

DCS216 Operating Systems

Lecture 13
Synchronization (2)
Mutex Locks, Semaphores

Apr 10th, 2024

Instructor: Xiaoxi Zhang

Sun Yat-sen University



Content

- Mutex Locks
- Hardware Support for Synchronization
 - Controlling Interrupts
 - Memory Barriers
 - `test_and_set()`
 - `compare_and_swap()`CAS
- Semaphores
 - Binary Semaphores
 - Counting Semaphores

Solution #4 – Mutex Lock

```
/* milk4.c */
#include <stdio.h>
#include <pthread.h>
#include <unistd.h>
int milk = 0;
pthread mutex_t lock;
void *threadfun(void *arg) {
    pthread_mutex_lock(&lock);
    if (milk == 0)  // If no milk
                                         By using Mutex, the "Too Much Milk"
        milk++;
                 // Buy milk
                                         problem becomes trivial.
    pthread mutex unlock(&lock);
    pthread exit(∅);
                                         The complexity is still there.
int main() {
                                         It's just hidden away from us in
    pthread t A, B;
                                         lock() and unlock().
    pthread mutex init(&lock, NULL);
    pthread create(&A, NULL, threadfun, NULL);
    pthread create(&B, NULL, threadfun, NULL);
    pthread_join(A, NULL);
    pthread join(B, NULL);
    printf("Milk: %d\n", milk);
    return 0;
```



Mutex Lock

- By now, you should have some basic ideas of how a lock works
 - ...from the perspective of a programmer
 - Even a five-year-old can use `pthread_mutex_lock()` and `pthread_mutex_unlock()` to solve Critical-Section Problem.
- But how to build a lock?
 - ...topic of an OS class
 - What hardware support is needed?
 - What OS (software) support is needed?

```
while (true) {
          acquire lock
          critical section
          release lock
          remainder section
}
```



Mutex Lock

- A Mutex Lock (互斥锁) is a high-level software tool to solve the the Critical-Section Problem.
- The term "Mutex" is short for Mutual Exclusion.
- A Mutex Lock should ensure the following three properties:
 - Mutual Exclusion: At most one thread holds the lock.
 - Progress: If no thread holds the lock and any thread attempts to acquire the lock, then eventually some thread succeeds in acquiring the lock.
 - Bounded Waiting: If thread T attempts to acquire a lock, then there exists a bound on the number of times other threads can successfully acquire the lock before T does.



Mutex Lock APIs

void lock_init(lock_t *lock) : Initialize a mutex lock

void acquire(lock_t *lock) : Acquire a mutex lock

void release(lock_t *lock) : Release a mutex lock



- Controlling Interrupts
 - One of the earliest solution used to provide mutual exclusion
 - Simplicity: You certainly don't have to scratch your head too hard to figure out why this works: without interruption, a thread can be sure that the code it is executing will not be interfered by other threads.

```
void acquire() {
    disable_interrupts();
}
void release() {
    enable_interrupts();
}
```

Negatives:

- works only on single-processor systems, not on multi-processors.
- requires kernel-level privilege (turning interrupts on and off is a privileged operation), typically only used in kernel code.
- turning off interrupts for extended periods of time can lead to interrupts being lost, which can cause serious systems problems.



- A Simple Flag
 - to indicate whether some thread has held a lock.

```
/* Lock1.c */
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> Lock available (UNLOCKED)
    * 1 -> lock held (LOCKED)
   lock->flag = 0;
void acquire(lock t *lock) {
   while (lock->flag == 1) // TEST flag
               // spin wait
   lock->flag = 1;  // now SET flag
void release(lock_t *lock) {
   lock->flag = 0;  // RESET flag
```



- A Simple Flag
 - to indicate whether some thre

```
/* Lock1.c */
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
    * 1 -> lock held (LOCKED)
   lock->flag = 0;
void acquire(lock t *lock) {
   while (lock->flag == 1) // TEST flag
                      // spin wait
   lock->flag = 1;  // now SET flag
}
void release(lock t *lock) {
   lock->flag = 0;  // RESET flag
```

```
/* Lock1.c */
int max;
static volatile int count = 0;
lock t lock;
void *threadfun(void *arg) {
    for (int i = 0; i < max; i++) {</pre>
        acquire(&lock);
        count++;
        release(&lock);
    pthread_exit(0);
int main(int argc, char *argv[]) {
    max = atoi(argv[1]);
    lock init(&lock);
    pthread t p1, p2;
    pthread create(&p1, NULL, threadfun, NULL);
    pthread create(&p2, NULL, threadfun, NULL);
    pthread join(p1, NULL);
    pthread join(p2, NULL);
    printf("max: %d, count: %d\n", max, count);
    return 0;
```

We'll be using this main() template to stress-test the our implementation of mutex lock.



- A Simple Flag
 - to indicate whether some three

```
/* Lock1.c */
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
    * 1 -> lock held (LOCKED)
   lock->flag = 0;
}
void acquire(lock t *lock) {
   while (lock->flag == 1) // TEST flag
                      // spin wait
   lock->flag = 1;  // now SET flag
}
void release(lock t *lock) {
   lock->flag = 0;  // RESET flag
```

```
/* Lock1.c */
int max;
static volatile int count = 0;
lock t lock;
void *threadfun(void *arg) {
    for (int i = 0; i < max; i++) {</pre>
        acquire(&lock);
        count++;
        release(&lock);
    pthread_exit(0);
int main(int argc, char *argv[]) {
    max = atoi(argv[1]);
    lock init(&lock);
    pthread t p1, p2;
    pthread create(&p1, NULL, threadfun, NULL);
    pthread create(&p2, NULL, threadfun, NULL);
    pthread join(p1, NULL);
    pthread join(p2, NULL);
    printf("max: %d, count: %d\n", max, count);
    return 0;
```

```
$ ./lock1 100000
max: 100000, count: 133746
$ ./lock1 1000000
max: 1000000, count: 1486504
```



- A Simple Flag
 - to indicate whether some thread has held a lock.

```
/* Lock1.c */
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
    * 1 -> lock held (LOCKED)
   lock->flag = 0;
void acquire(lock t *lock) {
   while (lock->flag == 1) // TEST flag
                   // spin wait
   lock->flag = 1;  // now SET flag
}
void release(lock t *lock) {
   lock->flag = 0; // RESET flag
```

Thread A got interrupted immediately right after the test `flag == 1`.



- Peterson's Algorithm
 - An improved Flag-Based pure software solution that actually works.

```
/* peterson lock.c */
typedef struct __lock_t {
    int flag[2];
    int turn;
} lock t;
void init(lock t *lock) {
    lock \rightarrow flag[0] = 0;
    lock \rightarrow flag[1] = 0;
    lock->turn = 0;
void acquire(lock t *lock, int tid) {
    lock->flag[tid] = 1; // tid wants to acquire
    int other = 1 - tid;
    lock->turn = other; // set turn to other
    while (lock->flag[other] && lock->turn == other)
                           // busy wait for its turn
        ;
void release(lock_t *lock, int tid) {
    lock->flag[tid] = 0; // tid unlock
```

Instruction **interleaving** won't affect the correctness of the algorithm (assuming atomic load and store).



- Peterson's Algorithm
 - Instruction interleaving won't affect the correctness of the algorithm (assuming atomic load and store).

```
/* peterson lock.c */
typedef struct __lock_t {
    int flag[2];
    int turn;
} lock t;
void init(lock t *lock) {
    lock \rightarrow flag[0] = 0;
    lock \rightarrow flag[1] = 0;
    lock->turn = 0;
void acquire(lock t *lock, int tid) {
    lock->flag[tid] = 1; // tid wants to acquire
    int other = 1 - tid;
    lock->turn = other; // set turn to other
    while (lock->flag[other] && lock->turn == other)
                           // busy wait for its turn
        ;
void release(lock_t *lock, int tid) {
    lock->flag[tid] = 0; // tid unlock
```

```
$ ./peterson_lock 1000
max: 1000, count: 2000

$ ./peterson_lock 10000
max: 10000, count: 19995
Race condition at `count`.

$ ./peterson_lock 100000
max: 100000, count: 199996
Race condition at `count`.

$ ./peterson_lock 1000000
max: 1000000, count: 1999855
Race condition at `count`.
```



- Peterson's Algorithm
 - Unfortunately, on most systems, atomic loads and stores are not guaranteed by default.

```
/* peterson lock.c */
typedef struct __lock_t {
    int flag[2];
    int turn;
} lock t;
void init(lock t *lock) {
    lock \rightarrow flag[0] = 0;
    lock \rightarrow flag[1] = 0;
    lock->turn = 0;
void acquire(lock t *lock, int tid) {
    lock->flag[tid] = 1; // tid wants to acquire
    int other = 1 - tid;
    lock->turn = other; // set turn to other
    while (lock->flag[other] && lock->turn == other)
                           // busy wait for its turn
        ;
void release(lock_t *lock, int tid) {
    lock->flag[tid] = 0; // tid unlock
```

```
$ ./peterson_lock 1000
max: 1000, count: 2000

$ ./peterson_lock 10000
max: 10000, count: 19995
Race condition at `count`.

$ ./peterson_lock 100000
max: 100000, count: 199996
Race condition at `count`.

$ ./peterson_lock 1000000
max: 1000000, count: 1999855
Race condition at `count`.
```

Our implementation almost worked! What happened???

Short answer(maybe): Weak memory model; cache inconsistency.



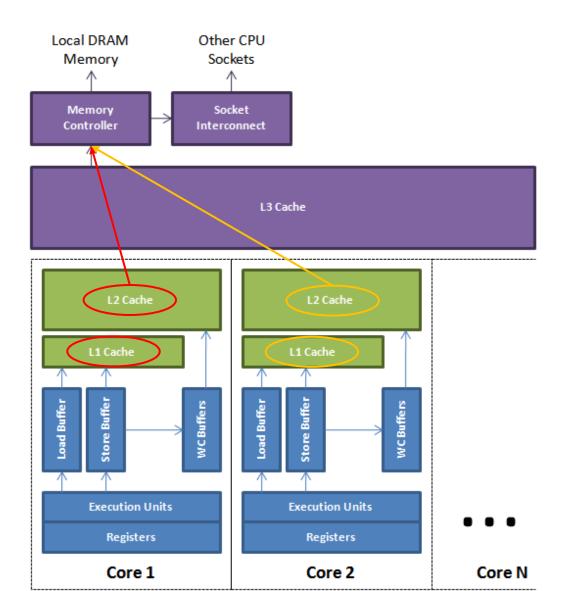
Hardware Support for Synchronization

■ Memory Barriers (内存屏障)

- Memory Model: what memory guarantees does a computer architecture provide for an application and how threads interact with memory
 - **Strongly ordered (强内存排序)**: a memory modification on one processor is immediately visible to all other processors
 - **Weakly ordered (弱内存排序)**: modifications to memory on one processor may not be immediately visible to other processors.
- Memory orders vary by processor type, so kernel developers cannot make any assumptions regarding the visibility of modifications to memory on a shared-memory multiprocessor.
- Memory barriers (or memory fences) are often used to force any change in memory to be propagated to all other processors. (think of it as a flush() operation)



Memory Barriers





- Peterson's Algorithm with atomic load and store
 - <stdatomic.h> supports atomic_store() and atomic_load().

```
/* peterson lock atomic.c */
typedef struct __lock_t {
    atomic int flag[2];
    atomic int turn;
} lock t;
void init(lock t *lock) {
    atomic store(&lock->flag[0], 0);
    atomic store(&lock->flag[1], 0);
    atomic store(&lock->turn, 0);
void acquire(lock t *lock, int tid) {
    atomic store(&lock->flag[tid], 1);
    atomic store(&lock->turn, 1 - tid);
    while (atomic load(&lock->flag[1-tid]) &&
           atomic load(&lock->turn) == 1-tid)
        ;
void release(lock t *lock, int tid) {
    atomic store(&lock->flag[tid], 0);
```

```
$ ./peterson_lock_atomic 1000
max: 1000, count: 2000

$ ./peterson_lock_atomic 10000
max: 10000, count: 20000

$ ./peterson_lock_atomic 100000
max: 100000, count: 2000000

$ ./peterson_lock_atomic 1000000
max: 1000000, count: 2000000
```

Memory fences are put in place around every atomic_store() and atomic_load() operation, ensuring memory consistency among threads running on different cores.



- A Simple Flag
 - to indicate whether some thread has held a lock.

```
/* Lock1.c */
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
    * 1 -> lock held (LOCKED)
   lock->flag = 0;
void acquire(lock t *lock) {
   while (lock->flag == 1) // TEST flag
                      // spin wait
   lock->flag = 1;  // now SET flag
}
void release(lock t *lock) {
   lock->flag = 0; // RESET flag
```

```
`flag == 0` initially...
// Thread A
                            // Thread B
// call acquire()
while (flag == 1) {
                           // call acquire()
                            while (flag == 1) {
                            flag = 1;
                            // Critical Section
flag = 1;
// Set flag (too!)
// Critical Section
        Wouldn't it be nice if

    TEST (flag == 1)

        • SET (flag = 1)
        is uninterruptible/atomic?
```



- Test-And-Set
 - It returns the old value pointed to by `target`
 - and simultaneously updates `*target` to true
 - The `test_and_set` instruction is atomic and uninterruptible, i.e., it is usually performed within a single CPU cycle.

```
boolean test_and_set(boolean *target) {
   boolean rv = *target;
   *target = true;

   return rv;
}
```

Figure 6.5 The definition of the atomic test_and_set() instruction.



- Test-And-Set
 - Can be used to implement busy wait mutex locks, also called spin locks.

```
/* Lock2.c */
typedef struct __lock_t {
    int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
     * 1 -> lock held (LOCKED)
    lock->flag = 0;
void acquire(lock t *lock) {
   // Atomic Test and Set
    while (test and set(&lock->flag))
        ;
void release(lock t *lock) {
    lock->flag = 0;  // RESET flag
```



- Test-And-Set
 - Since C11, <stdatomic.h> provides support for test_and_set().

```
/* Lock2.c */
#include <stdatomic.h>
typedef struct __lock_t {
    int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> Lock available (UNLOCKED)
     * 1 -> lock held (LOCKED)
    lock->flag = 0;
void acquire(lock t *lock) {
   // Atomic Test and Set
    while (atomic_flag_test_and_set(&lock->flag))
void release(lock t *lock) {
    lock->flag = 0;  // RESET flag
```



- Test-And-Set
 - Since C11, <stdatomic.h> provides support for test_and_set().

```
/* Lock2.c */
#include <stdatomic.h>
typedef struct lock t {
   int flag;
} lock t;
void lock init(lock t *lock) {
   /* 0 -> lock available (UNLOCKED)
     * 1 -> lock held (LOCKED)
   lock->flag = 0;
void acquire(lock t *lock) {
   // Atomic Test and Set
   while (atomic_flag_test_and_set(&lock->flag))
void release(lock t *lock) {
   lock->flag = 0;  // RESET flag
```

```
$ ./lock2 100000
max: 100000, count: 200000

$ ./lock2 1000000
max: 1000000, count: 2000000

$ ./lock2 10000000
max: 10000000, count: 20000000
```



- Compare-And-Swap (CAS)
 - like Test-And-Set, but operates on two variables atomically, but uses a different mechanism based on **swapping** the content of two variables

```
int compare_and_swap(int *value, int expected, int new_value) {
  int temp = *value;

  if (*value == expected)
     *value = new_value;

  return temp;
}
```

Figure 6.7 The definition of the atomic compare_and_swap() instruction.



- Compare-And-Swap (CAS)
 - like Test-And-Set, but operates on two variables atomically, but uses a different mechanism based on **swapping** the content of two variables
 - is equivalent to
 compare_and_swap(&lock, 0, 1)`

```
int compare_and_swap(int *value, int expected, int new_value) {
  int temp = *value;

  if (*value == expected)
      *value = new_value;

    return temp;
}

boolean test_and_set(boolean *target) {
      boolean rv = *target;
      *target = true;

    return rv;
}

Figure 6.5 The definition of the atomic test_and_set() instruction.
```

Figure 6.7 The definition of the atomic compare_and_swap() instruction.



- Compare-And-Swap (CAS)
 - like Test-And-Set, but operates on two variables atomically, but uses a different mechanism based on **swapping** the content of two variables
 - is equivalent to
 compare_and_swap(&lock, 0, 1)

```
int compare_and_swap(int *value, int expected, int new_value) {
  int temp = *value;

  if (*value == expected)
      *value = new_value;

  return temp;
}

Figure 6.5 The definition of the atomic test_and_set() instruction.
```

Figure 6.7 The definition of the atomic compare_and_swap() instruction.



- Compare-And-Swap (CAS)
 - Since C11, <stdatomic.h> provides support for compare_and_swap().

```
/* Lock3.c */
                                          bool atomic compare exchange(int *value,
#include <stdatomic.h>
                                                                       int *expected,
typedef struct lock t {
                                                                       int new value) {
    int flag;
                                              if (*value == *expected) {
} lock t;
                                                  *value = new value;
                                                  return true;
void lock init(lock t *lock) {
                                               } else {
   /* 0 -> lock available (UNLOCKED)
                                                  *expected = *value;
     * 1 -> lock held (LOCKED)
                                                  return false:
    lock->flag = 0;
                                                     *真* Compare-And-Swap()
void acquire(lock t *lock) {
    int expected = 0;
    while (!atomic_compare_exchange_strong(&lock->flag, &expected, 1))
       expected = 0;
void release(lock t *lock) {
    lock->flag = 0;  // RESET flag
```



- Compare-And-Swap (CAS)
 - Since C11, <stdatomic.h> provides support for compare_and_swap().

```
/* Lock3.c */
                                                5 ./lock3 100000
#include <stdatomic.h>
                                                max: 100000, count: 200000
typedef struct lock t {
   int flag;
                                                ./lock3 1000000
} lock t;
                                                max: 1000000, count: 2000000
void lock init(lock t *lock) {
   /* 0 -> Lock available (UNLOCKED)
                                                ./lock3 10000000
    * 1 -> lock held (LOCKED)
                                                max: 10000000, count: 20000000
   lock->flag = 0;
void acquire(lock t *lock) {
   int expected = 0;
   while (!atomic_compare_exchange_strong(&lock->flag, &expected, 1))
       expected = 0;
void release(lock t *lock) {
   lock->flag = 0;  // RESET flag
```

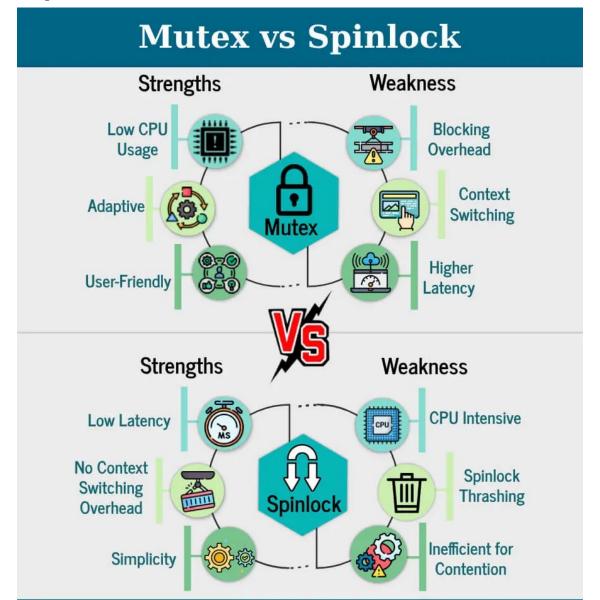


Spinlock

- The implementation using `test_and_set()` and `compare_and_swap()` has a main disadvantage: busy waiting.
- The type of mutex lock that perform busy waiting is also called a **spinlock(自旋锁)**, because the thread "spins" while waiting for the lock to become available.
- Spinlocks do have **advantages**, however, in that no **context switch** is required when a thread is waiting for a lock. In certain circumstances, spinlocks are the preferable choice for locking if the critical section is

short.

Mutex vs. Spinlock





Semaphores

- Semaphores (信号量) are a kind of **generalized** lock
 - First introduced by **Edsger Dijkstra** in 1960s
 - The main synchronization primitive used in original UNIX
- **Definition**: a Semaphore S is an integer variable that (apart from initialization) is accessed only through two **atomic** operations:
 - Wait() / Down()/ P(): an atomic operation that decrements semaphore by 1, and waits if value of semaphore is negative
 - Signal()/ Up() / V(): an atomic operation that increments the semaphore by 1, if there are threads waiting, wake up one of them
 - Wait() was originally termed P (from the Dutch proberen, "to test");
 - Signal() was originally called V (from Dutch verhogen, "to increment")



Semaphores

- Semaphores (信号量) are a kind of **generalized** lock
 - First introduced by **Edsger Dijkstra** in 1960s
 - The main synchronization primitive used in original UNIX
- **Definition**: a Semaphore S is an integer variable that (apart from initialization) is accessed only through two **atomic** operations:
 - Wait() / Down()/ P(): an atomic operation that decrements semaphore by 1, and waits if value of semaphore is negative
 - Signal()/ Up() / V(): an atomic operation that increments the semaphore by 1, if there are threads waiting, wake up one of them

```
wait(S) {
    while (S <= 0)
     ; // busy wait
    S--;
}</pre>
```

```
signal(S) {
    S++;
}
```



Semaphores Usage

- **Binary** Semaphore (二进制信号量): **Mutual Exclusion**
 - S value can only be 0 or 1
 - can be used for mutual exclusion (init value = 1), just like a mutex lock
 P(&S);
 // Critical Section
 V(&S);
- Counting Semaphore (计数信号量): Resource Constraints
 - S value can be any integer
 - can be used to control access to a given resource consisting of a finite number of instances.
 - The semaphore is initialized to the number of resources available.
 - Each thread that wishes to use a resource performs a `wait()/P()`
 - When a thread releases a resource, it performs a `signal()/V()`
 - When the count for the semaphore goes to 0, all resources are used.
 - After that, threads that wish to use a resource will block until the count becomes greater than 0



POSIX Semaphores API

Semaphore Type:

```
`struct sem_t`
```

Initialization:

```
`int sem init(sem t *sem, int pshared, unsigned int value);`
       pshared == 0: indicates that sem is to be shared between threads of
       the calling process
      pshared == 1: indicates that sem is to be shared between processes.
Wait() / Down() / P():
  `int sem wait(sem t *sem);`
Signal() / Up() / V():
  `int sem post(sem t *sem);`
```



POSIX Semaphores Example

Binary Semaphore as Mutex Lock

```
/* sem mutex.c */
#include <stdio.h>
#include <stdLib.h>
#include <pthread.h>
#include <semaphore.h>
int max;
static volatile int count = 0;
sem t mutex;
void* threadfun(void* arg) {
    for (int i = 0; i < max; i++) {</pre>
        sem wait(&mutex);
        // Critical Section Begin
        count++;
        // Critical Section End
        sem post(&mutex);
    pthread_exit(0);
```

```
int main(int argc, char *argv[]) {
    max = atoi(argv[1]);
    // Binary semaphore (mutex)
    sem init(&mutex, 0, 1);
    pthread t p1, p2;
    pthread_create(&p1, NULL, threadfun, NULL);
    pthread create(&p2, NULL, threadfun, NULL);
    pthread join(p1, NULL);
    pthread join(p2, NULL);
    printf("max: %d, count: %d\n", max, count);
    if (count != max * 2) {
        printf("Race condition at `count`.\n");
    }
    // Destroy the semaphore
    sem destroy(&mutex);
    return 0;
```



POSIX Semaphores Example

Binary Semaphore vs Pthread Mutex Lock

```
/* count mutex.c */
#include <stdio.h>
#include <stdLib.h>
#include <pthread.h>
#include <semaphore.h>
int max;
static volatile int count = 0;
pthread mutex t mutex;
void* threadfun(void* arg) {
    for (int i = 0; i < max; i++) {</pre>
        pthread mutex lock(&mutex);
        // Critical Section Begin
        count++;
        // Critical Section End
        pthread mutex unlock(&mutex);
    pthread_exit(0);
```

```
int main(int argc, char *argv[]) {
    max = atoi(argv[1]);
   // Initialize mutex lock
    pthread mutex init(&mutex, NULL);
    pthread t p1, p2;
    pthread_create(&p1, NULL, threadfun, NULL);
    pthread create(&p2, NULL, threadfun, NULL);
    pthread join(p1, NULL);
    pthread join(p2, NULL);
    printf("max: %d, count: %d\n", max, count);
    if (count != max * 2) {
        printf("Race condition at `count`.\n");
    }
   // Destroy the semaphore
    pthread mutex destroy(&mutex);
    return 0;
```



POSIX Semaphores Example

Binary Semaphore vs Pthread Mutex Lock

```
/* sem mutex.c */
#include <stdio.h>
#include <stdLib.h>
#include <pthread.h>
#include <semaphore.h>
int max;
static volatile int count = 0;
sem t mutex;
// Binary semaphore (mutex)
sem init(&mutex, 0, 1);
void* threadfun(void* arg) {
    for (int i = 0; i < max; i++) {</pre>
        sem wait(&mutex);
        // Critical Section Begin
        count++;
        // Critical Section End
        sem post(&mutex);
    pthread exit(0);
```

```
/* count mutex.c */
#include <stdio.h>
#include <stdLib.h>
#include <pthread.h>
#include <semaphore.h>
int max;
static volatile int count = 0;
pthread mutex t mutex;
// Initialize mutex lock
pthread mutex init(&mutex, NULL);
void* threadfun(void* arg) {
    for (int i = 0; i < max; i++) {</pre>
        pthread mutex lock(&mutex);
        // Critical Section Begin
        count++;
        // Critical Section End
        pthread mutex unlock(&mutex);
    pthread exit(0);
}
```



Recall: Bounded Buffer with Busy Waiting

Producer-Consumer Problem with Shared Memory

Producer vs. Consumer

- The shared buffer is implemented as a circular array with two logical pointers: in and out.
 - The variable in points to the next free position in the buffer;
 - The variable out points to the first full position in the buffer
 - The buffer is empty when in == out
 - The buffer is full when ((in + 1) % BUFFER_SIZE) == out
 - This scheme allows at most BUFFER_SIZE-1 items in the buffer at the same time. WHY?



Recall: Bounded Buffer with Busy Waiting

Producer-Consumer Problem with Shared Memory

in

of items: 0

1

2

3

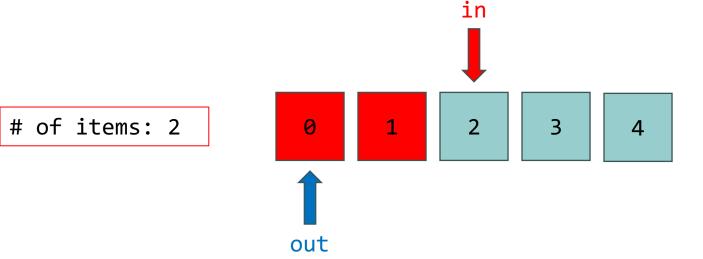
4





Recall: Bounded Buffer with Busy Waiting

Producer-Consumer Problem with Shared Memory





Counting Semaphore

```
// Producer
while (true) {
    /* produce an item*/

    wait(empty);
    wait(mutex);

    /* add to buffer */

    signal(mutex);
    signal(full);
}
```

```
// Consumer
while (true) {
    wait(full);
    wait(mutex);

    /* remove from buffer */

    signal(mutex);
    signal(empty);

    /* consume item */
}
```



Counting Semaphore

```
// Producer
                                      // Consumer
while (true) {
                                       while (true) {
    /* produce an item*/
                                           wait(full);
                                           wait(mutex);
    wait(empty);
                           Critical Section
                                           /* remove from buffer */
    wait(mutex);
    /* add to buffer */
                                           signal(mutex);
                                           signal(empty);
    signal(mutex);
    signal(full);
                                           /* consume item */
                                       }
```



Counting Semaphore

```
semaphore full = 0;  // consumer's constraint
semaphore empty = BUFFER_SIZE; // producer's constraint
semaphore mutex = 1;  // mutual exclusion
```

```
// Producer
while (true) {
    /* produce an item*/

    wait(empty);
    wait(mutex);

    /* add to buffer */

    signal(mutex);
    signal(full);
}
```

```
// Consumer
while (true) {
    wait(full);
    wait(mutex);
    wait(mutex);
    signal(mutex);
    signal(empty);

/* consume item */
}
```



Counting Semaphore

```
// Producer
while (true) {
    /* produce an item*/

    wait(empty);
    wait(mutex);

    /* add to buffer */

    signal(mutex);
    Producer adds item
    to buffer, signaling
    non-empty buffer
```

```
// Consumer
while (true) {
    wait(full);
    wait(mutex);
    wait(mutex);
    remove from buffer */

    signal(mutex);
    signal(empty);

/* consume item */
}
```



Counting Semaphore

```
// Producer
while (true) {
    /* produce an item*/

    wait(empty);
    wait(mutex);

    /* add to buffer */

    signal(mutex);
    Producer adds item to buffer, signaling non-empty buffer
```

```
// Consumer
while (true) {
    wait(full);
    wait(mutex);

    /* remove from buffer */

    signal(mutex);
    signal(empty);

    /* consume item */
}
```



Counting Semaphore

```
// Consumer
while (true) {
    wait(full);
    wait(mutex);

    /* remove from buffer */

    signal(mutex);
    signal(empty);

    /* consume item */
}
```

Counting Semaphore

```
// Producer
                                          // Consumer
  while (true) {
                                          while (true) {
       /* produce an item*/
                                               wait(full);
Producer can't proceed if there're no empty slots
                                               wait(mutex);
      wait(empty);
                                               /* remove from buffer */
       wait(mutex);
                          Consumer signals new empty slots
       /* add to buffer */
                                               signal(mutex);
                                               signal(empty);
       signal(mutex);
       signal(full);
                                               /* consume item */
                                          }
```



Counting Semaphore

```
// Producer
                                      // Consumer
                                      while (true) {
while (true) {
    /* produce an item*/
                                           wait(full);
                                           wait(mutex);
    wait(empty);
    wait(mutex);
                                           /* remove from buffer */
                      Consumer signals new empty slots
                                           signal(mutex);
    /* add to buffer */
                                           signal(empty);
    signal(mutex);
    signal(full);
                                           /* consume item */
                                       }
```



Counting Semaphore

- Bounded-Buffer Producer-Consumer
 - No busy waiting caused by while loops...

```
// Producer
                                      // Consumer
while (true) {
                                      while (true) {
    /* produce an item*/
                                          wait(full);
                                          wait(mutex);
    wait(empty);
                                          /* remove from buffer */
    wait(mutex);
    /* add to buffer */
                                          signal(mutex);
                                          signal(empty);
    signal(mutex);
    signal(full);
                                          /* consume item */
```

```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
/* bounded buffer sem.c */
#define BUFFER SIZE 5
int buffer[BUFFER SIZE];
int in = 0;
int out = 0;
sem t empty;
sem t full;
sem t mutex;
void printBuffer() {...};
int main() {
    pthread t prod, cons;
    sem_init(&mutex, 0, 1);
    sem init(&empty, 0, BUFFER SIZE-1);
    sem init(&full, 0, 0);
    pthread create(&prod, NULL, producer, NULL);
    pthread create(&cons, NULL, consumer, NULL);
    pthread join(prod, NULL);
    pthread join(cons, NULL);
    sem destroy(&mutex);
    sem destroy(&empty);
    sem destroy(&full);
    return 0;
}
```



```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [ 1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer: [
--> Produced 5. in: 1, out: 2. Buffer: [ 5
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer: |
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```



```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem_wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [
                                      1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer:
--> Produced 5. in: 1, out: 2. Buffer: |
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```

```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [
<-- Consumed 1. in: 0, out: 2. Buffer: [
--> Produced 5. in: 1, out: 2. Buffer: [
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```



```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem wait(&empty); \// Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [ 1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer: [
--> Produced 5. in: 1, out: 2. Buffer: [
<-- Consumed 2. in: 1, out: 3. Buffer: [</pre>
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```

```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem_wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [ 1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer: [
--> Produced 5. in: 1, out: 2. Buffer: [
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [
<-- Consumed 3. in: 2, out: 4. Buffer: [</pre>
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```

```
Semaphores
```

```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem_wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) % BUFFER SIZE:
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [ 1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer: |
--> Produced 5. in: 1, out: 2. Buffer: [
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6</pre>
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```

```
void* producer(void* arg) {
    int next produced;
    for (int i = 0; i < 10; i++) {
        next produced = i;
        sem_wait(&empty); // Decrement empty count
        sem wait(&mutex);
        // Add the item to the buffer
        buffer[in] = next produced;
        in = (in + 1) \% BUFFER SIXE;
        printf("--> Produced %d. ", next produced);
        printBuffer();
        sem post(&mutex);
        sem post(&full);
}
void* consumer(void* arg) {
    int next consumed;
    for (int i = 0; i < 10; i++) {
        sem wait(&full); // Decrement full count
        sem wait(&mutex);
        // Remove an item from the buffer
        next consumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        printf("<-- Consumed %d. ", next consumed);</pre>
        printBuffer();
        sem post(&mutex);
        sem post(&empty);
        sleep(rand() % 5);
```

```
make bounded buffer sem
gcc -g -Wall -pthread -m32 -o bounded buffer sem
bounded buffer sem.c
./bounded buffer sem
--> Produced 0. in: 1, out: 0. Buffer: [ 0
--> Produced 1. in: 2, out: 0. Buffer: [ 0 1
--> Produced 2. in: 3, out: 0. Buffer: [ 0 1 2
--> Produced 3. in: 4, out: 0. Buffer: [ 0 1 2 3
--> Produced 4. in: 0, out: 1. Buffer: [ 1 2 3
<-- Consumed 1. in: 0, out: 2. Buffer: [
--> Produced 5. in: 1, out: 2. Buffer: [
<-- Consumed 2. in: 1, out: 3. Buffer: [
--> Produced 6. in: 2, out: 3. Buffer: [ 5 6
<-- Consumed 3. in: 2, out: 4. Buffer: [ 5 6
--> Produced 7. in: 3, out: 4. Buffer: [ 5 6 7 _
<-- Consumed 4. in: 3, out: 0. Buffer: [ 5 6 7
--> Produced 8. in: 4, out: 0. Buffer: [ 5 6 7 8
<-- Consumed 5. in: 4, out: 1. Buffer: [ 6 7 8</pre>
<-- Consumed 6. in: 4, out: 2. Buffer:
--> Produced 9. in: 0, out: 2. Buffer:
<-- Consumed 7. in: 0, out: 3. Buffer:
<-- Consumed 8. in: 0, out: 4. Buffer:
<-- Consumed 9. in: 0, out: 0. Buffer:
```



Synchronization	Pseudocode Convention	POSIX API
Mutex Lock	<pre>lock_init()</pre>	<pre>pthread_mutex_init()</pre>
	acquire()	<pre>pthread_mutex_lock()</pre>
	release()	<pre>pthread_mutex_unlock()</pre>
Semaphore	wait() / Down() / P()	<pre>sem_wait()</pre>
	signal() / Up() / V()	<pre>sem_post()</pre>

Thank you!