[MS-OXSMTP]: Simple Mail Transfer Protocol (SMTP) Mail Submission Extensions

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Revision Summary

Date	Revision History	Revision Class	Comments
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06/27/2008	1.0		Initial Release.
08/06/2008	1.01		Revised and edited technical content.
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04/10/2009	2.0		Updated applicable product releases.
07/15/2009	3.0	Major	Revised and edited for technical content.
11/04/2009	3.1.0	Minor	Updated the technical content.
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11/03/2010	4.0	No change	No changes to the meaning, language, or formatting of the technical content.
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Table of Contents

1	Introduction	
	l.1 Glossary	4
	1.2 References	
	1.2.1 Normative References	4
	1.2.2 Informative References	5
	1.3 Overview	5
	1.4 Relationship to Other Protocols	
	1.5 Prerequisites/Preconditions	
	1.6 Applicability Statement	
	1.7 Versioning and Capability Negotiation	
	1.8 Vendor-Extensible Fields	
	1.9 Standards Assignments	
2	Messages	8
	2.1 Transport	8
	2.2 Message Syntax	
3	Protocol Details	9
	3.1 Client Details	9
	3.1.1 Abstract Data Model	
	3.1.2 Timers	
	3.1.3 Initialization	
	3.1.4 Higher-Layer Triggered Events	
	3.1.5 Message Processing Events and Sequencing Rules	
	3.1.6 Timer Events	9
	3.1.7 Other Local Events	9
	3.2 Server Details	
	3.2.1 Abstract Data Model	
	3.2.2 Timers	
	3.2.3 Initialization	
	3.2.4 Higher-Layer Triggered Events	
	3.2.5 Message Processing Events and Sequencing Rules	
	3.2.6 Timer Events	
	3.2.7 Other Local Events	
4	Protocol Examples	16
_		
5	Security	17
	5.1 Security Considerations for Implementers	17
	5.2 Index of Security Parameters	
6	Appendix A: Product Behavior	18
_		
7	Change Tracking	19
8	Index	20
~		

1 Introduction

The Simple Mail Transfer Protocol (SMTP) Message Submission Extensions conform to and extend SMTP standards to support the transfer of mail between a client and a server.

Sections 1.8, 2, and 3 of this specification are normative and can contain the terms MAY, SHOULD, MUST, MUST NOT, and SHOULD NOT as defined in RFC 2119. Sections 1.5 and 1.9 are also normative but cannot contain those terms. All other sections and examples in this specification are informative.

1.1 Glossary

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

Transmission Control Protocol (TCP)

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

MIME message
Multipurpose Internet Mail Extensions (MIME)
Simple Mail Transfer Protocol (SMTP)
Transport Layer Security (TLS)

The following terms are specific to this document:

delivery status notification (DSN): A message that reports the result of an attempt to deliver a message to one or more recipients, as described in [RFC3464].

Message Submission Agent (MSA): A process that accepts messages from a Mail User Agent (MUA) and either delivers it or acts as a Simple Mail Transfer Protocol (SMTP) client to submit the messages to a Message Transfer Agent (MTA).

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

References to Microsoft Open Specifications documentation do not include a publishing year because links are to the latest version of the technical documents, which are updated frequently. References to other documents include a publishing year when one is available.

1.2.1 Normative References

We conduct frequent surveys of the normative references to assure their continued availability. If you have any issue with finding a normative reference, please contact dochelp@microsoft.com. We will assist you in finding the relevant information. Please check the archive site, http://msdn2.microsoft.com/en-us/library/E4BD6494-06AD-4aed-9823-445E921C9624, as an additional source.

[MS-SMTP] Microsoft Corporation, "NT LAN Manager (NTLM) Authentication: Simple Mail Transfer Protocol (SMTP) Extension".

[MS-XLOGIN] Microsoft Corporation, "Simple Mail Transfer Protocol (SMTP) AUTH LOGIN Extension".

[RFC1652] Klensin, J., Freed, N., Ed., Rose, M., et al., "SMTP Service Extension for 8bit-MIMEtransport", RFC 1652, July 1994, http://www.rfc-editor.org/rfc/rfc1652.txt

[RFC1869] Klensin, J., Freed, N., Ed., Rose, M., et al., "SMTP Service Extensions", STD 10, RFC 1869, November 1995, http://www.rfc-editor.org/rfc/rfc1869.txt

[RFC1870] Klensin, J., Freed, N., Ed., and Moore, K., "SMTP Service Extension for Message Size Declaration", STD 10, RFC 1870, November 1995, http://www.rfc-editor.org/rfc/rfc1870.txt

[RFC1891] Moore, K., "SMTP Service Extension for Delivery Status Notifications", RFC 1891, January 1996, http://www.rfc-editor.org/rfc/rfc1891.txt

[RFC2034] Freed, N., "SMTP Service Extension for Returning Enhanced Error Codes", RFC 2034, October 1996, http://www.rfc-editor.org/rfc/rfc2034.txt

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

[RFC2460] Deering, S., and Hinden, R., "Internet Protocol, Version 6 (IPv6) Specification", RFC 2460, December 1998, http://www.ietf.org/rfc/rfc2460.txt

[RFC2920] Freed, N., "SMTP Service Extension for Command Pipelining", STD 60, RFC 2920, September 2000, http://www.rfc-editor.org/rfc/rfc2920.txt

[RFC3030] Vaudreuil, G., "SMTP Service Extensions for Transmission of Large and Binary MIME Messages", RFC 3030, December 2000, http://www.rfc-editor.org/rfc/rfc3030.txt

[RFC3207] Hoffman, P., "SMTP Service Extension for Secure SMTP over Transport Layer Security", RFC 3207, February 2002, http://www.rfc-editor.org/rfc/rfc3207.txt

[RFC4409] Gellens, R., and Klensin, J., "Message Submission for Mail", RFC 4409, April 2006, http://www.rfc-editor.org/rfc/rfc4409.txt

[RFC4954] Siemborski, R., and Melnikov, A., Eds., "SMTP Service Extension for Authentication", RFC 4954, July 2007, http://www.rfc-editor.org/rfc/rfc4954.txt

[RFC5321] Klensin, J., "Simple Mail Transfer Protocol", RFC 5321, October 2008, http://www.rfc-editor.org/rfc/rfc5321.txt

[RFC5322] Resnick, P., Ed., "Internet Message Format", RFC 5322, October 2008, http://www.ietf.org/rfc/rfc5322.txt

[RFC791] Postel, J., "Internet Protocol", STD 5, RFC 791, September 1981, http://www.ietf.org/rfc/rfc791.txt

1.2.2 Informative References

[MS-GLOS] Microsoft Corporation, "Windows Protocols Master Glossary".

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

1.3 Overview

The SMTP Mail Submission Extensions conform to [RFC5321] and the standard extensions that interoperate with [RFC5321]. This set of extensions enables additional features and communication between an SMTP client and server.

These extensions conform to the core SMTP specification and the following SMTP extensions:

- SMTP Service Extensions, as described in [RFC1869]: Enables a server to notify a client about the extensions that the server supports.
- 8bit-MIME transport, as described in [RFC1652]: Enables a server to use SMTP Service
 Extensions to inform a client that the server supports Multipurpose Internet Mail Extensions
 (MIME) transport, and allows the client to send 8-bit MIME messages.
- Transmission of Large and Binary MIME Messages, as described in [RFC3030]: Enables a server
 to use SMTP Service Extensions to inform a client that the server supports large binary MIME
 messages, and allows the client to send large binary MIME messages.
- Message Size Declaration, as described in [RFC1870]: Enables a server to use SMTP Service Extensions to inform a client that the server supports client message size declarations, and allows the client to declare a message size and the server to provide the maximum message size that it will accept.
- Delivery Status Notifications, as described in [RFC1891]: Enables a server to use SMTP Service
 Extensions to inform a client that the server supports delivery status notifications, and allows the
 client to indicate how it wants delivery status notifications (DSNs) to be sent to it.
- Returning Enhanced Error Codes, as described in [RFC2034]: Enables a server to use SMTP Service Extensions to inform a client that the server supports enhanced error codes.
- Authentication, as described in <u>[RFC4954]</u>: Enables a server to use SMTP Service Extensions to tell a client which authentication mechanisms the server supports, and allows a client to use the authentication extension. The authentication mechanisms are described in <u>[MS-SMTP]</u> and <u>[MS-XLOGIN]</u>.
- Command Pipelining, as described in [RFC2920]: Enables a server to use SMTP Service
 Extensions to tell a client whether it implements SMTP command pipelining, and allows a client to
 use command pipelining.
- Secure SMTP over Transport Layer Security, as described in [RFC3207]: Enables a server to use SMTP Service Extensions to tell a client whether it implements Transport Layer Security (TLS), and allows a client and server to use transport layer security.
- Message Submission for Mail, as described in [RFC4409]: Enables a server to use SMTP Service Extensions for message submission, and allows a client, specifically a message submission agent, to submit mail to a server.

1.4 Relationship to Other Protocols

The SMTP Mail Submission Extensions, which are based on [RFC5321] and other related extensions, use **Transmission Control Protocol (TCP)** version 4, as described in [RFC791], and TCP version 6, as described in [RFC2460], for message transfer.

1.5 Prerequisites/Preconditions

The SMTP Mail Submission Extensions have to be enabled in order to operate. The mechanisms for enabling and disabling those extensions are beyond the scope of this document.

The SMTP server can be configured to accept connections at zero or more bindings. A binding is a combination of an IPv4 and IPv6 address and a TCP port number.

6 / 21

1.6 Applicability Statement

The SMTP Mail Submission Extensions are applicable to scenarios where clients will be submitting email messages directly to a server. This specification does not cover how SMTP transport agents affect or alter messages on the server.

1.7 Versioning and Capability Negotiation

The SMTP Mail Submission Extensions introduce no new versioning mechanisms beyond those that exist in SMTP, as described in [RFC5321].

Negotiation of SMTP options is described in [RFC1869] section 4. The EHLO response, as described in section 3.2.5, indicates what capabilities are present on the server.

1.8 Vendor-Extensible Fields

None.

1.9 Standards Assignments

Parameter	Value	Reference
Server port	Port 25	Internet Assigned Numbers Authority
Server port	Port 587	Internet Assigned Numbers Authority

Port mapping is configurable so that non-default values can be used.



7 / 21

2 Messages

2.1 Transport

The transport of the protocol that the SMTP Mail Submission Extensions extend is specified in [RFC5321] section 1.1. Specifically, these extensions use TCP over IPv4, as specified in [RFC791], and TCP over IPv6, as specified in [RFC2460].

2.2 Message Syntax

The syntax of the messages that are exchanged between the client and the server is specified in [RFC5321]. Some optional message strings and codes that are based on the SMTP standard are implemented by these protocol extensions. These message strings and codes are specified in section 3.



3 Protocol Details

3.1 Client Details

The client role conforms to [RFC5321] for the exchange of messages with the server. The client can implement the SMTP extensions that are specified by the following: [RFC1652], [RFC1869], <a href="[RFC1870], <a href="[RFC

3.1.1 Abstract Data Model

The client state model is specified in [RFC5321]. The client state model MUST reflect the server state model. This set of protocol extensions fully complies with the state transitions specified in [RFC5321].

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 client conforms to [RFC5321] for all message processing events and sequencing rules.

3.1.6 Timer Events

None.

3.1.7 Other Local Events

None.

3.2 Server Details

The SMTP Mail Submission Extensions are compliant with the specifications listed in section $\underline{1.2.1}$. Extensions to the specifications listed in section $\underline{1.2.1}$ for the server role are specified in this section $\underline{<1>}$.

3.2.1 Abstract Data Model

The server state model is specified in [RFC5321]. The SMTP Mail Submission Extensions are fully compliant with the state transitions that are specified in [RFC5321].

3.2.2 Timers

ConnectionTimer: A timer that identifies how much time has elapsed since a session was initiated. If the **ConnectionTimer** lapses, the server MUST transition to the initial state, which is the equivalent of clearing the state tables and buffers, as specified in [RFC5321] section 2.3.6.

ConnectionInactivityTimer: A timer that identifies how much time has elapsed since a client provided input. If the **ConnectionInactivityTimer** lapses, the server MUST transition to the initial state, which is the equivalent of clearing the state tables and buffers, as specified in [RFC5321] section 2.3.6.

3.2.3 Initialization

The **ConnectionTimer** timer, as specified in section 3.2.2, is initialized when a session is initiated.

The **ConnectionInactivityTimer** timer, as specified in section <u>3.2.2</u>, is initialized when the client and server start a session. The **ConnectionInactivityTimer** timer is restarted when the client sends input to the server.

3.2.4 Higher-Layer Triggered Events

None.

3.2.5 Message Processing Events and Sequencing Rules

The server role is compliant with the message processing and sequencing rules that are specified in [RFC5321].

The server is fully compliant with [RFC1869] section 4 for the **EHLO** command. The server MUST use the following **EHLO** extension responses:

```
As specified in [RFC5321]:

ServerResponse = "250-" dot-atom-text SP "Hello" SP IPv4address/IPv6address CR LF dot-atom-text = 1*atext *("." 1*atext)

atext = ALPHA / DIGIT /; Printable US-ASCII

"!" / "#" /; characters not including

"$" / "%" /; specials. Used for atoms.

"&" / """ /

"*" / "+" /

"-" / "/" /

"=" / "?" /

"^" / "-" /

"\" | " | " | " | "

"\" | " | " | " | "

"\" | " | " | " | "

"\" | " | " | " | "
```

```
IPv4address = d8 "." d8 "." d8 "." d8
d8 = DIGIT ; 0-9
/ %x31-39 DIGIT; 10-99
/ "1" 2DIGIT; 100-199
/ "2" %x30-34 DIGIT; 200-249
/ "25" %x30-35; 250-255
IPv6address = 6(h16 ":") ls32
/ "::" 5(h16 ":") ls32
/ [ h16 ] "::" 4(h16 ":") ls32
/ [ *1(h16 ":") h16 ] "::" 3(h16 ":") ls32
/[*2(h16":") h16]"::" 2(h16":") ls32
/ [ *3(h16 ":") h16 ] "::" h16 ":" ls32
/ [ *4(h16 ":") h16 ] "::" ls32
/[*5(h16":") h16]"::" h16
/ [ *6(h16 ":") h16 ] "::"
ls32 = h16 ":" h16 / IPv4address
h16 = 1*4HEXDIG
As specified in [RFC1870]:
Size = "250-SIZE" CR LF
As specified in [RFC1891]:
dsn = "250-DSN" CR LF
As specified in [RFC2034]:
enhancedStatusCodes = "250-ENHANCEDSTATUSCODES" CR LF
The server role by default MUST return the following codes in response to an EHLO command. The
following codes can optionally be returned if the server changes the default configuration:
As specified in [RFC2920]:
pipelining = "250-PIPELINING" CR LF
As specified in [RFC3207]:
starttls = "250-STARTTLS" CR LF
```

The framework for authentication is specified in [RFC4954]. The specific responses that correspond to authentication schemes are specified in [MS-SMTP] and <a href="M

11 / 21

[MS-OXSMTP] — v20120630 Simple Mail Transfer Protocol (SMTP) Mail Submission Extensions

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auth = "250-AUTH" SP "NTLM" SP "LOGIN" CR LF

As specified in <a>[RFC1652]:

8bitmime = "250-8BITMIME" CR LF

As specified in <a>[RFC3030]:

binarymime = "250-BINARYMIME" CR LF

As specified in <a>[RFC3030]:

chunking = "250-CHUNKING" CR LF

The following table lists the error code extensions to <a>[RFC4409] section 4.1 that MUST be returned if the error condition is met.

Command	Error condition	Response code	Extended status code	Response text
MAIL	No initial EHLO command issued.	503	5.5.2	Send hello first
MAIL	MAIL command issued after BDAT command.	503	5.5.1	Bad sequence of commands
MAIL	A STARTTLS command must be issued first.	451	5.7.3	Must issue a STARTTLS command first
MAIL	A second MAIL From field is specified.	503	5.5.2	Sender already specified
MAIL	The From field is specified without a ":" character.	501	5.5.4	Unrecognized parameter
MAIL	System resources are not available.	452	4.3.1	Insufficient system resources
MAIL	Invalid extension.	501	5.5.4	Invalid arguments
RCPT	No initial EHLO command issued.	503	5.5.2	Send hello first
RCPT	RCPT command issued after BDAT command.	503	5.5.1	Bad sequence of commands
RCPT	Command format is missing a ":" character.	501	5.5.4	Unrecognized parameter
RCPT	Invalid address.	501	5.1.3	Invalid address
RCPT	The maximum number of recipients has been exceeded.	452	4.5.3	Too many recipients
RCPT	A null reverse path is given as the address.	501	5.1.3	Invalid address
RCPT	A relay is not available for	550	5.7.1	Unable to relay

Command	Error condition	Response code	Extended status code	Response text
	the recipient.			

The following table lists the error code extensions to <a>[RFC4409] section 4.2 that MUST be returned if the error condition is met.

Command	Error condition	Response code	Extended status code	Response text
MAIL	Invalid address.	501	5.1.7	Invalid address

The following table lists the error code extensions to <a>[RFC4409] section 4.3 that MUST be returned if the error condition is met.

Command	Error condition	Response code	Extended status code	Response text
MAIL	Session was not authenticated by using the SMTP AUTH command.	530	5.7.1	Not authenticated
MAIL	Session was not authenticated by using the SMTP AUTH command.	530	5.7.1	Client was not authenticated

The following table lists the error code extensions to <a>[RFC4409] sections 3.2, 4.2, and 5.1 that SHOULD be returned if the error condition is met.

Command	Error condition	Response code	Extended status code	Response text
MAIL	If the Message Submission Agent (MSA) is not able to determine a return path to the submitting user, from a valid MAIL FROM command, a valid source IP address, or based on authenticated identity, then the MSA SHOULD immediately reject the message.	550	5.7.1	Client does not have permissions to submit to this server
MAIL or RCPT	If domain expansion fails.	550	5.7.1	Unable to relay
MAIL or RCPT	Improper address.	501	5.1.3	Invalid address

The following table contains error code extensions to [RFC4409] sections 6.1 and 6.2 that MAY be returned if the error condition is met.

Command	Error condition	Response code	Extended status code	Response text
MAIL	The address in the FROM field has insufficient submission rights.	550	5.7.1	Client does not have permissions to submit to this server
RCPT	The recipient does not have	550	5.7.1	Unable to relay

Command	Error condition	Response code	Extended status code	Response text
	sufficient privileges.			

3.2.6 Timer Events

ConnectionTimeOut timer event: Occurs when the **ConnectionTimer**, as specified in section 3.2.2, exceeds the connection timer limit. The connection timer limit MUST be 5 minutes, as specified in [RFC5321] section 4.5.3.2.7, for a gateway server. The connection timer limit MUST be 10 minutes for a relay server. The SMTP response that is sent after this event occurs MUST be "421 4.4.1 Connection timed out". The server MUST end the session as specified in [RFC5321] section 3.8.

ConnectionInactivityTimeOut timer event: Occurs when the **ConnectionInactivityTimer**, as specified in section <u>3.2.2</u>, exceeds the connection inactivity timer limit. The connection inactivity timer limit MUST be 1 minute for a gateway server. The connection inactivity timer limit MUST be 5 minutes for a relay server. The SMTP response that is sent after this event occurs MUST be "451 4.7.0 Timeout waiting for client input". The server MUST end the session as specified in [RFC5321] section 3.8.

3.2.7 Other Local Events

MaxHopCount event: Occurs when the maximum hop count is exceeded. The SMTP response that is sent after this event occurs MUST be "554 5.4.6 Hop count exceeded – possible mail loop". This response MUST be sent when the **Received:** header fields, as specified in [RFC5321] section 6.3, length is more than the configured maximum hop count. This response is sent at the end of a **DATA** or **BDAT** command.

MaxLocalHopCount event: Occurs when the maximum local hop count is exceeded. The SMTP response that is sent after this event occurs MUST be "554 5.4.6 Hop count exceeded – possible mail loop". This response MUST be sent when the server has received the message more than the configured maximum local hop count. This response is sent at the end of a **DATA** or **BDAT** command.

TooManyRecipients event: Occurs when the maximum recipients count is exceeded on a message. The SMTP response that is sent after this event occurs MUST be "452 4.5.3 Too many recipients". This response MUST be sent at the end of a **RCPT TO** command.

MessageRateLimitExceeded event: Occurs when the message submission rate for a client has exceeded the configured limit. The SMTP response sent after this event occurs MUST be "421 4.4.2 Message submission rate for this client has exceeded the configured limit". This response MUST be sent at the end of a **MAIL FROM** command. The server MUST end the session.

HeaderSizeExceeded event: Occurs when the message header size exceeds the configured size limit. The SMTP response that is sent after this event occurs MUST be "552 5.3.4 Header size exceeds fixed maximum size". This response MUST be sent at the end of a **DATA** or **BDAT** command.

MessageSizeExceeded event: Occurs when the message size exceeds the configured size limit. The SMTP response that is sent after this event occurs MUST be "552 5.3.4 Message size exceeds fixed maximum message size". This response MUST be sent at the end of a **DATA** or **BDAT** command.

ProtocolViolationCount event: Occurs when the configured maximum number of logon or protocol errors is exceeded. The SMTP response that is sent after this event occurs MUST be "421

4.7.0 Too many errors on this connection, closing transmission channel". The server MUST end the session.

OutOfResources event: Occurs when a client initiates a TCP connection to the server and the server is low on memory or disk space. The SMTP response sent after this event occurs MUST be "452 4.3.1 Insufficient system resources".

NewConnectionNotAvailable event: Occurs when an SMTP server cannot process a new connection. It indicates that the process is in a hanging or crashed condition. The SMTP response that is sent after this event occurs MUST be "421 4.4.2 Connection dropped". The server MUST end the session.

BindingNotConfigured event: Occurs when an SMTP server is not configured to accept connections from a client at a specific IP address or user. The SMTP response that is sent after this event occurs SHOULD be "421 4.3.2 Service not available" <2>. The server MUST end the session.

ConnectionCountExceeded event: Occurs when an SMTP server has exceeded the configured maximum concurrent inbound connections. The SMTP response that is sent after this event occurs MUST be "421 4.3.2 The maximum number of concurrent server connections has exceeded a limit, closing transmission channel". The server MUST end the session.

ConnectionCountPerSource event: Occurs when an SMTP server has exceeded the configured limit on inbound connections for an IP address. The SMTP response that is sent after this event occurs MUST be "421 4.3.2 The maximum number of concurrent connections has exceeded a limit, closing transmission channel". The server MUST end the session.

IPAddressNotAllowed event: Occurs when a gateway SMTP server binding receives a connection from an IP address that is not allowed. The SMTP server response sent after this event MUST be "550 5.7.1 <Response Message>", where <Response Message> is replaced by an implementation-specific message.

AcknowledgementDelay event: Occurs when the server waits longer than the configured time limit for a mail item to be delivered to the next hop. This event occurs after the end of **DATA** or **BDAT LAST** command, as specified in [RFC3030] section 2. If the **AcknowledgementDelay** event occurs, the server MUST send acknowledgment of receiving the mail item even if transport has not delivered the item to the next hop. The server sends the response as specified in [RFC5321] and processes the next command. The server state does not change.

Tarpit event: Occurs at the end of a command when the server sends an error message to an unauthenticated user, and once again if the same client connects to the server. The server MUST ignore connection attempts for 5 seconds and then send the response to the client. The server sends the response as specified in [RFC5321] and processes the next command. The server state does not change.

4 Protocol Examples

None.



5 Security

5.1 Security Considerations for Implementers

The specifications listed in section $\underline{1.2.1}$ describe security considerations for implementers.

5.2 Index of Security Parameters

Security parameters for message submission authentication are described in <a>[RFC4409].



6 Appendix A: Product Behavior

The information in this specification is applicable to the following Microsoft products or supplemental software. References to product versions include released service packs:

- Microsoft® Exchange Server 2003
- Microsoft® Exchange Server 2007
- Microsoft® Exchange Server 2010
- Microsoft® Exchange Server 2013 Preview
- Microsoft® Office Outlook® 2003
- Microsoft® Office Outlook® 2007
- Microsoft® Outlook® 2010
- Microsoft® Outlook® 2013 Preview

Exceptions, if any, are noted below. If a service pack or Quick Fix Engineering (QFE) number appears with the product version, behavior changed in that service pack or QFE. The new behavior also applies to subsequent service packs of the product unless otherwise specified. If a product edition appears with the product version, behavior is different in that product edition.

Unless otherwise specified, any statement of optional behavior in this specification that is prescribed using the terms SHOULD or SHOULD NOT implies product behavior in accordance with the SHOULD or SHOULD NOT prescription. Unless otherwise specified, the term MAY implies that the product does not follow the prescription.

<1> Section 3.2: Exchange 2003, Exchange 2007, and Exchange 2010 do not support the obsolete features specified in [RFC5321], section F.

<2> Section 3.2.7: Exchange 2007 returns "421 4.3.2 Service not available, closing transmission channel" for the SMTP response to **BindingNotConfigured event**.



7 Change Tracking

No table of changes is available. The document is either new or has had no changes since its last



8 Index

A	N
Abstract data model	N
<u>client</u> 9	Normative references 4
server 9 Applicability 7	0
c	Other local events client 9
Capability negotiation 7 Change tracking 19 Client	server 14 Overview (synopsis) 5
abstract data model 9 higher-layer triggered events 9	P
initialization 9 message processing 9	Parameters - security index 17 Preconditions 6
other local events 9 overview 9	Prerequisites 6 Product behavior 18
sequencing rules 9 timer events 9	R
timers 9	References 4 informative 5
Data model - abstract	normative 4 Relationship to other protocols 6
client 9 server 9	S
F	Security <u>implementer considerations</u> 17
<u>Fields - vendor-extensible</u> 7	parameter index 17 Sequencing rules
G	client 9 server 10
Glossary 4	Server abstract data model 9
Н	higher-layer triggered events 10 initialization 10
Higher-layer triggered events client 9	message processing 10 other local events 14
server 10	overview 9 sequencing rules 10
I	timer events 14 timers 10
Implementer - security considerations 17 Index of security parameters 17	Standards assignments 7
<u>Informative references</u> 5 Initialization	Т
client 9 server,10	Timer events client 9
Introduction 4	server 14 Timers
М	<u>client</u> 9 <u>server</u> 10
Message processing client 9	Tracking changes 19 Transport 8
server 10	Triggered events - higher-layer
Messages transport 8	<u>client</u> 9 <u>server</u> 10

20 / 21

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21 / 21

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