

# Uncle Maker: (Time)Stamping Out The Competition in Ethereum

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We present an attack on Ethereum's consensus mechanism which can be used by miners to obtain consistently higher mining rewards compared to the honest protocol. This attack is novel in that it does not entail withholding blocks or any behavior which has a non-zero probability of earning less than mining honestly, in contrast with the existing literature.

This risk-less attack relies instead on manipulating block timestamps, and carefully choosing whether and when to do so. We present this attack as an algorithm, which we then analyze to evaluate the revenue a miner obtains from it, and its effect on a miner's absolute and relative share of the main-chain blocks.

The attack allows an attacker to replace competitors' main-chain blocks after the fact with a block of its own, thus causing the replaced block's miner to lose all fees for the transactions contained within the block, which will be demoted from the main-chain. This block, although "kicked-out" of the main-chain, will still be eligible to be referred to by other main-chain blocks, thus becoming what is commonly called in Ethereum an *uncle*.

We proceed by defining multiple variants of this attack, and assessing whether any of these attacks has been performed in the wild. Surprisingly, we find that this is indeed true, making this the first case of a confirmed consensus-level manipulation performed on a major cryptocurrency.

Additionally, we implement a variant of this attack as a patch for Go Ethereum (geth), Ethereum's most popular client, making it the first consensus-level attack on Ethereum which is implemented as a patch. Finally, we suggest concrete fixes for Ethereum's protocol and implemented them as a patch for geth which can be adopted quickly and mitigate the attack and its variants.

CCS Concepts: • **Applied computing** → **Digital cash**; • **Security and privacy** → *Economics of security and privacy*; **Distributed systems security**.

Additional Key Words and Phrases: cryptocurrency, blockchain, proof of work, consensus, security

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## 1 INTRODUCTION

Cryptocurrencies such as Bitcoin [89] and Ethereum [15] rely on an elaborate incentive system to encourage users to participate in operating the decentralized mechanism which underlies them and maintain the mechanism’s integrity in the face of adversaries. Such participants are called *miners*.

Thus, a cryptocurrency’s incentive mechanism is inherent to its security. Indeed, among the myriad cryptocurrencies and theoretical protocols which have arrived after Bitcoin, some have dedicated considerable efforts in order to analyze existing mechanisms or design new ones to make sure miners will not have an incentive to foul-play and game the system for their advantage [70, 78, 92, 111, 127].

Ethereum, in particular, is known for adopting changes rapidly, without always carefully examining them and the effect they might have on the incentives of miners [103, 104]. Thus, changes which were designed to mitigate one attack [14], open the door for multiple new ones [98, 126].

On the eve of the transition of Ethereum to a completely new mechanism, also known as *The Merge* [39], we present a new incentive-driven attack on the current Ethereum mechanism. Informally, the attack entails setting block timestamps to be relatively low, thereby increasing their difficulty and allowing them to replace previous blocks.

This attack is novel not only in that it relies on the new, unexplored foundations of timestamp manipulations, but also because it is *always* more profitable than following the “honest” rules laid down by the protocol’s designers, meaning that our attack strategy strictly dominates the honest strategy.

Previously, Ethereum miners were mostly known to manipulate Ethereum’s *application layer*, for example by exploiting vulnerabilities in *smart contracts*, which are applications built on top of blockchains [17], while attacks on the underlying consensus were either entirely theoretical yet practically infeasible, or targeted small implementation bugs which were quickly fixed [5, 126].

In our work, we introduce the first consensus-level attack which is actually feasible to execute. Additionally, we provide the first proof that a consensus-level attack was performed in the wild.

*Our Contributions.* We make the following contributions:

- We introduce a novel attack vector on proof-of-work (PoW) cryptocurrencies which relies on *timestamp manipulations*, instead of traditional ones such as block withholding [50, 102].
- We provide a thorough description of a concrete attack called the riskless uncle maker (RUM) attack which relies on this new attack technique.
- We prove that the RUM attack is riskless in Ethereum in the sense that an attacker which utilizes it is guaranteed to make at least the same absolute and relative profits when compared to mining according to the honest protocol.
- We describe multiple variants of the attack.
- We investigate the Ethereum blockchain and prove the attack was executed in the wild, thus providing the *first* conclusive evidence of consensus tampering in a major cryptocurrency.
- We have written a fully-functioning implementation of a variant of the attack as a patch for geth, Ethereum’s most popular client.
- We provide several techniques to mitigate the attack and its variants, including a patch for geth which prevents the attack altogether.

A summary of our contributions is given in Table 1.

*Paper structure.* The paper is structured as follows: we begin by going over some implications arising from our work in Section 2. Then, we review the relevant background information required for this work in Section 3, and proceed to describe the paper’s model in Section 4. We utilize the model to give an algorithmic description of the attack in Section 5, and then theoretically prove

Table 1. A comparison of our attack and previous ones.

	<b>Uncle Maker</b>	<b>Selfish Mining</b>	<b>Stubborn Mining</b>	<b>Coin Hopping</b>	<b>Energy Equilibria</b>	<b>Stretch &amp; Squeeze</b>
<b>Analyzed on Ethereum</b>	X	X	X	-	-	X
<b>Doesn't require block withholding</b>	X	-	-	X	X	X
<b>Always more profitable than mining honestly</b>	X	-	-	-	-	-
<b>Has a patch for Ethereum clients</b>	X	-	-	-	-	-

that the attack is riskless and guaranteed to be more profitable than mining honestly in Section 6. We describe the fingerprints which a successful execution of the attack leaves on the blockchain and prove that indeed such attacks have been performed in the wild in Section 7. We suggest mitigations for the attack in Section 8. We review related works in Section 9, and finally conclude in Section 10.

## 2 IMPLICATIONS

In this section, we would like to discuss some important implications arising from our work.

### 2.1 Reducing Mechanism Attack Surface

In Ethereum, miners have quite a lot of “wobble-room” when setting timestamps. Users then partially use their local clock in order to verify them, instead of using some consensus-achieved notion of time.

We argue that when consensus mechanisms allows such user decisions, their attack surface grows. One natural conclusion is to design mechanisms such that users have the bare minimum of choice in setting certain parameters, like timestamps. If users have some choice, the protocol’s designers must make sure that this choice has the minimal possible effect on the protocol’s safety.

Timestamps, in particular, affect the difficulty of mining and thus the consensus mechanism. As we will show in our paper, this allows miners to use timestamps which do not correspond to the actual real-world time in order to gain an upper-hand over their competitors.

In spite of this, previous academic research has only made a cursory attempt at examining the potential use of timestamp manipulations to attack the consensus layer of cryptocurrency systems [13, 108, 126], focusing instead on the application layer [2, 17, 24, 84, 105].

### 2.2 Ethereum-like Mechanisms

In this work, we mainly focus on Ethereum. However, our work has major implications for any mechanism which relies on timestamps in a similar manner.

Among the notable protocols that belong to this category we can list Ethereum Classic (which has publicly committed to continue using the standard Ethereum-like PoW protocol “indefinitely” [19, 20]) and EthereumPoW (a planned fork of Ethereum which is planned to go live when Ethereum finally transitions to its new mechanism [42, 97]).

### 2.3 Traceable Safety

In this work, we used publicly available on-chain data to retroactively discover an attack on the Ethereum blockchain, making this the first such real-world consensus-level attack discovered on a major cryptocurrency. This is in spite of previous works attempting to do so, even using very sophisticated means such as setting up multiple nodes in various geographical locations, collecting data and analyzing it [79, 80, 82].

These works have specifically attempted to find instances of block-withholding attacks, which requires being online and finding out about the attacks as they happen. That is to say, block withholding does not leave clear fingerprints in publicly available transcripts of the underlying mechanisms, e.g. it is not immediately apparent from the actual blockchain. Thus, such attacks cannot be retroactively *traced* using on-chain data.

We would like to crystallize the above insight into the following property:

**DEFINITION 1 ( $\mathcal{A}$ -TRACEABILITY).** *Given a mechanism  $\Pi$  and attack on it  $\mathcal{A}$ , we will say  $\Pi$  is  $\mathcal{A}$ -traceable if the attack is detectable from the public transcript of  $\Pi$ , up to some negligible probability.*

Mechanisms preferably should be designed to make sure there is a public record of potential malfeasance; ideally, to allow post-fact identification of attacks, even those which the mechanism’s creators haven’t conceived when designing the system. This can be compared to the traditional cryptographic notion of *public verifiability*, which allows actors to check the correctness of protocol transcripts even *after the fact*, and even if they did not originally participate in the protocol. This is in contrast to traditional distributed systems in which real-time participation is required in order to attest to the validity of its execution at the time.

## 3 BACKGROUND

We will now briefly go over the background knowledge required for understanding our work.

### 3.1 Proof-of-Work Cryptocurrencies

The mechanism utilized by both Ethereum and Bitcoin is called PoW. It requires entities called *miners* to collect user-made *transactions* into *blocks*. As blocks are limited in capacity, users can incentivize miners to prefer their transactions over competing ones by paying them *transaction fees* [27, 76, 83, 101].

In order to create a block which will be considered valid under the PoW mechanism, miners must expend tremendous computational resources to find a solution to a cryptographic puzzle, a process which is also called *mining*. The solution for the puzzle is defined to be an input to a cryptographic hash function such that the corresponding output will be lower than some *target* value. The currently known best method for finding such an input is to perform a brute-force search [26, 69, 112]. Once this solution is found, it is included in the block and broadcasted to the network, with each user validating the solution to ensure it is indeed correct.

In order to make sure that the difficulty of the cryptographic puzzle is neither too easy for the network nor does it exceed the computational resources of the network, cryptocurrencies employ a *difficulty-adjustment algorithm (DAA)* [23, 126] which periodically attempts to gauge the amount of computational resources currently available on the network and adjust mining difficulty accordingly.

### 3.2 Economics of Mining

To compensate miners for their efforts, the mechanism allocates a certain amount of tokens to the creator of each valid block. These tokens are commonly called the *block rewards*. Cryptocurrencies commonly pursue a notion of giving miners a *fair* share of the rewards, meaning that the fraction

of the all rewards which they earn should be equal to the fraction of computation which they contribute to upholding the underlying mechanism [50, 92].

PoW cryptocurrencies are known for their unsteady revenue flow, leading miners to usually team-up and form mining *pools*. Participants in the pool split profits among themselves using a variety of schemes, often-times doing so according to each participant’s relative contribution to the pool. This contribution is measured by counting the amount of *shares* which each user submits; these are blocks which are below the protocol’s real difficulty threshold, but above some inner one set by the pool [58, 77, 100, 107].

### 3.3 Blockchains and Block-DAGs

In Bitcoin-esque cryptocurrencies, each block must reference at least one previous block, which is called the block’s *parent*. Thus, a chain of blocks is formed, also known as a *blockchain*. The first and last blockchain blocks are usually respectively nicknamed the *genesis* and the *tip* of the blockchain, while the currently mined block is commonly called the *pending* block.

As the blockchain contains all user-made transactions, it in essence provides some notion of “history”. Thus, the entire network must agree on some specific history in order to facilitate money transfers between users in a way which preserves the system’s integrity. A *race* or *tie* occurs if there are multiple possible chains, e.g. when a miner hears of two blocks at the same time. Usually, protocols define a *tie-breaking* rule to pick between the different options. The chain which is picked is referred to as the *main-chain*.

In Ethereum, blocks which are mined after a tie can pick, in addition to a parent, up to two *uncle* blocks. Ethereum’s mechanism was designed to take such uncle blocks into consideration when deciding on the network’s main-chain in the hopes that doing so would increase the mechanism’s security [78]. The resulting structure is no longer a *blockchain* but rather a *block directed-acyclic-graph* (*block-DAG*) [78, 109]. Although Ethereum relies on uncle blocks and thus on a block directed-acyclic-graph (*block-DAG*), for brevity we will refer to the resulting data structure as a *block-chain*.

### 3.4 Ethereum Clients

In order to participate in the Ethereum protocol, one must use an Ethereum *client*, meaning a program which implements the protocol’s rules. The most popular client is *Go Ethereum* (*geth*) [38, 40, 43, 73], which is officially endorsed by the Ethereum Foundation. Communication with a local client and with other nodes is performed using a standardized protocol based on remote procedure calls [121].

*Additional Background.* For more details on cryptocurrencies see [3, 7, 90, 120].

## 4 MODEL

We proceed to formally define the model used in the paper.

### 4.1 Cryptocurrency System

We will begin our model description by giving precise definitions for Ethereum’s consensus and reward mechanisms. All notations and acronyms used in this section (and throughout the paper) are detailed in Appendix G.

**Block-DAG Structure.** In Ethereum, each block must reference a *parent* block, and can reference up to two *uncle* blocks; these are blocks that share a common ancestor with it (up to a depth of 8 blocks), but were not referenced by any main-chain block [35, 124]. Uncles are also sometimes called *ommer* blocks by the Ethereum Foundation [124]. An *ommer* is the equivalent gender-neutral term for the same familial relation.

**Block Timestamps.** Ethereum blocks store timestamps in the *UNIX time* format, which measures time by counting the number of seconds elapsed since January 1st, 1970 [66]. Timestamps are saved as integer values and thus do not have a resolution of less than one second. Using these timestamps, miners check the time that has passed between blocks and adjust mining difficulty if the time exceeds some predefined window.

Ethereum enforces relatively strict requirements on timestamps compared to other cryptocurrencies: a newly heard-of block’s timestamp cannot be more than 15 seconds in the future when compared to the local clock, and it must be at least one second after its parent’s timestamp [29, 35, 124].

**Mining Difficulty.** Ethereum’s difficulty-adjustment algorithm (DAA) strives to keep a rate of one block per 12 – 14 seconds [31, 54, 124]. It does so by lowering the difficulty of the block which is *currently* mined if too much time has passed, according to the block’s and its parent’s timestamps. Ostensibly, the mechanism’s designers hoped that this would prevent long stretches of time wherein no new block is mined. Unfortunately, as we will show, such DAAs are susceptible to manipulations.

Formally, each block’s difficulty depends on:

- Its parent’s difficulty, which we denote by  $3$ .
- The timestamp difference from its parent, denoted as  $\ell$ .
- If it references uncles or not:  $D \stackrel{\text{def}}{=} 1$  iff has uncles.

Using these, the difficulty of the block is defined as the maximum between  $2^{17}$  and the following term [32, 36, 124]:

$$3 + \max \left( 1 + D - \left\lfloor \frac{\ell}{9} \right\rfloor \cdot 99, \left\lfloor \frac{3}{2048} \right\rfloor \right) \quad (1)$$

For posterity, the difficulty of the genesis block is  $2^{34}$ . As Ethereum’s difficulty has skyrocketed compared to  $2^{17}$  and was above  $2^{34}$  since block 15, meaning that the difficulty was higher for at least  $15 \cdot 10^6$  blocks. Consequently, we use Eq. (1) as-is for conciseness. Additionally, to facilitate Ethereum’s long-delayed migration to a new mechanism which does not rely on PoW, the DAA increases difficulty exponentially every  $10^5$  blocks [103, 104]. This is irrelevant in our setting and thus omitted.

**Tie Breaking.** In Ethereum, a block can have just a single parent. There might be cases where multiple blocks can serve this role, for example if a miner sees multiple blocks at the same height. In such a scenario, it can only choose one of those blocks as a parent for its currently mined block, while the other blocks will be picked as uncles. We will term such events *ties*.

As mining difficulty determines the amount of work invested in each block, Ethereum relies on the notion of the total difficulty (TD) of a block to break ties. The TD of a block is defined as the simple sum of the difficulties of the block itself and all of its main-chain ancestors [34]. In case of ties between blocks, the one with a higher TD is chosen as the parent, and if blocks have equal TDs miners will prefer the one they received earlier [30, 33]. Ethereum’s mechanism is an approximation of the one defined by [78] and is an attempt at incentivize publishing newly mined blocks quickly, thus discouraging withholding them [15].

**Mining Rewards.** We denote the reward received for mining a main-chain block as  $r$  ETH. The miner of a block which references an uncle receives  $\frac{1}{32} r$ . The miner of the referenced uncle receives a reward too, according to the depth of the most recent common shared ancestor of the two: if it is two blocks deep, the uncle’s miner gets  $\frac{7}{8} r$ . The reward diminishes by  $\frac{1}{8} r$  for each increase in depth, until reaching 0 ETH [35, 103, 124].

Example 1 provides an example of a block-DAG which is structured according to the aforementioned consensus rules.

**Example 1.** We will now go over four blocks and use them to illustrate the various definitions given in Section 4.1. These blocks and their relations are depicted visually in Fig. 1.

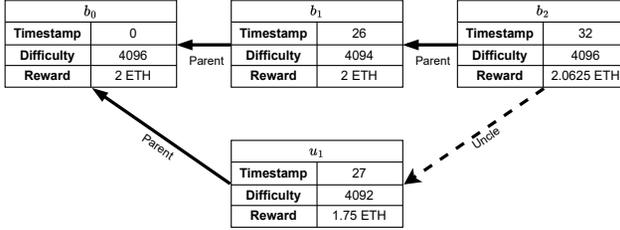


Fig. 1. A graphical depiction of the blocks of Example 1.

Let block  $l_0$  be the parent of blocks  $l_1$  and  $D_1$ , and let block  $l_2$  point to  $l_1$  as its parent, and  $D_1$  as its uncle. Let  $l_0$ 's timestamp be 0,  $l_1$ 's timestamp be equal to 26,  $D_1$ 's timestamp be 27, and  $l_2$  be 32.

If  $l_0$  has a difficulty of 4096, then according to Eq. (1) the difficulties of  $l_1$  and  $D_1$  should be 4094 and 4092, correspondingly. Consequently, according to the same equation  $l_2$ 's difficulty is 4096.

The standard block-reward for a main-chain Ethereum block which did not refer to uncles is 2 ETH [124], so the miners of  $l_0$  and  $l_1$  earned 2 ETH each, while the miner of  $l_2$  earned 2 ETH, plus  $\frac{1}{32} \cdot 2$  ETH for referencing  $D_1$  as its uncle, making the total reward earned by the  $l_2$ 's miner 2.0625 ETH. Because  $D_1$  is parallel to  $l_2$ 's parent, the reward earned by  $D_1$ 's miner is  $\frac{7}{8} \cdot 2$  ETH, which amounts to 1.75 ETH.

For an example of real Ethereum blocks which share the same relations as the blocks described here, see Example 2.

## 4.2 Threat Model

We will now describe the actors that interact with the cryptocurrency and the range of actions available for each one.

**Actors.** We model the network as being comprised of two parties, an *honest* miner who has a total hash-rate of  $\lambda$  hashes-per-second, and an *attacker* that has a hash-rate of  $\mu$  hashes-per-second. We will call the attacker's fraction of the total hash-rate as its *hash-ratio*, and define it as follows:  $U \stackrel{\text{def}}{=} \frac{\mu}{\lambda + \mu}$ .

Note that the honest miner need not necessarily be a single entity, but can be a mining pool or even a number of mining pools, though for the sake of brevity we will mostly refer to it as a single miner. Similarly, the attacker can be a mining pool, or a coalition of mining pools.

Our attack and its analysis do not require looking at more than two consecutive blocks, which according to historical data lasts an average of roughly 13 seconds (see Appendix F). Thus, we follow the literature by assuming that miners cannot obtain or lose hash-power, no new miners enter the network, mining hardware is bought by actors in advance, and all associated costs (such as electricity) are prepaid [50, 59, 67, 102, 110, 131–133]. Indeed, historical data shows that the total hash-rate active on the network does not change by much over such short periods [9].

**Attacker Objective.** Ethereum, similarly to other cryptocurrencies, has a notion of *fairness* which stipulates that in expectation a miner with a  $W$  fraction of the hash-rate should mine  $W$  of the blocks and obtain a  $W$  fraction of all mining rewards [50, 92, 124].

Our attacker's objective will be to mine more than its fair share of the blocks, e.g. more than  $U$  of the blocks. As we will show, this will increase its rewards to be above the fair amount, too.

**Honest Mining.** We define the *honest* mining protocol similarly to other blockchain papers [50, 59, 110, 126, 127]: our honest miner follows the rules laid down in Ethereum’s yellow paper [124]. Thus, the honest miner will always mine on top of the block with highest TD, and will not withhold blocks or manipulate block timestamps.

**Allowed Attacker Deviations.** Our attacker can rationally deviate from the honest protocol, as long as blocks it produces are indeed valid according to Ethereum’s consensus rules [35, 124]. Specifically, the attacker is free to manipulate the timestamps of blocks that it mines to be within the valid range defined in Section 4.1, and can mine on top whichever block it chooses. In order to create a clean separation between our attack and the previous literature [3, 12, 50, 59, 102, 133], we limit our attacker by forbidding it from withholding blocks.

## 5 THE UNCLE MAKER ATTACK

We will now describe our attack. Conceptually, the attack manipulates Ethereum’s DAA to create blocks which retroactively replace existing main-chain blocks, thus increasing an attacker’s share of main-chain blocks beyond its fair share. Honest blocks that were “sidelined” in this manner can later be referred to by main-chain blocks as uncles, thus we will term blocks created by our attacker as *Uncle Makers*.

A major novelty of our attack is that it replaces blocks *without* using block withholding, which is the common method used in the literature [50, 59, 67, 131–133].

Recall that in case of ties between different chains, Ethereum’s protocol dictates that the one with a higher TD is picked as the main chain. As Ethereum’s DAA assigns mining difficulty according to a block’s timestamp, an attacker can set the timestamp for the currently mined block to be low enough to win in case of ties, whether as a preemptive defense mechanism, or to actively replace existing main-chain blocks. Unfortunately, as the block has a higher difficulty, it is harder to mine. We will soon show that this can be avoided.

### 5.1 Riskless Uncle Making

By carefully picking when to execute the attack, we can make sure that the attacker’s blocks will have a higher difficulty when compared to the current tip of the blockchain, and thus will replace it, but still will not have a higher difficulty compared to the block which the attacker would’ve mined had it been following the honest protocol.

By doing so, we will allow our attacker to execute the attack without incurring any additional mining “risk” when compared to mining honestly: the probability that mining the attack block will succeed will be at least the probability of the attacker successfully mining an honest block, while the attacker’s share of the rewards will be higher than its fair portion. We call this attack a *riskless uncle maker (RUM)* attack.

Let the tip of the blockchain be block  $1_1$  with a  $\ell_1$  time difference relative to its parent  $1_0$ , and denote the number of seconds that have passed since  $1_1$ ’s timestamp by  $\ell$ . According to the honest protocol, the honest miner mines a block, which we will denote by  $1$ , and sets the block’s parent to be  $1_1$ , and its timestamp difference to be  $\ell$ . See Fig. 2 for a graphical depiction of the aforementioned blockchain state.

If  $\ell_1 \in [9, 18)$ , then as long as the honest miners still haven’t successfully mined a block and  $\ell \leq 9$ , an attacker who wishes to execute the RUM attack should mine a block on top of  $1_0$ , and set the block’s time difference to be some value strictly lower than 9 seconds, for example  $\ell \stackrel{\text{def}}{=} 8$  seconds. If the attacker succeeds in mining this block in time, it should be published immediately. In any other case, the attacker should mine according to the honest protocol.

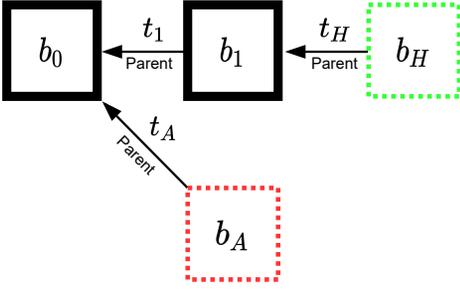


Fig. 2. The blockchain’s state when executing a RUM attack.

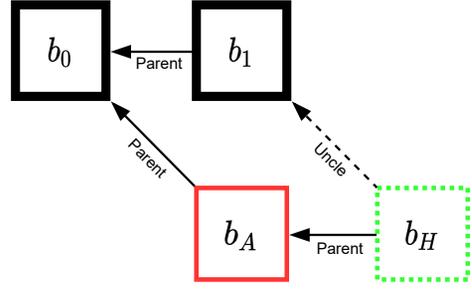


Fig. 3. The blockchain’s state after a successful RUM attack.

Observe that the time we picked for  $\ell$  increases  $1$ ’s difficulty compared to  $1_1$ . Due to Ethereum’s tie-breaking mechanism, if it is indeed mined successfully, it will take  $1_1$ ’s place as the new tip of the main-chain. Thus, the honest miner will pick  $1$  as the parent of its currently mined block, and  $1_1$  as its uncle, leading the current blockchain state to be as depicted in Fig. 3.

Note that our attack replaced an honest main-chain block with an attacker block without relying on withholding blocks. Instead, the attack actually requires the attacker to *immediately* publish its blocks, standing in stark contrast to other attacks which rely on withholding blocks.

An algorithmic description of the attack is presented in Algorithm 1. The algorithm follows the event-driven model which was used by other works in the field, such as [50, 52].

## 6 THEORETICAL ANALYSIS

We will now theoretically analyze the RUM attack using a series of theorems, relegating all proofs to Appendix D. Afterwards, we will analyze the block and reward share of an attacker which executes the attack using a Markov decision process (MDP), similarly to other works in the field [50, 59, 63, 67, 102, 126, 132, 133].

In Theorem 1 we prove that the conditions specified in Section 5 for executing a RUM attack are necessary, and that an attacker’s probability of successfully mining the attack block is equal to the that of successfully mining an honest block.

**Theorem 1.** *Let the current tip of the main-chain be block  $1_1$ . Denote its parent as  $1_0$ , the parent’s difficulty as  $3_0$ , the timestamp difference between them as  $\ell_1$ , and the difference between the current time and  $1_1$ ’s timestamp as  $\ell$ .*

*If the following conditions hold, then a rational attacker can execute a RUM attack:*

$$\lfloor \frac{\ell}{9} \rfloor = 0 \cdot \lfloor \frac{\ell_1}{9} \rfloor = 1$$

*Moreso, if  $3_0 \geq 2^{22}$ , these are the only values for which a RUM attack is possible.*

**Remark 1.** *Any node active on the network, for example our attacker, can learn the values of  $\ell_1$  and  $\ell$ .*

*The former,  $\ell_1$ , is publicly available on the blockchain, as valid blocks must include their timestamps [124]. The latter,  $\ell$ , can be obtained by sending a standard Ethereum remote procedure call (RPC) request to the honest miner, as responses contain the local time of the responder.*

The proof is detailed in full in Appendix D. Briefly, we break the attack down to its different constituents: the blocks generated by the attacker should be valid according to the system’s consensus rules, the attacker should successfully replace honest blocks with the attacker’s blocks,

and mining these blocks should be *riskless*, meaning that it should not be harder when compared to mining honestly. Each constituent is handled via a series of claims which are then combined, culminating with Theorem 1.

The proof of Theorem 1 shows that if the last block’s difficulty is lower than  $2^{22}$ , an attacker might have additional timeframes within which an attack is feasible. Remark 2 elaborates on this.

**Remark 2.** *Although a difficulty of  $2^{22}$  is permitted by Ethereum’s DAA, which places the lower difficulty limit at  $2^{17}$ , no block has ever had such a difficulty, the closest being block number 6, which has a difficulty of  $2^{32}$ .*

We proceed to show in Theorem 2 that an attacker’s relative share of mainchain blocks exceeds the fair share that can be obtained honestly.

**Theorem 2.** *Let there be some block  $1_0$ . If the attacker uses the RUM mining strategy, its expected relative share of main-chain blocks will be larger than mining honestly, while the absolute number will remain the same.*

As before, the proof is given in Appendix D. The proof relies on analyzing a MDP of the attack, which we describe in Appendix D.3.

In Theorem 3 we prove the corresponding claim regarding an attacker’s share of the rewards.

**Theorem 3.** *For any block  $1_0$ , an attacker can increase its expected absolute and relative rewards by using the RUM mining strategy instead of mining honestly.*

The proof for Theorem 3 is similar to that of Theorem 2. Again, it is given in full in Appendix D.

**Corollary 1.** *As Theorems 2 and 3 show, both the relative and absolute share of blocks and rewards obtained by the attacker are higher when compared to mining honestly, thus a direct consequence is that the relative and absolute share of honest miners are lower, meaning that the attack not only benefits the attacker, but also harms its competitors.*

*As Theorem 1 shows, the attack is riskless, meaning that the probability of successfully mining an attack block is equal to that of mining an honest block. By combining all of these results, one can obtain that the RUM mining strategy dominates the honest one.*

## 7 IN SEARCH OF LOST TIME: UNCLE MAKING IN THE WILD

We will now attempt to give a conclusive answer to a long-standing question: *do miners attack the consensus layer of major cryptocurrencies?* The surprising answer is a resounding **yes!**

To reach this affirmative answer, we crawled Ethereum’s blockchain using a standard Ethereum full node and collected relevant data for all main-chain and uncle blocks starting from block  $15\cdot226\cdot042$ , down to  $12\cdot000\cdot000$ . All the data we collected, and the code used to collect this data and generate all the graphs presented in this section are provided in Appendix F.

Most previous works usually only attempted to find evidence for block withholding attacks, and have tried doing so by planting many nodes throughout the network, collecting data and then analyzing it using various statistical methods. On the other hand, we show that the evidence proving that miners attack the consensus layer is hiding in plain sight and can be obtained using a *single* node and closely inspecting publicly available on-chain data. We cover these related works and provide a more in-depth comparison with the current paper in Section 9.

### 7.1 Ethereum Mining Pools

Using the previously mentioned data, we identified Ethermine as the largest mining pool currently active in Ethereum, consistently mining at least 22% of all main-chain blocks, more than any other mining pool in the past 3 years.

According to our analysis, the second largest mining pool for the same time-frame is F2Pool, which roughly amounts to about half as many main-chain blocks as Ethermine. Notably, F2Pool has a considerable amount of hash-rate active on other cryptocurrencies, such as Bitcoin [82]. The pool's founder has made a relatively well publicized condemnation of competing mining pools, blaming them for attacking his own mining pool, but without providing any concrete proof [114]. This is in stark contrast to the evidence that we uncover in this work which shows that, in fact, *F2Pool are attacking other mining pools*.

## 7.2 Identifying Uncle Maker Attacks

Before we examine real-world data, we would like to first crystallize a few insights which will allow us to identify uncle maker-esque attacks.

**Miners that execute uncle maker attacks should have a higher than expected main-chain block share and lower than expected uncle block share.** Recall that the RUM attack allows an attacker to replace main-chain blocks mined by other miners with a block of its own. Thus, it follows that miners which perform the attack will have fewer uncles and more main-chain blocks when compared to honest miners.

**Uncle maker attacks can be observed from block timestamps.** As our attack relies on manipulating block timestamps, one can attempt to uncover blocks which were created as part of such an attack by carefully analyzing the timestamps of historical Ethereum blocks.

By definition, the RUM attack requires an attacker to falsely set block timestamps to be earlier than they are. Thus, it is reasonable to expect that main-chain blocks created by an attacker will have an over-representation of low timestamp differences relative to their parents.

In comparison, timestamp differences between honest blocks and their parents should be distributed according to the exponential distribution [8, 13, 49, 50, 106, 109], with a slight under-representation of low timestamp differences due to propagation delay in the network [57, 72].

**Miners usually use a publicly identifiable coinbase address.** In order for a miner to receive the rewards for the blocks that it mines, the miner must include an address to transfer the reward to within a mined block, also called a *coinbase* address. Large mining pools commonly use a specific address for their block-rewards and advertise it, in the hopes it might attract new participants or help assert “political” control over the mined cryptocurrency [57].

In spite of this, there is no mechanism in place to force mining pools to stick to a single address throughout their lifespan, and pools are free to change their address to a new secret one at will. For example, mining pools might do so when executing an attack, in order to cover their tracks.

Still, it is common for works in the field to assume that mining pools do identify themselves in a truthful manner [57, 72, 91, 107, 119, 129]. Indeed, a large percentage of all Ethereum blocks belong to miners who identify their addresses using sites such as [44, 88].

## 7.3 Block Shares

We will now attempt to apply our previous insights to real-world Ethereum data, starting with the main-chain and uncle shares of the 4 largest mining pools in Ethereum, given in Fig. 4 and Fig. 5, respectively. Note that these top 4 pools have mined a combined share of more than 50% of both main-chain and uncle blocks.

Previous works have shown that larger pools such as Ethermine have a “size-advantage” leading them to win in cases of ties more often when compared to smaller pool like F2Pool. This leads them to having a higher share of main-chain blocks and a lower share of uncle blocks when compared to smaller mining pools, solely due to having more computational resources at their behest [79, 82].

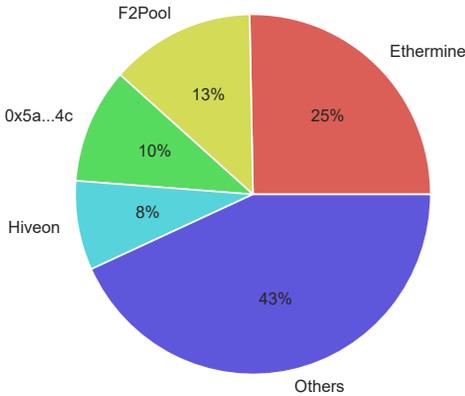


Fig. 4. The 4 largest mining pools' share of main-chain blocks.

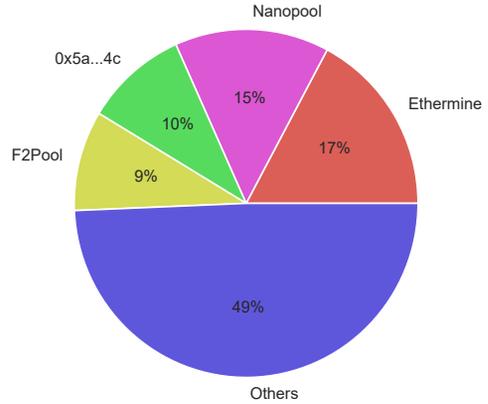


Fig. 5. The 4 largest mining pools' share of uncle blocks.

By comparing Figs. 4 and 5, it is apparent that F2Pool has considerably fewer uncles than is expected for a mining pool of their size: Ethermine and 0G50 "" "" 42 maintain their respective positions with regards to both mainchain blocks and uncles, with Ethermine having the largest share of both, and 0G50 "" "" 42 having the third largest share. On the other hand, F2Pool has the second largest share of mainchain blocks, but drops to the fourth place when it comes to uncle blocks.

A metric which is commonly used to compare mining pools is the *uncle rate*, defined per-miner as the ratio between the number of uncles which the miner has mined for some time period, and the total amount of blocks of all kinds (uncle and main-chain) it mined during the same period. A lower rate is better due to main-chain blocks receiving a higher block-reward and earning the fees for all transactions contained within them. Fig. 7 depicts this metric over time for both Ethermine and F2Pool. Although both were relatively comparable in the year between July 2019 and September 2020, F2Pool took the lead starting in October 2020.

One could argue that F2Pool might have achieved this feat by investing in good network connectivity to other nodes, thus propagating its blocks faster, leading its blocks to win ties by virtue of arriving to peers earlier. Indeed, at the end of October 2020, roughly when F2Pool's uncle rate has started improving, a company called bloXroute has published a blog-post describing how it helped reduce F2Pool's uncle rate by improving its networking layer [18].

In order to rule out this possibility, we will now turn to analyzing the timestamps of blocks over this period.

#### 7.4 Block Timestamps

Recall that according to Ethereum's documentation [31, 54, 124], the target time-difference between the mining of two blocks is 12 – 14 seconds. Indeed, the average time difference between mainchain blocks and their parents is 13'45 seconds, with the same comparison between uncle blocks and their parents yielding another reasonable average of 13'81 seconds.

The average difference might obscure more minute details, leading us to plot a histogram of the timestamp differences between main-chain blocks and their parents in Fig. 8, and between uncles and their parents in Fig. 9. Both histograms were truncated at 18 seconds to maintain readability.

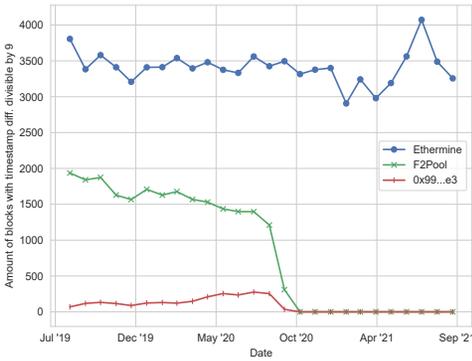


Fig. 6. The monthly amount of main-chain blocks with a timestamp difference from their parent which is divisible by 9. Note that both F2Pool and 0x99...e3 stop mining such blocks starting October '20, while Ethermine continues doing so.

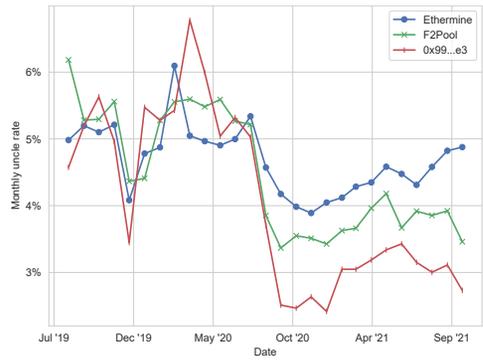


Fig. 7. The monthly uncle rate for Ethermine, F2Pool and 0x99...e3, defined per-miner as the ratio between the number of uncle blocks it mined in some month and the total amount of blocks it mined that month.

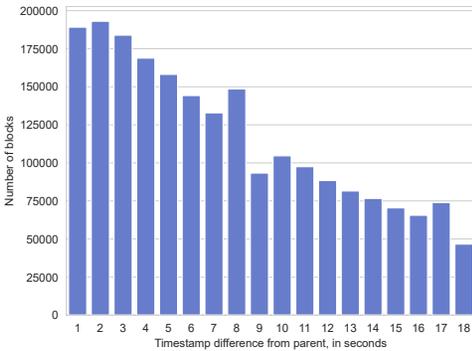


Fig. 8. Total number of main-chain blocks with a given timestamp difference from their parent, since block 12·000·000.

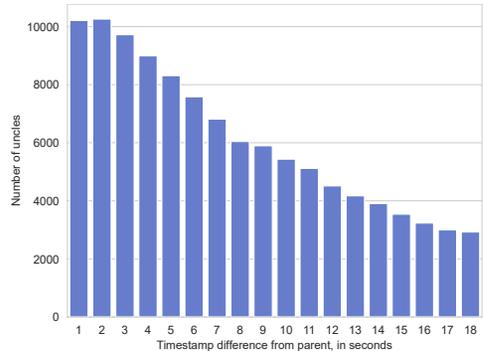


Fig. 9. Total number of uncle blocks with a given timestamp difference from their parent, since block 12·000·000.

Fig. 9 looks precisely as predicted in Section 7.2 with regards to the honest scenario: it has a slight under-representation at the 1 second mark, and its trend seems to fit the expected exponential distribution.

On the other hand, Fig. 8 has quite a sizable under-representation of timestamp differences which are divisible by 9, and an over-representation at seconds 8 and 17. This seems to match the expected fingerprint of an uncle maker-style attack.

### 7.5 Catching F2Pool Red-handed

In order to get to the bottom of the anomalies we observed so far, we created more detailed histograms which separate blocks according to the identity of their miner. Specifically, in Fig. 10 we plot the per-miner histogram for the timestamp difference between main-chain blocks and their parents, and in Fig. 11 we do the same for uncles.

Figs. 10 and 11 explain the reason for F2Pool's advantage very clearly: F2Pool did not mine even a single main-chain block or uncle with a timestamp difference which is divisible by 9 since block

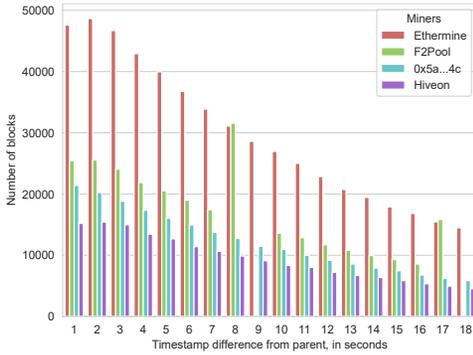


Fig. 10. Number of main-chain blocks with a given timestamp difference from their parent, separated by mining pool, for the 4 largest mining pools. Note that F2Pool has no blocks with timestamp differences divisible by 9, and an over-representation for a difference of 8 seconds.

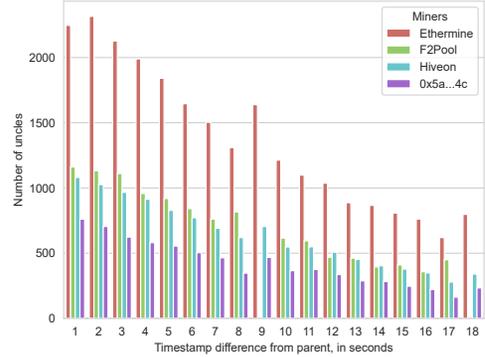


Fig. 11. Number of uncle blocks with a given timestamp difference from their parent, separated by mining pool, for the 4 largest mining pools. Note that pools except F2Pool have an over-representation of blocks with timestamp differences divisible by 9, due to F2Pool’s attack.

11•064•754, which was mined almost two years ago. Whenever the honest timestamp difference should have been 9 seconds, they instead have falsely set it to be 8, as required to execute an uncle maker attack. We provide an example of a suspected uncle maker block by F2Pool in Example 2.

Fig. 11 shows that F2Pool’s foolhardy behavior harms other mining pools, as can be deduced by looking at the larger-than-expected number of uncles with a timestamp difference of 9 seconds mined by Ethermine, Hiveon and an unnamed pool which uses the address `0G50 "" "42`. This is due to F2Pool using a timestamp manipulation tactic which precisely targets this time difference window, while they mine honestly at all other windows.

## 7.6 F2Pool’s Attack is not Riskless

We proved in Section 6 that in order for an uncle maker attack to be riskless, very specific conditions must hold. These conditions preclude the possibility of executing a riskless attack in certain time windows, for example if the time since the last valid block was observed is at least 18 seconds. Yet, as Fig. 12 shows, F2Pool do not shy from executing uncle maker-style attacks even at later periods but only for time differences which are divisible by 9, leading us to believe they employ a variant of the attack.

**7.6.1 Risky Uncle Maker Attack.** One possibility is that F2Pool executes the attack if the *expected* profit from it is higher when compared to mining honestly, *even if it incurs additional risk*. E.g. even if the probability of mining the attack block is lower than the probability of mining an honest one. Due to this, we call this variant the *risky uncle maker* attack.

Such a risky uncle maker attack can be profitable in expectation under certain scenarios, for example if another miner “snatched” transactions which pay exuberantly high fees and included them in its block before the attacker, or if the attacker has a sufficiently high hash-rate and good network connectivity.

**7.6.2 Preemptive Uncle Maker Attack.** Another option is that F2Pool, instead of actively trying to replace existing blocks, actually attempts to preemptively assure their blocks will win in case of ties by setting block timestamps to be within an earlier 9 second window when compared to the honest timestamps. This increases mining difficulty and makes sure their blocks have a higher TD,

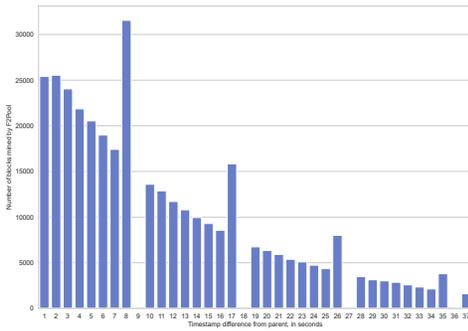


Fig. 12. Number of main-chain blocks mined solely by the F2Pool mining pool, with a given timestamp difference from their parent, since block 12·000·000.

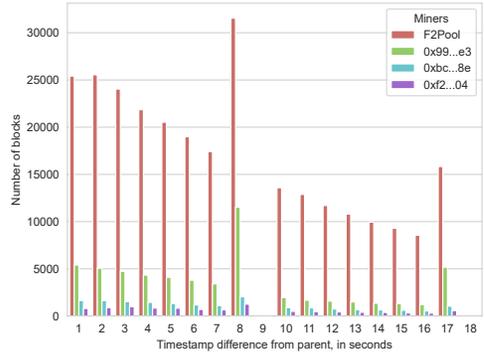


Fig. 13. Number of main-chain with a given timestamp difference from their parent, separated by mining pool, for mining pools suspected to manipulate timestamps.

meaning that their blocks will be picked as main-chain blocks over competing honest blocks. We term this variant of the attack as a *preemptive uncle maker* attack.

This type of attacks allows miners not to waste computation resources by mining on top of a tip that has been made “stale” by another block mined on top of it, but which has not been received yet. If that is the case, attackers setting their clock to a second earlier can be assured that their mined block will replace any block honestly mined in specific time intervals, which might be disseminated through the network currently, but hasn’t reached the attackers yet.

**7.6.3 RUM is Hard to Implement.** Lastly, we would like to raise the possibility that F2Pool chose to implement the attack which we observe in the wild simply because it was easier to implement than any other attack, including RUM. In fact, we implemented an arguably less outrageously apparent variant of the observed attack as a patch for geth. In this patch we set geth’s clock to be late by exactly one second. This achieves the same effect as F2Pool’s attack, while producing a more natural-looking timestamp difference curve. We provide additional details in Appendix F.

### 7.7 Other Attackers

Although F2Pool is the largest mining pool which is currently engaging in uncle maker-esque attacks, it is not the only one; Fig. 13 shows the timestamp histogram of three additional miners which use the same exact attack, meaning that they abstain from using timestamp differences which are divisible by 9.

The second largest such attacker after F2Pool is 0G99 “””43. This miner did not have a name in Etherscan’s database, and thus we will call it *Sneezy*. Sneezy’s histogram spikes at the 8 seconds mark to be almost twice as high than the corresponding bin at the 1 second mark, while F2Pool’s 8 second bin is only roughly 20% taller, suggesting that Sneezy executes the attack over longer periods of time.

Indeed, as Fig. 7 shows, this aggressive attack is worthwhile, and has decreased Sneezy’s uncle rate considerably, even moreso than it has benefited F2Pool. Fig. 6 shows the monthly amount of blocks with a timestamp difference which is divisible by 9 for Ethermine, F2Pool and Sneezy. While Ethermine’s graph looks relatively uneventful, F2Pool’s and Sneezy’s drop to 0 at almost the same time. A closer inspection of the blockchain reveals that Sneezy started the attack at block 11·080·310, meaning slightly more than two days after F2Pool.

## 8 MITIGATION

We will now go over mitigation techniques that arise from the previously discussed results. It is well known that cryptocurrencies are leary of making changes to their consensus mechanisms, oftentimes *forking* the blockchain and thus creating two communities, one which abides to the previous consensus rules and rejects the change, and another which adopts it [71, 74]. Thus, we would like to focus on solutions which are reasonable in scope, e.g. similar to previously adopted Ethereum improvement proposals (EIPs) [37].

### 8.1 Minimize attacker flexibility by increasing the minimal difficulty

In the proofs given in Section 6, we have shown that if the minimal difficulty is strictly less than  $2048^2$ , then an attacker could execute a riskless attack in less restrictive conditions than those described in Theorem 1.

As we have mentioned in the same section, mining difficulty did not come close to such a difficulty in the seven years since Ethereum was launched, but the fix is worthwhile for any small cryptocurrency which is based on Ethereum's mechanism and might reach such low levels of mining difficulty.

The above mitigation was implemented in Appendix F.

### 8.2 Reject competing chains more aggressively

The RUM attack and the variants which we observe in the wild can be mitigated completely by rejecting competing chains in a more aggressive manner.

More concretely, denote the tip of the competing chain by  $1'$  and of the local chain by  $1$ . A miner should reject it if all of the following conditions hold:

- (1) If  $1$  and  $1'$  share a parent
- (2) If  $1$  has at least the same number of uncles as  $1'$
- (3) If the timestamp of  $1'$  is less than the miner's local clock by one second or more

If at least one of these conditions do not hold, the miner should adhere to Ethereum's existing protocols.

Notice that an attack block for either RUM or the variant which we observe in the wild must fulfill all of these conditions, thus if all honest miners would reject competing chains based on this criteria, the attack will be prevented.

We would like to mention that the third condition is actually not as strict as it appears. According to [72], 85% of blocks are propagated in less than 100 milliseconds, while in recent history propagation time did not exceed 650 milliseconds [6, 10, 48].

Additionally, although this mitigation is similar to already existing Ethereum consensus rules which use a node's local clock to reject blocks in some cases, we emphasize that such considerations might open the door for various attacks. Specifically, we have not analyzed the implications of this mitigation with regards to any other attack besides the RUM attacks and the variations which we have covered in this work.

We have implemented this mitigation in Appendix F.

### 8.3 Migrate to Other Mechanisms

An obvious mitigation technique which will solve both this attack, and any other PoW-related one, is to migrate Ethereum's consensus mechanism to proof-of-stake (PoS). This transition, which is also called *The Merge* [39], is scheduled to happen by the end of 2022 (though it has been scheduled to happen since 2017 and has been postponed multiple times by now [16]). Alternatively, it is possible

to other protocols with theoretical guarantees, like [56, 92], and even [109], which Ethereum’s current mechanism is based on.

Other solutions which might be smaller in scope and thus easier to implement are to adopt better fork-choosing rules [130, 131], use reliable timestamps [1, 4, 28, 75] or avoid using timestamps for difficulty adjustments altogether [108].

## 9 RELATED WORK

We will now review the major related works of the field and compare these to our paper, when appropriate. A summary is provided in Table 1. Additionally, in order to paint a complete picture of the current research landscape, we surveyed a few additional related papers in Appendix E.

**Withholding Attacks.** Most consensus-level attacks rely on block withholding and on an attacker’s ability to both immediately hear about new blocks, and broadcast withheld blocks to some fraction of the network before this fraction hears of these new blocks. Usually, such attacks theoretically allow miners to increase *expected* profits, although they do have a non-zero probability of failing and causing a loss. As far as we know, there is currently no software in place to facilitate this attack.

In contrast, we do not require such assumptions, instead relying on an attacker’s ability to manipulate timestamps. This is indeed feasible, as seen in our empirical evaluation and by the geth patch we provide which implements the attack.

Examples of such attacks include the celebrated *Selfish Mining* attack [50], which increases an attacker’s share of the blocks beyond its share of the mining power. This is achieved by mining blocks and withholding them. Withheld blocks are published in a manner which discards blocks mined by honest parties. Variants of the attack were further explored in Bitcoin by [23, 59, 102] and in Ethereum by [52, 61, 62, 98]. A notable extension of selfish mining is the *Stubborn Mining* attack, in which attackers continue mining on selfish forks even if these trail behind the honest chain [81, 91, 122].

As both selfish and stubborn mining are not proven to be optimal mining strategies, several works have attempted creating general frameworks for mining attacks which rely on block withholding, such as [67, 131–133], which employ machine learning (ML) techniques to recreate classic results and derive new ones. These have the same pitfalls as the selfish-mining papers.

**Manipulating DAAs Without Withholding Blocks or Manipulating Timestamps.** A strand of research focused on directly manipulating DAAs to increase mining profits, thus avoiding block withholding. All such attacks are not currently known to be implemented in software. In contrast, our attack can be executed by applying a simple software patch.

For example, in *Coin Hopping* attacks miners “hop” between cryptocurrencies and mine the one which is currently the most profitable [86]. Certain DAAs are susceptible to cyclical mining difficulties, which can be exploited by miners that join when the difficulty is low and leave when it is high [123]. These attacks assume miners can indeed “hop” between mining different cryptocurrencies in a minute’s notice and fixed exchange-rates between the attacked cryptocurrencies, but these are known to be extremely volatile and do not always move in unison [68, 127].

Similarly but in the scope of just a single cryptocurrency, *Energy Equilibria* attacks show that Bitcoin miners can both minimize operational costs and manipulate mining difficulty to increase the average amount of rewards per unit of time by repeatedly turning their mining hardware on and off, but the profitability of this mining strategy for a specific miner depends on the fraction of mining expenses which it dedicates to electricity and whether this electricity is bought in advance or not [53, 60].

On the other hand, the *Stretch & Squeeze* attack presented in [126] focuses on increasing and decreasing Bitcoin's and Ethereum's block-rates, and then using this to create interest-rate arbitrage between decentralized finance (DeFi) lending platforms, which can be exploited to make a profit by taking a large collateralized loan from one platform and depositing it in another. The market's response to such an attack has not been explored, and it is reasonable to assume that such arbitrage will be closed by other players, thus voiding potential gains from being made.

**Timestamp Attacks.** In Ethereum, timestamps have been mostly used to attack smart contracts [17]. An exception is the *Stretch & Squeeze* paper [126], that found two timestamp weaknesses in geth's code. The first is a simple bug that was quickly fixed. The second weakness is inherent to Ethereum's consensus and still remains; it allows miners to intentionally mine uncles with a difficulty which is lower by 5% compared to the honest one. This can be used to increase mining difficulty and slow-down the blockrate, but was not included in the analysis performed in the paper.

The *Difficulty Raising* attack presented by [5] is an attack on Bitcoin's DAA. Similarly to our attack, it relies on manipulating timestamps in order to increase mining difficulty and replace existing blocks. In contrast, it focuses on Bitcoin, and as claimed by the work, the attack is infeasible and entirely theoretical. A framework for Bitcoin that allows deriving conditions which eliminate the theoretical possibility of such an attack is analyzed in [56].

**Real-world Evidence of Attacks.** Many have wondered why selfish mining and related attacks are not observed in the wild [67, 91], with one glaring reason being the lack of concrete software implementations to facilitate such attacks [116]. Some previous works relied on statistical methods to detect abnormalities such as a large amount of blocks consecutively mined by a single miner, or a high number of forks, but have not found any conclusive evidence of a major attack [79, 80], while [82] found that one Bitcoin mining pool performs coin-hopping, specifically between Bitcoin and Bitcoin Cash, the latter of which is a fork of Bitcoin [74].

Two exceptions are [82, 126]. The former used data from Ethereum nodes to compare block timestamps with the actual block arrival times, and has concluded that the two are roughly similar. The latter claims that the last three years of Ethereum blocks do not bear the mark of timestamp manipulations, and has done so by looking at basic metrics such as the mean and median differences between blocks and their direct ancestors, which indeed are not indicative of any apparent manipulation. As we've shown, by looking at the histogram of timestamp differences, it becomes clear that, in fact, miners disregard the honest protocol and set timestamps to gain an unfair advantage.

## 10 CONCLUSIONS

In this work, we have presented a novel attack on Ethereum's consensus mechanism and multiple variations on it, including an implementation of one such variation as a patch for geth, Ethereum's most popular client.

We have analyzed this attack and have proved that miners can execute it in a risk-less manner, thereby increasing both their relative share of blocks and their absolute and relative share of block rewards.

We have shown that this attack has been executed by Ethereum's second largest mining pool, F2Pool, for over two years, thereby finding the first-ever proof of an attack on the consensus mechanism of a major cryptocurrency.

Finally, we have suggested concrete mitigation techniques which can be quickly implemented until Ethereum's migration to PoS is finalized.

## AVAILABILITY

To maintain anonymity, all code and data used in this paper were uploaded to a Google Drive account which was opened under the pseudonym *Uncle Maker*. This account can be accessed using the following link.

Details about our data sources, installation and usage instructions are provided in Appendix F.

## ACKNOWLEDGMENTS

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## A APPENDICES STRUCTURE

Due to a lack of space, we have omitted examples, proofs, extensions of our attack and various other details from the main body of the paper, but included them as appendices.

The appendices are structure as follows: in Appendix B we provide an algorithmic description of the RUM attack, and then in Appendix C we go over a real-world series of blocks which we suspect to be a real-life attempt at executing the attack. Appendix D contains the proofs for our theoretical analysis of the RUM attack. Appendix E attempts to paint a bigger picture of the current research landscape by going over papers which were not included in Section 9. In Appendix F we provide all necessary information in order to reproduce our work, such as the code we used to extract data from the blockchain and create the various graphs included in the paper, a link to an anonymous website which contains a copy of our data and alternative sources of data. Finally, Appendix G is a glossary of the various notations and acronyms used throughout the paper.

## B ALGORITHM

We provide an algorithmic description of the RUM attack in Algorithm 1.

## C REAL-WORLD EXAMPLE

**Example 2.** We will go over a real-world counterpart for Example 1. We follow Ethereum’s conventions and use the hexadecimal numeral system when referring to various values such as block hashes and difficulties.

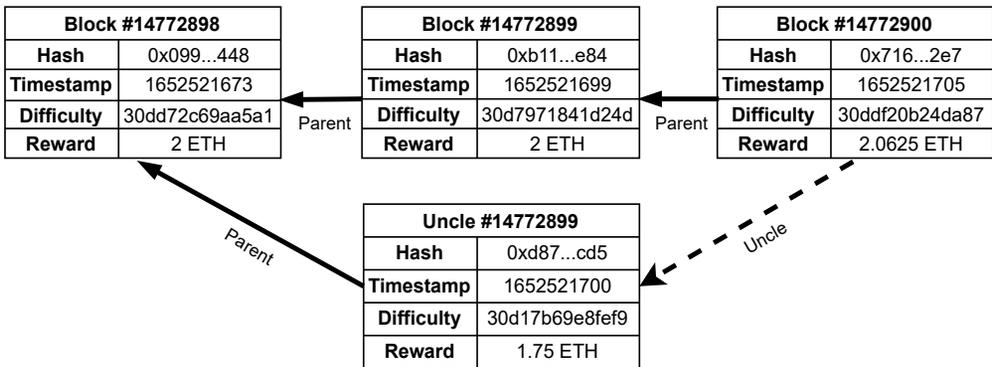


Fig. 14. A depiction of the blocks of Example 2.

Fig. 14 depicts four real blocks. The block with hash 0G716...247 (abbreviated for brevity) has a depth of 14772900 blocks relative to the genesis. This block references the block with hash 0G111...484 as its parent, and the block with hash 0G387...235 as its uncle. Both the parent and the uncle reference block number 14772898 as their parent, which we will refer to as the grandparent, for clarity.

The timestamp difference between the parent and the grandparent is 26 seconds, while the difference between the uncle and the grandparent is 27 seconds. Thus, according to Ethereum’s DAA, the parent was mined at a higher difficulty.

The grandparent has a TD of 0523348737912358223. As the TD is a simple sum of the each block’s difficulty and its direct ancestor’s TD, the parent’s TD is 0523419551034775470, while the uncle’s is lower at 0523419445526148126. So, according to Ethereum’s tie breaking rule, the former must be the current block’s parent.

Notice that block 0G111...484 was mined by F2Pool.

**Algorithm 1:** Riskless uncle maker attack

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1 on event initialize:
2    $2 \ O\theta = \leftarrow$  publicly known blocks ;
3   do: mine honestly on top of the tip of  $2 \ O\theta =$  ;
4 end
5 on event we mined a block 1:
6   do: publish 1 and append it to  $2 \ O\theta =$  ;
7   do: mine honestly on top of the tip of  $2 \ O\theta =$  ;
8 end
9 on event others mined a block 1:
10  if  $\mathcal{C}_1 \in [9 \cdot 18)$  then
11    | trigger event: attack against 1 ;
12  else
13    | do: append 1 to  $2 \ O\theta =$  ;
14    | do: mine honestly on top of the tip of  $2 \ O\theta =$  ;
15  end
16 end
17 on event attack against 1:
18    $\mathcal{C} \leftarrow 0$  ;
19   while  $\mathcal{C} \leq 9$  & no-one mined a new block do
20     | mine 1 with  $\mathcal{C}_1 = 8$  on top of  $1''?OAA=\mathcal{C}$  ;
21     |  $\mathcal{C} \leftarrow 2DAA4=\mathcal{C}) \delta < 4 - 1^{\mathcal{C}} \delta < 4BCO < ?$  ;
22   end
23   if honest miners mined a new block 1' then
24     | do: append 1 to  $2 \ O\theta =$  ;
25     | trigger event: others mined a block 1' ;
26   else if we mined 1 then
27     | trigger event: we mined a block 1 ;
28   else
29     | do: append 1 to  $2 \ O\theta =$  ;
30     | do: mine honestly on top of the tip of  $2 \ O\theta =$  ;
31   end
32 end

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**D PROOFS****D.1 Conditions For a Riskless Uncle Maker Attack**

We will now characterize the conditions in which a RUM attack is feasible.

By executing the attack, the attacker increases its share of the total rewards and of the total main-chain blocks in the network, above its fair share. In addition, the attack yields the same number of block rewards as honest mining would.

**Theorem 1.** *Let the current tip of the main-chain be block  $1_1$ . Denote its parent as  $1_0$ , the parent's difficulty as  $3_0$ , the timestamp difference between them as  $\mathcal{C}_1$ , and the difference between the current time and  $1_1$ 's timestamp as  $\mathcal{C}$ .*

If the following conditions hold, then a rational attacker can execute a RUM attack:

$$\lfloor \frac{\mathcal{L}}{9} \rfloor = 0 \cdot \lfloor \frac{\mathcal{L}_1}{9} \rfloor = 1$$

Moreso, if  $3_0 \geq 2^{22}$ , these are the only values for which a RUM attack is possible.

An attacker needs to know all the parameters required by Theorem 1 in order to evaluate whether a riskless attack is currently possible. Remark 1 explains how these values can be obtained.

In order to prove Theorem 1, we break the attack down to its different constituents: the blocks generated by the attacker should be valid according to the system's consensus rules, the attacker should successfully replace honest blocks with the attacker's blocks, and mining these blocks should be *riskless*, meaning that it should not be harder when compared to mining honestly. Each constituent will be handled via a series of claims.

Given the setting of Theorem 1, the honest miner is currently mining a block on top of  $1_1$ , per the honest protocol. Denote this pending block as  $1$ , and its relative timestamp difference as  $\mathcal{L}$ .

In order to "kick-out"  $1_1$  from the main-chain, the attacker needs to mine a block on top of some main-chain block which precedes  $1_1$ . The latest block which fulfills this criterion is  $1_0$ . According to our threat model, the attacker can mine on top of  $1_0$ , and can also set the timestamp arbitrarily, as long as it's valid. Denote the attacker's pending block by  $1$ , define its parent as  $1_0$ , and set its timestamp difference to be  $\mathcal{L}$ , which we will soon define.

A visual depiction of the current state of the blockchain and all pending blocks is provided in Fig. 2.

All the conditions that the attacker's block must fulfil are:

- (1) The block should be valid. Concretely, the timestamp difference between  $1$  and  $1_0$  should be valid:

$$\mathcal{L} \geq 1 \tag{2}$$

- (2) The block should win ties with  $1_1$ .

- (3) Mining the block should not be harder when compared to mining honestly:  $3 \leq 3_1$ .

Note that the third condition is only required for riskless attacks. We will now use a series of claims to find timestamps that answer these requirements.

**Claim 1.** *Block  $1$  will win ties against  $1_1$  if:*

$$\lfloor \frac{\mathcal{L}}{9} \rfloor \geq \min \left\{ \lfloor \frac{\mathcal{L}_1}{9} \rfloor, 100 \right\}$$

PROOF. According to Ethereum's tie-breaking mechanism, in case of ties, blocks with a higher TD are preferred. As both blocks have the same parent, and because TD is a simple sum of a block's difficulty and its parent's difficulty, this requirement boils down to:

$$3 \geq 3_1 \tag{3}$$

Thus, by plugging in Eq. (1):

$$3_0 + \max \left\{ 1 + 0 - \lfloor \frac{\mathcal{L}}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \right\} \geq 3_0 + \max \left\{ 1 + 0 - \lfloor \frac{\mathcal{L}_1}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \right\} \tag{4}$$

Slight algebraic manipulations give us:

$$\max \left\{ 1 - \lfloor \frac{\mathcal{L}}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \right\} \geq \max \left\{ 1 - \lfloor \frac{\mathcal{L}_1}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \right\} \tag{5}$$

Note that by assumption  $\lfloor \frac{\ell}{9} \rfloor \dot{Y} 100$ , and thus it is always the case that  $1 - \lfloor \frac{\ell}{9} \rfloor \dot{Y} -99$ . This means that the above condition is equivalent to:

$$1 - \lfloor \frac{\ell}{9} \rfloor \dot{Y} \max \{ 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot -99 \} \quad (6)$$

First, we handle the case where the right term obtains a maximum at  $-99$ . This is equivalent to:

$$1 - \lfloor \frac{\ell}{9} \rfloor \dot{Y} -99 \quad (7)$$

As noted above, this is always true, meaning that the adversary will win ties in this case.

In the other case, if the right term of Eq. (6) obtains a maximum at  $1 - \lfloor \frac{\ell_1}{9} \rfloor$ , we can rewrite the equation like so:

$$1 - \lfloor \frac{\ell}{9} \rfloor \dot{Y} 1 - \lfloor \frac{\ell_1}{9} \rfloor \quad (8)$$

By simplifying this equation, we get:

$$\lfloor \frac{\ell}{9} \rfloor \dot{Y} \lfloor \frac{\ell_1}{9} \rfloor \quad (9)$$

This inequality also holds by assumption, meaning that the adversary wins ties in this case as well.

Now, we will analyze the opposite scenario.

**Claim 2.** *Block 1 will lose ties against 1<sub>1</sub> if:*

$$\lfloor \frac{\ell}{9} \rfloor \geq \min \{ \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \}$$

PROOF. The difficulties of the blocks are:

$$3 \stackrel{\text{def}}{=} 3_0 + \max \{ 1 + 0 - \lfloor \frac{\ell}{9} \rfloor \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} \quad (10)$$

$$3_1 \stackrel{\text{def}}{=} 3_0 + \max \{ 1 + 0 - \lfloor \frac{\ell_1}{9} \rfloor \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} \quad (11)$$

By our assumption that  $\lfloor \frac{\ell}{9} \rfloor \geq \min \{ \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \}$ , we get:

$$\begin{aligned} 3 &= 3_0 + \max \{ 1 + 0 - \lfloor \frac{\ell}{9} \rfloor \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} \leq \\ &3_0 + \max \{ 1 + 0 - \min \{ \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \} \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} = \\ &3_0 + \max \{ 1 - \min \{ \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \} \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} = \\ &3_0 + \max \{ 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 1 - 100 \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} = \\ &3_0 + \max \{ 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot -99 \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} = \\ &3_0 + \max \{ 1 + 0 - \lfloor \frac{\ell_1}{9} \rfloor \cdot -99 \cdot \lfloor \frac{3_0}{2048} \rfloor \} = 3_1 \quad (12) \end{aligned}$$

As the attacker will start mining 1 only *after* the honest miner has published 1<sub>1</sub>, by definition it is impossible for the honest miner to hear about 1 before 1<sub>1</sub>.

Following Ethereum's consensus rules as defined in Section 4.1, this means that the honest miner will prefer 1 only if its difficulty is higher than 1<sub>1</sub>. As Eq. (12) shows, this is not the case.

Claims 1 and 2 allow us to rule out the possibility of performing a successful attack in certain cases.

**Corollary 2.** *A RUM attack cannot be performed if  $\ell_1 \geq 9$ .*

PROOF. We know from Claims 1 and 2 that  $l_1$  can be replaced iff:

$$\lfloor \frac{\ell}{9} \rfloor \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \quad (13)$$

But, the attacker's timestamp must be valid, e.g. must satisfy Eq. (2):

$$1 \leq \lfloor \frac{\ell}{9} \rfloor \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \quad (14)$$

If  $\ell_1 \geq 9$ , then:

$$1 \leq \lfloor \frac{\ell}{9} \rfloor \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 = 0 \quad (15)$$

And we've reached a contradiction.

Now, in order to guarantee that the attack is indeed "riskless", we must make sure that the probability of the attacker successfully mining on top of  $l_0$  is not lower than if it were following the honest protocol and mining on top of  $l_1$ . This is taken care of by Claim 3.

**Claim 3.** *Assuming  $\lfloor \frac{\ell}{9} \rfloor \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100$  and  $\ell_1 \geq 9$ , block 1 incurs no additional mining risk compared to mining honestly on top of  $l_1$  if:*

$$\lfloor \frac{\ell}{9} \rfloor \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 + \min \lfloor \frac{\ell}{9} \rfloor - 1 \cdot 99 \cdot \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor}$$

PROOF. In order to guarantee that the attack is riskless, we must make sure that the difficulty that corresponds to the attacker's time difference is not higher than the one used by the honest miner's pending block:

$$3 \leq 3 \quad (16)$$

By plugging in Eq. (1):

$$3_0 + \max \{ 1 + 0 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \} \leq 3_1 + \max \{ 1 + 0 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \} \quad (17)$$

From our assumptions, we know that:

$$- \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \geq - \lfloor \frac{\ell}{9} \rfloor \quad (18)$$

So:

$$1 - \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \geq 1 - \lfloor \frac{\ell}{9} \rfloor \quad (19)$$

According to the consensus rules defined in Section 4, we know that  $\ell_1 \geq 1$ . By plugging the maximal value of 100 into the previous equation, we can deduce:

$$1 - 100 \geq -99 \geq 1 - \lfloor \frac{\ell}{9} \rfloor \quad (20)$$

This allows us to simplify Eq. (17) to:

$$3_0 + 1 - \lfloor \frac{\ell}{9} \rfloor \cdot \lfloor \frac{3_0}{2048} \rfloor \leq 3_1 + \max \{ 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \} \quad (21)$$

By plugging in  $3_1$  according to the definition given in Eq. (1):

$$3_0 + 1 - \lfloor \frac{\ell}{9} \rfloor \cdot \lfloor \frac{3_0}{2048} \rfloor \leq 3_0 + \max \{ 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \} + \max \{ 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \} \quad (22)$$

Slightly rearranging, we get:

$$1 - \lfloor \frac{\ell}{9} \rfloor - \max \left( 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99, \lfloor \frac{3_0}{2048} \rfloor \right) \leq \max \left( 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \right) \quad (23)$$

By applying simple algebra:

$$\max \left( 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \right) \geq 1 - \lfloor \frac{\ell}{9} \rfloor - \max \left( 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \right) \quad (24)$$

We would like to isolate  $\lfloor \frac{\ell}{9} \rfloor$ :

$$\lfloor \frac{\ell}{9} \rfloor \geq 1 - \max \left( 1 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \right) - \max \left( 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \right) \quad (25)$$

Finally:

$$\lfloor \frac{\ell}{9} \rfloor \geq \min \left( \lfloor \frac{\ell_1}{9} \rfloor \cdot 100, \min \left( \lfloor \frac{\ell}{9} \rfloor - 1 \cdot 99, \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \right) \right) \quad (26)$$

In Example 3 we will show a specific setting in which the mining difficulties of  $1_1$  and  $1_0$  are equal.

**Example 3.** Let  $\ell_1 \in [9 \cdot 18)$  and  $\ell \in [9 \cdot 9)$ . According to Claims 1 to 3, an attacker can attempt to perform a RUM attack by mining  $1_1$  with a timestamp difference which satisfies  $\ell \in [1 \cdot 9)$ .

By plugging these values in Eq. (1), we get that the mining difficulties of  $1_1$  and  $1_0$  are equal:

$$\begin{aligned} 3_1 &= 3_0 + \left( 1 - \lfloor \frac{\ell_1}{9} \rfloor \right) \cdot \lfloor \frac{3_0}{2048} \rfloor \\ &= 3_0 + (1 - 1) \cdot \lfloor \frac{3_0}{2048} \rfloor \\ &= 3_0 + 0 \cdot \lfloor \frac{3_0}{2048} \rfloor \\ &= 3_0 \end{aligned} \quad (27)$$

Thus, the mining difficulties of  $1_1$  and  $1_0$  are equal too:

$$\begin{aligned} 3 &= 3_0 + \left( 1 - \lfloor \frac{\ell}{9} \rfloor \right) \cdot \lfloor \frac{3_0}{2048} \rfloor \\ &= 3_0 + (1 - 0) \cdot \lfloor \frac{3_0}{2048} \rfloor \\ &= 3_1 + (1 - 0) \cdot \lfloor \frac{3_1}{2048} \rfloor \\ &= 3_1 + \max \left( 1 - \lfloor \frac{\ell}{9} \rfloor \cdot 99, \lfloor \frac{3_1}{2048} \rfloor \right) \\ &= 3 \end{aligned} \quad (28)$$

This example proves the first part of Theorem 1, showing that a rational attacker can execute a RUM attack if  $\lfloor \frac{\ell}{9} \rfloor = 0 \cdot \lfloor \frac{\ell_1}{9} \rfloor = 1$ . The proof of the theorem is concluded using Claims 1 to 3.

**Theorem 1.** Let the current tip of the main-chain be block  $1_1$ . Denote its parent as  $1_0$ , the parent's difficulty as  $3_0$ , the timestamp difference between them as  $\ell_1$ , and the difference between the current time and  $1_1$ 's timestamp as  $\ell$ .

If the following conditions hold, then a rational attacker can execute a RUM attack:

$$\lfloor \frac{\ell}{9} \rfloor = 0 \cdot \lfloor \frac{\ell_1}{9} \rfloor = 1$$

Moreso, if  $3_0 \geq 2^{22}$ , these are the only values for which a RUM attack is possible.

PROOF. By combining Claims 1 to 3, we get:

$$\min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 + \min \lfloor \frac{\ell}{9} \rfloor - 1 \cdot 99 \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \leq \lfloor \frac{\ell}{9} \rfloor \checkmark \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \quad (29)$$

Note that when  $\lfloor \frac{\ell}{9} \rfloor \neq 0$ , we get  $\min \lfloor \frac{\ell}{9} \rfloor - 1 \cdot 99 \geq 0$ , meaning that:

$$\min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 + \min \lfloor \frac{\ell}{9} \rfloor - 1 \cdot 99 \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \geq \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \quad (30)$$

This means that no  $\ell$  exists which can satisfy Eq. (29). Therefore, a suitable  $\ell$  can only exist when  $\lfloor \frac{\ell}{9} \rfloor = 0$ , and thus  $\ell \leq 9$ . Assuming that this holds, we get:

$$\min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 - \frac{\lfloor \frac{3_1}{2048} \rfloor}{\lfloor \frac{3_0}{2048} \rfloor} \leq \lfloor \frac{\ell}{9} \rfloor \checkmark \min \lfloor \frac{\ell_1}{9} \rfloor \cdot 100 \quad (31)$$

In order for there to be an integer between the two bounds, the following must hold as well:

$$\lfloor \frac{3_1}{2048} \rfloor \geq \lfloor \frac{3_0}{2048} \rfloor \quad (32)$$

According to Eq. (1), this can only hold if:

$$\lfloor \frac{3_0 + \max \{1 + 0 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99 \cdot \lfloor \frac{3_0}{2048} \rfloor\}}{2048} \rfloor \geq \lfloor \frac{3_0}{2048} \rfloor \quad (33)$$

This equation holds when  $\lfloor \frac{\ell_1}{9} \rfloor \in \{0, 1\}$ .

We would now like to show that these conditions are necessary when  $3_0 \geq 2^{22} = 2048^2$ . If  $\lfloor \frac{\ell_1}{9} \rfloor \geq 2$  and  $3_0 \geq 2048^2$ , then we get:

$$\begin{aligned} \lfloor \frac{3_1}{2048} \rfloor &= \lfloor \frac{3_0 + \max \{1 + 0 - \lfloor \frac{\ell_1}{9} \rfloor \cdot 99 \cdot \lfloor \frac{3_0}{2048} \rfloor\}}{2048} \rfloor \\ &\leq \lfloor \frac{3_0 - \lfloor \frac{2048^2}{2048} \rfloor}{2048} \rfloor \\ &= \lfloor \frac{3_0 - 2048}{2048} \rfloor \\ &= \lfloor \frac{3_0}{2048} \rfloor - 1 \end{aligned} \quad (34)$$

Finally, a contradiction is reached when substituting the above into Eq. (32):

$$\lfloor \frac{3_0}{2048} \rfloor \leq \lfloor \frac{3_1}{2048} \rfloor \leq \lfloor \frac{3_0}{2048} \rfloor - 1 \quad (35)$$

As shown in Corollary 2, the attack is not possible when  $\lfloor \frac{\ell_1}{9} \rfloor = 0$ , meaning that attack is only possible when  $\lfloor \frac{\ell_1}{9} \rfloor = 1$ , as required.

## D.2 Absolute Profits of a Riskless Attack

Our analysis follows the notations laid in Section 5. Let  $l_1$  be the tip of the main chain with difficulty  $3_1$  and  $l_0$  be its parent with difficulty  $3_0$ . In addition, let  $\ell_1$  be the difference between  $l_1$  and  $l_0$ 's timestamps. Finally, define  $\mathcal{P}_{\ell \leq 9}$  to be the probability that a block is mined on top of  $l_0$  with time difference  $\ell \leq 9$  in 9 seconds with the entire compute-power of the network. Similarly, let  $\mathcal{P}_{9 \leq \ell \leq 18}$  to be the probability that a block is mined on top of  $l_0$  with time difference  $9 \leq \ell \leq 18$  in 9 seconds with the entire compute-power of the network.

If  $9 \leq \ell_1 \leq 18$ , then according to Ethereum's DAA, given in Eq. (1):  $3_1 = 3_0 - (1 - \frac{1}{2})^{\frac{\ell_1}{9}} \cdot \frac{3_0}{2048} = 3_0$ . Therefore, the probabilities  $\mathcal{P}_{\ell \leq 9} \cdot \mathcal{P}_{9 \leq \ell \leq 18}$  associated with mining on top of either  $l_0$  or  $l_1$  are identical, as shown in the proof of Theorem 1.

In the described case, the attacker tries to mine on top of  $l_0$ , setting its timestamp to be between 1 and 8 seconds later than  $l_0$ 's. In other words, if we define  $l$  to be the block currently mined by the attacker, and  $\ell$  to be the difference between  $l_0$ 's timestamp and  $l$ 's timestamp, then  $0 \leq \ell \leq 9$ . Computing the attacker's difficulty in the first 9 seconds of the attack we get:

$$3 = 3_0 + \max_{0 \leq \ell \leq 9} \left( 1 + 0 - \left\lfloor \frac{\ell}{9} \right\rfloor \cdot \frac{3_0}{2048} \right) = 3_0 + \left\lfloor \frac{3_0}{2048} \right\rfloor \quad (36)$$

On the other hand, mining honestly on top of  $l_1$  for the first 9 seconds after it was mined, i.e. with  $0 \leq \ell \leq 9$ , yields a difficulty of:

$$3 = 3_1 + \max_{0 \leq \ell \leq 9} \left( 1 + 0 - \left\lfloor \frac{\ell}{9} \right\rfloor \cdot \frac{3_1}{2048} \right) = 3_0 + \left\lfloor \frac{3_0}{2048} \right\rfloor \quad (37)$$

This means that the attacker mining on top of  $l_0$  and the honest network mining on top of  $l_1$ , mine with the same difficulty for the first 9 seconds. As shown above, this difficulty is exactly the difficulty of mining on top of  $l_0$  in the first 9 seconds. In terms of the probability  $\mathcal{P}_{\ell \leq 9}$ , the adversary's probability of successfully mining a block during the attack is  $\mathcal{P}_{\ell \leq 9} U$ .

Since the adversary's behaviour is identical in all cases but the 9 seconds in which it perform the attack, all of its rewards would be identical all of those cases. However, if the adversary manages to mine honestly on top of  $l_1$ , it would receive a single block reward  $r$  for its efforts. On the other hand, if its attack succeeds and it mines on top of  $l_0$  instead, it would receive a single block reward, and all honest nodes would mine on top of the adversary's block, possibly including  $l_1$  as an uncle.

This leads us to formulating a theorem, showing that the adversary can receive a larger share of the rewards, while not reducing the absolute amount rewards.

**Theorem 3.** *For any block  $l_0$ , an attacker can increase its expected absolute and relative rewards by using the RUM mining strategy instead of mining honestly.*

**PROOF.** Let  $w$  be the amount of ETH the adversary has before performing the attack and  $w_0$  be the amount of ETH the honest network has at that time. If the adversary acts honestly and manages to mine on top of  $l_1$  it receives  $r$  ETH and  $w_0$  ETH in fees, and the honest network receives  $r$  ETH and  $w_0$  ETH as well for mining  $l_1$ .

On the other hand, if the adversary performs the attack and manages to mine on top of  $l_0$  in fewer than 9 seconds, it receives  $r$  ETH as well as  $w_0$  ETH in fees, and the honest network receives at most  $\frac{7}{8}r$  ETH as a result of  $l_1$  being added as an uncle. Note that in both cases, the attacker has  $r + w_0$  ETH after successfully performing the attack. This means that with probability  $\mathcal{P}_{\ell \leq 9} U$ ,  $w$  can increase its share of the total ETH from  $\frac{w + r + w_0}{w + r + w_0 + 2r + 2w_0}$  to at least  $\frac{w + r + w_0}{w + r + w_0 + (1 + \frac{7}{8})r + w_0}$ . Since in all other cases, the attacker mines honestly, it receives the same rewards and has the same share of the total ETH in the network.

We can also formulate a similar theorem, describing the adversary's share and total number of main-chain blocks.

**Theorem 4.** *For any block  $1_0$ , the attacker mines the same number of main-chain blocks when performing the attack as it would mining honestly. Furthermore, the attacker mines a larger share of the number of main-chain blocks than it would mining honestly.*

PROOF. Using similar analysis, now define  $n_{att}$  to be the number of total main-chain blocks controlled by the adversary before performing the attack and  $n_{honest}$  to be the number of total main-chain blocks controlled by the honest network. If the attacker mines a block honestly on top of  $1_1$ , then its share of the total number of main-chain blocks would be  $\frac{n_{att}+1}{n_{att}+n_{honest}+2}$ . On the other hand, if the attacker performs the attack and mines successfully on top of  $1_0$  instead, it would increase its share of the total number of main-chain blocks to  $\frac{n_{att}+1}{n_{att}+n_{honest}+1}$ , because  $1_1$  would be relegated to an uncle instead of a main-chain block. This event takes place with probability  $\frac{1}{2} \frac{n_{att}}{n_{att}+n_{honest}+1}$ . In all other events, the attacker acts honestly and receives the same number and share of total main-chain blocks in the system.

A more formal analysis of the expected share of the rewards is provided in Appendix D.5 and an analysis of the expected share of main-chain blocks is provided in Appendix D.4.

### D.3 Markov Decision Process for the Riskless Uncle Maker Attack

Our next proofs rely on analyzing MDPs, thus we will first define what MDPs are.

*D.3.1 Markov Decision Processes.* Multi-agent stochastic processes in discrete time are commonly modeled in the blockchain literature using Markov decision processes [50, 59, 67, 102, 126, 132, 133]. We, too, will use this technique to analyze our attack.

A MDP can be defined using a tuple of four elements:

$$((S, A, P, R))$$

With these elements in turn defined as follows [94]:

- (1)  $S$  is the set of all possible world states.
- (2)  $A_B$  is the set of actions which can be taken in state  $B$ .
- (3)  $P(B'|B, O)$  is the probability of transitioning from state  $B \in S$  to  $B' \in S$  (given that the action  $O \in A_B$  was taken at state  $B \in S$ ).
- (4)  $R(B, O, B')$  is the reward earned by taking action  $O \in A_B$  in state  $B \in S$  (and transitioning to  $B'$ ).

In order to model a discrete-time random process which is *memoryless*, e.g. the next state  $B_{c+1}$  relies only on the current state  $B_c$  and current action  $O_c$ , one can define  $P$  like so:

$$P(B'|B, O) \stackrel{\text{def}}{=} P(B_{c+1} = B' | B_c = B, O_c = O)$$

This memoryless-ness is also known as the *Markov property*.

Finding a mapping between states and reward-maximizing actions for some specific MDP is commonly called *solving* the MDP. Although we will use MDPs throughout our work, solving them constitutes an academic field in itself and is not the main focus of our work. We would like to turn diligent readers wishing to deepen their knowledge on MDPs to classic texts such as [51, 94, 113].

*D.3.2 A Markov Decision Process for the Attack.* We now proceed to describe the MDP we will use to analyze the expected profits that a RUM attack can produce. A state-diagram of this MDP is provided in Fig. 15, and a tabular description is given in Table 2.

*D.3.3 State Space and Actions.* The MDP has two possible states:

- (1) *Normal.* In this state, the conditions for a RUM attack, as defined in Theorem 1, are not fulfilled. Thus, the attacker mines normally, e.g. using the honest protocol.
- (2) *Attack.* This state corresponds to a world-state at which the conditions for the RUM attack are present. In this state, the attacker mines according to the strategy specified in Section 5.

Table 2. The MDP for the theoretical analysis of our attack, in tabular form.

State	Transition	Destination	Probability	Blocks	
				Attacker	Honest
Normal	Attacker at any time	Normal	$U$	1	0
	Honest $\ell \checkmark 9$	Normal	$?_{\ell \checkmark 9} \cdot (1 - U)$	0	1
	Honest $\ell \geq 18$	Normal	$(1 - ?_{\ell \checkmark 9})(1 - ?_{9 \leq \ell \checkmark 18})(1 - U)$	0	1
	Honest $9 \leq \ell \checkmark 18$	Attack	$(1 - ?_{\ell \checkmark 9}) \cdot ?_{9 \leq \ell \checkmark 18} \cdot (1 - U)$	0	0
Attack	Attacker $\ell \checkmark 9$	Normal	$?_{\ell \checkmark 9} \cdot U$	1	0
	Attacker $\ell \geq 9$	Normal	$(1 - ?_{\ell \checkmark 9})U$	1	1
	Honest $\ell \checkmark 9$ or $18 \leq \ell$	Normal	$?_{\ell \checkmark 9} \cdot (1 - U) + (1 - ?_{\ell \checkmark 9})(1 - ?_{9 \leq \ell \checkmark 18})(1 - U)$	0	2
	Honest $9 \leq \ell \checkmark 18$	Attack	$(1 - ?_{\ell \checkmark 9}) \cdot ?_{9 \leq \ell \checkmark 18} \cdot (1 - U)$	0	1

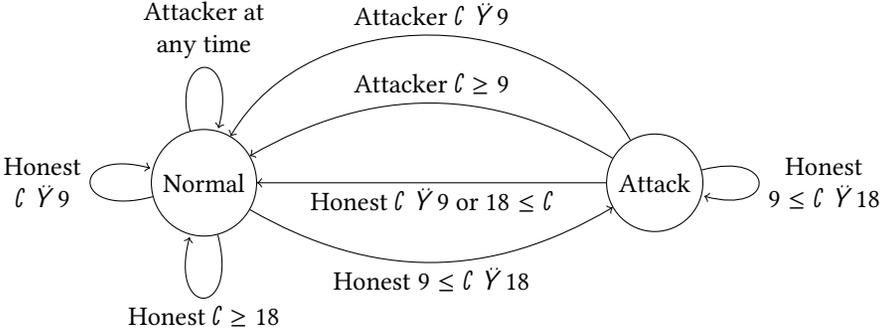


Fig. 15. The MDP for the theoretical analysis of our attack, as a state diagram.

*D.3.4 State Transitions.* Transitions from the *Normal* state to *Attack* occur when the conditions specified in Theorem 1 are present. Due to Remark 2, these conditions boil down to a single possibility: an attacker can execute the RUM attack if the tip of the blockchain was mined by the honest party, and has a timestamp difference  $\ell$  from the preceding block such that  $9 \leq \ell \checkmark 18$ . Thus, we will call this transition *Honest  $9 \leq \ell \checkmark 18$* .

If we denote by  $?_{\ell \checkmark 9}$  the probability that a block was mined in less than 9 seconds after its parent, and the probability that a block was mined between 9 (inclusive) and 18 seconds after its parent as  $?_{9 \leq \ell \checkmark 18}$ , then the probability of transitioning from the *Normal* state to the *Attack* state is equal to:

$$(1 - ?_{\ell \checkmark 9}) \cdot ?_{9 \leq \ell \checkmark 18} \cdot (1 - U) \quad (38)$$

Note that in all other cases, transitions exiting the *Normal* state will lead back to the *Normal* state:

- (1) If the honest miner succeeded in mining a new block before the attacker, and the block's timestamp difference is not between 9 and 18. We will call the two possible transitions *Honest  $\ell \checkmark 9$*  and *Honest  $\ell \geq 18$* .
- (2) If the attacker mined a new block before the honest miner. We will call this transition *Attacker at any time*.

We will now examine transitions that exit the *Attack* state by splitting them to the two possible cases:

*A. The attack succeeded.*

This can only happen if the attacker mines the attack block before the honest miner and in less than 9 seconds since starting the attack. We will call this transition *Attacker  $\ell \checkmark 9$* .

### B. The attack failed.

This case has multiple possibilities:

- (1) The honest miner succeeded in mining another block before the attacker successfully mined the attack block.

If this new block has a timestamp difference which is between 9 and 18, the attacker can execute a new attack. So, although the current attack has failed, we remain in the *Attack* state. We will call this case *Honest*  $9 \leq \ell < 18$ , similarly to the corresponding transition which exits the *Normal* state.

We are left with two other possibilities: either the new block's timestamp difference is lower than 9, or higher than 18, leading us to call this transition *Honest*  $\ell < 9$  or  $18 \leq \ell$ .

- (2) The attacker succeeded in mining a block before the honest miner, but after the attack's 9 second time window has ended.

**D.3.5 Transition Rewards.** In order to analyze the attack's effect on both the amount of main-chain blocks and rewards, we used almost-identical MDPs which differ solely by the transition rewards.

In one, the rewards for transitioning between states are the number of blocks which each actor has mined, while in the other the rewards are the block-rewards earned by miners. For brevity, we will only go over the former.

The rewards are relatively straightforward for all transitions that start from *Normal* and move to *Normal*, as both the attacker and honest miner mine honestly. For example, when the transition *Attacker at any time* occurs, the attacker mines a single block and thus receives a reward of 1, while the honest miner receives 0.

Note that in the sole transition from *Normal* to *Attack*, both miners receive a reward of 0 although the honest miner *did* mine a block. This is done because if the attack succeeds, this block will be replaced by an attacker block. Thus, we account for the honest miner's block only in transitions which correspond to the attack failing:

- (1) *Attacker*  $\ell \geq 9$ . In this transition, the attacker succeeded in mining a block after the attack's 9 second time window has ended, but did so before the honest miner had succeeded in mining an additional block.

Recall that our attack instructs the attacker to mine honestly after the attack's time window has ended, and thus the attacker's block was mined on top of the block it previously attempted to replace. So, we reward both the attacker and the honest miner with a single block.

- (2) *Honest*  $\ell < 9$  or  $18 \leq \ell$ . In both of these cases, the honest miner has succeeded in mining before the attacker, meaning that the attack has failed. Thus, the honest miner already accumulated two blocks which we have to account for, while the attacker did not mine even a single one.
- (3) *Honest*  $9 \leq \ell < 18$ . In this case, the honest miner mined an additional block before the attacker, and this block has a timestamp difference (relative to its ancestor) which allows the attacker to execute a new RUM attack. Thus, we remain in the *Attack* state, but reward the honest miner for its previous block.

## D.4 Expected Block Share

We will now show that the attacker's expected share of the blocks is larger than its fair share.

**Theorem 2.** *Let there be some block  $1_0$ . If the attacker uses the RUM mining strategy, its expected relative share of main-chain blocks will be larger than mining honestly, while the absolute number will remain the same.*

To prove this, we will solve the MDP.

**Claim 4.** *The stationary distribution is:*

$$\begin{aligned} \%(\text{CCO2:}) &= (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U) \\ \%(\#>A<0;) &= 1 - \%(\text{CCO2:}) \end{aligned}$$

PROOF. According to the MDP:

$$\%(\text{CCO2:}) = (\%(\text{CCO2:}) \cdot (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U)) + (\%(\#>A<0;) \cdot (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U)) \quad (39)$$

Using simple algebra:

$$\%(\text{CCO2:}) = (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U) \cdot (\%(\text{CCO2:}) + \%(\#>A<0;)) \quad (40)$$

As our only two state are *Attack* and *Normal*, we get:

$$\%(\text{CCO2:}) + \%(\#>A<0;) = 1 \quad (41)$$

By combining Eqs. (40) and (41):

$$\%(\text{CCO2:}) = (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U) \cdot 1 \quad (42)$$

Finally, using Eqs. (41) and (42):

$$\%(\#>A<0;) = 1 - \%(\text{CCO2:}) \quad (43)$$

And we're done.

We will use the stationary distribution to calculate the attacker's expected share of blocks.

**Claim 5.** *The attacker's expected number of blocks is:*

$$\text{CCO2: } 4A = U$$

PROOF. The attacker mines a single block in each of the following transitions:

- (1) Started at the *Normal* state, and the event *Attacker at any time* occurred.
- (2) Started at the *Attack* state, and any of the events *Attacker*  $\text{C}\check{Y}9$ , *Attacker*  $\text{C} \geq 9$  occurred.

Thus its expected number of main-chain blocks is:

$$\text{CCO2: } 4A = \%(\#>A<0;) \cdot U + \%(\text{CCO2:}) \cdot (?_{\text{C}\check{Y}9}U + (1 - ?_{\text{C}\check{Y}9})U) \quad (44)$$

Using algebra and substituting for the state probabilities we get:

$$\text{CCO2: } 4A = U \quad (45)$$

We will now do the same for the honest miner.

**Claim 6.** *The honest miner's expected number of blocks is:*

$$\geq 4B\text{C} = (1 - U) - (1 - ?_{\text{C}\check{Y}9})?_{9 \leq \text{C}\check{Y}18}(1 - U)(?_{\text{C}\check{Y}9}U)$$

PROOF. It mines two blocks when starting at the *Attack* state and the event *Honest*  $\text{C}\check{Y}9$  or  $18 \leq \text{C}$  occurred, and mines a single block at each of the following transitions:

- (1) When starting at the *Normal* state and either *Honest*  $\text{C}\check{Y}9$  or *Honest*  $\text{C} \geq 18$  occurred.
- (2) When starting at the *Attack* state and *Honest*  $9 \leq \text{C}\check{Y}18$  occurred.

After tallying up all events, we arrive at the following expected number of blocks:

$$\begin{aligned} \geq 4BC = & \% (\# > A < 0;) \cdot ?_C \check{Y}_9 (1 - U) + \% (\# > A < 0;) \cdot (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U) + \\ & \% (CCO2;) \cdot 2 (1 - U) (?_C \check{Y}_9 + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18})) + \\ & \% (CCO2;) ((1 - ?_C \check{Y}_9) U + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U)) \end{aligned} \quad (46)$$

We begin by plugging-in both state probabilities:

$$\begin{aligned} \geq 4BC = & ((1 - (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U)) \cdot (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U))) \\ & + (2(1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) \cdot (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U))) \\ & + ((1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} \cdot (1 - U) ((1 - ?_C \check{Y}_9) U + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U))) \end{aligned} \quad (47)$$

We proceed with simplifying the previous equation; the following is not for the faint of heart:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + ((1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) \cdot \\ & ((1 - ?_C \check{Y}_9) U + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U))) + ((1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) \cdot \\ & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U))) \end{aligned} \quad (48)$$

Using some algebra:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + \\ & (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) ((1 - ?_C \check{Y}_9) U + (1 - ?_C \check{Y}_9) (1 - U)) + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 (1 - U)) \end{aligned} \quad (49)$$

By grouping together equal terms, we get:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + \\ & (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) ((1 - ?_C \check{Y}_9) + ?_C \check{Y}_9 (1 - U)) \end{aligned} \quad (50)$$

We will now add and remove the term  $(1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U)$ , this will help later on:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) ((1 - ?_C \check{Y}_9) + ?_C \check{Y}_9 (1 - U)) + \\ & (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) - (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) \end{aligned} \quad (51)$$

Using the previously added term, we can simplify the equation to:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) ((1 - ?_C \check{Y}_9) + ?_C \check{Y}_9) - \\ & (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) \end{aligned} \quad (52)$$

Now, we will group together some terms:

$$\begin{aligned} \geq 4BC = & (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - ?_{9 \leq C} \check{Y}_{18}) (1 - U)) + (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) - \\ & (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) \end{aligned} \quad (53)$$

By grouping additional terms, we get:

$$\geq 4BC = (?_C \check{Y}_9 (1 - U) + (1 - ?_C \check{Y}_9) (1 - U)) - (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) \quad (54)$$

Finally:

$$\geq 4BC = (1 - U) - (1 - ?_C \check{Y}_9) ?_{9 \leq C} \check{Y}_{18} (1 - U) (?_C \check{Y}_9 U) \quad (55)$$

In order to prove Theorem 2, we will need to calculate the expected block number for each of the parties under the setting where there is not attack.

**Corollary 3.** *The only difference between our attack and the normal scenario is that in the latter the honest miner earns an additional block when starting at the Attack state and the event Attacker  $\ell \dot{Y} 9$  occurs.*

Recall that in our MDP we postponed counting an honest block when transitioning to the Attack state, thus whenever we encounter an event which returns us to the Normal state, we count an additional block towards the honest miner:

$$\geq 4BC\# > \text{CCO2:} = \% (\text{CCO2:}) \cdot ?_{\ell \dot{Y} 9} U + \geq 4BC \quad (56)$$

Indeed, when the above is substituted into the honest miner's share of the rewards, and when the difference between the honest and attack scenarios is taken care of, one can see that the standard fair share is obtained:

$$\frac{\text{CCO2: } 4A\# > \text{CCO2:}}{\text{CCO2: } 4A\# > \text{CCO2:} + \geq 4BC\# > \text{CCO2:}} = U \quad (57)$$

We will now prove Theorem 2.

**Theorem 2.** *Let there be some block  $1_0$ . If the attacker uses the RUM mining strategy, its expected relative share of main-chain blocks will be larger than mining honestly, while the absolute number will remain the same.*

PROOF. The fair share is defined as  $U$ , while in our attack the actual share is:

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \quad (58)$$

We're interested in the gains that the attack gives over the honest scenario. In order to find the improvement in main-chain block-share the attacker gains by adopting the RUM attack, we will calculate the ratio between its share when executing the attack and its share when mining honestly:

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \cdot \frac{\text{CCO2: } 4A\# > \text{CCO2:} + \geq 4BC\# > \text{CCO2:}}{\text{CCO2: } 4A\# > \text{CCO2:}} \quad (59)$$

By substituting the right multiplicand with the fair share, we get:

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \cdot \frac{1}{U} \quad (60)$$

Now, by using Claim 6:

$$\frac{U}{U + (1 - U) - (1 - ?_{\ell \dot{Y} 9}) ?_{9 \leq \ell \dot{Y} 18} (1 - U) (?_{\ell \dot{Y} 9} U)} \cdot \frac{1}{U} \quad (61)$$

We will now simplify this to:

$$\frac{1}{U + (1 - U) - (1 - ?_{\ell \dot{Y} 9}) ?_{9 \leq \ell \dot{Y} 18} (1 - U) (?_{\ell \dot{Y} 9} U)} \quad (62)$$

Slightly rearranging:

$$\frac{1}{1 - U ?_{\ell \dot{Y} 9} ?_{9 \leq \ell \dot{Y} 18} (1 - ?_{\ell \dot{Y} 9}) (1 - U)} \quad (63)$$

By definition,  $U \in (0 \cdot 1)$  and  $?_{\ell \dot{Y} 9} \cdot ?_{9 \leq \ell \dot{Y} 18} \in (0 \cdot 1)$ , thus:

$$U ?_{\ell \dot{Y} 9} ?_{9 \leq \ell \dot{Y} 18} (1 - ?_{\ell \dot{Y} 9}) (1 - U) \in (0 \cdot 1) \quad (64)$$

And similarly:

$$1 - U ?_{\ell \dot{Y} 9} ?_{9 \leq \ell \dot{Y} 18} (1 - ?_{\ell \dot{Y} 9}) (1 - U) \in (0 \cdot 1) \quad (65)$$

Finally:

$$\frac{\mathbb{P}(A) \cdot \frac{1}{U}}{\mathbb{P}(A) \cdot \frac{1}{U} + \mathbb{P}(B)} = \frac{1}{1 - U \cdot \mathbb{P}(C) \cdot \mathbb{P}(D) \cdot \mathbb{P}(E) \cdot \mathbb{P}(F) \cdot \mathbb{P}(G) \cdot \mathbb{P}(H) \cdot \mathbb{P}(I) \cdot \mathbb{P}(J)} \quad (66)$$

So, we can conclude that indeed the yields a larger share of main-chain blocks than mining honestly.

## D.5 Expected ETH Share

We will now show that the attacker's expected share of the ETH is larger than its fair share.

**Theorem 5.** *Let there be some block  $1_0$ . If the attacker uses RUM, its share of expected profits will be larger than mining honestly.*

To prove this, we will solve the MDP. First note that the MDP is identical, so as shown in Claim 4, the stationary distribution is:

$$\mathbb{P}(A) = (1 - \mathbb{P}(C) \cdot \mathbb{P}(D) \cdot \mathbb{P}(E) \cdot \mathbb{P}(F) \cdot \mathbb{P}(G) \cdot \mathbb{P}(H) \cdot \mathbb{P}(I) \cdot \mathbb{P}(J)) \cdot \mathbb{P}(A) \quad \mathbb{P}(B) = 1 - \mathbb{P}(A)$$

**Claim 7.** *The attacker's expected received ETH is:*

$$\mathbb{E}[A] = U \cdot (\mathbb{P}(A) + \mathbb{P}(B))$$

PROOF. The attacker mines a single block in each of the following transitions:

- (1) Started at the *Normal* state, and the event *Attacker at any time* occurred.
- (2) Started at the *Attack* state, and any of the events *Attacker  $\ell \leq 9$* , *Attacker  $\ell \geq 9$*  occurred.

In both cases it receives  $\mathbb{P}(A) + \mathbb{P}(B)$  ETH.

Thus its expected received ETH is:

$$\mathbb{E}[A] = \mathbb{P}(A) \cdot (\mathbb{P}(A) + \mathbb{P}(B)) + \mathbb{P}(B) \cdot (\mathbb{P}(C) \cdot \mathbb{P}(D) \cdot \mathbb{P}(E) \cdot \mathbb{P}(F) \cdot \mathbb{P}(G) \cdot \mathbb{P}(H) \cdot \mathbb{P}(I) \cdot \mathbb{P}(J) \cdot (\mathbb{P}(A) + \mathbb{P}(B))) \quad (67)$$

Using algebra and substituting for the state probabilities we get:

$$\mathbb{E}[A] = U \cdot (\mathbb{P}(A) + \mathbb{P}(B)) \quad (68)$$

We will now do the same for the honest miner. In this analysis we assume the best case for the honest miner, in which it is immediately added as an uncle, receiving  $\frac{7}{8}$  ETH as a reward, and no fees. This is the *worst* case for the attacker, as it decreases the attacker's share.

**Claim 8.** *The honest miner's expected received ETH is:*

$$\mathbb{E}[B] = (\mathbb{P}(A) + \mathbb{P}(B)) \cdot (1 - U) - \frac{1}{8} \cdot (1 - \mathbb{P}(C) \cdot \mathbb{P}(D) \cdot \mathbb{P}(E) \cdot \mathbb{P}(F) \cdot \mathbb{P}(G) \cdot \mathbb{P}(H) \cdot \mathbb{P}(I) \cdot \mathbb{P}(J)) \cdot U$$

PROOF. It mines two blocks when starting at the *Attack* state and the event *Honest  $\ell \leq 9$*  or  $18 \leq \ell$  occurred, and mines a single block at each of the following transitions:

- (1) When starting at the *Normal* state and either *Honest  $\ell \leq 9$*  or *Honest  $\ell \geq 18$*  occurred.
- (2) When starting at the *Attack* state and *Honest  $9 \leq \ell \leq 18$*  occurred.

In all of those cases, it receives  $\mathbb{P}(A) + \mathbb{P}(B)$  per mined block. On the other hand, in the event that the adversary succeeds in its attack, i.e. starting in the *Attack* state and *Attacker  $\ell \leq 9$*  has occurred, it receives at most  $\frac{7}{8}$  ETH.

After tallying up all events, we arrive at the following expected received ETH:

$$\begin{aligned} \geq 4BC = (\delta + \epsilon) \cdot \%(\# > A < 0;) \cdot ?_{C\check{Y}_9} (1 - U) + \%(\# > A < 0;) \cdot (1 - ?_{C\check{Y}_9}) (1 - ?_{9 \leq C\check{Y}_{18}}) (1 - U) + \\ \%(\text{CCO2:}) \cdot 2(1 - U) (?_{C\check{Y}_9} + (1 - ?_{C\check{Y}_9}) (1 - ?_{9 \leq C\check{Y}_{18}})) + \\ \%(\text{CCO2:}) ((1 - ?_{C\check{Y}_9}) U + (1 - ?_{C\check{Y}_9}) ?_{9 \leq C\check{Y}_{18}} (1 - U)) + \frac{7}{8}(\delta) \cdot \%(\text{CCO2:}) (?_{C\check{Y}_9} U) \end{aligned} \quad (69)$$

Notice that the terms multiplied by  $(\delta + \epsilon)$  are exactly the ones analyzed in Claim 6. Therefore, following the exact same calculation and plugging in the remaining  $\%(\text{CCO2:})$  term, we get:

$$\begin{aligned} \geq 4BC = (\delta + \epsilon) (1 - U) - (1 - ?_{C\check{Y}_9}) ?_{9 \leq C\check{Y}_{18}} (1 - U) (?_{C\check{Y}_9} U) + \\ \frac{7}{8}(\delta) ((1 - ?_{C\check{Y}_9}) ?_{9 \leq C\check{Y}_{18}} (1 - U) (?_{C\check{Y}_9} U)) \end{aligned} \quad (70)$$

Combining the terms we get:

$$\geq 4BC = (\delta + \epsilon) (1 - U) - \left(\frac{1}{8}\delta + \epsilon\right) (1 - ?_{C\check{Y}_9}) ?_{9 \leq C\check{Y}_{18}} (1 - U) (?_{C\check{Y}_9} U) \quad (71)$$

**Corollary 4.** *Similarly to Corollary 3, the only difference between our attack and the normal scenario is that in the latter the honest miner earns an additional  $\frac{1}{8}\delta$  for mining a main-chain block as well as in fees when starting at the Attack state and the event Attacker  $C\check{Y}_9$  occurs.*

*Recall that in our MDP we postponed counting an honest block when transitioning to the Attack state, thus whenever we encounter an event which returns us to the Normal state, we count an additional block towards the honest miner:*

$$\geq 4BC \# > \text{CCO2:} = \%(\text{CCO2:}) \cdot ?_{C\check{Y}_9} U \left(\frac{1}{8}\delta + \epsilon\right) + \geq 4BC \quad (72)$$

*Indeed, when the above is substituted into the honest miner's share of the rewards, and when the difference between the honest and attack scenarios is taken care of, one can see that the standard fair share is obtained:*

$$\frac{\text{CCO2: } 4A \# > \text{CCO2:}}{\text{CCO2: } 4A \# > \text{CCO2:} + \geq 4BC \# > \text{CCO2:}} = U \quad (73)$$

We will now prove the theorem.

PROOF. The fair share is defined as  $U$ , while in our attack the actual share is:

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \quad (74)$$

We're interested in the gains that the attack gives over the honest scenario. In order to find the improvement in main-chain block-share the attacker gains by adopting the RUM attack, we will calculate the ratio between its share when executing the attack and its share when mining honestly:

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \cdot \frac{\text{CCO2: } 4A \# > \text{CCO2:} + \geq 4BC \# > \text{CCO2:}}{\text{CCO2: } 4A \# > \text{CCO2:}} \quad (75)$$

$$\frac{\text{CCO2: } 4A}{\text{CCO2: } 4A + \geq 4BC} \cdot \frac{1}{U} \quad (76)$$

Using Claim 8, we first compute  $CCO2: 4A + \geq 4BC$ :

$$\begin{aligned} CCO2: 4A + \geq 4BC &= ( ' + )U + ( ' + )(1 - U) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U) \\ &= ( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U) \end{aligned} \quad (77)$$

Plugging that value into the previous equation we get:

$$\frac{U( ' + )}{( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)} \cdot \frac{1}{U} \quad (78)$$

We will now simplify this to:

$$\begin{aligned} &\frac{( ' + )}{( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)} \\ &= 1 + \frac{\left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)}{( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)} \end{aligned} \quad (79)$$

As noted previously,  $U \in (0 \cdot 1)$  and  $?_{C\check{Y}9} \cdot ?_{9 \leq C\check{Y}18} \in (0 \cdot 1)$ , so:

$$(1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U) \in (0 \cdot 1) \quad (80)$$

In addition,  $' \cdot j > 0$ , so the numerator in the above term is positive. Furthermore:

$$\frac{\left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)}{( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)} \cdot \frac{\check{Y} \frac{1}{8} ' +}{\check{Y} ' +} \quad (81)$$

So the denominator is positive as well. This means that:

$$2 = \frac{\left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)}{( ' + ) - \left(\frac{1}{8} ' + \right) (1 - ?_{C\check{Y}9})?_{9 \leq C\check{Y}18}(1 - U)(?_{C\check{Y}9}U)} \quad (82)$$

The following inequality holds:

$$\frac{CCO2: 4A}{CCO2: 4A + \geq 4BC} \cdot \frac{1}{U} = 1 + 2 \cdot j > 1 \quad (83)$$

So, we can conclude that indeed the attack is more profitable than mining honestly.

## E ADDITIONAL RELATED WORK

In this section we will go over some additional related papers which were not mentioned in Section 9.

*Increasing Mining Profits.* In our paper, we have presented an attack which allows Ethereum miners to increase their relative share of the profits beyond their actual relative share of the hash-power, in spite of Ethereum’s purported goal of giving miners rewards in a “fair” manner, e.g. according to their hash-rate.

Other works have attempted to do this, too. While not an attack, the *AsicBoost* mining technique allows faster Bitcoin mining using hardware optimizations tailored specifically for Bitcoin mining hardware [64]. Such hardware is also called an application specific integrated circuit (ASIC) [127]. *AsicBoost* increases mining profits in a riskless manner too, but it relies on special hardware to do so.

*Increasing the Block-rate.* In our work, we manipulate timestamps in order to increase mining difficulty and thus obtain blocks which always win ties. The opposite manipulation, modifying timestamps to *decrease* difficulty, is also known as the *Timewarp* attack, and has been suggested by [55] not as an attack, but as a possible method to increase Bitcoin’s block-rate without performing major protocol modifications. The lower difficulty precludes the possibility of using this attack to replace existing blocks and making a profit.

Similarly, the *Stretch & Squeeze* attack attempted to increase and decrease the block-rate in both Bitcoin and Ethereum, but without manipulating timestamps. This work has already been covered in Section 9.

*Other Attacks.* Some works have attempted to find evidence of other kinds of attacks, too. For example, block-withholding attacks which are performed by mining pool members, against the mining pool itself [77, 99]. This entails sharing valid mining shares which do not pass the block validity threshold and withholding shares that do. This attack reduces the attacked pool’s profits while still maintaining the attacker’s profits for the shares that were revealed. Such attacks have been seen in the wild in Bitcoin [21].

Our work has focused on attacking Ethereum’s underlying PoW layer. Notably, miners have at their disposal other means to either attack the consensus mechanism or earn excessive profits.

For example, [128] provides a fuzzing framework that can create valid Ethereum transactions which break the consensus in various ways, for example by causing targeted miners to fork the block-DAG.

A strand of works have formulated exploits which are broadly termed miner-extractable value (MEV) exploits. These allow miners to profit by manipulating the application layer, e.g. the smart-contracts running on top of Ethereum’s blockchain [17]. Malicious transaction-ordering, front-running and back-running transactions are examples of such attacks, and have been observed in Ethereum [22, 87, 93, 95, 96]. Such exploits are outside the scope of our paper.

*Attacks on Smaller Cryptocurrencies.* PoW-consensus was designed to prevent *Double Spending* attacks from being performed by an attacker controlling a majoring of the hash-power active on the network. Such attacks broadly follow this recipe: an attacker broadcasts a transaction in return for some good (e.g. the transaction was used by the attacker to buy coffee), while mining a secret fork of the blockchain, starting from the last block which did not include the transmitted transaction. Then, after receiving goods for which the transaction paid, the attacker reveals the secret fork, if it indeed contains enough work to be considered as the main-chain [89, 111].

For example, in Bitcoin the rule-of-thumb is that one should wait until a transaction is at least 6 blocks deep before accepting the transaction, as classic analysis shows that at such depth it is improbable for an attacker with less than 50% of the hash-rate to succeed in forking the chain at a block which is an ancestor of the block that included the transaction.

As can be seen by this attack, the security of cryptocurrencies heavily depends on the amount of honest hash-rate actively mining them, and cryptocurrencies with less active hash-power can be more easily attacked.

Ethereum Classic is a considerably less popular fork of Ethereum, both according to the total active hash-power and when considering economic metrics such as the exchange-rate between the two and the number of transactions [71]. As the two cryptocurrencies share the same consensus mechanism and rely on the same hash-function, even small Ethereum miners can use their hash-power to perform a majority attack on Ethereum Classic, and [63] covers a suspected case of such an attack.

## F REPRODUCIBILITY

All code and data used in this paper are available in the following Google Drive link:

<https://drive.google.com/drive/folders/12MupjY-DRWMDDQ4X6RwK01v-HWYORAKT>

To maintain anonymity, the account in which these files are stored was opened under the pseudonym *Uncle Maker*.

In order for our work to be fully reproducible, we have packaged our code as a standalone Python package which obtains all required data from a full Ethereum node, and then produces all the figures used in the paper.

As extracting and processing all this data requires considerable time and resources, the aforementioned link contains compressed copies of the processed data.

### F.1 Data

All the data used in our paper is included in the `./data/` folder, available in the previous Google Drive link. Almost all of this data can be obtained by running the code we provide in Appendix F.8 on a *full* Ethereum node; such nodes retain all main-chain blocks, starting from the genesis [40]. In addition, we have made our data extraction code available as an open-source python library [125]. This library communicates with an Ethereum node, such as `geth`, using the standard Ethereum RPC interface.

The only data which was not obtained using this method is *miners.csv*, which contains a list of mining pool addresses and the name of the mining pool they are associated with. This was obtained from [44], and is not inherent to our work (besides giving us the possibility to point fingers at F2Pool and other misbehaving miners).

### F.2 Alternative Sources of Data

Although Ethereum main-chain data is widely available, it is not necessarily easily accessible, with a full synchronization of a performance-oriented client such as Erigon requiring at least 3 days and a solid state drive (SSD) with 3TB of free space [40]. To that end, we would like to suggest multiple alternative data sources:

*Free-Access Nodes.* `archivenode.io` provides free access to an Ethereum archive node, but requires applying for the service, with applications going through a review process. `infura.io` provides limited free access which requires registration too.

*Block Distribution Times and Timestamps.* Block distribution times and timestamps are available on [6, 10, 48]. These sources affirm works such as [57, 72], which claim that the latency between miners is extremely small. Specifically, [72], the more recent one, gathered data which showed that 85% of blocks propagate in less than 100 milliseconds.

*Transaction Fees.* Fees are available on [10, 45–47]. Etherscan’s daily transaction fees were saved in *transaction\_fees.csv*, and the number of blocks mined per day in *block\_count\_rewards.csv*. Both can be used to assess the average amount of transaction fees earned per-block.

### F.3 Running Our Code

We will now go over the installation and usage instructions for the code we used when writing this paper, and the hardware which we used to run it.

*Software.* All the code used for the paper is contained in the `./code/` folder, and can be executed in the following manner:

- (1) Download and install Python 3.9.12.
- (2) Open a command-line shell, and change the current directory to this paper’s `code` directory.
- (3) Our code requires *Python 3.9.12* [117], *matplotlib 3.5.2*, *numpy 1.22.4* [65], *scipy 1.8.1* [118], *pandas 1.4.2* [85] and *sagemath 9.6* [115]. To install all prerequisites, run:
 

```
python setup.py install
```
- (4) Given a full Ethereum node can be accessed using the uniform resource locator (URL) `<FullEthereumNodeURL>`, the code can be executed following command:
 

```
python main.py <FullEthereumNodeURL>
```

*Hardware.* All graphs used in the paper were generated using the aforementioned code on a laptop equipped with an *Intel Core i7-11370H* central processing unit (CPU) and *64GB* of random-access memory (RAM), running *Windows 11*.

### F.4 Go-Ethereum Patch

Go-Ethereum, also called *geth*, is the most popular Ethereum client in use today [38, 40, 43, 73].

We will now describe how to modify the current time for a *geth* instance running in a Docker container [25]. This allows miners to mine blocks with timestamps which are not taken from their system’s clock. Surprisingly, this was not an easy task.

Modifying the local clock for a UNIX-like operating system can usually be achieved using the `date` command. Unfortunately, this approach changes the local time for all Docker containers, even if they use different images.

Luckily, there are two software packages, *libfaketime* and *datefudge* which allow setting different local times for each Docker instance. But, this approach does not work with Go’s `time.Now()` function, because Go is a statically-linked language, and these packages rely on changing dynamic links at runtime. This is in spite of some discussions in the Ethereum community, which hint that miners did use *libfaketime* in the past, specifically a user called Cody Burns (with username `@realcodywburns`) posted on September 17th, 2017 at 19:30 [41]: *The dirty secret in mining is that most use libfaketime to avoid uncles. Miners are allowed to report their own block time, and so long as it is within reasonable tolerance.*

Thus, we attempted using various Go packages which allow replacing Go functions by “monkey-patching” these functions, and replacing their bodies with calls to the functions which replace them. This, too, has failed, as currently-available monkey-patching methods in Go are not thread-safe, leading to runtime errors.

Finally, we modified Go’s standard library, specifically the `time.go` file. Additionally, we opted to use *libfaketime* just in case. We provide a *Dockerfile* that performs all these modifications automatically.

In order to install our patch, follow these instructions:

- (1) Download, install and run Docker [11]. Detailed instructions are provided on their web-site [25].
- (2) In some path *<path>*, create a file called *Dockerfile*. The file's contents should be identical to our supplied Dockerfile.
- (3) Open a command-line shell, and change the current directory to *<path>*.
- (4) Run the following command to create a Docker image which holds a version of geth which was patched to execute the attack:  

```
docker build -t unclemaker/geth .
```
- (5) Use the following command to run the patched version of geth:  

```
run --rm -it unclemaker/geth
```

## F.5 Ethereum's Documentation and Code

Ethereum has changed considerably since its inception, as evident by the Ethereum improvement proposals (EIPs) which have been approved over its lifetime [37], with some changes in its DAA [14].

Specifically, Ethereum's white paper hasn't been updated with some of these changes, with Ethereum's official documentation advising users to follow their yellow paper instead [15, 124]. Additionally, it is well known that sometimes, the actual implementation of cryptocurrencies might differ from the protocol specifications given in their documentations.

In the context of our paper, we have found no such discrepancies. Still, throughout this paper we referred to both the yellow paper and geth's source code, wherever relevant. In both cases, we used permanent links to the most recent versions at the time of writing to make sure that even if changes are made after the publication of this paper, our links will still point to the versions which our paper relied on.

## GETH PATCHES

### F.6 Geth Patch to Execute the Preemptive Uncle Maker Attack

```

1 # To build this docker image:
2 #   - Do: install docker, see: https://www.docker.com/get-started/
3 #   - Do: open a terminal
4 #   - Do: change the current directory to the directory of this Dockerfile
5 #   - Run: docker build -t unclemaker/geth .
6 # Now, you can run it like so:
7 #   - Run: docker run --rm -it unclemaker/geth
8
9 # Support setting various labels on the final image
10 ARG COMMIT=
11 ARG VERSION=
12 ARG BUILDNUM=
13
14 # Build Geth in a stock Go builder container
15 FROM golang:1.18-alpine as builder
16
17 # Install some prerequisites
18 RUN apk add --no-cache gcc musl-dev linux-headers git
19
20 # Start: libfaketime
```

```

21 RUN apk add --no-cache make
22 RUN git clone https://github.com/wolfcw/libfaketime.git /libfaketime
23 RUN cd /libfaketime && make
24 # End
25 # Start: modifying Golang's time library
26 RUN sed -i s/sec += unixToInternal - minWall/sec += -1 + unixToInternal -
    ↪ minWall/g /usr/local/go/src/time/time.go
27 RUN go clean --cache
28 # End
29
30 # Start: geth
31 RUN git clone https://github.com/ethereum/go-ethereum.git /go-ethereum
32 RUN cd /go-ethereum && go run build/ci.go install ./cmd/geth
33 # End
34
35 # Pull Geth into a second stage deploy alpine container
36 FROM alpine:latest
37
38 RUN apk add --no-cache ca-certificates
39 COPY --from=builder /go-ethereum/build/bin/geth /usr/local/bin/
40
41 # Start: libfaketime
42 # The FAKETIME parameter sets the time delta: FAKETIME= -1
43 # The FAKETIME_DONT_RESET parameter makes sure time will increment for new
44 # processes, instead of each new process reverting back to the originally
45 # set time (see example 4c in wolfcw/libfaketime for more info).
46 # The LD_PRELOAD parameter sets the location of the library.
47 ENV FAKETIME= -1
48 ENV FAKETIME_DONT_RESET=1
49 ENV LD_PRELOAD=/usr/local/lib/libfaketime.so.1
50 COPY --from=builder /libfaketime/src/libfaketime.so.1 /usr/local/lib
51 # End
52
53 # Start: geth
54 EXPOSE 8545 8546 30303 30303/udp
55 ENTRYPOINT [ geth ]
56 # End
57
58 # Add some metadata labels to help programatic image consumption
59 ARG COMMIT=
60 ARG VERSION=
61 ARG BUILDNUM=
62
63 LABEL commit= $COMMIT version= $VERSION buildnum= $BUILDNUM

```

## F.7 Geth Patch to Mitigate Uncle Maker Attacks

```

1 # To build this docker image:
2 #   - Do: install docker, see: https://www.docker.com/get-started/
3 #   - Do: open a terminal
4 #   - Do: change the current directory to the directory of this Dockerfile
5 #   - Run: docker build -t unclemaker/geth .
6 # Now, you can run it like so:
7 #   - Run: docker run --rm -it unclemaker/geth
8
9 # Support setting various labels on the final image
10 ARG COMMIT=
11 ARG VERSION=
12 ARG BUILDNUM=
13
14 # Build Geth in a stock Go builder container
15 FROM golang:1.18-alpine as builder
16
17 # Install some prerequisites
18 RUN apk add --no-cache gcc musl-dev linux-headers git
19 RUN apk add sd
20   → --repository=http://dl-cdn.alpinelinux.org/alpine/edge/testing/
21
22 # Start: geth
23 RUN git clone https://github.com/ethereum/go-ethereum.git /go-ethereum
24 # The following line fixes the 3 cases
25 RUN sd reorg := externTd.Cmp(localTD) > 0   if header.UncleHash ==
26   → types.EmptyUncleHash && header.ParentHash == current.ParentHash &&
27   → header.Time <= time.Now().Unix()-1 {\nreturn false, nil\n}\nreorg :=
28   → externTd.Cmp(localTD) > 0 /go-ethereum/core/forkchoice.go
29
30 # The following line fixes the min. diff issue
31 RUN sd MinimumDifficulty = big.NewInt(131072) MinimumDifficulty =
32   → big.NewInt(4194304) /go-ethereum/params/protocol_params.go
33 RUN cd /go-ethereum && go run build/ci.go install ./cmd/geth
34 # End
35
36 # Pull Geth into a second stage deploy alpine container
37 FROM alpine:latest
38
39 RUN apk add --no-cache ca-certificates
40 COPY --from=builder /go-ethereum/build/bin/geth /usr/local/bin/
41
42 # Start: geth
43 EXPOSE 8545 8546 30303 30303/udp
44 ENTRYPOINT [ geth ]
45 # End
46
47 # Add some metadata labels to help programatic image consumption

```

```

42 ARG COMMIT=
43 ARG VERSION=
44 ARG BUILDNUM=
45
46 LABEL commit= $COMMIT version= $VERSION buildnum= $BUILDNUM

```

## DATA EXTRACTION AND GRAPHS

### F.8 Code Requirements

```

1  argon2-cffi==21.3.0
2  argon2-cffi-bindings==21.2.0
3  asttokens==2.0.5
4  attrs==21.4.0
5  backcall==0.2.0
6  beautifulsoup4==4.11.1
7  bleach==5.0.0
8  certifi==2022.5.18.1
9  cffi==1.15.0
10 charset-normalizer==2.0.12
11 colorama==0.4.4
12 cyclert==0.11.0
13 debugpy==1.6.0
14 decorator==5.1.1
15 defusedxml==0.7.1
16 entrypoints==0.4
17 executing==0.8.3
18 fastjsonschema==2.15.3
19 fonttools==4.33.3
20 idna==3.3
21 ipykernel==6.13.1
22 ipython==8.4.0
23 ipython-genutils==0.2.0
24 ipywidgets==7.7.0
25 jedi==0.18.1
26 Jinja2==3.1.2
27 jsonschema==4.6.0
28 jupyter==1.0.0
29 jupyter-client==7.3.4
30 jupyter-console==6.4.3
31 jupyter-core==4.10.0
32 jupyterlab-pygments==0.2.2
33 jupyterlab-widgets==1.1.0
34 kiwisolver==1.4.2
35 MarkupSafe==2.1.1
36 matplotlib==3.5.2
37 matplotlib-inline==0.1.3
38 mistune==0.8.4
39 mpmath==1.2.1

```

```
40 nbclient==0.6.4
41 nbconvert==6.5.0
42 nbformat==5.4.0
43 nest-asyncio==1.5.5
44 notebook==6.4.12
45 numpy==1.22.4
46 packaging==21.3
47 pandas==1.4.2
48 pandocfilters==1.5.0
49 parso==0.8.3
50 pickleshare==0.7.5
51 Pillow==9.1.1
52 prometheus-client==0.14.1
53 prompt-toolkit==3.0.29
54 psutil==5.9.1
55 pure-eval==0.2.2
56 pycparser==2.21
57 Pygments==2.12.0
58 pyparsing==3.0.9
59 pyrsistent==0.18.1
60 python-dateutil==2.8.2
61 pytz==2022.1
62 pywin32==304
63 pywinpty==2.0.5
64 pyzmq==23.1.0
65 qtconsole==5.3.1
66 QtPy==2.1.0
67 requests==2.27.1
68 scipy==1.8.1
69 seaborn==0.11.2
70 Send2Trash==1.8.0
71 six==1.16.0
72 soupsieve==2.3.2.post1
73 stack-data==0.2.0
74 sympy==1.10.1
75 terminado==0.15.0
76 tinycss2==1.1.1
77 tornado==6.1
78 traitlets==5.2.2.post1
79 urllib3==1.26.9
80 wcwidth==0.2.5
81 webencodings==0.5.1
82 widgetsnbextension==3.6.0
```

## F.9 setup.py

```
1 from setuptools import setup
2
3
```

```

4  def readme():
5      with open( README.md ) as f:
6          return f.read()
7
8
9  with open( requirements.txt ) as f:
10     requirements = f.read().splitlines()
11
12 setup(
13     name= unclemaker ,
14     version= 0.0.1 ,
15     description= All code used in the UncleMaker paper. ,
16     url= https://github.com/UncleMaker/UncleMaker ,
17     author= Uncle Maker Authors ,
18     packages=[ unclemaker ],
19     long_description=readme(),
20     python_requires= >=3.9 ,
21     install_requires=requirements,
22 )

```

#### F.10 main.py

```

1  The main file for the Uncle Maker paper.
2
3  import sys
4  import obtain_data
5  import paper_stuff
6  import generate_graphs
7
8  if __name__ == '__main__':
9      arguments = sys.argv[1:]
10     if len(arguments) != 1:
11         print( Usage: python main.py <FullEthereumNodeURL> )
12         exit()
13
14     mainchain_bodies, uncl_bodies = obtain_data.request_from_node(
15         sys.argv[1:].pop(), 15226042
16     )
17     mainchain_bodies_df, uncl_bodies_df = obtain_data.process_data(
18         mainchain_bodies, uncl_bodies, miners.csv
19     )
20     obtain_data.save(mainchain_bodies_df, uncl_bodies_df)
21
22     paper_stuff.find_f2pool_uncle_makers(mainchain_bodies_df,
23     ↪ uncl_bodies_df)
23     paper_stuff.verify_mdp()
24     generate_graphs.generate()

```

**F.11 obtain\_data.py**

```

1  import pandas as pd
2  import requests
3  import json
4  from typing import Union
5
6  MainchainBlocks = dict[int, dict[str, Union[int, str]]]
7  UncleBlocks = dict[str, dict[str, dict[str, Union[int, str]]]]
8
9
10 def request_from_node(url: str, start_from: int) -> tuple[MainchainBlocks,
    ↳ UncleBlocks]:
11     Obtains relevant data from the given full Ethereum node.
12
13     :param url: the full node's URL.
14     :type url: str
15     :param start_from: the block to start obtaining data from.
16     :type start_from: int
17     :return: the timestamps and miners of main and uncle blocks.
18     :rtype: tuple[dict[int, dict[str, Union[int, str]]], dict[str, dict[str,
    ↳ dict[str, Union[int, str]]]]
19
20     mainchain_bodies: MainchainBlocks = {}
21     uncle_bodies: UncleBlocks = {}
22     session = requests.Session()
23     headers = { 'Content-type': 'application/json' }
24
25     # Create multiple batch requests to get the relevant blockchain data
26     batch_size: int = 7 * 6466 # Week's worth of blocks
27     batches: int = 4 * 12 * 7 # Get the last seven years' worth of data
28     for i in range(batches):
29         print(start_from, int(100 * i / batches))
30         if start_from <= 0:
31             break
32         uncle_count = {}
33         response = session.post(
34             url,
35             headers=headers,
36             data=json.dumps(
37                 [
38                     {
39                         'jsonrpc': '2.0',
40                         'method': 'eth_getBlockByNumber',
41                         'params': [hex(idx), False],
42                         'id': idx,
43                     }
44                 ]
45             )
46         )
47         for idx in range(

```

```

45         max(start_from - batch_size, 0), max(start_from, 0)
46     )
47     ]
48     ),
49 )
50 for cur_block in response.json():
51     # To save space, only keep timestamps, miner addresses, and uncles
52     mainchain_bodies[int(cur_block[ result ][ number ], 16)] = {
53         timestamp : int(cur_block[ result ][ timestamp ], 16),
54         miner : cur_block[ result ][ miner ],
55         uncles : cur_block[ result ][ uncles ],
56     }
57     if cur_block[ result ][ uncles ] != []:
58         uncles_count[cur_block[ id ]] =
59             → len(cur_block[ result ][ uncles ])
60
61 # Get uncles, if count > 0
62 if len(uncles_count) == 0:
63     continue
64 response = session.post(
65     url,
66     headers=headers,
67     data=json.dumps(
68         [
69             {
70                 jsonrpc : 2.0 ,
71                 method : eth_getUncleByBlockNumberAndIndex ,
72                 params : [hex(block_num), hex(idx)],
73                 id : block_num,
74             }
75             for block_num, count in uncles_count.items()
76             for idx in range(0, count)
77         ]
78     ),
79 )
80 for cur_block in response.json():
81     cur_num = int(cur_block[ result ][ number ], 16)
82     uncles_bodies[cur_block[ result ][ hash ]] = {
83         number : cur_num,
84         timestamp : int(cur_block[ result ][ timestamp ], 16),
85         miner : cur_block[ result ][ miner ],
86     }
87
88 start_from -= batch_size
89 return mainchain_bodies, uncles_bodies
90

```

```

91 def process_data(
92     mainchain_blocks: MainchainBlocks, uncle_blocks: UncleBlocks,
93     ↪ miner_names_file: str
94 ):
95     Processes the inputs and converts them to pandas DataFrames.
96     :return: the processed DataFrames.
97
98     # This assumes that all files should be read from and saved to ../data/
99     # Load data
100    miner_names = {
101        row[ address ]: row[ name ]
102        for _, row in pd.read_csv(f ../data/{miner_names_file} ).iterrows()
103    }
104
105    # Convert to pandas DFs, sort by timestamps for ease-of-use
106    mainchain_blocks_df = pd.DataFrame.from_dict(
107        mainchain_blocks, orient= index , columns=[ timestamp , miner ,
108            ↪ uncles ]
109    ).sort_index()
110    uncle_blocks_df = pd.DataFrame.from_dict(
111        uncle_blocks, orient= index , columns=[ number , timestamp , miner ]
112    ).sort_values([ number , timestamp ])
113
114    # Associate blocks with siblings
115    uncle_count = uncle_blocks_df. value_counts( number )
116    mainchain_blocks_df[ sibling_number ] = mainchain_blocks_df. apply(
117        lambda row: uncle_count.get(row.name, 0), axis=1
118    )
119
120    # Associate blocks with miners and time differences
121    mainchain_blocks_df[ miner_name ] = mainchain_blocks_df[ miner ]. apply(
122        lambda key: miner_names.get(key, key[:4] + ... + key[-2: ])
123    )
124    uncle_blocks_df[ miner_name ] = uncle_blocks_df[ miner ]. apply(
125        lambda key: miner_names.get(key, key[:4] + ... + key[-2: ])
126    )
127    mainchain_blocks_df[ timedi ff ] = mainchain_blocks_df[
128        timestamp
129    ] - mainchain_blocks_df[ timestamp ]. shift(1)
130    uncle_blocks_df[ timedi ff_sibling ] = uncle_blocks_df. apply(
131        lambda row: row[ timestamp ]
132        - mainchain_blocks_df[ timestamp ]. loc[row[ number ]],
133        axis=1,
134    )
135    uncle_blocks_df[ timedi ff_parent ] = uncle_blocks_df. apply(
136        lambda row: row[ timestamp ]

```

```

136         - mai_nchai_n_bodies_df[ timestamp ].iloc[row[ number ] - 1],
137         axis=1,
138     )
139
140     return mai_nchai_n_bodies_df, uncl_e_bodies_df
141
142
143 def save(mai_nchai_n_bodies_df, uncl_e_bodies_df) -> None:
144     Saves the inputs to ../data/ .
145
146     mai_nchai_n_bodies_df.to_pickle(
147         f '../data/mai_nchai_n_{mai_nchai_n_bodies_df.index[0]}_{mai_nchai_n_bodies_
148         ↪ _df.index[-1]}.pickle',
149         compression= 'bz2',
150     )
151     uncl_e_bodies_df.to_pickle(
152         f '../data/uncl_e_{uncl_e_bodies_df.iloc[0][ number ]}_{uncl_e_bodies_df_
153         ↪ .iloc[-1][ number ]}.pickle',
154         compression= 'bz2',
155     )

```

## F.12 generate\_graphs.py

```

1 import matplotlib.ticker as mtick
2 import matplotlib.dates as mdates
3 import matplotlib.pyplot as plt
4 import seaborn as sns
5 import pandas as pd
6 import numpy as np
7
8
9 def generate():
10     # Avoid type 3 fonts in pdf figures
11     plt.rcParams[ pdf.fonttype ] = 42
12     plt.rcParams[ ps.fonttype ] = 42
13
14     # Seaborn styling
15     plt.style.use( 'seaborn-deep' )
16     sns.set_style( 'whitegrid' )
17     palette = 'hls'
18
19     # Load data
20     mai_nchai_n_bodies_df = pd.read_pickle(
21         '../data/mai_nchai_n_0_14816570.pickle', compression= 'bz2'
22     )
23     uncl_e_bodies_df = pd.read_pickle(
24         '../data/uncl_e_1_14816569.pickle', compression= 'bz2'
25     )

```

```

26
27 # Limit the blocks we re looking at
28 start_block: int = 12 * (10 ** 6)
29 timedi ff_limi t = 18
30
31 selected_blocks = mainchain_bodies_df[
32     (mainchain_bodies_df.index >= start_block)
33     & (mainchain_bodies_df[ timedi ff ] <= timedi ff_limi t)
34 ]
35 selected_uncles = uncles_bodies_df[uncles_bodies_df[ number ] >=
    → start_block]
36
37 # Calculate timestamp differences
38 # Note: the genesis block and its children distort everything because the
39 # genesis has a timestamp of 0, so better to start afterwards
40 print(
41     f All data is since block {start_block}. \n ,
42     Mean and median timestamp di ffs between mainchain blocks and
    → parents: ,
43     np.mean(mainchain_bodies_df[start_block:][ timedi ff ]),
44     np.medi an(mainchain_bodies_df[start_block:][ timedi ff ]),
45     \n ,
46     Mean and median di ffs between uncles and parents: ,
47     np.mean(selected_uncles[ timedi ff_parent ]),
48     np.medi an(selected_uncles[ timedi ff_parent ]),
49     \n ,
50     Mean and median di ffs between uncles and siblings: ,
51     np.mean(selected_uncles[ timedi ff_sibli ng ]),
52     np.medi an(selected_uncles[ timedi ff_sibli ng ]),
53 )
54
55 # Associate timestamp differences with miners
56 counts = pd.DataFrame(
57     data=0,
58     columns=range(1, timedi ff_limi t + 1),
59     index=set(selected_blocks[ mi ner_name ]),
60 )
61 for (miner, tdi ff), val in selected_blocks.value_counts(
62     [ mi ner_name , timedi ff ]
63 ).iteri tems():
64     counts.loc[mi ner][tdi ff] = val
65 counts = counts.i loc[counts.sum(axes=1).argsort()[:-1]] # Sort by total
    → blocks
66 top4 = counts[:4]
67
68 # Plot a histogram of blocktimes for all miners
69 all_miners = counts.sum(axes=0)

```

```

70 p = sns.barplot(
71     x=all_miners.index, y=all_miners, color=sns.color_palette(palette,
72     ↪ 100)[62],
73 )
74 p.set_xlabel( Timestamp difference from parent, in seconds )
75 p.set_ylabel( Number of blocks )
76 plt.savefig(
77     ../images/timestampDiffAllMiners.pdf , bbox_inches= tight ,
78     ↪ pad_inches=0
79 )
80 plt.show()
81 plt.close()
82
83 # Associate uncle timestamp differences with miners
84 uncle_counts = pd.DataFrame(
85     data=0,
86     columns=range(1, timedi ff_limit + 1),
87     index=set(selected_uncl es[ miner_name ]),
88 )
89 for (miner, tdi ff), val in selected_uncl es.value_counts(
90     [ miner_name , timedi ff_parent ]
91 ).iteritems():
92     uncle_counts.loc[miner][tdi ff] = val
93 uncle_counts = uncle_counts.i loc[
94     uncle_counts.sum(axes=1).argsort()[::-1]
95 ] # Sort by total blocks
96 uncle_top4 = uncle_counts[:4]
97
98 # Plot a histogram of uncl etimes for all miners
99 all_miners = uncle_counts.sum(axes=0)
100 p = sns.barplot(
101     x=all_miners.index, y=all_miners, color=sns.color_palette(palette,
102     ↪ 100)[62],
103 )
104 p.set_xlabel( Timestamp difference from parent, in seconds )
105 p.set_ylabel( Number of uncles )
106 plt.savefig(
107     ../images/timestampDiffAllMinersUncles.pdf , bbox_inches= tight ,
108     ↪ pad_inches=0
109 )
110 plt.show()
111 plt.close()
112
113 # Plot a histogram of blocktimes per miner, for the top 5 miners
114 p = sns.barplot(
115     x= TimestampDi ff ,
116     y= value ,

```

```

113     hue= index ,
114     palette=palette,
115     data=top4.reset_index().melt(id_vars= index ,
    ↪   var_name= TimestampDiff ),
116 )
117 p.set_xlabel( Timestamp difference from parent, in seconds )
118 p.set_ylabel( Number of blocks )
119 p.legend(title= Miners , loc= best )
120 plt.savefig(
121     ../images/timestampDiff12000000.pdf , bbox_inches= tight ,
    ↪   pad_inches=0
122 )
123 plt.show()
124 plt.close()
125
126 # Plot a histogram of uncles per miner, for the top 5 miners
127 p = sns.barplot(
128     x= TimestampDiff ,
129     y= value ,
130     hue= index ,
131     palette=palette,
132     data=uncle_top4.reset_index().melt(id_vars= index ,
    ↪   var_name= TimestampDiff ),
133 )
134 p.set_xlabel( Timestamp difference from parent, in seconds )
135 p.set_ylabel( Number of uncles )
136 p.legend(title= Miners , loc= best )
137 plt.savefig(
138     ../images/timestampDiff12000000Uncles.pdf , bbox_inches= tight ,
    ↪   pad_inches=0
139 )
140 plt.show()
141 plt.close()
142
143 # Plot a histogram of blocktimes for F2Pool
144 F2Pool = (
145     mainchain_bodies_df[
146         (mainchain_bodies_df[ miner_name ] == F2Pool )
147         & (mainchain_bodies_df.index >= 12000000)
148     ]
149     .groupby( timedelta )
150     .count()[ miner_name ]
151     .append(pd.Series([0 for _ in range(1, 5)], index=[9 * i for i in
    ↪   range(1, 5)]))
152     .sort_index()
153 ) # Note that pandas cannot count 0 occurrences of something, so we add
    ↪   them just to make the empty places obvious!

```

```

154 _, ax = plt.subplots(figsize=(11.7, 8.27))
155 p = sns.barplot(
156     ax=ax,
157     x=F2Pool.index[:37].astype(int),
158     y=F2Pool.values[:37],
159     color=sns.color_palette(palette, 100)[62],
160 )
161 p.set_xlabel( Timestamp difference from parent, in seconds )
162 p.set_ylabel( Number of blocks mined by F2Pool )
163 plt.savefig( ../images/timestampDiff12000000F2Pool.pdf , pad_inches=0)
164 plt.show()
165 plt.close()
166
167 # Find pools that avoid timestamps divisible by 9
168 uncle_makers = counts[
169     np.all(
170         [counts[timestamp_diff] == 0 for timestamp_diff in counts.columns if timestamp_diff
171          → % 9 == 0],
172         axis=0,
173     )
174 ]
175
176 # When did the top 5 uncle makers start avoiding such blocks?
177 for miner in uncle_makers.index[:5]:
178     print(
179         f Miner {miner} stopped mining blocks with a time-diff divisible
180         → by 9 since block: ,
181         mainchain_bodies_df[mainchain_bodies_df[ miner_name ] ==
182         → miner][ timestamp_diff ][
183             :-1
184         ]
185         .eq(9)
186         .idxmax()
187         + 1,
188     )
189
190 # Plot a histogram of blocktimes per miner, for the top 4 uncle makers
191 p = sns.barplot(
192     x= TimestampDiff ,
193     y= value ,
194     hue= index ,
195     data=uncle_makers[:4]
196     .reset_index()
197     .melt(id_vars= index , var_name= TimestampDiff ),
198     palette=palette,
199 )
200 p.set_xlabel( Timestamp difference from parent, in seconds )

```

```

198     p.set_ylabel( Number of blocks )
199     p.legend(title= Miners , loc= best )
200     plt.savefig(
201         ../images/timestampDiffUncleMakers.pdf , bbox_inches= tight ,
202         ↪ pad_inches=0
203     )
204     plt.show()
205     plt.close()
206
207     # Pie chart for miner portion, for the top 5 miners
208     slice_num = 4
209     miner_mai nchai n_count = counts.sum(axes=1)
210     data = list( miner_mai nchai n_count[: slice_num] ) + [
211         sum( miner_mai nchai n_count[ slice_num: ] )
212     ]
213     labels = list( miner_mai nchai n_count[: slice_num].index ) + [ Others ]
214     cur_color = iter(
215         sns.color_palette( palette , slice_num + 2 )
216     ) # Make sure we have enough colors for the next pie chart
217     colors = { label : next( cur_color ) for label in labels }
218     p = plt.pie(
219         data,
220         labels=labels,
221         colors=[ colors[ label ] for label in labels ],
222         autopct= %.0f%% ,
223     )
224     plt.savefig( ../images/mai nchai nPorti on.pdf , bbox_inches= tight ,
225         ↪ pad_inches=0 )
226     plt.show()
227     plt.close()
228
229     # Pie chart for miner portion, for the top 5 miners
230     miner_uncl e_count = uncl e_bodi es_df[ miner_name ].value_counts()
231     data = list( miner_uncl e_count[: slice_num] ) +
232         ↪ [ sum( miner_uncl e_count[ slice_num: ] ) ]
233     labels = list( miner_uncl e_count[: slice_num].index ) + [ Others ]
234     colors |= { label : next( cur_color ) for label in labels if label not in
235         ↪ colors }
236     p = plt.pie(
237         data,
238         labels=labels,
239         colors=[ colors[ label ] for label in labels ],
240         autopct= %.0f%% ,
241     )
242     plt.savefig( ../images/uncl ePorti on.pdf , bbox_inches= tight ,
243         ↪ pad_inches=0 )
244     plt.show()

```

```

240 plt.close()
241
242 # Create date columns, for ease of use
243 mainchain_bodies_df[ date ] = pd.DatetimeIndex(
244     pd.to_datetime(mainchain_bodies_df[ timestamp ], unit= s )
245 )
246 mainchain_bodies_df[ year ] =
247     → pd.DatetimeIndex(mainchain_bodies_df[ date ]).year
248 mainchain_bodies_df[ month ] =
249     → pd.DatetimeIndex(mainchain_bodies_df[ date ]).month
250 uncl_bodies_df[ date ] = pd.DatetimeIndex(
251     pd.to_datetime(uncl_bodies_df[ timestamp ], unit= s )
252 )
253 uncl_bodies_df[ year ] = pd.DatetimeIndex(uncl_bodies_df[ date ]).year
254 uncl_bodies_df[ month ] =
255     → pd.DatetimeIndex(uncl_bodies_df[ date ]).month
256
257 # Create an easy-to-use DF for timestamp diffs which are divisible by 9
258 di_ffs_divisible_by_nine_per_month = (
259     mainchain_bodies_df[
260         mainchain_bodies_df[ miner_name ].isin(
261             np.concatenate([np.array(top4.index), uncl_makers.index[:5]]))
262         )
263         & (mainchain_bodies_df[ timedi ff ] % 9 == 0)
264     ]
265     .groupby([ year , month , miner_name ])
266     .count()
267     .sort_values([ year , month , miner_name ])
268 )
269 to_drop = di_ffs_divisible_by_nine_per_month.columns
270 di_ffs_divisible_by_nine_per_month[ count ] =
271     → di_ffs_divisible_by_nine_per_month[
272         timestamp
273     ]
274 di_ffs_divisible_by_nine_per_month.drop(to_drop, axis=1, inplace=True)
275 flat_di_ffs_divisible =
276     → di_ffs_divisible_by_nine_per_month.index.to_frame(index=False)
277 flat_di_ffs_divisible[ count ] =
278     → np.array(di_ffs_divisible_by_nine_per_month[ count ])
279 flat_di_ffs_divisible[ date ] = pd.to_datetime(
280     flat_di_ffs_divisible[ year ].astype(str)
281     + -
282     + flat_di_ffs_divisible[ month ].astype(str).map(lambda month:
283         → month.zfill(2)),
284     format= %Y-%m ,
285 )
286 flat_di_ffs_divisible = flat_di_ffs_divisible.pivot(

```

```

280     index= date , columns= miner_name , values= count
281 ).fillna(0)
282
283 # Plot a graph of the amount of blocks with timestamp diff. divisible by 9
284   ↳ by date
285 fig, ax = plt.subplots()
286
287 plt.ylabel( Amount of blocks with timestamp diff. divisible by 9 )
288 plt.xlabel( Date )
289 ax.xaxis.set_major_formatter(mdates.DateFormatter( %b %y ))
290 ax.xaxis.set_major_locator(mtick.MultipleLocator(160))
291
292 relevant_dates = flat_diffs_divisible[
293     (flat_diffs_divisible.index >= 2019-08-01 )
294     & (flat_diffs_divisible.index <= 2021-09-01 )
295 ]
296 for miner, marker in [( Ethermine , o ), ( F2Pool , x ), ( 0x99...e3 ,
297   ↳ | )]:
298     plt.plot(
299         relevant_dates.index,
300         relevant_dates[miner],
301         marker=marker,
302         markersize=5,
303         label=miner,
304     )
305
306 ax.legend(loc= best )
307 plt.tight_layout()
308 plt.savefig(
309     ../images/timestampDivisibleBy9overTime.pdf , bbox_inches= tight ,
310     ↳ pad_inches=0
311 )
312 plt.show()
313 plt.close()
314
315 # Calculate the monthly uncle rate for certain miners (# of uncles / #
316   ↳ of all blocks)
317 mainchain_monthly_count = (
318     mainchain_bodies_df[
319         mainchain_bodies_df[ miner_name ].isin(
320             np.concatenate([np.array(top4.index), uncles_makers.index[:5]])
321         )
322     ]
323     .groupby([ year , month , miner_name ])
324     .count()
325     .sort_values([ year , month , miner_name ])
326 )

```

```

323 to_drop = mainchain_monthly_count.columns
324 mainchain_monthly_count[ count ] = mainchain_monthly_count[ timestamp ]
325 mainchain_monthly_count.drop(to_drop, axis=1, inplace=True)
326 flat_mainchain_monthly_count =
    ↳ mainchain_monthly_count.index.to_frame(index=False)
327 flat_mainchain_monthly_count[ count ] =
    ↳ np.array(mainchain_monthly_count[ count ])
328 flat_mainchain_monthly_count[ date ] = pd.to_datetime(
329     flat_mainchain_monthly_count[ year ].astype(str)
330     + -
331     + flat_mainchain_monthly_count[ month ]
332     .astype(str)
333     .map(lambda month: month.zfill(2)),
334     format= '%Y-%m',
335 )
336 flat_mainchain_monthly_count = flat_mainchain_monthly_count.pivot(
337     index= date , columns= miner_name , values= count
338 ).fillna(0)
339
340 uncle_monthly_count = (
341     uncle_bodies_df[
342         uncle_bodies_df[ miner_name ].isin(
343             np.concatenate([np.array(top4.index), uncle_makers.index[:5]])
344         )
345     ]
346     .groupby([ year , month , miner_name ])
347     .count()
348     .sort_values([ year , month , miner_name ])
349 )
350 to_drop = uncle_monthly_count.columns
351 uncle_monthly_count[ count ] = uncle_monthly_count[ timestamp ]
352 uncle_monthly_count.drop(to_drop, axis=1, inplace=True)
353 flat_uncle_monthly_count =
    ↳ uncle_monthly_count.index.to_frame(index=False)
354 flat_uncle_monthly_count[ count ] =
    ↳ np.array(uncle_monthly_count[ count ])
355 flat_uncle_monthly_count[ date ] = pd.to_datetime(
356     flat_uncle_monthly_count[ year ].astype(str)
357     + -
358     + flat_uncle_monthly_count[ month ]
359     .astype(str)
360     .map(lambda month: month.zfill(2)),
361     format= '%Y-%m',
362 )
363 flat_uncle_monthly_count = flat_uncle_monthly_count.pivot(
364     index= date , columns= miner_name , values= count
365 ).fillna(0)

```

```

366
367 # Plot a graph of the monthly uncle rate
368 fig, ax = plt.subplots()
369
370 plt.ylabel( Monthly uncle rate )
371 ax.yaxis.set_major_formatter(mtick.PercentFormatter(decimals=0))
372
373 plt.xlabel( Date )
374 ax.xaxis.set_major_formatter(mdates.DateFormatter( %b %y ))
375 ax.xaxis.set_major_locator(mtick.MultipleLocator(160))
376
377 uncle_relevant_dates = flat_uncle_monthly_count.iloc[42:-7]
378 mainchain_relevant_dates = flat_mainchain_monthly_count.iloc[42:-7]
379 for miner, marker in [( Ethermine , o ), ( F2Pool , x ), ( 0x99...e3 ,
  > | )]:
380     uncle_rate = (
381         100
382         * uncle_relevant_dates[miner]
383         / (uncle_relevant_dates[miner] + mainchain_relevant_dates[miner])
384     )
385     plt.plot(uncle_rate.index, uncle_rate, marker=marker, markersize=5,
  > label=miner)
386
387 ax.legend(loc= best )
388 plt.tight_layout()
389 plt.savefig( ../images/monthlyUncleRate.pdf , bbox_inches= tight ,
  > pad_inches=0)
390 plt.show()
391 plt.close()

```

### F.13 paper\_stuff.py

```

1 from sympy import *
2
3
4 def find_f2pool_uncle_makers(mainchain_bodies_df, uncle_bodies_df) -> None:
5     Find concrete examples of Uncle Maker blocks by F2Pool.
6
7     # The code found a main chain block with number 14772899
8     for _, uncle in uncle_bodies_df[ : :-1 ].iterrows():
9         number = uncle[ number ]
10        if (
11            (uncle[ timedi ff_sibl ing ] == 1)
12            and (mainchain_bodies_df.loc[number][ miner_name ] == F2Pool )
13            and (
14                mainchain_bodies_df.loc[number][ timedi ff ] // 9
15                < uncle[ timedi ff_parent ] // 9
16            )

```

```

17     ):
18         print(
19             f
20             We re looking for a concrete Uncle Maker block mined by F2Pool .
21             We re interested in a series of four blocks:
22             Grandparent <- parent <- child
23                 <- uncle <-
24             Where the parent and uncle have:
25             - A timestamp diff. of 1 second,
26             - Their timestamps are in diff. 9 sec windows,
27             - The parent was mined by F2Pool
28             The code found the following example:
29             Uncle: {uncle}.
30             Grandparent: {mainchain_bodies_df.loc[number - 1]}.
31             Parent: {mainchain_bodies_df.loc[number]}.
32             Child: {mainchain_bodies_df.loc[number + 1]}.
33
34         )
35         break
36     print( Couldn t find any Uncle Makers by F2Pool . )
37
38
39 def verify_mdp() -> None:
40     Verify the various MDP calculations done in the paper.
41
42     # Declare variables, a is alpha (the attacker s share)
43     a, p0, p1 = symbols( a p0 p1 )
44
45     # Stationary distribution
46     p_attack = (1 - p0) * p1 * (1 - a)
47     p_normal = 1 - p_attack
48
49     # The attacker s expected number of blocks
50     attacker = simplify((p_normal * a) + (p_attack * ((p0 * a) + ((1 - p0) *
51     -> a))))
52
53     # The honest s expected number of blocks
54     honest = simplify(
55         (p_normal * p0 * (1 - a))
56         + (p_normal * (1 - p0) * (1 - p1) * (1 - a))
57         + (p_attack * (1 - p0) * a)
58         + (p_attack * 2 * (1 - a) * (p0 + ((1 - p0) * (1 - p1))))
59         + (p_attack * (1 - p0) * p1 * (1 - a))
60     )
61     honest_no_attack = simplify((p_attack * p0 * a) + honest)
62
63     # Attacker s share of the blocks

```

```

63     share_attack = simplify(attacker / (attacker + honest))
64     share_no_attack = simplify(attacker / (attacker + honest_no_attack))
65
66     print(
67         f
68         Expected number of honest blocks, no attack: {honest_no_attack}.
69         Expected number of honest blocks, attack: {honest}.
70         Expected attacker share, no attack: {share_no_attack}.
71         Expected attacker share, attack: {share_attack}.
72         Expected attacker improvement: {share_attack / share_no_attack}.
73     )
74 )

```

## G GLOSSARY

All symbols and acronyms used in the paper are summarized in this section.

### SYMBOLS

- Attacker's hash-rate, in hashes-per-second.
- $U$  Attacker's hash-ratio, as a fraction:  $\frac{u}{u+h}$ .
- $1$  A single block.
- ' The reward received for mining a block, in tokens.
- $3$  Mining difficulty.
- Total honest hash-rate, in hashes-per-second.
- $\mathcal{C}$  The difference between the timestamp of some block and its direct main-chain ancestor, in seconds.
- The transaction fees earned when mining a block, in tokens.
- $D$  A bit which is equal to True iff the current tip of the main-chain has at least one uncle.

### ACRONYMS

- ASIC** application specific integrated circuit
- block-DAG** block directed-acyclic-graph
- CPU** central processing unit
- DAA** difficulty-adjustment algorithm
- DeFi** decentralized finance
- EIP** Ethereum improvement proposal
- geth** Go Ethereum
- HUJI** Hebrew University of Jerusalem, Israel
- MDP** Markov decision process
- MEV** miner-extractable value
- ML** machine learning
- PoS** proof-of-stake
- PoW** proof-of-work
- PUM** preemptive uncle maker
- RAM** random-access memory
- RPC** remote procedure call
- RUM** riskless uncle maker
- SSD** solid state drive

**TD** total difficulty

**URL** uniform resource locator