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At the bottom of binary analysis: instructions

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Abstract. Here we present a careful exploration of the set of instruc-7 tions for the x86 processor architecture. This is a preliminary step to-8 wards a systematic comparison of SMT-based retro-engineering tools. The latter arose in the context of binary code retro-engineering. All these 10 tools rely themselves on more elementary disassembly tool. In this contri-11 bution, we attack the problem at its most atomic level: the instructions. 12 We prepare, trading off between the size of the list and the correctness 13 of the future comparison, a good list of instructions.

Keywords: Retro-engineering \cdot Disassembly tools \cdot x86. 15

Introduction 1 16

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Deep analysis of binaries, and especially malwares, lead to many difficult ques-17 tions that are quite often undecidable. For instance, what is the value of eax 18 when the program's control reaches instruction jmp eax? The reconstruction of 19 a control flow graph (CFG), dead code identification, searching for buffer over-20 flow are other examples of the phenomenon. All these issues are not computable 21 due to Rice's Theorem. 22

Nevertheless, these questions remaining open, researchers explored some par-23 tial solutions. There are many possibilities, exemplified by their respective un-24 derlying tools. 25

First, we must mention disassembly tools such as IDA³, Ghidra⁴, but also 26 their more atomic versions: $capstone^5$, $zydis^6$ or even xed^7 . All these tools 27 are capable of extracting assembly code out of a binary executable or a piece 28 of memory. Actually, for the first two tools of the list, they will perform some 29 further analysis of the binary: they will rebuild – at least partially – the con-30 trol flow graph, function structures, virtual table, imports, export table, and so 31

** Supported by DGA - Direction Générale de l'Armement.

- ³ https://hex-rays.com/IDA-pro/
- ⁴ https://ghidra-sre.org
- ⁵ http://www.capstone-engine.org

 $^{^{\}star}$ Experiments have been conducted at LHS - LORIA

⁶ https://zydis.re

⁷ https://intelxed.github.io

on. All these tools start with the same step: they must extract and recognize
 instructions from a sequence of bytes.

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In another branch of retro-engineering tools, the idea is to provide a logical model of the behavior of the processor so that the above-mentioned questions can be reformulated in terms of logical formulae and solved using SMT solvers. These are the original targets of the current study: the tools involving a logical model of (the behavior of) the processor that is compatible with SMT solvers. Let us call them SMT/symbolic tools.

It would be hard to mention all the contributions on solving retro-engineering 41 issues via SMT solvers, but let us mention a few of them and their associated 42 tools. Take for instance "Capture The Flag" style of issues, in [8], Springer and 43 Feng show how to use **angr** to find the user's input that will lead to the "wrong 44 path". To compute user data that will reach some particular point, angr (see [6]) 45 performs some symbolic computation and solves the obtained constraints with 46 the help of an SMT solver engine. Triton (see [5]) is another example of such an 47 SMT/symbolic tool. In [4], Salwan, Bardin and Potet propose another typical 48 application. They show how to deobfuscate some virtualized code. 49

Again, on the problem of deobfuscation of virtualized code, we mention the work of Souchet and Girault [7] based on miasm, another example of SMT/symbolic tools. In their blog post, they describe how to cope with nanomites, an antianalysis trick that is used by the famous packer "Armadillo". Finally, the last but not the least of the tools under our scope is binsec. In [2], Girol, Farinier and Bardin consider another application of symbolic computations: bug tracking. The tool binsec is at the core of their "robust reachability" exploration.

To sum up, all these tools need to describe symbolically the behavior of the processor. To do that, they describe the semantics of each processor instruction. However, the documentation by Intel [1] is quite huge and complex, thus prone to errors which can be propagated to disassembly tools. In the long term, we propose to build a platform to evaluate properly retro-engineering tools involving instruction semantics or syntax.

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In principle, one has to run the tool on each instruction and then to verify the 64 correction of the tool on this instruction. However, that would mean we already 65 have access to the ground truth, that is to the actual semantics or syntax of the 66 instruction. But we do not. Thus, the idea of the platform is to perform a relative 67 verification rather than an absolute one. Given two tools with same purpose, we 68 propose a comparison between them. Our idea is that if they disagree on some 69 instruction, for sure one of them is wrong. If they agree, we may hope that 70 both are right. Such a hope should be stronger when the tools are developed 71 independently. 72

However, such an approach is unfeasible in practice if done naively. Indeed,
we are immediately overwhelmed by the number of processor instructions. The
first issue is that instructions may involve immediates, that is integers stored
within up to 32 bits. But, the number of registers (say around 20 for 64 bits x86

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architectures) cannot be neglected since instructions may involve combinations
with three of them. To give an idea, extracting the SMT formulae for 10 000
instructions for two of the above mentioned SMT/symbolic tools, and then comparing the formulae with an SMT solver takes around 30 minutes (with obviously
some differences between the tools, but the order of magnitude is correct).

Thus, we have first turned our attention to an intermediate goal: grouping 82 instructions into broader classes. This is the topic of the present contribution. 83 Suppose that tools X and Y agree on add eax, 0x1234, they probably agree 84 on add eax, 0x2345 too. That corresponds to the abstraction add eax, imm 85 where imm denotes some integer stored in two bytes. That forms a first class of 86 instructions. But we could go one step further in the abstraction by grouping all 87 instructions of the shape add reg, imm where reg represent a register and that 88 leads to a second (wider) class of instructions. 89

The more abstraction we perform, the more chances that the class is too 90 wide for our goal: two tools could agree on some instructions of the class and 91 disagree on others from the same class. In other words, there is a balance between 92 the level of abstraction and correction of the verification. We must choose a 93 compromise according to the situation: how long do the tests last. For instance, 94 disassembling 10 000 instructions with capstone takes 10ms. To conclude, the 95 level of abstraction is a parameter we can choose for our platform. The trade-off 96 we can obtain at apparently no cost on the precision is what we discuss here. 97

In practice, how to enumerate the instructions? We could follow Intel's doc-98 umentation. But even a simple enumeration of instructions is not easy. This has 99 been already observed by Mahoney and McDonald, see [3] for a good presen-100 tation of the problem (with a completely other purpose: steganography, that is 101 creating a valid executable used for hiding some information inside its instruc-102 tion bytes). Furthermore, this work has actually already been done several times 103 before by disassembly tool such as capstone or zydis. They both extract in-104 structions out of some buffer of bytes. Moreover, they both give informations 105 about the structure of instructions. So, we may think of using such tools to 106 107 enumerate instructions. As a by-product of instruction enumeration, we could observe differences between two disassembly tools: capstone and zydis. Ensur-108 ing that they recognize generally the same instructions is a ground to, in the 109 future, compare the semantics of the instructions. 110

111 2 Listing the instructions

In this section we first describe the structure of an instruction, then the different types or arguments and the number of possibilities for each type. Since some arguments can take a huge number of values, we present a way to abstract them and give the reduced number of combinations, once we apply our optimizations.

An instruction is two-fold: it can be seen as a machine code (a sequence of bytes), and in a more abstract way as an assembly instruction, which we define below. Let us first note that different assembly instructions can correspond to the

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same sequence of bytes: even if they are morally identical, mov eax, [2*eax] and mov eax, [2*eax+0] correspond to the unique sequence "8B 04 45 00 00 00 00". The reverse is also true: "F2 90" and "90" both correspond to the nop instruction. We will refer indifferently to an instruction by its byte sequence or its assembly instruction.

At first sight, one may say that there are around five hundred different operations or so. This is the number of different opcodes. But we have to go further in details: an instruction cotains more than its opcode alone. much more details than its opcode alone.

129 2.1 Structure of assembly instructions

 $_{130}$ An *instruction* can be decomposed in the following format⁸:

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$$\begin{array}{ll} \textit{instruction} ::= prefix_1 \dots prefix_k \ opcode \ arg_1 \dots arg_l \\ arg ::= imm |reg|mem \\ mem ::= (seg[reg_1 + scale * reg_2 + disp], size) \\ prefix :::= rep, lock, \dots \\ opcode ::= add, jmp, call, \dots \\ seg ::= cs, ds, es, \dots \\ reg ::= eax, ebx, \dots \end{array}$$

where *imm* denotes some immediate (an integer on up to 32 bits), the same goes for the displacement disp, and $scale \in \{1, 2, 4, 8\}$. In the clause defining the memory argument above, the segment register seg and $scale * reg_2$, are optional. At least one among the base register and the displacement must be present.

The number of different instructions is pretty huge: the set of 2³² immediates is already so large that calling an SMT solver for each instruction is infeasible.

137 2.2 Instructions enumeration

Prefixes enumeration Let us consider the leftmost part of instructions: the
 prefix combinations. Prefixes usually change the semantics of the instruction: for
 instance making it a loop (like the rep prefix, 0xF2 and 0xF3).

There are in total 13 prefixes, sorted into 5 categories. A priori, there is no bound on the number of prefixes of an instruction, a prefix can be even duplicated. The only limitation is actually the size of an instruction, that is 15. Naively, leaving one byte for the opcode, that makes around $13^{14} \approx 4 \cdot 10^{15} \approx 2^{52}$ possibilities. It is obvious that this number needs to be reduced.

However, according to the documentation, for each category, only the rightmost one (or the leftmost one, depending on the processor) will be effective. To
reduce the number of prefix combinations, we take advantage of the fact that in
practice, 1) only the last read prefix from each group is used and 2) the order of

⁸ More technical details can be found in http://ref.x86asm.net/coder32.html.

prefixes between two groups is not important. So, we only allow instructions for
which there is at most one prefix per group and when the groups of the prefixes
respect some arbitrary fixed order. This parameter of our abstraction reduces
the number of prefixes combinations from 10¹⁵ to 112.

Actually, there are on average fewer than 112 prefixes combinations per instruction because some prefixes can be illegal with some opcodes. For instance, the lock prefix 0xF0 is illegal on many instructions such as F0 8B CO = mov eax, eax.

To reduce more the number of instructions, we could ignore useless combi-158 nations of prefixes. For instance, the segment prefixes (0x2E, 0x3E, 0x26, 0x36, 0159 0x64 and 0x65) have no effect when the function has no memory argument. 26 160 40 and 40 both mean inc eax. The same goes for the prefixes changing the 161 address or operand size (0x66 and 0x67) when non applicable. The REP prefixes 162 (0xF2 and 0xF3) have no effect on most instructions. We could skip "useless" 163 combination of prefixes: reject any sequence of bytes if its assembly version is 164 already in our list. 165

Argument enumeration Some opcodes have no argument, like nop, ret for instance. Other generally have a source and a destination arguments. Some take two registers, like mov eax, ebx or a register and a memory address like mov eax, [4*ebx+ecx+1]. Others may also take a constant like add eax, 0x1742.

Let us begin with the registers. An x86 processor has 8 general-purpose registers plus others used in floating point arithmetic, and other specific registers like cr1, dr1, tr3...

Many instructions expect their arguments in the so-called ModR/M format. 174 For better comprehension, we describe it here. The ModR/M encoding is stored 175 on one byte: three bits for the "reg" part which encodes which register is con-176 cerned (as source or destination, depending on the opcode), two bits for the 177 "mod" and the remaining three bits for the "R/M" part. The "reg" part can 178 also designate 8-bit parts of the general registers according to the opcode: 83 C3 179 03 encodes add ebx, 0x3 while 80 C3 03 means add bl, 0x3 and the value of 180 the ModR/M byte is 0xC3 for both instructions. Also, the prefix 0x66 changes 181 the given register 32-bit register to its lower 16 bits: 89 D8 is mov eax, ebx and 182 66 89 D8 is mov ax, bx. 183

The "mod" + "R/M" parts combined designate either a register or a memory 184 address such that the corresponding memory cell is read or written to. While 185 some ModR/M gives addresses like [edx], others allow for other parameters: a 186 displacement (disp) and/or a SIB (scale base index). The disp is simply a con-187 stant on 1, 2 or 4 bytes the value of which shifts the address, like [edx + 0x1742] 188 for a disp on two bytes. We can also have a disp alone like in [0x17421742]. 189 with no register. Let us now describe the SIB. It encodes addresses of the shape 190 [base + scale * index] where base and index, encoded on three bits, can be any 191 of the eight general-purpose registers (except for esp for the index). The scale 192 is encoded on two bits and can be equal to 1, 2, 4 or 8. 193

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To sum up, the source and destination operands of an instruction are gen-194 erally expressed using the ModR/M system, including sometimes a disp values, 195 and/or a SIB value. The ModR/M takes one byte, the SIB one byte, and the disp 196 can have a size of 1, 2 or 4 bytes. Assuming all ModR/M values expect a SIB 197 byte and a 32-bit displacement, we obtain $256^{1+1+4} = 2^{48} \approx 2.8 \cdot 10^{14}$ possibili-198 ties. With a careful analysis, taking into account forbidden patterns, we obtain 199 that there are around $9 \cdot 10^{12}$ valid possibilities for the ModR/M+SIB+disp 200 combinations. 201

We could take the whole ModR/M+SIB/disp combination as parameter for 202 our abstraction, hence taking one representative out of $9 \cdot 10^{12}$ for almost all 203 instructions using the ModR/M encoding. The ModR/M+SIB is an encoding, 204 hence not that straightforward. Moreover, some ModR/M values are illegal with 205 some opcodes but not others. Therefore, to keep a more simple code, and to avoid 206 accepting illegal values of ModR/M, we decided not to abstract the ModR/M 207 byte, nor the SIB one. However, we take the displacement as a parameter in our 208 abstraction: add eax, [ebx+0x28] and add eax, [ebx+0x37] are simply add 209 eax, [ebx+*imm*8] to us. The same applies respectively for the class of 16-bit 210 and 32-bit displacements. Using this abstraction we obtain 6376 different classes 211 (instead of $9 \cdot 10^{12}$) of ModR/M+SIB+disp combinations of an instruction. 212

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There remains a set of arguments to consider: the immediates. They appear for instance in mov ecx, 0x1234 and add edx, 0xabcd1234. We treat them as for the case of displacements: we consider add edx, 0xabcd1234 as add edx, *imm32*.For a given instruction, each immediate on k bits can have 2^k values, so if a prefix+opcode combination expects a 32-bit immediate, thanks to this abstraction we divide by $2^{32} \approx 4 \cdot 10^9$ the number of instructions using this combination.

Illustration of the list We give a small extract of our list of instructions in
Figure 1. We can see that on lines (2) to (5) the instruction includes some immediates on 32 bits, and in (4) also a disp on 8 bits. Thanks to our abstractions,
we do not list the values for these constants. This allows us to save 256⁴ lines for (2) and (3), 256⁵ for (4) and 256⁸ for (5).

(1)	53	(push ebx)
(2)	8b 84 83	<pre>(mov eax,[ebx+eax*4+imm32])</pre>
(3)	8b 8c 85	(mov ecx,[ebp+eax*4+imm32])
(4)	69 40	(imul eax,[eax+disp8],imm32)
(5)	69 80	(imul eax,[eax + imm32_1], imm32_2)

Fig. 1. A few instructions as they appear on our list. ".." denotes any byte value.

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Final number of instructions What we described above consists in finding a compromise between enumerating all possible instructions to be tested on disassembly tools, and reducing their number by keeping only one instruction by equivalence class according to some parameter of abstraction. This is a tradeoff between precision and the final number of instructions we enumerate. We
believe, as we explained, that we kept the precision and obtained a reasonable
number of instructions with that in mind.

In the end, enumerating the opcodes along with ModR/M and SIB bytes, and with valid prefixes in order, one per group, we obtain a total of 72 million instructions (one representative per class), 72 174 844 to be precise. In this list, we kept useless prefixes as long as they are in order and at most one per group. We must specify that this list includes the deprecated AMD 3DNow! extension, the VEX instructions but not the (too many) EVEX ones.

As we said at the beginning, our number of instructions depends on which 239 parameters we used for the abstraction. For instance, if we did not set a limit of 240 one prefix per group, we would have had a really huge number of instructions. 241 Then if we only limit at one prefix per group, we obtain $6.8 \cdot 10^{24}$ instructions. If 242 we also forbid the prefix combinations which are the same up to a permutation, 243 this number goes down to $3.0 \cdot 10^{24}$. By keeping only one representative for all 244 disp values, we list $2.6 \cdot 10^{16}$ instructions: a big improvement, but not enough. 245 The size of the list decreases to 72 million if we also abstract the immediates (our 246 final choice). We could then abstract the SIB values to obtain a smaller list of 247 262 000 instructions, or 23 700 if we also abstract the ModR/M, that is keeping 248 only the opcode and the one per group ordered prefixes combination. To sum 249 up, according to the needs and constraints, any parameter of the abstraction can 250 be switched on and off, resulting in a different number of instructions. 251

²⁵² 3 Representing the abstractions: the automata

Each time we want to compare two tools (e.g. capstone versus zydis or binsec versus triton), we need to perform some specific instruction abstraction, that is an abstraction for which the tools will answer in a coherent way for all the elements of each class of instructions.

We may consider several abstractions. If we want to verify that capstone and zydis agree on the size of the instructions, we may take one abstraction while we may use another one if we want to verify that they agree on the registers read or written. For the first case, we have no need to process the SIB of the instruction whereas for the second case we need this information, resulting in smaller equivalence classes.

²⁶³ **3.1** General automaton representation

We could represent our list of instructions as a list, but there is a much more compact way of representing our abstractions: an automaton. Such an automaton consists of a directed acyclic graph whose edges are labelled by bytes: it reads a flow of bytes which corresponds to a path in the graph starting from the root, until reaching a leaf with a value corresponding to the information of the instruction. The automaton is more compact than the list. At least (but not

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exclusively) for a same opcode we store once all the common prefixes when building the automaton, hence saving some space. Section 3.2 illustrates this: the 8b first byte is shared between two instructions.

273 3.2 Examples of specific automata

We can also build more specific automata to obtain some disassembly information like the size, the mnemonic, or the target information of a jump for instance. Here we describe another way to perform the abstraction: set the goal and automatize the creation of the classes.

Let us assume we want to know the size of any instruction. We propose to first build, from any level of abstraction (so that the list of instruction is reasonable), an automaton where each leave stores a integer between 0 (illegal instruction) and 15: the size of the instruction read. We can imagine that from 72M instructions to only 16 different leaves, many subpaths will be shared by a lot of instructions. For instance, **add** and **sub**, among many others, will have the same size if given the same arguments.

Once the first version of the automaton is built, we automatically optimize it by merging equivalent subarborescence, using classical algorithmic techniques.

We mention here another level of abstraction we can consider, which may 287 or may not be used depending if we want a full correctness or if we allow to 288 answer something when reading an invalid instruction. This level of abstraction 289 corresponds to considering that two nodes of the automaton are equivalent not 290 only if the have the same outgoing arcs, but also if they simply have the same 291 set of out-neighbors. For instance, if node u has three outgoing arcs towards 292 nodes u_1, u_2 and u_3 and if node v has two outgoing arcs towards u_1 and u_3 , we 293 consider u and v to be equivalent. Doing this, we created some new paths from 294 v to u_2 , but any existing path is preserved, so that we answer correctly to the 295 instructions of our list. This allows us to obtain a smaller automaton, in terms 296 of number of nodes, with the drawback of not detecting invalid instructions.



Fig. 2. The automaton built from Figure 1 (left) and its optimized version (right)

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We built, and optimized, the automata to provide the following sorts of information: the size of the full instruction (and whether it is a valid instruction),

its mnemonic, its "type", the number of "operands", the type of each such *i*-300 th "operand", and the information about jumps (including calls). For a jump 301 target, we give the position of its first byte in the instruction, its size, whether 302 the immediate is a signed or unsigned integer, and whether the jump is relative 303 or absolute. Here by operand we mean the operands with status explicit or 304 implicit in zydis (never or almost never the effags for instance). For the *i*-th 305 operand automaton, we give the register, the size and position of first byte if it 306 is an immediate, or the memory address as some scale, index and bas, plus some 307 displacement (size and position of first byte) if any. These automaton enable us, 308 given a flow of bytes corresponding to instructions, to retrieve the useful data 300 for each instruction: we have the type, position and size of the operands so that 310 we can read the values of the immediates inside the instruction. So they can be 311 used together as a fast alternative to the disassembly tools. 312

The choice to have several automata and not a big one was made on purpose: storing all the information in one automaton would be much bigger. Indeed, for instance many instructions have **eax** as "first" operand, many have **ebx** as "second" operand, but not so many have both **eax** and **ebx** in this order. A unique automaton is a product of all the automata it combines, hence many more states. As we explained earlier: the more different information we put in one automaton, the smaller the equivalence class we obtain, hence a bigger automaton.

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We obtain, using Zydis to build the list with the relevant data, the following information (number of different leaves values of each automata): 698 mnemonics, from 0 to 4 operands, a size from 0 (invalid instruction) to 14 for the instructions, 27 different encodings for the target of a jump. We find also respectively 32 523, 22 543, 35 and 5 different values for the first to the fourth operands.

Apart from the number of leaves, *i.e.* the number of different values, the 327 number of internal nodes is also interesting. Compressing the automata as we 328 described earlier, we obtain 167 internal states for the mnemonic, 463 for the 320 instruction size, 99 for the number of operands, 39 for the jump information, 330 and respectively 701, 625, 95 and 22 for the information about the first to the 331 fourth operands. The level of compression of the automaton we can achieve also 332 gives us information about the complexity of the list of instructions according to 333 the parameter studied. It gives information about how some instructions share 334 a common subsequence as a suffix, with the same parameter value. 335

336 4 Concluding remarks

We introduced in this paper the notion of a list of instructions abstracted by some parameters. We explain how to reach a sufficient level of abstraction to obtain a list of 72 million (equivalence classes of) instructions. This list will be used in a future paper to compare the semantics of instructions given by four tools: **angr**, **binsec**, **miasm** and **triton**. In that paper, we will even go further, considering indirectly two instructions with the same assembly string to be equivalent.

We will also, in some way, consider add eax, 0x17 and add ebx, 0x17 to be 343 equivalent, by deducing the result of the second from the first one by replacing 344 all references to eax by references to ebx. 345

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Using the automata we describe in section 3.2 in a malware detection tool, 347 we could observe a few differences between capstone and zydis even they most 348 generally agree. We found some instructions accepted by capstone and not by 349 zydis. One example is 8e Of 10 2c: capstone says it is a mov cs, word ptr 350 [edi] while zydis returns the error "bad register", meaning that the opcode 351 does not accept this value of ModR/M. We tested this instruction on our com-352 puters to verify whether or not they raise some "Illegal instruction". On the 353 example above, the instruction is not valid, agreeing with zydis. However, one 354 of the issues we must face is the evolution of processors. Indeed, the set of in-355 structions varies across time. It is not easy to delineate the "right" set of (x86)356 instructions. Some instructions appear like the AMD 3DNow! in 1998 and then 357 become unsupported in 2010. Some specific instructions can disappear, for in-358 stance there is no push ds in 64-bit architectures. 359

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