

# 第9章 虚拟内存

**Dynamic Memory Allocation:** 

**Advanced Concepts** 

动态存储分配:高级概念

100076202: 计算机系统导论

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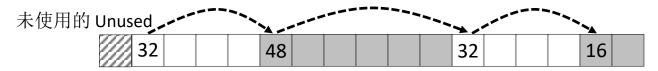
# 议题 Today

- 显式空闲链表 Explicit free lists
- 分离的空闲链表 Segregated free lists
- 垃圾收集 Garbage collection
- 内存相关的风险和陷阱 Memory-related perils and pitfalls

### 跟踪空闲块 Keeping Track of Free Blocks



■ 方法1: <mark>隐式空闲链表</mark>使用长度链接所有块 Method 1: *Implicit free list* using length—links all blocks



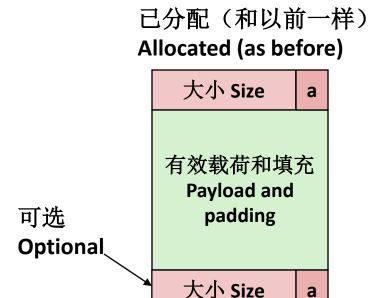
■ 方法2: 显式空闲链表使用指针串接空闲块 Method 2: *Explicit free list* among the free blocks using pointers

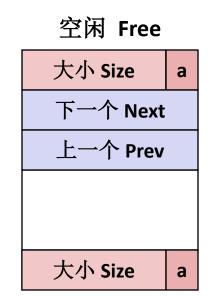


- 方法3:分离的空闲链表 Method 3: Segregated free list
  - 不同大小的块使用不同的链表管理 Different free lists for different size classes
- 方法4:根据大小排序块 Method 4: Blocks sorted by size
  - 使用平衡红黑树,每个空闲块内包含指针和用作键值的长度 Can use a balanced tree (e.g. Red-Black tree) with pointers within each free block, and the length used as a key

# 显式空闲链表 Explicit Free Lists







- 维护<mark>空闲</mark>块链表,而不是<u>所有</u>块 Maintain list(s) of *free* blocks, not *all* blocks
  - 下一个空闲块可能在任一地方 The "next" free block could be anywhere
    - 所以需要存储前向/后向指针,不只是大小 So we need to store forward/back pointers, not just sizes
  - 仍然需要使用边界标记进行合并 Still need boundary tags for coalescing
    - 根据内存顺序发现邻接块 To find adjacent blocks according to memory order
  - 幸运的是我们只需要跟踪空闲块,所以可以使用有效载荷区域 Luckily we track only free blocks, so we can use payload area

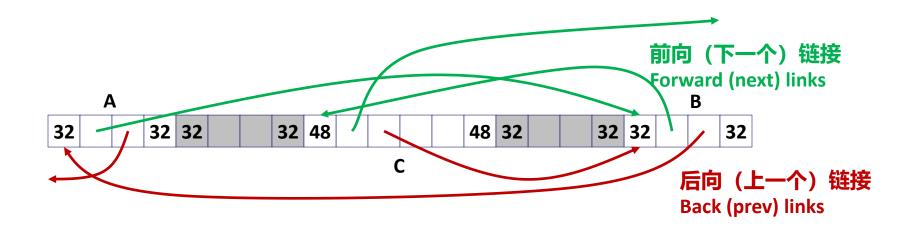
# 显式空闲链表 Explicit Free Lists



■ 逻辑上 Logically:



■ 物理上: 块可能是任意顺序 Physically: blocks can be in any order

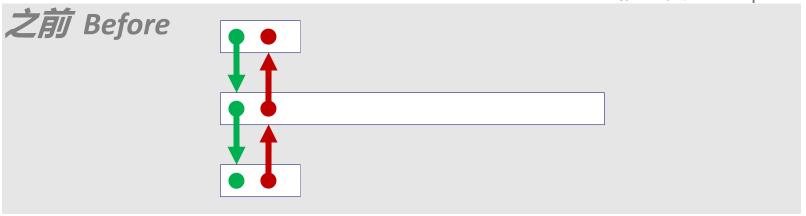


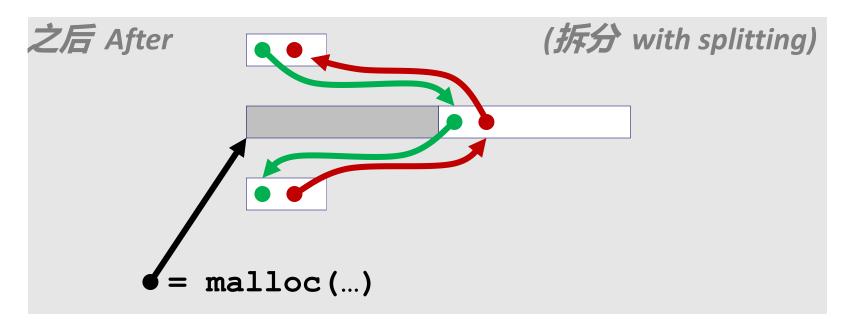
## 从显式空闲链表分配

#### **Allocating From Explicit Free Lists**



概念图 conceptual graphic





# 释放空闲块到显式空闲链表 Freeing With Explicit Free Lists



- *插入策略*:在空闲链表的什么位置插入一个新的空闲块? *Insertion* policy: Where in the free list do you put a newly freed block?
- 后进先出策略 LIFO (last-in-first-out) policy
  - 在空闲链表的开始插入空闲块 Insert freed block at the beginning of the free list
  - *优点:* 简单并且常数时间完成 *Pro:* simple and constant time
  - **缺点**: 研究表明比地址排序导致更多的碎片 **Con**: studies suggest fragmentation is worse than address ordered
- 地址排序策略 Address-ordered policy
  - 插入空闲块以便空闲链表块始终按地址排序 Insert freed blocks so that free list blocks are always in address order:
     addr(prev) < addr(curr) < addr(next)</li>
  - *缺点:* 需要搜索 *Con:* requires search
  - *优点:* 研究表明比LIFO有低的内存碎片 *Pro:* studies suggest fragmentation is lower than LIFO

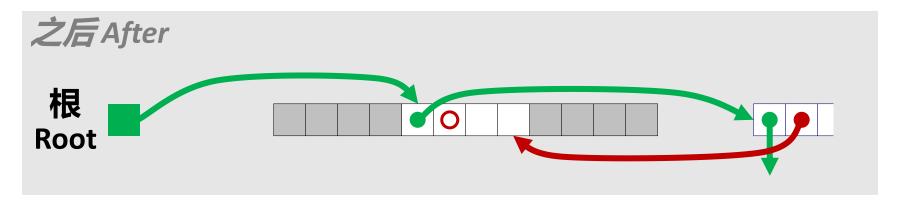
#### 基于LIFO策略的释放(案例1)

#### Freeing With a LIFO Policy (Case 1)



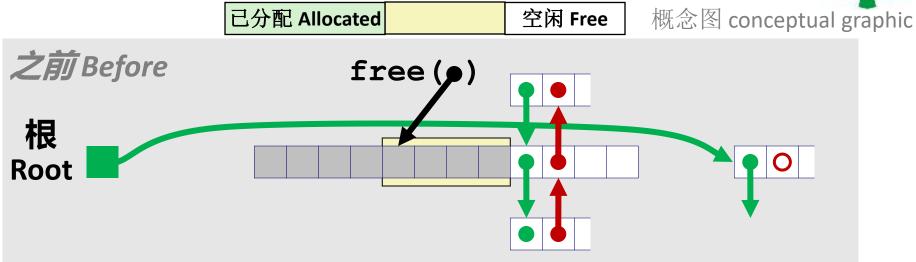


■ 将空闲块插入到链表头 Insert the freed block at the root of the list

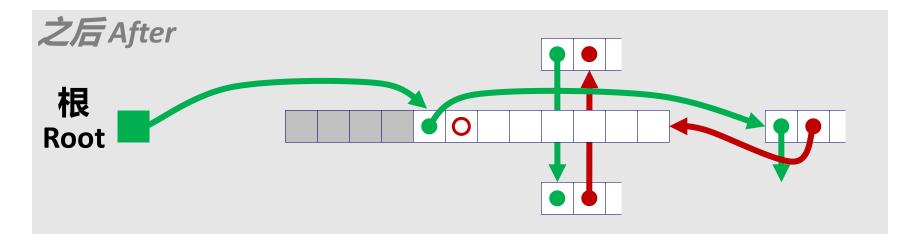


#### 基于LIFO策略的释放(案例2)

#### Freeing With a LIFO Policy (Case 2)

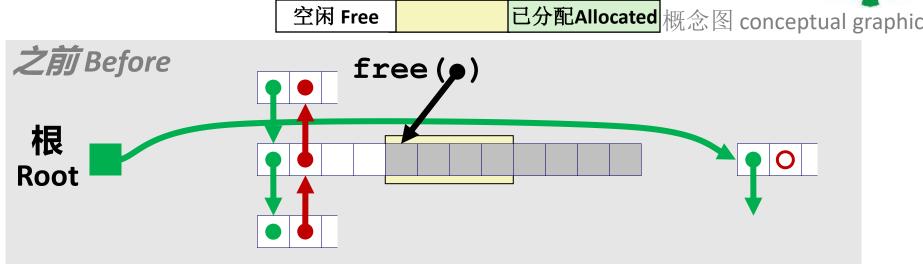


■ 拼接出后续块,合并两个块并在链表头插入新块 Splice out successor block, coalesce both memory blocks and insert the new block at the root of the list

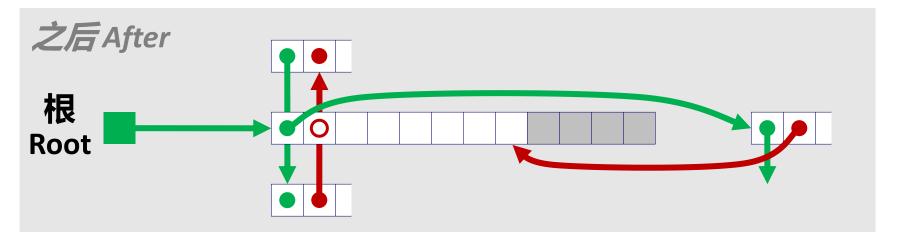


#### 基于LIFO策略的释放(案例3)

#### Freeing With a LIFO Policy (Case 3)

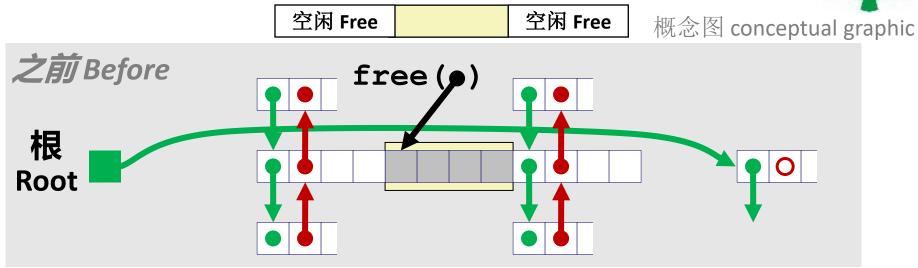


■ 拼接出前驱块,合并两个块并在链表头插入新块 Splice out predecessor block, coalesce both memory blocks, and insert the new block at the root of the list

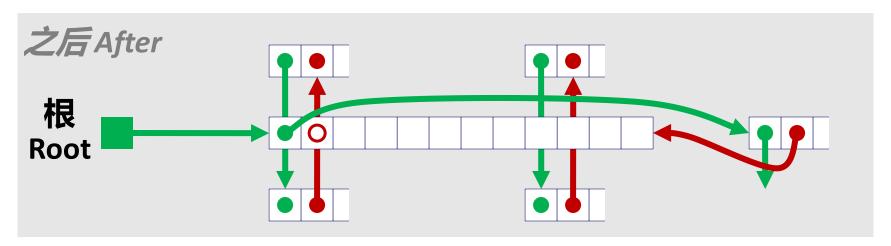


#### 基于LIFO策略的释放(案例4)

#### Freeing With a LIFO Policy (Case 4)

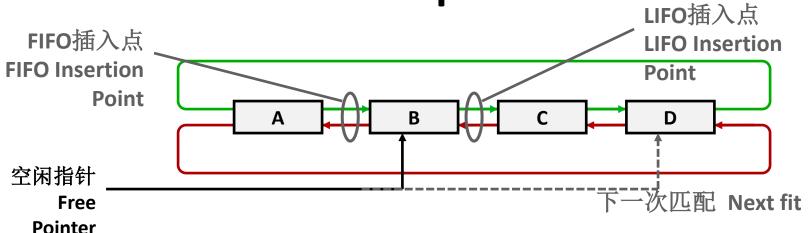


■ 拼接出前驱和后继块,合并三个块并在链表头插入新块 Splice out predecessor and successor blocks, coalesce all 3 memory blocks and insert the new block at the root of the list



# 一些建议: 实现技巧





- 使用循环双向链表 Use circular, doubly-linked list
- 用单一数据结构支持多种方法 Support multiple approaches with single data structure
- 首次匹配对下一次匹配 First-fit vs. next-fit
  - 要么保持空闲指针固定,要么随搜索列表移动 Either keep free pointer fixed or move as search list
- 后进先出对先进先出 LIFO vs. FIFO
  - 插入做为下一个块(LIFO)或做为上一个块 Insert as next block (LIFO), or previous block (FIFO)



# 显式链表总结 Explicit List Summary



- 与隐式链表相比 Comparison to implicit list:
  - 分配时间与空闲块的数量成线性时间,而不是所有的块 Allocate is linear time in number of *free* blocks instead of *all* blocks
    - 当内存大部分被占用的时候快很多 *Much faster* when most of the memory is full
  - 由于需要从链表中删除和向链表中插入块,分配和释放稍微复杂一些 Slightly more complicated allocate and free since needs to splice blocks in and out of the list
  - 链接需要一些额外的空间(每个块需要2个额外的字) Some extra space for the links (2 extra words needed for each block)
    - 会增加内部碎片吗? Does this increase internal fragmentation?
- 链表通常是和分离的空闲链表一起使用的 Most common use of linked lists is in conjunction with segregated free lists
  - 保持多个不同大小类的链表,或者为不同类型的对象设置不同的链表 Keep multiple linked lists of different size classes, or possibly for different types of objects



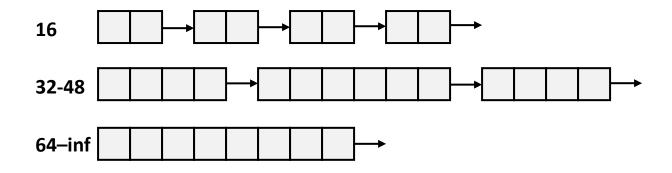
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# 分离空闲链表(Seglist)分配器 Segregated List (Seglist) Allocators



■ 每个不同大小类块有自己的空闲链表 Each *size class* of blocks has its own free list



- 通常比较小的块有自己单独的类 Often have separate classes for each small size
- 对于比较大的块:每个2的指数区间有一个类 For larger sizes: One class for each size [2<sup>i</sup> + 1, 2<sup>i+1</sup>]

# 分离空闲链表分配器 Seglist Allocator

- THE STATE OF THE S
- 空闲链表数组中的每个元素对应某个大小类 Given an array of free lists, each one for some size class
- 分配大小为n的块时: To allocate a block of size *n*:
  - 搜索对应的空闲链表,其中的块大小m> n Search appropriate free list for block of size m > n
  - 如果找到一个合适的块: If an appropriate block is found:
    - 拆分块并将碎片挂接到对应的链表(可选) Split block and place fragment on appropriate list (optional)
  - 如果没找到,则尝试下一个更大的链表 If no block is found, try next larger class
  - 重复以上步骤直到找到一个块 Repeat until block is found
- 如果没找到: If no block is found:
  - 从OS申请更多的堆内存(使用sbrk()) Request additional heap memory from OS (using sbrk())
  - 从新申请的内存分配大小为n字节的块 Allocate block of n bytes from this new memory
  - 将剩下的当做一个空闲块放到最大的类表中 Place remainder as a single free block in largest size class.

# Seglist分配器(续) Seglist Allocator (cont.)

- 释放一个块: To free a block:
  - 合并并放到合适的链表中 Coalesce and place on appropriate list
- seglist分配器相对非seglist分配器的优点(均采用首次匹配) Advantages of seglist allocators vs. non-seglist allocators (both with first-fit)
  - 高吞吐率 Higher throughput
    - 对于2的指数次方的大小类是log时间复杂度 log time for power-of-two size classes
  - 更好的内存利用率 Better memory utilization
    - 分离空闲链表中的首次匹配搜索近似于整个堆上的最佳匹配搜索 First-fit search of segregated free list approximates a best-fit search of entire heap.
    - 极端案例:如果每个块有自己的大小类,则等价于最佳匹配 Extreme case: Giving each block its own size class is equivalent to best-fit.



#### 内存分配器的更多资料 More Info on Allocators

- "计算机编程的艺术" D. Knuth, "The Art of Computer Programming", vol 1, 3<sup>rd</sup> edition, Addison Wesley, 1997
  - 关于动态内存分配的经典参考 The classic reference on dynamic storage allocation
- "动态存储分配:调查与评论" Wilson et al, "Dynamic Storage Allocation: A Survey and Critical Review", Proc. 1995 Int'l Workshop on Memory Management, Kinross, Scotland, Sept, 1995.
  - 综合调查 Comprehensive survey
  - 访问CS:APP学生网站 Available from CS:APP student site (csapp.cs.cmu.edu)



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#### 隐式内存管理: 垃圾收集

# - New -

#### **Implicit Memory Management: Garbage Collection**

■ 垃圾收集: 自动回收堆中分配的内存块-应用程序不用负责释放 Garbage collection: automatic reclamation of heap-allocated storage—application never has to free

```
void foo() {
  int *p = malloc(128);
  return; /* p block is now garbage */
}
```

- 许多动态语言的共同特性 Common in many dynamic languages:
  - Python, Ruby, Java, Perl, ML, Lisp, Mathematica
- C和C++存在变种(保守的垃圾收集) Variants ("conservative" garbage collectors) exist for C and C++
  - 然而,不一定收集所有垃圾 However, cannot necessarily collect all garbage

# 垃圾收集 Garbage Collection



- 内存管理器如何知道内存什么时候可以被释放? How does the memory manager know when memory can be freed?
  - 通常我们是不知道将来会用到哪些,因为程序执行是有路径分支的 In general we cannot know what is going to be used in the future since it depends on conditionals
  - 但是如果某些块没有指针指向则可以确定是不会用的 But we can tell that certain blocks cannot be used if there are no pointers to them
- 关于指针的一些假设 Must make certain assumptions about pointers
  - 内存管理器能够区分指针和非指针 Memory manager can distinguish pointers from non-pointers
  - 所有的指针指向块的开始地址 All pointers point to the start of a block
  - 不能隐藏指针 Cannot hide pointers
    (例如, 强制转为int, 再转回来 e.g., by coercing them to an int, and then back again)

### 经典垃圾收集算法 Classical GC Algorithms

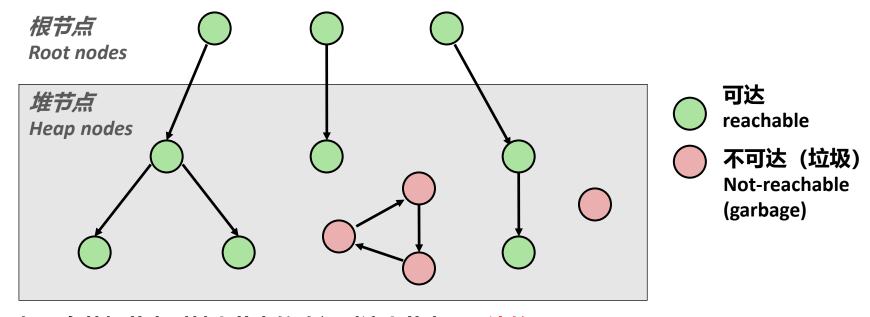


- 标记清除收集算法 Mark-and-sweep collection (McCarthy, 1960)
  - 不需要移动内存块(除非需要平移压紧占用部分) Does not move blocks (unless you also "compact")
- 引用计数算法 Reference counting (Collins, 1960)
  - 不需要移动内存块(不讨论) Does not move blocks (not discussed)
- 拷贝收集算法 Copying collection(不讨论) (Minsky, 1963)
  - 需要移动内存块 Moves blocks (not discussed)
- 按代垃圾收集算法 Generational Collectors (Lieberman and Hewitt, 1983)
  - 基于生命周期的收集 Collection based on lifetimes
    - 大部分内存块很快变为垃圾 Most allocations become garbage very soon
    - 主要聚焦在最近分配的区域内开展回收工作 So focus reclamation work on zones of memory recently allocated
- 更详细信息参见: "垃圾收集:自动动态内存算法" For more information:
  - Jones and Lin, "Garbage Collection: Algorithms for Automatic Dynamic Memory", John Wiley & Sons, 1996.

# 将内存当做一个图 Memory as a Graph



- 我们将内存看做一个有向图 We view memory as a directed graph
  - 每个块是图中的一个节点 Each block is a node in the graph
  - 每个指针是图中的一条边 Each pointer is an edge in the graph
  - 不在堆中但是持有指向堆中指针的位置称为根节点(例如,寄存器,栈中元素,以及全局变量) Locations not in the heap that contain pointers into the heap are called *root* nodes (e.g. registers, locations on the stack, global variables)

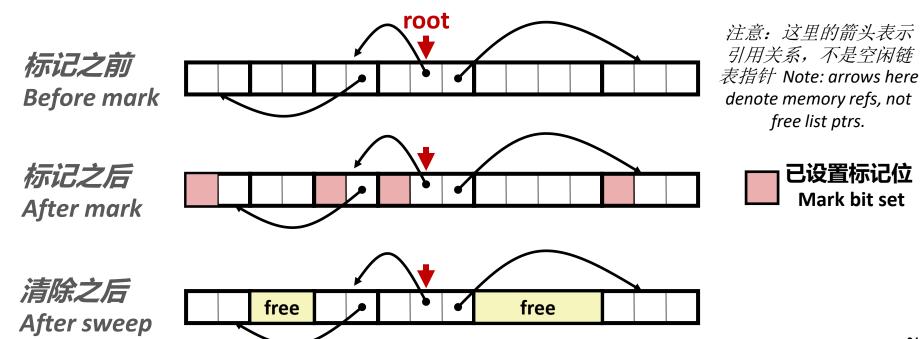


如果有从根节点到某个节点的路径则这个节点是可达的 A node (block) is reachable if there is a path from any root to that node.

不可达的都是垃圾(应用程序不再需要) Non-reachable nodes are *garbage* (cannot be needed by the application)

# 标记清除收集算法 Mark and Sweep Collecting

- 可以基于malloc/free包构建 Can build on top of malloc/free package
  - 一直使用malloc直到空间不够用 Allocate using malloc until you "run out of space"
- 当内存不够用 When out of space:
  - 在每个块的头部使用额外的标记位 Use extra *mark bit* in the head of each block
  - *Mark:* 从根节点开始并对所有可达节点设置标记位 Start at roots and set mark bit on each reachable block
  - **Sweep:** 扫描所有的块并释放未标记的块 Scan all blocks and free blocks that are not marked



#### C语言中保守的标记-清除算法 Conservative Mark & Sweep in C



- C程序的一个保守垃圾收集器 A "conservative garbage collector" for C programs
  - is\_ptr() 用来判断一个字是否是指向一个已经分配的内存块的指针 is\_ptr() determines if a word is a pointer by checking if it points to an allocated block of memory

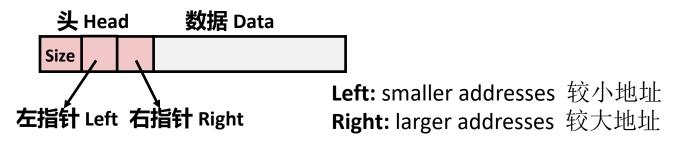
■ 但是,C指针可以指向块中间的位置 But, in C pointers can point to the middle of a

block



假设中间的指针可以用于到达块的任何地方,但不能到其他块Assumes ptr in middle can be used to reach anywhere in the block, but no other block

- 所以要如何找到块的开始? So how to find the beginning of the block?
  - 可以使用一个平衡二叉树跟踪所有已经分配的块(key是块开始地址) Can use a balanced binary tree to keep track of all allocated blocks (key is start-of-block)
  - 平衡二叉树的指针可以存在head中(使用两个额外的字) Balanced-tree pointers can be stored in header (use two additional words)



#### 一个简单实现的前提假设

#### **Assumptions For a Simple Implementation**



#### ■ 应用 Application

- **new(n)**: 返回指向新块的指针,所有的域清除 returns pointer to new block with all locations cleared
- read(b,i):将块b中位置i的内容读到寄存器 read location i of block b into register
- write (b,i,v): 将▽写入块♭中的位置i write v into location i of block b

#### ■ 每个块有一个头部字 Each block will have a header word

- 对b可以使用b[-1]寻址 addressed as **b[-1]**, for a block **b**
- 在不同的垃圾收集器里面有不同的用途 Used for different purposes in different collectors
- 垃圾收集器使用的操作 Instructions used by the Garbage Collector
  - is\_ptr(p): 确定p是否是一个指针 determines whether p is a pointer
  - **length (b):** 返回b的长度,不包括头部 returns the length of block **b**, not including the header
  - **get\_roots():**返回所有块的根 returns all the roots

# 标记和清除(续) Mark and Sweep (cont.)

# 通过内存图的深度优先遍历标记 Mark using depth-first traversal of the memory graph

#### 清除阶段通过长度找到下一个块 Sweep using lengths to find next

```
ptr sweep(ptr p, ptr end) {
   while (p < end) {
      if markBitSet(p)
         clearMarkBit();
      else if (allocateBitSet(p))
         free(p);
      p += length(p);
}</pre>
```

## Mark and Sweep Pseudocode



```
ptr mark(ptr p) {
    if (!is_ptr(p)) return;
    if (markBitSet(p)) return;
    setMarkBit(p);
    for (i=0; i < length(p); i++)
        mark(p[i]);
    return;
}</pre>
```

# Mark and Sweep Pseudocode



# Mark and Sweep Pseudocode



# Mark and Sweep Pseudocode



# Mark and Sweep Pseudocode



# Mark and Sweep Pseudocode



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# 标记和清除伪代码

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# C指针声明:测试一下你自己

# - Mark

### **C Pointer Declarations: Test Yourself!**

int	<b>*</b> p	p is a pointer to int
int	*p[13]	p is an array[13] of pointer to int
int	*(p[13])	p is an array[13] of pointer to int
int	**p	p is a pointer to a pointer to an int
int	(*p) [13]	p is a pointer to an array[13] of int
int	*f()	f is a function returning a pointer to int
int	(*f)()	f is a pointer to a function returning int
int	(*(*x[3])())[5]	x is an array[3] of pointers to functions returning pointers to array[5] of ints

Source: K&R Sec 5.12

# C指针声明:测试一下你自己

# J. Mark

### **C Pointer Declarations: Test Yourself!**

int *p		p is a pointer to int
int *p[13]		p is an array[13] of pointer to int
int *(p[13])		p is an array[13] of pointer to int
int **p		p is a pointer to a pointer to an int
int (*p)[13]		p is a pointer to an array[13] of int
int *f()		f is a function returning a pointer to int
int (*f)()		f is a pointer to a function returning int
int (*(*x[3])	())[5]	x is an array[3] of pointers to functions returning pointers to array[5] of ints
int (*(*f())	[13])()	f is a function returning ptr to an array[13] of pointers to functions returning int

Source: K&R Sec 5.12

# 分析: Parsing: int (\*(\*f())[13]) 🕻



```
int (*(*f())[13])()
int (*(*f())[13])()
                        f is a function
int (*(*f())[13])()
                        f is a function
                        that returns a ptr
                        f is a function
int (*(*f())[13])()
                        that returns a ptr to an
                        array of 13
int (*(*f())[13])()
                        f is a function that returns
                        a ptr to an array of 13 ptrs
int (*(*f())[13])()
                        f is a function that returns
                        a ptr to an array of 13 ptrs
                        to functions returning an int
```



# 议题 Today

- 显示空闲链表 Explicit free lists
- 分离的空闲链表 Segregated free lists
- 垃圾收集 Garbage collection
- 内存相关的风险和陷阱 Memory-related perils and pitfalls

### 内存相关的风险和陷阱 Memory-Related Perils and Pitfalls



- 解引(间接引用)问题指针 Dereferencing bad pointers
- 使用未初始化内存 Reading uninitialized memory
- 覆盖内存 Overwriting memory
- 引用不存在的变量 Referencing nonexistent variables
- 重复释放内存块 Freeing blocks multiple times
- 引用释放的内存 Referencing freed blocks
- 释放内存失败 Failing to free blocks

# 解引(间接引用)问题指针

### **Dereferencing Bad Pointers**



```
int val;
...
scanf("%d", val);
```



# 使用未初始化变量 Reading Uninitialized Memory

■ 假设堆数据初始化为0 Assuming that heap data is initialized to zero

```
/* return y = Ax */
int *matvec(int **A, int *x) {
   int *y = malloc(N*sizeof(int));
   int i, j;
   for (i=0; i<N; i++)
      for (j=0; j<N; j++)
         y[i] += A[i][j]*x[j];
   return y;
```

■ 使用calloc可以避免 Can avoid by using calloc



■ 分配了可能错误大小的对象 Allocating the (possibly) wrong sized object

```
int **p;

p = malloc(N*sizeof(int));

for (i=0; i<N; i++) {
   p[i] = malloc(M*sizeof(int));
}</pre>
```

■ 你能发现这个bug吗? Can you spot the bug?



■ 错位错误 Off-by-one error

```
int **p;

p = malloc(N*sizeof(int *));

for (i=0; i<=N; i++) {
   p[i] = malloc(M*sizeof(int));
}</pre>
```

```
char *p;
p = malloc(strlen(s));
strcpy(p,s);
```



■ 没有检查最大字符串长度 Not checking the max string size

```
char s[8];
int i;

gets(s); /* reads "123456789" from stdin */
```

■ 经典缓冲区溢出攻击的基础 Basis for classic buffer overflow attacks



■ 指针运算理解错误 Misunderstanding pointer arithmetic

```
int *search(int *p, int val) {
  while (*p && *p != val)
     p += sizeof(int);
  return p;
}
```



■ 引用了一个指针,而不是其指向的对象 Referencing a pointer instead of the object it points to

```
int *BinheapDelete(int **binheap, int *size) {
   int *packet;
   packet = binheap[0];
   binheap[0] = binheap[*size - 1];
   *size--;
   Heapify(binheap, *size, 0);
   return(packet);
}
```

- 减的是什么? What gets decremented?
  - (见下页幻灯片) / (See next slide)

# C语言运算符 Coperators



```
后缀 Postfix
运算符 Operators
                                                 结合性 Associativity
                                                 left to right
                                                            从左到右
                                                            从右到左
                                                 right to left
                              (type)
                                      sizeof
                                                            从左到右
                                                 left to right
                            元 Unary
                                    一元 Unary
                                                            从左到右
                                                 left to right
                   前缀 Prefix
             二元 Binary
                                                            从左到右
                                                 left to right
                                                            从左到右
                                                 left to right
            >=
                                                            从左到右
                                                 left to right
     !=
                                                            从左到右
                                                 left to right
                                                            从左到右
                                                 left to right
         二元 Binary
                                                            从左到右
                                                 left to right
                                                            从左到右
22
                                                 left to right
                                                            从左到右
                                                 left to right
从右到左
                                                 right to left
?:
                                                            从右到左
  += -= *= /= %= &= ^= != <<= >>=
                                                 right to left
                                                            从左到右
                                                 left to right
```

- ->, (), and [] have high precedence ->、()和[]有最高优先级, with \* and & just below \*、&有次高优先级
- 一元+、-和\*比二元形式有更高优先级 Unary +, -, and \* have higher precedence than binary forms 来源: Source: K&R page 53, updated 52



■ 引用了一个指针,而不是其指向的对象 Referencing a pointer instead of the object it points to

```
int *BinheapDelete(int **binheap, int *size) {
   int *packet;
   packet = binheap[0];
   binheap[0] = binheap[*size - 1];
   *size--;
   Heapify(binheap, *size, 0);
   return(packet);
}
```

■ 下面效果相同 Same effect as

```
size--;
```

■ 应重写为 Rewrite as

```
(*size) --;
```

right to left left to right left to right

right to left left to right

Associativity left to right

#### 引用不存在的变量 Referencing Nonexistent Variables

■ 忘记函数返回之后局部变量不可用 Forgetting that local variables disappear when a function returns

```
int *foo () {
   int val;

return &val;
}
```

# 多次重复释放块 Freeing Blocks Multiple Times

■ 很危险! Nasty!



## 引用已经释放的块 Referencing Freed Blocks

■ 令人讨厌! Evil!

### 没有释放内存块(内存泄漏) Failing to Free Blocks (Memory Leaks)



■ 慢性长期的问题 Slow, long-term killer!

```
foo() {
   int *x = malloc(N*sizeof(int));
   ...
   return;
}
```

### 没有释放内存块(内存泄漏) Failing to Free Blocks (Memory Leaks)



■ 只是释放了数据结构的一部分 Freeing only part of a data structure

```
struct list {
   int val;
   struct list *next;
};
foo() {
   struct list *head = malloc(sizeof(struct list));
  head->val = 0;
  head->next = NULL;
   <create and manipulate the rest of the list>
   free (head) ;
   return;
```

# 应对内存Bug Dealing With Memory Bugs

- 调试器: gdb Debugger: gdb
  - 能够方便找出问题指针解引 Good for finding bad pointer dereferences
  - 难以探测其他内存问题 Hard to detect the other memory bugs
- 数据结构一致性检查 Data structure consistency checker
  - 静默运行,出错时打印信息 Runs silently, prints message only on error
  - 用作错误归零的探针 Use as a probe to zero in on error
- 二进制翻译: valgrind Binary translator: valgrind
  - 强大的调试和分析技术 Powerful debugging and analysis technique
  - 重写可执行目标文件的代码段 Rewrites text section of executable object file
  - 运行时检查每个单独的引用 Checks each individual reference at runtime
    - 问题指针、覆盖、越界访问 Bad pointers, overwrites, refs outside of allocated block
- glibc malloc 包含了检查代码 glibc malloc contains checking code
  - setenv MALLOC CHECK 3