数据结构与算法分析

华中科技大学软件学院

2014年秋

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大纲

- 树的表示
- 2 二叉树
- ③ 二叉查找树
- 4 平衡二叉树
- 5 B树

课程计划

- 已经学习了
 - 线性表的数组与链表实现
 - 桶式排序与基数排序
 - 堆栈及其应用
 - 队列

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 - 堆栈及其应用
 - 队列
- 即将学习
 - 树的表示
 - 二叉树, 树的遍历, 决策树
 - 二叉查找树
 - 平衡二叉树: AVL树、红黑树
 - B-树, B+树



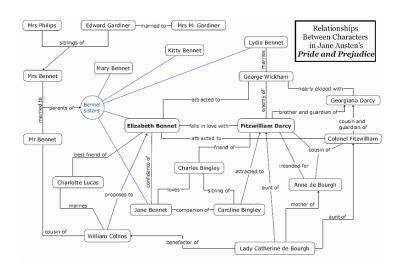
Roadmap

- 树的表示
- 2 二叉树
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- **5** B树

树

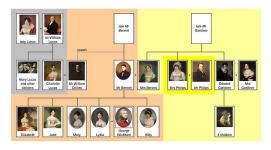
- Already talked about computation/recursion tree
- Other trees:
 - Hierarchy of file folders/Sub-domain names
 - Represent infix expressions
 - XML
 - Family trees, organization charts
 - Dictionary searches
- Tree is a set of nodes connected in a certain way

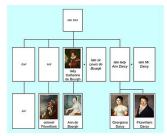
Relationship Graph

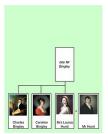


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Family Trees





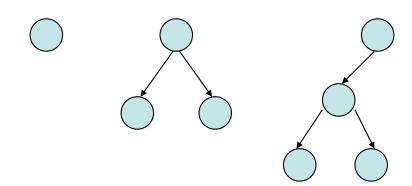


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树的定义

- Recursive definition:
 - {} is a tree (empty tree);
 - \bullet A node r, with ≥ 0 non-empty subtrees $T_i,$ and with a directed edge from r to T_i
- Upside-down drawing of natural tree
 - Top node = root
 - Bottom (childless) nodes = leaves
- Tree (or a node) has a height, the length of the longest path from root
 - max number of edges from root to bottom (or node)
 - Height(null) = -1, h(root) = 0

树的递归定义



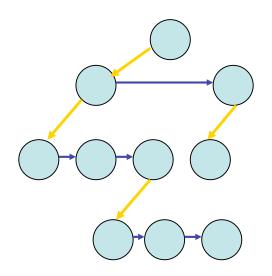
树的实现

```
typedef struct TreeNode *PtrToNode;
typedef struct treeNode
{
    Elementype element;
    PtrToNode firstChild;
    PtrToNode nextSibling;
} TreeNode;
```

- Tree is an instance of TreeNode, with its members
- If R is root, what is R.nextSib?

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父子兄弟树



文件结构

- File/directory listing
- Treat directory as special kind of tree

```
void listDir (DirectoryOrFile D, int depth)
    printName (D, depth);
    if (isDirectory (D))
        for each child C in dir D
            listDir (C, depth+1);
    }
void listAll (DirectoryOrFile D)
    listAll (D, 0);
```

文件结构举例

```
Desktop
  -My documents
    -My music
    -My pictures
  -My computer
      -Documents and settings
        -Gang Shen
          -desktop
      -Program files
```

Roadmap

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二叉树

Most often, restrict the allowed number of children to 2 (may have 0 or 1)

- Each node has two children, possibly null
- Nulls not drawn

```
typedef struct binTreeNode
{
    ElementType element;
    struct binTreeNode *left;
    struct binTreeNode *right;
} BinTreeNode;
```

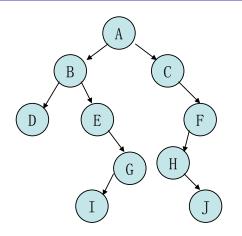
二叉树的遍历

- Three ways to visit all nodes of a binary tree in depth-first fashion
 - Pre-order
 - Post-order
 - In-order
- Depends on visit parent before, after or between its children. For example, preorder
 - Visit current node
 - Visit left subtree
 - Visit right subtreer

二叉树的先序遍历

```
void pre order (BinTreeNode *root)
    if (root == NULL)
        return:
    print ("%c,", root->element);
    pre order (root->left);
    pre order (root->right);
```

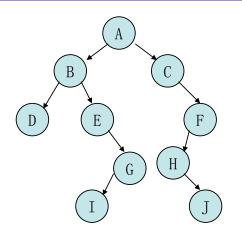
遍历



- preorder:
- inorder:
- postorder:



遍历



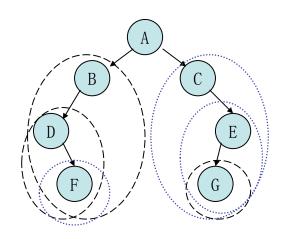
- preorder: A, B, D, E, G, I, C, F, H, J,
- inorder:D, B, E, I, G, A, C, H, J, F,
- o postorder:D, I, G, E, B, J, H, F, C, A,

通过遍历结果构造二叉树

- What information was lost when we have only traversal results of a tree?
- Is a traversal sufficient to rebuild a tree?
 - What about combos?
- Given an in-order traversal and a pre/ post-order traversal, what should we do to construct a tree?
- In-order: D, F, B, A, C, G, E,
- Compare Pre-order: A, B, D, F, C, E, G,

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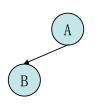
构造一棵树

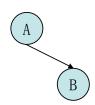


- In-order: D, F, B, A, C, G, E,
- Compare Pre-order: A, B, D, F, C, E, G,

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先序十后序?





Two distinct trees share the same traversal sequences

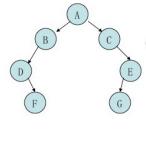
- Pre-order: A, B,
- Post-order: B, A,

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用数组表示二叉树

Parent->children

Α	1	2
В	3	-1
С	-1	4
D	-1	5
Ε	6	-1
F	-1	-1
G	-1	-1

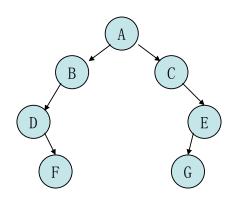


Children->parent

Α	-1	
В	0	
С	100	
٥	1	
Е	102	
F	103	
G	4	

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用数组表示二叉树



A[i]: current node, A[2*i]:left child, A[2*i+1]:right child

ABCD E F G

表达式树

- Algebra expressions can be represented by trees
- (a + (b*c)) + (((d * e) + f) * g)
 - Hard to parse directly
 - Saw before: can convert to postfix, then parse
- Idea: represent as tree
 - Operands on leaves
 - Operations on root and internal nodes
- Then traverse to print postfix
- On each node, print left, right, then element



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打印后缀表达式

```
采用后序遍历
void postfix (BinTreeNode *root)
    if (root != NULL)
        postfix (root->left);
        postfix (root->right);
        print "(%c, ", root->element);
    }
```

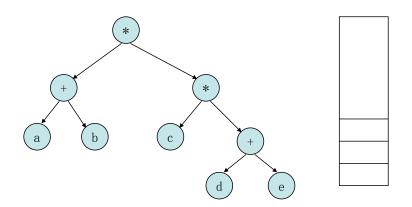
构造表达式树

- Given a tree, pretty easy to print post-order. How to get the tree?
- Similar to stack algorithm for infix→postfix

```
while (!end of expression)
{
    Read variable, then push as TreeNode
    Read operation, then pop t1, t2 to
        form a TreeNode and push new
        TreeNode (op,t1,t2)
```

Example: ab+cde+**

表达式树



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二叉树的高度

Height(T) = max distance from root to a leaf

Theorem

Number of nodes in a binary tree $n(T) \leq 2^{h(T)+1} - 1$.

```
Proof: by induction. Base case, one node: n(T)
= 1. then 2^{h(T)+1} - 1 = 2^{0+1} - 1 = 1. Assume true
for trees of height \langle = H. Let h(T) = H+1. then
n(T) = 1 + n(T_1) + n(T_2)
< 1 + 2^{h(T_1)+1} - 1 + 2^{h(T_2)+1} - 1 (induction)
\stackrel{-}{\leq} 2 * \max(2^{h(T_1)+1}, 2^{h(T_2)+1}) - 1
= 2 * 2^{\max(h(T_1)+1,h(T_2)+1)} - 1
= 2 * 2^{h(T)} - 1 (definition of height)
-2^{h(T)+1}-1
```

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二叉树的高度

- If know # of nodes, can get max height
- 8 nodes rightarrow height at least 2
- $\begin{array}{l} \bullet \ \ n(T) \leq 2^{h(T)+1} 1, \ log(n(T)) \leq \\ \ \ h(T) + 1 log(1), \ log(n(T)) 1 <= h(T) \end{array}$
- Full binary tree: over half nodes are leaves
- Because all levels but the last are internal, sum of powers

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决策树

- Can think of many algorithms as decision trees, decisions on leaves, conditions on internal nodes
 - At each stage, make test
 - Go one way or other
 - Eventually stop
- Example: have a scale and 12 balls, 1 of them defected. Assume w the defected weighs different, how many comparisons necessary to find?
- Draw a decision tree with 12 leaves

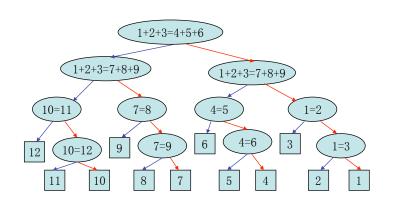
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决策树

- Divide and then hopefully conquer:
 - Trivial case: 3 or 4 balls, two weighs give the result
 - Induction step: partition into groups, reduce the problem to smaller size by a weigh
- Label balls with numbers: 1, 2, 3, ...
- Leaves of the decision tree: 12 possibilities of the disqualified ball
- Height of the tree: h(T) = log 12, round up

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决策树





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Roadmap

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二叉查找树

- Data Structure with fast search, slow insert/delete
 - Sorted array, with bounded size
- Data Structures with fast insert/delete, slow search
 - Linked List
- alanced BST: fast search, fast insert, fast delete
 - No bounded size
 - All operations log(n), if balanced

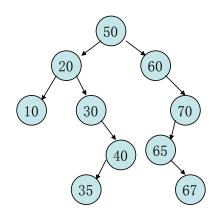
BST

- BST = Binary trees + one new property
 - For a node n, everything left of n is <n;
 everything right of n is >=n
 - Applies to all nodes in two subtrees, at every level, not just the 2 direct children
- But not as hard as sounds: done at insert time
- Also: no duplicates, or use counter
- Recall: $2^{h(T)+1} 1 = N(T)$



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BST举例



- Pre-order:
- In-order:
- Post-order:

BST中的查找

```
类似于折半查找
```

```
typedef struct BinTreeNode *SearchTree;
Position find (ElementType x, SearchTree T)
    if (T == NULL)
        return (NULL):
    if (x < T->element)
        return find (x, T->left);
    else if (x > T->element)
       return find (x, T->right));
    else return (T):
```

改写为迭代

仍然类似于折半查找

```
Position find (ElementType x, SearchTree T)
    while (T != NULL)
        if (x < T->element)
             T = T -> left:
        else if (x > T -> element)
             T = T - > right;
        else
             return (T);
    return (NULL);
```

BST findmin/findmax

```
Find minimum element: given T, left child is
smaller, right child is bigger
Position findMin (SearchTree T)
    if (T == NULL)
        return (NULL);
    if (T->left == NULL)
        return (T);
    return (findMin (T->left)):
time = depth of tree \approx \log n
```

非递归形式代码

```
Tail recursion — recursion called at end, easy
to convert to iterative
Idea: keep going left until null is found, then
return the element
Change if (exp) to while (!exp)
Position findMin (SearchTree T)
    if (T == NULL)
        return (NULL):
    while (T->left != NULL)
        T = T \rightarrow left;
    return (T):
```

BST插入

Idea: either return new node, or return sub-tree after x inserted

```
SearchTree insert (ElementType x, SearchTree T)
{
    if (T == NULL)
    {
        T = malloc (sizeof (TreeNode));
        T->element = x;
        T->left = NULL;
        T->right = NULL;
    }
    else if (x < T->element)
        T->left = insert (x, T->left);
    else if (x > T->element)
        T->right = insert (x, T->right);
    return (T);
}
```

非递归插入

```
void insert (ElementType x, SearchTree T)
   SearchTree *P:
   while (T != NULL)
       if (x < T->element)
           T= T-> left
           P = &(T->left);
       else if (x > T->element)
           T= T-> right
           P = &(T- > right);
       else
                                 /* already existing */
           return:
   }
   *P = (SearchTree)malloc (sizeof (TreeNode));
   *P \rightarrow element = x;
   *P->left = NULL; *P->right = NULL;
```

BST删除

- As often, hardest case: insertion always happens on the bottom, but deletion may take place anywhere
- First, find the node, if has <=1 children, then easy
 - 0: just delete
 - 1: replace it with its child
- If has 2 children, then harder
 - Strategy: replace deleted node with smallest element from right sub-tree (or the largest of the left sub-tree)
 - What about that node? we must delete it (but this one easy)

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删除代码

```
SearchTree Delete (ElementType x, SearchTree T)
    Position tmpCell;
    if (T == null)
        return (NULL);
    if (x < T->element)
       T->left = delete (x, T->left);
    else if (x > T->element)
       T->right = delete (x, T->right);
    else if (T->left != NULL && T->right != NULL)
        tmpCell = findMin (T->right);
       T->element = tmpCell->element;
       T->right = delete (T->element, T->right);
    else T = T->left != null ? T->left : T->right;
    return (T):
```

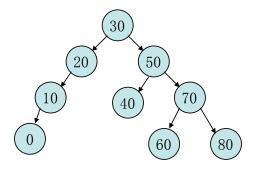
插入与删除

- Insert 30, 20, 50, 70, 10, 40, 60, 80, 0
- Delete 0, 20, 30
- So: deletion is hard. One solution: lazy delete
- Don't physically remove. Just mark as deleted
 - If duplicate, decrement count
 - Often used in databases

数据结构

插入

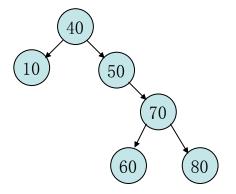
Insert 30, 20, 50, 70, 10, 40, 60, 80, 0



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删除

Delete 0, 20, 30



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BST平均复杂度

- Each time descend a level, cut nodes in half, assuming 2 children each
- Can show: if all BSTs equiprobable, depth = 0(logn)
- But are they?
- Given right n insertions (which?), depth can be n

数据结构

BST最坏复杂度

- BST properties must always hold
- How many trees have nodes 1, 2, 3?
 - Value set doesn't determine tree
 - But value list does
- But what if many nodes have 1 child?
 - What if "unbalanced"?
 - Say, if insert 1, 2, 3, 4, 5 or 5, 4, 3, 2, 1?
- In worse case, BST becomes a linked list
 - Find: 0(n)
 - Insert: 0(n)
 - Delete: 0(n)
- In practice, BST performance could be bad

实验三: Josephus problem

- N people form a circle, eliminate a person every k people, who is the final survivor?
- Label each person with 0, 1, 2, …, n-1, denote J(n, k) the labels of survivors when there are n people
- First eliminate the person labeled k-1, re-label the rest, starting with 0 for the one originally labeled k
 0 1 2 3 ··· k-2 k-1 k k+1 ··· n-1
 ··· n-2
 0 1 ···
- Dynamic programming

$$\begin{split} J(n,k) &= (J(n-1,k)+k)\% n, \, if \ n>1, \\ J(1,k) &= 0 \end{split}$$

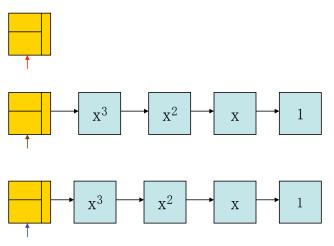
实验三: Polynomial multiplication

- If sorted, we know where to insert later items (following the current node), search takes $O(n^2)$
- For example, $f(x) = x^3 + x^2 + x + 1, g(x) = x^3 + x^2 + x + 1, \text{ to get } f(x) *g(x)$
- First do $x^3*g(x)$, we have $H \to x^6 \to x^5 \to x^4 \to x^3$, always insert into the end, n insertions
- Then add to above x2*g(x), $H\to x^6\to 2x^5\to 2x^4\to 2x^3\to x^2$, n+1 additions/insertion
- Remeber $n + (n + 1) + + (2n 1) = 0(n^2)$

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排序

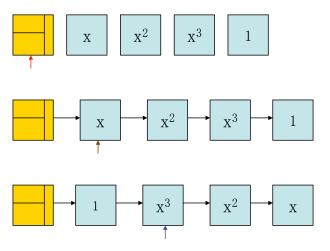
Consecutive insertions by remembering the last node



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未排序

Search has to start from the head



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复杂度分析

- Let $f(n) = \sum c_i x_i, g(n) = \sum d_i x_i$, for i = 0..n, and denote T(n) time complexity of f(n)*g(n)
- Because $f(n) * g(n) = c_n d_n x^{2n} + x^n * (c_n g(n-1) + d_n f(n-1)) + f(n-1) * g(n-1)$
- Actually it all depends on how to insert the first n+1 items
 - Trivial case T(1) = O(1)
 - Sorted: T(n) = T(n-1) + O(n)
 - Unsorted: $T(n) = T(n-1) + O(n^2)$

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实验5

- 给出一棵二叉树的先序(或后序)遍历结果,以 及中序遍历结果,如何构造这棵树?假定遍历结果以数组方式输入,请写出相应函数,判断是否 存在生成同样遍历结果的树,如果存在,构造这 棵树。
- 二叉树的层序遍历。使用队列作为辅助存储,按 树的结点的深度,从根开始依次访问所有结点。

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Roadmap

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AVL树

- The earliest form of self-balancing BSTs
- Adelson, Velsky , E. M. Landis, 1962, An algorithm for the organization of information
- Problem with BST: can be unbalanced
- Solution: keep tree balanced, re-balance if necessary
- What do you mean by the word balance?
 - Root's left and right trees have same height?
 - No, not enough. Or: require this for every node?
 - ullet No, that's too much. Then only support size $2^{h+1}-1$
- Middle: for each node, h(L) and h(R) differby <=1

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AVL树

- Not storing depths of nodes, storing heights of each sub-tree
- Can store actual heights, or just "height bits"
 - = same
 - / left is 1 greater
 - \ right is 1 greater
- H(AVL) guaranteed $\leq \sqrt{2} \log n$, search automatically $\log n$

AVL插入结点

- Insertion: could violate AVL property
- AVL trees re-balance themselves as necessary after insertion, using "rotations"
- An insert could throw tree off balance
 - Which part of the tree is off balance?
 - Root could be off-balance
 - Parent of inserted node could be off-balance
 - Nodes on path to root off-balanc
- We rebalance lowest such node

AVL平衡

- Suppose we must rebalance a: a's sub-trees must differ by >=2
 - Was balanced
 - differ by 2 caused by inserting a node
- Four cases: insertion in
 - Left sub-tree of left child of a
 - Right sub-tree of left child
 - Left sub-tree of right child
 - Right sub-tree of right child
- Duality: 1 \sim 4, 2 \sim 3

数据结构

旋转

- 1 and 4 are (relatively) easy
- 2 and 3 are harder:
 - Single rotation
 - Double rotation
- Think of single rotation as an operation
- Two singles can form a double

数据结构

单旋转代码

```
Postion rotateWithLeftChild (Position k2)
    Position k1 = k2 -> left:
    k2 - left = k1 - right;
    k1->right = k2;
    k2 \rightarrow height = MAX (height (k2 \rightarrow left),
                         height (k2->right)) + 1;
    k1->height = MAX (height (k1->left),
                         k2->height) + 1;
    return (k1);
```

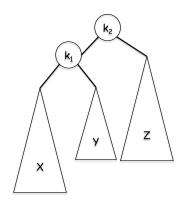
双旋转代码

```
position doubleRotateWithLeftChild (Position k3)
{
    k3->left = rotateWithRightChild (k3->left);
    return (rotateWithLeftChild (k3));
}
```

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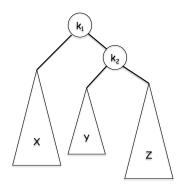
举例:插入子树X

- After insert, k₂
 off-balance because
 k₁ off-balance
- Previously had to be within 1, so h(X) = h(Y)+2
- After insert into X, have h(X)=m+2, h(Y)=m, h(Z)=m
- Before insert, had h(X)=m+1, h(Y)=m, h(Z)=m

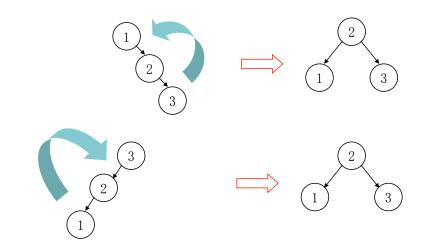


旋转

- To rebalance, want to pull X up, push Z down
- Pull k_1 up as new root, k_2 stays connected to k_1 and z
- But Y becomes left child of k₂
- Is this still a BST? Yes



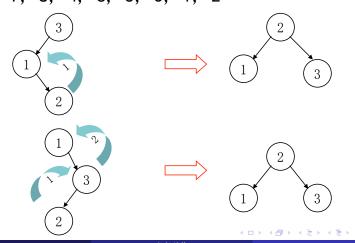
单旋转



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双旋转

Do insertions sequentially:9, 8, 7, 6, 5, 4, 3, 2, 1 And 9, 7, 8, 4, 6, 5, 3, 1, 2



数据结构

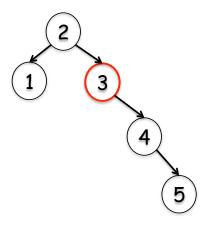
动态生成AVL树

1 2 3 4 5 6 7 8 9

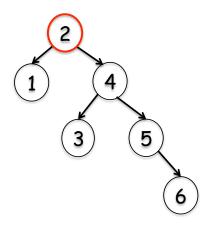
6 9 7 8 3 5 4 2 1

数据结构

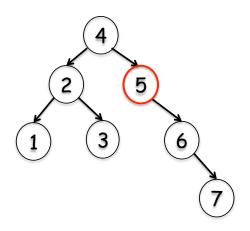
调整



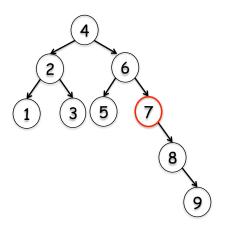
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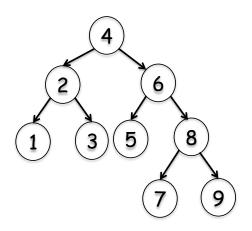
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数据结构 73 / 9



数据结构 74 / 9



数据结构 75 / 9

删除

- Deletion is harder than insertion
- Do the regular BST deletion
- Check if balanced after deletion
- If unbalanced, apply rotations to make it balanced
- Or use lazy deletion

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AVL树的性能

- \bullet Worst case: $A_h = A_{h-1} + A_{h-2}$ + root, $A_0 = \text{root}$
- Number of nodes at least: 0 1 2 4 7 12 20
- Look familiar?
- Recall Fibonacci numbers: 1 2 3 5 8 13 21
- In general: $N_h = N_{h-1} + N_{h-2} + 1$, rewrite: $(N_h + 1) = (N_{h-1} + 1) + (N_{h-2} + 1)$
- $\bullet \text{ Set } \mathsf{F}_{\mathsf{h}} = \mathsf{N}_{\mathsf{h}} + \mathsf{1}, \text{ we have } \mathsf{F}_{\mathsf{h}} = \mathsf{F}_{\mathsf{h}-\mathsf{1}} + \mathsf{F}_{\mathsf{h}-\mathsf{2}}$

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AVL树的高度

- Fibonacci $F_h=0(\phi^h)$, $\phi=\frac{1+\sqrt{5}}{2}\approx 1.618$
- Thus $N_h = O(\phi^h)$
- \bullet Remember: N_h =# of nodes in AVL
- Recall Fibonacci numbers: 1 2 3 5 8 13 21
- $\log N_h = \log 1.618^h = h \log 1.618 = h * .69$
- $h \approx 1.44 \log N_h$

数据结构 78 /

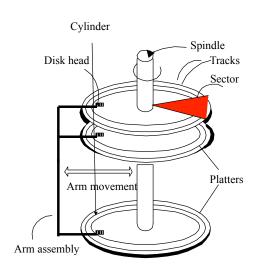
Roadmap

- 1 树的表示
- 2 二叉树
- ③ 二叉查找树
- 4 平衡二叉树
- **5** B树

B树的引入

- BSTs are great as long as balanced
- Can access item in log time (in best case)
- What if n is larger?
- What if a billion or trillion items in a database?
- Don't have enough RAM, have to put into secondary storage, larger in size but slower in access time
- Assumptions on the RAM model in complexity analysis may be no longer valid

硬盘的结构



磁盘与内存

- ullet 7200/M \sim 1/120s per rotation = 8.3ms per rotation
- If half way away, 8.3/2 = 4.15 ms
- \bullet But head must move too, so say: \approx 10ms = . 01s \sim 100 rotations/second
- Compare RAM average access time: 10ns = . 00000001s \sim 100million access/s
- $100,000,000/100 = 1,000,000 \times faster$

内存与CPU

- Typical processors, Pentium/Core/Tegra 3/A7
 over 1GHz, 1billion operations per second?
- ullet 1 billion "cycles" \sim operations per second
- Faster than RAM but not that faster
- Compare with disk, $1,000,000,000/100 = 10,000,000 \times faster$
- 1 operation or memory access is not equivalent to one disk access
- Disk size increases fast but disk speed does not

计算模型

- In main memory: CPU time can be given by big O notation
- ullet In databases time is dominated by I/O cost
 - Big 0 too, but for I/0's
 - Often big O becomes a constant
- The I/O Model of Computation redefines "simple operation" as "disk access"
- Consequence: need to redesign certain algorithms & data structures

数据库中的查找

- Big improvement: log₂ 1MB = 20
 Each operation divides remaining range in half!
- But recall: all that matters is #disk accesses
- ullet 20 is better than 2^{20} but accessing disk is slow

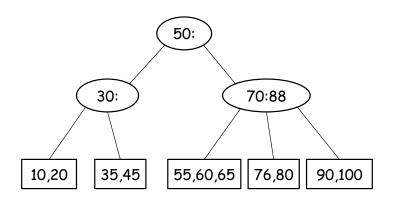
从BST到B树

- Like BSTs except each node maps to one block
 - Branching factor is >> 2
 - Each access divides remaining range by, say, 300
 - B-trees = BSTs + blocks
 - B+ trees are a variant of B-trees
- Data stored only in leaves
 - Leaves form a (sorted) linked list
 - Better supports range queries
- Consequences:
 - Much shorter depth leads to many fewer disk reads
 - Must find element within node
 - Trades CPU/RAM time for disk time

B树的定义

- A B-tree of order m is a tree satisfies
 - Root is either a leaf or has 2 to m children
 - All nodes has at most m children
 - All internal nodes has at least m/2 children
 - All internal nodes with k children has k-1 keys
 - All leaves have the same depth
- Leaves store information
- Keys on internal nodes: separating sub-trees
- \bullet Search complexity: amortized to $\log_{m/2} n$ to $\log_m n$

B树举例



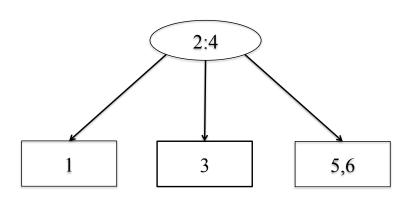
B树的操作

- Search similar to BST, start from root, go down recursively, directed by keys
- Insert may cause overflow if inserting into a full node, rebalancing is needed in this case by splitting the node with the median
- Delete delete and restructure the tree to regain its invariants

插入

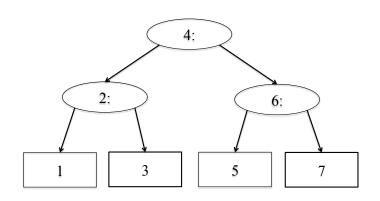
- First find the right place to insert
- Try to insert into a leaf, if it is not overflowed, then OK
- Otherwise, split the node into two by choosing a median; repeat from bottom up, may increase the height by inserting the separation node, until the B-tree properties are met
- Trick: don't put all eggs into a basket, leave some spaces

B树插入



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B树插入



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B树查找的效率

- With parameters:
 - block=4kb
 - integer = 4bytes
 - pointer = 8bytes
- The largest n satisfying $4n + 8(n + 1) \le 4096$ is n=340
- Each node has 170-340 keys, assume on avgerage has (170+340)/2=255
- Then:
 - 255 rows at depth = 1
 - $255^2 = 64k$ rows at depth = 2
 - $255^3 = 16M$ rows at depth = 3
 - $255^4 = 4G$ rows at depth = 4

小结

- 树可以表示结点与结点之间的非线性关系,因此 在遍历时会丢失部分偏序信息
- 二叉查找树在最好情况下可以达到查找、插入运 算的对数时间复杂度
- 平衡二叉树可以通过重新平衡的操作保持树的高度与结点数目之间的对数关系
- 由于磁盘1/0操作耗时,通过建立B树可以在查找 时减少对磁盘的访问

实验6

- 4.42 判定二叉树的同构,交换部分(或全部)节点的左右儿子后得到的树称为同构。请写出相应函数,判断两棵给定的树是否同构。
- 4.46 2-d树。使用两个关键词的二叉查找树。完成问题(b)和(c)。

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