

# [MS-OXIMAP4]: Internet Message Access Protocol Version 4 (IMAP4) Extensions Specification

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# 1 Introduction

This document specifies the implementation of extensions to the IMAP4 protocol. The following extension is specified:

- NTLM (Windows NT LAN Manager) authentication mechanism for the IMAP4 protocol. This is a proprietary extension used with the IMAP4 **AUTHENTICATE** command, as specified in [RFC1731].

For the purpose of this document, the Exchange Server NTLM IMAP4 extension is referred to in subsequent sections as "NTLM IMAP4 extension".

## 1.1 Glossary

The following terms are defined in [MS-OXGLOS]:

**ASCII**

**Augmented Backus-Naur Form (ABNF)**

**Connection-Oriented NTLM**

**HTML**

**Hypertext Transfer Protocol (HTTP)**

**Internet Message Access Protocol – version 4 (IMAP4)**

**NTLM**

**MIME**

**NTLM AUTHENTICATE\_MESSAGE**

**NTLM CHALLENGE\_MESSAGE**

**NTLM message**

**NTLM NEGOTIATE\_MESSAGE**

**NTLM software**

**plain text**

The following terms are specific to this document:

**AUTHENTICATE command:** An **Internet Message Access Protocol - version 4**, rev1 (IMAP4) optional command that is used to send authentication information as specified in [RFC1731]. The "mechanism" name defined in the RFC is **NTLM**. The structure of the **AUTHENTICATE command** is as follows:

```
AUTHENTICATE NTLM<CR><LF>
```

**IMAP4 response:** A message sent by an **IMAP4** server in response to a message from an **IMAP4** client. The structure of this message, as specified in [RFC3501], is as follows:

```
<+OK> <response text><CR><LF>
```

Or:

```
<-ERR><response text><CR><LF>
```

**MAY, SHOULD, MUST, SHOULD NOT, MUST NOT:** These terms (in all caps) are used as described in [RFC2119]. All statements of optional behavior use either MAY, SHOULD, or SHOULD NOT.

## 1.2 References

### 1.2.1 Normative References

[MS-NLMP] Microsoft Corporation, "NT LAN Manager (NTLM) Authentication Protocol Specification", July 2006, <http://go.microsoft.com/fwlink/?LinkId=111472>.

[MS-OXGLOS] Microsoft Corporation, "Exchange Server Protocols Master Glossary", June 2008.

[RFC1521] Borenstein, N. and Freed, N., "MIME (Multipurpose Internet Mail Extensions) Part One: Mechanisms for Specifying and Describing the Format of Internet Message Bodies", RFC 1521, September 1993, <http://www.ietf.org/rfc/rfc1521.txt>.

[RFC1731] Myers, J., "IMAP4 Authentication command", RFC 1731, December 1994, <http://www.ietf.org/rfc/rfc1731.txt>.

[RFC2045] Freed, N., et al., "Multipurpose Internet Mail Extensions (MIME) Part One: Format of Internet Message Bodies", RFC 2045, November 1996, <http://www.ietf.org/rfc/rfc2045.txt>.

[RFC2119] Bradner, S., "Key words for use in RFCs to Indicate Requirement Levels", BCP 14, RFC 2119, March 1997, <http://www.ietf.org/rfc/rfc2119.txt>.

[RFC2177] Leiba, B., "IMAP4 IDLE command", RFC 2177, June 1997, <http://www.ietf.org/rfc/rfc2177.txt>.

[RFC2595] Newman, C., "Using TLS with IMAP, POP3 and ACAP", RFC 2595, June 1999, <http://www.ietf.org/rfc/rfc2595.txt>.

[RFC3501] Crispin, M., "Internet Message Access Protocol – Version 4rev1", RFC 3501, March 2003, <http://www.ietf.org/rfc/rfc3501.txt>.

[RFC4234] Crocker, D., Ed. and Overell, P., "Augmented BNF for Syntax Specifications: ABNF", RFC 4234, October 2005, <http://www.ietf.org/rfc/rfc4234.txt>.

### 1.2.2 Informative References

[MSDN-SSPI] Microsoft Corporation, "SSPI", <http://go.microsoft.com/fwlink/?LinkId=111384>.

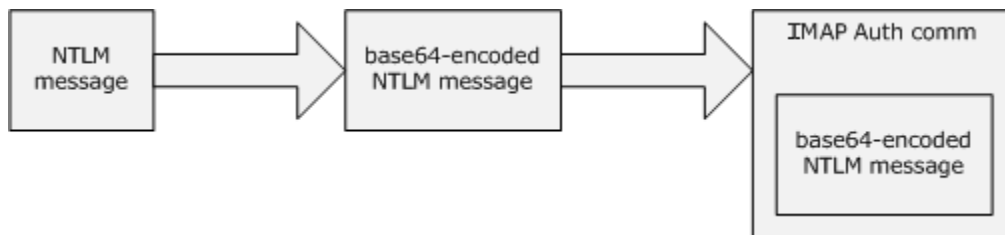
### 1.3 Protocol Overview

Client applications that connect to the **Internet Message Access Protocol - version 4, rev1 (IMAP4)** service can use either standard **plain text** authentication, as specified in [RFC3501], or **NTLM** authentication.

The NTLM IMAP4 extension specifies how an IMAP4 client and IMAP4 server can use the NTLM Authentication protocol, as specified in [MS-NLMP], so that the IMAP4 server can authenticate the IMAP4 client. NTLM is a challenge/response authentication protocol that depends on the application layer protocols to transport NTLM packets from client to server, and from server to client.

This specification defines how the IMAP4 AUTHENTICATE command [RFC1731] is used to perform authentication by using the NTLM Authentication protocol. The IMAP4 Authentication command standard defines an extensibility mechanism for arbitrary authentication protocols to be plugged into the core protocol.

This specification describes an embedded protocol in which NTLM authentication data is first transformed into a base64 representation, and then formatted by padding with IMAP4 keywords as defined by the AUTHENTICATE mechanism. The base64 encoding and the formatting are very rudimentary, and solely intended to make the NTLM data fit the framework specified in [RFC1731]. Figure 1 shows the sequence of transformations performed on an **NTLM message** to produce a message that can be sent over IMAP4.



**Figure 1: Relationship between NTLM message and IMAP4: NTLM Authentication protocol message**

This document describes a pass-through protocol that does not specify the structure of **NTLM** information. Instead, the protocol relies on the software that implements the NTLM Authentication protocol (as specified in [MS-NLMP]) to process each **NTLM message** to be sent or received.

This specification defines a server and a client role.

When **IMAP4** performs an NTLM authentication, it has to interact with the NTLM subsystem appropriately. The following is an overview of this interaction.

If acting as an IMAP4 client:

1. The NTLM subsystem returns the first NTLM message to the client, to be sent to the server.
2. The client **MUST** apply the base64-encoding and IMAP4-padding transformations to produce an IMAP4 message and send this message to the server.
3. The client **MUST** wait for a response from the server. When the response is received, the client checks to determine whether the response indicates the end of authentication (success or failure), or that authentication is continuing.
4. If the authentication is continuing, the response message is stripped of the IMAP4 padding, base64 decoded, and passed into the NTLM subsystem, upon which the NTLM subsystem **MAY** return another NTLM message that has to be sent to the server. Steps 3 through 5 are repeated until authentication succeeds or fails.

If acting as an IMAP4 server:

1. The server then waits to receive the first IMAP4 authentication message from the client.
2. When an IMAP4 message is received from the client, the IMAP4 padding is removed, the message is base64 decoded, and the resulting NTLM message is passed into the NTLM subsystem.
3. The NTLM subsystem returns a status that indicates whether authentication completed successfully, failed, or whether more NTLM messages have to be exchanged to complete the authentication.
4. If the authentication continues, the NTLM subsystem returns an NTLM message that has to be sent to the server. This message is base64-encoded, the IMAP4 padding is applied and sent to the client. Steps 2 through 4 are repeated until authentication succeeds or fails.

The sequence that follows shows the typical flow of packets between client and server after NTLM authentication has been selected.

1. The IMAP4 client sends an **NTLM NEGOTIATE\_MESSAGE** embedded in an **IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command** packet to the server.
2. On receiving the IMAP4 packet with an **NTLM NEGOTIATE\_MESSAGE**, the IMAP4 server sends an **NTLM CHALLENGE\_MESSAGE** embedded in an IMAP4 packet to the client.

3. In response, the IMAP4 client sends an **NTLM AUTHENTICATE\_MESSAGE** embedded in an IMAP4 packet.
4. The server then sends an **IMAP4 response** to the client to successfully complete the authentication process.

The NTLM NEGOTIATE\_MESSAGE, NTLM CHALLENGE\_MESSAGE, and NTLM AUTHENTICATE\_MESSAGE packets contain NTLM authentication data that has to be processed by the **NTLM software** installed on the local computer. The way in which to retrieve and process NTLM messages is specified in [MS-NLMP].

Implementers of this specification have to possess a working knowledge of the following:

- IMAP4, as specified in [RFC1731] and [RFC3501]
- The **MIME** base64 encoding method, as specified in [RFC1521]
- The NTLM Authentication protocol, as specified in [MS-NLMP]

#### ***1.4 Relationship to Other Protocols***

The NTLM IMAP4 extension uses the **IMAP4 AUTHENTICATE** extension mechanism, as specified in [RFC1731], and is an embedded protocol. Unlike stand-alone application protocols, such as Telnet or **Hypertext Transfer Protocol (HTTP)**, packets for this specification are embedded in IMAP4 commands and server responses.

IMAP4 specifies only the sequence in which an IMAP4 server and IMAP4 client are required to exchange **NTLM messages** to successfully authenticate the client to the server. It does not specify how the client obtains NTLM messages from the local **NTLM software**, or how the IMAP4 server processes NTLM messages. The IMAP4 client and IMAP4 server implementations depend on the availability of an implementation of the NTLM Authentication protocol (as specified in [MS-NLMP]) to obtain and process NTLM messages and on the availability of the base64 encoding and decoding mechanisms (as specified in [RFC1521]) to encode and decode the NTLM messages that are embedded in IMAP4 packets.

#### ***1.5 Prerequisites/Preconditions***

Because **IMAP4** depends on **NTLM** to authenticate the client to the server, both server and client **MUST** have access to an implementation of the NTLM Authentication protocol (as specified in [MS-NLMP]) that is capable of supporting **Connection-Oriented NTLM**.

#### ***1.6 Applicability Statement***

The NTLM IMAP4 extension is required to be used only when implementing an **IMAP4** client that has to authenticate to an IMAP4 server by using **NTLM** authentication.

#### ***1.7 Versioning and Capability Negotiation***

This specification covers versioning issues in the following areas:



- Security and Authentication methods: The NTLM IMAP4 extension supports the NTLMv1 and NTLMv2 authentication methods, as specified in [MS-NLMP].
- Capability Negotiation: **IMAP4** does not support negotiation of which version of the **NTLM** Authentication protocol to use. Instead, the NTLM Authentication protocol version has to be configured on both the client and the server prior to authentication. NTLM Authentication protocol version mismatches are handled by the NTLM Authentication protocol implementation, and not by IMAP4.

The client discovers whether the server supports **NTLM AUTHENTICATE** through the **IMAP CAPABILITY** command, upon which the server responds with a list of supported features, among which authentication mechanisms are listed. If NTLM is supported, the server will list the word "AUTH=NTLM" in the list. The messages involved are specified in section 2.2 of this document.

### ***1.8 Vendor-Extensible Fields***

None.

### ***1.9 Standards Assignments***

None.

## **2 Messages**

The following sections specify how the NTLM IMAP4 extension messages are transported, along with the NTLM IMAP4 extension message syntax.

### ***2.1 Transport***

The NTLM IMAP4 extension does not establish transport connections. Instead, NTLM IMAP4 extension messages are encapsulated in **IMAP4** commands and responses. The way in which NTLM IMAP4 extension messages are encapsulated in IMAP4 commands is specified in section 2.2 of this document.

### ***2.2 Message Syntax***

The NTLM IMAP4 extension messages are divided into the following three categories, depending on whether the message was sent by the server or the client:

- **AUTHENTICATE** extensions
- **IMAP4** server messages
- IMAP4 client messages

### 2.2.1 AUTHENTICATE Extensions

The first category of **IMAP4** messages is messages that fall within the **AUTHENTICATE** extensibility framework. These messages are specified in [RFC1731]. Some messages have parameters that have to be customized by the extensibility mechanism (such as **NTLM**). The following customizations are introduced in this specification:

- A client can query the server to see if **NTLM** is supported. This is accomplished by issuing the **CAPABILITY** command without any parameters. This is shown in **ABNF** (for more information about **ABNF**, see [RFC4234]) in the following example:

```
a001 CAPABILITY<CR><LF>
```

- The server responds to this message with an untagged message that has a list of supported capabilities, followed by a tagged confirmation message. This sequence is shown in **ABNF** format in the following example:

```
* CAPABILITY IMAP4 IMAP4rev1 AUTH=NTLM AUTH=GSSAPI IDLE  
NAMESPACE LITERAL+<CR><LF>
```

```
a001 OK <human_readable_string><CR><LF>
```

- [RFC1731] section 2 defines the syntax of the **AUTHENTICATE command** to initiate authentication. The parameter "mechanism" is defined to be the string "NTLM" for the **NTLM IMAP4** extension. The command to initiate an **NTLM** conversation by a client in **ABNF** is shown in the following example. This is referred to as **IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command** in this document.

```
a002 AUTHENTICATE NTLM<CR><LF>
```

- If **NTLM** is supported, the **IMAP4** server will respond with an **IMAP4** message to indicate that **NTLM** is supported. The syntax of this command in **ABNF** form is shown in the following example. This is referred to as **IMAP4\_NTLM\_Supported\_Response** in this document.

```
+<CR><LF>
```

- If **NTLM** is not supported, the **IMAP4** server returns a failure status code as defined by [RFC1731]. The only data in this message that is useful is the **BAD** response. The remaining data is human-readable data and has no bearing on the authentication. The syntax of this command in **ABNF** form is shown in the following example. This is referred to as **IMAP4\_AUTHENTICATE\_NTLM\_Fail\_Response** in this document.

```
a002 BAD <human_readable_string><CR><LF>
```

- At every point of time during the authentication exchange, the client MUST parse the responses in the messages sent by the server and interpret them, as defined by [RFC1731]. The responses define various states such as success in authenticating, failure to authenticate, and any other arbitrary failures that the software might encounter.

The client might receive any one of the following tagged responses during authentication. Note that the syntax and meaning of all these messages are defined by [RFC1731].

- IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Response: This message is partially defined in [RFC1731]. The '+' status code indicates ongoing authentication, and indicates that the <base64-encoded-NTLM-message> is to be processed by the authentication subsystem. In this case, the client MUST de-encapsulate the data, and pass it to the NTLM subsystem.

+ < base64-encoded-NTLM-message><CR><LF>

- IMAP4\_AUTHENTICATE\_NTLM\_Fail\_Response: This message is defined in [RFC1731] and indicates that the authentication has terminated unsuccessfully, either because the username or password was incorrect, or due to some other arbitrary error, such as a software or data corruption error.

a002 BAD <human-readable-string><CR><LF>

- IMAP4\_AUTHENTICATE\_NTLM\_Succeeded\_Response: This message is defined in [RFC1731] and indicates that the authentication negotiation has completed with the client successfully authenticating to the server.

a002 OK <human-readable-string><CR><LF>

- IMAP4\_AUTHENTICATE\_NTLM\_Canceled\_Response: This message is defined in [RFC1731] and indicates that the authentication negotiation has been canceled with the client.

a002NO <human-readable-string><CR><LF>

- NTLM messages encapsulated by the client and sent to the server are referred to as IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command in this document. They have the following syntax defined in ABNF, and conform to the prescription of [RFC1731].

< base64-encoded-NTLM-message><CR><LF>

- The client is able to cancel the authentication request by issuing an `IMAP4_AUTHENTICATE_Cancellation_Command`. This has the following syntax defined in ABNF:

\*<CR><LF>

### 2.2.2 IMAP4 Server Messages

This section defines the creation of `IMAP4_AUTHENTICATE_NTLM_Blob_Response` messages. These are **NTLM messages** that are sent by the server and **MUST** be encapsulated as follows to conform to syntax specified by the `AUTHENTICATE` mechanism.

1. Base64-encode the NTLM message data. This is needed because NTLM messages contain data outside the **ASCII** character range, whereas **IMAP4** only supports ASCII characters.
2. To the base64-encoded string, prefix the IMAP4 response code with a plus sign (+).
3. Suffix the <CR> and <LF> character (ASCII values 0x0D and 0x0A) as required by IMAP4.

The ABNF definition of a server message is as follows:

+ <base64-encoded-NTLM-message><CR><LF>

De-encapsulation of these messages by the client follows the reverse logic:

1. Remove the <CR> and <LF> character (ASCII values 0x0D and 0x0A).
2. Remove the **IMAP4 response** code (+).
3. Decode the base64-encoded IMAP4 data to produce the original NTLM message data.

### 2.2.3 IMAP4 Client Messages

This section defines the processing of `IMAP4_AUTHENTICATE_NTLM_Blob_Command` messages. These **NTLM messages** that are sent by the client are encapsulated as follows to conform to the `AUTHENTICATE` mechanism:

1. Base64-encode the NTLM message data. This is needed because NTLM messages contain data outside the **ASCII** character range, whereas **IMAP4** only supports ASCII characters.
2. Send the base64-encoded string.

3. Suffix the <CR> and <LF> character (ASCII values 0x0D and 0x0A), as required by IMAP4.

The **ABNF** definition of a client message is as follows:

```
<base64-encoded-NTLM-message><CR><LF>
```

De-encapsulation of these messages by the client follows the reverse logic:

1. Remove the <CR> and <LF> character (ASCII values 0x0D and 0x0A).
2. Base64-decode the IMAP4 data to produce the original NTLM message data.

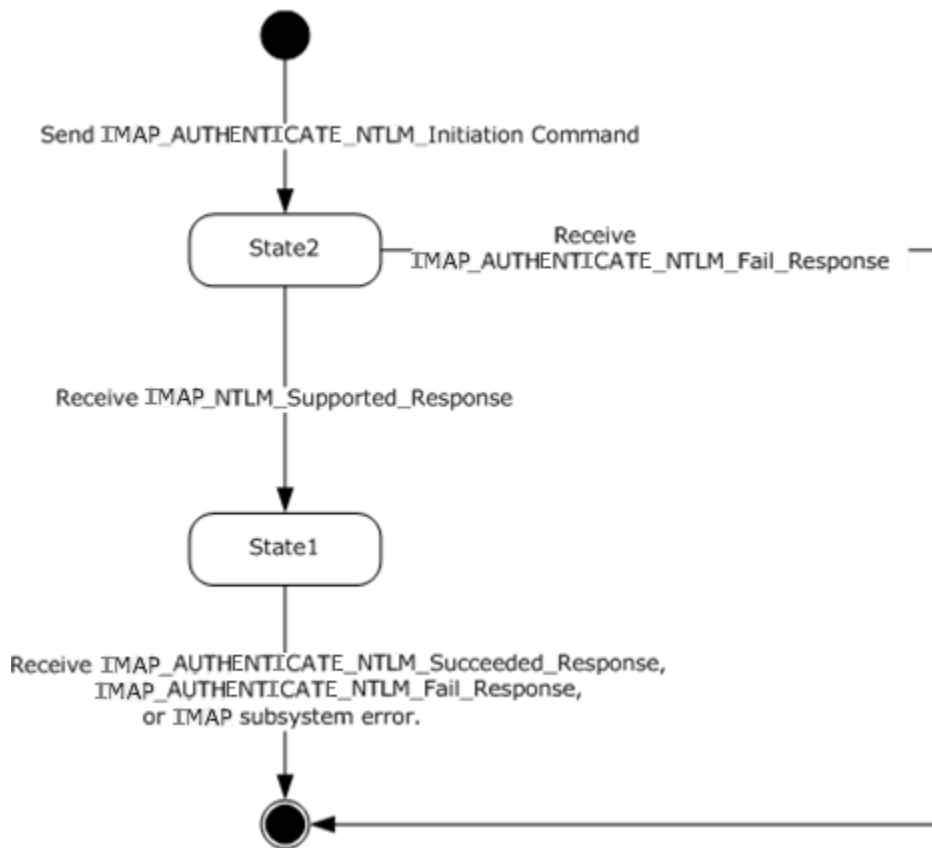
## **3 Protocol Details**

### ***3.1 IMAP4 Client Details***

#### **3.1.1 Abstract Data Model**

##### **3.1.1.1 IMAP State Model**

Figure 2 shows the client IMAP4 state model.



**Figure 2: Client IMAP4 state model**

The abstract data model for NTLM IMAP4 extension has the following states:

1. Start:

This is the state of the client before the `IMAP4_AUTHENTICATE_Initiation_Command` has been sent.

2. State 2: `sent_authentication_request`.

This is the state of the client after the `IMAP4_AUTHENTICATE_Initiation_Command` has been sent.

3. State 1: `inside_authentication`.

This is the state that is entered by a client after it has received an `IMAP4_NTLM_Supported_Command`. In this state, the client initializes the **NTLM** subsystem and repeats the following steps:

- Encapsulates the **NTLM message**, returned by the NTLM subsystem, into an **IMAP4** message. Waits for a response from the server.
- De-encapsulates received IMAP4 message data (if any) from the other party and converts it to NTLM message data.
- Passes it to the NTLM subsystem.
- Sends the IMAP4 message to the other party.

This state terminates when:

- For the server: The NTLM subsystem reports completion with either a success or failed authentication status, upon which it sends the client an `IMAP4_AUTHENTICATE_NTLM_Succeeded_Response` or `IMAP4_AUTHENTICATE_NTLM_Fail_Response`, as specified in [RFC1731].
- For the client: an `IMAP4_AUTHENTICATE_NTLM_Succeeded_Response` or `IMAP4_AUTHENTICATE_NTLM_Fail_Response` is received.
- For either client or server: when any failure is reported by the NTLM subsystem.

4. Stop: `completed_authentication`.

This is the state of the client on exiting the `inside_authentication` state. The rules for how the `inside_authentication` state is exited are defined in section 3.1.5. The behavior of IMAP4 in this state is outside the scope of this specification—it represents the end state of the authentication protocol.

### 3.1.1.2 NTLM Subsystem Interaction

During the `inside_authentication` phase, the **IMAP4** client invokes the **NTLM** subsystem as specified in [MS-NLMP] section 3.1. The NTLM protocol is used with these options:

1. The negotiation is a **Connection-Oriented NTLM** negotiation.
2. None of the flags specified in [MS-NLMP] section 3.1.1 are specific to NTLM.

The following is a description of how IMAP4 uses NTLM. All **NTLM messages** are encapsulated as specified in section 2.1. [MS-NLMP] section 3.1.1 describes the data model, internal states, and sequencing of NTLM messages in greater detail.

1. The client initiates the authentication by invoking NTLM, after which NTLM will return the **NTLM NEGOTIATE\_MESSAGE** to be sent to the server.
2. Subsequently, the exchange of NTLM messages goes on as defined by the NTLM protocol, with the IMAP4 client encapsulating the NTLM messages before sending them to the server, and de-encapsulating IMAP4 messages to obtain the NTLM message before giving it to NTLM.
3. The NTLM protocol completes authentication, either successfully or unsuccessfully, as follows:
  - The server sends the `IMAP4_AUTHENTICATE_NTLM_Succeeded_Response` to the client. On

receiving this message, the client transitions to the `completed_authentication` state and **MUST** treat the authentication attempt as successful.

- The server sends the `IMAP4_AUTHENTICATE_NTLM_Fail_Response` to the client. On receiving this message, the client transitions to the `completed_authentication` state and **MUST** treat the authentication attempt as failed.
- Failures reported from the NTLM package (which can occur for any reason, including incorrect data being passed in, or implementation-specific errors), **MAY** be reported to the client by NTLM and cause the client to transition to the `completed_authentication` state.

### 3.1.2 Timers

None.

### 3.1.3 Initialization

None.

### 3.1.4 Higher-Layer Triggered Events

None.

### 3.1.5 Message Processing Events and Sequencing Rules

The NTLM IMAP4 extension is driven by a series of message exchanges between an **IMAP4** server and an IMAP4 client. The rules governing the sequencing of commands and the internal states of the client and server are defined by a combination of [RFC1731] and [MS-NLMP]. Section 3.1.1 defines how the rules specified in [RFC1731] and [MS-NLMP] govern IMAP4 authentication.

#### 3.1.5.1 Receiving an `IMAP4_NTLM_Supported_Response` Message

The expected state is `sent_authentication_request`.

On receiving this message, a client **MUST** generate the first **NTLM message** by calling the **NTLM** subsystem. The **NTLM** subsystem then generates **NTLM NEGOTIATE\_MESSAGE**, as specified in [MS-NLMP]. The **NTLM** message is then encapsulated as defined in this specification and sent to the server.

The state of the client is changed to "`inside_authentication`".

#### 3.1.5.2 Receiving an `IMAP4_AUTHENTICATE_NTLM_Fail_Response` Message

The expected state is `sent_authentication_request`.

On receiving this message, a client **MUST** abort the **NTLM** authentication attempt.



### **3.1.5.3 Receiving an IMAP4\_NTLM\_Blob\_Response**

The expected state is `inside_authentication`.

On receiving this message, a client **MUST** de-encapsulate it to obtain the embedded **NTLM message**, and pass it to the **NTLM** subsystem for processing. The **NTLM** subsystem **MAY** then either report an error, or report success and return an **NTLM** message to be sent to the server.

#### ***3.1.5.3.1 Error from NTLM***

If the **NTLM** subsystem reports an error, the client **MUST** change its internal state to `"completed_authentication"` and consider that the authentication has failed. The client can then take any action it considers appropriate; this document does not mandate any specific course of action.

Typical actions are to try other (non-authentication-related) **IMAP4** commands, or to disconnect the connection.

#### ***3.1.5.3.2 NTLM Reports Success and Returns an NTLM Message***

The **NTLM message** **MUST** be encapsulated and sent to the server. No change occurs in the state of the client.

### **3.1.5.4 Receiving an IMAP4\_AUTHENTICATE\_Succeeded\_Response Message**

Expected state: `inside_authentication`

The **IMAP4** client **MUST** change its internal state to `completed_authentication` and consider that the authentication has succeeded. The client can then take any action it considers appropriate. This document does not mandate any specific course of action.

### **3.1.5.5 Receiving an IMAP4\_AUTHENTICATE\_NTLM\_Fail\_Response**

Expected state: `inside_authentication`.

The **IMAP4** client **MUST** change its internal state to `completed_authentication` and consider that the authentication has failed. The client can then take any action it considers appropriate. This document does not mandate any specific course of action.

## **3.1.6 Timer Events**

None.

## **3.1.7 Other Local Events**

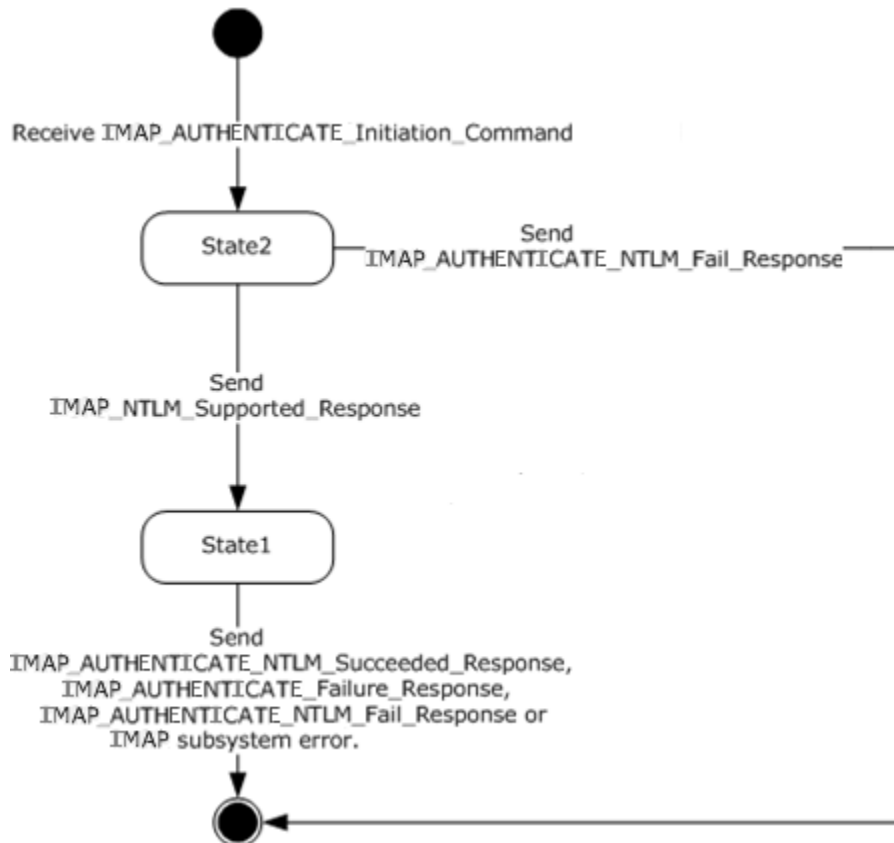
None.

## 3.2 IMAP4 Server Details

### 3.2.1 Abstract Data Model

#### 3.2.1.1 IMAP4 State Model

Figure 3 shows the server IMAP4 state model.



**Figure 3: Server IMAP4 state model**

The abstract data model for NTLM IMAP4 extension has the following states:

1. Start.

This is the state of the server before the IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command has been received.

2. State 2: received\_authentication\_request.

This is the state of the client after the IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command has been received.

### 3. State 1: inside\_authentication.

This is the state entered by a server after it has sent an `IMAP4_NTLM_Supported_Response`. In this state, the server initializes the NTLM subsystem and repeats the following steps:

- Waits for a message from the client.
- De-encapsulates received IMAP4 message-data party and obtains the embedded **NTLM message** data.
- Passes it to the **NTLM** subsystem.
- Encapsulates the NTLM message returned by the NTLM subsystem into an **IMAP4** message.
- Sends the IMAP4 message to the other party.

This state terminates when one of the following occurs:

- The NTLM subsystem reports completion with either a success or failed authentication status, upon which it sends the client and `IMAP4_AUTHENTICATE_NTLM_Succeeded_Response` or `IMAP4_AUTHENTICATE_NTLM_Fail_Response`, as specified in [RFC1731].
- Any failure is reported by the NTLM subsystem.

### 4. Stop: completed\_authentication.

This is the state of the server on exiting the `inside_authentication` state. The rules for how the `inside_authentication` state is exited are defined in section 3.2.5. The behavior of IMAP4 in this state is defined in [RFC1731]—it represents the `end_state` of the authentication protocol.

## 3.2.1.2 NTLM Subsystem Interaction

During the `inside_authentication` state, the **IMAP4** server invokes the **NTLM** subsystem as specified in [MS-NLMP] section 3.1.1. The NTLM protocol is used with the following options:

1. The negotiation is a **Connection-Oriented NTLM** negotiation.
2. None of the flags specified in [MS-NLMP] section 3.1.1 are specific to NTLM.

The following is a description of how IMAP4 uses NTLM. For more details, see [MS-NLMP] section 3.1.1, which describes the data-model and sequencing of NTLM packets in greater detail.

1. The server, on receiving the **NTLM NEGOTIATE\_MESSAGE**, passes it to the NTLM subsystem and is returned the **NTLM CHALLENGE\_MESSAGE**, if the **NTLM NEGOTIATE\_MESSAGE** was valid.

2. Subsequently, the exchange of NTLM messages goes on as defined by the NTLM protocol, with the IMAP4 server encapsulating the NTLM messages that are returned by NTLM before sending them to the client.
3. When the NTLM protocol completes authentication, either successfully or unsuccessfully, the NTLM subsystem notifies IMAP4.
  - On successful completion, the server **MUST** exit the `inside_authentication` state and enter the `completed_authentication` state and send the `IMAP4_AUTHENTICATE_Success_Response` to the client. On receiving this message, the client **MUST** also transition to the `completed_authentication` state.
  - If a failure occurs due to an incorrect password error, as described in [MS-NLMP] section 3.3.1 and 3.3.2, the server **SHOULD** enter the `completed_authentication` state and send the client an `IMAP4_AUTHENTICATE_Failure_Response` message.

If a failure occurs on the server due to any reason other than the incorrect password error, the server enters the `completed_authentication` state and sends the client an `IMAP4_AUTHENTICATE_Failure_Response` message. On receiving this message, the client **MUST** enter the `completed_authentication` state.

### **3.2.2 Timers**

None.

### **3.2.3 Initialization**

None.

### **3.2.4 Higher-Layer Triggered Events**

None.

### **3.2.5 Message Processing Events and Sequencing Rules**

The NTLM IMAP4 extension is driven by a series of message exchanges between an **IMAP4** server and an IMAP4 client. The rules governing the sequencing of commands and the internal states of the client and server are defined by a combination of [RFC1731] and [MS-NLMP]. Section 3.1.1 defines how the rules specified in [RFC1731] and [MS-NLMP] govern IMAP4 authentication.

#### **3.2.5.1 Receiving an IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command Message**

The expected state is `start`.

On receiving this message, the server **MUST** reply with the `IMAP4_NTLM_Supported_Response`, if it supports NTLM, and change its state to the `inside_authentication` state.

If the server does not support **NTLM**, it MUST respond with the **IMAP4\_NTLM\_AUTHENTICATE\_Fail\_Response**, and the internal state remains unchanged.

### **3.2.5.2 Receiving an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command Message**

The expected state is `inside_authentication`.

On receiving this message, a server MUST de-encapsulate the message, obtain the embedded **NTLM message**, and pass it to the **NTLM** subsystem. The **NTLM** subsystem MAY:

1. Report success in processing the message and return an **NTLM message** to continue authentication.
2. Report that authentication completed successfully.
3. Report that authentication failed due to a bad user name or password, as specified in [MS-NLMP].
4. Report that the authentication failed due to some other software error or message corruption.

#### ***3.2.5.2.1 NTLM Returns Success, Returning an NTLM Message***

The **NTLM message** MUST be encapsulated and sent to the client. The internal state of the **IMAP4** server remains unchanged.

#### ***3.2.5.2.2 NTLM Returns Success, Indicating Authentication Completed Successfully***

The server MUST return the **IMAP4\_NTLM\_AUTHENTICATE\_Succeeded\_Response** and change its internal state to `completed_authentication`.

#### ***3.2.5.2.3 NTLM Returns Status, Indicating User Name or Password Was Incorrect***

The server MUST return the **IMAP4\_AUTHENTICATE\_NTLM\_Failed\_Response** and change its internal state to `completed_authentication`.

#### ***3.2.5.2.4 NTLM Returns a Failure Status, Indicating Any Other Error***

The server MUST return the **IMAP4\_AUTHENTICATE\_NTLM\_Failed\_Response** and change its internal state to `completed_authentication`.

#### ***3.2.5.2.5 NTLM Reports Success, Returning an NTLM Message***

The **NTLM message** SHOULD be encapsulated and sent to the server. No change occurs in the state of the client.

### **3.2.6 Timer Events**

None.

### 3.2.7 Other Local Events

None.

## 4 Protocol Examples

The following sections describe operations used in a common scenario to illustrate the function of the **Internet Message Access Protocol - Version 4 rev1 (IMAP4)**.

### 4.1 IMAP4 Client Successfully Authenticating to an IMAP4 Server

The following example illustrates an NTLM IMAP4 extension scenario in which an **IMAP4** client successfully authenticates to an IMAP4 server by using **NTLM**.

1. The client sends an **IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command** to the server. This command is specified in [RFC1731] and does not carry any IMAP4-specific data. It is included in this example to provide a better understanding of the IMAP4 NTLM initiation command.

```
1 AUTHENTICATE NTLM
```

2. The server sends the **IMAP4\_NTLM\_Supported\_Response** message, indicating that it can perform NTLM authentication.

+

3. The client sends an **IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command** message that contains a base64-encoded NTLM **NEGOTIATE\_MESSAGE**.

```
TlRMTVNTUAAABAAA4TIogAAAAAAAAAAAAAAAAAAAAAFASgKAAAADw==
```

```
00000000:4e 54 4c 4d 53 53 50 00 01 00 00 00 07 82 08 a2 NTLMSSP.....,.  
00000010:00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 .....  
00000020:05 01 28 0a 00 00 00 0f ..(.....
```

4. The server sends an **IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Response** message that contains a base64-encoded NTLM **CHALLENGE\_MESSAGE**.

```
+ TlRMTVNTUAAACAAAFAAUADgAAAAFgoqinziKqGYjdlEAAAAAAAAAGQAZABMAAAABQ  
LODgAAAA9UAEUUAUwBUAFMARQBSAFYARQBSAAIAFABUAEUUAUwBUAFMARQBSAFYARQBSAA  
EAFABUAEUUAUwBUAFMARQBSAFYARQBSAAQAFABUAGUAcwB0AFMAZQByAHYAZQByAAMAFA  
BUAGUAcwB0AFMAZQByAHYAZQByAAAAA=
```

```
00000000:4e 54 4c 4d 53 53 50 00 02 00 00 14 00 14 00 NTLMSSP.....  
00000010:38 00 00 00 05 82 8a a2 9f 38 8a a8 66 23 76 51 8.....,ŠčŸ8Š" f#vQ  
00000020:00 00 00 00 00 00 00 00 64 00 64 00 4c 00 00 00 .....d.d.L...  
00000030:05 02 ce 0e 00 00 00 0f 54 00 45 00 53 00 54 00 ..î....T.E.S.T.  
00000040:53 00 45 00 52 00 56 00 45 00 52 00 02 00 14 00 S.E.R.V.E.R.....  
00000050:54 00 45 00 53 00 54 00 53 00 45 00 52 00 56 00 T.E.S.T.S.E.R.V.  
00000060:45 00 52 00 01 00 14 00 54 00 45 00 53 00 54 00 E.R....T.E.S.T.  
00000070:53 00 45 00 52 00 56 00 45 00 52 00 04 00 14 00 S.E.R.V.E.R.....  
00000080:54 00 65 00 73 00 74 00 53 00 65 00 72 00 76 00 T.e.s.t.S.e.r.v.
```

```
00000090:65 00 72 00 03 00 14 00 54 00 65 00 73 00 74 00 e.r.....T.e.s.t.
000000a0:53 00 65 00 72 00 76 00 65 00 72 00 00 00 00 00 S.e.r.v.e.r....
```

5. The client sends an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command message that contains a base64-encoded NTLM AUTHENTICATE\_MESSAGE.

```
TlRMTVNTUADAAAAGAAAYAGIAAAAYABgAegAAAAAAAAABIAAAACAIAEgAAAASABIAUAAA
AAAAACSAAAABYKIogUBKAOAAAApQBzAGUAcgBOAEYALQBDAEwASQBFAE4AVABKMiQ4
djhCsgAAAAAAAAAAAAAAAAAAC7zUSgB0Auy98bRi6h3mwHMJfbKntxmno=
00000000:4e 54 4c 4d 53 53 50 00 03 00 00 00 18 00 18 00 NTLMSSP.....
00000010:62 00 00 00 18 00 18 00 7a 00 00 00 00 00 00 00 b.....z.....
00000020:48 00 00 00 08 00 08 00 48 00 00 00 12 00 12 00 H.....H.....
00000030:50 00 00 00 00 00 00 00 92 00 00 00 05 82 88 a2 P.....'.....^¢
00000040:05 01 28 0a 00 00 00 0f 75 00 73 00 65 00 72 00 ..(.....u.s.e.r.
00000050:4e 00 46 00 2d 00 43 00 4c 00 49 00 45 00 4e 00 N.F.-.C.L.I.E.N.
00000060:54 00 4a 32 24 38 76 38 5c 4a 00 00 00 00 00 00 T.J2$8v8\J.....
00000070:00 00 00 00 00 00 00 00 00 00 00 00 bb cd 44 a0 07 40 .....»İD .e
00000080:2e cb df 1b 46 2e a1 de 6c 07 30 97 db 28 db 71 .Ëß.F.¡Ðl.0-Û(Ûq
00000090:9a 6a šj
```

6. The server sends an IMAP4\_AUTHENTICATION\_SUCCEEDED\_RESPONSE message.

```
1 OK AUTHENTICATE completed.
```

## 4.2 IMAP4 Client Unsuccessfully Authenticating to an IMAP4 Server

The following example illustrates an NTLM IMAP4 extension scenario in which an IMAP4 client tries NTLM authentication to an IMAP4 server and the authentication fails.

The client sends an IMAP4\_AUTHENTICATE\_NTLM\_Initiation\_Command to the server. This command is defined in [RFC1731] and does not carry any IMAP4-specific data. It is included in this example to provide a better understanding.

The server sends the IMAP4\_NTLM\_Supported\_Response message, indicating that it can perform NTLM authentication.

The client sends an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command message.

1. The client sends an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command message that contains a base-64-encoded NTLM NEGOTIATE\_MESSAGE.

```
TlRMTVNTUABAAAAB4I IogAAAAAAAAAAAAAAAAAAAAAFASgKAAAADw==
00000000:4e 54 4c 4d 53 53 50 00 01 00 00 00 07 82 08 a2 NTLMSSP.....,¢
00000010:00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 00 .....
00000020:05 01 28 0a 00 00 00 0f ..(.....
```

2. The server sends an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Response message that contains a base64-encoded NTLM CHALLENGE\_MESSAGE.

```
+ TlRMTVNTUACAAAAFAAUADgAAAAFgoqieUWd5ES4Bi0AAAAAAAAAGQAZABMAA
```

```
AABQLODgAAAA9UAEUAUwBUAFMARQBSAFYARQBSAAIAFABUAEUAUwBUAFMARQBSAF
YARQBSAAEAFAFUAEUAUwBUAFMARQBSAFYARQBSAAQAFABUAGUAcwB0AFMAZQByAH
YAZQByAAMAFABUAGUAcwB0AFMAZQByAHYAZQByAAAAAAA=
```

```
00000000:4e 54 4c 4d 53 53 50 00 02 00 00 00 14 00 14 00 NTLMSSP.....
00000010:38 00 00 00 05 82 8a a2 79 45 9d e4 44 b8 06 2d 8.....ŠčyE•äd,.-
00000020:00 00 00 00 00 00 00 00 64 00 64 00 4c 00 00 00 .....d.d.L...
00000030:05 02 ce 0e 00 00 00 0f 54 00 45 00 53 00 54 00 ..î.....T.E.S.T.
00000040:53 00 45 00 52 00 56 00 45 00 52 00 02 00 14 00 S.E.R.V.E.R....
00000050:54 00 45 00 53 00 54 00 53 00 45 00 52 00 56 00 T.E.S.T.S.E.R.V.
00000060:45 00 52 00 01 00 14 00 54 00 45 00 53 00 54 00 E.R.....T.E.S.T.
00000070:53 00 45 00 52 00 56 00 45 00 52 00 04 00 14 00 S.E.R.V.E.R....
00000080:54 00 65 00 73 00 74 00 53 00 65 00 72 00 76 00 T.e.s.t.S.e.r.v.
00000090:65 00 72 00 03 00 14 00 54 00 65 00 73 00 74 00 e.r.....T.e.s.t.
000000a0:53 00 65 00 72 00 76 00 65 00 72 00 00 00 00 00 S.e.r.v.e.r.....
```

- 3. The client sends an IMAP4\_AUTHENTICATE\_NTLM\_Blob\_Command message that contains a base-64-encoded NTLM AUTHENTICATE\_MESSAGE.

```
TlRMTVNTUADAAAAAGAAAYAGIAAAAYABgAegAAAAAAAAABIAAAACAAIAEgAAAASABIA
UAAAAAAAAACSAAAABYKIoGUBKAOAAAApQBzAGUAcgBOAEYALQBDaEwASQBFaE4A
VAAOarJ6lZ5ZNwAAAAAAAAAAAAAAAAAAAAACD9mD8jmWs4FkZe59/nNb1cF2HkL0C
GZw=
```

```
00000000:4e 54 4c 4d 53 53 50 00 03 00 00 00 18 00 18 00 NTLMSSP.....
00000010:62 00 00 00 18 00 18 00 7a 00 00 00 00 00 00 00 b.....z.....
00000020:48 00 00 00 08 00 08 00 48 00 00 00 12 00 12 00 H.....H.....
00000030:50 00 00 00 00 00 00 00 92 00 00 00 05 82 88 a2 P.....'.....,^č
00000040:05 01 28 0a 00 00 00 0f 75 00 73 00 65 00 72 00 ..(.....u.s.e.r.
00000050:4e 00 46 00 2d 00 43 00 4c 00 49 00 45 00 4e 00 N.F.-.C.L.I.E.N.
00000060:54 00 0e 6a b2 7a 95 9e 59 37 00 00 00 00 00 00 T..j²z•čY7.....
00000070:00 00 00 00 00 00 00 00 83 f6 60 fc 8e 65 .....fð`üTe
00000080:ac e0 59 19 7b 9f 7f 9c d6 f5 70 5d 87 90 bd 02 -àY.{ÿoeöðp]†•½.
00000090:19 9c .oe
```

- 4. The server sends an IMAP4\_AUTHENTICATE\_Failed\_Response message.

```
1 NO AUTHENTICATE failed.
```

## 5 Security

The following sections specify security considerations for implementers of the NTLM IMAP4 extension.

### 5.1 Security Considerations for Implementers

Implementers have to be aware of the security considerations of using NTLM authentication. Information about the security considerations for using NTLM authentication is specified in [MS-NLMP] section 5.

### 5.2 Index of Security Parameters

Security Parameter	Section
NTLM	2 and 3



## 6 Appendix A: Office/Exchange Behavior

The information in this specification is applicable to the following versions of Office/Exchange:

- Office 2003 with Service Pack 3 applied
- Exchange 2003 with Service Pack 2 applied
- Office 2007 with Service Pack 1 applied
- Exchange 2007 with Service Pack 1 applied

Exceptions, if any, are noted below. Unless otherwise specified, any statement of optional behavior in this specification prescribed using the terms **SHOULD** or **SHOULD NOT** implies Office/Exchange behavior in accordance with the **SHOULD** or **SHOULD NOT** prescription. Unless otherwise specified, the term **MAY** implies Office/Exchange does not follow the prescription.

<1> Exchange 2003 SP2: Messages received using MAPI are converted to **MIME** the first time it is retrieved and subsequently stored. The MIME size might be different before the message is retrieved than after it is converted to MIME.

<2> Exchange 2003 SP2 and Exchange 2007 SP1: Special characters are allowed in folder names. Special characters can be used by clients to create folder names. Therefore, in order to be able to list and access those folders via **IMAP**, special characters have to be supported. All characters listed in atom-specials (section 9) are supported in folder names, except the folder delimiter character, that is, "/" (forward slash). The folder names with special characters might be required to be enclosed in quotes (that is, " ") or sent as literals.

<3> Exchange 2007 SP1: Messages are not stored in **MIME** format. Messages are converted from MAPI to MIME before being sent to the client. When the client requests the size of the message before retrieving the actual message itself, the MIME size provided is the size associated with the message as a MAPI property. When the client retrieves the message, the message is converted from MAPI to MIME and the message size calculated thereafter can be different than the size calculated from the MAPI property. Additionally, if the message is modified by MAPI, the size is likely to change again and thus the corresponding MIME size after actual conversion from MAPI to MIME.

<4> Exchange 2003 SP2: The **MIME** stream is preserved.

<5> Exchange 2007 SP1: In Exchange 2007 SP1, the **MIME** stream is not preserved. Only content of the best body, as specified in [MS-OXBBODY], is preserved. The order in which the best body part is selected is as follows:

- a. Enriched Text Format
- b. **HTML**
- c. **Plain text**

Therefore the MIME stream is regenerated every time a message is retrieved. The alternative body parts are regenerated on demand as the message is retrieved.

- <6> Exchange 2007 SP1: [RFC3501] does not impose any limitations on folder hierarchy depth. However, in Exchange 2007 SP1, the folder hierarchy depth is limited to 31 levels.
- <7> Exchange 2007 SP1: Folder name is limited to 250 characters. Therefore, folders cannot be created that are longer than this size. However, if a folder-name is created via a different protocol that exceeds this limit, the folder name is truncated when the folder is retrieved.
- <8> Exchange 2007 SP1: The maximum **IMAP** command size including arguments is limited to 10240 characters.
- <9> Exchange 2003 SP2 and Office 2003 SP3 clients mutually supported RFCs: [RFC3501], [RFC1731], and [RFC2177]
- <10> Exchange 2007 SP1 and Office 2007 SP1 clients mutually supported RFCs: [RFC3501], [RFC1731], [RFC2177], and [RFC2595].

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