Cache Attacks and Countermeasures: The Case of AES

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Abstract. We describe several software side-channel attacks based on inter-process leakage through the state of the CPU's memory cache. This leakage reveals memory access patterns, which can be used for cryptanalysis of cryptographic primitives that employ data-dependent table lookups. The attacks allow an unprivileged process to attack other processes running in parallel on the same processor, despite partitioning methods such as memory protection, sandboxing and virtualization. Some of our methods require only the ability to trigger services that perform encryption or MAC using the unknown key, such as encrypted disk partitions or secure network links. Moreover, we demonstrate an extremely strong type of attack, which requires knowledge of neither the specific plaintexts nor ciphertexts, and works by merely monitoring the effect of the cryptographic process on the cache. We discuss in detail several such attacks on AES, and experimentally demonstrate their applicability to real systems, such as OpenSSL and Linux's dm-crypt encrypted partitions (in the latter case, the full key can be recovered after just 800 writes to the partition, taking 65 milliseconds). Finally, we describe several countermeasures for mitigating such attacks.

Keywords: side-channel attack, cache, memory access, cryptanalysis, AES.

1 Introduction

1.1 Overview

Many computer systems concurrently execute programs with different privileges, employing various partitioning methods to facilitate the desired access control semantics. These methods include kernel vs. userspace separation, process memory protection, filesystem permissions and chroot, and various approaches to virtual machines and sandboxes. All of these rely on a model of the underlying machine to obtain the desired access control semantics. However, this model is often idealized and does not reflect many intricacies of actual implementation.

In this paper we show how a low-level implementation detail of modern CPUs, namely the structure of memory caches, causes subtle indirect interaction between processes running on the same processor. This leads to cross-process information leakage. In essence, the cache forms a shared resource which all processes

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compete for, and it thus affects and is affected by every process. While the data stored in the cache is protected by virtual memory mechanisms, the metadata about the contents of the cache, and hence the memory access patterns of processes using that cache, is not fully protected.

We describe several methods an attacker can use to learn about the memory access patterns of another process. These are classified into methods that affect the state of the cache and then measure the effect on the running time of the encryption, and methods that investigate the state of the cache after or during encryption. The latter are found to be particularly effective and noise-resistant.

We demonstrate the cryptanalytic applicability of these methods to the Advanced Encryption Standard (AES, [11]) by showing a known-plaintext (or known-ciphertext) attack that performs efficient full key extraction. For example, an implementation of one variant of the attack performs full AES key extraction from the dm-crypt system of Linux using only 800 accesses to an encrypted file, 65ms of measurements and 3 seconds of analysis; attacking simpler systems, such as "black-box" OpenSSL library calls, is even faster at 13ms and 300 encryptions.

One variant of our attack has the unusual property of performing key extraction without knowledge of either the plaintext or the ciphertext. This is an unusually strong form of attack in which an unprivileged process can, just by accessing its own memory space, obtain bits from a secret AES key used by another process, without any (explicit) communication between the two. This too is demonstrated experimentally.

Implementing AES in a way that is impervious to this attack, let alone developing an efficient generic countermeasure, appears non-trivial; in Section 5, various countermeasures are described and analyzed.

Many details and variants have been omitted due to space constraints; see http://www.wisdom.weizmann.ac.il/~tromer/cache for an extended version.

1.2 Related Works

The possibility of cross-process leakage via cache state has been mentioned in several previous works. It was considered in 1992 by Hu [7] in the context of intentional transmission via covert channels. In 1998, Kelsey et al. [8] mentioned the prospect of "attacks based on cache hit ratio in large S-box ciphers". In 2002, Page [9] described theoretical attacks using cache misses, but assumed the ability to identify cache misses with very high temporal resolution; its applicability in realistic scenarios is unclear. In 2003, Tsunoo et al. [15] described attacks using timing effects due to collisions in the memory lookups *inside* the cipher, as opposed to the cipher-attacker collisions we investigate.

Concurrently with but independently of our work, Bernstein [2] describes attacks on AES that exploit timing variability due to cache effects; his attack can be seen as a variant of our Evict+Time measurement method (see Section 3.4). The main difference is that [2] does not use an explicit model of the cache and active manipulation, but rather relies only on the existence of some consistent statistical timing pattern due to various uncontrolled memory access effects. The resulting attack is simpler and more portable, but have several shortcomings.

First, it requires reference measurements of encryption under *known* key in an identical configuration, and these are often not readily available (e.g., a user may be able to write data to an encrypted filesystem, but creating a reference filesystem with a known key is a privileged operation). Second, the attack of [2] relies on timing the encryption and thus, similarly to our Evict+Time method, seems impractical on many real systems due to excessively low signal-to-noise ratio; our alternative methods (Sections 3.5 and 4) address this. Third, even when the attack of [2] works, it requires a much higher number of analyzed encryptions.¹

Also concurrently with but independently of our work, Percival [14] describes a cache-based attack on RSA for processors with simultaneous multithreading. The measurement method is similar to one variant of our asynchronous attack (Section 4), but the cryptanalytic aspect is very different since the algorithms and time scales involved in RSA encryption are very different from those of AES. Both [2] and [14] contain discussions of countermeasures against the respective attacks, and some of these are also relevant to our attacks (see Section 5).

Koeune and Quisquater [6] described a timing attack on a "bad implementation" of AES which uses its algebraic description in a "careless way" (namely, using a conditional branch in the MixColumn operation). That attack is not applicable to common software implementations, but should be taken into account in regard to certain countermeasures against our attack (see Section 5.2).

Leakage of memory access information has also been considered in other contexts, yielding theoretical [5] and practical [16][17] mitigation methods; these are discussed in Section 5.3.

2 Preliminaries

2.1 Memory and Cache Structure

Modern processors use one or more levels of set-associative memory cache. Such a cache consists of storage cells called cache lines, each consisting of B bytes. The cache is organized into S cache sets, each containing W cache lines², so overall the cache contains $S \cdot W \cdot B$ bytes. The mapping of memory addresses into the cache is limited as follows. First, the cache holds copies of aligned blocks of B bytes in main memory, which we will term memory blocks; when a cache miss occurs, a full memory block is copied into one of the cache lines. Second, each memory block may be cached only in a specific cache set; specifically, the memory block starting at address a can be cached only in the W cache lines belonging to cache set $\lfloor a/B \rfloor \mod S$. See Figure 1(a). Thus, the memory blocks are partitioned into S classes, where the blocks in each class contend for the cache lines in a single cache set.

¹ In our experiments the attack code of [2] failed to get a signal from dm-crypt even after a 10 hours run, whereas in an identical setup our Prime+Probe performed full key recovery using 65ms of measurements.

 $^{^2}$ In common terminology, W is called the associativity and the cache is called $W\hbox{-}way$ associative.

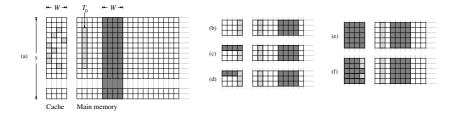


Fig. 1. (a) Schematic of a set-associative cache. The light gray blocks represent a cached AES lookup table. The dark gray blocks represent the attacker's memory. States (b)-(d) depict Evict+Time and (e)-(f) depict Prime+Probe (see Section 3).

2.2 Memory Access in AES Implementations

This paper focuses on AES (see Section 6.1 for a discussion of other ciphers). Performance-oriented implementations on 32-bit (or higher) processors typically use the following formulation, as prescribed in the Rijndael AES submission [4].³

Several lookup tables are precomputed once by the programmer or during system initialization. There are 8 such tables, T_0, \ldots, T_3 and $T_0^{(10)}, \ldots, T_3^{(10)}$, each containing 256 4-byte words. The contents of the tables, defined in [4], are inconsequential for most of our attacks.

During key setup, a given 16-byte secret key $\mathbf{k} = (k_0, \dots, k_{15})$ is expanded into 10 round keys⁴, $\mathbf{K}^{(r)}$ for $r = 1, \dots, 10$. Each round key is divided into 4 words of 4 bytes each: $\mathbf{K}^{(r)} = (K_0^{(r)}, K_1^{(r)}, K_2^{(r)}, K_3^{(r)})$. The 0-th round key is just the raw key: $K_j^{(0)} = (k_{4j}, k_{4j+1}, k_{4j+2}, k_{4j+3})$ for j = 0, 1, 2, 3. The details of the rest of the expansion are mostly inconsequential.

Given a 16-byte plaintext $\boldsymbol{p}=(p_0,\ldots,p_{15})$, encryption proceeds by computing a 16-byte intermediate state $\boldsymbol{x}^{(r)}=(x_0^{(r)},\ldots,x_{15}^{(r)})$ at each round r. The initial state $\boldsymbol{x}^{(0)}$ is computed by $x_i^{(0)}=p_i\oplus k_i$ $(i=0,\ldots,15)$. Then, the first 9 rounds are computed by updating the intermediate state as follows, for $r=0,\ldots,8$:

$$(x_{0}^{(r+1)},x_{1}^{(r+1)},x_{2}^{(r+1)},x_{3}^{(r+1)},x_{3}^{(r+1)}) \leftarrow T_{0}[x_{0}^{(r)}] \oplus T_{1}[x_{5}^{(r)}] \oplus T_{2}[x_{10}^{(r)}] \oplus T_{3}[x_{15}^{(r)}] \oplus K_{0}^{(r+1)}$$

$$(x_{4}^{(r+1)},x_{5}^{(r+1)},x_{6}^{(r+1)},x_{7}^{(r+1)}) \leftarrow T_{0}[x_{4}^{(r)}] \oplus T_{1}[x_{9}^{(r)}] \oplus T_{2}[x_{14}^{(r)}] \oplus T_{3}[x_{3}^{(r)}] \oplus K_{1}^{(r+1)}$$

$$(x_{8}^{(r+1)},x_{9}^{(r+1)},x_{10}^{(r+1)},x_{11}^{(r+1)}) \leftarrow T_{0}[x_{8}^{(r)}] \oplus T_{1}[x_{13}^{(r)}] \oplus T_{2}[x_{2}^{(r)}] \oplus T_{3}[x_{7}^{(r)}] \oplus K_{2}^{(r+1)}$$

$$(x_{12}^{(r+1)},x_{13}^{(r+1)},x_{14}^{(r+1)},x_{15}^{(r+1)}) \leftarrow T_{0}[x_{12}^{(r)}] \oplus T_{1}[x_{1}^{(r)}] \oplus T_{2}[x_{6}^{(r)}] \oplus T_{3}[x_{11}^{(r)}] \oplus K_{3}^{(r+1)}$$

Finally, to compute the last round (1) is repeated with r=9, except that T_0,\ldots,T_3 is replaced by $T_0^{(10)},\ldots,T_3^{(10)}$. The resulting $\boldsymbol{x}^{(10)}$ is the ciphertext. Compared to the algebraic formulation of AES, here the lookup tables account for the combination of Shiftrows, MixColumns and Subbytes operations; the change of lookup tables for the last is due to the absence of MixColumns.

 $^{^3}$ Some implementations use variant with a different table layouts; see Section 5.2.

⁴ We consider AES with 128-bit keys. The attacks can be adapted to longer keys.

2.3 Notation

We treat bytes interchangeably as integers in $\{0, ..., 255\}$ and as elements of $\{0, 1\}^8$ that can be XORed. Let δ denote the cache line size B divided by the size of each table entry (usually 4 bytes); on most platforms of interest we have $\delta = 16$. For a byte y and table T_{ℓ} , we will denote $\langle y \rangle = \lfloor y/\delta \rfloor$ and call this the memory block of y in T_{ℓ} . The significance of this notation is as follows: two bytes y, z fulfill $\langle y \rangle = \langle z \rangle$ iff, when used as lookup indices into the same table T_{ℓ} , they would cause access to the same memory block⁵; they would therefore be impossible to distinguish based only on a single memory access. For a byte y and table T_{ℓ} , we say that an AES encryption with given inputs accesses the memory block of y in T_{ℓ} if, according to the above description of AES, at some point in the encryption there will be some table lookup to $T_{\ell}[z]$ where $\langle z \rangle = \langle y \rangle$.

In Section 3 we will show methods for discovering (and taking advantage of the discovery) whether the encryption code, invoked as a black box, accesses a given memory block. To this end we define the following predicate: $Q_{k}(p, \ell, y) = 1$ iff the AES encryption of the plaintext p under the encryption key k accesses the memory block of index y in T_{ℓ} at least once throughout the 10 rounds.

Also in Section 3, our measurement procedures will sample measurement score from a distribution $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ over \mathbb{R} . The exact definition of $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ will vary, but it will approximate $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$ in the following rough sense: for a large fraction of the keys \mathbf{k} , all tables ℓ and a large fraction of the indices \mathbf{x} , for random plaintexts and measurement noise, the expectation of $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ is larger when $Q_{\mathbf{k}}(\mathbf{p},\ell,y) = 1$ than when $Q_{\mathbf{k}}(\mathbf{p},\ell,y) = 0$.

3 Synchronous Known-Data Attacks

3.1 Overview

The first family of attacks, termed synchronous attacks, is applicable in scenarios where the plaintext or ciphertext is known and the attacker can operate synchronously with the encryption on the same processor, by using (or eavesdropping upon) some interface that triggers encryption under an unknown key. For example, a Virtual Private Network may allow an unprivileged user to send data packets through a secure channel. This lets the user trigger encryption of plaintexts that are mostly known (up to some uncertainties in the packet headers), and our attack would thus, under some circumstances, enable any such user to discover the key used by the VPN to protect all users' packets. As another example, consider the Linux dm-crypt and cryptoloop services. These allow the administrator to create a virtual device which provides encrypted storage into an

⁵ We assume that the tables are aligned on memory block boundaries, which is usually the case. Non-aligned tables would *benefit* our attacks by leaking an extra bit per key byte in the first round. We also assume for simplicity that all tables are mapped into distinct cache sets; this holds with high probability on many systems (and our practical attacks also handle some exceptions).

underlying physical device, and typically a normal filesystem is mounted on top of the virtual device. If a user has write permissions to *any* file on that filesystem, he can use it to trigger encryptions of known chosen plaintext, and using our attack he is subsequently able to discover the encryption key used for the underlying device. We have experimentally demonstrated the latter attack, and showed it to reliably extract the full AES key using about 65ms of measurements (involving just 800 write operations) followed by 3 seconds of analysis.

The full attack obtains a set of random samples, and then performs off-line cryptanalysis. The latter proceeds by hypothesis testing: we guess small parts of the key, use the guess to predict memory accesses, and check whether the predictions are consistent with the collected data. In the following we first describe the cryptanalysis in an idealized form using the predicate Q, and adapt it to the noisy measurements of M. We then show two different methods for obtaining these measurements, detail some experimental results and outline possible variants and extensions.

3.2 One-Round Attack

The simplest known-plaintext synchronous attack exploits the fact that in the first round, the accessed table indices are simply $x_i^{(0)} = p_i \oplus k_i$ for all $i = 0, \ldots, 15$. Thus, given knowledge of the plaintext byte p_i , any information on the accessed index $x_i^{(0)}$ directly translates to information on key byte k_i . The basic attack, in idealized form, is as follows.

Suppose that we obtain samples of the ideal predicate $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$ for some table ℓ , arbitrary table indices y and known but random plaintexts p. Let k_i be a key byte such that the first encryption round performs the access " $T_{\ell}[x_i^{(0)}]$ ", i.e., such that $i \equiv \ell \pmod{4}$. Then we can discover the partial information $\langle k_i \rangle$ about k_i , by testing candidate values \tilde{k}_i and checking them as follows. Consider the samples that fulfill $\langle y \rangle = \langle p_i \oplus \tilde{k_i} \rangle$. These samples will be said to be useful for k_i , and we can reason about them as follows. If indeed $\langle k_i \rangle = \langle \tilde{k}_i \rangle$ then we will always have $Q_{\mathbf{k}}(\mathbf{p}, \ell, y) = 1$ for useful samples, since the table lookup " $T_{\ell}[x_i^{(0)}]$ " will indeed access the memory block of y in T_{ℓ} . Conversely, if $\langle k_i \rangle \neq \langle \tilde{k}_i \rangle$ then we are assured that " $T_{\ell}[x_i^{(0)}]$ " will not access the memory block of y; however, during the full encryption process there will be $4 \times 9 - 1 = 35$ more accesses to T_{ℓ} . Those 35 accesses are affected by other plaintext bytes, so (for sufficiently random plaintexts) the probability that the encryption will not access that memory block in any round is $(1 - \delta/256)^{35}$. By definition, that is also the probability of $Q_k(\mathbf{p},\ell,y) = 0$, and in the common case $\delta = 16$ it is approximately 0.104. Thus, after receiving a few dozen useful samples we can identify a correct $\langle k_i \rangle$ namely, the one for which $Q_k(\boldsymbol{p},\ell,y)=1$ whenever $\langle y\rangle=\langle p_i\oplus k_i\rangle$. Applying this test to each key byte k_i separately, we can thus determine the top $\log_2(256/\delta) = 4$ bits of every key byte k_i (when $\delta = 16$), i.e., half of the key. Note that this is the maximal amount of information that can be extracted from the memory lookups of the first round, since they are independent and each can be distinguished only up to the size of a memory block.

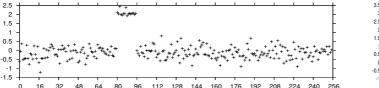




Fig. 2. Candidate scores for a synchronous attack using Prime+Probe measurements, analyzing a dm-crypt encrypted filesystem on Linux 2.6.11 running on an Athlon 64, after analysis of 30,000 (left) or 800 (right) triggered encryptions. The horizontal axis is $\tilde{k}_5 = p_5 \oplus y$ (left) or $\langle \tilde{k}_5 \rangle$ (right) and the vertical axis is the average measurement score over the samples fulfilling $y = p_5 \oplus \tilde{k}_5$ (in units of clock cycles). The high nibble of $k_5 = 0$ x50 is easily gleaned.

In reality, we do not have the luxury of the ideal predicate, and have to deal with measurement score distributions $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ that are correlated with the ideal predicate but contain a lot of (possibly structured) noise. For example, we will see that $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ is often correlated with the ideal $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$ for some ℓ but is uncorrelated for others (see Figure 4). We thus proceed by averaging over many samples. As above, we concentrate on a specific key x_i and a corresponding table ℓ . Our measurement will yield samples of the form (p,y,m) consisting of arbitrary table indices y, random plaintexts \mathbf{p} , and measurement scores m drawn from $M_{\mathbf{k}}(\mathbf{p},\ell,y)$. For a candidate key value \tilde{k}_i we define the candidate score of \tilde{k}_i as the expected value of m over the samples useful to \tilde{k}_i (i.e., conditioned on $y = p_i \oplus \tilde{k}_i$). We estimate the candidate score by taking the average of m over the samples useful for \tilde{k}_i . Since $M_{\mathbf{k}}(\mathbf{p},\ell,y)$ approximates $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$, the candidate score should be noticeably higher when $\langle \tilde{k}_i \rangle = \langle k_i \rangle$ than otherwise, allowing us to identify the value of k_i up to a memory block.

Indeed, on a variety of systems we have seen this attack reliably obtaining the top nibble of every key byte. Figure 2 shows the candidate scores in one of these experiments (see Sections 3.5 and 3.6 for details); the $\delta = 16$ key byte candidates \tilde{k}_i fulfilling $\langle \tilde{k}_i \rangle = \langle k_i \rangle$ are easily distinguished.

3.3 Two-Rounds Attack

The above attack narrows each key byte down to one of δ possibilities, but the table lookups in the first AES round can not reveal further information. For the common case $\delta=16$, the key still has 64 unknown bits. We thus proceed to analyze the 2nd AES round, exploiting the non-linear mixing in the cipher to reveal additional information. Specifically, we employ four specific⁶ equations, derived from the Rijndael specification [4], which express the indices $x_2^{(1)}, x_5^{(1)}, x_8^{(1)}$ and $x_{15}^{(1)}$ used in four of the table lookups in the 2nd round. For example, we have

$$x_2^{(1)} = s(p_0 \oplus k_0) \oplus s(p_5 \oplus k_5) \oplus 2 \bullet s(p_{10} \oplus k_{10}) \oplus 3 \bullet s(p_{15} \oplus k_{15}) \oplus s(k_{15}) \oplus k_2$$
 (2)

where $s(\cdot)$ denotes the S-box function and \bullet denotes multiplication over GF(256).

⁶ These are special in that they involve just 4 unknown quantities (see below).

Consider equation (2) above, and suppose that we obtain samples of the ideal predicate $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$ for table $\ell=2$, arbitrary table indices y and known but random plaintexts \mathbf{p} . We already know $\langle k_0 \rangle, \langle k_5 \rangle, \langle k_{10} \rangle, \langle k_{15} \rangle$ and $\langle k_2 \rangle$ from attacking the first round, and we also know the plaintext. The unknown low bits of k_2 (i.e., $k_2 \mod \delta$), affect only the low bits of $x_2^{(1)}$, (i.e., $x_2^{(1)} \mod \delta$), and these do not affect which memory block is accessed by " $T_2[x_2^{(1)}]$ ". Thus, the only unknown bits affecting the memory block accessed by " $T_2[x_2^{(1)}]$ " are the lower $\log_2 \delta$ bits of k_0 , k_5 , k_{10} and k_{15} . This gives a total of δ^4 (i.e., 2^{16} for $\delta=2^4$) possibilities for candidate values \tilde{k}_0 , \tilde{k}_5 , \tilde{k}_{10} , \tilde{k}_{15} , which are easily enumerated. We can identify the correct candidate as follows, thereby completing the recovery of these four key bytes.

Identification of a correct guess is done by a generalization of the hypothesistesting method used for the one-round attack. For each candidate guess, and each sample, $Q_{\mathbf{k}}(\mathbf{p},\ell,y)$ we evaluate (2) using the candidates $\tilde{k}_0, \tilde{k}_5, \tilde{k}_{10}, \tilde{k}_{15}$ while fixing the unknown low bits of k_2 to an arbitrary value. We obtain a predicted index $\tilde{x}_2^{(1)}$. If $\langle y \rangle = \langle \tilde{x}_2^{(1)} \rangle$ then we say that this sample is useful for this candidate, and reason as follows. If the guess was correct then $\langle y \rangle = \langle \tilde{x}_2^{(1)} \rangle = \langle x_2^{(1)} \rangle$ and thus " $T_2[x_2^{(1)}]$ " causes an access to the memory block of y in T_2 , whence $Q_{\mathbf{k}}(\mathbf{p},\ell,y) = 1$ by definition. Otherwise we have $k_i \neq \tilde{k}_i$ for some $i \in \{0,5,10,15\}$ and thus

$$x_2^{(1)} \oplus \tilde{x}_2^{(1)} = c \bullet s(p_i \oplus k_i) \oplus c \bullet s(p_i \oplus \tilde{k}_i) \oplus \cdots$$

for some $c \in \{1, 2, 3\}$. Since \boldsymbol{p} is random the remaining terms are independent of the first two. By a differential property of the AES S-box, it follows that the probability that " $T_2[x_2^{(1)}]$ " does not cause an access to the memory block of y in T_2 is at least $(1 - \delta/256)^3$. Each of the other 35 accesses to T_2 performed during the encryption will access the memory block of y in T_2 with probability $\delta/256$. Hence, $Q_k(\boldsymbol{p},\ell,y)=0$ with probability greater than $(1-\delta/256)^{3+35}$, so to eliminate all the wrong candidates out of the δ^4 we need about $\log \delta^{-4}/\log(1-\delta/256)^{38})$ samples. This amounts to about 2056 samples δ when $\delta=16$.

Similarly, each of the other three equations above lets us guess the low bits of four distinct key bytes, so taken together they reveal the full key. While we cannot reuse samples between equations since they refer to different tables ℓ , we can reuse samples between the analysis of the first and second round. Thus, if we had access to the ideal predicate Q we would need a total of about 8220 samples and a run-time complexity of $4 \cdot 2^{16} \cdot 2056 \approx 2^{29}$ simple tests to extract the full AES key.

In reality we get only measurement scores from the distributions $M_{\mathbf{k}}(\mathbf{p}, \ell, y)$ that approximate the ideal predicate $Q_{\mathbf{k}}(\mathbf{p}, \ell, y)$. Similarly to the one-round attack, we proceed by computing, for each candidate \tilde{k}_i , a candidate score obtained by averaging the measurement scores of all samples useful to \tilde{k}_i . We then pick the \tilde{k}_i having the largest measurement score. The number of samples required to

⁷ With some of our measurement methods the attack requires only a few hundred encryptions, since each encryption provides samples for multiple y.

reliably obtain all key bytes by this method is, in some experimentally verified settings, only about 7 times larger than the ideal (see Section 3.6).

3.4 Measurement Via Evict+Time

One method for extracting measurement scores is to manipulate the state of the cache before each encryption, and observe the execution time of the subsequent encryption. Recall that we assume the ability to trigger an encryption and know when it has begun and ended. We also assume knowledge of the memory address of each table T_{ℓ} , and hence of the cache sets to which it is mapped. We denote these (virtual) memory addresses by $V(T_{\ell})$. In a chosen-plaintext setting, the measurement routine proceeds as follows given a table ℓ , index y into ℓ and plaintext p:

- (a) Trigger an encryption of p.
- (b) (evict) Access some W memory addresses, at least B bytes apart, that are congruent to $V(T_{\ell}) + y \cdot B/\delta$ modulo $S \cdot B$.
- (c) (time) Trigger a second encryption of p and time it. This is the measurement score.

The rationale for this procedure is as follows. Step (a) ensures that all table memory blocks accessed during the encryption of \boldsymbol{p} are cached⁹; this is illustrated in Figure 1(b). Step (b) then accesses memory blocks, in the attacker's own memory space, that happen to be mapped to the same cache set as the memory block of y in T_{ℓ} . Since it is accessing W such blocks in a cache with associativity W, we expect these blocks to completely replace the prior contents of the cache. Specifically, the memory block of index y in the encryption table T_{ℓ} is now not in cache; see Figure 1(c). When we time the duration of the encryption in (c), there are two possibilities. If $Q_{\boldsymbol{k}}(\boldsymbol{p},\ell,y)=1$, that is if the encryption of the plaintext \boldsymbol{p} under the unknown encryption key \boldsymbol{k} accesses the memory block of index y in T_{ℓ} , then this memory block will have to be re-fetched from memory into the cache, leading to Figure 1(d). This fetching will slow down the encryption. Conversely, if $Q_{\boldsymbol{k}}(\boldsymbol{p},\ell,y)=0$ then this memory fetch will not occur. Thus, all other things being equal, the expected encryption time is larger when $Q_{\boldsymbol{k}}(\boldsymbol{p},\ell,y)=1$. The gap is on the order of the timing difference between a cache hit and a cache miss.

Figure 3 demonstrates experimental results. The bright diagonal corresponds to samples where $\langle y \rangle \oplus \langle p_0 \rangle = \langle k_0 \rangle = 0$, for which the encryption in step (c) always suffers a cache miss.

This measurement method is easily extended to a case where the attacker can trigger encryption with plaintexts that are known but not chosen (e.g., by sending network packets to which an uncontrolled but guessable header is added). This is done by replacing step (a) above with one that simply triggers encryptions of arbitrary plaintexts in order to cause *all* table elements to be loaded into cache.

⁸ Also, as before, the cache sets of all tables are assumed to be distinct.

⁹ Unless the triggered encryption code has excessive internal cache contention.

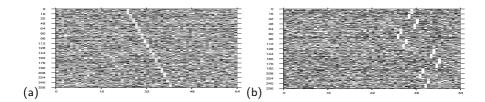


Fig. 3. Timings (lighter is slower) in Evict+Time measurements on a 2GHz Athlon 64, after 10,000 samples, attacking a procedure that executes an encryption using OpenSSL 0.9.8. The horizontal axis is the evicted cache set (i.e., $\langle y \rangle$ plus an offset due to the table's location) and the vertical axis is p_0 (left) or p_5 (right). The patterns of bright areas reveal high nibble values of 0 and 5 for the corresponding key byte values.

The weakness of this measurement method is that, since it relies on timing the triggered encryption operation, it is very sensitive to variations in the operation. In particular, triggering the encryption (e.g., through a kernel system call) typically executes additional code, and thus the timing may include considerable noise due to sources such as instruction scheduling, conditional branches and cache contention. Indeed, using this measurement method we were able to extract full AES keys from an artificial service doing AES encryptions using OpenSSL library calls, but not from more typical "heavyweight" services. For the latter, we invoked the alternative measurement method described in the next section.

3.5 Measurement Via Prime+Probe

This measurement method tries to discover the set of memory blocks read by the encryption a posteriori, by examining the state of the cache after encryption. This method proceeds as follows. The attacker allocates a contiguous byte array $A[0, \ldots, S \cdot W \cdot B - 1]$, with start address congruent mod $S \cdot B$ to the start address of T_0 .¹⁰ Then, given a plaintext p, it obtains measurement scores for all tables ℓ and all indices p and does so using a single encryption:

- (a) (prime) Read a value from every memory block in A.
- (b) Trigger an encryption of p.
- (c) (probe) For every table $l=0,\ldots 3$ and index $y=0,\delta,2\delta,\ldots,256-\delta$:
 - Read the W memory addresses $A[1024\ell + 4y + tSB]$ for t = 0, ..., W 1. The total time it takes to perform these reads is the measurement score, i.e., our sample of $M_{\mathbf{k}}(\mathbf{p}, \ell, y)$.

Step (a) completely fills the cache with the attacker's data; see Figure 1(e). The encryption in step (b) causes partial eviction; see Figure 1(f). Step (c) checks, for each cache set, whether the attacker's data is still present after the encryption:

¹⁰ For simplicity, here we assume this address is known, and that T_0, T_1, T_2, T_3 are contiguous.

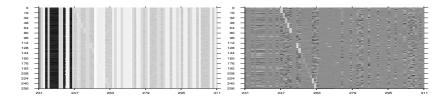


Fig. 4. Prime+Probe attack using 30,000 encryption calls on a 2GHz Athlon 64, attacking Linux 2.6.11 dm-crypt. The horizontal axis is the evicted cache set (i.e., $\langle y \rangle$ plus an offset due to the table's location) and the vertical axis is p_0 . Left: raw timings (lighter is slower). Right: after subtraction of the average timing of the cache set. The bright diagonal reveals the high nibble of $p_0 = 0$ x00.

cache sets that were accessed by the encryption in step (b) will incur cache misses in step (c), but cache sets that were untouched by the encryption will not, and thus induces a timing difference.

Crucially, the attacker is timing a simple operation performed by *itself*, as opposed to a complex encryption service with various overheads executed by someone else (as in the Evict+Time approach); this is considerably less sensitive to timing variance, and oblivious to time randomization or canonization (which are frequently proposed countermeasures against timing attacks; see Section 5). Another benefit lies in inspecting all cache sets simultaneously after each encryption, so that each encryption effectively yields $4\cdot256/\delta$ samples of measurement score, rather than a single sample.

An example of the measurement scores obtained by this method, for a real cryptographic system, are shown in Figure 4. Note that to obtain a visible signal it is necessary to normalize the measurement scores by subtracting, from each sample, the average timing of its cache set; this is because different cache sets are affected differently by auxiliary memory accesses (e.g., stack and I/O buffers) during the system call.

3.6 Experimental Results

We have tested the synchronous attacks against AES in various settings. To have an initial "clean" testing environment for our attack code, we started out using OpenSSL library calls as black-box functions, pretending we have no access to the key. In this setting, and with full knowledge of the relevant virtual and physical address mappings, using Prime+Probe measurements we recover the full 128-bit AES key after only 300 encryptions on Athlon 64, and after 16,000 encryptions on Pentium 4E. In the same setting, but without any knowledge about address mappings (and without any attempt to discover it systematically) we still recover the full key on Athlon 64 after 8,000 encryptions.

We then set out to test the attacks on a real-life encrypted filesystem. We set up a Linux dm-crypt device, which is a virtual device which uses underlying storage (here, a loopback device connected to a regular file) and encrypts all data at the sector level (here, using 128-bit AES encryptions in ECB mode). On top

of this we create and mount an ordinary ext2 filesystem. We trigger encryptions by performing writes to an ordinary file inside that file system, after opening it in 0_DIRECT mode; each write consisted of a random 16-byte string repeated 32 times. Running this with knowledge about address mappings, we succeed in extracting the full key after just 800 write operations done in 65ms (including the analysis of the cache state after each write), followed by 3 seconds of offline analysis. Data from two analysis stages for this kind of attack are shown in Figure 4 (for visual clarity, the figures depict a larger number of samples).

The Evict+Time measurements (Figure 3) let us recover the secret key using about 500,000 samples when attacking OpenSSL on Athlon 64. Gathering the data takes about half a minute of continuous measurement, more than three orders of magnitude slower than the attacks based on Prime+Probe.

These results required handling several practical complications, whose details are omitted for brevity. For example, the memory addresses of the encryption tables are in general not known to the attacker and need to be identified. Most processors employ a multi-level cache hierarchy involving several parameter sets and timing gaps, which can be exploited. The distinction between virtual and physical memory addresses affects the mapping of memory blocks to cache sets and the way the latter are accessed. Various machine-specific tricks are needed to obtain high-resolution, low-latency time measurements.

3.7 Variants and Extensions

There are many possible extensions to the basic techniques described above. For example, variants of the above techniques can also be applied in known-ciphertext (as opposed to known-plaintext) setting, by analyzing the last rounds instead of the first ones. The two-rounds attack can be made more efficient and noise-resilient by analyzing further equations. On some processors, timing variability leaks information on memory accesses with resolution better than δ (e.g., due to cache bank collisions), hence analysis of the first round via Evict+Time can yield additional key bits.

We believe this attack can be converted into a remote attack on a network-triggerable cryptographic network process (e.g., IP/Sec or OpenVPN). The cache manipulation can be done remotely, for example by triggering accesses to the network stack's TCP connection table, but its efficiency remains to be evaluated.

4 Asynchronous Attacks

4.1 Overview

While the synchronous attack presented in the previous section leads to very efficient key recovery, it is limited to scenarios where the attacker has some interaction with the encryption code which allows him to obtain known plaintexts and execute code synchronously before and after encryption. We now proceed to describe a class of attacks that eliminate these prerequisites. The attacker will execute his own program on the same processor as the encryption program, but

without any explicit interaction such as inter-process communication or I/O, and the only knowledge assumed is about a non-uniform distribution of the plaintexts or ciphertexts (rather than their specific values). Essentially, the attacker will ascertain patterns of memory access performed by other processes just by performing and measuring accesses to its own memory. This attack is more constrained in the hardware and software platforms to which it applies, but it is very effective on certain platforms, such as processors with simultaneous multithreading.

4.2 One-Round Attack

The basic form of this attack works by obtaining a statistical profile of the frequency of cache set accesses. The means of obtaining this will be discussed in the next section, but for now we assume that for each table T_{ℓ} and each memory block $n=0,\ldots,256/\delta-1$ we have a frequency score value $F_{\ell}(n)\in\mathbb{R}$, that is strongly correlated with the relative frequencies. For a simple but common case, suppose the attacker process is performing AES encryption of English text, in which most bytes have their high nibble set to 6 (i.e., lowercase letters a through p). Since the actual table lookups performed in round 1 of AES are of the form " $T_{\ell}[x_i^{(0)}]$ " where $x_i^{(0)} = p_i \oplus k_i$, the corresponding frequency scores $F_{\ell}(n)$ will have particularly large values when $n=6\oplus \langle k_i\rangle$ (assuming $\delta=16$). Thus, just by finding the n for which $F_{\ell}(n)$ is large and XORing them with the constant 6, we get the high nibbles $\langle k_i \rangle$.

Note, however, that we cannot distinguish the order of different memory accesses to the same table, and thus cannot distinguish between key bytes k_i involved in the first-round lookup to the same table ℓ . There are four such key bytes per table (for example, k_0, k_5, k_{10}, k_{15} affect T_0 ; see Section 2.2). Thus, when the four high key nibbles $\langle k_i \rangle$ affecting each table are distinct (which happens with probability $((16!/12!)/16^4)^4 \approx 0.2)$, the above reveals the top nibbles of all key bytes but only up to four disjoint permutations of 4 elements. Overall this gives $64/\log_2(4!^4) \approx 45.66$ bits of key information, somewhat less than the one-round synchronous attack. When the high key nibbles are not necessarily disjoint we get more information, but the analysis of the signal is somewhat more complex.

More generally, suppose the attacker knows the first-order statistics of the plaintext; these can usually be determined just from the type of data being encrypted (e.g., English text, numerical data in decimal notation, machine code or database records). Specifically, suppose that for $n=0,\ldots,256/\delta-1$ the attacker knows $R(n)=\Pr[\langle p_i\rangle=n]$, i.e., the histogram of the plaintext bytes truncated into blocks of size δ (the probability is over all plaintext blocks and all bytes i inside each block). Then the partial key values $\langle k_i \rangle$ can be identified by finding those that yield maximal correlation between $F_\ell(n)$ and $R(n \oplus \langle k_i \rangle)$.

4.3 Measurements

One measurement method exploits the simultaneous multithreading feature available in some high-performance processors (e.g., Pentium and Xeon processors with HyperThreading). This feature allows concurrent execution of multiple

processes on the same physical processor, with instruction-level interleaving and parallelism. When the attacker process runs concurrently with its victim, it can analyze the latter's memory accesses in real time; in particular, it can gather statistics such as the frequency scores $F_{\ell}(n) \in \mathbb{R}$. This can be done via a variant of the Prime+Probe measurements of Section 3.5, as follows.

For each cache set, the attacker thread runs a loop which closely monitors the time it takes to repeatedly load a set of memory blocks that exactly fills that cache set, i.e., W memory blocks mapped to that cache set (similarly to step (c) of the Prime+Probe measurements).¹¹ As long as the attacker is alone in using the cache set, all accesses hit the cache and are very fast. However, when the victim thread accesses a memory location which maps to the set being monitored, that causes one of the attacker's cache lines to be evicted from cache and replaced by a cache line from the victim's memory. This leads to one or (most likely) more cache misses for the attacker in subsequent loads, and slows him down until his memory once more occupies all the entries in the set. The attacker thus measures the time over an appropriate number of accesses and computes their average, giving us the frequency score $F_{\ell}(n)$.

4.4 Experimental Results

Attacking a series of processes encrypting English text with the same key using OpenSSL, we effectively retrieve 45.7 bits of information¹² about the key after gathering timing data for about 1 minute. Timing data from one of the runs is shown in Figure 5.

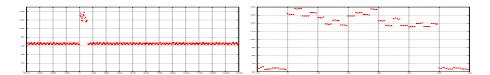


Fig. 5. Frequency scores for OpenSSL AES encryption of English text. Horizontal axis: cache set. Timings performed on 3GHz Pentium 4E with HyperThreading. To the right we zoom in on the AES lookup tables; the pattern corresponds to the top nibbles of the secret key 0x004080C0105090D02060A0E03070B0F0.

4.5 Variants and Extensions

This attack vector is quite powerful, and has numerous possible extensions, such as the following.

The second round can be analyzed using higher-order statistics on the plaintext, yielding enough key bits for exhaustive search.

¹¹ Due to the time-sensitivity and effects such as prefetching and instruction reordering, getting a significant signal requires a carefully crafted architecture-specific implementation of the measurement code.

 $^{^{12}}$ For keys with distinct high nibbles in each group of 4; see Section 4.1.

If measurements can be made to detect order of accesses (which we believe is possible with appropriately crafted code), the attacker can analyze more rounds as well as extract the unknown permutations from the first round. Moreover, if the temporal resolution suffices to observe adjacent rounds, then it becomes possible to recover the key without even known plaintext distribution.

We have demonstrated the attack on a Pentium 4E with HyperThreading, but it can also be performed on other platforms without relying on simultaneous multithreading. The key is for the attacker to execute its own code midway through an encryption, and this can be achieved by exploiting the interrupt mechanism. For example, the attacker can predict RTC or timer interrupts and yield the CPU to the encrypting process a few cycles before such an interrupt; the OS scheduler is invoked during the interrupt, and if dynamic priorities are set up appropriately in advance then the attacker process will regain the CPU and can analyze the state of the cache to see what the encrypting process accessed during those few cycles. On multi-core processors, shared caches can lead to inter-core attacks; in SMP systems, cache coherency mechanisms may be exploitable.

As in the synchronous case, one can envision remote attack variants that take advantage of data structures to which accesses can be triggered and timed through a network (e.g., the TCP state table).

5 Countermeasures

In the following we list several potential methods for mitigating the information leakage, focusing on those that can be implemented in software. As these methods have different trade-offs and are architecture- and application-dependent, we cannot recommend a single recipe for all implementors. Many of these methods are also applicable to primitives other than AES. See the extended version of this paper for further discussion.

5.1 Avoiding Memory Accesses

Our attacks exploit the effect of memory access on the cache, and would thus be completely mitigated by an implementation that does not perform any table lookups. For AES, the lookup tables have concise algebraic descriptions, but performance is degraded by over an order of magnitude¹³. Another approach is that of bitslice implementations [3], which employ a description of the cipher in terms of bitwise logical operations, and vectorize these operations across wide registers. For AES, we expect (but have not yet verified) that amortized performance would be comparable to that of a lookup-based implementation.

5.2 Alternative Lookup Tables

There are alternative formulations of AES, using a smaller set of tables. We have considered the most common implementation, employing four 1024-byte tables

¹³ This kind of implementation has also been attacked through the timing variability in some implementations [6].

for the main rounds. Variants have been suggested with one or two 256-byte table, one 1024-byte table, or one 2048-byte table. Generally, the smaller the tables the slower the encryption.

In regard to the synchronous attacks considered in Section 3, smaller tables necessitate more measurements by the attacker, but the synchronous attacks remain feasible for all but the (slow) 256-byte table variant. In regard to the asynchronous of Section 4, if the attacker can sample at intervals on the order of single table lookups (which is architecture-specific) then these alternative representations provide no appreciable security benefit.

5.3 Data-Oblivious Memory Access Pattern

Instead of avoiding table lookup, one could employ them but ensure that the pattern of accesses to the memory is completely oblivious to the data passing through the algorithm. Most naively, to implement a memory access one can read *all* entries of the relevant table, in fixed order, and use just the one needed. This induces significant slowdown, even after some possible relaxations.

Goldreich and Ostrovsky [5] gave a generic program transformation for hiding memory accesses, which is quite satisfactory from an (asymptotic) theoretical perspective. However, its concrete overheads in time and memory size appear too high for most applications. Xhuang, Zhang, Lee and Pande [16][17] addressed this from a practical perspective and proposed several techniques which are more efficient, but require non-trivial hardware support in the processor or memory system and do not provide perfect security in the general case.

5.4 Application-Specific Algorithmic Masking

There is extensive literature about side-channel attack countermeasures for hardware ASIC and FPGA implementations. Some of them are algorithmic masking techniques which may be adapted to software (for AES, see e.g. [13] and the references within). However, these are designed to protect only against first-order analysis, i.e., against attacks that measure some aspect of the state only at one point in the computation, and our asynchronous attacks do not fall into this category. Moreover, the security proofs consider leakage only of specific intermediate values, which do not correspond to the ones leaking through accessed memory addresses. Lastly, every AES masking method we are aware of has either been shown to be insecure even for its original setting (let alone ours), or is significantly slower in software than a bitsliced implementation.

5.5 Cache State Normalization and Process Blocking

Against the synchronous attacks of Section 3, it suffices to simply normalize the state of the cache just before encryption (to prevent the initial cache state from affecting the encryption, as in Evict+Time) and just after the encryption (to prevent the encryption from affecting the final cache state, as in Prime+Probe). Normalization can be achieved, for example, by loading all lookup tables into the

cache (the attack of [2] may remain applicable). However, this method provides little protection against the asynchronous attacks of Section 4. To fully protect against those, during the encryption one would have to disable interrupts and stop simultaneous threads (and possibly, other SMP processors). This would degrade performance and reliability.

5.6 Disabling Cache Sharing

To protect against software-based attacks, it would suffice to prevent cache state effects from spanning process boundaries. Alas, practically this is very expensive to achieve. On a single-threaded processor, it would require flushing all caches during every context switch. On a processor with simultaneous multithreading, it would also require the logical processors to use separate logical caches, statically allocated within the physical cache; some modern processors do not support such a mode. One would also need to consider the effect of cache coherency mechanisms in SMP configurations. A relaxed version would activate the above means only for specific processes, or specific code sections, marked as sensitive.

5.7 Static or Disabled Cache

One brutal countermeasure against the cache-based attacks is to completely disable the CPU's caching mechanism; the effect on performance would be devastating. An alternative is to activate a "no-fill" mode where the cache is used but not updated (i.e., eviction is disabled). We are not aware of any processor that provides the necessary facilities with reasonable overhead. In some cases it may be possible to delegate the encryption to a co-processor with the necessary properties. For example, the SPE cores in IBM's Cell processor can be used as a cryptographic co-processor¹⁴.

5.8 Dynamic Table Storage

The cache-based attacks observe memory access patterns to learn about the table lookups. Instead of eliminating these, we may try to decorrelate them. For example, one can use many copies of each table, placed at various offsets in memory, and have each table lookup (or small group of lookups) use a pseudorandomly chosen table. Somewhat more compactly, one can use a single table, but pseudorandomly move it around memory several times during each encryption. Another variant is to mix the order of the table elements several times during each encryption.

5.9 Hiding the Timing

The attacks rely on timing information, and thus could be foiled by its absence. One may try to add noise to the observed timings by adding random delays

¹⁴ The Cell's parallelism and abundance of wide registers (which can be utilized for bitslicing) appears attractive for cryptographic and cryptanalytic applications.

to measured operations, by normalizing all operations to a fixed time, or by limiting the system clock resolution or accuracy. Effective elimination of the timing information has a high cost in performance or in system capabilities.

5.10 Selective Round Protection

The attacks we described detect and analyse memory accesses in the first two rounds (for known input) or last two rounds (for known output). To protect against these specific attacks it suffices to protect those four rounds by the means given above while using the faster, unprotected implementation for the internal rounds.¹⁵ Other cryptanalytic attacks (e.g., using differential cryptanalysis) can still be applied to the internal rounds, but their complexity is higher.

5.11 Operating System Support

Several of the above suggestions require privileged system operation. In some scenarios and platforms, these countermeasures may be superior (in efficiency or safety) to any method that can be achieved by user processes. Operating systems may thus provide cryptographic primitives to user programs, as part of their functionality. A more flexible approach is to provide a "sensitive section" service, which executes user code under a specific promise (e.g., no context switching or simultaneous multithreading) and, in case the promise must be violated, provides graceful recovery (e.g., by flushing the caches) and reports the failure to the user.

6 Conclusions and Implications

6.1 Vulnerable Cryptographic Primitives

We have demonstrated efficient side-channel attacks on the AES cipher, in software. Some variants of our attack do not even require known plaintext or ciphertext, and have no direct interaction with the analyzed process other than running on the same CPU.

Beyond AES, such attacks are potentially applicable to any implementation of a cryptographic primitive that performs data-dependent memory accesses. The efficiency of the attack depends heavily on the structure of the cipher and chosen implementation, but heuristically, large lookup tables increase the effectiveness of all attacks, as do large lookup entries; having few accesses to each table helps the synchronous attacks, whereas the related property of having temporally infrequent accesses to each table helps the asynchronous attack.

For example, DES is vulnerable when implemented using large lookup tables. Cryptosystems based on large-integer modular arithmetic, such as RSA, is

¹⁵ This was suggested to us by Intel Corp.

vulnerable in some implementations (see [14]). The same potentially applies to ECC-based cryptosystems.

Primitives that are normally implemented without lookup tables, such as bitsliced Serpent [1] and the SHA family [12], are impervious to the attacks described here. However, to protect against timing attacks one should scrutinize implementations for use of instructions whose timing is data-dependent (e.g., bit shifts and multiplications on some platforms) and for data-dependent execution branches (which may be analyzed through data cache access, instruction/trace cache access or timing). Note that timing variability could be measured by an unrelated process running on the same machine, by a variant of the asynchronous attack, through the effect on the scheduling of memory accesses.

6.2 Vulnerable Systems

At the system level, cache state analysis is of concern in essentially any case where process separation is employed in the presence of malicious code. Beyond the demonstrated case of encrypted filesystems, this includes many multi-user systems, as well as web browsing and DRM applications. Disturbingly, virtual machines and sandboxes offer little protection, since for the asynchronous attack the attacker needs only the ability to access his own memory and measure time. Thus, the attack may cross the boundaries supposedly enforced by FreeBSD jail(), VMware¹⁶, Xen, NGSCB, the Java Virtual Machine and plausibly even scripting language interpreters. Remote attacks are in principle possible, and if proven efficient could pose serious threats to secure network connections such as IP/Sec and OpenVPN. Finally, while we have focused our attention on cryptographic systems (in which even small amount of leakage can be devastating), the leakage also occurs in non-cryptographic systems and may thus leak sensitive information directly.

6.3 Mitigation

We have described a variety of countermeasures against cache state analysis attacks. However, none of these unconditionally mitigates the attacks while offering performance close to current implementations. Thus, finding an efficient solution that is application- and architecture-independent remains an open problem. In evaluating countermeasures, one should pay particular attention to the asynchronous attacks, which on some platforms allow the attacker to obtain (a fair approximation of) the full transcript of memory accesses done by the cryptographic code.

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 $[\]overline{^{16}}$ This compromises the system described in a recent NSA patent [10].

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