



# Data Communications and Networking

Fourth Edition

Forouzan

## Chapter 23

# Process-to-Process Delivery: UDP, TCP, and SCTP

# 23-1 PROCESS-TO-PROCESS DELIVERY

*The transport layer is responsible for process-to-process delivery—the delivery of a packet, part of a message, from one process to another. Two processes communicate in a client/server relationship, as we will see later.*

## **Topics discussed in this Lecture:**

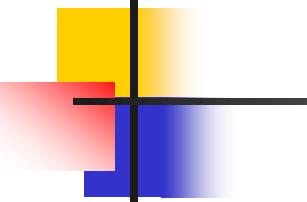
Client/Server Paradigm

Multiplexing and Demultiplexing

Connectionless Versus Connection-Oriented Service

Reliable Versus Unreliable

Three Protocols



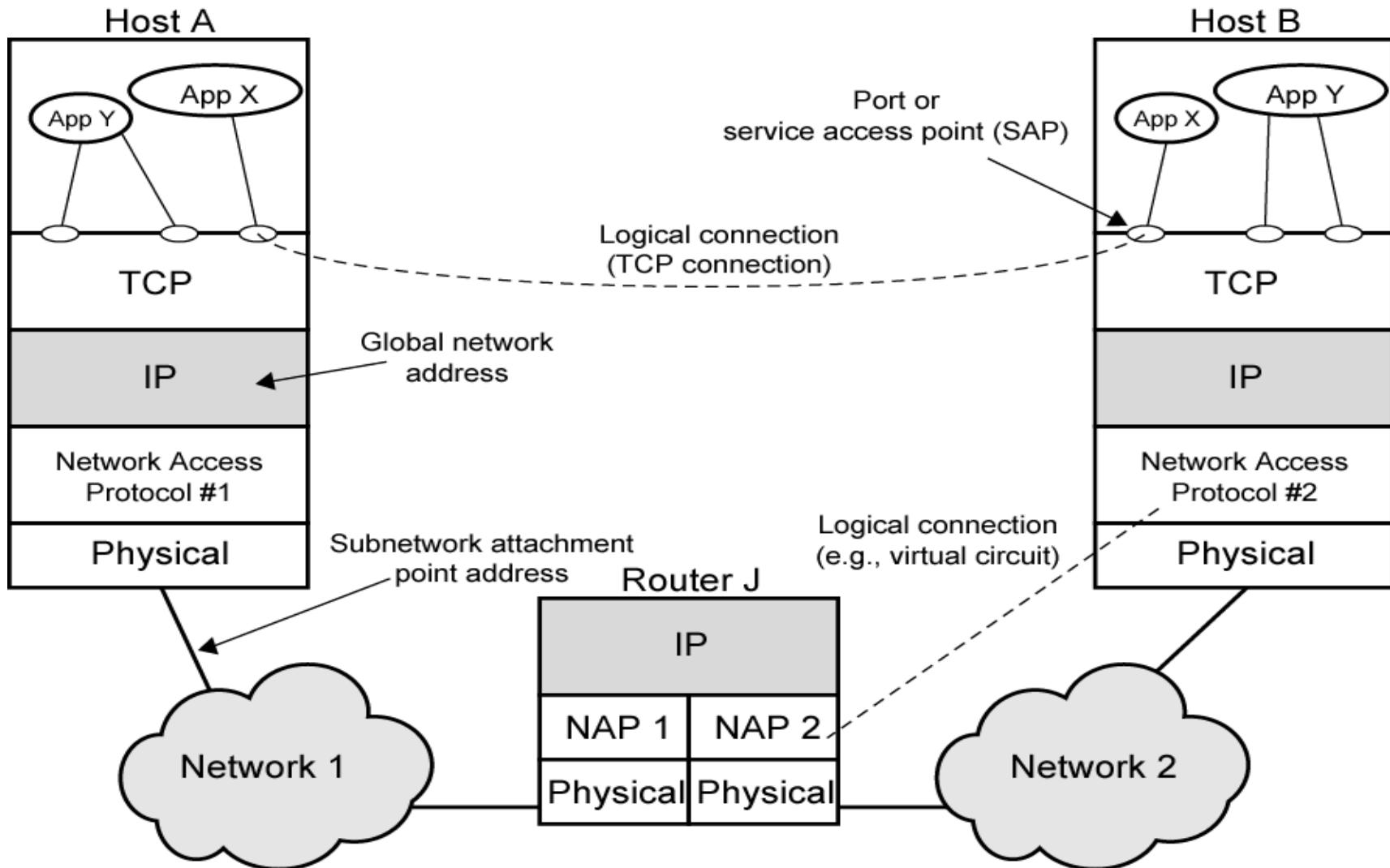
## *Note*

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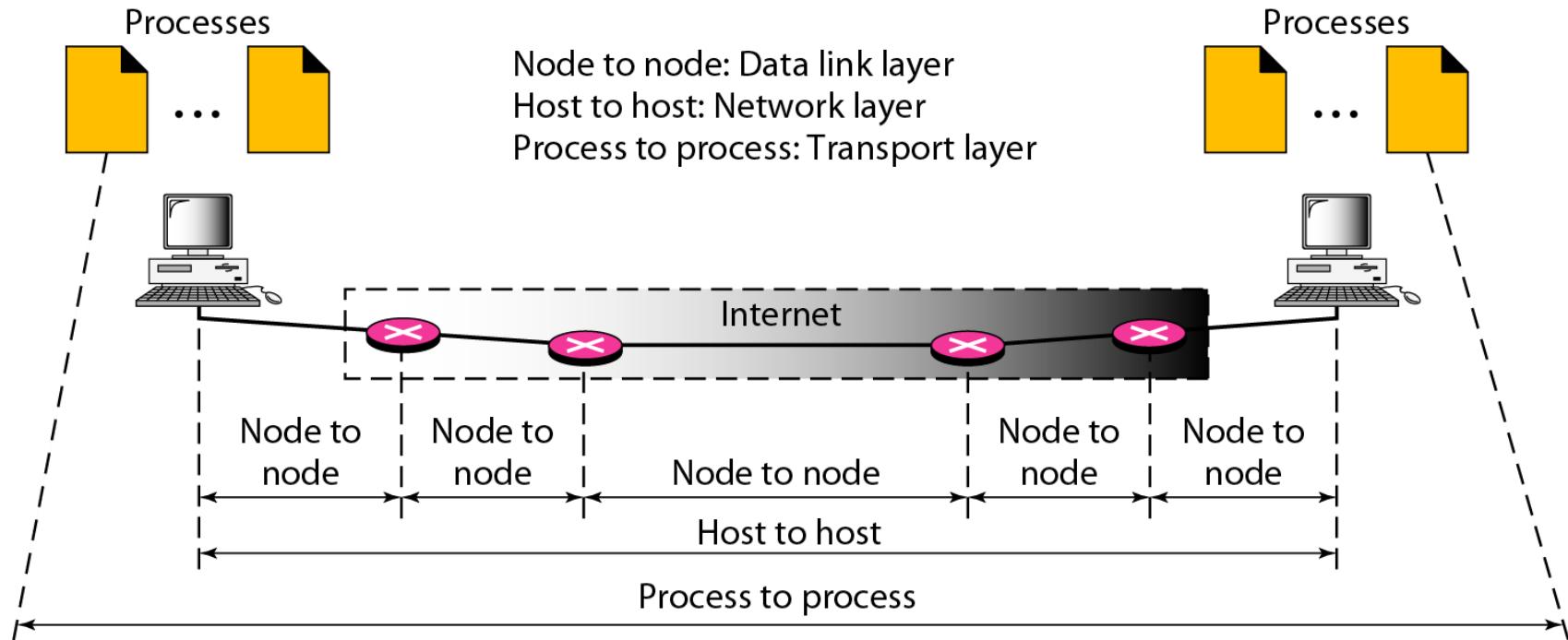
**The transport layer is responsible for process-to-process delivery.**

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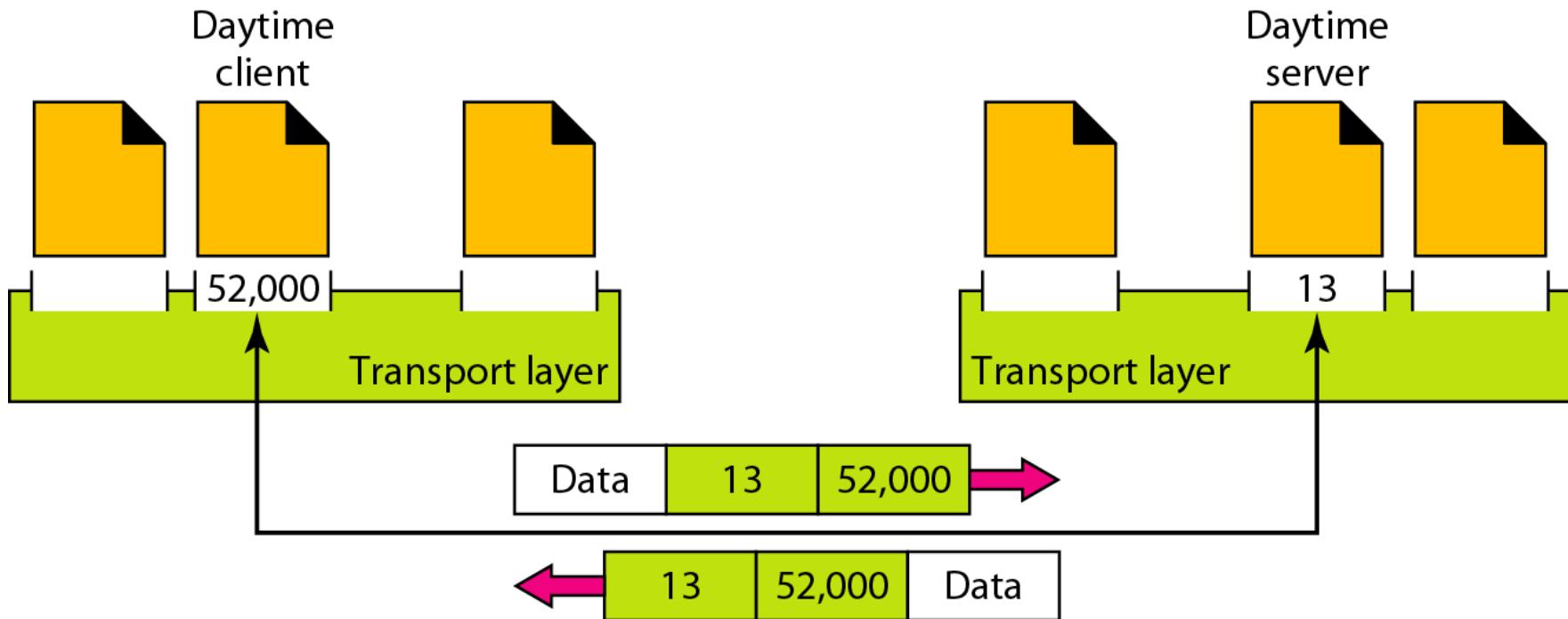
# TCP/IP Concepts



**Figure 23.1** *Types of data deliveries*



**Figure 23.2 Port numbers**



**Figure 23.3** *IP addresses versus port numbers*

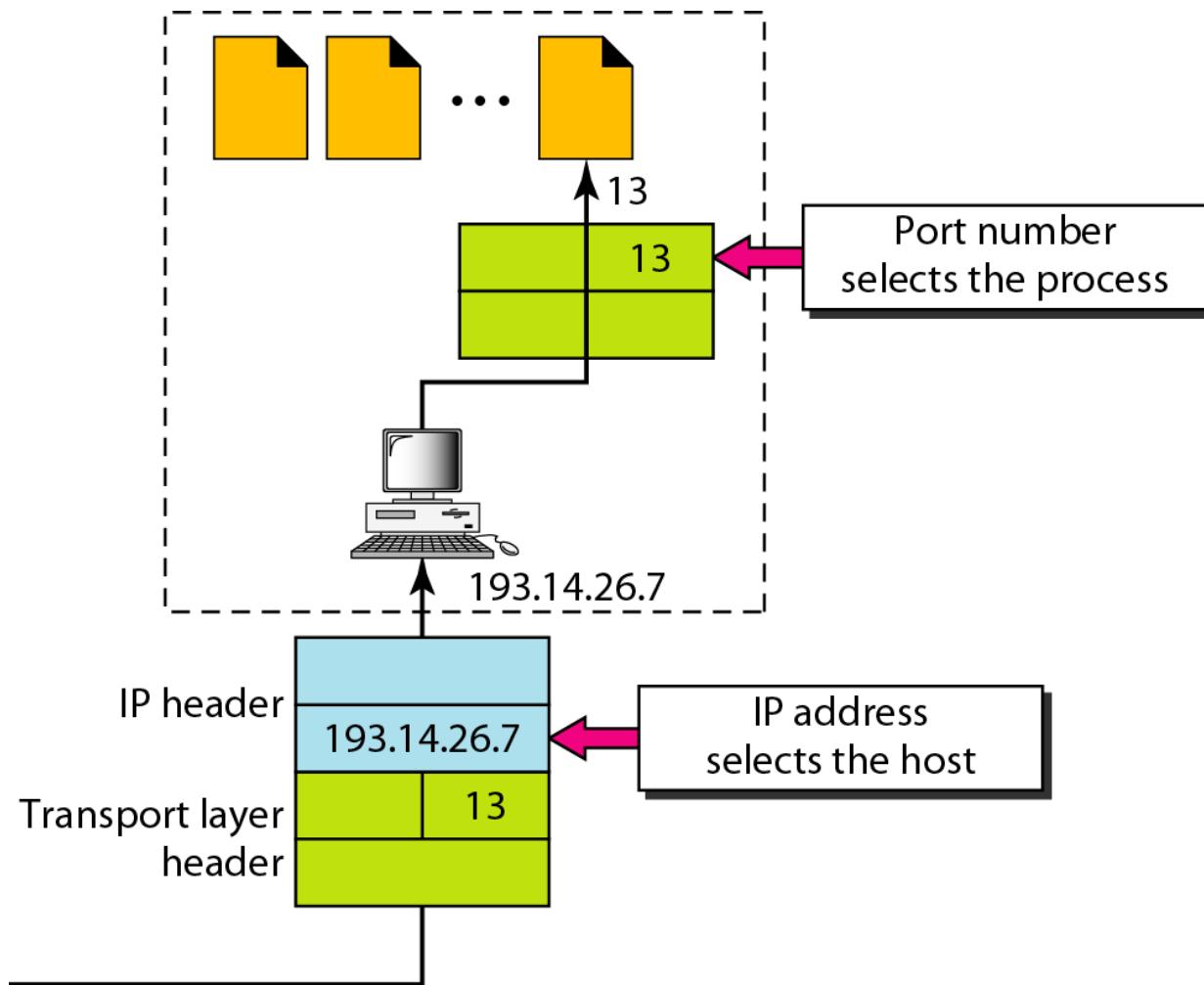
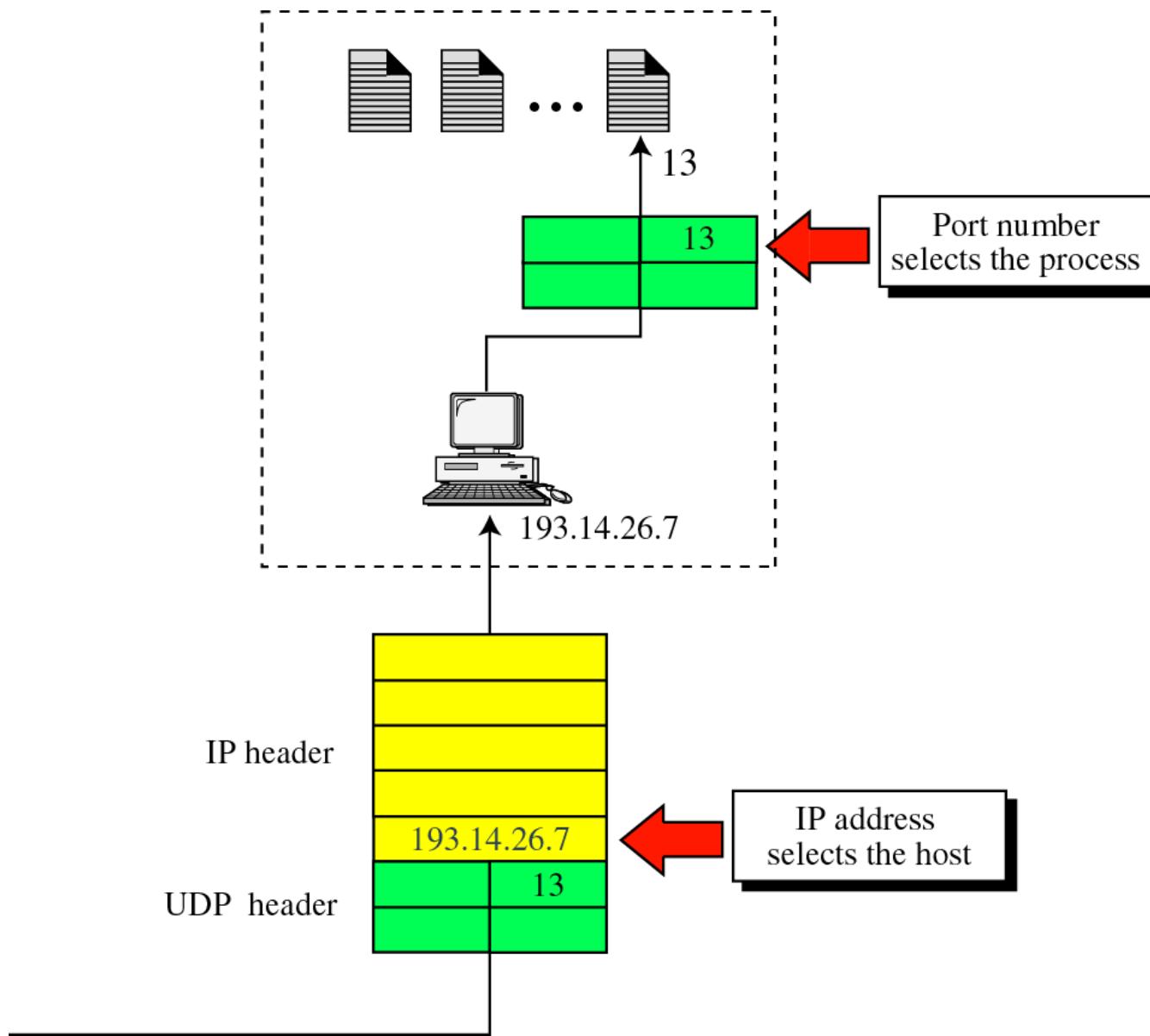
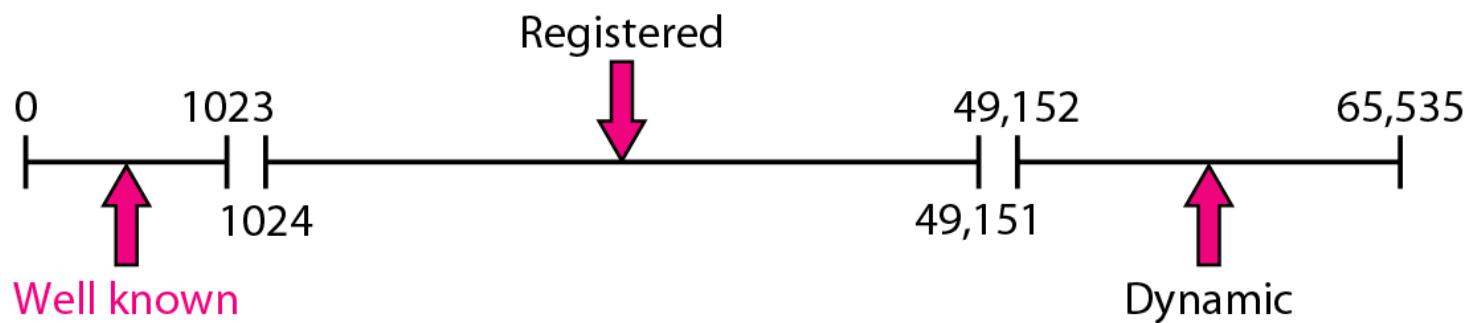


Figure 11-4

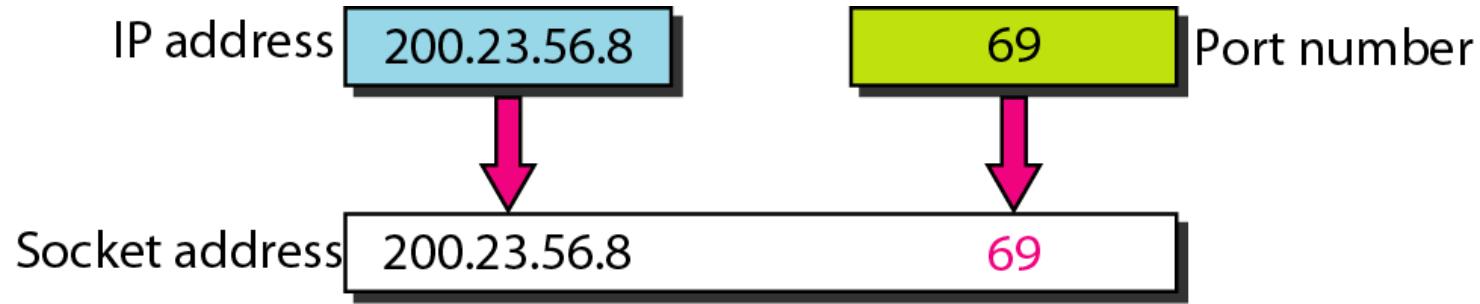
## IP addresses versus port numbers



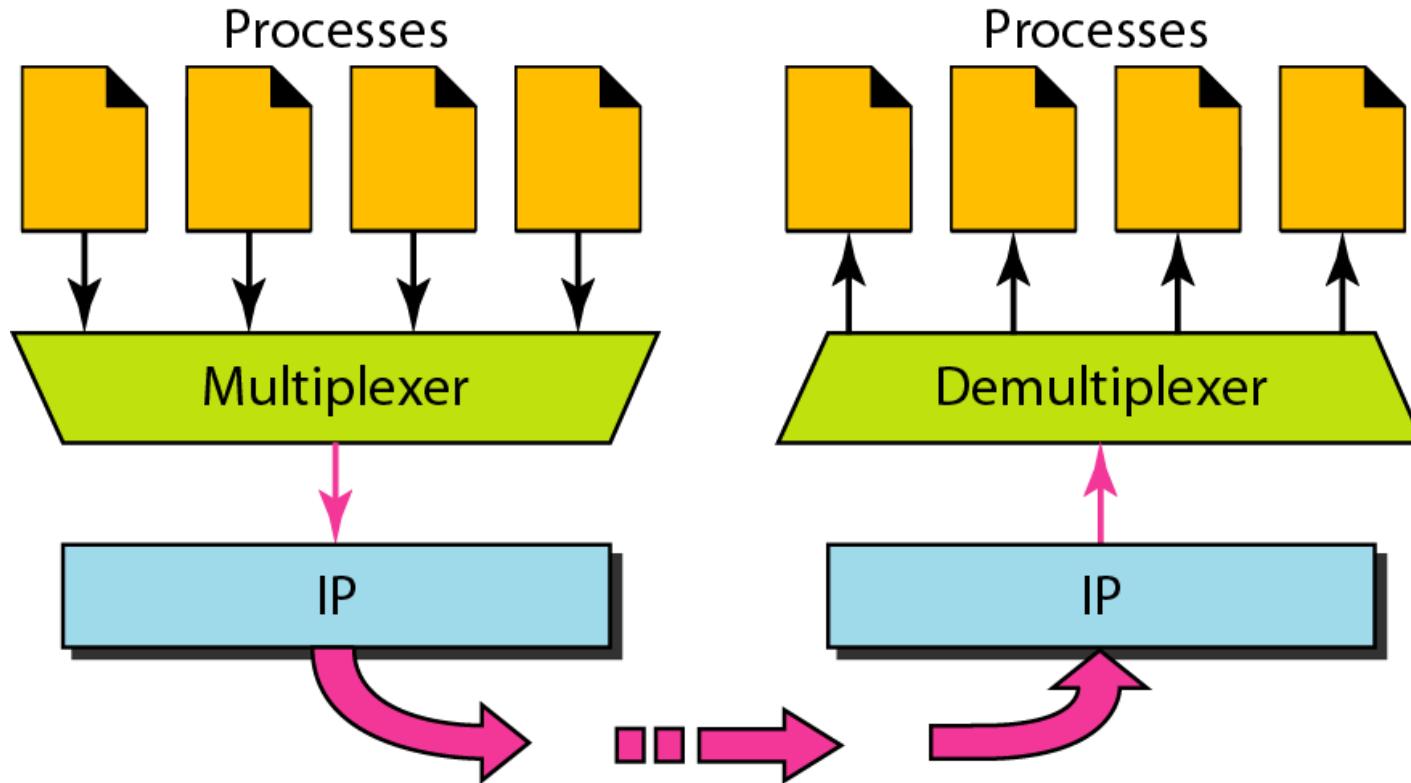
**Figure 23.4** *Internet Assigned Numbers Authority ranges*



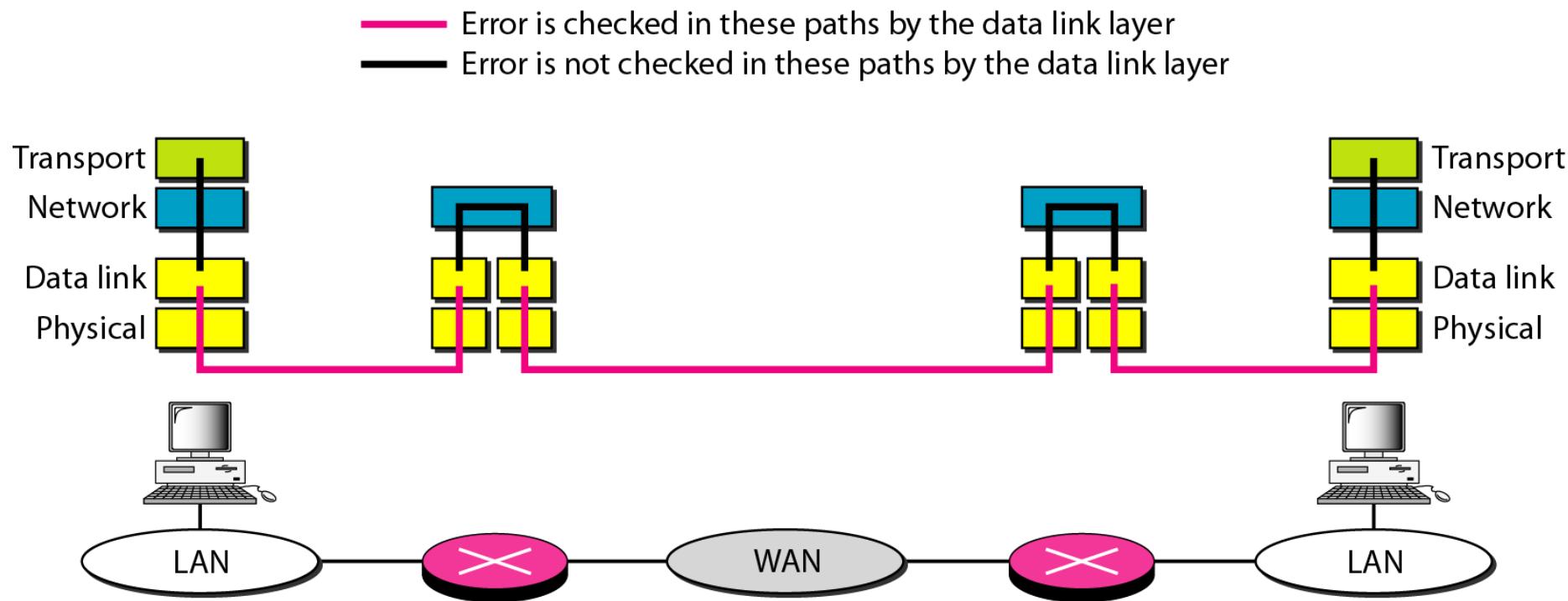
**Figure 23.5** *Socket address*



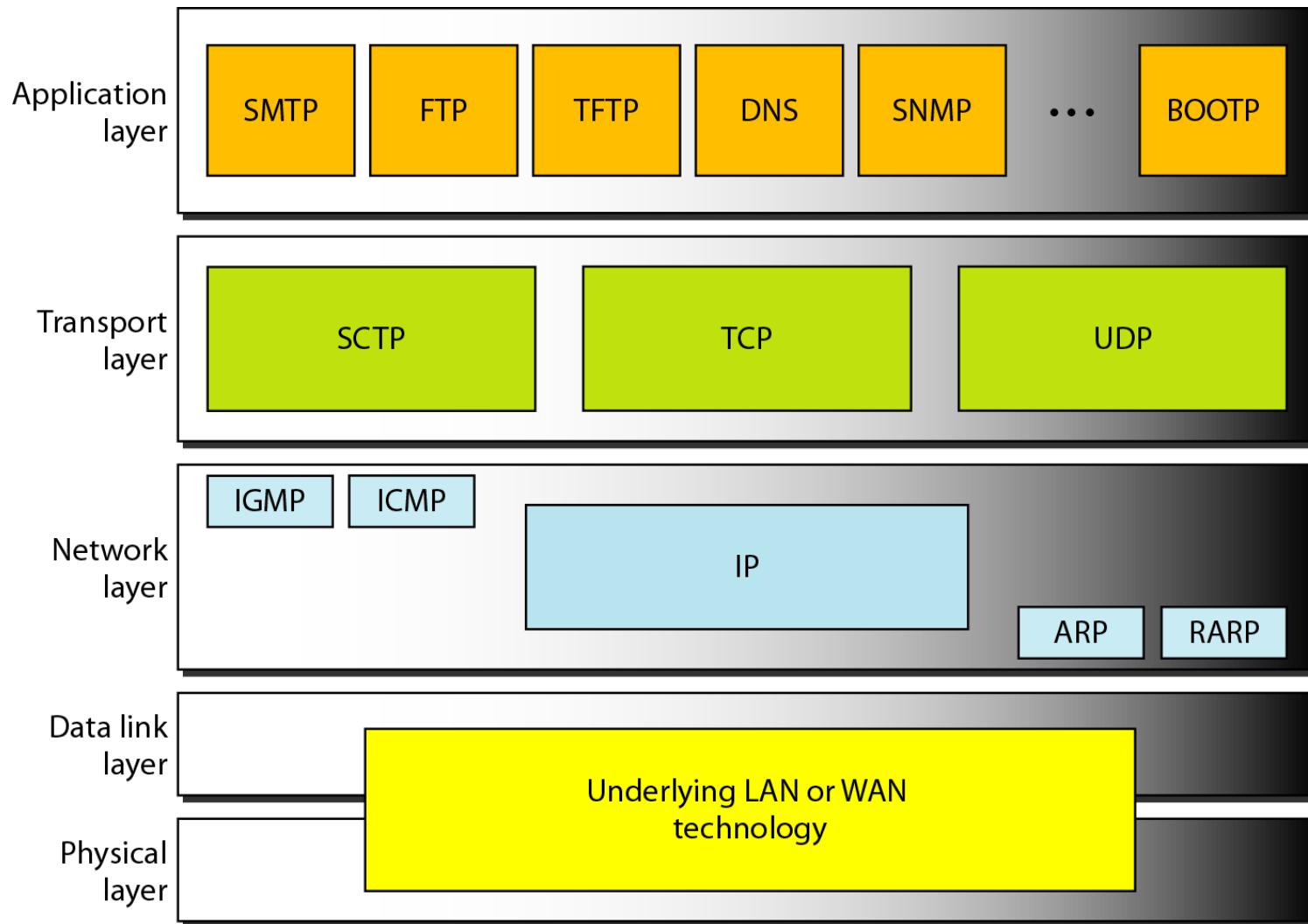
**Figure 23.6 Multiplexing and demultiplexing**



## Figure 23.7 Error control



**Figure 23.8 Position of UDP, TCP, and Stream Control TP in TCP/IP suite**



## 23-2 USER DATAGRAM PROTOCOL (UDP)

*The User Datagram Protocol (UDP) is called a connectionless, unreliable transport protocol. It does not add anything to the services of IP except to provide process-to-process communication instead of host-to-host communication.*

### **Topics discussed in this section:**

**Well-Known Ports for UDP**

**User Datagram**

**Checksum**

**UDP Operation**

**Use of UDP**

**Table 23.1** *Well-known ports used with UDP*

<i>Port</i>	<i>Protocol</i>	<i>Description</i>
7	Echo	Echoes a received datagram back to the sender
9	Discard	Discards any datagram that is received
11	Users	Active users
13	Daytime	Returns the date and the time
17	Quote	Returns a quote of the day
19	Chargen	Returns a string of characters
53	Nameserver	Domain Name Service
67	BOOTPs	Server port to download bootstrap information
68	BOOTPc	Client port to download bootstrap information
69	TFTP	Trivial File Transfer Protocol
111	RPC	Remote Procedure Call
123	NTP	Network Time Protocol
161	SNMP	Simple Network Management Protocol
162	SNMP	Simple Network Management Protocol (trap)

## *Example 23.1*

*In UNIX, the well-known ports are stored in a file called /etc/services. Each line in this file gives the name of the server and the well-known port number. We can use the grep utility to extract the line corresponding to the desired application. The following shows the port for FTP. Note that FTP can use port 21 with either UDP or TCP.*

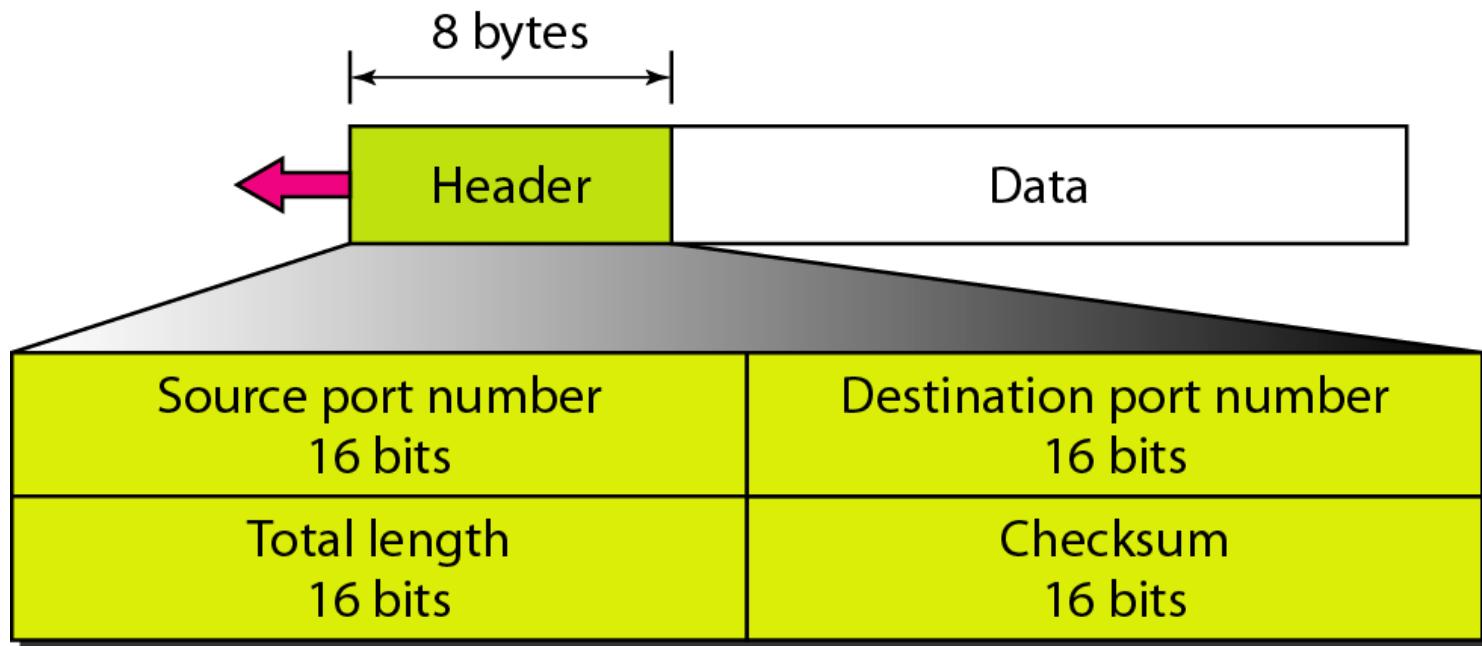
```
$ grep ftp /etc/services
ftp          21/tcp
ftp          21/udp
```

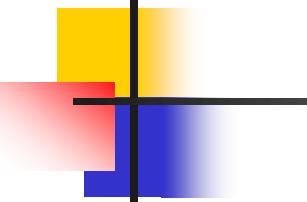
## *Example 23.1 (continued)*

*SNMP uses two port numbers (161 and 162), each for a different purpose.*

```
$ grep snmp /etc/services
snmp          161/tcp      #Simple Net Mgmt Proto
snmp          161/udp      #Simple Net Mgmt Proto
snmptrap     162/udp      #Traps for SNMP
```

**Figure 23.9** *User datagram format*





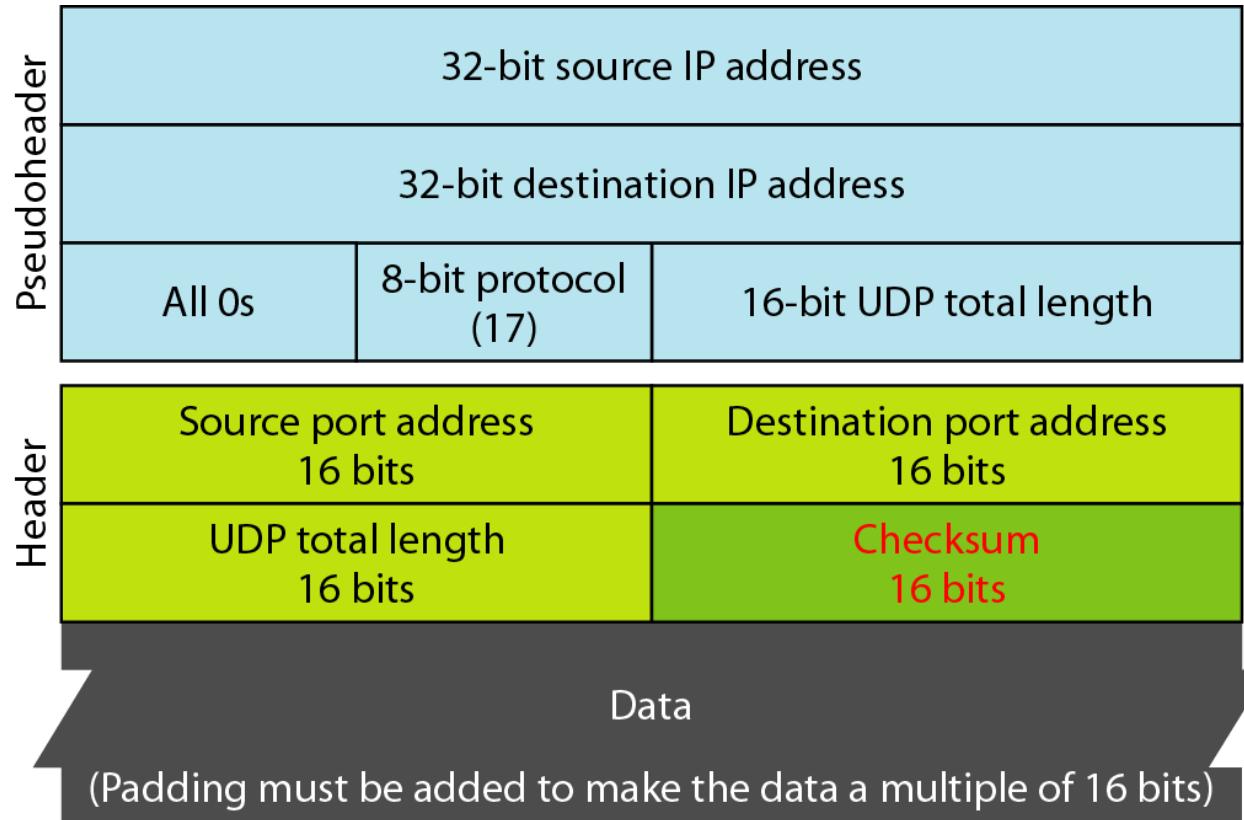
*Note*

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**UDP length  
= IP length – IP header's length**

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**Figure 23.10 Pseudoheader for checksum calculation**



## *Example 23.2*

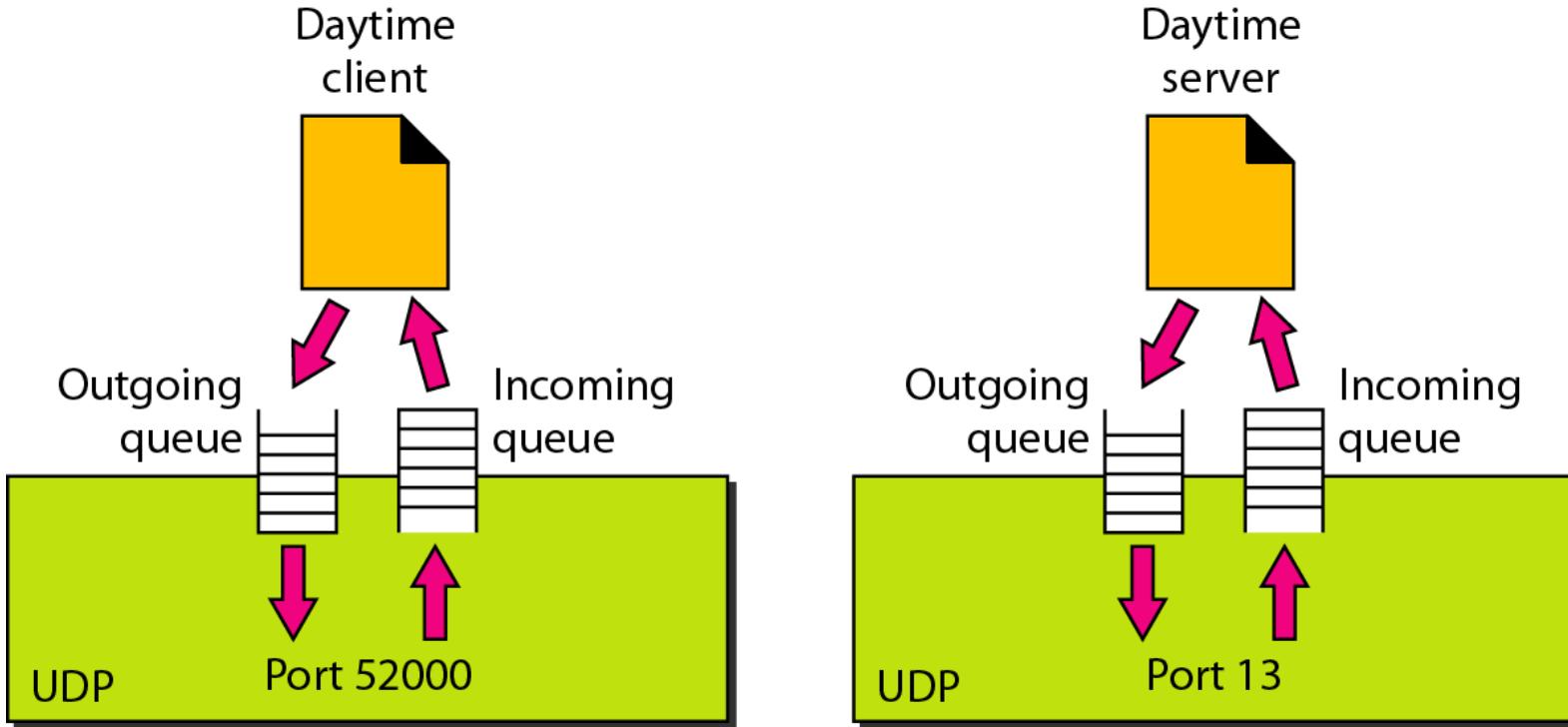
*Figure 23.11 shows the checksum calculation for a very small user datagram with only 7 bytes of data. Because the number of bytes of data is odd, padding is added for checksum calculation. The pseudoheader as well as the padding will be dropped when the user datagram is delivered to IP.*

**Figure 23.11 Checksum calculation of a simple UDP user datagram**

153.18.8.105		
171.2.14.10		
All 0s	17	15
1087		13
15		All 0s
T	E	S
I	N	G
All 0s		

10011001 00010010	→	153.18
00001000 01101001	→	8.105
10101011 00000010	→	171.2
00001110 00001010	→	14.10
00000000 00010001	→	0 and 17
00000000 00001111	→	15
00000100 00111111	→	1087
00000000 00001101	→	13
00000000 00001111	→	15
00000000 00000000	→	0 (checksum)
01010100 01000101	→	T and E
01010011 01010100	→	S and T
01001001 01001110	→	I and N
01000111 00000000	→	G and 0 (padding)
<hr/>		
10010110 11101011	→	Sum
01101001 00010100	→	Checksum

**Figure 23.12 Queues in UDP**



## 23-3 TCP

*TCP is a connection-oriented protocol; it creates a virtual connection between two TCPs to send data. In addition, TCP uses flow and error control mechanisms at the transport level.*

### **Topics discussed in this section:**

**TCP Services**

**TCP Features**

**Segment**

**A TCP Connection**

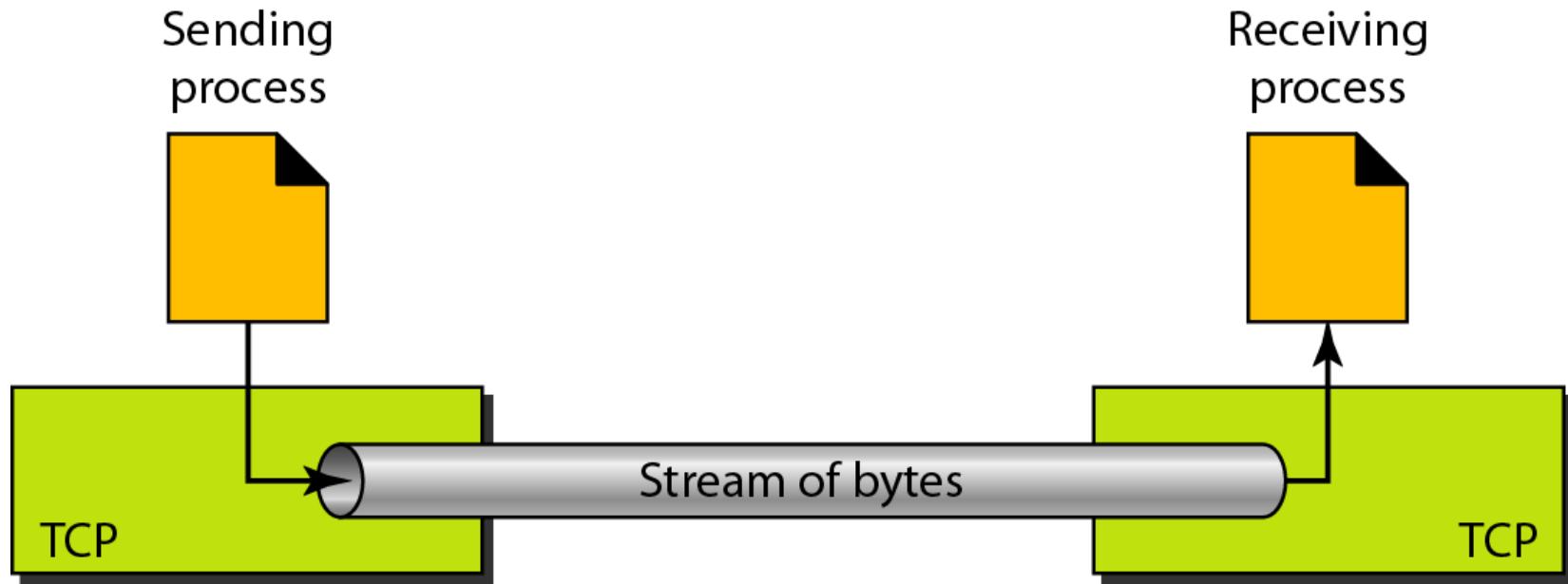
**Flow Control**

**Error Control**

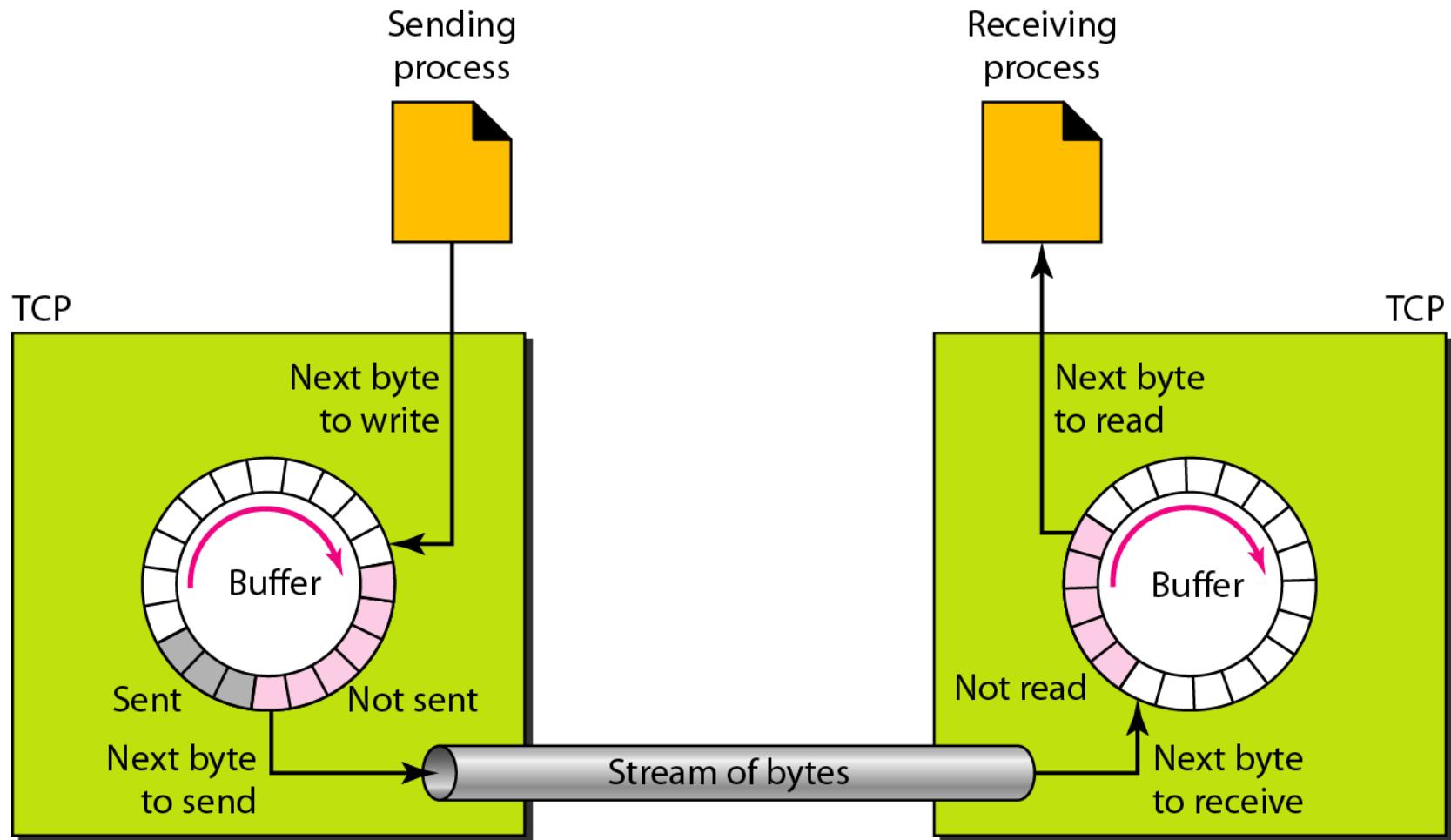
**Table 23.2** *Well-known ports used by TCP*

Port	Protocol	Description
7	Echo	Echoes a received datagram back to the sender
9	Discard	Discards any datagram that is received
11	Users	Active users
13	Daytime	Returns the date and the time
17	Quote	Returns a quote of the day
19	Chargen	Returns a string of characters
20	FTP, Data	File Transfer Protocol (data connection)
21	FTP, Control	File Transfer Protocol (control connection)
23	TELNET	Terminal Network
25	SMTP	Simple Mail Transfer Protocol
53	DNS	Domain Name Server
67	BOOTP	Bootstrap Protocol
79	Finger	Finger
80	HTTP	Hypertext Transfer Protocol
111	RPC	Remote Procedure Call

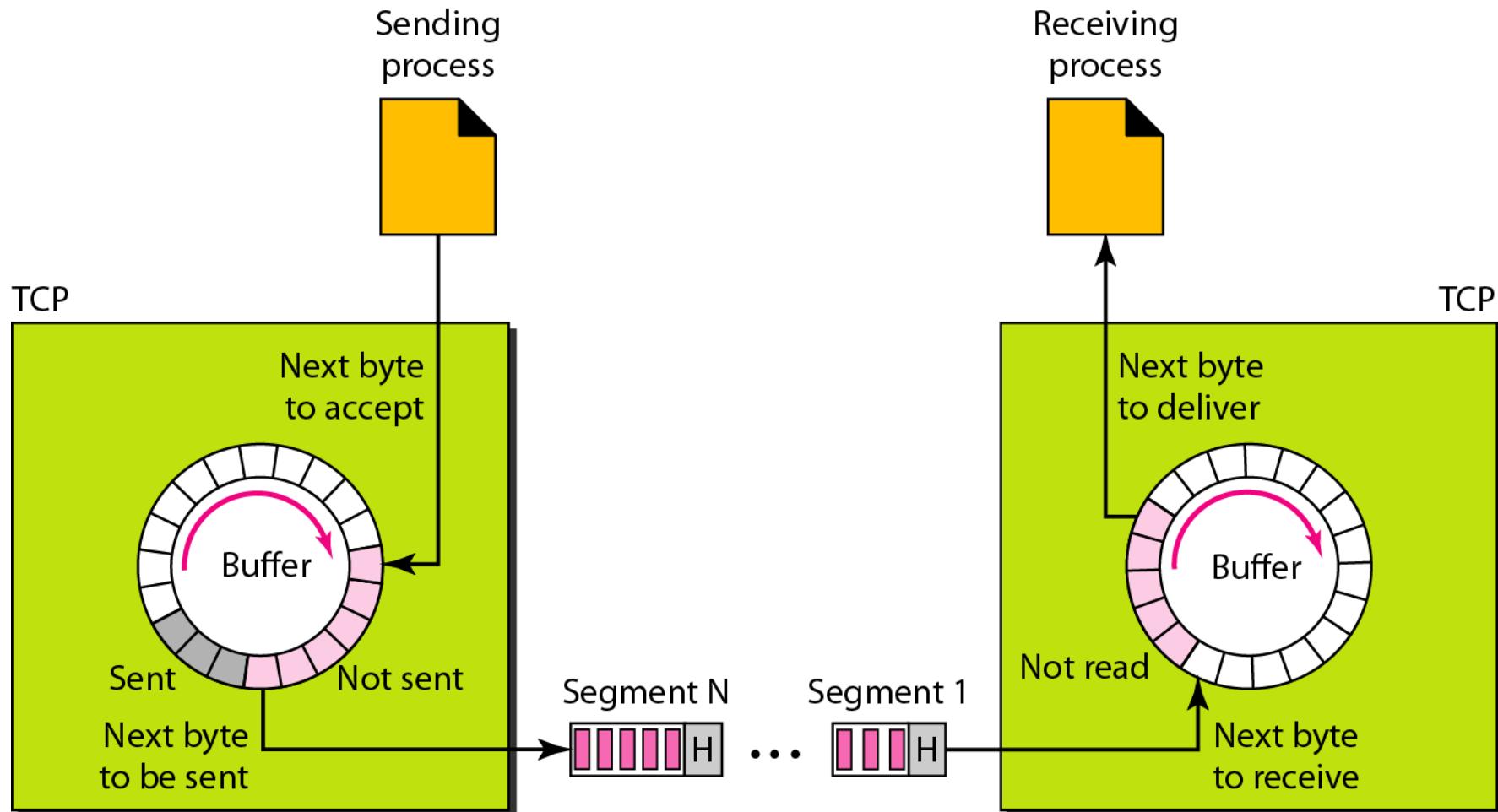
**Figure 23.13 Stream delivery**

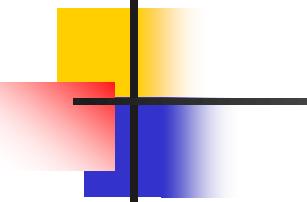


**Figure 23.14** *Sending and receiving buffers*



**Figure 23.15 TCP segments**





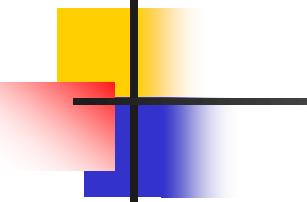
## **Note**

**The bytes of data being transferred in each connection are numbered by TCP. The numbering starts with a randomly generated number.**

## *Example 23.3*

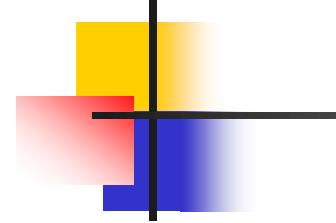
*The following shows the sequence number for each segment:*

Segment 1	➡	Sequence Number: 10,001 (range: 10,001 to 11,000)
Segment 2	➡	Sequence Number: 11,001 (range: 11,001 to 12,000)
Segment 3	➡	Sequence Number: 12,001 (range: 12,001 to 13,000)
Segment 4	➡	Sequence Number: 13,001 (range: 13,001 to 14,000)
Segment 5	➡	Sequence Number: 14,001 (range: 14,001 to 15,000)



## **Note**

**The value in the sequence number field  
of a segment defines the  
number of the first data byte  
contained in that segment.**

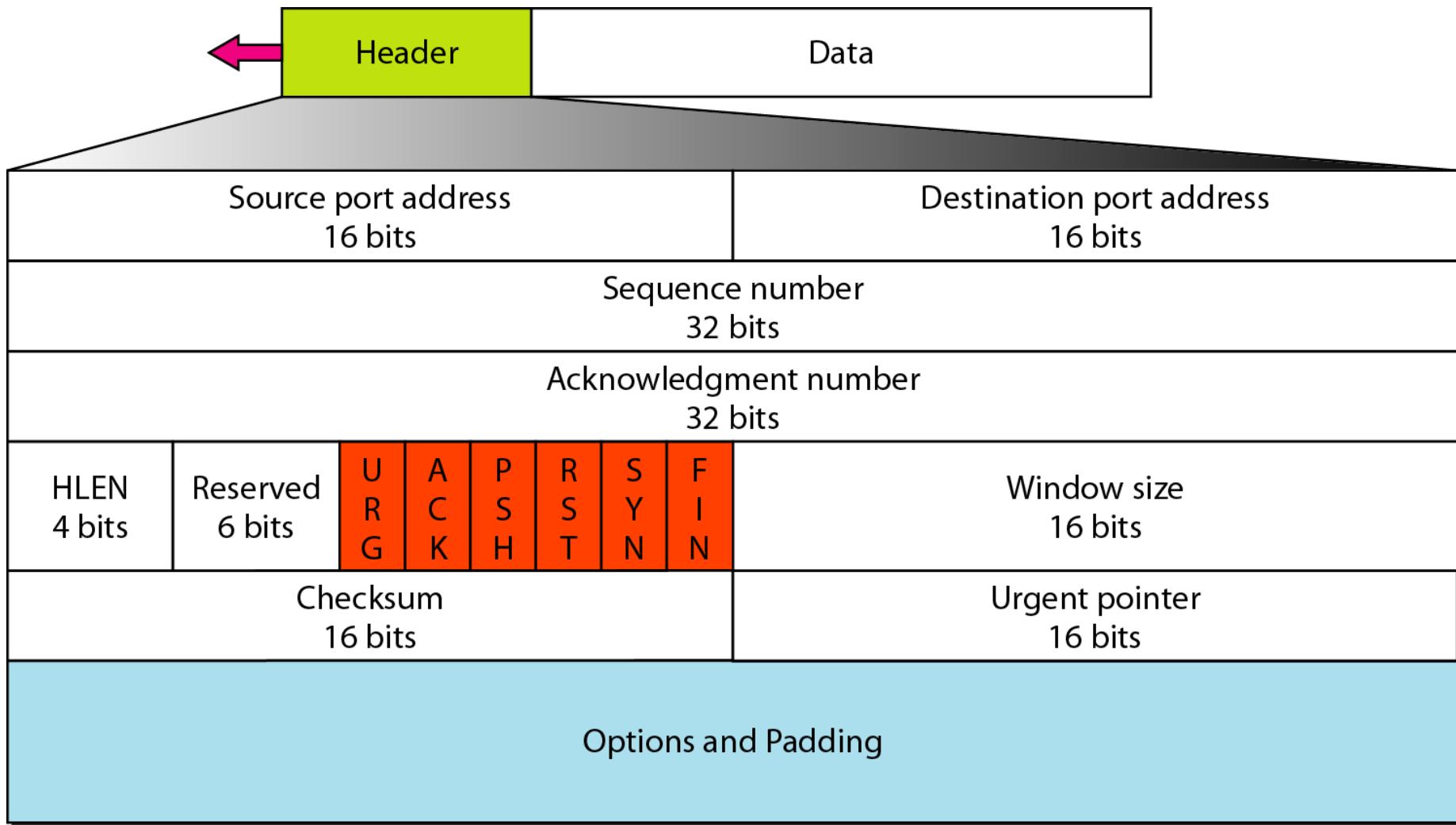


## **Note**

**The value of the acknowledgment field in a segment defines the number of the next byte a party expects to receive.**

**The acknowledgment number is cumulative.**

**Figure 23.16 TCP segment format**



## Figure 23.17 Control field

URG: Urgent pointer is valid

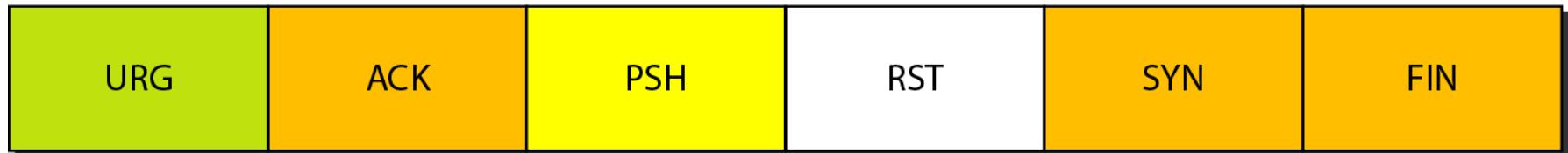
ACK: Acknowledgment is valid

PSH: Request for push

RST: Reset the connection

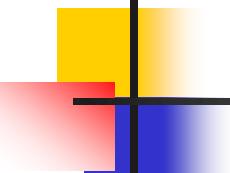
SYN: Synchronize sequence numbers

FIN: Terminate the connection



**Table 23.3** *Description of flags in the control field*

<i>Flag</i>	<i>Description</i>
URG	The value of the urgent pointer field is valid.
ACK	The value of the acknowledgment field is valid.
PSH	Push the data.
RST	Reset the connection.
SYN	Synchronize sequence numbers during connection.
FIN	Terminate the connection.



## *Example 23.2.4*

*The following is a dump of a TCP header in hexadecimal format*

*05320017 00000001 00000000 500207FF 00000000*

*What is the source port number?*

*What is the destination port number?*

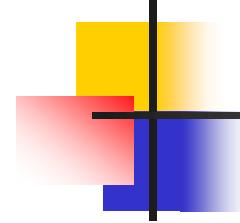
*What is sequence number?*

*What is the acknowledgment number?*

*What is the length of the header?*

*What is the type of the segment?*

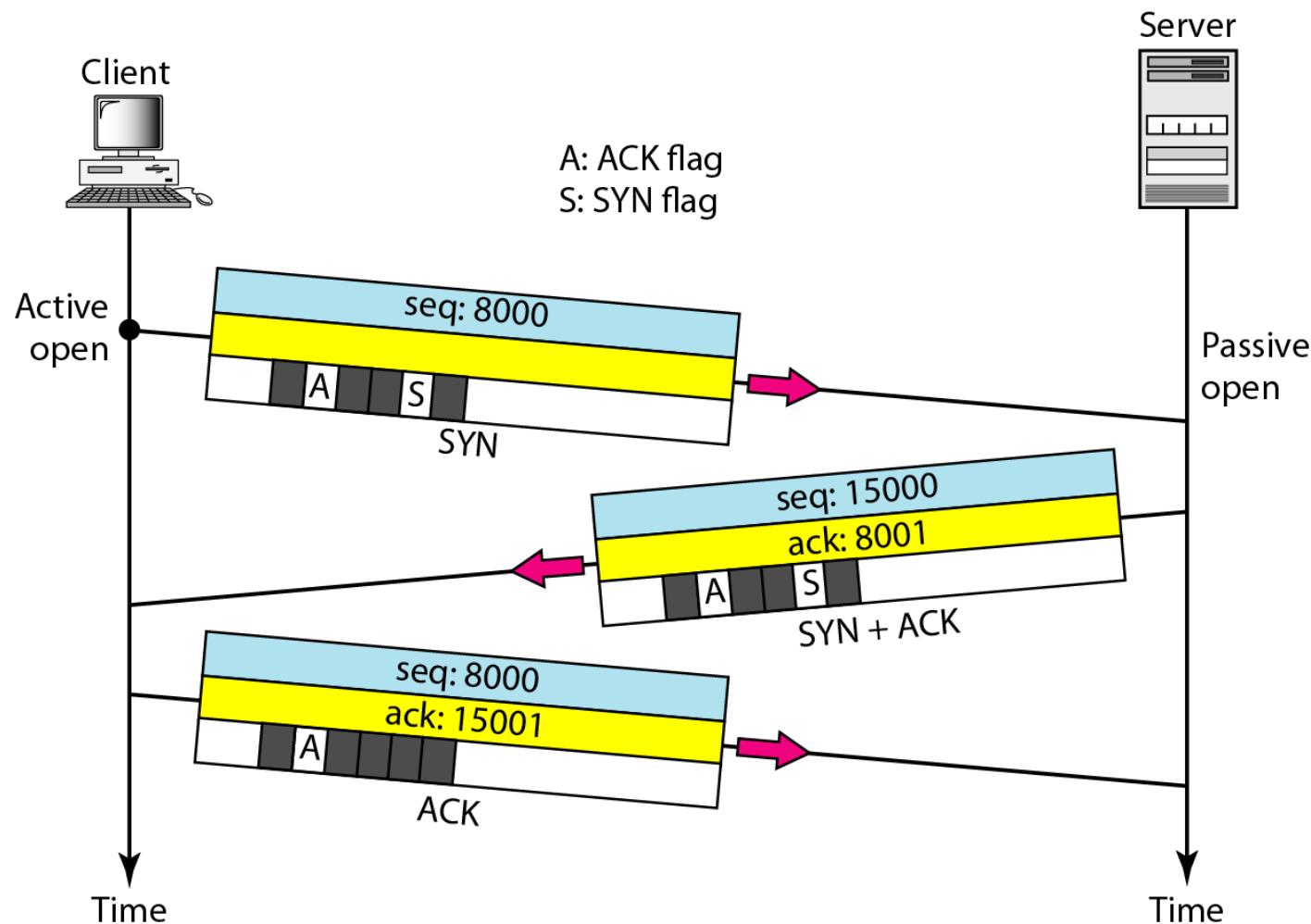
*What is the window size?*

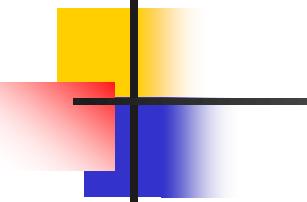


## *Example 23.2.5*

*To make the initial sequence number a random number, most systems start the counter at 1 and increase the counter by 64000 every 0.5s, how long does it take for the counter to wrap around?*

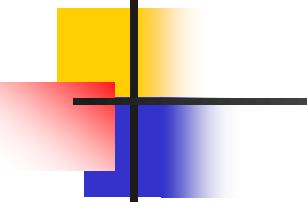
**Figure 23.18** Connection establishment using three-way handshaking





## *Note*

**A SYN segment cannot carry data, but it consumes one sequence number.**

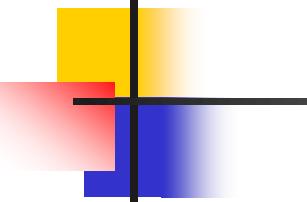


## *Note*

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**A SYN + ACK segment cannot carry data, but does consume one sequence number.**

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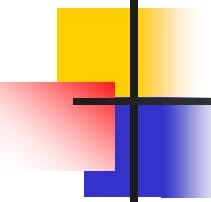


## *Note*

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**An ACK segment, if carrying no data,  
consumes no sequence number.**

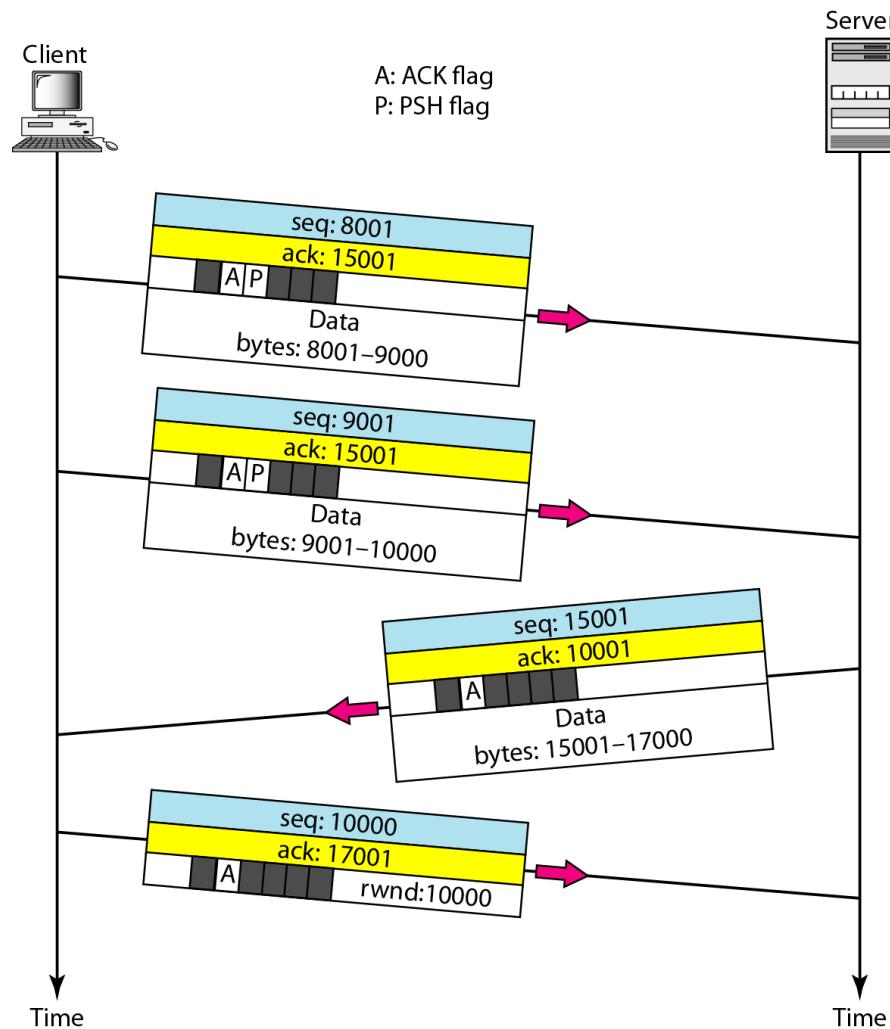
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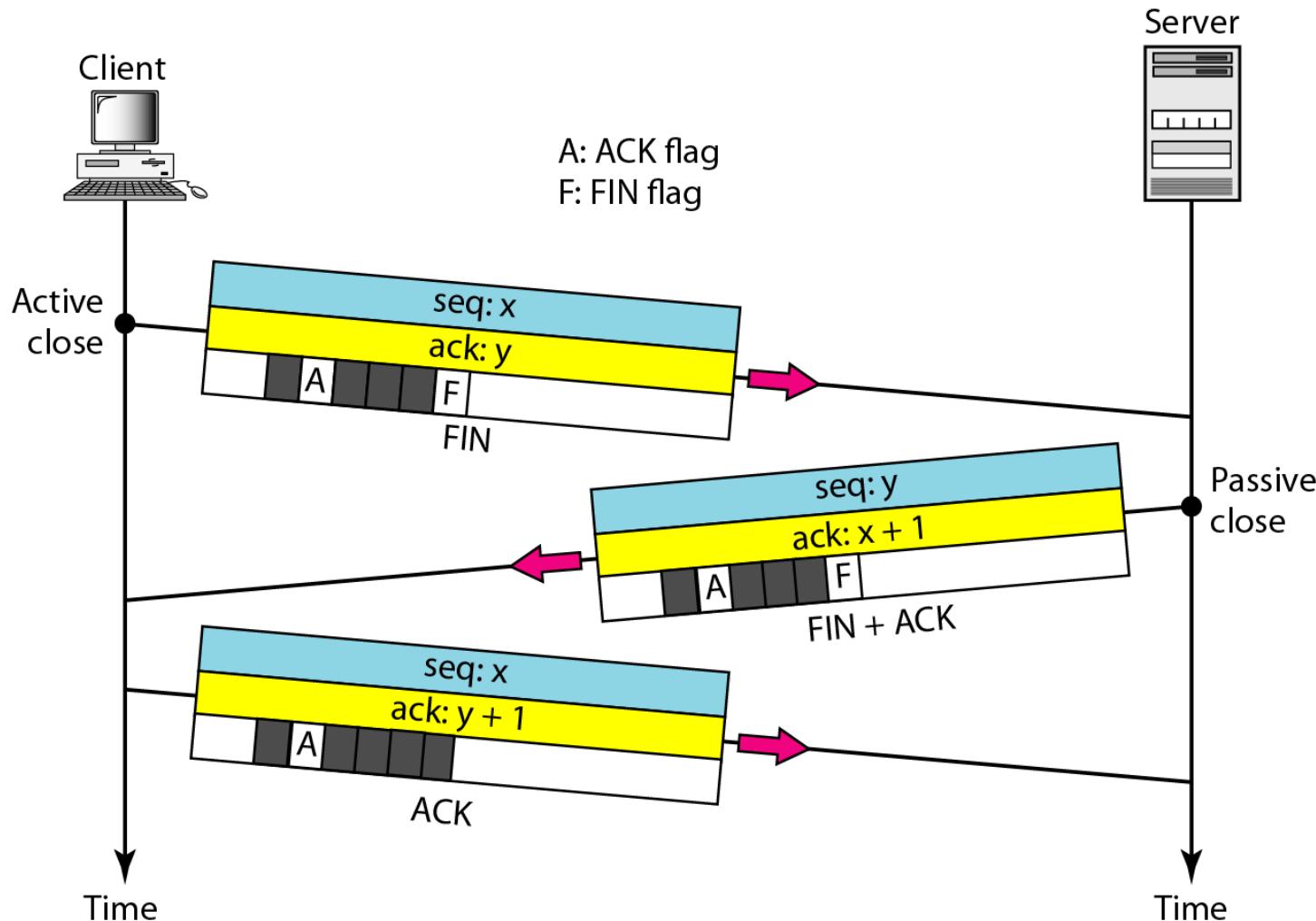
## *Example 23.2.6*

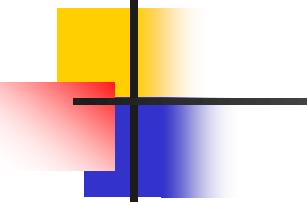
*TCP opens a connection using an initial sequence number (ISN) of 14534. The other party opens the connection with an ISN of 21732. Show the three TCP segment during the connection establishment.*

## Figure 23.19 Data transfer



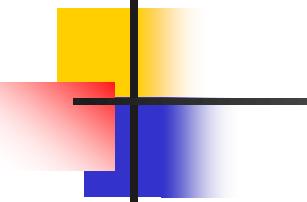
**Figure 23.20** Connection termination using three-way handshaking





## *Note*

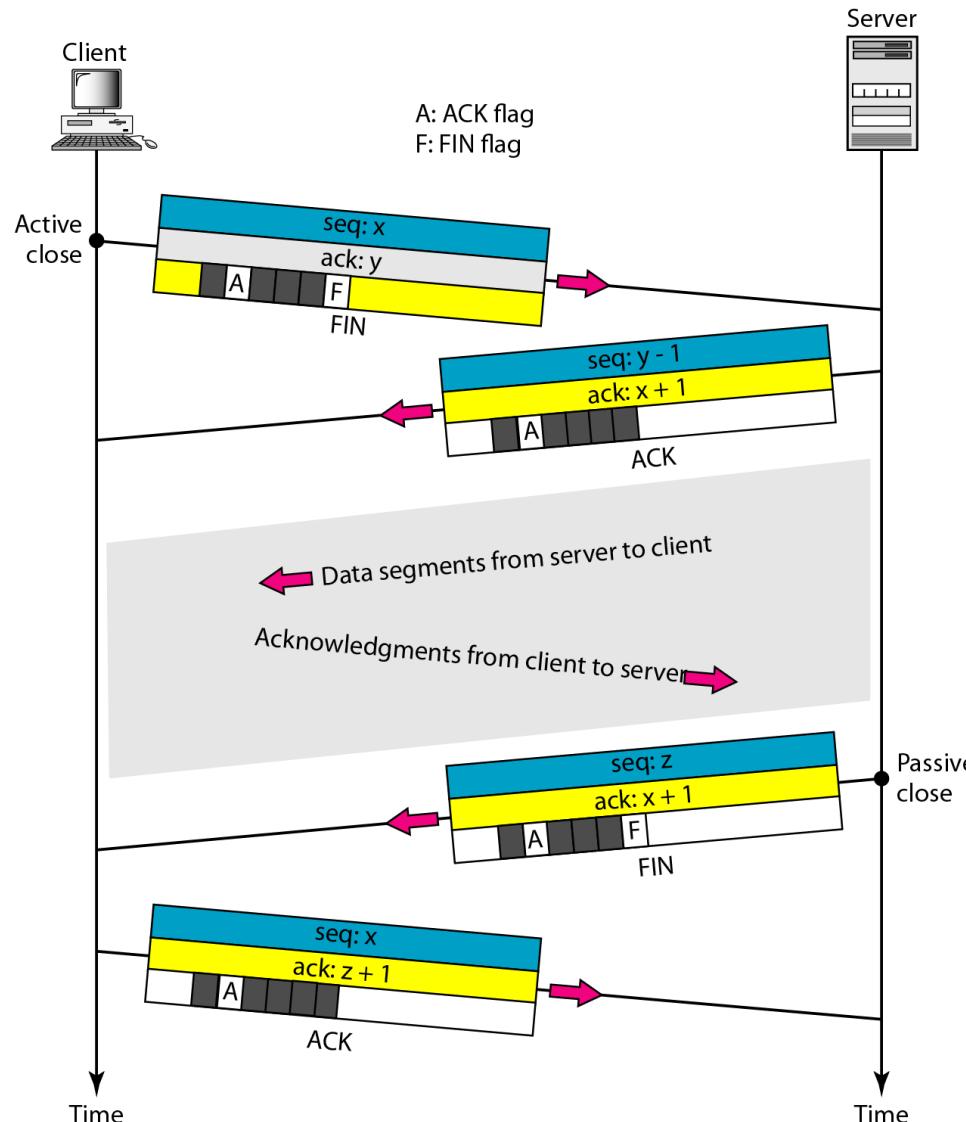
**The FIN segment consumes one sequence number if it does not carry data.**



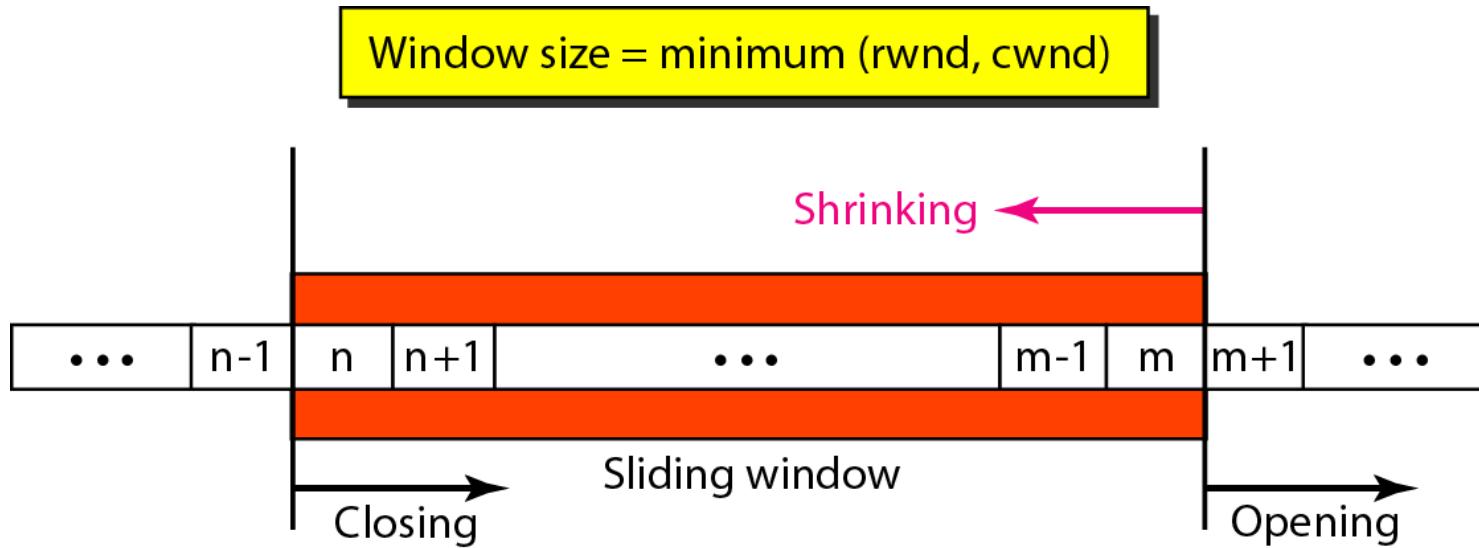
## *Note*

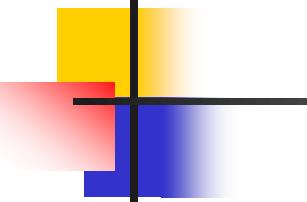
**The FIN + ACK segment consumes  
one sequence number if it  
does not carry data.**

## Figure 23.21 Half-close



**Figure 23.22 Sliding window**

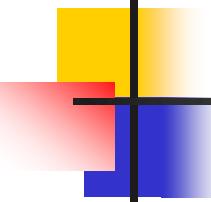




## **Note**

**A sliding window is used to make transmission more efficient as well as to control the flow of data so that the destination does not become overwhelmed with data.**

**TCP sliding windows are byte-oriented.**

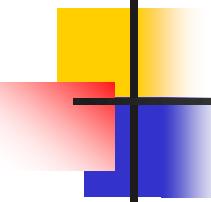


## *Example 23.4*

*What is the value of the receiver window (rwnd) for host A if the receiver, host B, has a buffer size of 5000 bytes and 1000 bytes of received and unprocessed data?*

### *Solution*

*The value of rwnd = 5000 – 1000 = 4000. Host B can receive only 4000 bytes of data before overflowing its buffer. Host B advertises this value in its next segment to A.*



## *Example 23.5*

*What is the size of the window for host A if the value of rwnd is 3000 bytes and the value of cwnd is 3500 bytes?*

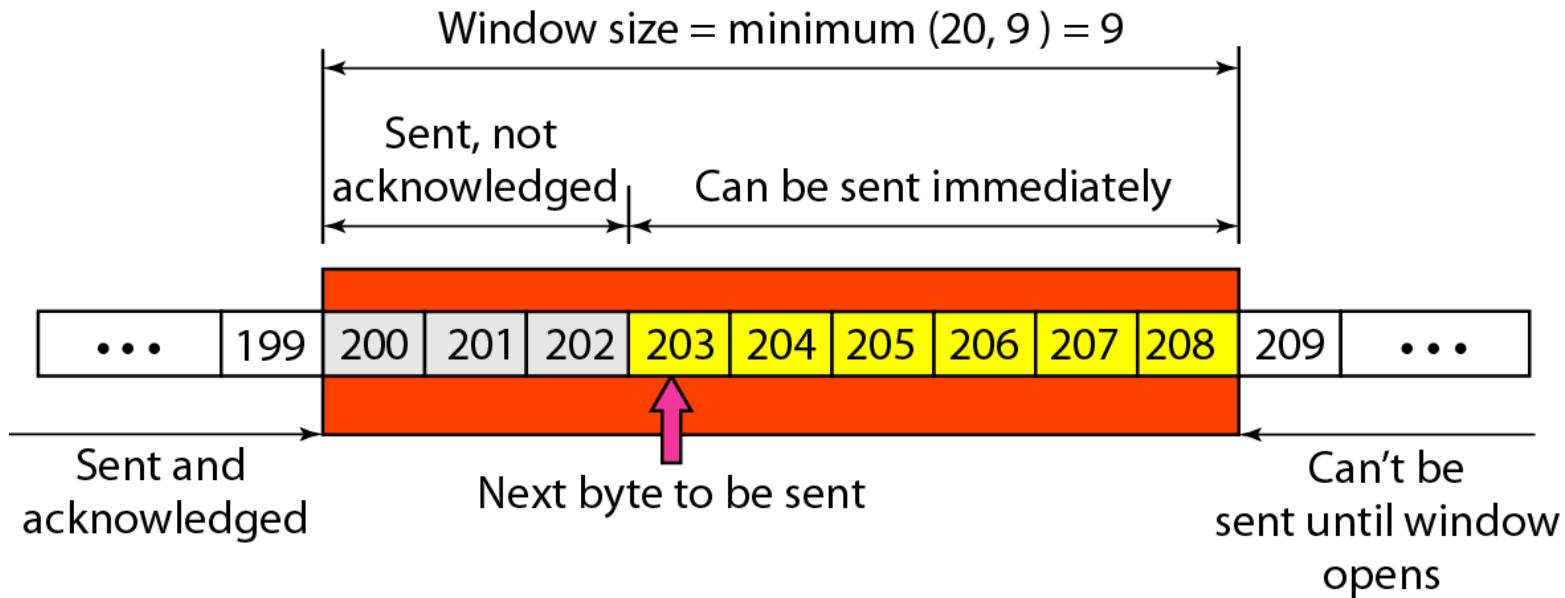
### *Solution*

*The size of the window is the smaller of rwnd and cwnd, which is 3000 bytes.*

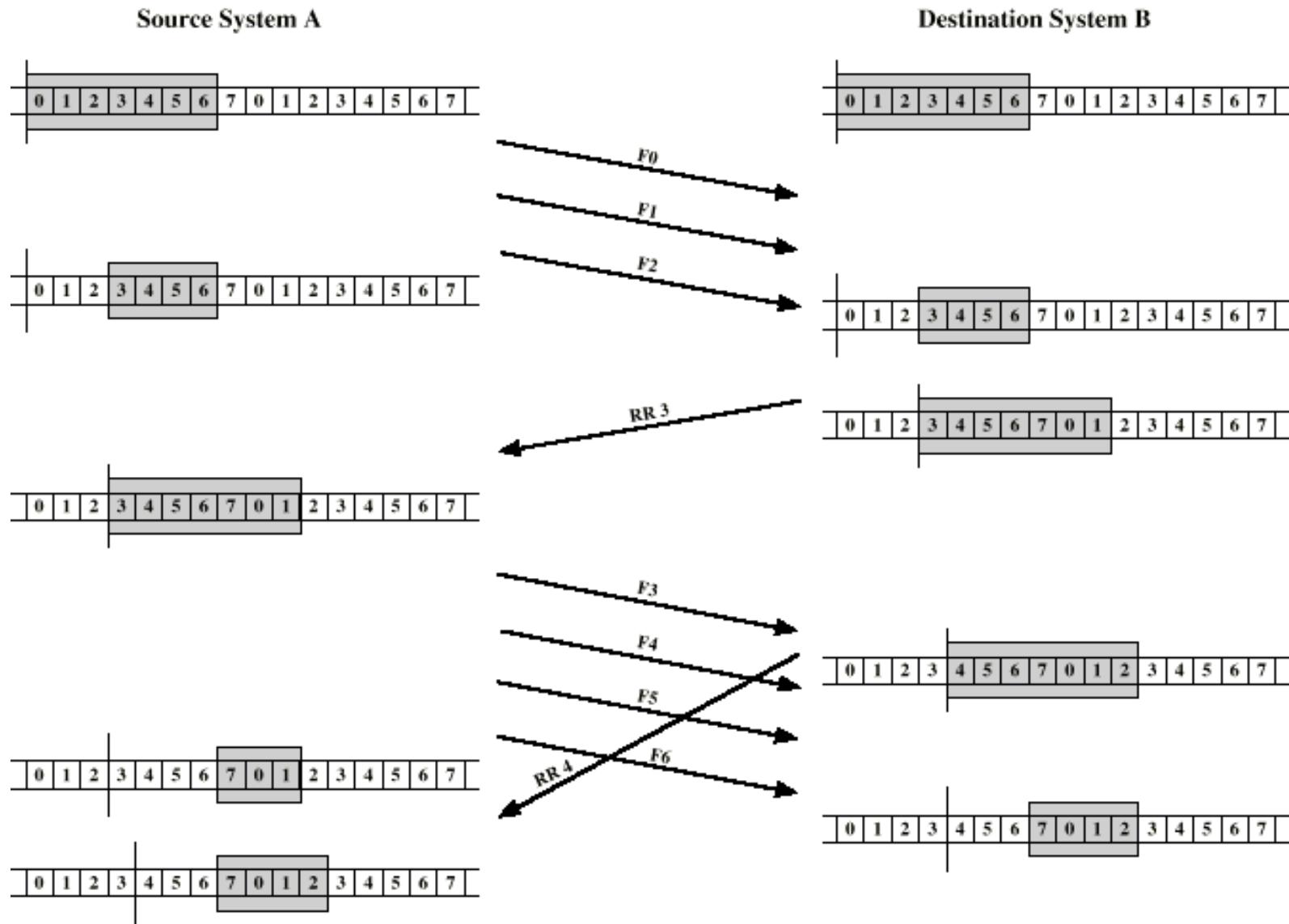
## *Example 23.6*

*Figure 23.23 shows an unrealistic example of a sliding window. The sender has sent bytes up to 202. We assume that cwnd is 20 (in reality this value is thousands of bytes). The receiver has sent an acknowledgment number of 200 with an rwnd of 9 bytes (in reality this value is thousands of bytes). The size of the sender window is the minimum of rwnd and cwnd, or 9 bytes. Bytes 200 to 202 are sent, but not acknowledged. Bytes 203 to 208 can be sent without worrying about acknowledgment. Bytes 209 and above cannot be sent.*

**Figure 23.23 Example 23.6**



# Example Sliding Window

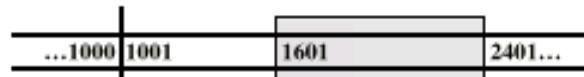


# Credit Allocation

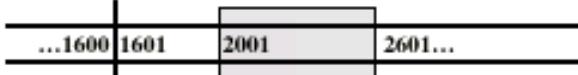
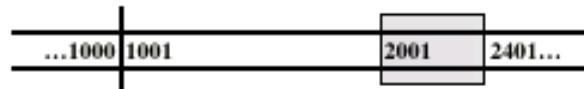
Transport Entity A



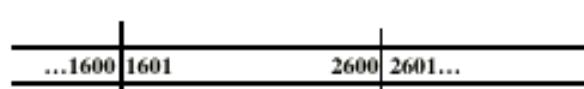
A may send 1400 octets



A shrinks its transmit window with each transmission



A adjusts its window with each credit



A exhausts its credit

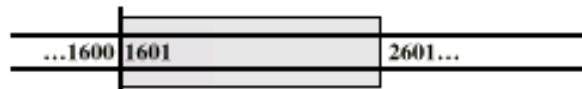


A receives new credit

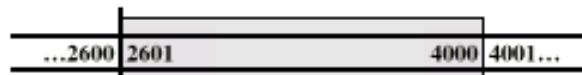
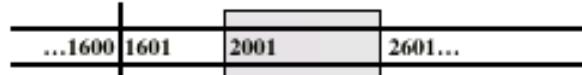
Transport Entity B



B is prepared to receive 1400 octets, beginning with 1001



B acknowledges 3 segments (600 octets), but is only prepared to receive 200 additional octets beyond the original budget (i.e., B will accept octets 1601 through 2600)



B acknowledges 5 segments (1000 octets) and restores the original amount of credit

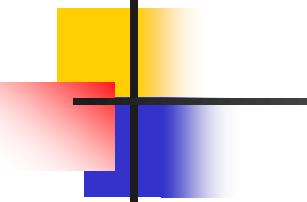
## *Example 24*

*A TCP connection is using a window size of 10,000 bytes, and the previous acknowledgement number was 22,001. It receives a segment with acknowledgment number 24,001 and window size advertisement of 12,000. Draw a diagram to show the situation of the window before and after.*

## *Example 25*

*A window holds bytes 2001 and 5000. The next byte to be sent is 3001. Draw a figure to show the situation of the window after the following two events:*

- 1.An ACK segment with the acknowledgement number 25,000 and window size advertisement 4,000 is received.*
- 2.A segment carrying 1000 bytes is sent.*



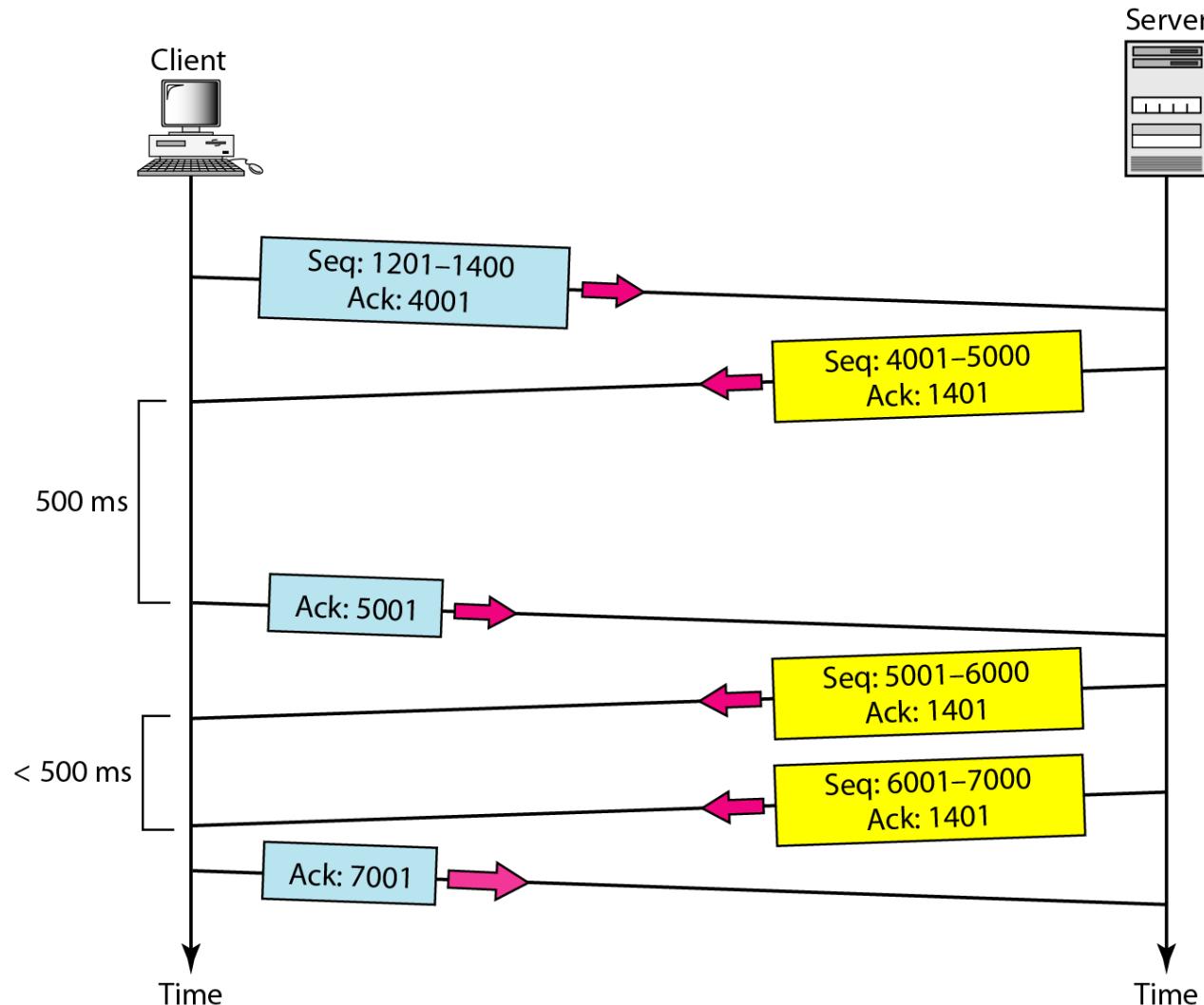
## **Note**

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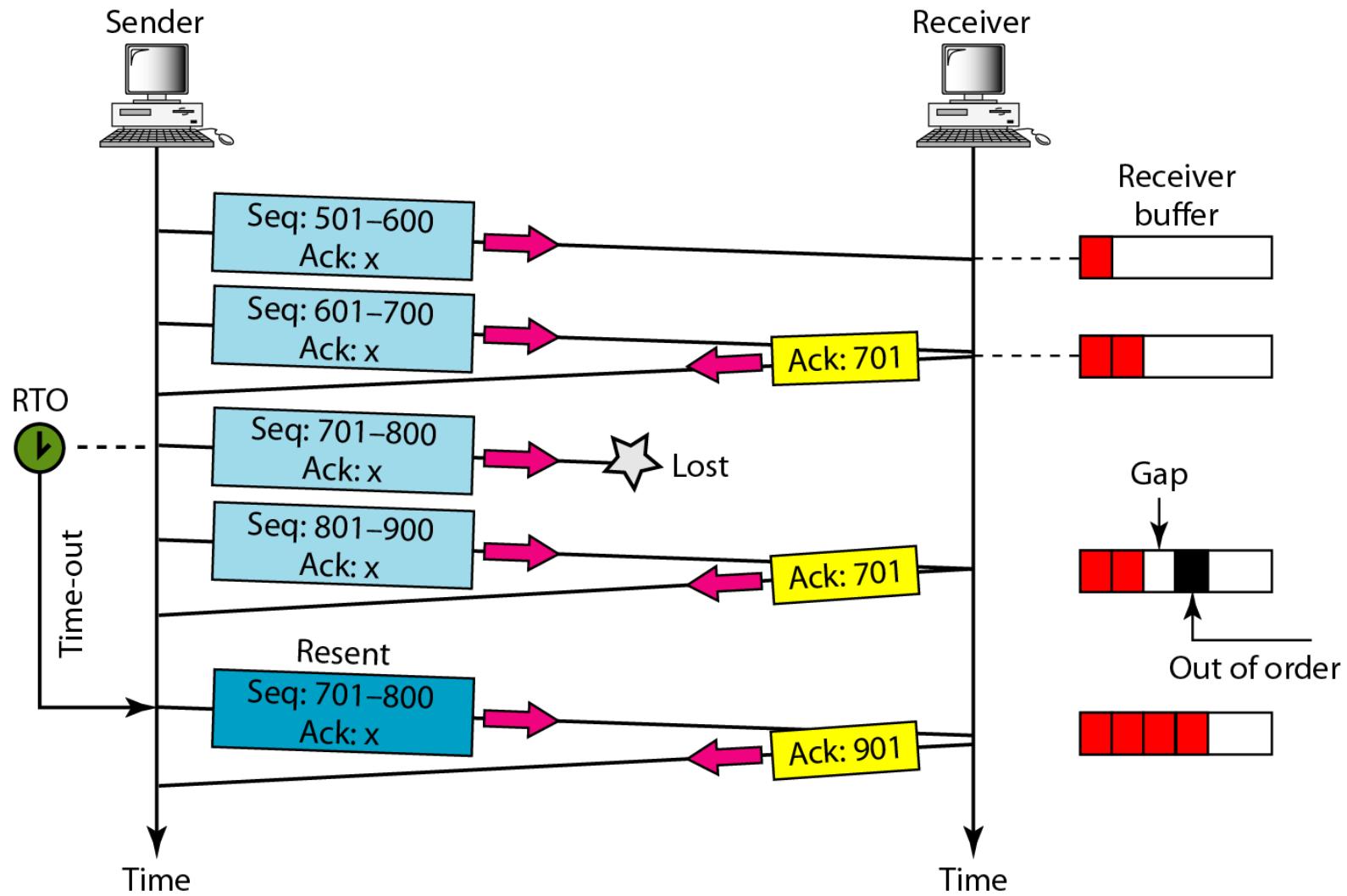
**In modern implementations, a retransmission occurs if the retransmission timer expires or three duplicate ACK segments have arrived.**

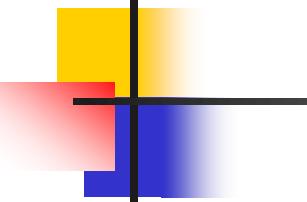
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**Figure 23.24** Normal operation



**Figure 23.25 Lost segment**

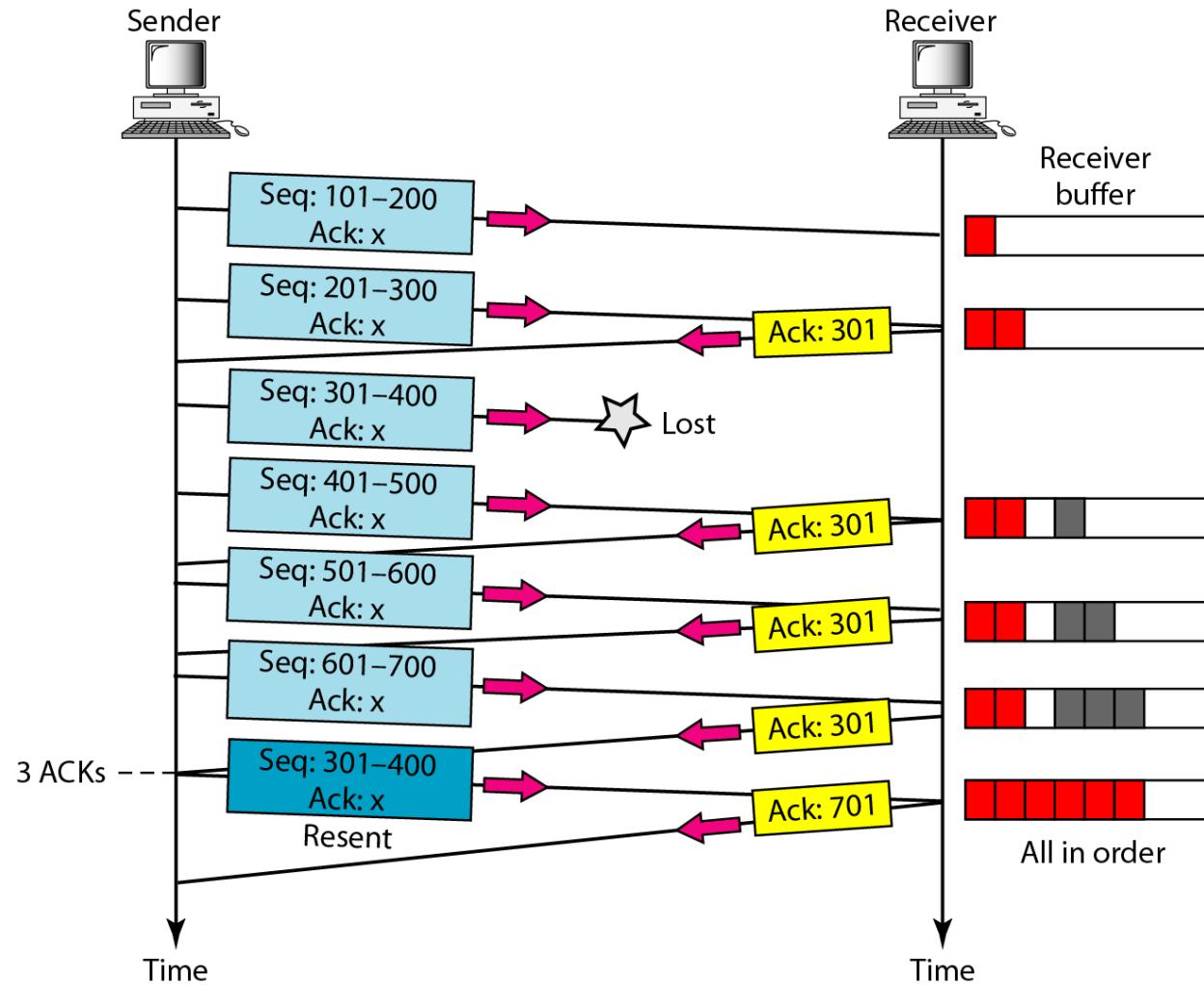




## *Note*

**The receiver TCP delivers only ordered data to the process.**

**Figure 23.26** *Fast retransmission*



## 23-4 SCTP

*Stream Control Transmission Protocol (SCTP) is a new reliable, message-oriented transport layer protocol. SCTP, however, is mostly designed for Internet applications that have recently been introduced. These new applications need a more sophisticated service than TCP can provide.*

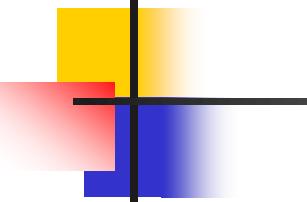
### **Topics discussed in this section:**

**SCTP Services and Features**

**Packet Format**

**An SCTP Association**

**Flow Control and Error Control**



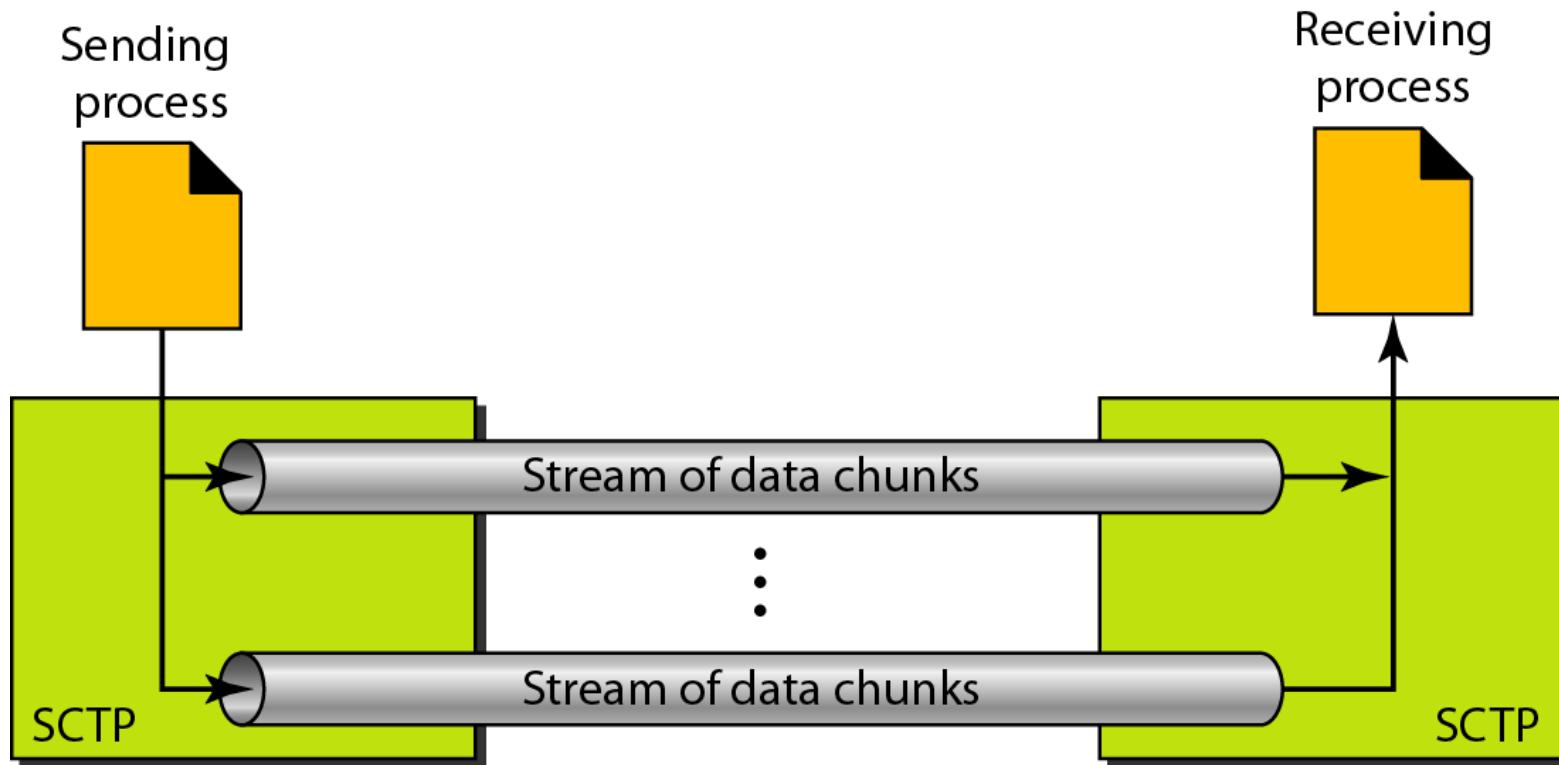
## *Note*

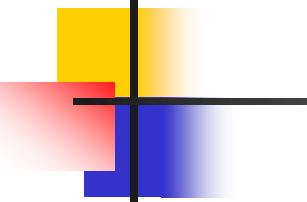
**SCTP is a message-oriented, reliable protocol that combines the best features of UDP and TCP.**

**Table 23.4 Some SCTP applications**

<i>Protocol</i>	<i>Port Number</i>	<i>Description</i>
IUA	9990	ISDN over IP
M2UA	2904	SS7 telephony signaling
M3UA	2905	SS7 telephony signaling
H.248	2945	Media gateway control
H.323	1718, 1719, 1720, 11720	IP telephony
SIP	5060	IP telephony

**Figure 23.27** *Multiple-stream concept*





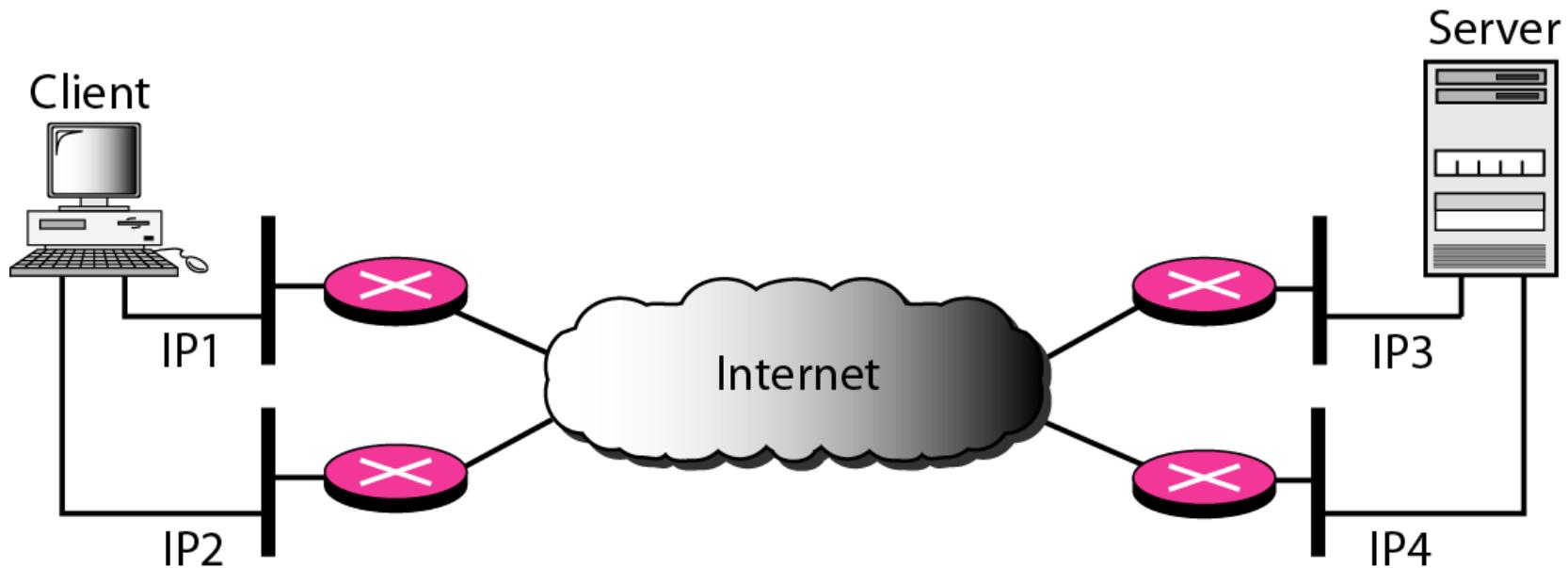
*Note*

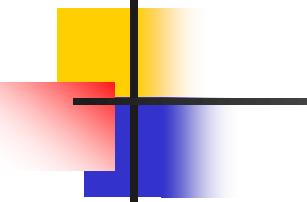
---

**An association in SCTP can involve multiple streams.**

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**Figure 23.28** *Multihoming concept*



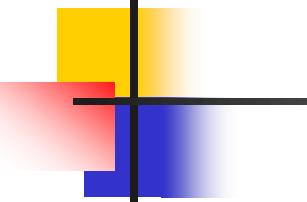


*Note*

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**SCTP association allows multiple IP addresses for each end.**

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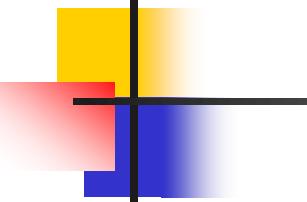


## *Note*

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**In SCTP, a data chunk is numbered using a TSN.**

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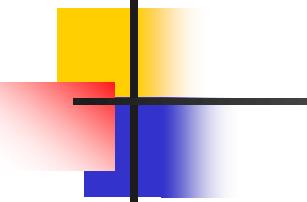


**Note**

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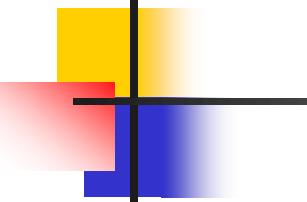
**To distinguish between different streams, SCTP uses an SI.**

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## *Note*

**To distinguish between different data chunks belonging to the same stream, SCTP uses SSNs.**



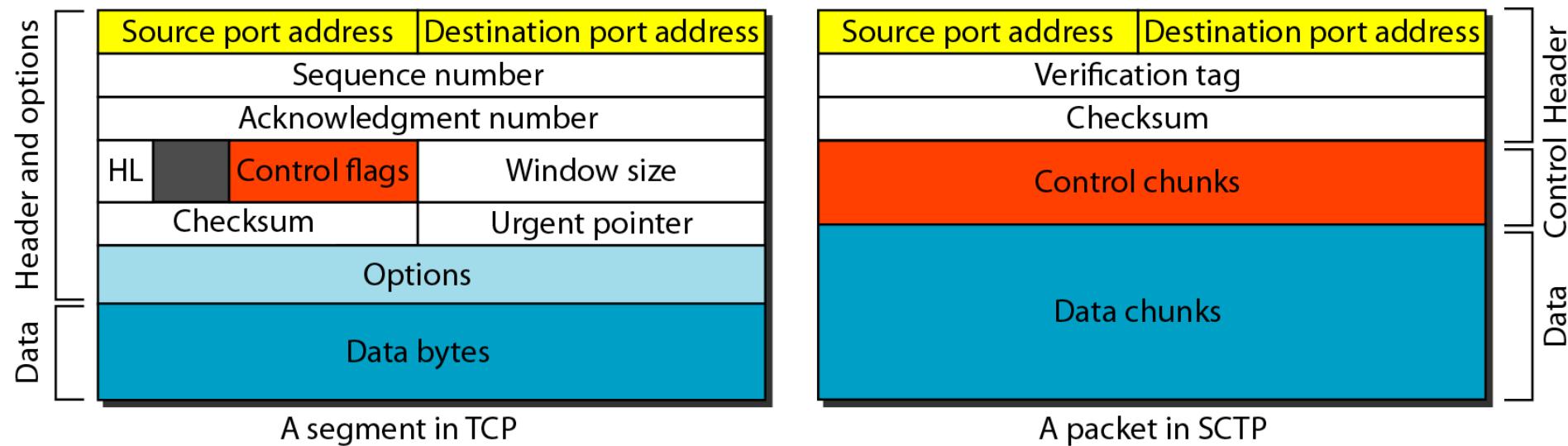
*Note*

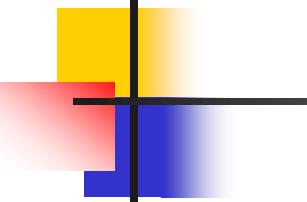
---

**TCP has segments; SCTP has packets.**

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**Figure 23.29 Comparison between a TCP segment and an SCTP packet**

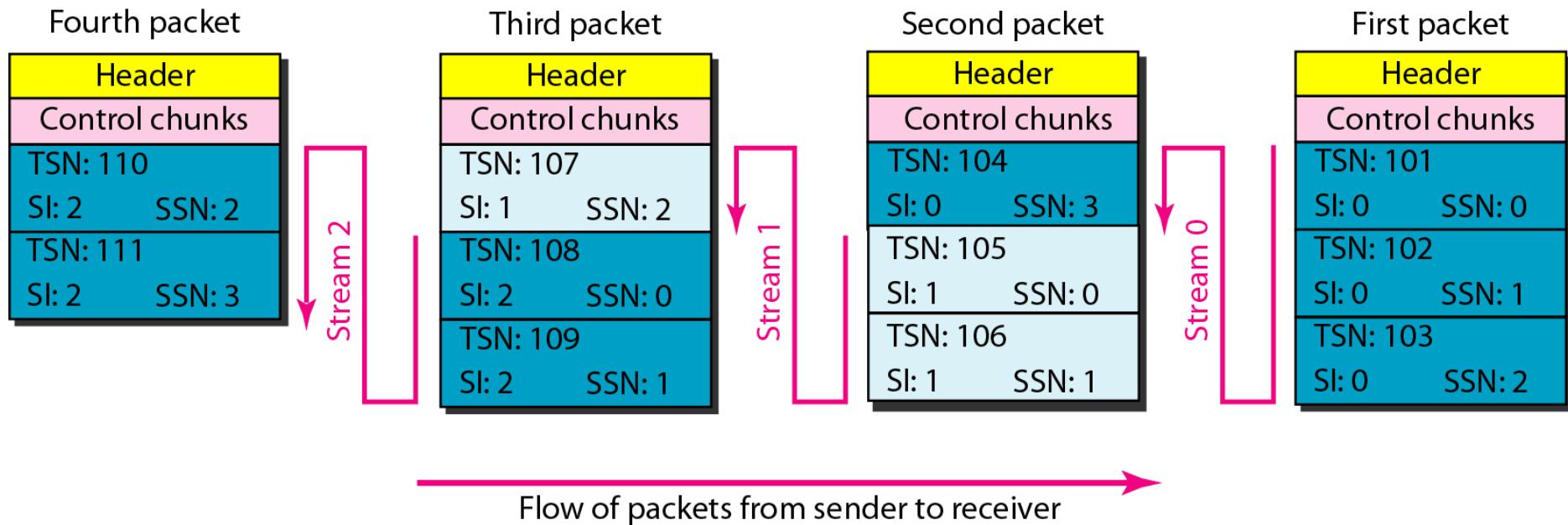


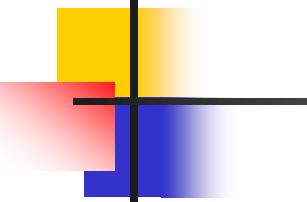


## *Note*

**In SCTP, control information and data information are carried in separate chunks.**

**Figure 23.30** *Packet, data chunks, and streams*

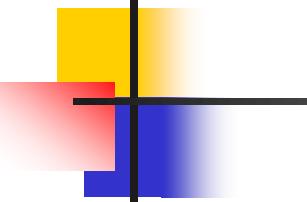




## **Note**

**Data chunks are identified by three items: TSN, SI, and SSN.**

**TSN is a cumulative number identifying the association; SI defines the stream; SSN defines the chunk in a stream.**

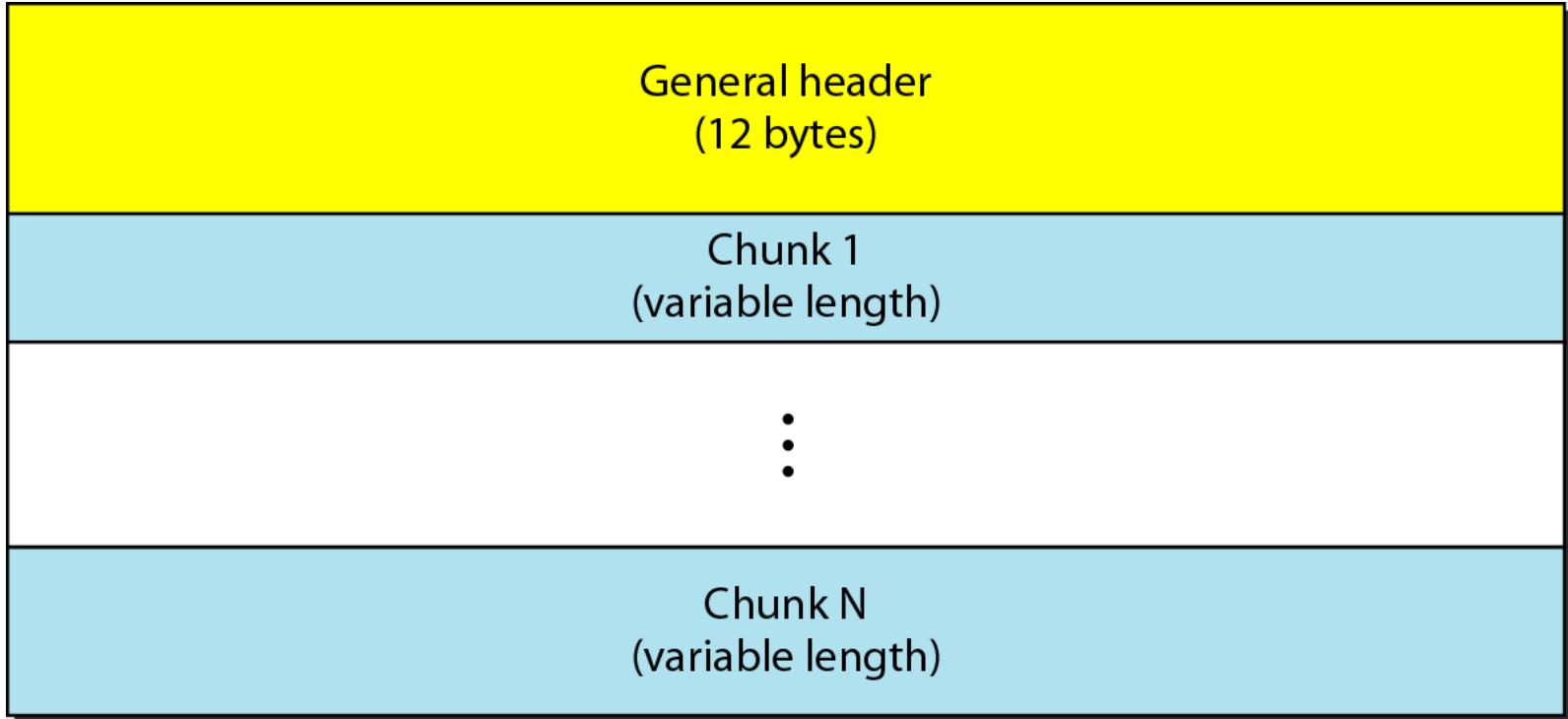


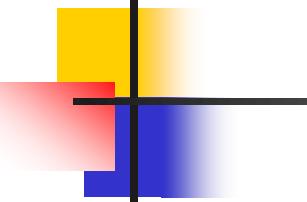
## *Note*

**In SCTP, acknowledgment numbers are used to acknowledge only data chunks; control chunks are acknowledged by other control chunks if necessary.**

**Figure 23.31** *SCTP packet format*

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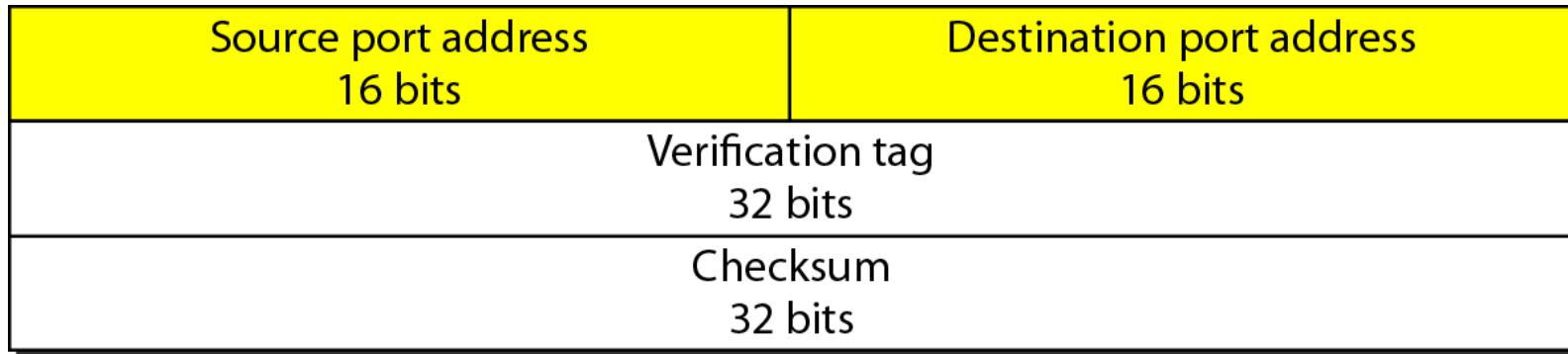


## *Note*

**In an SCTP packet, control chunks come before data chunks.**

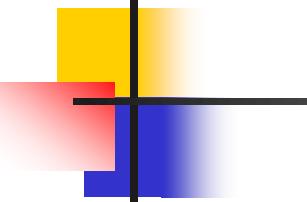
**Figure 23.32 General header**

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**Table 23.5** *Chunks*

Type	Chunk	Description
0	<b>DATA</b>	User data
1	<b>INIT</b>	Sets up an association
2	<b>INIT ACK</b>	Acknowledges INIT chunk
3	<b>SACK</b>	Selective acknowledgment
4	<b>HEARTBEAT</b>	Probes the peer for liveness
5	<b>HEARTBEAT ACK</b>	Acknowledges HEARTBEAT chunk
6	<b>ABORT</b>	Aborts an association
7	<b>SHUTDOWN</b>	Terminates an association
8	<b>SHUTDOWN ACK</b>	Acknowledges SHUTDOWN chunk
9	<b>ERROR</b>	Reports errors without shutting down
10	<b>COOKIE ECHO</b>	Third packet in association establishment
11	<b>COOKIE ACK</b>	Acknowledges COOKIE ECHO chunk
14	<b>SHUTDOWN COMPLETE</b>	Third packet in association termination
192	<b>FORWARD TSN</b>	For adjusting cumulative TSN

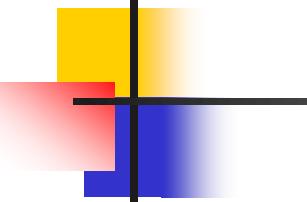


*Note*

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**A connection in SCTP is called an association.**

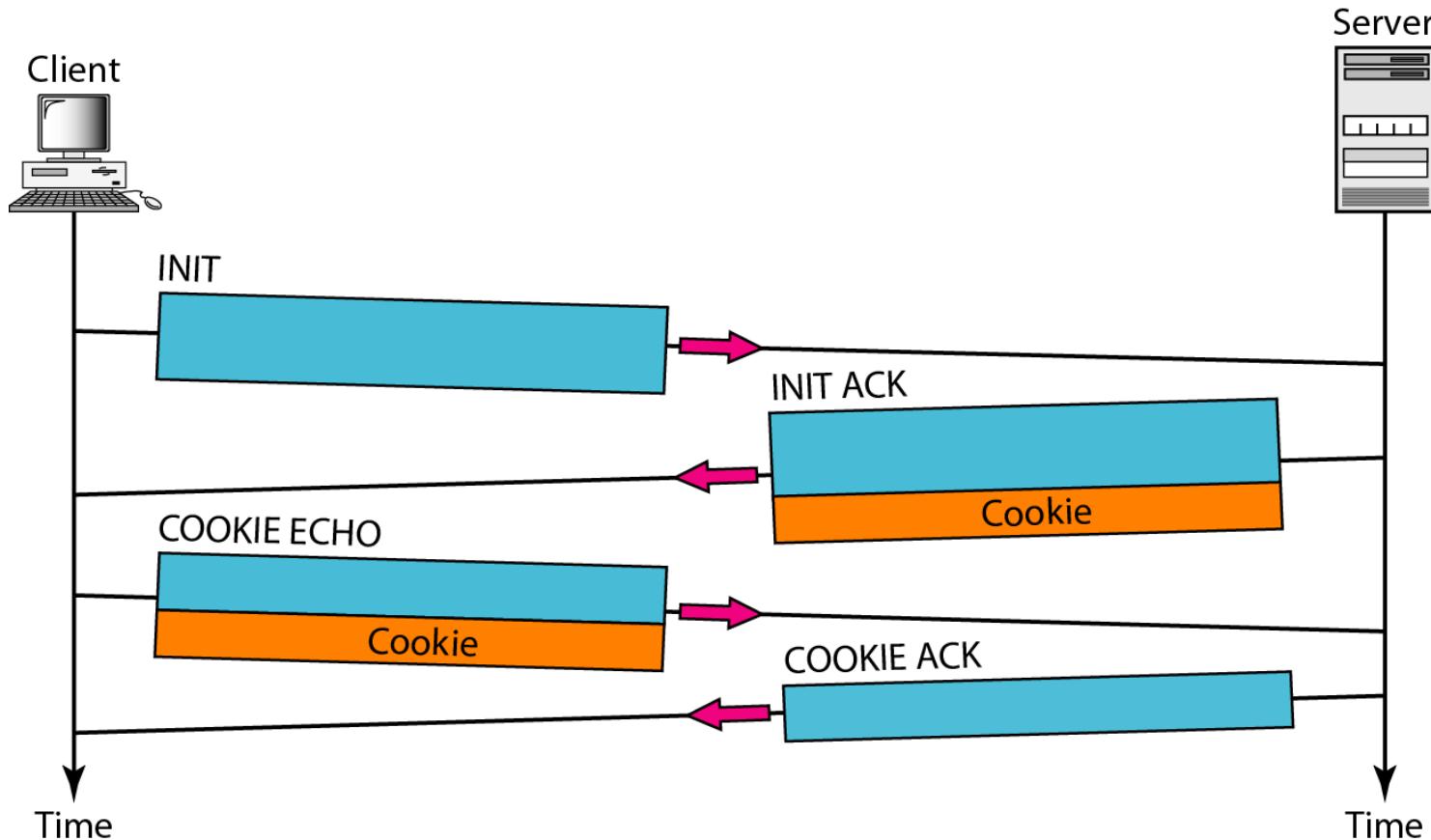
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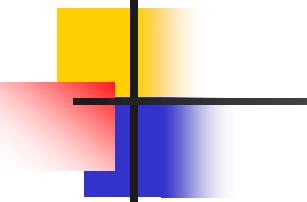


## *Note*

**No other chunk is allowed in a packet carrying an INIT or INIT ACK chunk.  
A COOKIE ECHO or a COOKIE ACK chunk can carry data chunks.**

**Figure 23.33 Four-way handshaking**

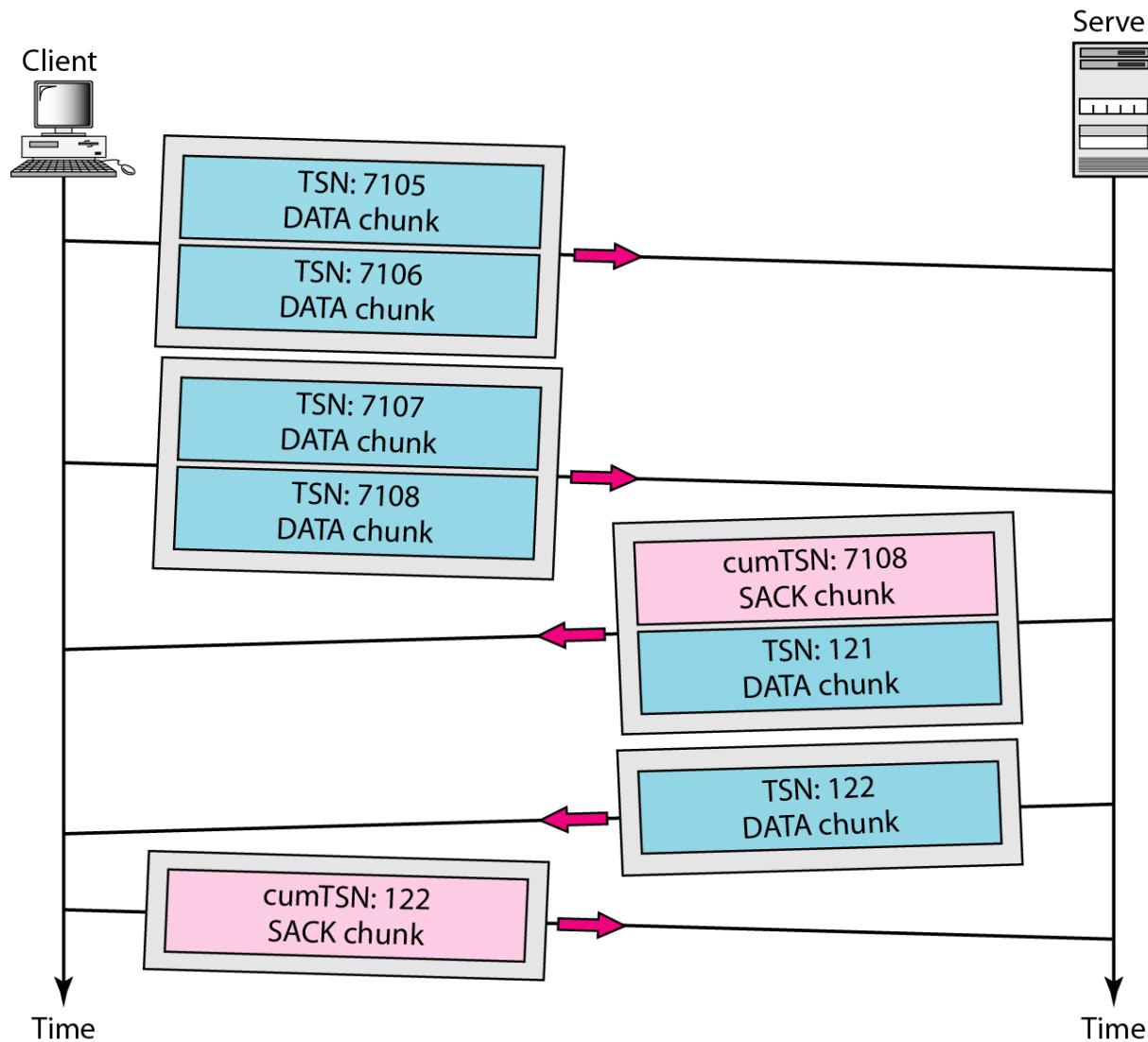


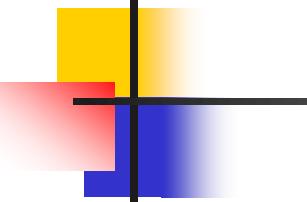


## *Note*

**In SCTP, only DATA chunks  
consume TSNs;  
DATA chunks are the only chunks  
that are acknowledged.**

**Figure 23.34** Simple data transfer

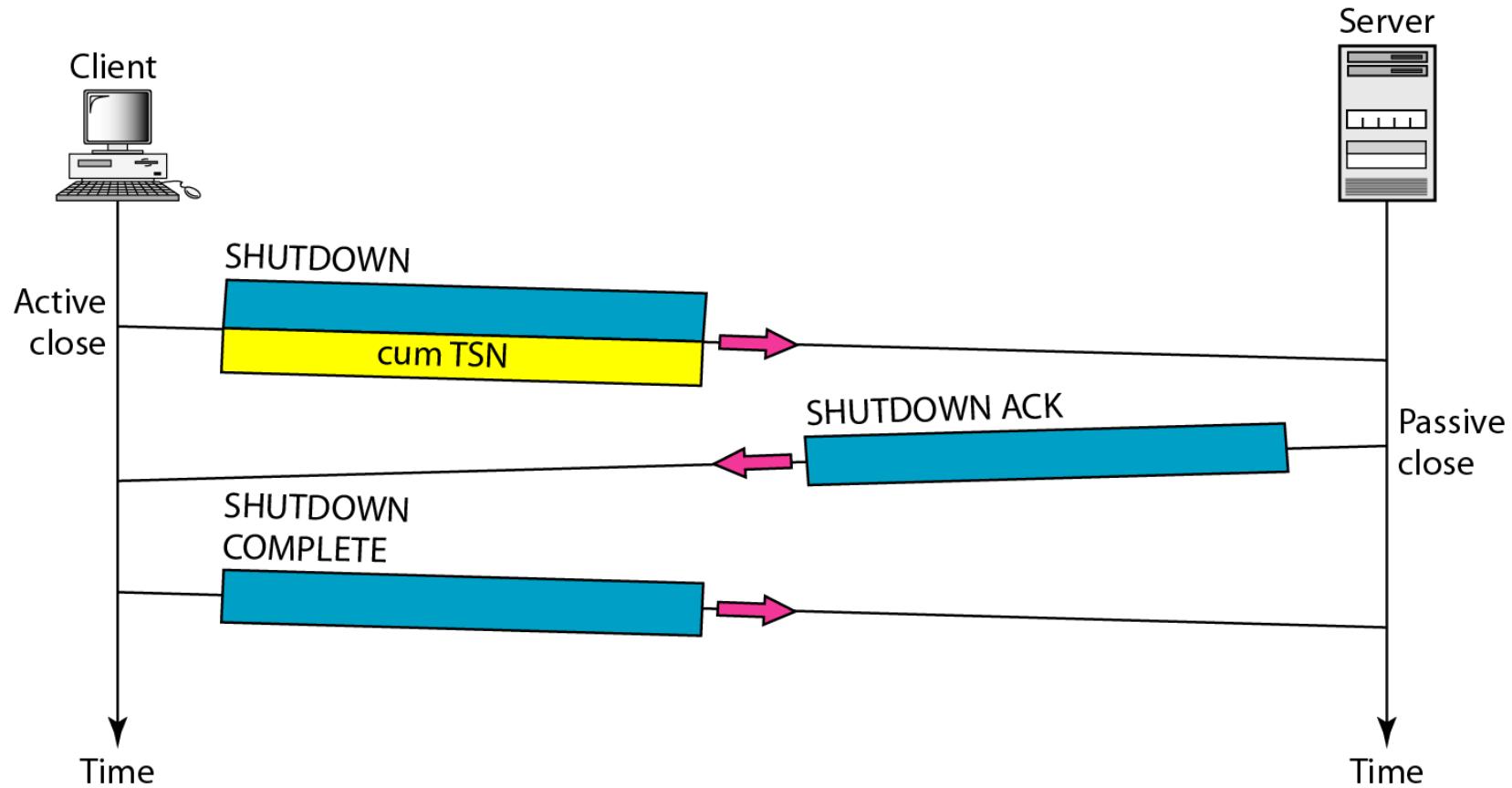




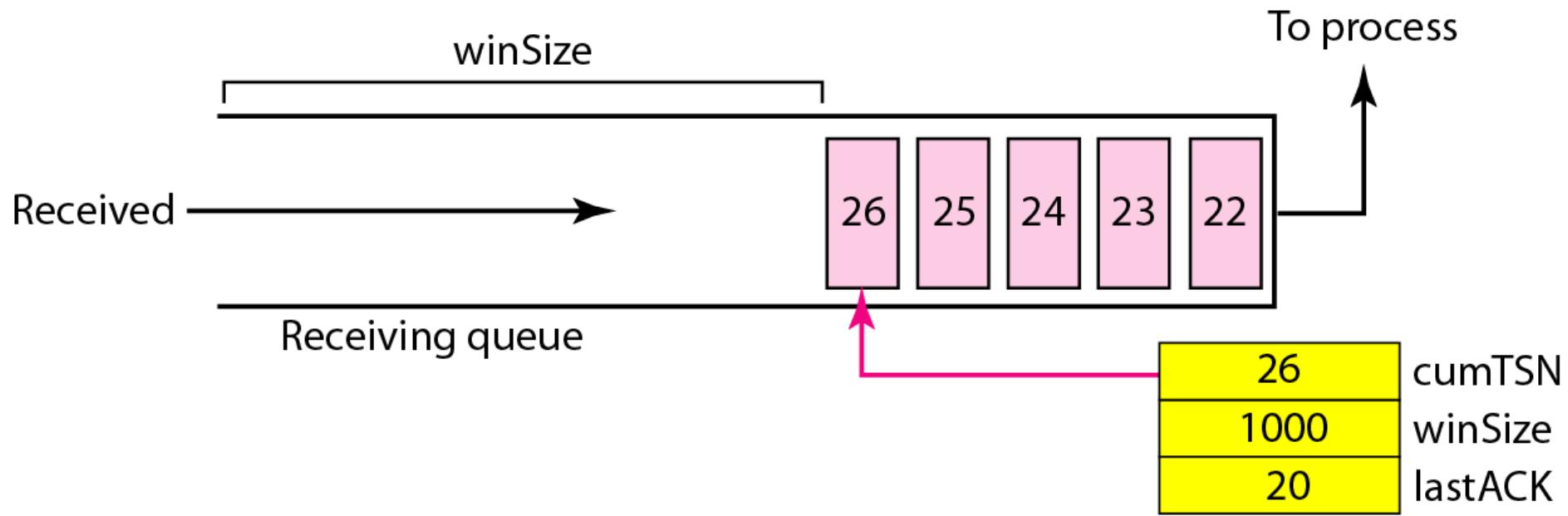
## *Note*

**The acknowledgment in SCTP defines the cumulative TSN, the TSN of the last data chunk received in order.**

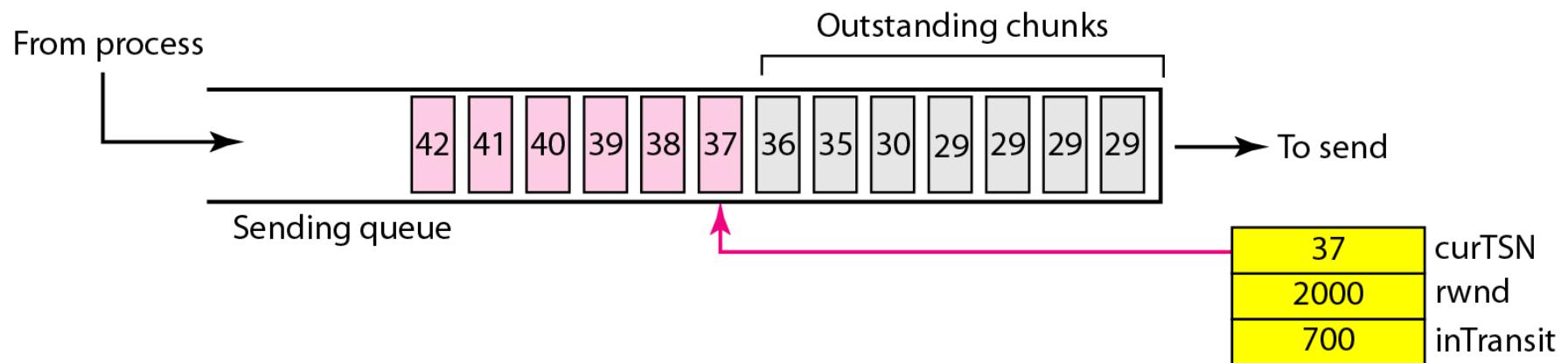
**Figure 23.35 Association termination**



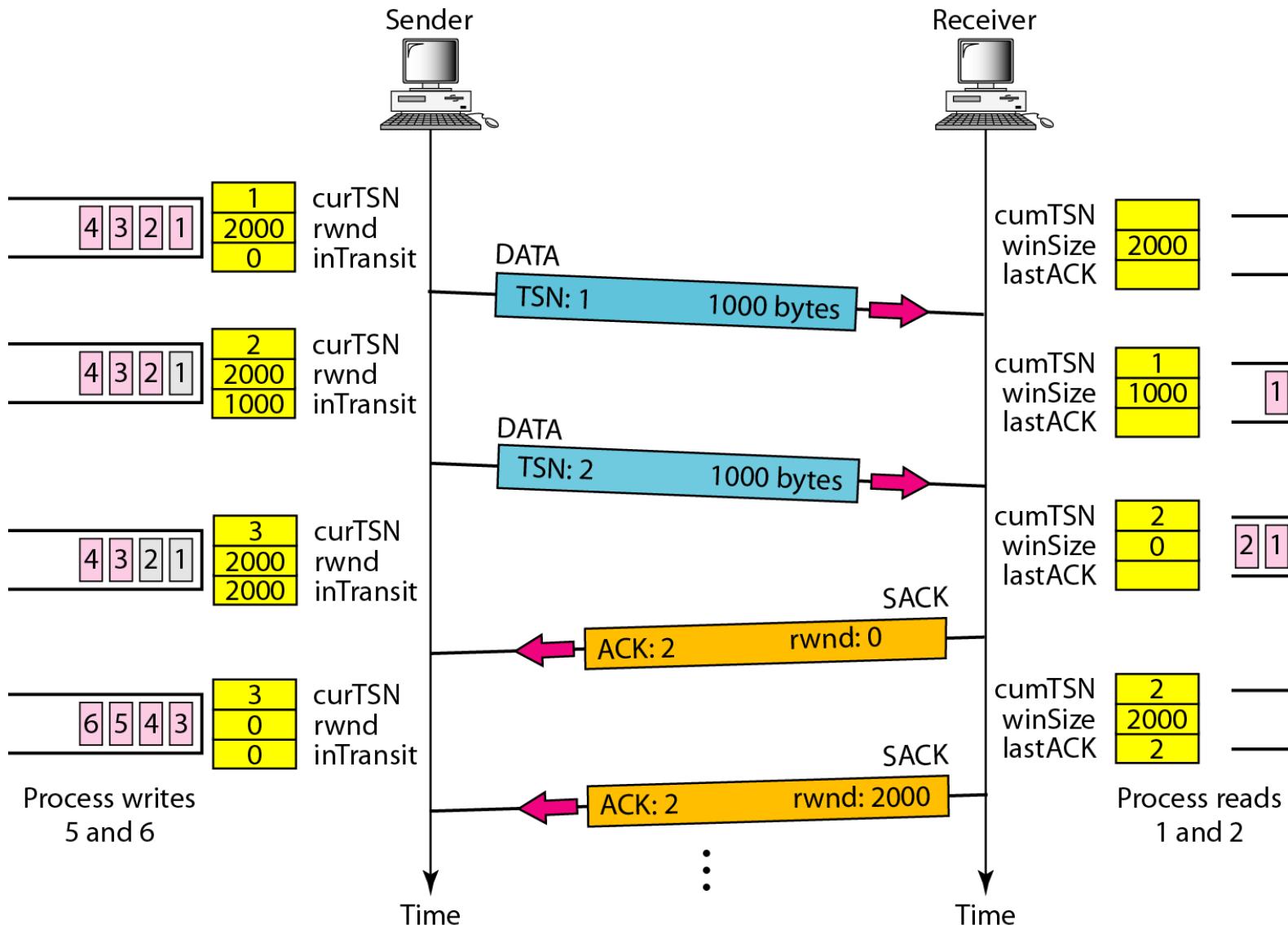
**Figure 23.36 Flow control, receiver site**



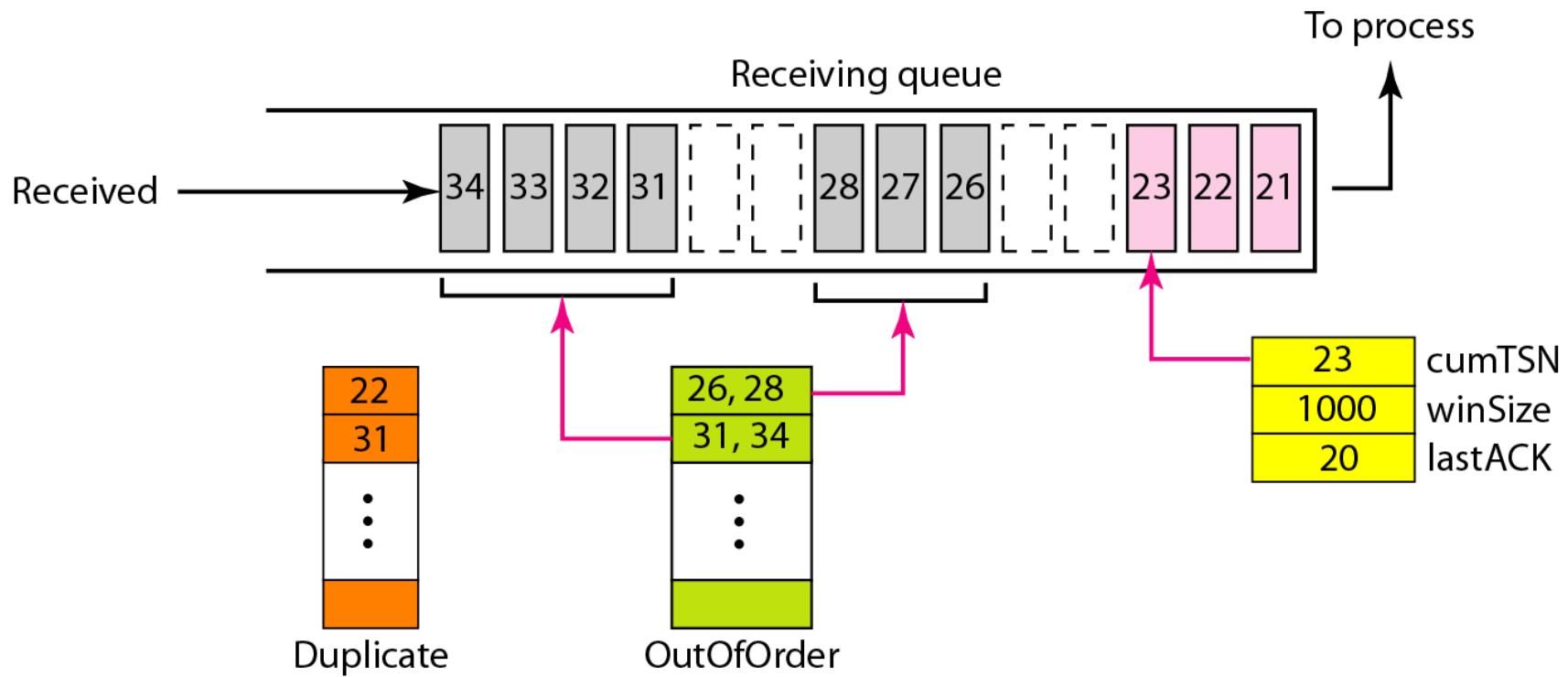
**Figure 23.37 Flow control, sender site**



**Figure 23.38 Flow control scenario**



**Figure 23.39 Error control, receiver site**



**Figure 23.40 Error control, sender site**

