

# **COMP 3331/9331:** **Computer Networks and** **Applications**

**Week 6**

**Transport Layer (Continued)**

**Reading Guide: Chapter 3, Sections: 3.4, 3.5**

# Transport Layer Outline

3.1 transport-layer services

3.2 multiplexing and demultiplexing

3.3 connectionless transport: UDP

3.4 principles of reliable data transfer

Pipelined protocols

3.5 connection-oriented transport: TCP

- segment structure
- reliable data transfer
- flow control
- connection management

3.6 principles of congestion control

3.7 TCP congestion control

# rdt3.0: channels with errors and loss (RECAP)

## new assumption:

underlying channel can  
also lose packets  
(data, ACKs)

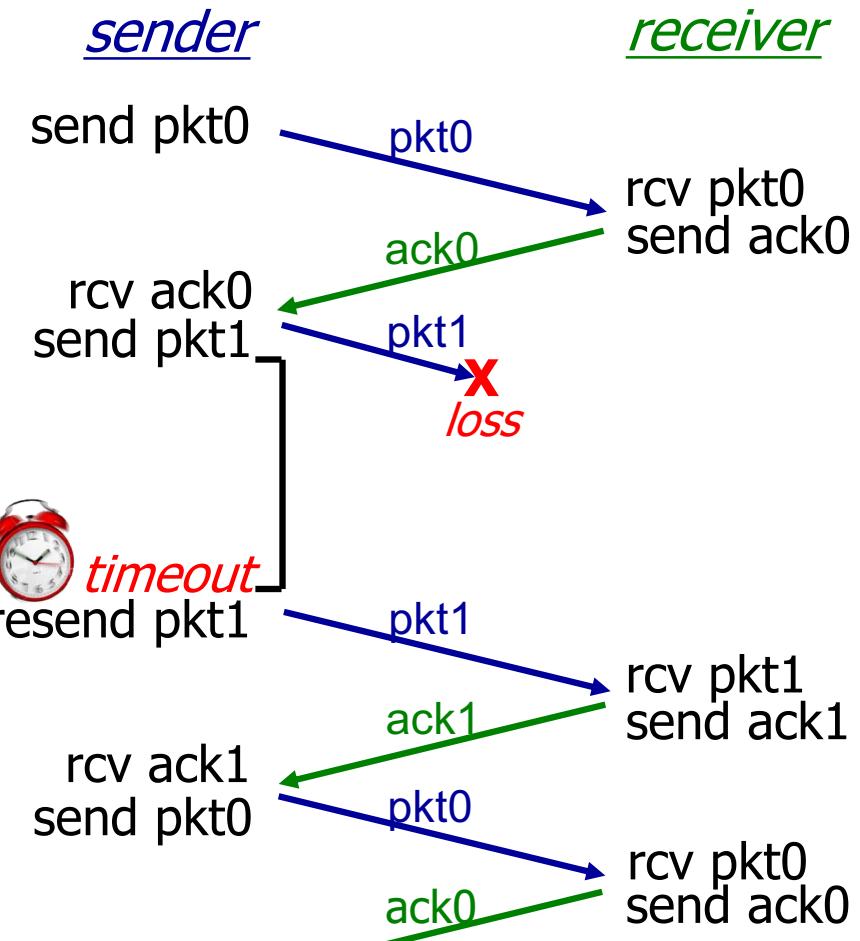
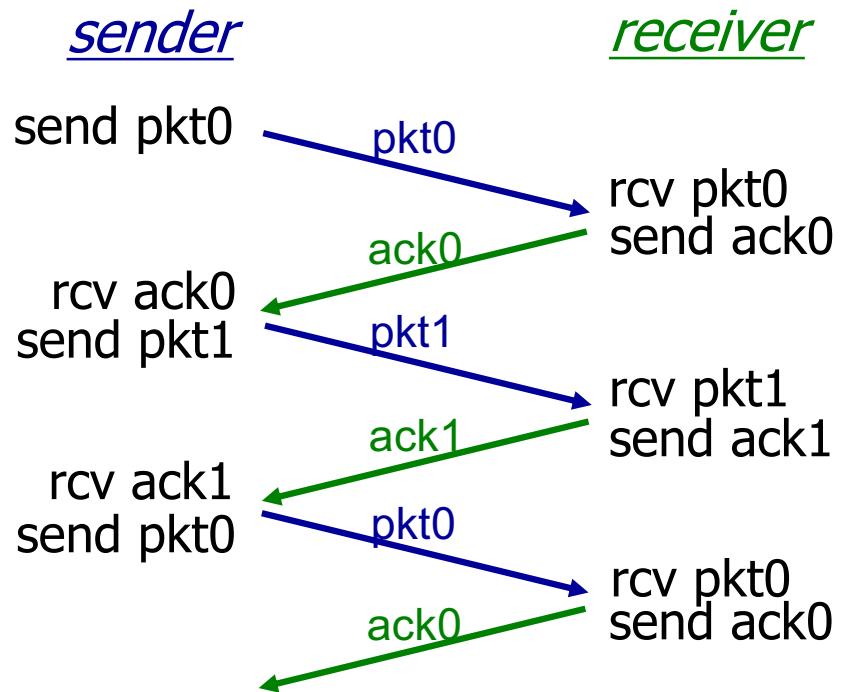
- checksum, seq. #,  
ACKs, retransmissions  
will be of help ... but  
not enough

## approach: sender waits

“reasonable” amount of  
time for ACK

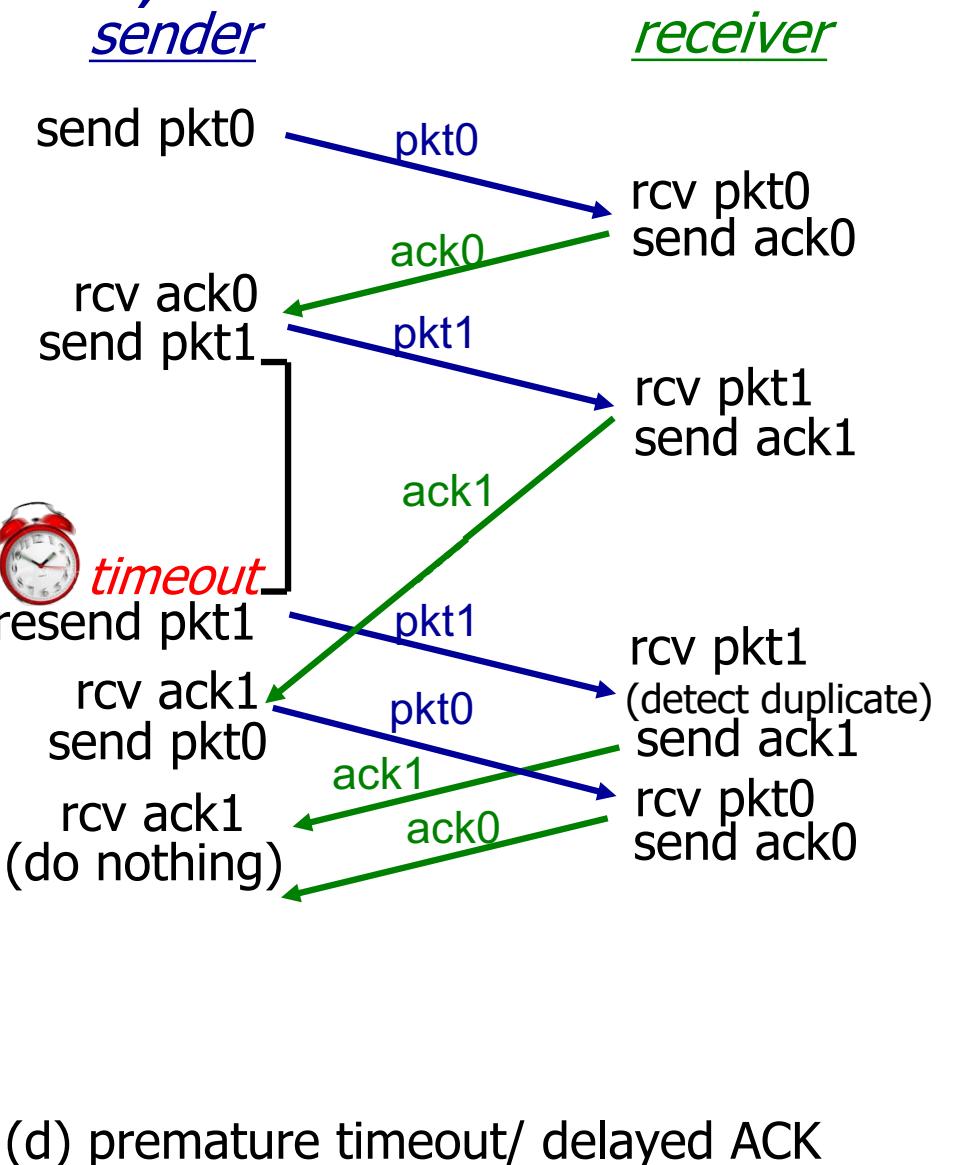
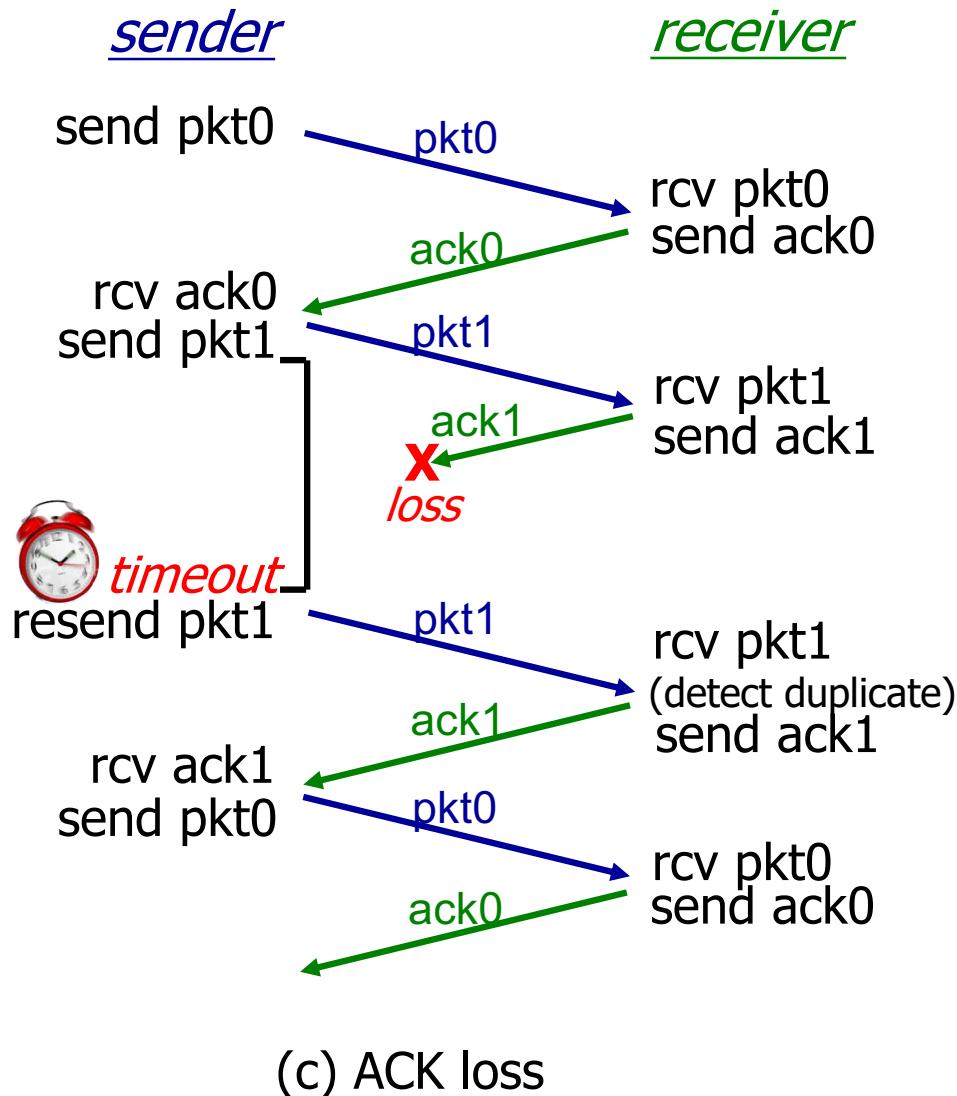
- ❖ retransmits if no ACK  
received in this time
- ❖ if pkt (or ACK) just delayed  
(not lost):
  - retransmission will be  
duplicate, but seq. #'s  
already handles this
  - receiver must specify seq  
# of pkt being ACKed
- ❖ requires countdown timer

# rdt3.0 in action (RECAP)

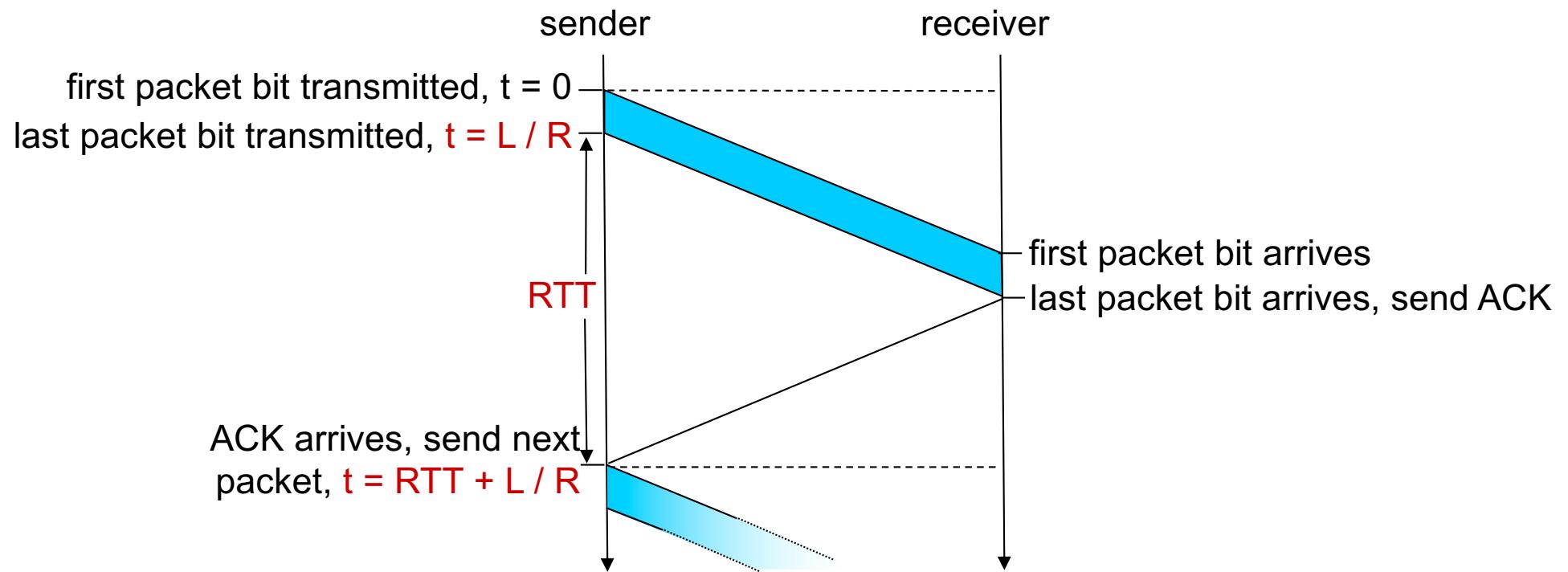


(b) packet loss

# rdt3.0 in action (RECAP)



# rdt3.0: stop-and-wait operation

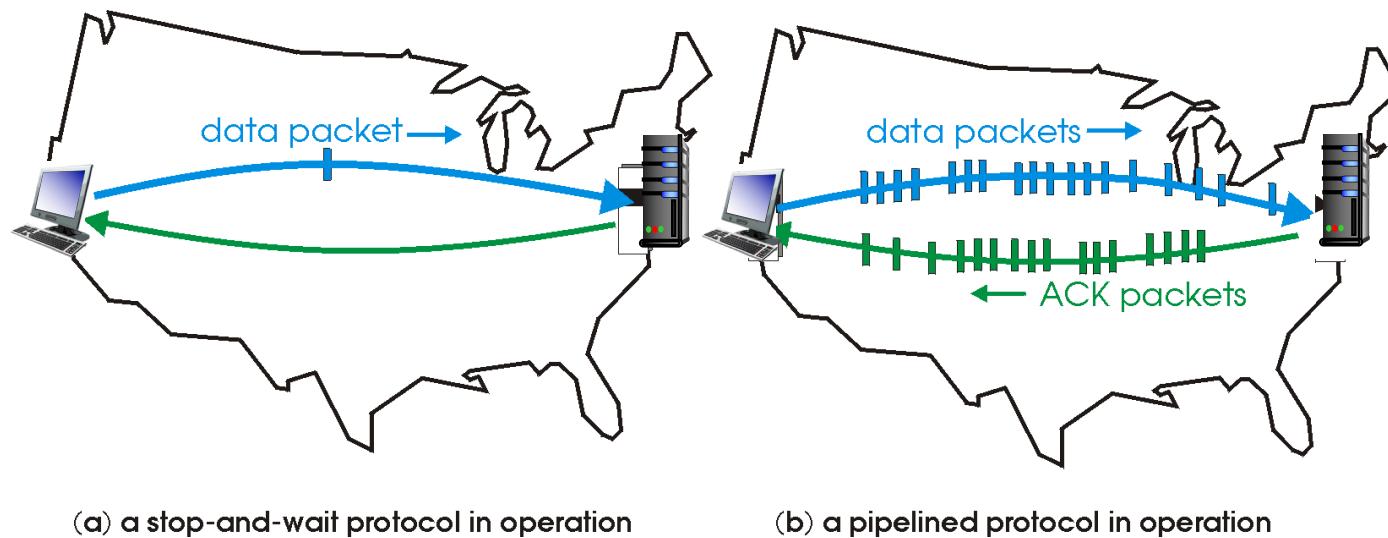


$$U_{\text{sender}} = \frac{L / R}{RTT + L / R}$$

# Pipelined protocols

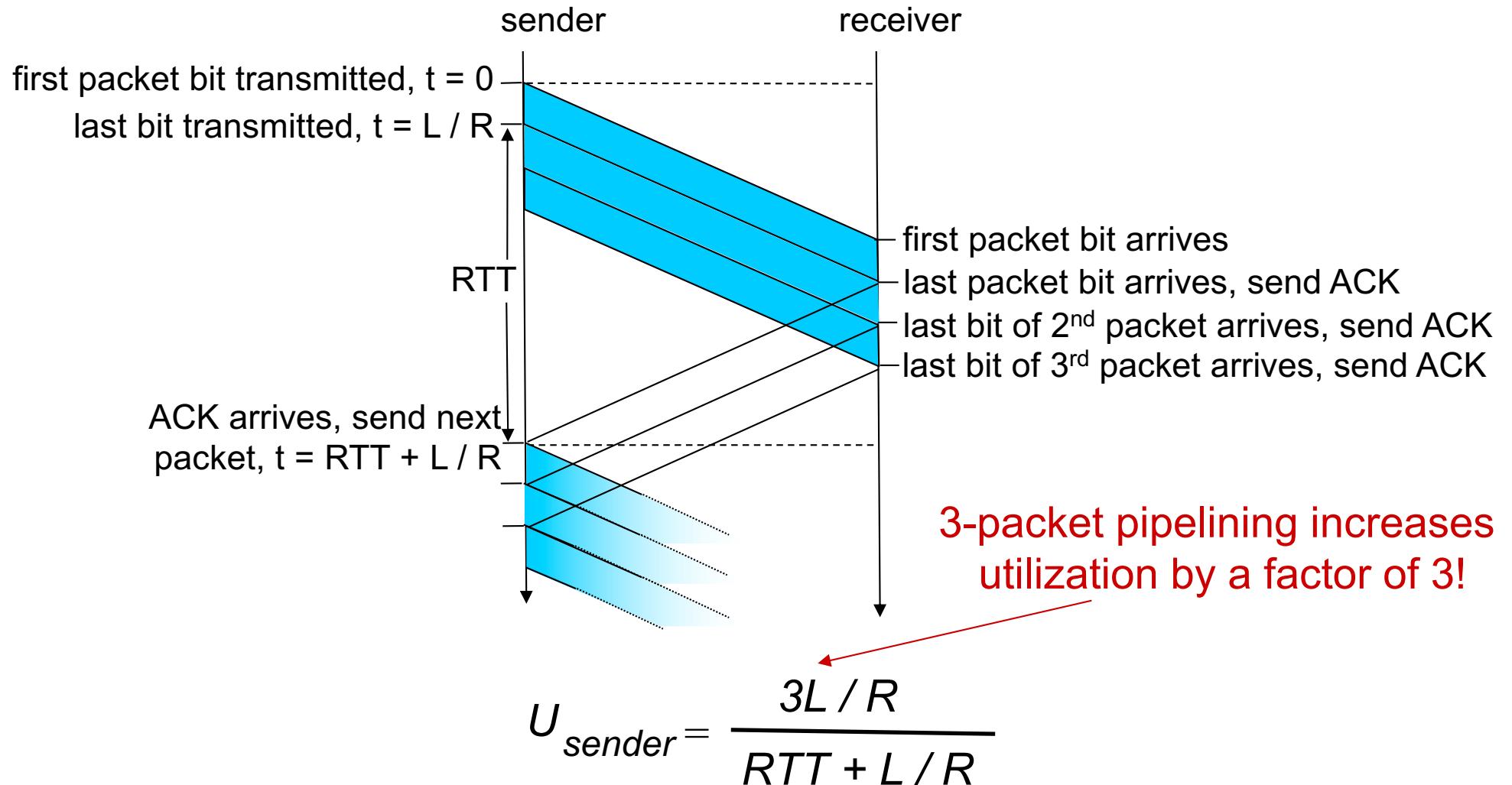
**pipelining:** sender allows multiple, “in-flight”, yet-to-be-acknowledged pkts

- range of sequence numbers must be increased
- buffering at sender and/or receiver



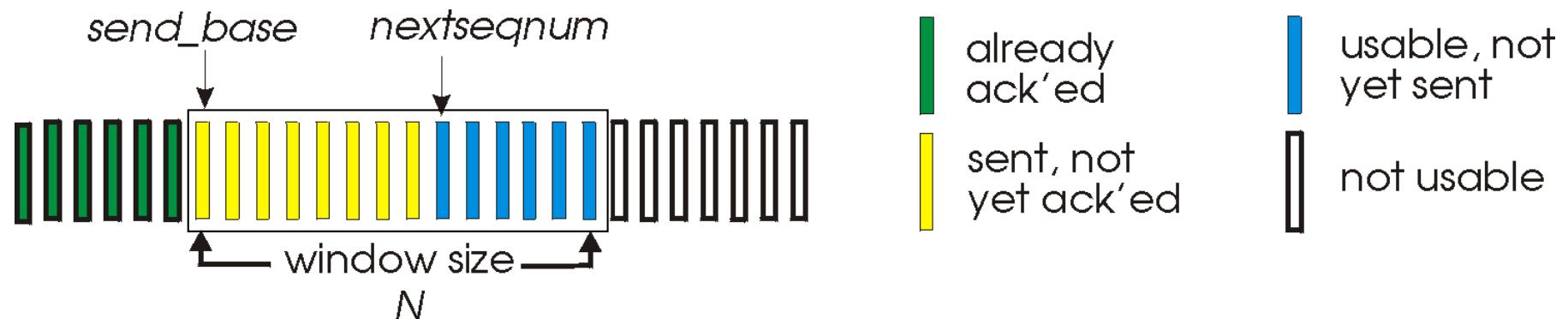
- ❖ two generic forms of pipelined (sliding window) protocols: *go-Back-N, selective repeat*

# Pipelining: increased utilization



# Go-Back-N: sender

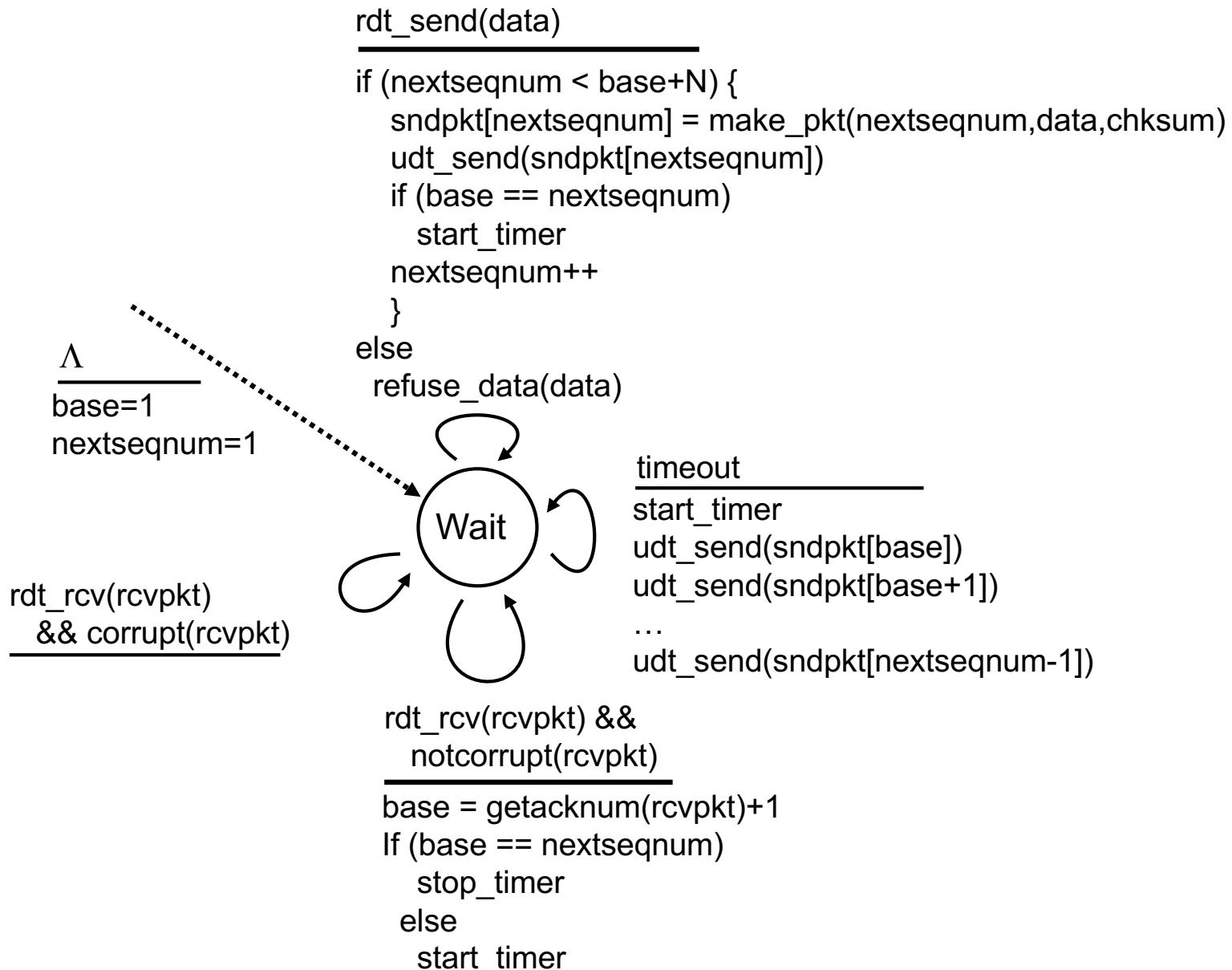
- ❖ k-bit seq # in pkt header
- ❖ “window” of up to N, consecutive unack’ ed pkts allowed



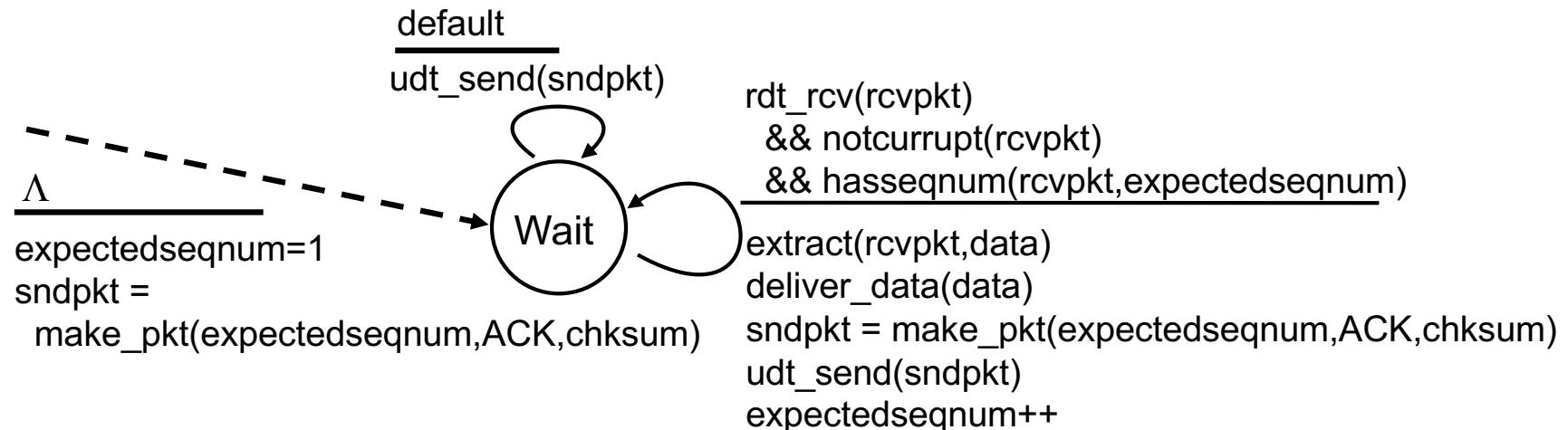
- ❖ ACK(n):ACKs all pkts up to, including seq # n - “*cumulative ACK*”
  - may receive duplicate ACKs (see receiver)
- ❖ timer for oldest in-flight pkt
- ❖ *timeout(n)*: retransmit packet n and all higher seq # pkts in window

Applets: [http://media.pearsoncmg.com/aw/aw\\_kurose\\_network\\_2/applets/go-back-n/go-back-n.html](http://media.pearsoncmg.com/aw/aw_kurose_network_2/applets/go-back-n/go-back-n.html)  
[http://www.ccs-labs.org/teaching/rn/animations/gbn\\_sr/](http://www.ccs-labs.org/teaching/rn/animations/gbn_sr/)

# GBN: sender extended FSM



# GBN: receiver extended FSM



ACK-only: always send ACK for correctly-received  
pkt with highest *in-order* seq #

- may generate duplicate ACKs
- need only remember **expectedseqnum**
- ❖ out-of-order pkt:
  - discard (don't buffer): *no receiver buffering!*
  - re-ACK pkt with highest in-order seq #

# GBN in action

*sender window (N=4)*

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

*sender*

send pkt0  
send pkt1  
send pkt2  
send pkt3  
(wait)



*pkt 2 timeout*

send pkt2  
send pkt3  
send pkt4  
send pkt5

*receiver*

receive pkt0, send ack0  
receive pkt1, send ack1

receive pkt3, discard,  
(re)send ack1

receive pkt4, discard,  
(re)send ack1

receive pkt5, discard,  
(re)send ack1

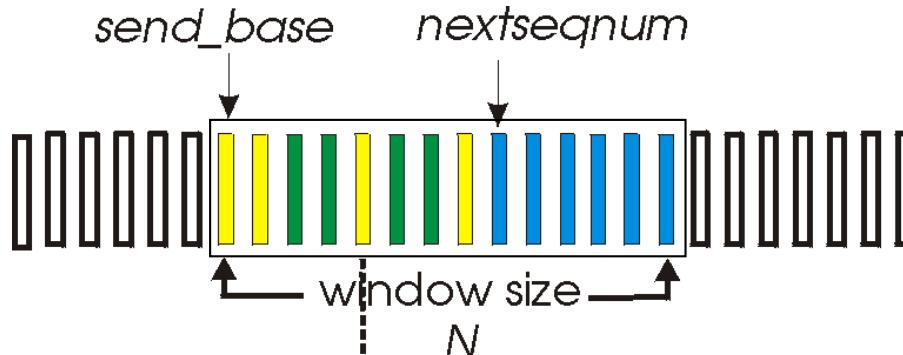
rcv pkt2, deliver, send ack2  
rcv pkt3, deliver, send ack3  
rcv pkt4, deliver, send ack4  
rcv pkt5, deliver, send ack5

# Selective repeat

- ❖ receiver *individually acknowledges* all correctly received pkts
  - buffers pkts, as needed, for eventual in-order delivery to upper layer
- ❖ sender only resends pkts for which ACK not received
  - sender timer for each unACKed pkt
- ❖ sender window
  - $N$  consecutive seq #'s
  - limits seq #'s of sent, unACKed pkts

Applet: [http://media.pearsoncmg.com/aw/aw\\_kurose\\_network\\_3/applets/SelectRepeat/SR.html](http://media.pearsoncmg.com/aw/aw_kurose_network_3/applets/SelectRepeat/SR.html)

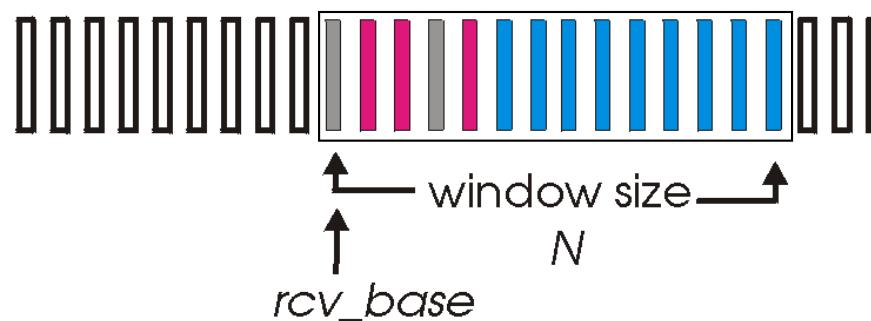
# Selective repeat: sender, receiver windows



already  
ack'ed  
sent, not  
yet ack'ed  
not usable

usable, not  
yet sent  
not usable

(a) sender view of sequence numbers



out of order  
(buffered) but  
already ack'ed  
Expected, not  
yet received  
not usable

acceptable  
(within window)  
not usable

(b) receiver view of sequence numbers

# Selective repeat

## sender

### **data from above:**

- ❖ if next available seq # in window, send pkt

### **timeout(n):**

- ❖ resend pkt n, restart timer

### **ACK(n) in [sendbase,sendbase+N]:**

- ❖ mark pkt n as received
- ❖ if n smallest unACKed pkt, advance window base to next unACKed seq #

## receiver

### **pkt n in [rcvbase, rcvbase+N-1]**

- ❖ send ACK(n)
- ❖ out-of-order: buffer
- ❖ in-order: deliver (also deliver buffered, in-order pkts), advance window to next not-yet-received pkt

### **pkt n in [rcvbase-N,rcvbase-1]**

- ❖ ACK(n)

### **otherwise:**

- ❖ ignore

# Selective repeat in action

sender window ( $N=4$ )

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8
0	1	2	3	4	5	6	7	8

sender

send pkt0  
send pkt1  
send pkt2  
send pkt3  
(wait)

rcv ack0, send pkt4  
rcv ack1, send pkt5

record ack3 arrived



*pkt 2 timeout*

send pkt2

record ack4 arrived

record ack5 arrived

receiver

receive pkt0, send ack0  
receive pkt1, send ack1

receive pkt3, buffer,  
send ack3

receive pkt4, buffer,  
send ack4  
receive pkt5, buffer,  
send ack5

rcv pkt2; deliver pkt2,  
pkt3, pkt4, pkt5; send ack2

*Q: what happens when ack2 arrives?*

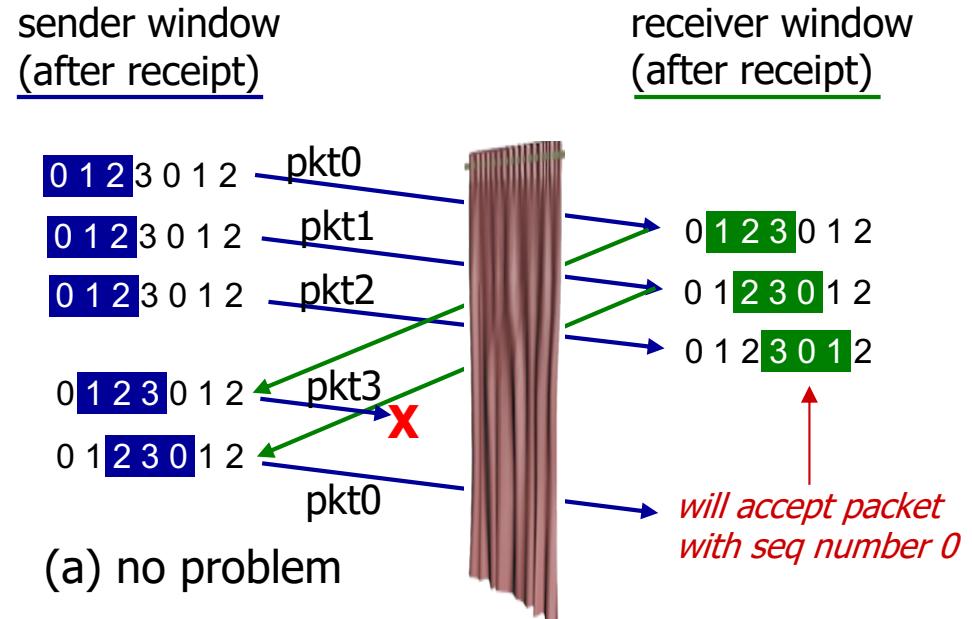
# Selective repeat: dilemma

## example:

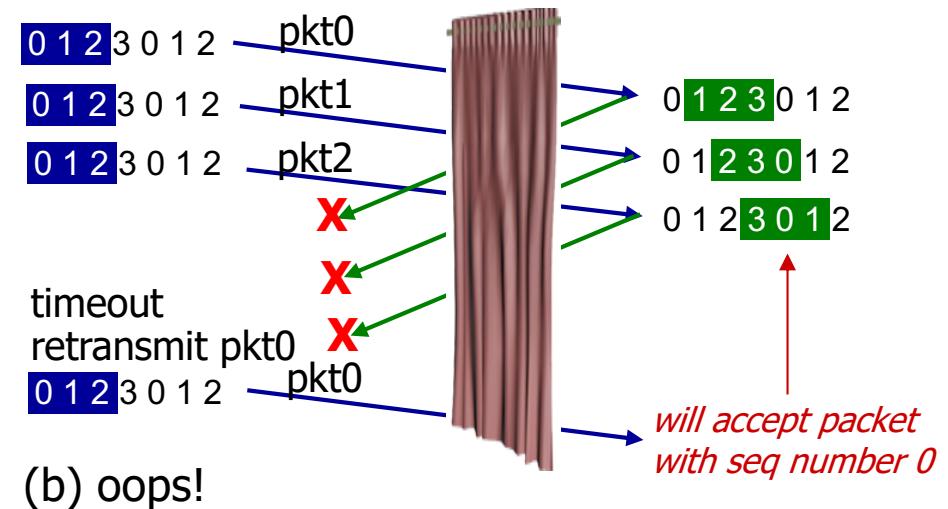
- ❖ seq #'s: 0, 1, 2, 3
- ❖ window size=3
- ❖ receiver sees no difference in two scenarios!
- ❖ duplicate data accepted as new in (b)

**Q:** what relationship between seq # size and window size to avoid problem in (b)?

**A:** window size must be less than or equal to half the size of the sequence number space



*receiver can't see sender side.  
receiver behavior identical in both cases!  
something's (very) wrong!*



# Recap: components of a solution

- ❖ Checksums (for error detection)
- ❖ Timers (for loss detection)
- ❖ Acknowledgments
  - cumulative
  - selective
- ❖ Sequence numbers (duplicates, windows)
- ❖ Sliding Windows (for efficiency)
  
- ❖ Reliability protocols use the above to decide when and what to retransmit or acknowledge

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3.6 principles of congestion control

3.7 TCP congestion control

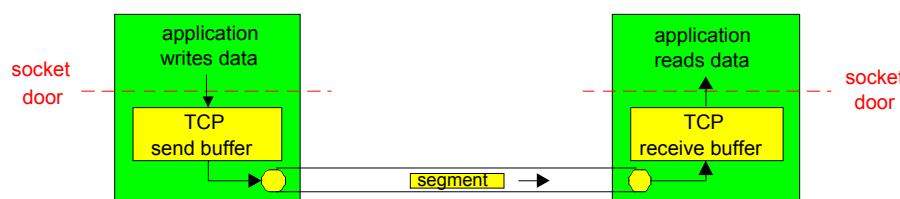
# Practical Reliability Questions

- ❖ How do the sender and receiver keep track of outstanding pipelined segments?
- ❖ How many segments should be pipelined?
- ❖ How do we choose sequence numbers?
- ❖ What does connection establishment and teardown look like?
- ❖ How should we choose timeout values?

# TCP: Overview

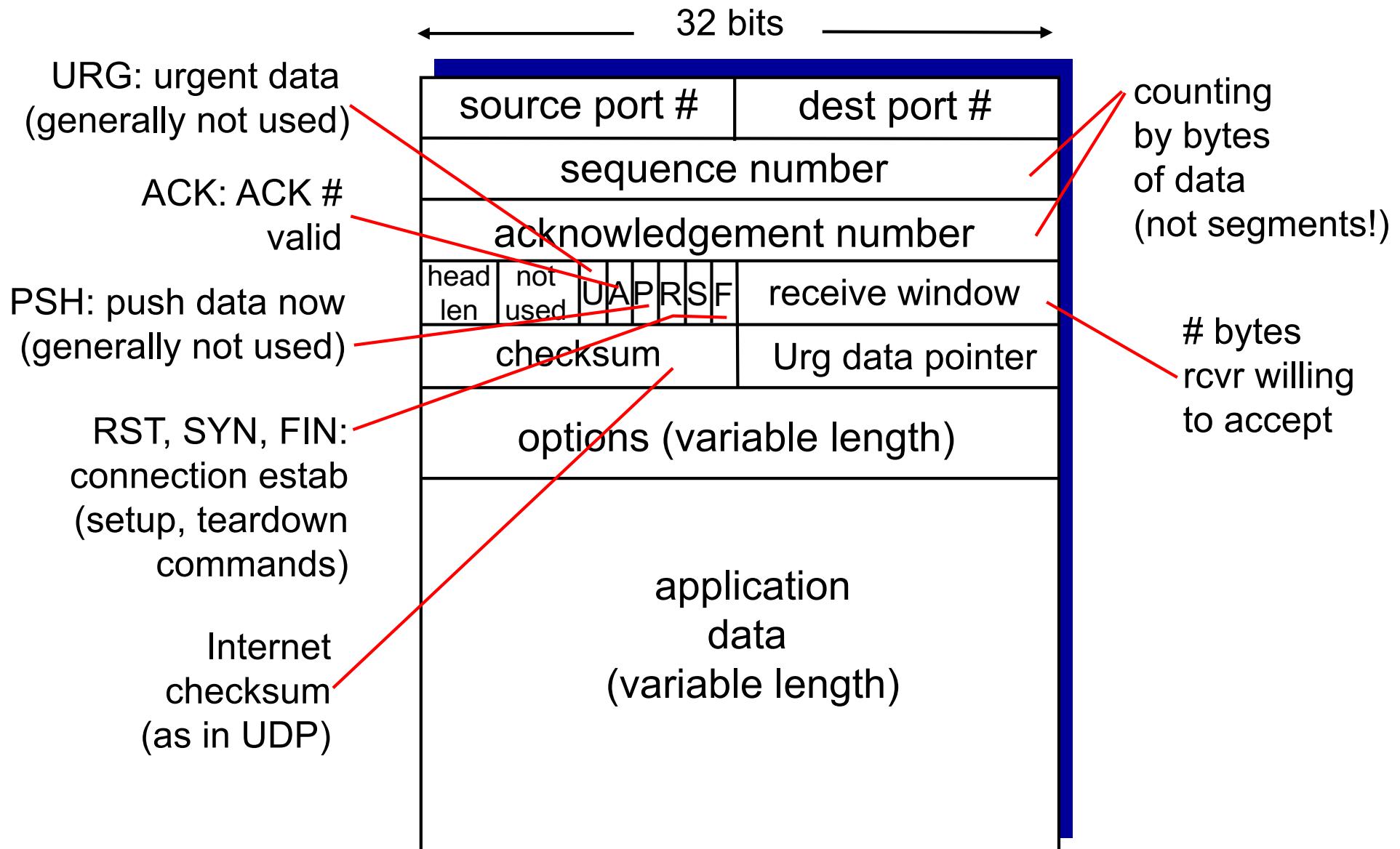
RFCs: 793, 1122, 1323, 2018, 2581

- ❖ **point-to-point:**
  - one sender, one receiver
- ❖ **reliable, in-order *byte steam*:**
  - no “message boundaries”
- ❖ **pipelined:**
  - TCP congestion and flow control set window size
- ❖ **send and receive buffers**

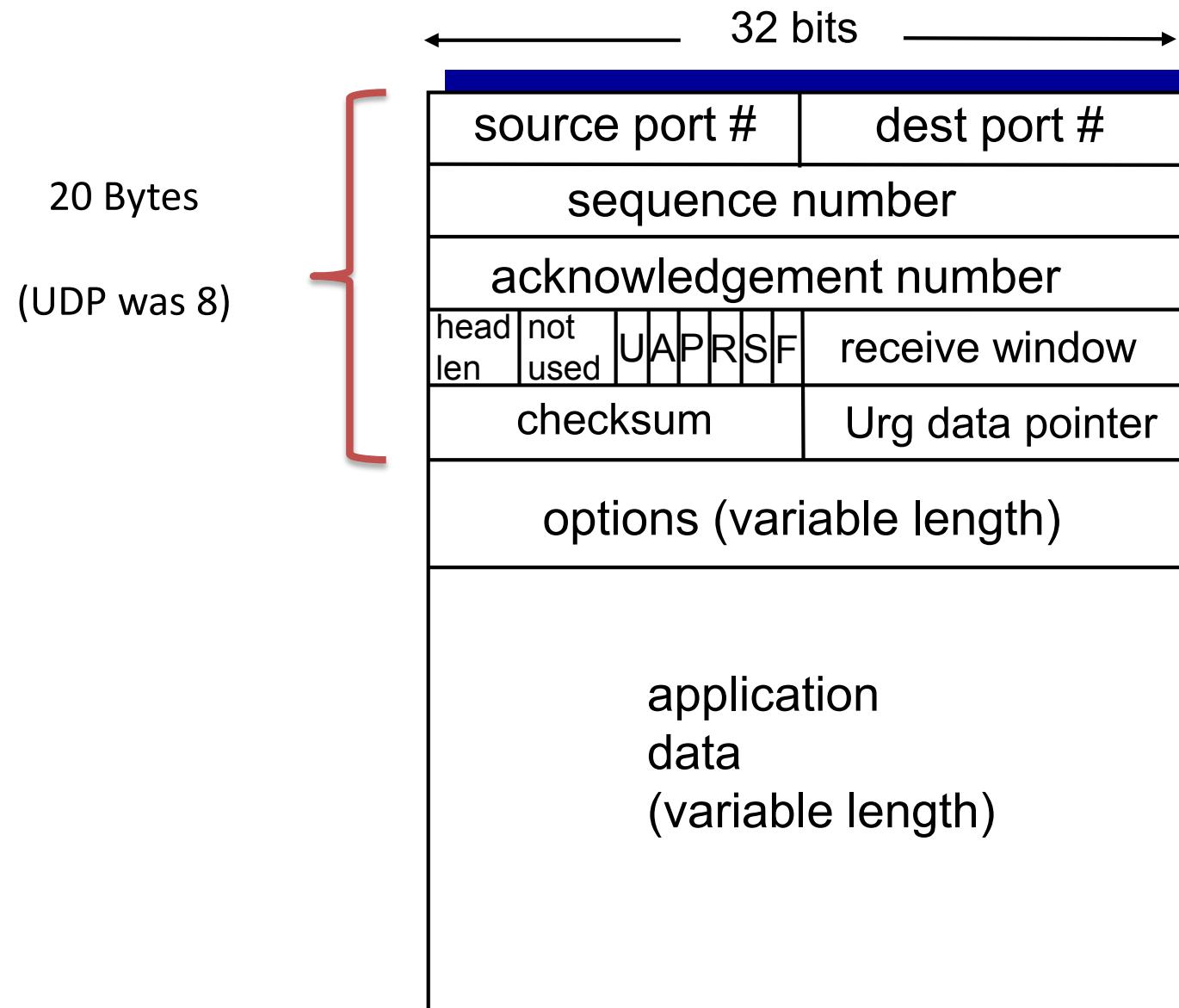


- ❖ **full duplex data:**
  - bi-directional data flow in same connection
- ❖ **MSS: maximum segment size**
- ❖ **connection-oriented:**
  - handshaking (exchange of control msgs) inits sender, receiver state before data exchange
- ❖ **flow controlled:**
  - sender will not overwhelm receiver

# TCP segment structure



# TCP segment structure



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3.7 TCP congestion control

# Recall: Components of a solution for reliable transport

---

- ❖ Checksums (for error detection)
- ❖ Timers (for loss detection)
- ❖ Acknowledgments
  - cumulative
  - selective
- ❖ Sequence numbers (duplicates, windows)
- ❖ Sliding Windows (for efficiency)
  - Go-Back-N (GBN)
  - Selective Replay (SR)

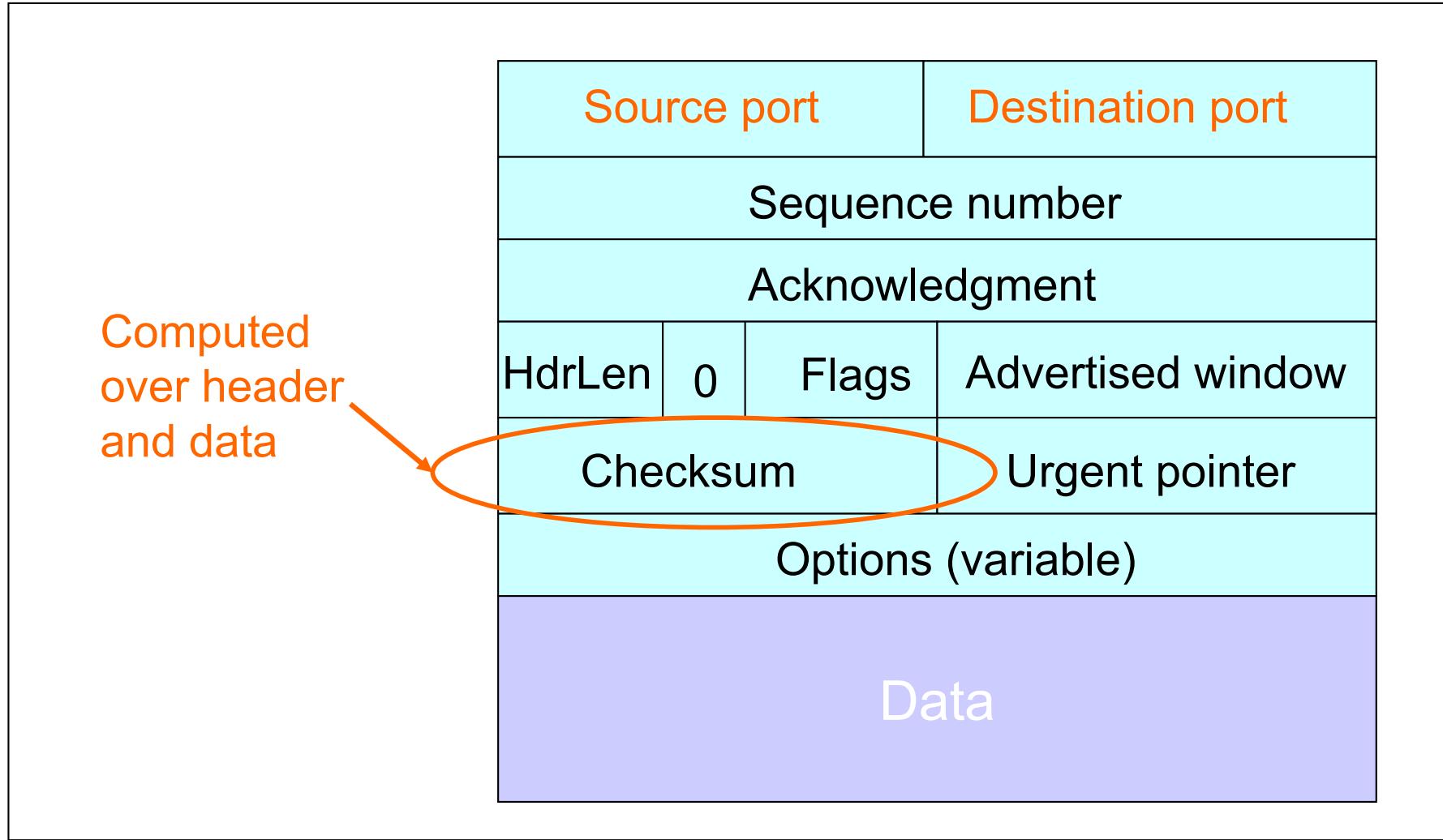
# What does TCP do?

Many of our previous ideas, but some key differences

- ❖ Checksum

# TCP Header

---



# What does TCP do?

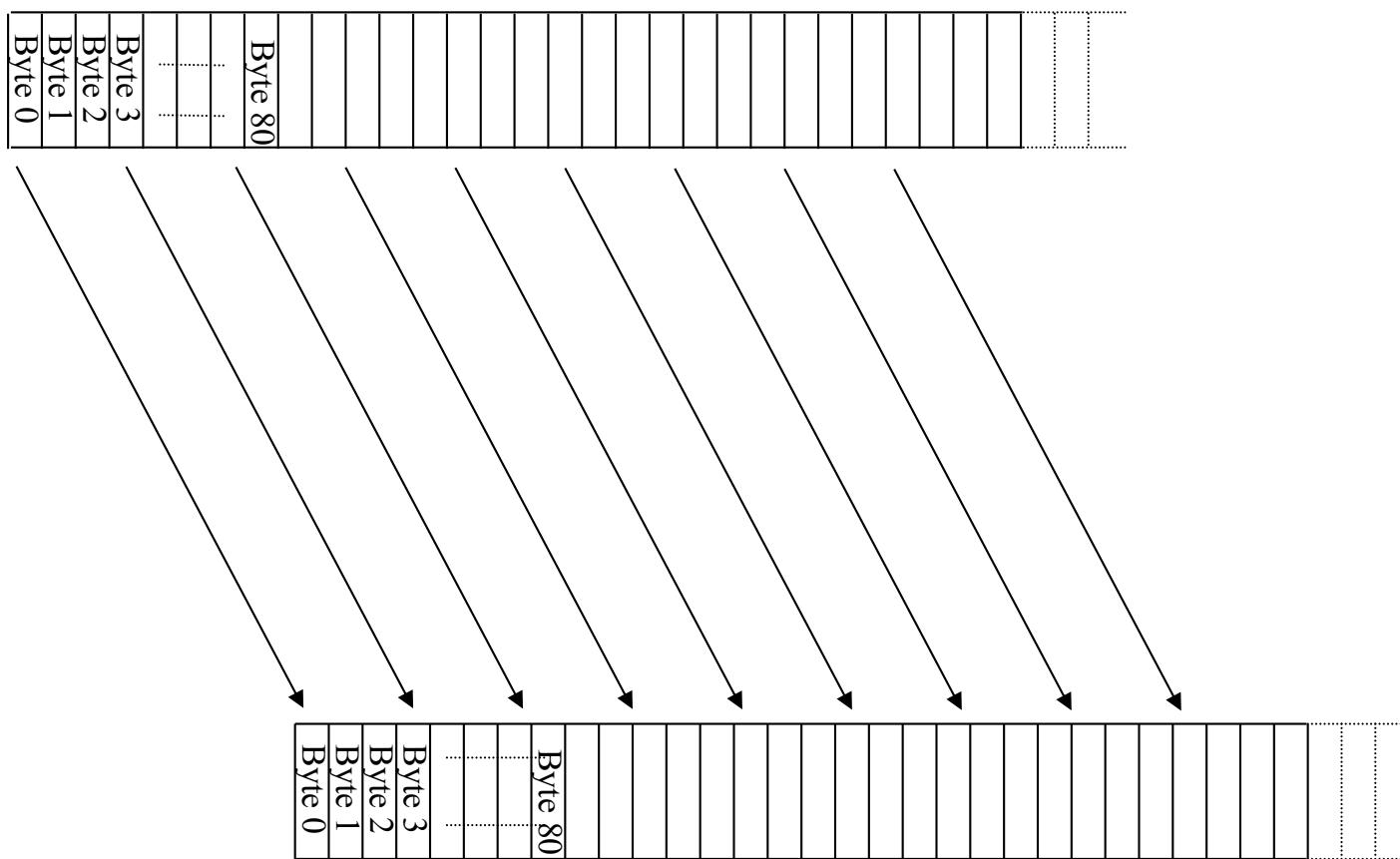
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Many of our previous ideas, but some key differences

- ❖ Checksum
- ❖ **Sequence numbers are byte offsets**

# TCP “Stream of Bytes” Service ..

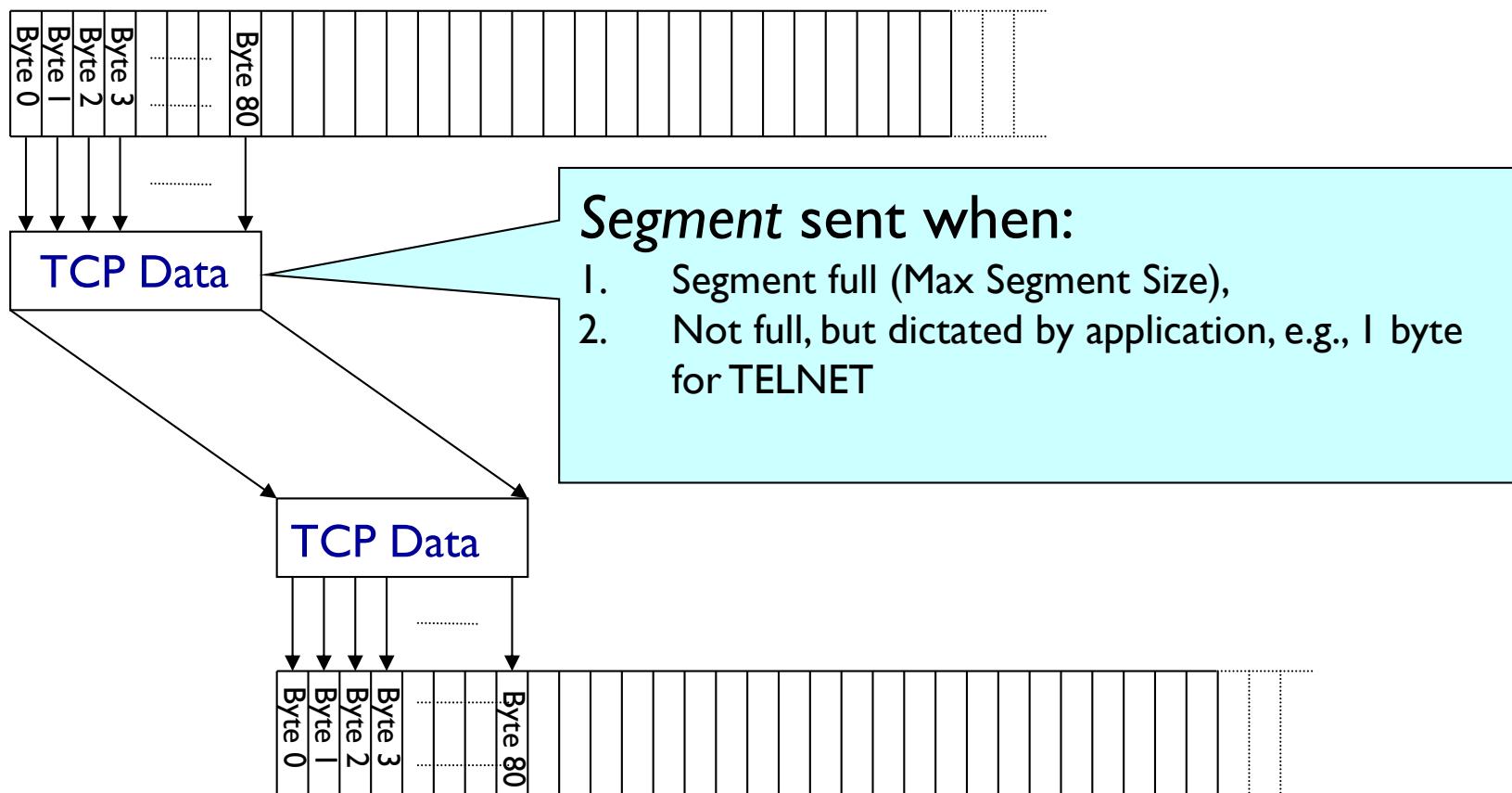
# Application @ Host A



# Application @ Host B

# .. Provided Using TCP “Segments”

Host A



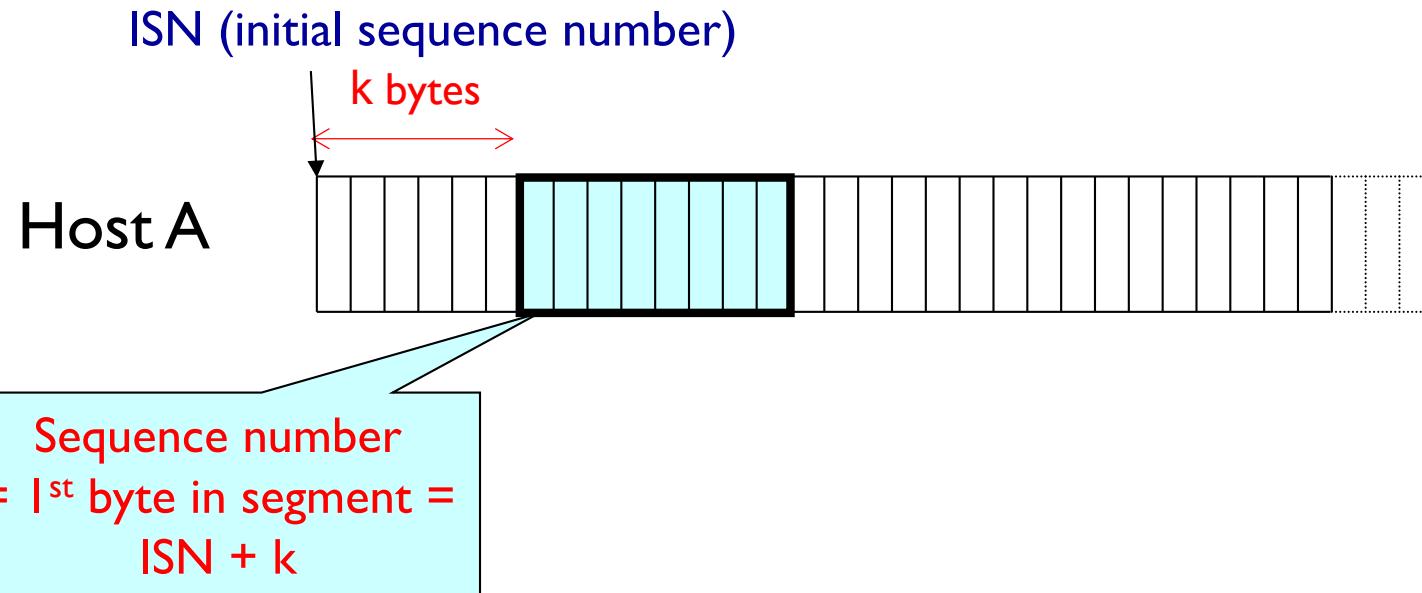
Host B

# TCP Segment Size

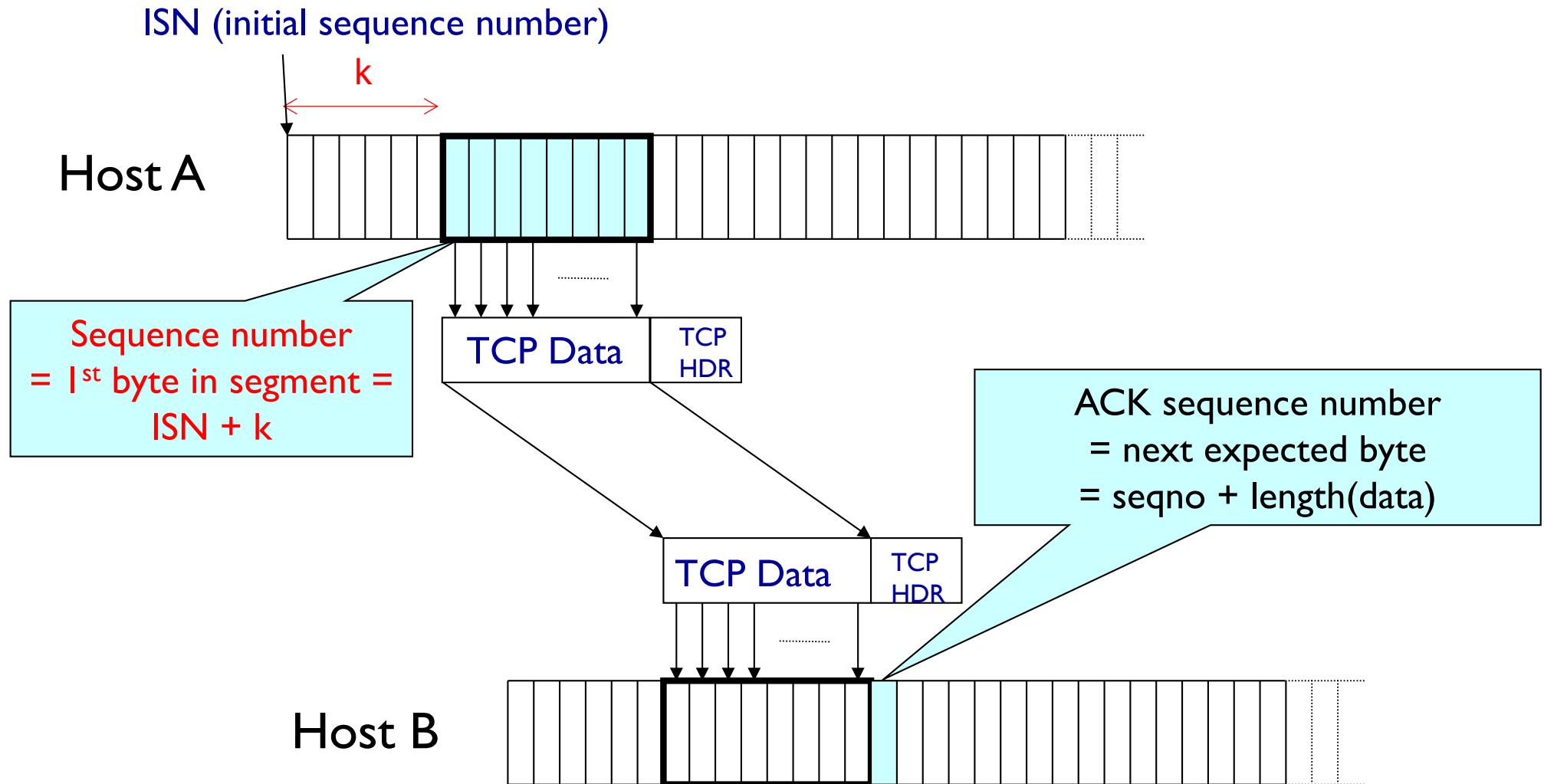


- ❖ IP packet
  - No bigger than Maximum Transmission Unit (**MTU**)
  - E.g., up to 1500 bytes with Ethernet
- ❖ TCP packet
  - IP packet with a TCP header and data inside
  - TCP header  $\geq$  20 bytes long
- ❖ TCP **segment**
  - No more than Maximum Segment Size (**MSS**) bytes
  - E.g., up to 1460 consecutive bytes from the stream
  - $MSS = MTU - (\text{IP header}) - (\text{TCP header})$

# Sequence Numbers



# Sequence & Ack Numbers



# What does TCP do?

Most of our previous tricks, but a few differences

- ❖ Checksum
- ❖ Sequence numbers are byte offsets
- ❖ Receiver sends cumulative acknowledgements (like GBN)

# ACKing and Sequence Numbers

- ❖ Sender sends packet
  - Data starts with sequence number X
  - Packet contains B bytes [X, X+1, X+2, ..., X+B-1]
- ❖ Upon receipt of packet, receiver sends an ACK
  - If all data prior to X already received:
    - ACK acknowledges  $X+B$  (because that is next expected byte)
  - If highest in-order byte received is Y s.t.  $(Y+1) < X$ 
    - ACK acknowledges  $Y+1$
    - Even if this has been ACKed before

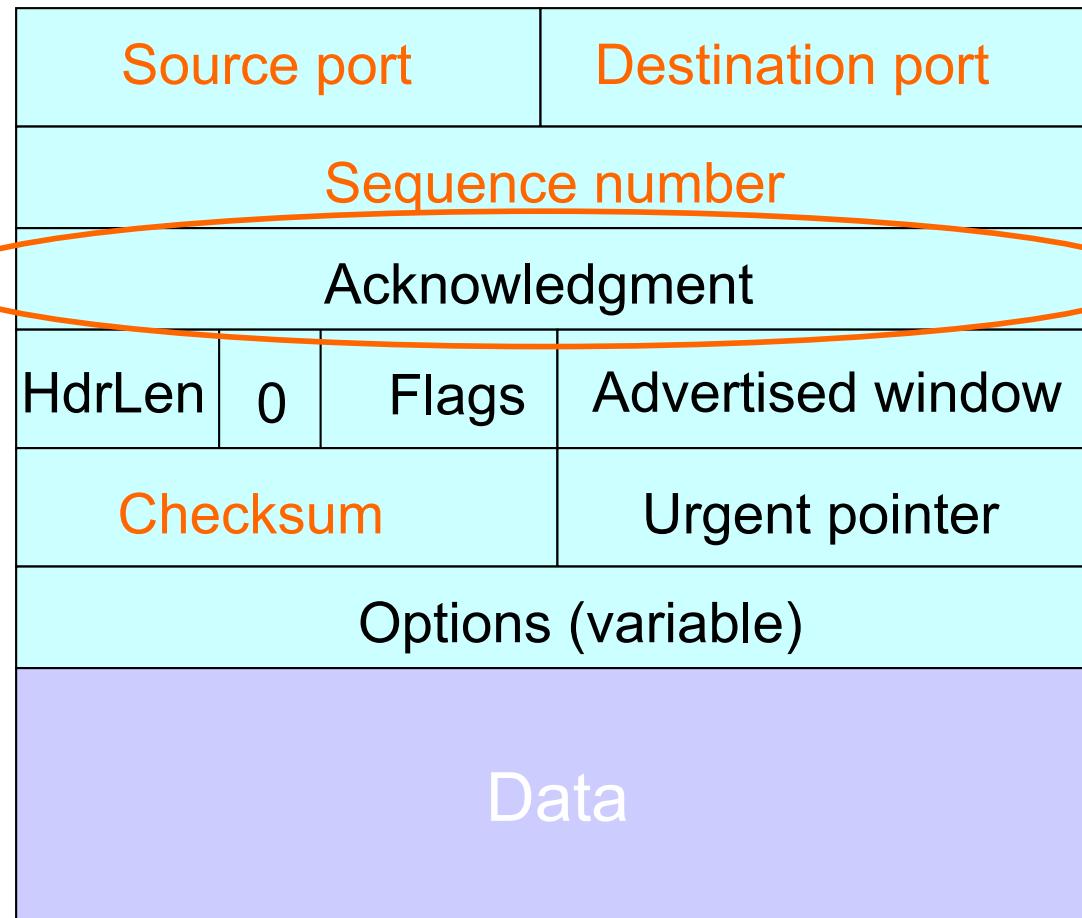
# Normal Pattern

- ❖ Sender: seqno=X, length=B
- ❖ Receiver: ACK=X+B
- ❖ Sender: seqno=X+B, length=B
- ❖ Receiver: ACK=X+2B
- ❖ Sender: seqno=X+2B, length=B
  
- ❖ Seqno of next packet is same as last ACK field

# TCP Header

Acknowledgment gives seqno just beyond highest seqno received **in order**

(*“What Byte is Next”*)



# What does TCP do?

Most of our previous tricks, but a few differences

- ❖ Checksum
- ❖ Sequence numbers are byte offsets
- ❖ Receiver sends cumulative acknowledgements (like GBN)
- ❖ Receivers **can** buffer out-of-sequence packets (like SR)

# Loss with cumulative ACKs

---

- ❖ Sender sends packets with 100Bytes and sequence numbers:
  - 100, 200, 300, 400, 500, 600, 700, 800, 900, ...
- ❖ Assume the fifth packet (seq. no. 500) is lost, but no others
- ❖ Stream of ACKs will be:
  - 200, 300, 400, 500, 500, 500, ...

# What does TCP do?

Most of our previous tricks, but a few differences

- ❖ Checksum
- ❖ Sequence numbers are byte offsets
- ❖ Receiver sends cumulative acknowledgements (like GBN)
- ❖ Receivers do not drop out-of-sequence packets (like SR)
- ❖ Sender maintains a single retransmission timer (like GBN) and retransmits on timeout

# TCP round trip time, timeout

**Q:** how to set TCP timeout value?

- ❖ longer than RTT
  - but RTT varies
- ❖ *too short*: premature timeout, unnecessary retransmissions
- ❖ *too long*: slow reaction to segment loss and connection has lower throughput

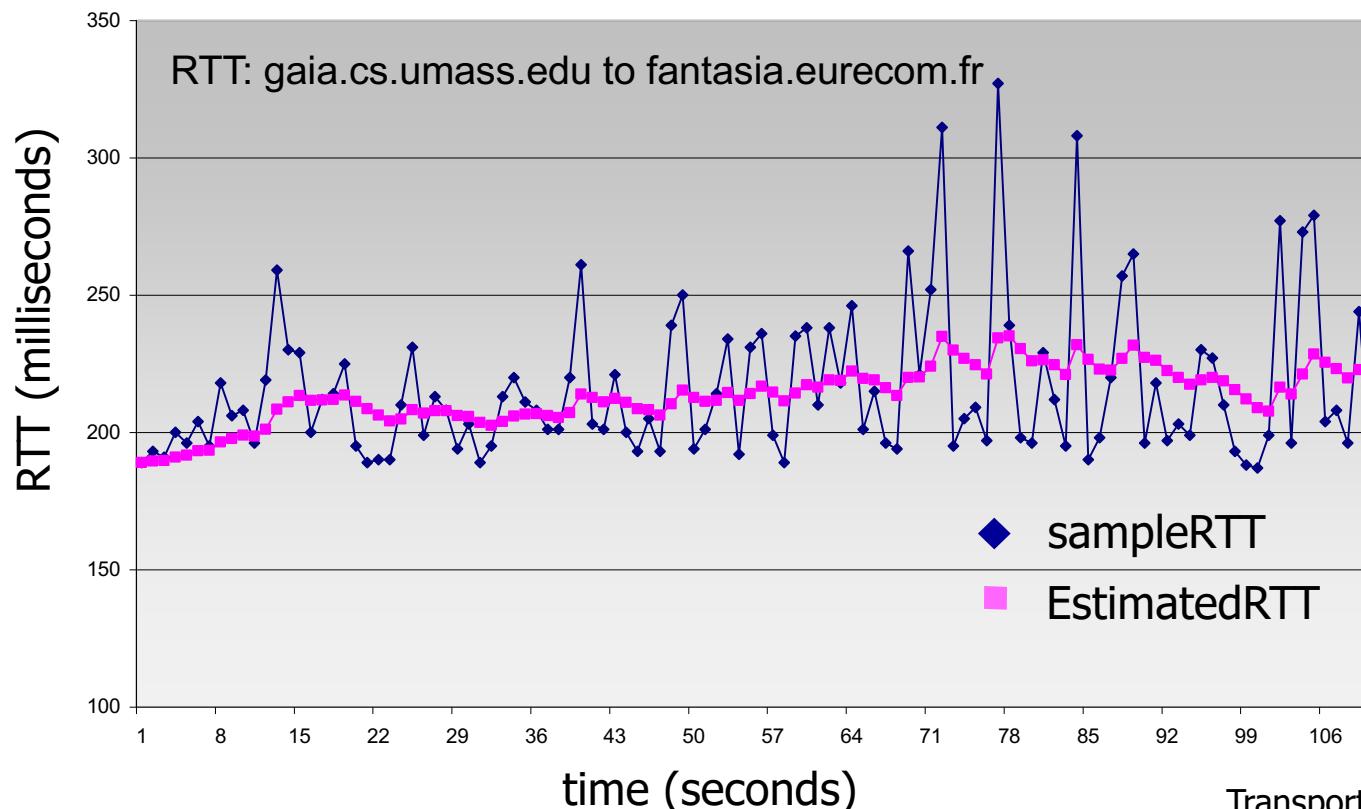
**Q:** how to estimate RTT?

- ❖ **SampleRTT**: measured time from segment transmission until ACK receipt
  - ignore retransmissions
- ❖ **SampleRTT** will vary, want estimated RTT “smoother”
  - average several *recent* measurements, not just current **SampleRTT**

# TCP round trip time, timeout

$$\text{EstimatedRTT} = (1 - \alpha) * \text{EstimatedRTT} + \alpha * \text{SampleRTT}$$

- ❖ exponential weighted moving average
- ❖ influence of past sample decreases exponentially fast
- ❖ typical value:  $\alpha = 0.125$



# TCP round trip time, timeout

- ❖ **timeout interval:** **EstimatedRTT** plus “safety margin”
  - large variation in **EstimatedRTT** -> larger safety margin
- ❖ estimate SampleRTT deviation from EstimatedRTT:

$$\text{DevRTT} = (1-\beta) * \text{DevRTT} + \beta * |\text{SampleRTT} - \text{EstimatedRTT}|$$

(typically,  $\beta = 0.25$ )

$$\text{TimeoutInterval} = \text{EstimatedRTT} + 4 * \text{DevRTT}$$



estimated RTT

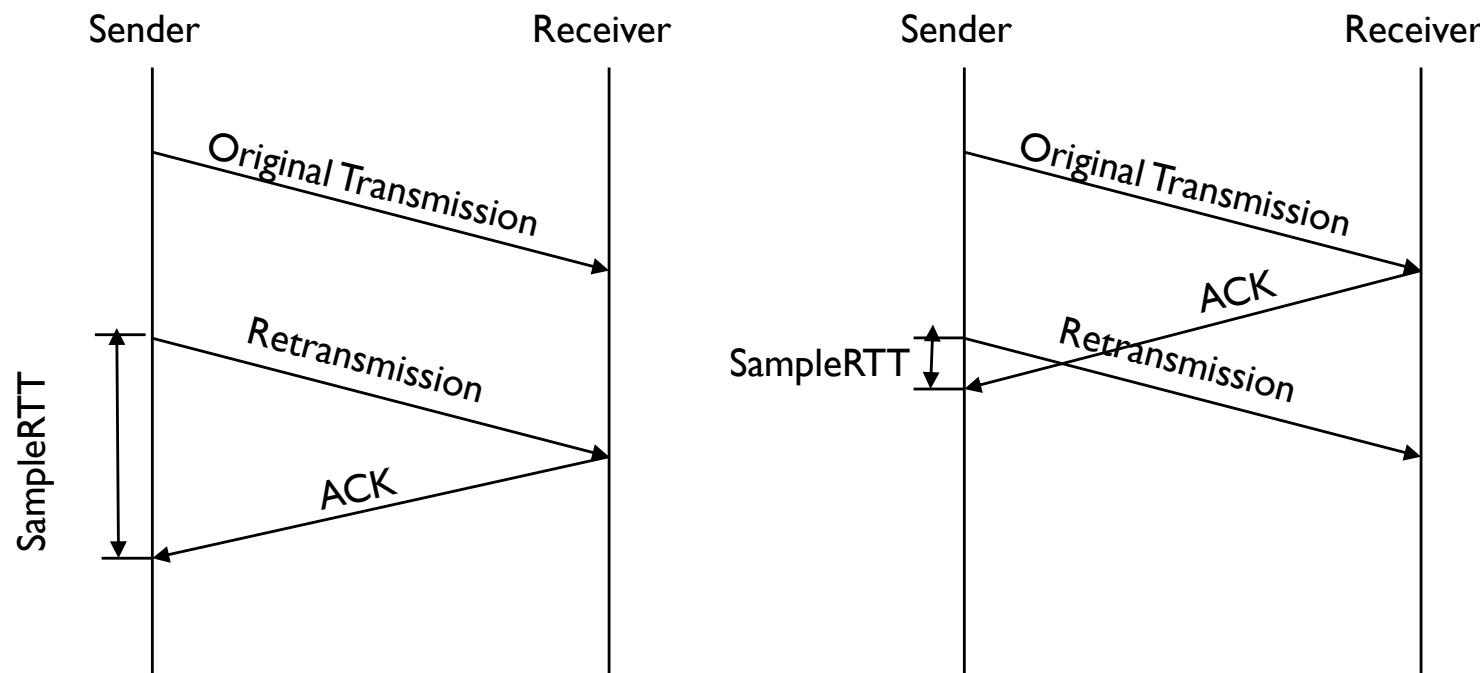
“safety margin”

Practice Problem:  
[http://wps.pearsoned.com/ecs\\_kurose\\_compnetw\\_6/216/55463/14198700.cw/index.html](http://wps.pearsoned.com/ecs_kurose_compnetw_6/216/55463/14198700.cw/index.html)

# Why exclude retransmissions in RTT computation?

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- ❖ How do we differentiate between the real ACK, and ACK of the retransmitted packet?



# TCP sender events:

PUTTING IT  
TOGETHER

## *data rcvd from app:*

- ❖ create segment with seq #
- ❖ seq # is byte-stream number of first data byte in segment
- ❖ start timer if not already running
  - think of timer as for oldest unacked segment
  - expiration interval: `TimeOutInterval`

## *timeout:*

- ❖ retransmit segment that caused timeout

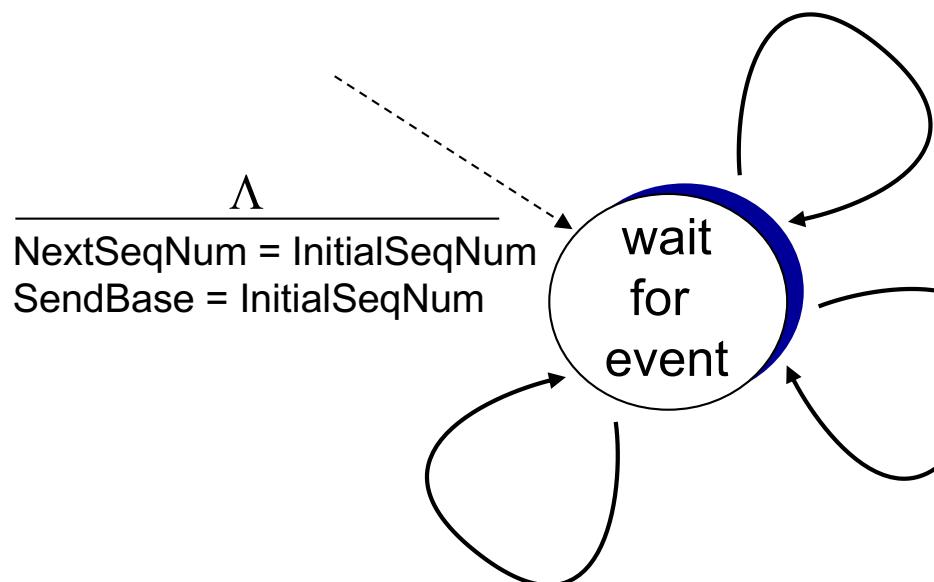
- ❖ restart timer

## *ack rcvd:*

- ❖ if ack acknowledges previously unacked segments
  - update what is known to be ACKed
  - start timer if there are still unacked segments

# TCP sender (simplified)

PUTTING IT  
TOGETHER



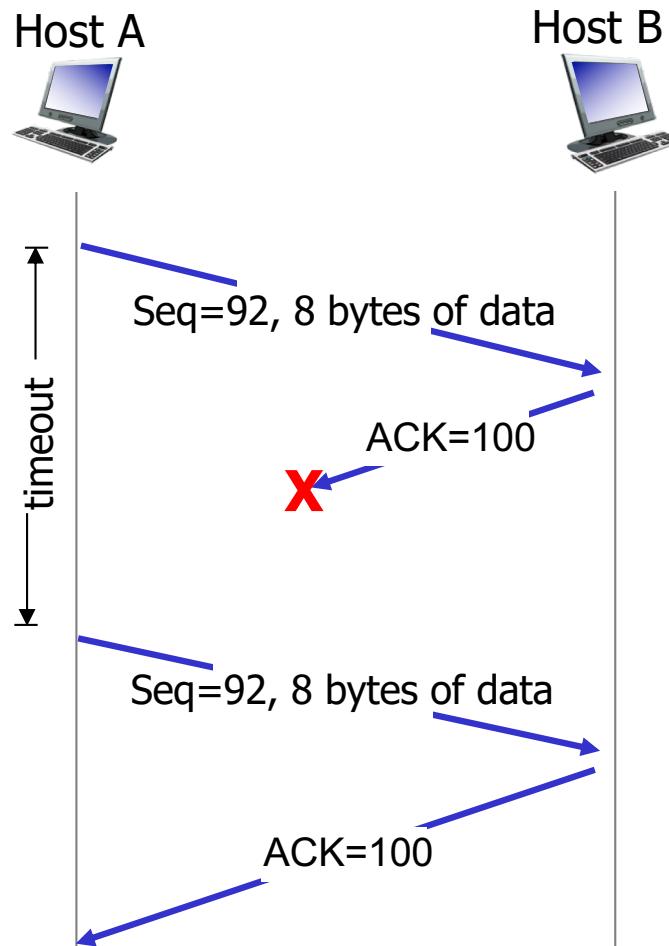
```
if (y > SendBase) {  
    SendBase = y  
    /* SendBase-1: last cumulatively ACKed byte */  
    if (there are currently not-yet-acked segments)  
        start timer  
    else stop timer  
}
```

data received from application above  
create segment, seq. #: NextSeqNum  
pass segment to IP (i.e., “send”)  
 $\text{NextSeqNum} = \text{NextSeqNum} + \text{length(data)}$   
if (timer currently not running)  
    start timer

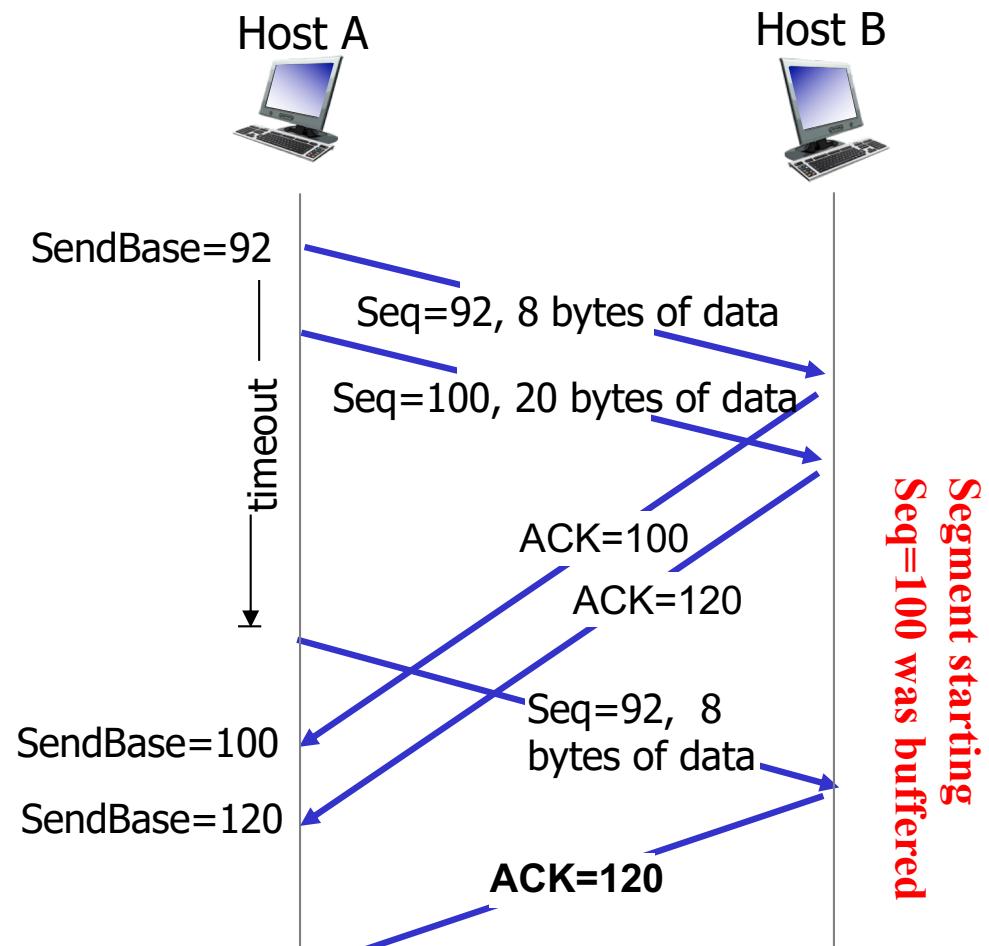
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timeout  
retransmit not-yet-acked segment  
    with smallest seq. #  
    start timer

# TCP: retransmission scenarios

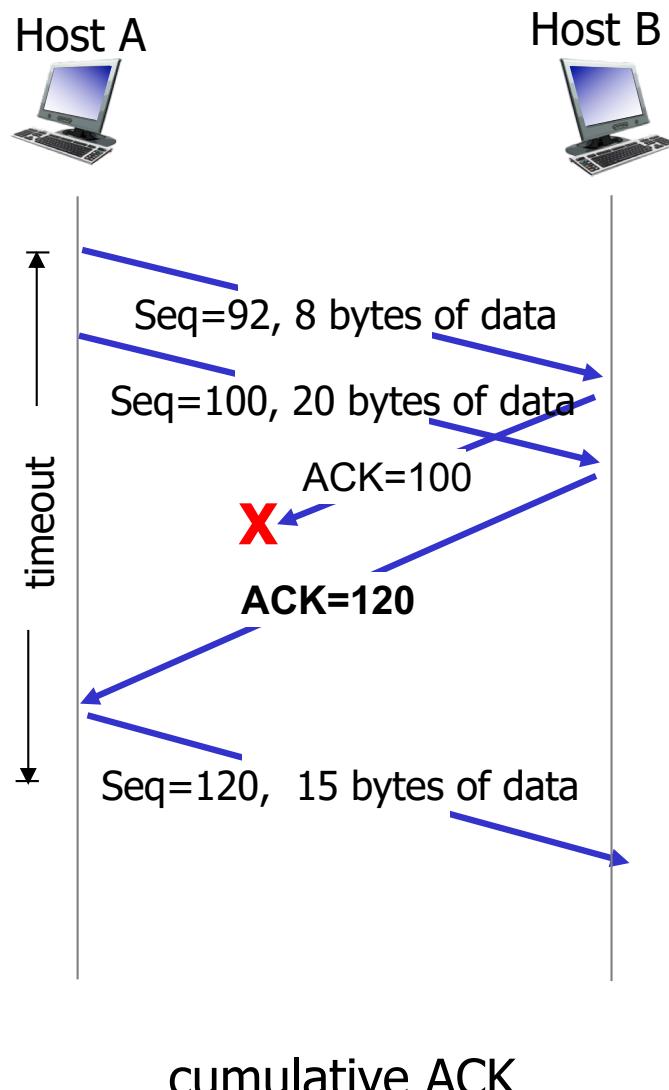


lost ACK scenario



premature timeout

# TCP: retransmission scenarios



# TCP ACK generation [RFC 1122, RFC 2581]

<i>event at receiver</i>	<i>TCP receiver action</i>
arrival of in-order segment with expected seq #. All data up to expected seq # already ACKed	delayed ACK. Wait up to 500ms for next segment. If no next segment, send ACK
arrival of in-order segment with expected seq #. One other segment has ACK pending	immediately send single cumulative ACK, ACKing both in-order segments
arrival of out-of-order segment higher-than-expect seq. # . Gap detected	immediately send <i>duplicate ACK</i> , indicating seq. # of next expected byte
arrival of segment that partially or completely fills gap	immediate send ACK, provided that segment starts at lower end of gap

# What does TCP do?

Most of our previous tricks, but a few differences

- ❖ Checksum
- ❖ Sequence numbers are byte offsets
- ❖ Receiver sends cumulative acknowledgements (like GBN)
- ❖ Receivers may not drop out-of-sequence packets (like SR)
- ❖ Sender maintains a single retransmission timer (like GBN) and retransmits on timeout
- ❖ Introduces **fast retransmit**: optimisation that uses duplicate ACKs to trigger early retransmission

# TCP fast retransmit

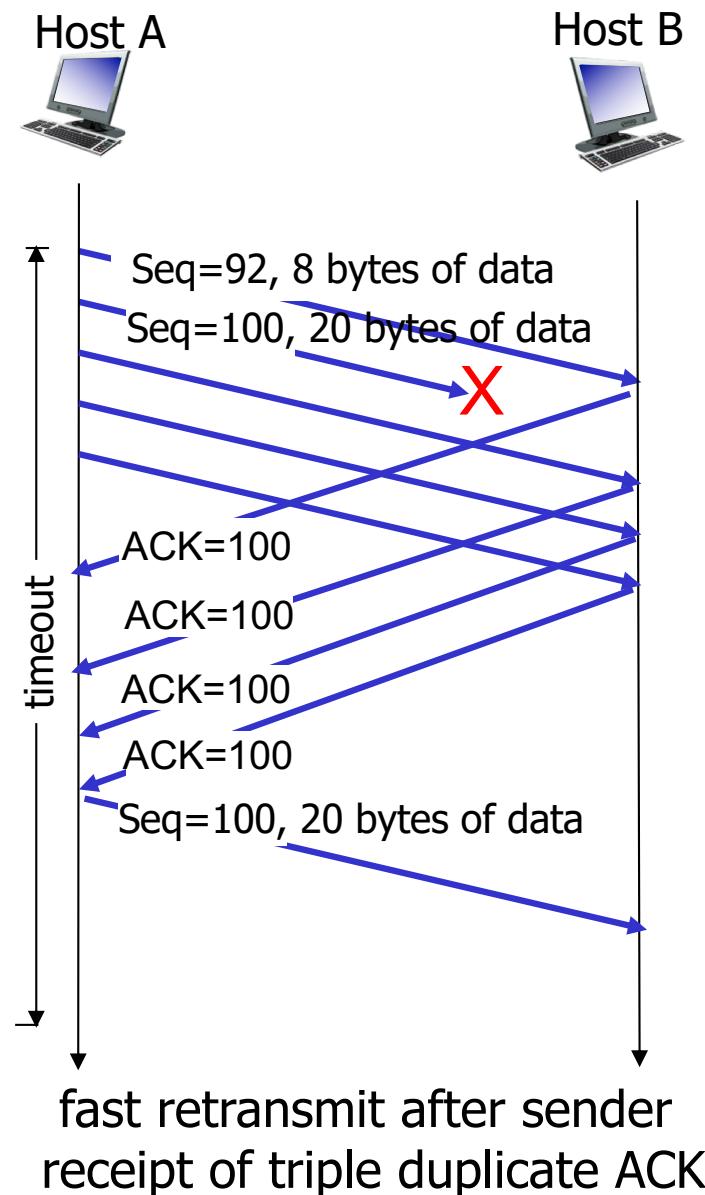
- ❖ time-out period often relatively long:
  - long delay before resending lost packet
- ❖ “Duplicate ACKs” are a sign of an isolated loss
  - The lack of ACK progress means that packet hasn’t been delivered
  - Stream of ACKs means some packets are being delivered
  - Could trigger resend on receiving “k” duplicate ACKs (TCP uses k = 3)

## *TCP fast retransmit*

if sender receives 3 duplicate ACKs for same data (“triple duplicate ACKs”), resend unacked segment with smallest seq #

- likely that unacked segment is lost, so don’t wait for timeout

# TCP fast retransmit



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3.5 connection-oriented transport: TCP

- segment structure
- reliable data transfer
- **flow control**
- connection management

3.6 principles of congestion control

3.7 TCP congestion control

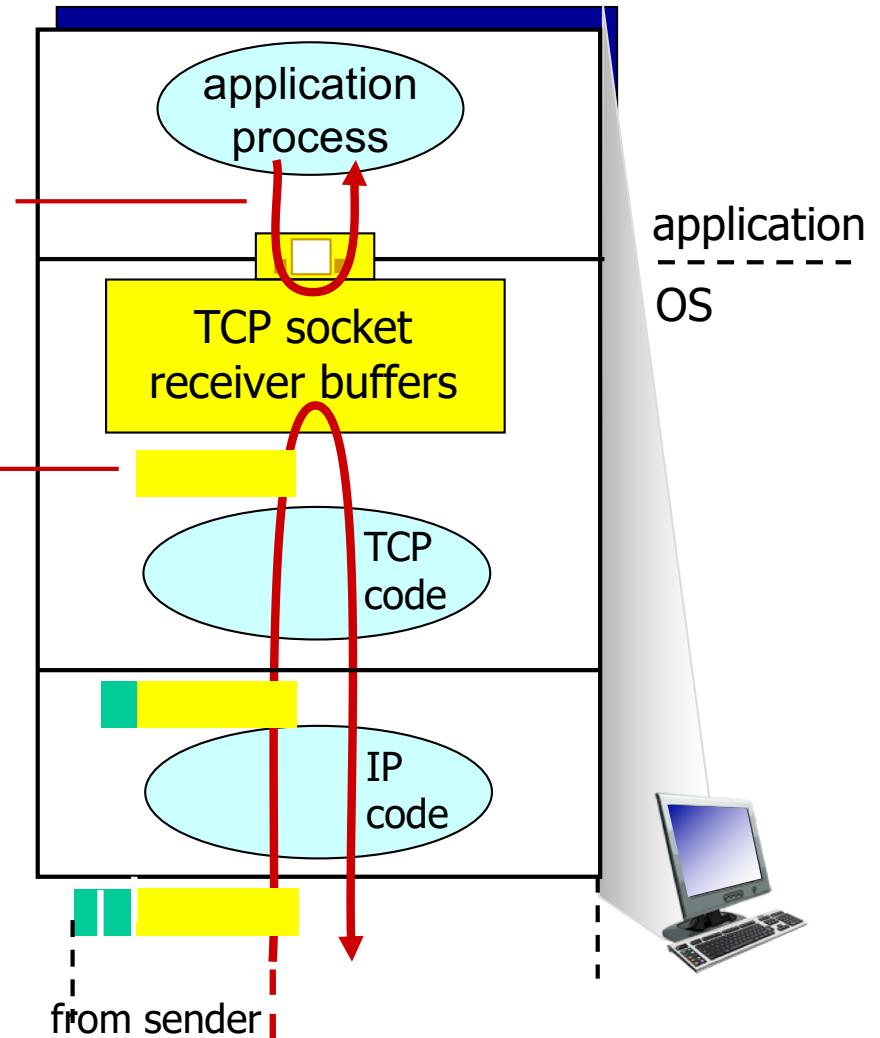
# TCP flow control

## *flow control*

receiver controls sender, so  
sender won't overflow  
receiver's buffer by transmitting  
too much, too fast

application may  
remove data from  
TCP socket buffers ....

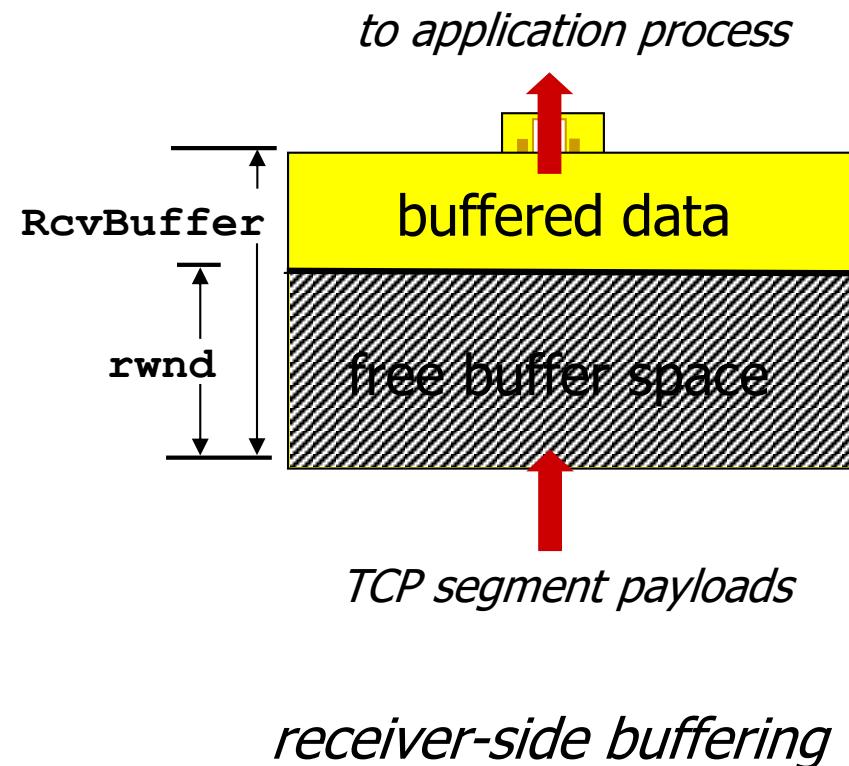
... slower than TCP  
receiver is delivering  
(sender is sending)



receiver protocol stack

# TCP flow control

- ❖ receiver “advertises” free buffer space by including **rwnd** value in TCP header of receiver-to-sender segments
  - **RcvBuffer** size set via socket options (typical default is 4096 bytes)
  - many operating systems autoadjust **RcvBuffer**
- ❖ sender limits amount of unacked (“in-flight”) data to receiver’s **rwnd** value
- ❖ guarantees receive buffer will not overflow



# Transport Layer Outline

3.1 transport-layer services

3.2 multiplexing and demultiplexing

3.3 connectionless transport: UDP

3.4 principles of reliable data transfer

3.5 connection-oriented transport: TCP

- segment structure
- reliable data transfer
- flow control
- connection management

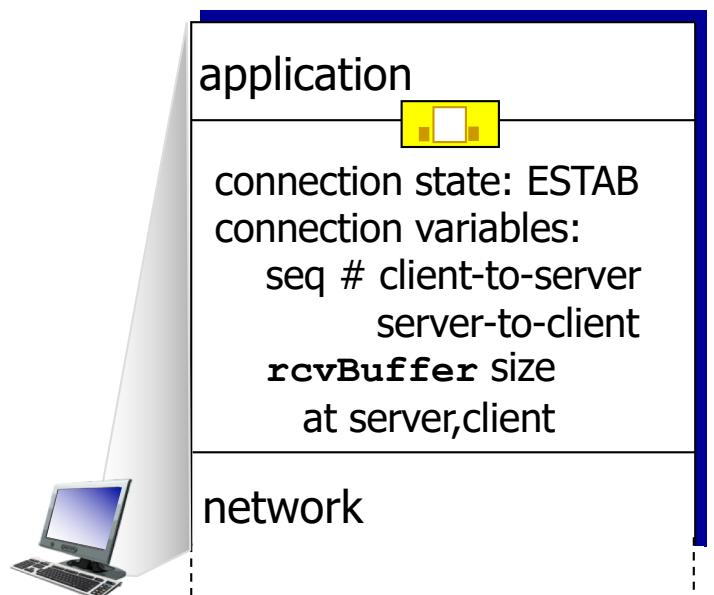
3.6 principles of congestion control

3.7 TCP congestion control

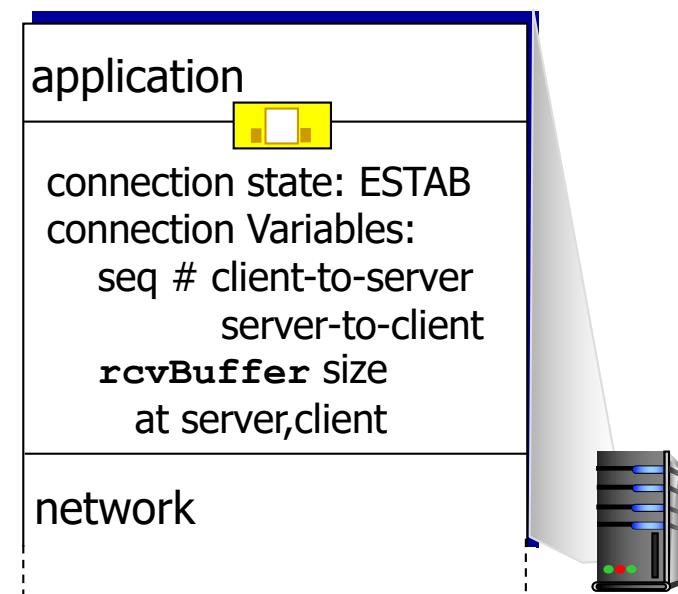
# Connection Management

before exchanging data, sender/receiver “handshake”:

- ❖ agree to establish connection (each knowing the other willing to establish connection)
- ❖ agree on connection parameters



```
Socket clientSocket =  
    newSocket("hostname", "port  
    number");
```

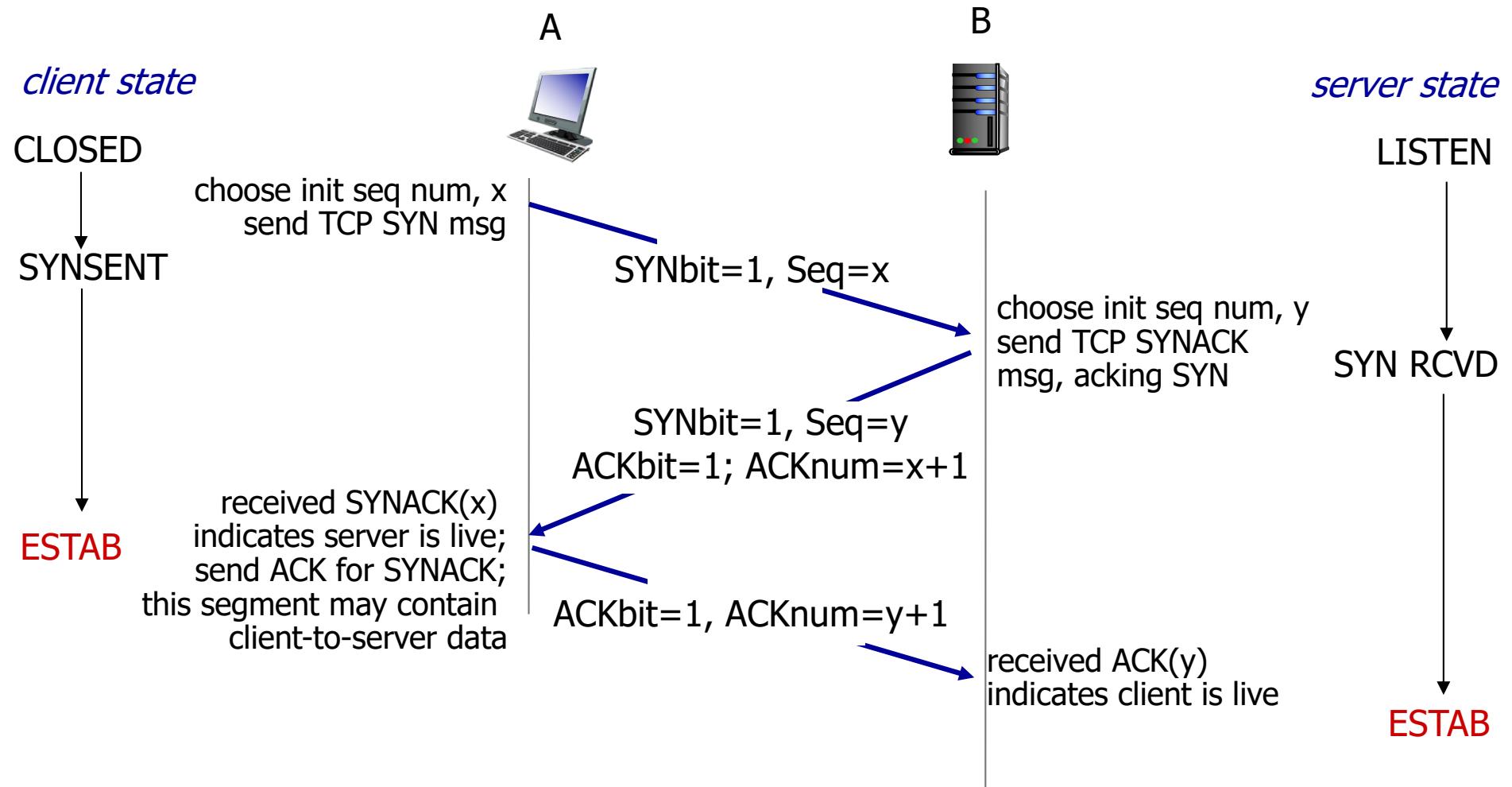


```
Socket connectionSocket =  
    welcomeSocket.accept();
```

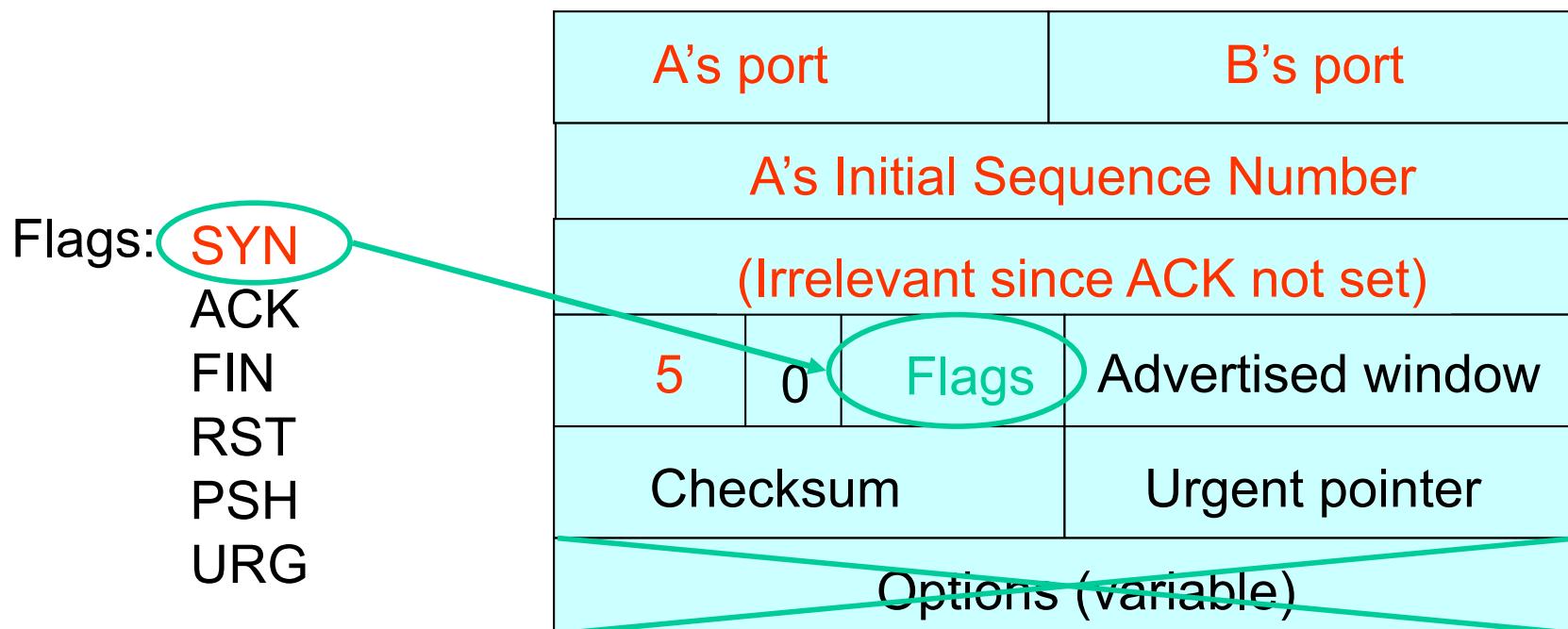
# Initial Sequence Number (ISN)

- ❖ Sequence number for the very first byte
- ❖ Why not just use ISN = 0?
- ❖ Practical issue
  - IP addresses and port #s uniquely identify a connection
  - Eventually, though, these port #s do get **used again**
  - ... small chance an old packet is **still in flight**
  - Easy to hijack a TCP connection (security threat)
- ❖ TCP therefore **requires** changing ISN
- ❖ Hosts exchange ISNs when they establish a connection

# TCP 3-way handshake



# Step 1: A's Initial SYN Packet



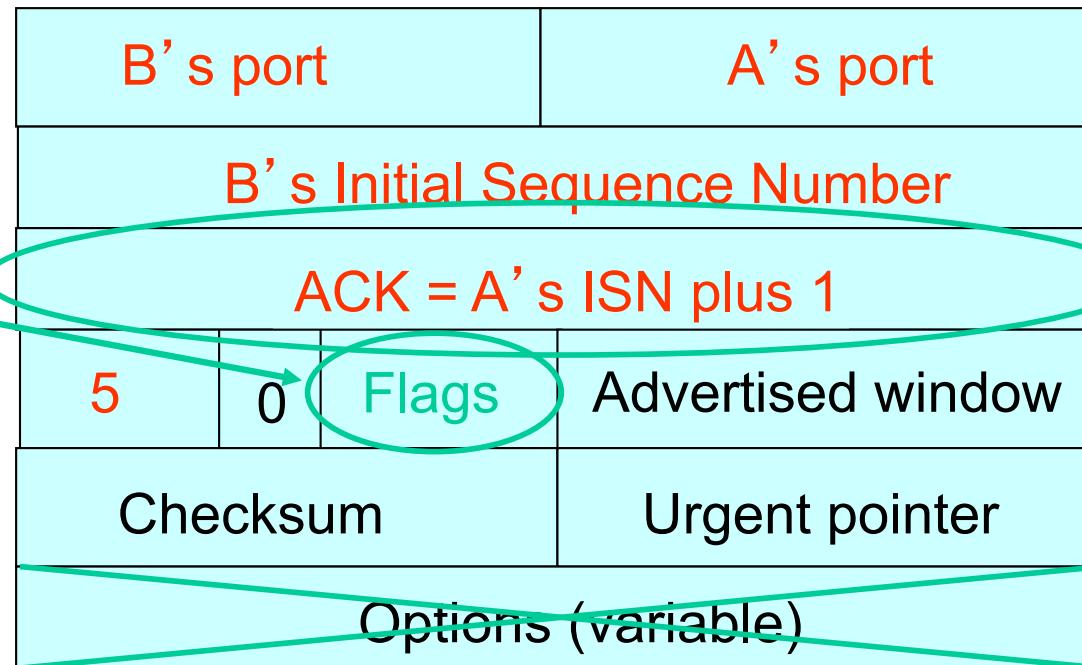
**A tells B it wants to open a connection...**

# Step 2: B's SYN-ACK Packet

Flags:

SYN  
ACK

FIN  
RST  
PSH  
URG

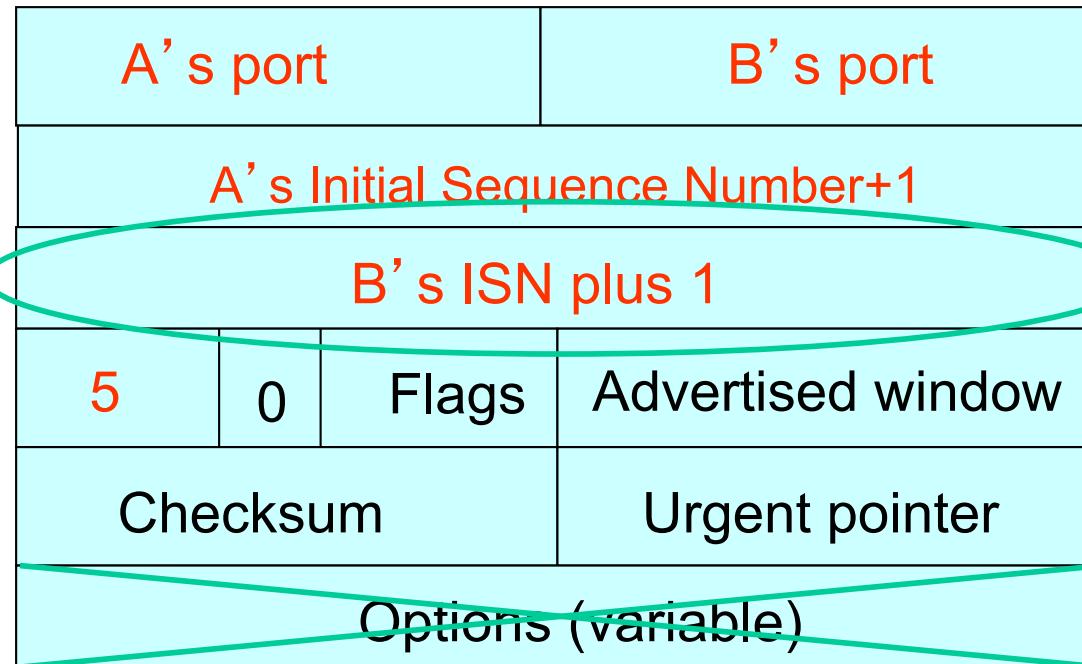


**B tells A it accepts, and is ready to hear the next byte...**

**... upon receiving this packet, A can start sending data**

# Step 3: A's ACK of the SYN-ACK

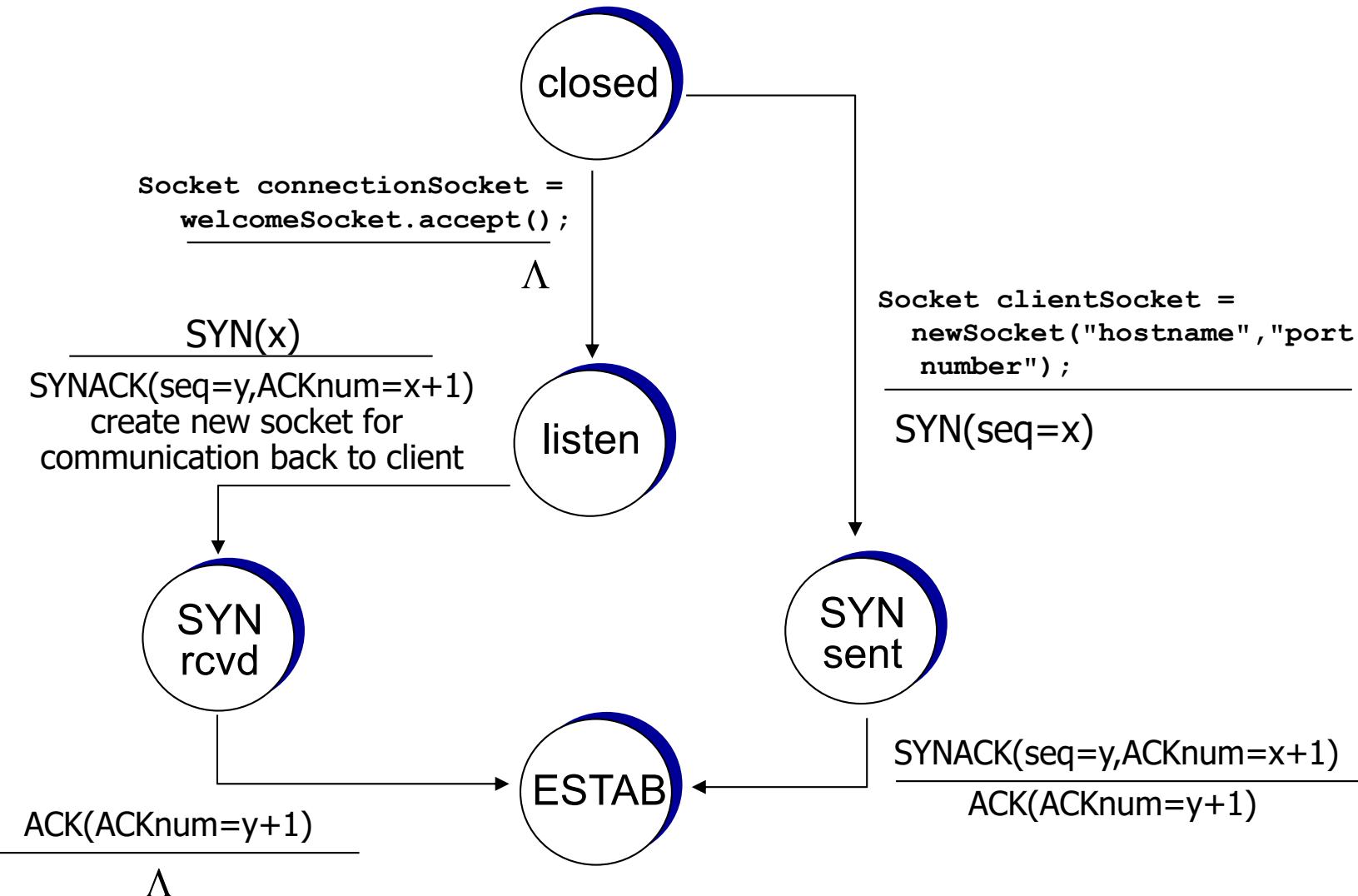
Flags: **SYN**  
**ACK**  
FIN  
RST  
PSH  
URG



**A tells B it's likewise okay to start sending**

**... upon receiving this packet, B can start sending data**

# TCP 3-way handshake: FSM



# What if the SYN Packet Gets Lost?

---

- ❖ Suppose the SYN packet gets lost
  - Packet is lost inside the network, or:
  - Server **discards** the packet (e.g., it's too busy)
- ❖ Eventually, no SYN-ACK arrives
  - Sender sets a **timer** and **waits** for the SYN-ACK
  - ... and retransmits the SYN if needed
- ❖ How should the TCP sender set the timer?
  - Sender has **no idea** how far away the receiver is
  - Hard to guess a reasonable length of time to wait
  - **SHOULD** (RFCs 1122 & 2988) use default of **3 seconds**
    - Some implementations instead use 6 seconds

# SYN Loss and Web Downloads

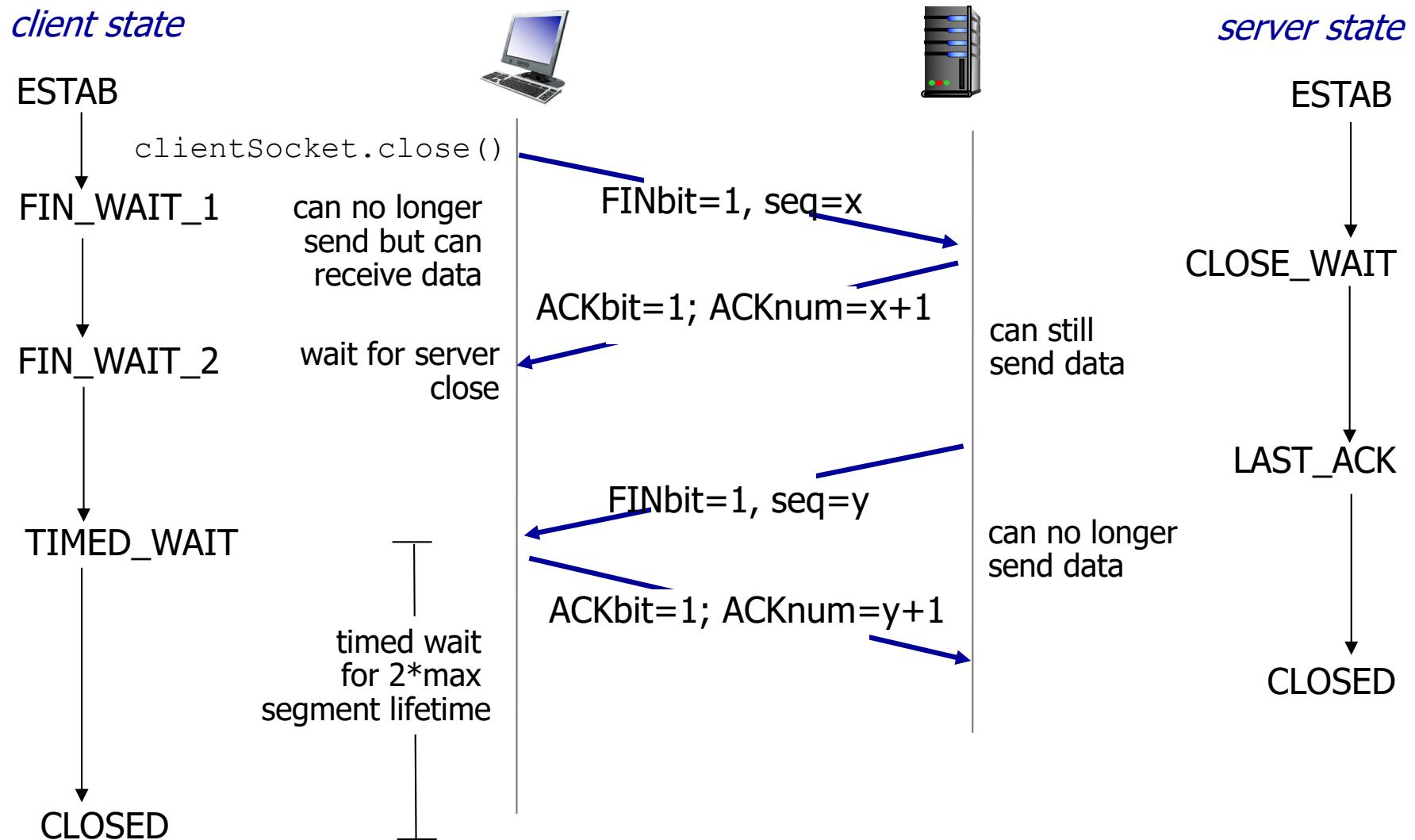
---

- ❖ User clicks on a hypertext link
  - Browser creates a socket and does a “connect”
  - The “connect” triggers the OS to transmit a SYN
- ❖ If the SYN is lost...
  - 3-6 seconds of delay: can be **very long**
  - User may become impatient
  - ... and click the hyperlink again, or click “reload”
- ❖ User triggers an “abort” of the “connect”
  - Browser creates a **new** socket and another “connect”
  - Essentially, forces a faster send of a new SYN packet!
  - Sometimes very effective, and the page comes quickly

# TCP: closing a connection

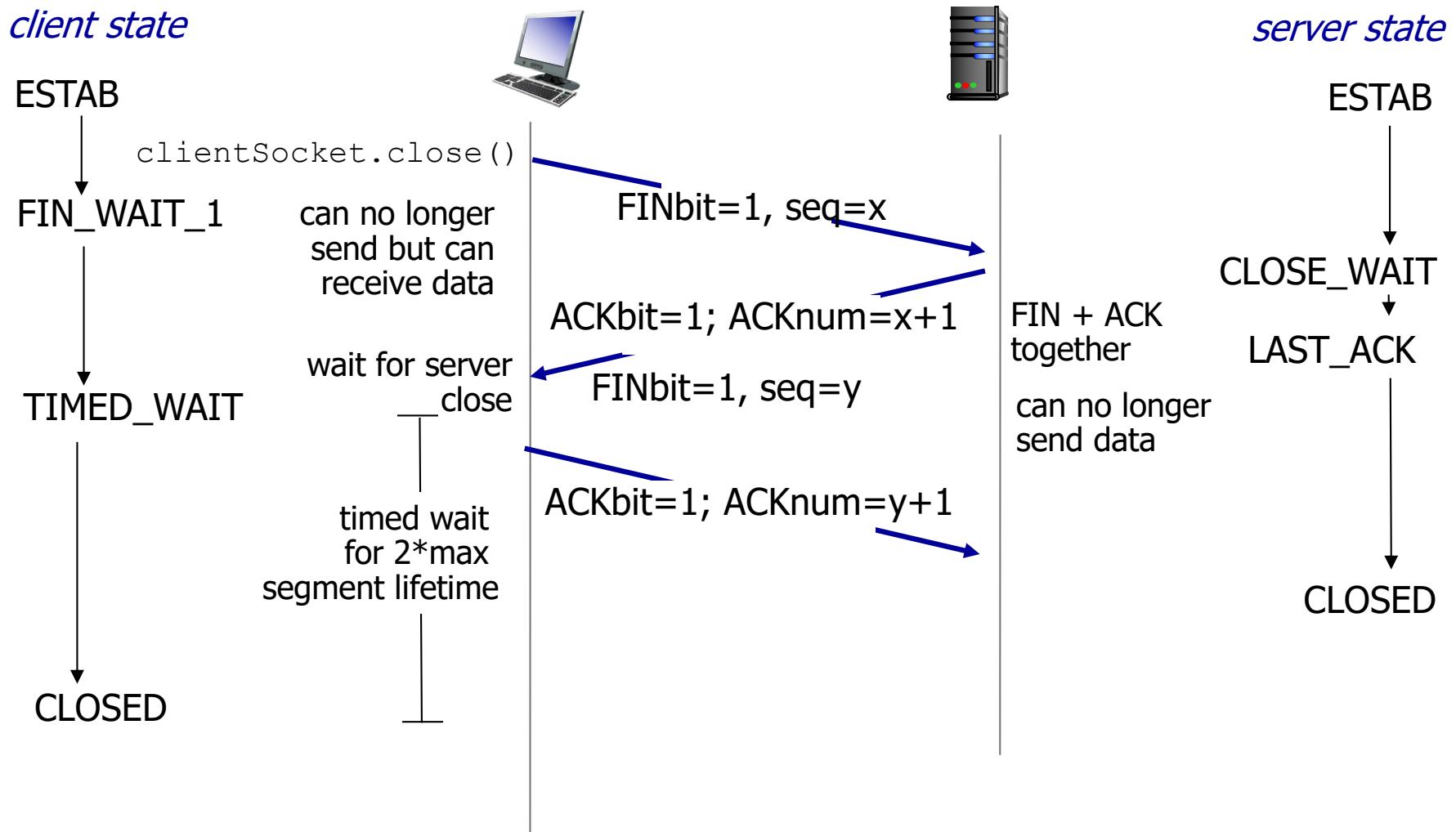
- ❖ client, server each close their side of connection
  - send TCP segment with FIN bit = 1
- ❖ respond to received FIN with ACK
  - on receiving FIN, ACK can be combined with own FIN
- ❖ simultaneous FIN exchanges can be handled

# Normal Termination, One at a Time

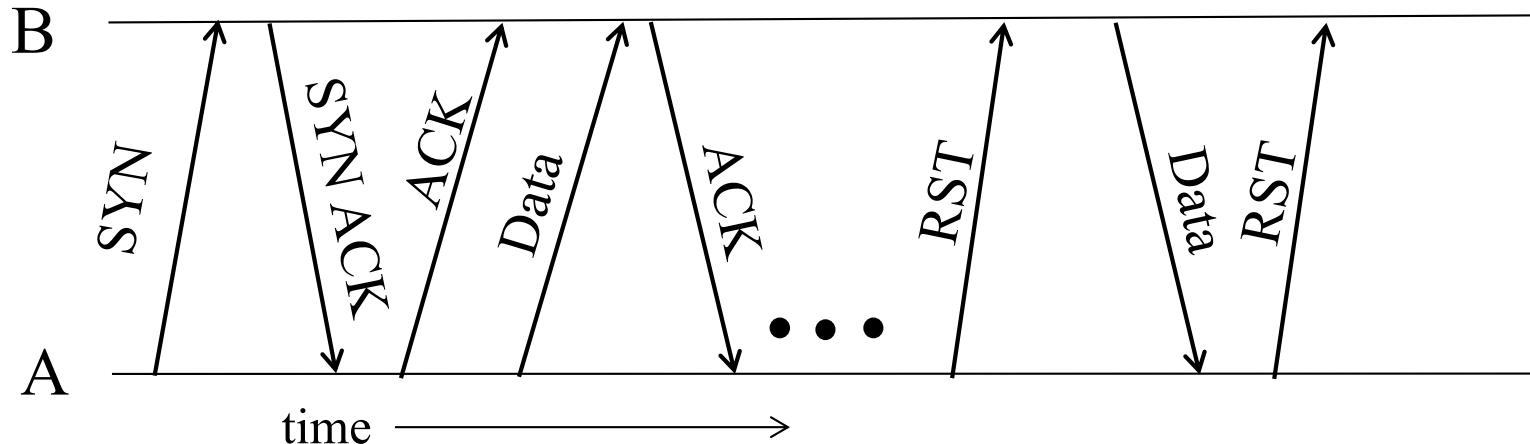


TIMED\_WAIT: Can retransmit ACK if last ACK or FIN is lost

# Normal Termination, Both Together

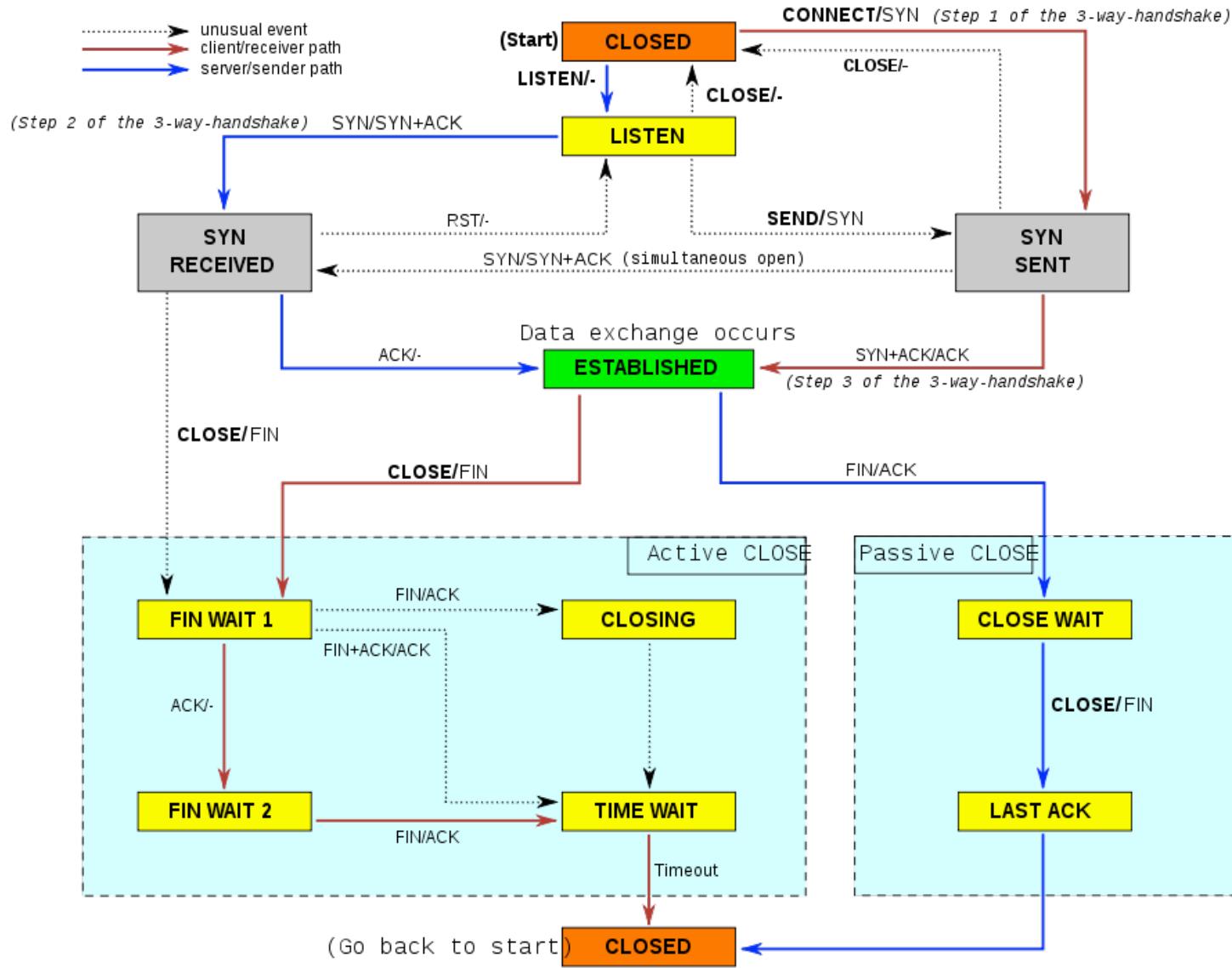


# Abrupt Termination

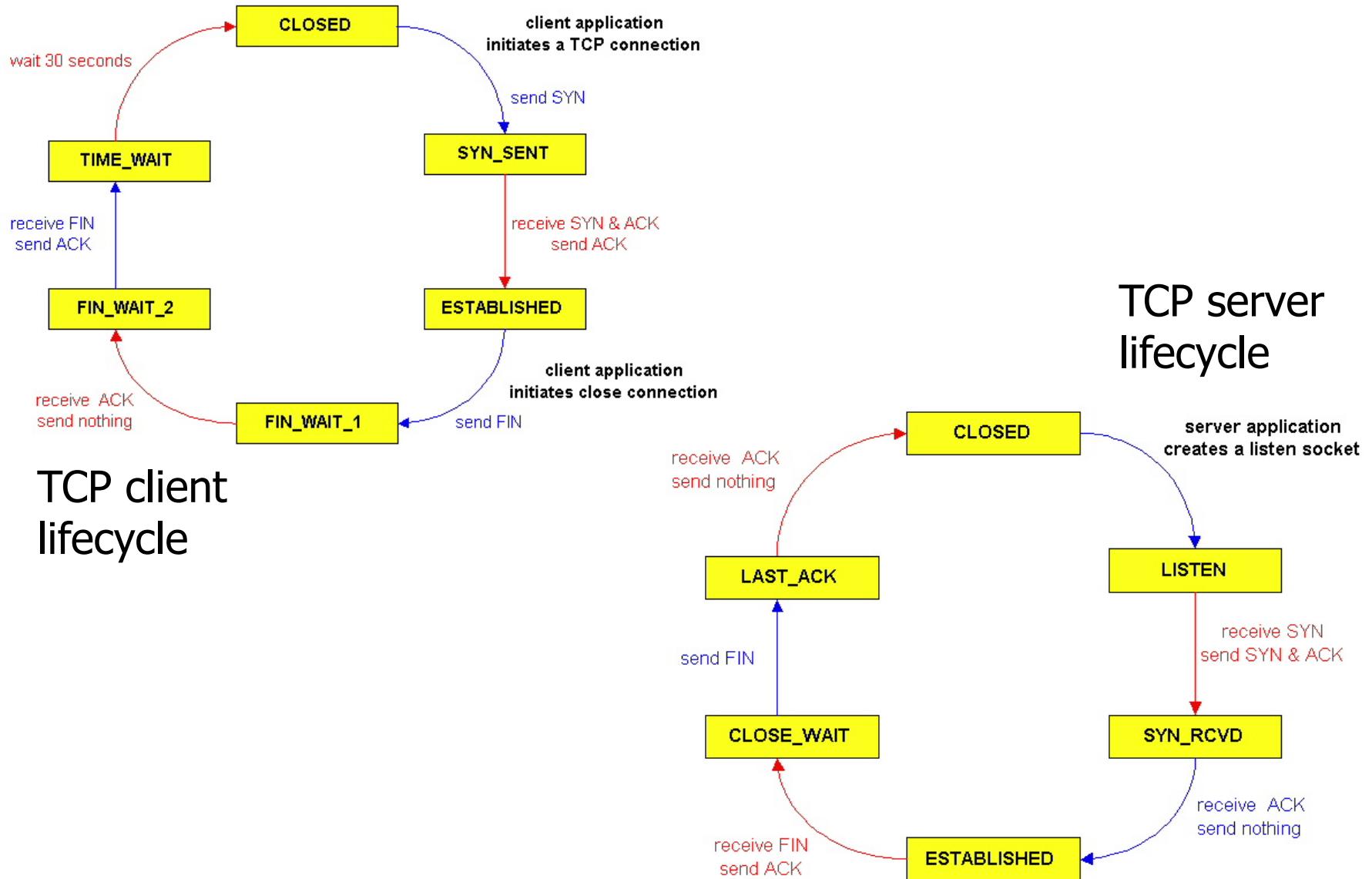


- ❖ A sends a RESET (**RST**) to B
  - E.g., because application process on A **crashed**
- ❖ **That's it**
  - B does **not** ack the **RST**
  - Thus, **RST** is **not** delivered **reliably**
  - And: any data in flight is **lost**
  - But: if B sends anything more, will elicit **another RST**

# TCP Finite State Machine (self-study)



# TCP Connection Management (cont)



# TCP SYN Attack (SYN flooding)

## (self-study)

- ❖ Miscreant creates a fake SYN packet
  - Destination is IP address of victim host (usually some server)
  - Source is some spoofed IP address
- ❖ Victim host on receiving creates a TCP connection state i.e allocates buffers, creates variables, etc and sends SYN ACK to the spoofed address (half-open connection)
- ❖ ACK never comes back
- ❖ After a timeout connection state is freed
- ❖ However for this duration the connection state is unnecessarily created
- ❖ Further miscreant sends large number of fake SYNs
  - Can easily overwhelm the victim
- ❖ Solutions:
  - Increase size of connection queue
  - Decrease timeout wait for the 3-way handshake
  - Firewalls: list of known bad source IP addresses
  - TCP SYN Cookies (explained on next slide)

# TCP SYN Cookie (self-study)

- ❖ On receipt of SYN, server does not create connection state
- ❖ It creates an initial sequence number (*init\_seq*) that is a hash of source & dest IP address and port number of SYN packet (secret key used for hash)
  - Replies back with SYN ACK containing *init\_seq*
  - Server does not need to store this sequence number
- ❖ If original SYN is genuine, an ACK will come back
  - Same hash function run on the same header fields to get the initial sequence number (*init\_seq*)
  - Checks if the ACK is equal to (*init\_seq+1*)
  - Only create connection state if above is true
- ❖ If fake SYN, no harm done since **no state was created**

<http://etherealmind.com/tcp-syn-cookies-ddos-defence/>

# Transport: summary (so far)

- ❖ principles behind transport layer services:
  - multiplexing, demultiplexing
  - reliable data transfer
  - flow control
  - **congestion control (next week)**
- ❖ instantiation, implementation in the Internet
  - UDP
  - TCP

## next:

- ❖ leaving the network “edge” (application, transport layers)
- ❖ into the network “core”