AUTOVAC: Towards Automatically Extracting System Resource Constraints and Generating Vaccines for Malware Immunization

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Abstract—Malware often contains many system-resource-sensitive condition checks to avoid any duplicate infection, make sure to obtain required resources, or try to infect only targeted computers, etc. If we are able to extract the system resource constraints from malware code, and manipulate the environment state as vaccines, we would then be able to immunize a computer from infections. Towards this end, this paper provides the first systematic study and presents a prototype system, AUTOVAC, for automatically extracting the system resource constraints from malware code and generating vaccines based on the system resource conditions. Specifically, through monitoring the data propagation from system-resource-related system calls, AUTOVAC automatically identifies the environment related state of a computer. Through analyzing the environment state, AUTOVAC automatically generates vaccines. Such vaccines can be then injected into other computers, thereby being immune from future infections from the same malware or its polymorphic variants. We have evaluated AUTOVAC on a large set of real-world malware samples and successfully extracted working vaccines for many families including high-profile Conficker, Sality and Zeus. We believe AUTOVAC represents an appealing technique to complement existing malware defenses.

Keywords—Dynamic malware analysis, environment constraint, vaccine.

I. INTRODUCTION

Malware is a severe threat to our computer systems. To combat malware, the state-of-the-art defense at end-hosts mainly focuses on detection techniques, which often fall into two categories: signature-based detection and behavior-based detection. A signature-based approach typically attempts to extract some unique string patterns from malware binaries. Unfortunately, the signature generation and update speed usually cannot keep up with the quickly increasing malware samples each day in the wild due to the wide use of polymorphisms/packers in malware. While a behavior-based approach could be relatively more stable in terms of detecting the same set of malware and their variants, it is typically very expensive and may cause a noticeable performance overhead on end hosts.

Therefore, the need of new lightweight and complementary techniques for effective malware defense is still pressing. Interestingly, we find malware infection works similarly to pandemic diseases. Since a widely used approach to prevent further infection of our human beings from the same disease is through injecting vaccines, if we were able to generate vaccines for a piece of malware, we would have been able to prevent it from infecting a wider range of machines (considering the case of botnets). Fortunately, we find malware often contains system-resource-sensitive condition checks or constraints to avoid any duplicate infection, make sure to obtain required resources, or try to infect only targeted computers, etc. For instance, many fast-spreading malware programs (e.g., Conficker [28]) will clearly mark an infected machine as infected such that they can avoid wasting time and effort in re-infecting the machine. As such, this infection marker can be considered as an effective and safe vaccine to immunize a clean machine from the same infection.

In general, any system resource/environment variables that are directly or indirectly used in path conditions (such as registry, mutex), or those that lead to the failure of certain system calls, can all be considered for vaccine generation, because these external environment state can impact the behavior of the malware. While it might lead to an over approximation by considering all these state variables, we can run vaccine tests to eliminate the mistakenly classified environment variables, similar to the biological vaccine test in the real world.

Based on the above observation, in this paper, we propose AUTOVAC, a new technique to automatically generate vaccines for effective and efficient malware immunization from the same infection. While theoretically manipulating any variables that lead to a conditional check of malware execution could potentially be used as a vaccine, we would like to focus on the variables whose states can be controlled by the external environment such as registry, certain file names, etc. As such, the environment resources accessed by malware are of our interest. Specifically, we design a program analysis technique to determine whether the manipulation of these resources can successfully prevent malware’s infection/execution. We treat such resources as our malware vaccines and derive concrete information needed for generating vaccines. After we generate the vaccines, we then inject them into end hosts. To the best of our knowledge, AUTOVAC is the first systematic work of using program analysis to automatically generate vaccines.
for real-world malware immunization.

In summary, this paper makes the following contributions:

- We conduct the first systematic study of malware vaccine. We discuss all possible mutable resources of our vaccine interest, and present a taxonomy of malware vaccines.
- We design and implement AUTOVAC, which can automatically track the malware path constraints as well as their propagation, associate them with the external environment resources, and automatically generate vaccines.
- We evaluate our system with a large set of real-world malware samples. Experimental results show that it is truly possible to generate working vaccines for many real-world malware families, such as Conficker, Sality, and Zeus, and use vaccines as a complementary approach in practice.

II. Problem Statement and Approach Overview

A. Malware Vaccine Background

Definition of malware vaccine The concept of vaccine is originated from biology. It refers to a biological preparation that improves immunity to a particular disease by injecting certain agent that resembles a disease-causing microorganism. The malware vaccine idea was initially mentioned by David Ferbrache in his 1992 book [8]. As stated in the book, “With the computer environment fragments of viral material may also be used-in this case the signature recognition strings which the virus uses to prevent repeated replication. These fragments may safely be added to existing cells and will protect against the virus.” Unfortunately, he only briefly talked about this high level features of vaccination and did not systematically explore this problem further.

Throughout 20 years evolution of malware, when we revisit the vaccination idea, we realize that we can further explore this problem in the new context of complex malware (e.g., targeted malware) defense. From our viewpoint, a malware vaccine is a computational preparation that improves immunity to a particular malware program. Essentially, malware, like any generic program, usually conducts a series of operations on system resources and outputs the computation result. These system resources in a computer system is analogue to the microorganisms in our body.

Thus, we define a malware vaccine as a specific system resource (or a collection of them) that is created or used by malware in order for its normal infection and execution. Such malware vaccine typically has two kinds of behavior:

- It simulates the existence of certain computer organism (system environment/resource) such that malware will exit upon the awareness of such existence (because it does not want to re-infest the victim again, or the victim does not have a targeted environment, etc.).
- It prevents malware from creating/accessing certain critical computer organism such that malware cannot obtain its essential resources to fulfill the functions.

A taxonomy of malware vaccine Besides the aforementioned mentioned categories of malware vaccines, we can further define different vaccine types from different perspectives.

First, from the perspective of identification, the vaccine identifier is defined as a combination of resource type and name of malware-targeted resources. To avoid vaccines’ unwanted side effect to benign software running on end-host, the vaccine identifier should be as unique and deterministic as possible. Thus, in our taxonomy, an identifier can be categorized as: static (e.g., constant value), partial static (e.g., it conforms to a specific regular expression), or algorithm-deterministic (e.g., it is calculated with customized algorithms).

Similar to biological vaccines that may not guarantee the complete protection from a disease, the effectiveness of a malware vaccine can vary. Based on the effectiveness, we can classify malware vaccines into two types: full immunization that can completely cease the malware execution (e.g., negating the first few condition checks to prevent any malicious behavior execution), and partial immunization that significantly affects the execution of some major functions in malware (e.g., malware is not able to keep persistent in the system if rebooted, or malware is not able to perform key network communication such as C&C, self-updating).

In terms of vaccine delivery and deployment, there could be two categories: direct injection and creation of vaccine daemon. Direct injection is very lightweight, e.g., a specific mutex name or file name, and the vaccine can be simply injected into the target computer once and it will be effective afterwards. Vaccine daemon requires running a service program (i.e., a daemon) on the targeted machine, and such daemon can prevent the creation (or other access types) of certain specific files, registries, libraries, system services, windows, processes to further prevent malware from obtaining critical resources or information to fulfill its functionalities (such as for partial immunization). More details are presented in §V.

It is worth noting that an ideal malware vaccine is those with full immunization and one-time direct injection. However, other types of vaccines are also useful, as discussed later and shown in our evaluation (§VI).

Use Case of Vaccines As a complementary technique to existing malware defense, vaccines may not be used to protect machines from all malware attacks. However, they can be used for current, high-profile, large-scale malware propagation and infections, which may last for a period of time, e.g., several days, weeks, or months. If we can capture the binary at the initial infection stage, we can quickly generate vaccines and protect our uninfected machines from the attacks, until a better detection or prevention solutions (e.g., a system/software patch to fix the vulnerability) are available and fully deployed.
Target and assumptions

It is well-known that not all diseases can have vaccines. Similarly, not all malware can have vaccines. Our target is those malware that has specific system-resource-sensitive behavior, illustrated in the following scenarios:

- Some malware can work only in the scenario in which none of the same malware instances is present in the host. Thus, they have to uniquely mark their infected systems through creating and checking certain deterministic identifiers such as mutex, file, as shown in the Conficker example. Our vaccine can hence appear to be the infection marker to fool the malware and stop its infection.
- Some malware has issues in handling the failure of certain system resource access. Our vaccine can try to enforce such failures to make the malware run into their undesired status (e.g., process termination, or important functions being disabled).
- Some targeted malware is designed to work in a specific system environment. Our vaccine can attempt to make each protected system different from malware targeted environment, so as to be immune from the infection.

It is true that some malware may not use system resource checks to make their infection decision. That is, AUTOVAC does have limitations and we discuss in great detail on the possible evasions in §VII. We note that while evasions are possible, most of these scenarios are not within the scope and assumptions of our approach. The intention of AUTOVAC is not to replace existing defense approaches, but to complement them from a new perspective. As we show later, once we can successfully extract interested system resource constraints and generate vaccines, we can effectively and efficiently immunize machines from the same malware infection.

B. Approach Overview

An overview of AUTOVAC is illustrated in Figure 1. At a high level, it consists of three phases: Candidate Selection, Vaccine Generation, and Vaccine Delivery/Deployment.

In Phase-I (§III), we will first filter out malware samples that are unlikely to contain vaccines. In this step, we profile the normal execution of the malware to obtain an overview of the malware’s accessed system resources, including such as the types of resources and the names of the corresponding resource-identifiers, the operations (e.g., create, read/write) on the resources, and the corresponding results (e.g., succeed, or fail).

During our profiling, we will also apply a variant of dynamic taint analysis [9] to determine whether the malware’s execution will be affected by certain resources it has accessed. The implication is that malware has to be sensitive to its resource access result. Otherwise, malware’s behavior is deterministic regardless of its resource environment and no vaccine will exist for it. Hence, if we find no program branches depend on any system resource, we filter this malware because it does not contain vaccines that we can extract. At the end of this phase, we obtain a list of candidate resources that can affect the control flow of the malware execution.

In Phase-II (§IV), our task is to generate vaccines by testing their exclusiveness and impact on malware execution. It contains three sub-steps.

- Step-I: Exclusiveness Analysis In general, system resources are also being used by benign programs. In this step, we would like to filter the resource identifiers that are not exclusive to malware itself (e.g., some benign programs also use them), in order to avoid false positives.
- Step-II: Impact Analysis The goal of this step is to measure the potential impact of a certain system resource, i.e., whether it can affect the execution of some interested malware functions. We start a second-round execution monitoring by manipulating the result of the specific malware’s resource operation, which will generate a manipulated trace. We apply program alignment techniques [10] to compare the execution differences between the manipulated trace and the normal trace, and determine if the system resource can (significantly) impact the malware functions, e.g., cause malware to stop the execution. At the end of this step, we generate a list of resources that can effectively stop the malware’s infection (full immunization), or significantly affect the malware’s certain functions (partial immunization).
• Step-III: Determinism Analysis We also have to measure the determinism of the specific system resource identifier, e.g., filename or mutex name. An effective malware vaccine should be deterministic, such that it can be accurately reproduced/predicted to affect the targeted malware. A deterministic value could be a fixed/static value, or a value that is generated from a deterministic algorithm (from deterministic resources) or even partial static if certain part is deterministic. To decide if a specific resource identifier is deterministic, we perform backward taint analysis and program slicing to fully understand the identifier generation logic and the parameters it depends on. Based on that, we further analyze the root-cause of the identifier generation, and generate a program slice responsible for the identifier generation logic.

In Phase-III, we deploy the malware vaccine at an end host. There are also two situations: direct injection and vaccine daemon. We will present their details in §V.

III. Phase-I: Candidate Selection

Given a malware sample, AUTOVAC will first determine whether it is possible to generate a vaccine, and at the same time collect the behavior information to facilitate the next step analysis. Since our vaccine is essentially composed of system resources that have a direct or indirect (through propagation) impact on the malware execution, we adopt a variant of dynamic taint analysis [9] to achieve this.

A. Taint Sources

Taint sources define the origins of the tainted data. Our current focus is on those system-resource-related data that can possibly impact the malware behavior. However, there is a wide range of system resources and certainly some of them cannot be used such as system-assigned random objects. As such, we have to systematically study these resources and identify our taint source. In particular, we use the following criteria to decide whether a system resource should be tainted.

• Unique Presence Our focused system resources should be commonly used by malware, and these resources should be uniquely identified. Thus, those transient system resources, e.g., events, signals, critical sections, are out of our interest.

• Less Impact to Benign Software Our targeted resources should have little or minor impact to benign programs. This requirement would exclude many system-wide objects and information, such as timers, performance counters, input/output devices, removable devices, because they are commonly accessed by benign programs.

• Easier Deployment Our targeted resources should be lightly deployed onto end-hosts as vaccines. To this end, injecting some specific files or mutex into the end-host would be viable options. Therefore, files, mutex, or registry will be our main targeted resources.

API Labeling After applying the above criteria, eventually mutex, static files, and registry items are of our particular interest. Meanwhile, the propagation use of these resources such as process, library, GUI window and services are also of our interest because these resources depend on some deterministic resource identifiers. However, at the instruction level, these resource-identifiers often get accessed through system APIs. Thus, we have to examine each Windows API to define our taint sources.

More specifically, all the system resource access APIs (e.g., NtQueryObject) are of our interest. AUTOVAC will taint the return values as well as the affected arguments of these functions. In our design, we examined over 800 windows APIs and we classify them into the following two categories.

• Tainting the return value Most APIs only affect the return values (always stored in EAX), such as OpenMutex, NtSaveKey. For them, we just taint the return value.

• Tainting the argument Some APIs store the affected values in the arguments. For instance, NtOpenKey and NtOpenFile store the return handler in their first parameters.

Besides tainting the return values or arguments, we also need to record the concrete values of the arguments to these APIs because eventually our vaccines work by affecting the system environments which are their arguments. Meanwhile, not all the arguments are of our interest, and only those resource-identifiers. This is also a tedious procedure to identify these resource-identifiers. Table I shows an example on how we label the two Windows APIs.

<table>
<thead>
<tr>
<th>Resource Type</th>
<th>OpenMutex</th>
<th>ReadFile</th>
</tr>
</thead>
<tbody>
<tr>
<td>resource-identifier</td>
<td>3rd parameter: lpName</td>
<td>1st parameter: hFile for Handle Map</td>
</tr>
<tr>
<td>Success</td>
<td>EAX: Valid Handle Value</td>
<td>EAX: TRUE</td>
</tr>
<tr>
<td>Failure</td>
<td>EAX: NULL, GetLastError: 0x02</td>
<td>EAX: FALSE, GetLastError: 0x1E</td>
</tr>
</tbody>
</table>

Table I
LABELING EXAMPLES FOR OPENMUTEX/READFILE

B. Taint Propagation

AUTOVAC has to propagate taint labels for data operations. That is, for any instruction whose source operand has been associated with the tainted labels, we taint the destination operand with the same label. Then whenever we find a comparison (i.e., predicate) instruction whose operands have been tainted (e.g., test, cmp), we will flag this malware most likely having a vaccine and pass it to our next phase analysis.

Output from Phase-I: As our Phase-I runs the malware in normal settings, it provides a great opportunity to collect
the normal malware behavior. To this end, we log all the executed APIs as well as their parameters, along with the precise calling context information including the call stack and the caller-PC (program counter). In addition, our log file also contains the list of the system-resource-sensitive APIs that have been executed, and their propagated taint record that is used in the predicate.

IV. PHASE-II: VACCINE GENERATION

Once a malware sample has been flagged to “possibly have a vaccine” in Phase-I, it will be fed to our Phase-II to perform a deeper analysis, including exclusiveness analysis (§IV-A), impact analysis (§IV-B), and determinism analysis (§IV-C). In this section, we present these analyses in greater detail.

A. Exclusiveness Analysis

The goal of our exclusiveness analysis is to exclude the resources that have been used in benign software. For instance, some resources such as library names uxtheme.dll, mscrt.dll could be used in benign programs. We must exclude them otherwise our vaccine will have false positives.

In Phase-I, AUTOVAC has logged all the resource-identifiers, and next we would like to query whether or not each identifier is unique to the malware. Our basic idea is inspired by a Googling approach used in previous studies [29]. Essentially we use Google query APIs to search resource-identifiers. Based on the return results and their context, we infer whether these resources are already associated with benign software. We refer readers to [29] for more details. In short, from our search query, if the resource-identifiers does not conflict with benign software or there is no any matching search result, then we proceed with further analysis.

B. Impact Analysis

Given a list of the system resources that can (in)directly affect the malware execution and the corresponding APIs provided in Phase-I, AUTOVAC will run the malware again in a controlled environment such that we can mutate the return value or involved arguments, and test whether malware will exhibit different behavior or not. Our current design is to mutate each involved API one at a time, and compare the behavior with our normal execution captured in Phase-I.

Trace Differential Analysis Then the next question is how we compare the malware behavior in two traces: one is a normal execution, and the other is a resource mutated execution.

Finding the differences in two traces has been discussed in previous literature (e.g., [10], [27]). It is essentially a program alignment problem [10]. The basic idea is to align two execution points that are equivalent to each other and then compute the differences only between the unaligned instructions. In our scenario, we try to obtain the high-level information such as whether the malware will terminate rather than the minor instruction level execution differences. Thus, in our design, we use the API call sequences (as we have already logged all the executed APIs and their calling context information), and present an API sequence alignment algorithm as shown in Algorithms 1.

In particular, we adopted an alignment algorithm from Zeller [10], which uses the execution context for each instruction for the comparison. If the instruction and its execution context are equivalent (line 4), they are aligned together. However, we do not need to compare instruction by instruction, but rather at the granularity of APIs. Thus, we define a calling execution context as a triple:

\[ \langle \text{API-name}, \text{Caller-PC}, \text{Parameter list} \rangle \]

For the parameter list, we only compare the static parameters that are identical across different executions. Note that all these information has been logged either in Phase-I for the normal execution, or logged in Phase-II for the mutated execution. Also, the reason we have to log the Caller-PC is for the preciseness.

As illustrated in Algorithm 1, our analysis begins from the start of the trace, then proceeds with a linear searching for each system/library call in the mutated trace, and examines whether it could be aligned with some call in the normal run trace (line 2 – 8). If we find an anchor point, we generate two difference sets \( \Delta_m \) and \( \Delta_n \).

Next, we examine the two \( \Delta \) sets to evaluate the further differences, and classify the vaccine immunization type. Specifically, we define three kinds of immunization effects.

Full Immunization If we find APIs such as ExitThread, TerminateProcess, and TerminateThread in \( \Delta \), then certainly the mutated system resources can be served as a full immunization vaccine, because the malware has killed itself.

Partial Immunization Some vaccines may significantly weaken certain important functions of malware. We consider them as partial immunization vaccines. More specifically, we currently focus on the follow four types of partial

\begin{algorithm}
\caption{Differential Analysis on the API-Call Traces}
\begin{algorithmic}
\State \( \Delta_m \leftarrow \emptyset \), \( \Delta_n \leftarrow \emptyset \)
\For {\text{call } f_{\Delta_m} \text{ in } \Delta_m} 
\EndFor
\For {\text{call } f_{\Delta_m} \text{ in } \Delta_m} 
\If {\text{isAligned}(f_{\Delta_m}, f_{\Delta_n})} 
\EndIf
\EndFor
\State \( \Delta_m = \Delta_m \cup f_{\Delta_m} \)
\State \( \Delta_n = \Delta_n \)
\State FIND_ALIGNED:
\EndFor
\State \{f_{\Delta_m}\} = \text{Diff}(\Delta_m, \Delta_n)
\State return \{f_{\Delta_n}\}
\end{algorithmic}
\end{algorithm}
immunization:

- **Type-I: Disable Kernel Injection** An important malicious function of malware is to raise its privilege. The common way they use is to inject a kernel driver into an end host. There are several system calls (mainly undocumented) such as OpenSCManager have been used for this. Furthermore, some malware commonly copies itself as a new file with its name ending with .sys, which implies that some kernel driver is created by the malware.

- **Type-II: Disable Massive Network Behavior** If we find the normal execution is full of network-related functions, while the manipulated execution is clean from such calls, we consider such vaccine as **Type-II Partial Immunization**.

- **Type-III: Disable Malware Persistence** Malware typically modifies specific registry entries such as Run subkeys in multiple registries. Other autorun approaches include (a) file operations on startup folder or system.ini files, (b) creation of new service entries, (c) access of winlogon binary. Through differential analysis we can tell if these operations are lost in the mutated execution while present in the normal execution.

- **Type-IV: Disable Benign Process Injection** To be more evasive, malware often inject themselves into some benign processes. Processes such as explorer.exe and svchost.exe are common targets. If we find such a clear pattern in the differential analysis, we consider these vaccines as **Type-IV Partial Immunization**.

**No Immunization** If none of the above APIs are in the $\Delta$, then we classify this vaccine with no effect to stop or affect malware behavior.

C. Determinism Analysis

We next need to verify the determinism of the extracted resource-identifiers.

**Backward Taint Tracking and Program Slicing** Given a resource-identifier, we need to identify whether it is deterministic or entirely random. We choose to trace the root-cause for the generation of the resource-identifier.

To back track the procedure of how malware generates an identifier, we perform a backward taint tracking. The basic idea is to include all the instructions that have contributed to the creation of the resource-identifier, which is the argument of the API of our interest. To this end, starting from data-use of the argument, we back track each executed instruction to check whether or not their operands have been involved to define the data. If so, we taint the source operand as the same symbol and continue the backward propagation. We perform the analysis offline on logged traces.

The termination of our backward tracking is the point to identify the root-cause that generates the identifier’s name.

We continue backward propagation until tainted source is either from read-only regions (e.g., static strings), or constant values, or the return value of the system APIs. Based on these different sources, we decide whether the generation of the identifier is deterministic or not.

An identifier has a non-deterministic type if and only if all elements of its composition are resulted from some random functions (e.g., GetPerformanceCounter and GetTempFileName). As illustrated in the left part of Fig 2, if the termination data point is from a read-only segment such as rdata, or constant values, we can easily mark it as static. Similarly, if an identifier is constructed using some non-deterministic value combined with some constant value, we can mark it as partial static, and such an identifier will be deployed using a slightly different strategy compared to the scenario of purely static identifier.

An identifier could be algorithm-deterministic, namely, its identifier is generated through certain computation. Some appear-to-be random name can be generated from some invariable seed, such as computer name or hardware serial number. Algorithm-deterministic names will be backward propagated to some semantic-known APIs. We use these APIs to decide the root-cause type when generating the name. One example is shown in the middle part of Figure 2. We use the GetComputerName to infer that the input should be a computer name.

For such algorithm-deterministic identifier, we also need to find the generation logic because we need to replay and compute it for each end-host. We apply the existing backward program slicing [20] techniques to extract an independent, executable program slice for that. At the end of this step, we delete all the entire random (non-deterministic) identifiers.
D. Malware Clinic Test

To further reduce the possible false positives, we design a Malware Clinic Test at the end of this phase. With the analogue of the production of biological vaccine, Malware Clinic Test aims to inject our vaccine into real environments and test whether it will affect the normal use of a computer system. This test environment is automatically configured by running multiple benign software and services. Even though the scheme of clinic test is simple, it is essential to ensure the quality of our generated vaccine. If it affects the normal usage, it will be discarded.

V. PHASE-III: VACCINE DELIVERY AND DEPLOYMENT

After we generate the vaccine, we next describe how to deliver and deploy the vaccines to an end-user computer.

Direct Injection Direct injection works for static identifiers. If a vaccine stops malware execution by frustrating the presence checking of static type of resources, we inject it by creating or deleting the resources. For instance, if the malware needs to open certain static file (or registry) before proceeding the malicious functionality, then we remove the static file (or registry), or vice versa. Moreover, we accordingly adjust the injected file’s access privilege to disallow certain operation such as read and write. In these cases, when a low-privilege malware program attempts to access a resource, which is a common case at the initial infection stage, static vaccines efficiently stop further malicious behavior.

Vaccine Daemon Vaccine daemon works for algorithm-deterministic identifier and partially static identifier. For an algorithm-deterministic identifier, we have extracted a program slice of the resource-identifier generation logic with knowledge about its input, such as a computer name or an IP address. To generate the vaccine, we collect these information ahead and run the captured program slice. Such procedure works very similar to Inspector Gadget [20]. Our daemon process runs periodically to check whether the input has been changed and the vaccine needs to be re-generated.

Vaccine daemon is also designed for identifying resource name represented using regular expressions (i.e., distinguishable partial static vaccines). Specifically, at the end host, we dynamically intercept the APIs and resolve their resource-identifiers. If the daemon monitors that a resource identifier matches with our partial static vaccine, it will return the predefined result to stop the malware execution.

VI. EVALUATION

We have implemented AutoVac. While our online dynamic analysis can be implemented using virtual machine monitors such as TEMU [5], we use DynamoRIO [2] to implement due to its simplicity and flexibility in binary instrumentation. Our differential analysis module is implemented using offline parsing of the execution logs. Also, to perform tainted analysis we translate the X86 instructions into an intermediate language BIL [12], and then we develop our own parser code to identify the resource-sensitive branches and perform differential analysis. Our exclusiveness analysis involves a search engine query component, for which we implement using the the API provided by Google. In this section, we present our evaluation results.

A. Experiment Dataset

Our test dataset consists of 1,716 malware samples, which are collected from multiple online malware repositories (e.g., [1], [3], [4]) with mostly from Anubis [1]. We also leverage an online malware classification tool, VirusTotal [6], to obtain the classification information for these malware. We summarize classification results in Table II. We can see that these malware samples fall into 6 categories such as Backdoor (722 samples), Downloader (574 samples) and Trojan (184 samples).

B. Evaluation Result on Candidate Selection

In the first step (Phase-I), we monitor malware’s access to system resources. We conduct this experiment by running these 1,716 malware samples in our analysis environment and each sample runs for 1 minute (we tend to believe the resource checks usually happen in the early stage of the malware execution and we thus choose this 1 minute threshold). We hook 89 system/library calls as tainted sources that are related to resource operations. The resources in our evaluation include file, mutex, registry, window, process, library and service. We measure the basic operations for these resources such as read/write for file and registry, open/create for other resources. Meanwhile, for each execution instance of the hooked function, we examine their callers’ PC and make sure it does not belong to the system library’s address space. Thus, we do not count the functions that are called inside the system/library calls.

For 1,716 malware samples, we successfully tracked 460,323 occurrences of these API calls. Through our taint analysis in this phase, we identified that 371,015 (80.3%) occurrences of the calls will possibly deviate the execution of the malware samples. This result confirms that real-world malware is indeed resource sensitive.

Among these 371,015 occurrences, we further made a statistic study based on the resource type and its corresponding operations. The result is shown in Figure 3. From
We consider these three types of resources can be efficiently delivered using the injection scheme. Meanwhile, malware’s logic is also commonly sensitive to other types of resources such as Windows (13.14%), process (8.02%), library (6.6%) and service (3.4%).

![Figure 3. Statistics on Malware’s Resource Sensitive Behaviors](image)

### C. Evaluation on Vaccine Generation

In the evaluation, we analyzed all 1,716 malware in a controlled environment. In total, we generated 536 vaccines that belong to 210 malware samples. The result is presented in Table IV. For each column, we classify the vaccines as full immunization or partial immunization (Type-I to Type-IV). We also list the statistics on the vaccine distribution among different resource types in Table IV. Among all vaccines, we find 375 vaccines have static identifiers, and 163 samples have *algorithm-deterministic* or *partial static* identifiers.

To zoom-in the details of these vaccines, we select 10 representative samples and describe them in Table III. We can see that most of these vaccines stop several logic of malware’s infections. In some cases, different operations on the resources can even cause different effects on malware’s logic. For example, for the last malware in Table III, we find that the failure of *creating* a file will stop malware’s process hijacking logic, and the failure of *writing* a file will crash the malware process.

For the generated 536 vaccines, we also combined their types with the 210 malware’s classification information to see what is the common vaccine type for different kinds of malware. The result is shown in Table V. From this table, we can see that the file resources are the common vaccines for many malware families. Meanwhile, the windows resource vaccine is better suitable for adware because the windows resource vaccine is attempting to prevent adware from creating their malicious windows. If such operations fail, adware will possibly stop their further action. Last but not least, mutex vaccine works better for worm and backdoor malware. This is also reasonable, because these malware highly depends on the mutex to prevent duplicate infection.

### D. Vaccine Case Studies

Next, we present two representative case studies to illustrate in greater details on how each of our resource access based vaccines can be used for malware infection immunization.

**File-based Vaccines** One vaccine for Zeus/Zbot [7] family is a static file named *sdra64.exe* which is stored in the *system32* directory. We observe that if Zeus successfully creates this file, it will continue writing malicious bytes into that file using bytes in its resource and start a new process using this file.

**Delivery:** We deliver a vaccine by deliberately creating *sdra64.exe* at an end host. This file is owned by a super user and does not allow any creation operation by others. In this way, our vaccine prevents Zeus’s attempt to start the malicious process.

**Mutex-based Vaccines:** One mutex vaccine is for Conficker, which is an algorithm-deterministic vaccine. This mutex vaccine can efficiently stop Conficker’s infection at its initialization stage.

### Table IV: Evaluation on Vaccine Generation

<table>
<thead>
<tr>
<th>Resource</th>
<th>Full</th>
<th>Type-I</th>
<th>Type-II</th>
<th>Type-III</th>
<th>Type-IV</th>
<th>All</th>
</tr>
</thead>
<tbody>
<tr>
<td>File</td>
<td>31</td>
<td>19</td>
<td>17</td>
<td>110</td>
<td>81</td>
<td>238</td>
</tr>
<tr>
<td>Registry</td>
<td>10</td>
<td>11</td>
<td>3</td>
<td>72</td>
<td>19</td>
<td>115</td>
</tr>
<tr>
<td>Mutex</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>16</td>
<td>3</td>
<td>30</td>
</tr>
<tr>
<td>Process</td>
<td>2</td>
<td>5</td>
<td>2</td>
<td>18</td>
<td>5</td>
<td>32</td>
</tr>
<tr>
<td>Windows</td>
<td>0</td>
<td>4</td>
<td>3</td>
<td>8</td>
<td>3</td>
<td>18</td>
</tr>
<tr>
<td>Library</td>
<td>19</td>
<td>5</td>
<td>1</td>
<td>10</td>
<td>19</td>
<td>54</td>
</tr>
<tr>
<td>Service</td>
<td>7</td>
<td>4</td>
<td>0</td>
<td>17</td>
<td>21</td>
<td>49</td>
</tr>
<tr>
<td>Total</td>
<td>74</td>
<td>51</td>
<td>29</td>
<td>251</td>
<td>131</td>
<td>536</td>
</tr>
</tbody>
</table>

### Table V: Vaccine Statistics on Different Malware Families

<table>
<thead>
<tr>
<th>Vaccine Type</th>
<th>Backdoor</th>
<th>Trojan</th>
<th>Worm</th>
<th>Adware</th>
<th>Downloader</th>
<th>Virus</th>
</tr>
</thead>
<tbody>
<tr>
<td>File</td>
<td>33%</td>
<td>27%</td>
<td>24%</td>
<td>30%</td>
<td>45%</td>
<td>81%</td>
</tr>
<tr>
<td>Registry</td>
<td>13%</td>
<td>29%</td>
<td>21%</td>
<td>13%</td>
<td>20%</td>
<td>19%</td>
</tr>
<tr>
<td>Windows</td>
<td>3%</td>
<td>14%</td>
<td>0%</td>
<td>47%</td>
<td>11%</td>
<td>0%</td>
</tr>
<tr>
<td>Mutex</td>
<td>8%</td>
<td>12%</td>
<td>29%</td>
<td>0%</td>
<td>2%</td>
<td>0%</td>
</tr>
<tr>
<td>Process</td>
<td>8%</td>
<td>7%</td>
<td>14%</td>
<td>0%</td>
<td>10%</td>
<td>0%</td>
</tr>
<tr>
<td>Library</td>
<td>26%</td>
<td>9%</td>
<td>4%</td>
<td>0%</td>
<td>7%</td>
<td>0%</td>
</tr>
<tr>
<td>Service</td>
<td>7%</td>
<td>2%</td>
<td>8%</td>
<td>10%</td>
<td>5%</td>
<td>0%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Deployment</th>
<th>Direct</th>
<th>Daemon</th>
<th>Virus</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct</td>
<td>67%</td>
<td>79%</td>
<td>63%</td>
</tr>
<tr>
<td>Daemon</td>
<td>33%</td>
<td>21%</td>
<td>37%</td>
</tr>
<tr>
<td>Virus</td>
<td>31%</td>
<td>31%</td>
<td>16%</td>
</tr>
</tbody>
</table>

### Table II: Malware’s Resource Sensitive Behaviors
The larger BDR is, the more reduction of functions by the vaccines. In Figure 4, we report the distribution of BDR according to different vaccines’ effectiveness type.

Several other mutex examples include _AVIRA_21099, _AVIRA_2109, _AVIRA_2108, which belong to Zeus/Zbot [7] malware. This set of vaccines can stop multiple malware logic such as kernel injection, process hijacking, and network communication.

**Delivery**: Direct injection is an efficient approach to deliver mutex vaccines. We simply create a deterministic _AVIRA_ mutex in the system to prevent Zbot’s injection. For Conficker, we run the vaccine slice once at the end host and generate the mutex name for each computer.

**E. Vaccine Effect Analysis**

In this test, we evaluate the effect of our vaccines on the malware samples. As reported in §VI-C, our vaccines can stop or weaken 210 samples’ malicious behaviors. In this test, we run these 210 samples in both vaccine-deployed environment and the normal infection environment for 5 minutes. Then we compare the differences of their native system calls (all the NT native calls) in these two environments. We define a metric Behavior Decreasing Ratio, $BDR = \frac{N_n - N_d}{N_n}$, where $N_n$ is the number native system calls in the normal environment while $N_d$ is that number in the vaccine-deployed environment. The larger BDR is, the more reduction of functions by the vaccines. In Figure 4, we report the distribution of BDR according to different vaccines’ effectiveness type.

From this figure, we can see that the full immunization vaccines are obvious the most effective ones and they all terminate the execution of malware (the reason why their BDR is not 100% is simply because of their initial executions before exit also have some native system calls). Our partial immunization vaccines all effectively achieve their goals by disabling key functions in the malware (through a careful manual examination, we confirm that all unwanted malicious logic has been disabled). One such example for Zeus is shown in Table VI. Even in the worst case in terms of BDR, our partial immunization vaccine can still reduce at least 24% malware’s important system call activities. Note that BDR will certainly increase if we keep running the malware sample in a longer time period.

To further verify that our vaccines are effective for different variants in the same malware family, we choose 6 high-profile malware samples and perform another test. These samples are high-profile malware such as Conficker, Zeus/Zbot, and Salty, and for these 6 samples we have extracted a total of 17 different vaccines in our previous test. We then further collect 5 variants (binaries are different from what we have collected in the original dataset) belonging to each family (thus 30 new variants in total). Then we run the 30 new collected variants in both normal and vaccine-injected environments, similar to the previous experiment. We carefully analyze the execution differences and manually verify whether the injected vaccines have achieved the goal or not. The result is showed in Table VII. Note that the 4th column indicates the number of malicious functions that can be stopped if ideally these vaccines work for all variants, the 5th column indicates the actual number from our test, and the 6th column shows the percentage of success.

From the result, we can see that overall our vaccines are effective for different variants in the same malware family, which belong to Zeus/Zbot [7].

**Table III**

<table>
<thead>
<tr>
<th>Seq</th>
<th>Type</th>
<th>OpeType</th>
<th>Impact</th>
<th>Identifier</th>
<th>Malicious Sample Md5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mutex</td>
<td>E</td>
<td>T</td>
<td>!VoqA.4</td>
<td>df4d6f2f5aa8f3138318b522a22253256bbbb936dc1e0999c307883c8</td>
</tr>
<tr>
<td>2</td>
<td>File</td>
<td>C,R,W</td>
<td>PH</td>
<td>%system32\winrsdi.exe</td>
<td>16b6f589f3665d4a0fe04faa292f94324a</td>
</tr>
<tr>
<td>3</td>
<td>Mutex</td>
<td>C,E,R</td>
<td>PH,N</td>
<td>%system32\dwdregrt.exe</td>
<td>2c4784256bb8b936d1ce1099c307883c8</td>
</tr>
<tr>
<td>4</td>
<td>Mutex</td>
<td>C,E,R,W</td>
<td>W</td>
<td>%system32\driver\qapcks.sys</td>
<td>27d1f8e20c253f91112f502b6b494400a0</td>
</tr>
<tr>
<td>5</td>
<td>Mutex</td>
<td>E</td>
<td>T</td>
<td>GTSKISNAUOI</td>
<td>ee587e4a926b037c78c1df80ec7e917</td>
</tr>
<tr>
<td>6</td>
<td>Mutex</td>
<td>E</td>
<td>PH</td>
<td>fx221</td>
<td>a54e1cfc18126d68a1e26792107b880e</td>
</tr>
<tr>
<td>7</td>
<td>Mutex</td>
<td>C.E</td>
<td>T</td>
<td>jxy-24tq926nsj3c</td>
<td>b534b75d5f3b9f17b60fd0f11b1eca</td>
</tr>
<tr>
<td>8</td>
<td>Mutex</td>
<td>C,E,R</td>
<td>PH</td>
<td>_AVIRA_2109</td>
<td>04d93bf08a1675b79975a7024c3d6</td>
</tr>
<tr>
<td>9</td>
<td>File</td>
<td>C.E.R,W</td>
<td>T</td>
<td>%system32\shimon.exe</td>
<td>a54e1cfc18126d68a1e26792107b880e</td>
</tr>
<tr>
<td>10</td>
<td>File</td>
<td>C.E.R,W</td>
<td>T</td>
<td>%system32\sdra64.exe</td>
<td>04d93bf08a1675b79975a7024c3d6</td>
</tr>
</tbody>
</table>

**Table VI**

<table>
<thead>
<tr>
<th>Malware</th>
<th>Vaccine</th>
<th>Type</th>
<th>Impact Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zeus/Zbot</td>
<td>_AVIRA_2109</td>
<td>mutex</td>
<td>Stop process hijacking</td>
</tr>
</tbody>
</table>

**Example of a High-profile Malware Vaccine**
did not find its use in 2 other Zbot variants. Fortunately, for each malware, we have extracted more than one vaccines. Thus, even some may not be effective for all variants, the combination of these vaccines can still achieve satisfiable results. We believe this test also highlights the importance of using an automatic tool (such as our AUTOVac) to analyze malware samples to extract as many vaccines as possible, a goal otherwise very hard to achieve through manual analysis.

False Positive Test Our next test is on the false positive evaluation, i.e., whether our generated vaccines will affect the normal program executions. We design a simple malware clinic test as mentioned in §IV-D. First, we install 5 different virtual machines running over 40 benign software (which includes the most common software typically seen on normal users’ computers such as all kinds of browsers, programming environments, multimedia applications, Office toolkits, IM and social networking tools, antivirus tools, and P2P programs). Then we equally inject our vaccines into each test machine and monitor their system logs over a period of a week. The result shows that our vaccines did not cause any problem to our running environments.

One could argue that this automatic test may underestimate users’ interaction. Hence, we conduct another test to install 200 vaccines on 4 lab machines. All these four machines are for normal everyday use. The result also shows that our generated vaccines did not cause any trouble for the operation of existing benign programs. While our clinic test could have a limited scope, we believe a well-designed clinic test is still helpful to refine our automatically generated vaccines in a real-world scenario.

F. Performance Overhead

1) Vaccine Generation Overhead: First, we measured the overhead of the automatic extraction of vaccines. We run our test on machines with Intel Core i5 CPU and 6GB memory. Generating the Vaccine In our test, we measure the time spent on analyzing the function traces, extracting the identifiers and filtering out common identifiers using search engine and pre-built whitelist. For each sample, it took 789 seconds to fulfill all these tasks on average. For backward slicing, we find it took 214 seconds on average for each identifier. Meanwhile, the longest case is 530 seconds and the shortest case is 30 seconds.

- Impact Analysis We measure the overhead of our offline parsing part to handle two execution traces with 1 minute malware running time. The overhead for 500 cases is around 24 hours. It means that for each case, it takes around 2 – 3 minutes to verify its impact.

We note that the vaccine generation is a one-time effort in the analysis environment. The more important overhead that users care about is the one on their end hosts.

2) Vaccine Deployment Overhead: We now report the deployment overhead on each end host.

For static and algorithm-deterministic vaccines, the overhead is negligible (almost zero) because in most of the time we only need to install some system resource or replay the resource-identifier-generation slice for one time. In our experiment, it takes only 3-4s to install all the 373 static vaccines onto one end-host machine. It includes copying/activating the resources and correctly set up their privileges. For 44 algorithm-deterministic vaccines, we need to run vaccine program slices on the machine. It takes 1,131s (25.70s for each vaccine on average) to deploy all the vaccines. Note these vaccines are packed with installation scripts and there is no user interactions involved.

For partial static vaccine, it adds a little more overhead to the end host. The overhead mainly comes from the identifier comparison after we intercept the call. In our test, the highest extra overhead is below 4.5% for injecting 119 partial static vaccines. Among 4.5% overhead, around 3.9% comes from the function hooking, which is relatively stable even the vaccine number increases. Hence, it could be expected that even the number of partial static vaccines have been expanded by 10 times, we could still efficiently control the overhead under 12% for each host. More importantly, in most cases, we do not need to inject all the vaccines at the same time (to be discussed in Section VII).

VII. LIMITATIONS AND FUTURE WORK

Our system is not perfect. In this section, we discuss its limitations and outline our future efforts.

Evasions from Malware It is possible to evade our vaccine if malware authors are aware that we are using certain resource as the vaccine. They can drop the specific resource checking logic or change the resource name in the new version. However, the former will possibly lead to re-infection and thus may be not desired. While the latter approach is possible, if we consider the wide and random propagation of worm or botnet malware, our vaccine still makes the malware harder to decide whether the system has actually been infected or not. Hence, if the malware binary cannot run when over two instances on the same machine, our vaccine can bring the malware into a dilemma that the target system may actually been infected before or it has installed our vaccine system. Even though malware can run with multiple instances, periodically changing the identifiers may finally
result in multiple instances running in one machine. It also create extra risks of being detected.

Certainly, malware authors could obfuscate the malware code to frustrate our vaccine generation such as using control dependence to propagate data [26]. In fact, in some cases, there is actually no propagation chain and the conditional check is directly operated with the resource values. While future malware could deliberately introduce additional data propagation and obfuscate through control dependence, to address such problem will be one of our future efforts.

**Limitation on Dynamic Analysis** In AUTOVAC, we intensively apply multiple data flow tracking techniques such as taint analysis and program slicing. Therefore, AUTOVAC unavoidably suffers from the problems brought by these dynamic analysis techniques [15]. For instance, in our vaccine candidate selection/analysis, our taint analysis could cause overtainting [9] thus resulting in more candidate resources to analyze. Fortunately, due to our impact analysis and exclusive analysis, we can still easily filter out those unsuitable vaccines.

In addition, some imprecise interpretation of differential function calls may cause the underestimation of the actual impact of certain resources/vaccines. Some previous work [24] has discussed several approaches to gain a better understanding of malware’s high-level behaviors. We could leverage these techniques to refine our result in future work.

**Potential False Positive** Some of our automated analysis techniques (e.g., the use of search engine) may also return incomplete/inaccurate results. Meanwhile, our exclusiveness analysis and clinic test may not cover all benign programs such that it is possible to have some resource collision between our vaccine and some benign programs. Improving these issues is our another venue of future work.

**Deployment Issues** One concern for the vaccine deployment is that injecting a large number of vaccines into end hosts may annoy the user. Note that most generated vaccines in practice are just some files, mutexes, registry entries, whose sizes are tiny or even with 0 byte. This is pretty lightweight compared with the case that AV tools typically store millions of signatures on an end host. In addition, as mentioned before, as a complementary technique to existing solutions, vaccine-based prevention scheme can be mainly used for some high-profile, large-scale, and severe malware infections, instead of for all malware.

**VIII. RELATED WORK**

**Immunization-based Defense** In [16], Manuel et al. proposed an end-to-end approach to make end-hosts immune from fast-propagating worms through collaborative worm detection and self-certifying alerts. Packet Vaccine [33] followed this direction and derived the network signatures of malicious packets to be used at the network level to filter unwanted packets. Different from these previous work, AUTOVAC does not investigate the exploits nor vulnerabilities that malware targets, and instead it analyzes the system resource constraints of malware and attempts to extract effective vaccines to immunize a clean system from future malware infection.

In a concurrent study, Andre et al. [30] proposed the idea of using infection markers to prevent malware infection. While both are inspired by the biological vaccine concept, we systematically explore this problem and our vaccines are more general and broader than simple infection markers. Employed techniques are also substantially different; instead of treating the malware as a black box, AUTOVAC conducts more fine-grained binary analysis on malware internals, performs more analysis (e.g., exclusiveness, impact) in the automatic vaccine generation, and has more delivery/deployment options.

**Dynamic Malware Analysis** Due to the severe threat of malware, tons of research has been carried out on analyzing malware behavior (e.g., [11], [14], [18], [22], [24]) and classifying malware (e.g, [17], [21], [32]). Certainly AUTOVAC complements these techniques by exploring a new direction to stop malware infections.

In AUTOVAC, we design several dynamic binary analysis techniques to automate the production of malware vaccines. There has been a significant amount of work [13], [18]–[20], [23], [31] on dynamic binary analysis. In particular, prior research [25], [31] has explored the enforced execution and reverting to trigger malware’s dormant functions [25], [31]. Our enforced execution applies similar techniques introduced in the forced execution [31] but we focus on these environment/system resource sensitive branches.

We also leverage taint analysis and program alignment techniques. Different from full taint analysis in previous work [19], [20] and block-level program alignment [27], our proposed solution avoids the overhead caused by full execution tracking with a particular focus on the targeted malware behavior in our problem domain.

**IX. CONCLUSION**

In this paper, we present AUTOVAC, a new complementary malware defense scheme that aims to automatically extract malware vaccines from given malware samples. Our evaluation shows that it is an appealing approach that works on many real-world malware families. In particular, the vaccines can be used to build an immune system at an end host to defend against the specific malware’s infection. To demonstrate the real-world practicality, we have implemented our prototype system using several dynamic program analysis techniques, and conducted empirical evaluations on a large set of real-world malware samples. Our experimental results show that we can successfully extract working vaccines for many malware families including Conficker, Sality and Zeus.

**ACKNOWLEDGMENT**

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[9] Thanassis Avgerinos, Edward Schwartz, and David Brumley. All you ever wanted to know about dynamic taint analysis and forward symbolic execution (but might have been afraid to ask). In Proc. of IEEE S&P 2010.