教育国外著名教材系列（影印版）

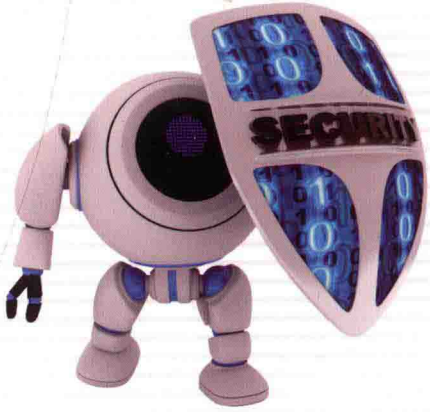
Network Security Essentials

Applications and Standards, Fifth Edition

网络安全基础

应用与标准（第5版）

［美］威廉·斯托林斯（William Stallings） 著



清华大学出版社

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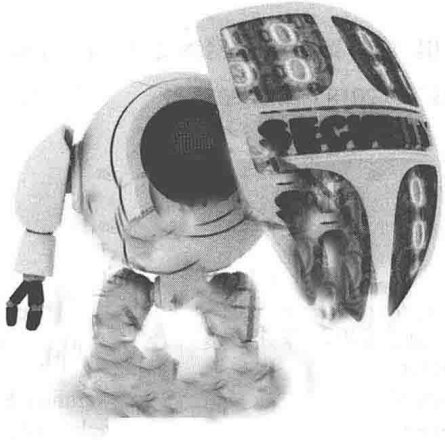

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For Tricia never
dull never boring
the smartest
and bravest
person I know

PREFACE

"There is the book, Inspector. I leave it with you, and you cannot doubt that it contains a full explanation."

—The Adventure of the Lion's Mane, Sir Arthur Conan Doyle

In this age of universal electronic connectivity, of viruses and hackers, of electronic eavesdropping and electronic fraud, there is indeed no time at which security does not matter. Two trends have come together to make the topic of this book of vital interest. First, the explosive growth in computer systems and their interconnections via networks has increased the dependence of both organizations and individuals on the information stored and communicated using these systems. This, in turn, has led to a heightened awareness of the need to protect data and resources from disclosure, to guarantee the authenticity of data and messages, and to protect systems from network-based attacks. Second, the disciplines of cryptography and network security have matured, leading to the development of practical, readily available applications to enforce network security.

OBJECTIVES

It is the purpose of this book to provide a practical survey of network security applications and standards. The emphasis is on applications that are widely used on the Internet and for corporate networks, and on standards (especially Internet standards) that have been widely deployed.

WHAT'S NEW IN THE FIFTH EDITION

In the four years since the fourth edition of this book was published, the field has seen continued innovations and improvements. In this new edition, I try to capture these changes while maintaining a broad and comprehensive coverage of the entire field. To begin this process of revision, the fourth edition of this book was extensively reviewed by a number of professors who teach the subject and by professionals working in the field. The result is that, in many places, the narrative has been clarified and tightened, and illustrations have been improved.

Beyond these refinements to improve pedagogy and user-friendliness, there have been substantive changes throughout the book. Roughly the same chapter organization has been retained, but much of the material has been revised and new material has been added. The most noteworthy changes are as follows:

- **Network access control:** A new chapter provides coverage of network access control, including a general overview plus discussions of the Extensible Authentication Protocol and IEEE 802.1X.
- **Cloud security:** A new section covers the security issues relating to the exciting new area of cloud computing.

- **SHA-3:** An online chapter covers the new cryptographic hash standard, SHA-3, which was adopted in 2012.
- **Mobile device security:** Mobile device security has become an essential aspect of enterprise network security. A new section covers this important topic.
- **Malicious software:** This chapter provides a different focus from that of the fourth edition. Increasingly we see back door/rootkit type malware installed by social engineering attacks, rather than more classic virus/worm direct infection. And phishing is even more prominent than ever. These trends are reflected in the coverage.
- **Sample syllabus:** The text contains more material than can be conveniently covered in one semester. Accordingly, instructors are provided with several sample syllabi that guide the use of the text within limited time (e.g., 16 weeks or 12 weeks). These samples are based on real-world experience by professors with the first edition.
- **Learning objectives:** Each chapter now begins with a list of learning objectives.

SUPPORT OF ACM/IEEE COMPUTER SCIENCE CURRICULA 2013

The book is intended for both academic and professional audiences. As a textbook, it is intended as a one-semester undergraduate course in cryptography and network security for computer science, computer engineering, and electrical engineering majors. The changes to this edition are intended to provide support of the current draft version of the ACM/IEEE Computer Science Curricula 2013 (CS2013). CS2013 adds Information Assurance and Security (IAS) to the curriculum recommendation as one of the Knowledge Areas in the Computer Science Body of Knowledge. The document states that IAS is now part of the curriculum recommendation because of the critical role of IAS in computer science education. CS2013 divides all course work into three categories: Core-Tier 1 (all topics should be included in the curriculum), Core-Tier-2 (all or almost all topics should be included), and elective (desirable to provide breadth and depth). In the IAS area, CS2013 recommends topics in Fundamental Concepts and Network Security in Tier 1 and Tier 2, and Cryptography topics as elective. This text covers virtually all of the topics listed by CS2013 in these three categories.

The book also serves as a basic reference volume and is suitable for self-study.

PLAN OF THE TEXT

The book is organized in three parts:

- **Part One. Cryptography:** A concise survey of the cryptographic algorithms and protocols underlying network security applications, including encryption, hash functions, message authentication, and digital signatures.
- **Part Two. Network Security Applications:** Covers important network security tools and applications, including key distribution, Kerberos, X.509v3 certificates, Extensible Authentication Protocol, S/MIME, IP Security, SSL/TLS, IEEE 802.11i WiFi security, and cloud security.
- **Part Three. System Security:** Looks at system-level security issues, including the threat of and countermeasures for malicious software and intruders, and the use of firewalls.

The book includes a number of pedagogic features, including the use of numerous figures and tables to clarify the discussions. Each chapter includes a list of key words, review questions, homework problems, and suggestions for further reading. The book also includes an extensive glossary, a list of frequently used acronyms, and a list of references. In addition, a test bank is available to instructors.

INSTRUCTOR SUPPORT MATERIALS

The major goal of this text is to make it as effective a teaching tool for this exciting and fast-moving subject as possible. This goal is reflected both in the structure of the book and in the supporting material. The following supplementary materials that will aid the instructor accompany the text:

- **Solutions manual:** Solutions to all end-of-chapter Review Questions and Problems.
- **Projects manual:** Suggested project assignments for all of the project categories listed below.
- **PowerPoint slides:** A set of slides covering all chapters, suitable for use in lecturing.
- **PDF files:** Reproductions of all figures and tables from the book.
- **Test bank:** A chapter-by-chapter set of questions with a separate file of answers.
- **Sample syllabi:** The text contains more material than can be conveniently covered in one semester. Accordingly, instructors are provided with several sample syllabi that guide the use of the text within limited time. These samples are based on real-world experience by professors who used the fourth edition.

All of these support materials are available at the **Instructor Resource Center (IRC)** for this textbook, which can be reached through the Publisher's Web site www.pearsoninternationaleditions.com/stallings or by clicking on the link labeled *Pearson Resources for Instructors* at this book's Companion Web site at WilliamStallings.com/NetworkSecurity. To gain access to the IRC, please contact your local Pearson sales representative via pearsoninternationaleditions.com/educator/replocator/requestSalesRep.page or call Pearson Faculty Services at 1-800-526-0485.

The **Companion Web site**, at WilliamStallings.com/NetworkSecurity (click on *Instructor Resources* link), includes the following:

- Links to Web sites for other courses being taught using this book
- Sign-up information for an Internet mailing list for instructors using this book to exchange information, suggestions, and questions with each other and with the author

PROJECTS AND OTHER STUDENT EXERCISES

For many instructors, an important component of a network security course is a project or set of projects by which the student gets hands-on experience to reinforce concepts from the text. This book provides an unparalleled degree of support, including a projects component in the course. The IRC includes not only guidance on how to assign and structure the projects but also a set of project assignments that covers a broad range of topics from the text:

- **Hacking project:** This exercise is designed to illuminate the key issues in intrusion detection and prevention.

- **Lab exercises:** A series of projects that involve programming and experimenting with concepts from the book.
- **Research projects:** A series of research assignments that instruct the student to research a particular topic on the Internet and write a report.
- **Programming projects:** A series of programming projects that cover a broad range of topics and that can be implemented in any suitable language on any platform.
- **Practical security assessments:** A set of exercises to examine current infrastructure and practices of an existing organization.
- **Firewall projects:** A portable network firewall visualization simulator is provided, together with exercises for teaching the fundamentals of firewalls.
- **Case studies:** A set of real-world case studies, including learning objectives, case description, and a series of case discussion questions.
- **Writing assignments:** A set of suggested writing assignments, organized by chapter.
- **Reading/report assignments:** A list of papers in the literature—one for each chapter—that can be assigned for the student to read and then write a short report.

This diverse set of projects and other student exercises enables the instructor to use the book as one component in a rich and varied learning experience and to tailor a course plan to meet the specific needs of the instructor and students. See Appendix B in this book for details.

ONLINE DOCUMENTS FOR STUDENTS

For this new edition, a tremendous amount of original supporting material for students has been made available online, at two Web locations. The **Companion Web site**, at WilliamStallings.com/NetworkSecurity (click on *Student Resources* link), includes a list of relevant links organized by chapter and an errata sheet for the book.

Purchasing this textbook new also grants the reader six months of access to the **Premium Content site**, which includes the following materials:

- **Online chapters:** To limit the size and cost of the book, three chapters of the book are provided in PDF format. This includes a chapter on SHA-3, a chapter on SNMP security, and one on legal and ethical issues. The chapters are listed in this book's table of contents.
- **Online appendices:** There are numerous interesting topics that support material found in the text but whose inclusion is not warranted in the printed text. A number of online appendices cover these topics for the interested student. The appendices are listed in this book's table of contents.
- **Homework problems and solutions:** To aid the student in understanding the material, a separate set of homework problems with solutions are available. These enable the students to test their understanding of the text.
- **Key papers:** A number of papers from the professional literature, many hard to find, are provided for further reading.

- **Supporting documents:** A variety of other useful documents are referenced in the text and provided online.

To access the Premium Content site, click on the *Premium Content* link at the Companion Web site or at pearsoninternationaleditions.com/stallings and enter the student access code found on the card in the front of the book.

RELATIONSHIP TO CRYPTOGRAPHY AND NETWORK SECURITY

This book is adapted from *Cryptography and Network Security, Sixth Edition* (CNS6e). CNS6e provides a substantial treatment of cryptography, key management, and user authentication, including detailed analysis of algorithms and a significant mathematical component, all of which covers nearly 500 pages. *Network Security Essentials: Applications and Standards, Fifth Edition* (NSE5e), provides instead a concise overview of these topics in Chapters 2 through 4. NSE5e includes all of the remaining material of CNS6e. NSE5e also covers SNMP security, which is not covered in CNS6e. Thus, NSE5e is intended for college courses and professional readers whose interest is primarily in the application of network security and who do not need or desire to delve deeply into cryptographic theory and principles.

ACKNOWLEDGMENTS

This new edition has benefited from review by a number of people who gave generously of their time and expertise. The following people reviewed all or a large part of the manuscript: Nirdosh Bhatnagar (Santa Clara University), Douglas P. Twitchell (Illinois State University), Yoohwan Kim(University of Nevada, Las Vegas), Steven Tate (University of North Carolina at Greensboro), Kemal Akkaya (Southern Illinois University), Bulent Yener (Rensselaer Polytechnic Institute), Ellen Gethner (University of Colorado, Denver), Stefan A. Robila (Montclair State University), and Albert Levi (Sabanci University, Istanbul, Turkey).

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Nikhil Bhargava (IIT Delhi) developed the set of online homework problems and solutions. Professor Sreekanth Malladi of Dakota State University developed the hacking exercises. Sanjay Rao and Ruben Torres of Purdue developed the laboratory exercises that appear in the IRC.

The following people contributed project assignments that appear in the instructor's supplement: Henning Schulzrinne (Columbia University), Cetin Kaya Koc (Oregon State University), and David Balenson (Trusted Information Systems and George Washington University). Kim McLaughlin developed the test bank.

Finally, I thank the many people responsible for the publication of the book, all of whom did their usual excellent job. This includes the staff at Pearson, particularly my editor

Tracy Johnson, associate editor Carole Snyder, production supervisor Robert Engelhardt, and production project manager Pat Brown. I also thank Shiny Rajesh and the production staff at Integra for another excellent and rapid job. Thanks also to the marketing and sales staffs at Pearson, without whose efforts this book would not be in front of you.

With all this assistance, little remains for which I can take full credit. However, I am proud to say that, with no help whatsoever, I selected all of the quotations.

The publishers wish to thank Hrishikesh B. Acharya of Indraprastha Institute of Information Technology Delhi for reviewing the content of the International Edition.

About the Author

Dr. William Stallings has authored 17 titles, and counting revised editions, over 40 books on computer security, computer networking, and computer architecture. His writings have appeared in numerous publications, including the *Proceedings of the IEEE, ACM Computing Reviews* and *Cryptologia.*

He has 11 times received the award for the best Computer Science textbook of the year from the Text and Academic Authors Association.

In over 30 years in the field, he has been a technical contributor, technical manager, and an executive with several high-technology firms. He has designed and implemented both TCP/IP-based and OSI-based protocol suites on a variety of computers and operating systems, ranging from microcomputers to mainframes. As a consultant, he has advised government agencies, computer and software vendors, and major users on the design, selection, and use of networking software and products.

He created and maintains the *Computer Science Student Resource Site* at ComputerScienceStudent.com. This site provides documents and links on a variety of subjects of general interest to computer science students (and professionals). He is a member of the editorial board of *Cryptologia*, a scholarly journal devoted to all aspects of cryptology.

Dr. Stallings holds a Ph.D. from MIT in Computer Science and a B.S. from Notre Dame in electrical engineering.

CONTENTS

CHAPTER 1

INTRODUCTION

The combination of space, time, and strength that must be considered as the basic elements of this theory of defense makes this a fairly complicated matter. Consequently, it is not easy to find a fixed point of departure.

—*On War*, Carl Von Clausewitz

The art of war teaches us to rely not on the likelihood of the enemy's not coming, but on our own readiness to receive him; not on the chance of his not attacking, but rather on the fact that we have made our position unassailable.

—*The Art of War*, Sun Tzu

LEARNING OBJECTIVES

After studying this chapter, you should be able to:

- Describe the key security requirements of confidentiality, integrity, and availability.
- Discuss the types of security threats and attacks that must be dealt with and give examples of the types of threats and attacks that apply to different categories of computer and network assets.
- Summarize the functional requirements for computer security.
- Describe the X.800 security architecture for OSI.

The requirements of **information security** within an organization have undergone two major changes in the last several decades. Before the widespread use of data processing equipment, the security of information felt to be valuable to an organization was provided primarily by physical and administrative means. An example of the former is the use of rugged filing cabinets with a combination lock for storing sensitive documents. An example of the latter is personnel screening procedures used during the hiring process.

With the introduction of the computer, the need for automated tools for protecting files and other information stored on the computer became evident. This is especially the case for a shared system, such as a time-sharing system, and the need is even more acute for systems that can be accessed over a public telephone network, data network, or the Internet. The generic name for the collection of tools designed to protect data and to thwart hackers is **computer security**.

The second major change that affected security is the introduction of distributed systems and the use of networks and communications facilities for carrying data between terminal user and computer and between computer and computer. Network security measures are needed to protect data during their transmission. In fact, the term **network security** is somewhat misleading, because virtually all business, government, and academic organizations interconnect their data processing equipment with a collection of interconnected networks.

Such a collection is often referred to as an internet,[1] and the term **internet security** is used.

There are no clear boundaries between these two forms of security. For example, a computer virus may be introduced into a system physically when it arrives on a flash drive or an optical disk and is subsequently loaded onto a computer. Viruses may also arrive over an internet. In either case, once the virus is resident on a computer system, internal computer security tools are needed to detect and recover from the virus.

This book focuses on internet security, which consists of measures to deter, prevent, detect, and correct security violations that involve the transmission of information. That is a broad statement that covers a host of possibilities. To give you a feel for the areas covered in this book, consider the following examples of security violations:

1. User A transmits a file to user B. The file contains sensitive information (e.g., payroll records) that is to be protected from disclosure. User C, who is not authorized to read the file, is able to monitor the transmission and capture a copy of the file during its transmission.
2. A network manager, D, transmits a message to a computer, E, under its management. The message instructs computer E to update an authorization file to include the identities of a number of new users who are to be given access to that computer. User F intercepts the message, alters its contents to add or delete entries, and then forwards the message to E, which accepts the message as coming from manager D and updates its authorization file accordingly.
3. Rather than intercept a message, user F constructs its own message with the desired entries and transmits that message to E as if it had come from manager D. Computer E accepts the message as coming from manager D and updates its authorization file accordingly.
4. An employee is fired without warning. The personnel manager sends a message to a server system to invalidate the employee's account. When the invalidation is accomplished, the server is to post a notice to the employee's file as confirmation of the action. The employee is able to intercept the message and delay it long enough to make a final access to the server to retrieve sensitive information. The message is then forwarded, the action taken, and the confirmation posted. The employee's action may go unnoticed for some considerable time.
5. A message is sent from a customer to a stockbroker with instructions for various transactions. Subsequently, the investments lose value and the customer denies sending the message.

Although this list by no means exhausts the possible types of security violations, it illustrates the range of concerns of network security.

[1]We use the term *internet* with a lowercase "i" to refer to any interconnected collection of network. A corporate intranet is an example of an internet. The Internet with a capital "I" may be one of the facilities used by an organization to construct its internet.