present key underlying system and management mechanisms. Part 1 wraps up by covering three core components of the operating system: processes, threads, and jobs; security; and networking.

Part 2 covers the remaining core subsystems: I/O, storage, memory management, the cache manager, and file systems. Part 2 concludes with a description of the startup and shutdown processes and a description of crash-dump analysis.

History of the Book

This is the sixth edition of a book that was originally called *Inside Windows NT* (Microsoft Press, 1992), written by Helen Custer (prior to the initial release of Microsoft Windows NT 3.1). *Inside Windows NT* was the first book ever published about Windows NT and provided key insights into the architecture and design of the system. *Inside Windows NT, Second Edition* (Microsoft Press, 1998) was written by David Solomon. It updated the original book to cover Windows NT 4.0 and had a greatly increased level of technical depth.

Inside Windows 2000, Third Edition (Microsoft Press, 2000) was authored by David Solomon and Mark Russinovich. It added many new topics, such as startup and shutdown, service internals, registry internals, file-system drivers, and networking. It also covered kernel changes in Windows 2000, such as the Windows Driver Model (WDM), Plug and Play, power management, Windows Management Instrumentation (WMI), encryption, the job object, and Terminal Services. Windows Internals, Fourth Edition was the Windows XP and Windows Server 2003 update and added more content focused on helping IT professionals make use of their knowledge of Windows internals, such as using key tools from Windows Sysinternals (www.microsoft.com/technet/sysinternals) and analyzing crash dumps. Windows Internals, Fifth Edition was the update for Windows Vista and Windows Server 2008. New content included the image loader, user-mode debugging facility, and Hyper-V.

Sixth Edition Changes

This latest edition has been updated to cover the kernel changes made in Windows 7 and Windows Server 2008 R2. Hands-on experiments have been updated to reflect changes in tools.

Hands-on Experiments

Even without access to the Windows source code, you can glean much about Windows internals from tools such as the kernel debugger and tools from Sysinternals and Winsider Seminars & Solutions. When a tool can be used to expose or demonstrate some aspect of the internal behavior of Windows, the steps for trying the tool yourself are listed in "EXPERIMENT" boxes. These appear throughout the book, and we encourage you to try these as you're reading—seeing visible proof of how Windows works internally will make much more of an impression on you than just reading about it will.

Topics Not Covered

Windows is a large and complex operating system. This book doesn't cover everything relevant to Windows internals but instead focuses on the base system components. For example, this book doesn't describe COM+, the Windows distributed object-oriented programming infrastructure, or the Microsoft .NET Framework, the foundation of managed code applications.

Because this is an internals book and not a user, programming, or system administration book, it doesn't describe how to use, program, or configure Windows.

A Warning and a Caveat

Because this book describes undocumented behavior of the internal architecture and the operation of the Windows operating system (such as internal kernel structures and functions), this content is subject to change between releases. (External interfaces, such as the Windows API, are not subject to incompatible changes.)

By "subject to change," we don't necessarily mean that details described in this book will change between releases, but you can't count on them not changing. Any software that uses these undocumented interfaces might not work on future releases of Windows. Even worse, software that runs in kernel mode (such as device drivers) and uses these undocumented interfaces might experience a system crash when running on a newer release of Windows.

Acknowledgments

First, thanks to Jamie Hanrahan and Brian Catlin of Azius, LLC for joining us on this project—the book would not have been finished without their help. They did the bulk of the updates on the "Security" and "Networking" chapters and contributed to the update of the "Management Mechanisms" and "Processes and Threads" chapters. Azius provides Windows-internals and device-driver training. See www.azius.com for more information.

We want to recognize Alex Ionescu, who for this edition is a full coauthor. This is a reflection of Alex's extensive work on the fifth edition, as well as his continuing work on this edition.

Also thanks to Daniel Pearson, who updated the "Crash Dump Analysis" chapter. His many years of dump analysis experience helped to make the information more practical.

Thanks to Eric Traut and Jon DeVaan for continuing to allow David Solomon access to the Windows source code for his work on this book as well as continued development of his Windows Internals courses.

Three key reviewers were not acknowledged for their review and contributions to the fifth edition: Arun Kishan, Landy Wang, and Aaron Margosis—thanks again to them! And thanks again to Arun and Landy for their detailed review and helpful input for this edition.

This book wouldn't contain the depth of technical detail or the level of accuracy it has without the review, input, and support of key members of the Microsoft Windows development team. Therefore, we want to thank the following people, who provided technical review and input to the book:

- Greg Cottingham
- Joe Hamburg
- Jeff Lambert
- Pavel Lebedinsky
- Joseph East
- Adi Oltean
- Alexey Pakhunov
- Valerie See
- Brad Waters
- Bruce Worthington
- Robin Alexander
- Bernard Ourghanlian

Also thanks to Scott Lee, Tim Shoultz, and Eric Kratzer for their assistance with the "Crash Dump Analysis" chapter.

For the "Networking" chapter, a special thanks to Gianluigi Nusca and Tom Jolly, who really went beyond the call of duty: Gianluigi for his extraordinary help with the BranchCache material and the amount of suggestions (and many paragraphs of

material he wrote), and Tom Jolly not only for his own review and suggestions (which were excellent), but for getting many other developers to assist with the review. Here are all those who reviewed and contributed to the "Networking" chapter:

- Roopesh Battepati
- Molly Brown
- Greg Cottingham
- Dotan Elharrar
- Eric Hanson
- Tom Jolly
- Manoj Kadam
- Greg Kramer
- David Kruse
- Jeff Lambert
- Darene Lewis
- Dan Lovinger
- Gianluigi Nusca
- Amos Ortal
- Ivan Pashov
- Ganesh Prasad
- Paul Swan
- Shiva Kumar Thangapandi

Amos Ortal and Dotan Elharrar were extremely helpful on NAP, and Shiva Kumar Thangapandi helped extensively with EAP.

Thanks to Gerard Murphy for reviewing the shutdown mechanisms in Windows 7 and clarifying Group Policy behaviors.

Thanks to Tristan Brown from the Power Management team at Microsoft for spending a few late hours at the office with Alex going over core parking's algorithms and behaviors, as well as for the invaluable diagram he provided.

Thanks to Apurva Doshi for sending Alex a detailed document of cache manager changes in Windows 7, which was used to capture some of the new behaviors and changes described in the book.

Thanks to Matthieu Suiche for his kernel symbol file database, which allowed Alex to discover new and removed fields from core kernel data structures and led to the investigations to discover the underlying functionality changes.

Thanks to Cenk Ergan, Michel Fortin, and Mehmet lyigun for their review and input on the Superfetch details.

The detailed checking Christophe Nasarre, overall technical reviewer, performed contributed greatly to the technical accuracy and consistency in the book.

We would like to again thank Ilfak Guilfanov of Hex-Rays (<u>www.hex-rays.com</u>) for the IDA Pro Advanced and Hex-Rays licenses they granted to Alex so that he could speed up his reverse engineering of the Windows kernel.

Finally, the authors would like to thank the great staff at Microsoft Press behind turning this book into a reality. Devon Musgrave served double duty as acquisitions editor and developmental editor, while Carol Dillingham oversaw the title as its project editor. Editorial and production manager Curtis Philips, copy editor John Pierce, proof-reader Andrea Fox, and indexer Jan Wright also contributed to the quality of this book.

Last but not least, thanks to Ben Ryan, publisher of Microsoft Press, who continues to believe in the importance of continuing to provide this level of detail about Windows to their readers!

Errata & Book Support

We've made every effort to ensure the accuracy of this book and its companion content. Any errors that have been reported since this book was published are listed on our Microsoft Press site at oreilly.com:

http://go.microsoft.com/FWLink/?Linkid=258649

If you find an error that is not already listed, you can report it to us through the same page.

If you need additional support, email Microsoft Press Book Support at *mspinput@microsoft.com*.

Please note that product support for Microsoft software is not offered through the addresses above.

We Want to Hear from You

At Microsoft Press, your satisfaction is our top priority, and your feedback our most valuable asset. Please tell us what you think of this book at:

http://www.microsoft.com/learning/booksurvey

The survey is short, and we read every one of your comments and ideas. Thanks in advance for your input!

Stay in Touch

Let's keep the conversation going! We're on Twitter: http://twitter.com/MicrosoftPress.

Please note that product support for Microsoft software is not offered through the direcses above

We Want to Hear from You

At Microsoft Press, your satisfaction is our top priority and your feedback our most valuable asset. Please tell us what you think of this book at:

http://www.hucroscif.com/ieor/nijg/booksurvay

 The survey is short, and we read every one of your comments and ideas. Thanks in savance for your input!.

Stay in Touch

Let's keep the conversation doing! We're on Twitter http://www.tricte.com///werosult-reas

Contents

Windows Internals, Sixth Edition, Part 1

(See appendix for Part 1's table of contents)

Chapter 8	I/O System	1
	I/O System Components	1
184	The I/O Manager	3
	Typical I/O Processing	
	Device Drivers	5
	Types of Device Drivers	5
	Structure of a Driver	12
	Driver Objects and Device Objects	14
	Opening Devices	19
	I/O Processing	25
	Types of I/O	25
	I/O Request to a Single-Layered Driver	33
	I/O Requests to Layered Drivers	
	I/O Cancellation	48
	I/O Completion Ports	53
	I/O Prioritization	
	Container Notifications	65
	Driver Verifier	65
	Kernel-Mode Driver Framework (KMDF)	68
	Structure and Operation of a KMDF Driver	68
	KMDF Data Model	
er.	KMDF I/O Model	

	User-Mode Driver Framework (UMDF)	78
	The Plug and Play (PnP) Manager	81
	Level of Plug and Play Support	
	Driver Support for Plug and Play	82
	Driver Loading, Initialization, and Installation	84
	Driver Installation	
	The Power Manager	98
	Power Manager Operation	100
	Driver Power Operation	101
	Driver and Application Control of Device Power	105
	Power Availability Requests	105
	Processor Power Management (PPM)	108
	Conclusion	123
Chapter 9	Storage Management	125
	Storage Terminology	125
	Disk Devices	126
	Rotating Magnetic Disks	126
	Solid State Disks	
	Disk Drivers 1908npM ON adf	
	Winload	132
	Disk Class, Port, and Miniport Drivers	132
	Disk Device Objects	
	Partition Manager	138
	Volume Management	
	Basic Disks	139
	Dynamic Disks	141
	Multipartition Volume Management	147
	The Volume Namespace	153
	Volume I/O Operations	159
	Virtual Disk Service	
	Virtual Hard Disk Support	162
	Nested File Systems	163
	BitLocker Drive Encryption	163
	Encryption Keys	
	Trusted Platform Module (TPM)	
	BitLocker Boot Process Shott Fix CROWN	170
	RitLocker Key Recovery	172

	Full-Volume Encryption Driver	173
	BitLocker Management	174
	BitLocker To Go	175
	Volume Shadow Copy Service	177
	Shadow Copies	177
	VSS Architecture	
	VSS Operation	
	Uses in Windows	
	Conclusion	
Chapter 10	Memory Management	187
147.	Introduction to the Memory Manager	187
	Memory Manager Components	188
	Internal Synchronization	
	Examining Memory Usage	
	Services Provided by the Memory Manager	193
	Large and Small Pages	
	Reserving and Committing Pages	195
	Commit Limit	
	Locking Memory	
	Allocation Granularity	
	Shared Memory and Mapped Files	
	Protecting Memory	
	No Execute Page Protection	
	Copy-on-Write	
	Address Windowing Extensions	
	: T. H. C. S. H. C. S.	
	Pool Sizes	215
	Monitoring Pool Usage	
	Look-Aside Lists	220
	Heap Manager	
	Types of Heaps	222
	Heap Manager Structure	222
	Heap Synchronization	223
		223
	Heap Security Features	224
	Heap Debugging Features	
	Pageheap.	226
	Fault Jolerant Hean	777

Virtual Address Space Layouts	
x86 Address Space Layouts	
x86 System Address Space Layout	
x86 Session Space	233
System Page Table Entries	235
64-Bit Address Space Layouts	237
x64 Virtual Addressing Limitations	240
Dynamic System Virtual Address Space Management	242
System Virtual Address Space Quotas	245
User Address Space Layout	246
Address Translation.	251
x86 Virtual Address Translation	252
Translation Look-Aside Buffer	259
Physical Address Extension (PAE)	260
x64 Virtual Address Translation	265
IA64 Virtual Address Translation	266
Page Fault Handling	267
Invalid PTEs	268
Prototype PTEs	269
In-Paging I/O	271
Collided Page Faults	272
Clustered Page Faults	272
Page Files	273
Commit Charge and the System Commit Limit	
Commit Charge and Page File Size	278
Stacks	279
User Stacks	280
Kernel Stacks	281
DPC Stack	
Virtual Address Descriptors.	282
Process VADs.	283
Rotate VADs	284
NUMA	285
NUMA	286
Driver Verifier.	292
Page Frame Number Database.	297
Page List Dynamics	300
Page Priority	310
Modified Page Writer	314