Compiler Construction 2010/2011 Functional Programming Languages

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Functional Programming Languages

- Based on the mathematical notion of function
- Equational reasoning: f(a) = f(a)
- Pure/impure functional programming languages
- Characteristic feature: higher-order functions with nested lexical scope see also: delegates, anonymous classes, ...

Outline

- FunJava
- Closures
- 3 PureFunJava
- 4 Inline Expansion
- Closure Conversion
- 6 Tail Recursion
- Lazy Evaluation
- Java JSR 335

Three Flavors of FP

FunJava

- MiniJava with higher-order functions
- Side effects permitted, cf. Scheme, ML, Smalltalk
- Impure, HO functional language

PureFunJava

- FunJava w/o side effects
- Pure, HO functional language

LazyFunJava

- PureFunJava with lazy evaluation
- Nonstrict, pure functional, cf. Haskell

FunJava, the Language

MiniJava + function types

```
ClassDecl = type id = TypeExp;
TypeExp = TypeExp -> TypeExp
= (TypeList) -> TypeExp
= (TypeExp)
= Type
TypeList = TypeExp TypeRest*
=
TypeRest = , TypeExp
```

FunJava, the Language

MiniJava + function calls

```
Exp = Exp(ExpList)

Exp = Exp.id
```

- If v is an object with method int m (int[]), then v.m evaluates to a function of type (int[]) -> int.
- Evaluating v.m does not invoke the method.

FunJava, the Language

Expressions and Statements

- Variables and functions/methods can be declared at the beginning of each block. (Nested functions)
- return produces the result for the next enclosing block. { return 3;} + { return 4;} yields 7.
- The if statement is replaced by an if expression.

FunJava Example Program

```
type intf = int -> int
class C {
  public intf add (n: int) {
    public int h (int m) { return m+n; }
    return h;
  public intf twice (f: intf) {
    public int g (int x) { return f (f (x)); }
    return a:
  public int test () {
    intf addFive = add (5);
    intf addSeven = add (7):
    int twenty = addFive (15);
    int twentyTwo = addSeven (15);
    intf addTen = twice (addFive);
    int seventeen = twice (add (5)) (7);
    intf addTwentyFour = twice (twice (add (6)));
    return addTwentyFour (seventeen);
```

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Representation of Function Values

- Without nested functions (C): function pointers
 Function value = address of function's code
- In the IR:

```
MOVE (TEMP (t_ff), NAME (L_function)) CALL (TEMP (t_ff), ... parameters ...)
```

- Not sufficient for nested functions like h and g:
 - where does n come from?
 - where does f come from?
- Solution: represent function value by a closure
- Closure = a data structure that contains the code address and the values of free variables (environment)
- Similar to object with one method and several instance variables

Activation Records

- Function (add) may return a locally defined function (h)
- ⇒ This function h may refer to parameters and local variables of the enclosing function add (in particular, n)
- ⇒ Parameters and local variables cannot be allocated on the stack, but must be put in an <u>activation record on the heap</u>.
 - Activation record holds a <u>static link</u> to the last activation record of the next enclosing function.

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Immutable Variables

- Equational reasoning not sound for FunJava
- ⇒ PureFunJava prohibits side effects
 - No assignments to variables (exception: variable initialization)
 - No assignments to fields of records (exception: initialization in the constructor)
 - No calls to side-effecting external functions like println
 - Programs in functional style produce new objects (partial copies) instead of changing existing ones.

Special Constructor Syntax

Syntax Changes for PureFunJava

```
ClassDecl = class id { VarDecl* MethodDecl* Constructor }

Constructor = public id (FormalList) { Init* }

Init = this.id = id
```

Continuation-Based I/O

- How to do I/O if side effects are disallowed?
- Answer: Enforce proper sequencing by using function calls
- I/O visible to type checker: answer type

Interface for functional I/O

```
type answer // special built-in type
type intConsumer = int -> answer
type cont = () -> answer

interface ContIO {
  public answer readByte (intConsumer c);
  public answer putByte (int i, cont c);
  public answer exit ();
}
```

Language Changes

- Remove System.out.println
- Add functional I/O types and operations
- Remove assignment and while loops
- Each block is limited to one statement following the declarations

PureFunJava, Example Program

```
public answer getInt (intConsumer done) {
  public answer nextDigit (int accum) {
    public answer eatChar (int dgt) {
      return if (isDigit (dgt))
               nextDigit (accum * 10 + dgt - 48)
             else done (accum);
    return ContIO.readByte (eatChar);
  return nextDigit (0);
```

Optimization of PureFunJava

- PureFunJava is a proper subset of FunJava
- All existing optimizations apply
- Computing the control flow graph is more demanding
- Additionally, optimization can exploit equational reasoning

Exploiting Equational Reasoning

Example Program

```
class G {
  int a; int b;
  public G (int a, int b) {
   this.a = a;
   this.b = b;
int a1 = 5;
int b1 = 7;
G r = new G (a1, b1);
int x = f(r); // no change of r possible
int y = r.a + r.b; // must be equivalent to
int y = a1 + b1;
```

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Inline Expansion

Inline Expansion

- Replace a function call by its definition
- Substitute actual parameter expressions for formal parameters
- Essential optimization for FP
 - many short functions
 - specializes higher-order functions
- Further optimization possible after inline expansion (inlining)

Program with hole in scope

```
int x = 5
int g (int y) {
  return y+x;
}
int f (int x) {
  return g (1) + x;
}
void main () { ... f(2) +x ... }
```

Program with hole in scope

```
int x = 5
int g (int y) {
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}
int f (int x) {
  return g (1) + x;
}
void main () { ... f(2) +x ... }
```

Naive inlining of g into f

```
int f (int x) {
  return { return 1+x; } + x;
}
```

 α -Conversion — Renaming of Bound Variables

First rename local variable

 α -Conversion — Renaming of Bound Variables

First rename local variable

Then substitute g into f

```
int f (int a) {
  return { return 1+x; } + a;
}
```

 α -Conversion — Renaming of Bound Variables

First rename local variable

Then substitute g into f

```
int f (int a) {
  return { return 1+x; } + a;
}
```

Alternative

Rename all local variables so that each variable is bound at most once in the program.

Inline Expansion Algorithm

If actual parameters are variables . . .

Let $f(a_1, \ldots, a_n)B$ be in scope Let $f(i_1, \ldots, i_n)$ be a call with i_j variables Replace the call with $B[a_1 \mapsto i_1, \ldots, a_n \mapsto i_n]$

Inline Expansion Algorithm

If actual parameters are variables . . .

```
Let f(a_1, ..., a_n)B be in scope
Let f(i_1, ..., i_n) be a call with i_j variables
Replace the call with
B[a_1 \mapsto i_1, ..., a_n \mapsto i_n]
```

If actual parameters are expressions ...

```
Let f(a_1,\ldots,a_n)B be in scope
Let f(e_1,\ldots,e_n) be a call with e_j non-trivial expressions
Rewrite the call to
\{\text{int } i_1=e_1;\ldots \text{int } i_n=e_n; \text{ return } B[a_1\mapsto i_1,\ldots,a_n\mapsto i_n]\}
where i_i are fresh variables
```

Comments on Inline Expansion Algorithm

- Let int double (j) { return j+j; }
- Consider expanding the call double (g (x)) ignoring that the actual argument is a non-trivial expression
- Result: g(x) + g(x)
 - Computation is repeated (expensive)
 - If impure, then side effect of g(x) is repeated and each call may yield a different result
- Correct inlining avoids these problems:

```
\{ i = g(x); return i+i; \}
```

Comments on Inline Expansion Algorithm

- Let int double (j) { return j+j; }
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\{ i = g(x); return i+i; \}
```

- Remarks
 - An implementation would handle each argument separately
 - Dead function elimination possible after inlining

Some Example Code

```
class list {int head; int tail; } // constructor omitted
type observeInt = (int, cont) -> answer
public answer doList (observeInt f, list l, cont c) {
  return
    if (l===null)
      c ();
    else {
     public answer doRest () {
        return doList (f, l.tail, c);
      return f (l.head, doRest);
    };
public answer printTable (list 1, cont c) {
  return doList (printDouble, 1, c);
```

Inlining doList into printTable does not yield the desired result:

```
public answer printTableDL (list 1, cont c) {
  return
   if (l===null)
      c ();
  else {
      public answer doRest () {
         return doList (printDouble, l.tail, c);
      }
      return printDouble (l.head, doRest);
    };
}
```

Inlining doList into printTable does not yield the desired result:

```
public answer printTableDL (list 1, cont c) {
  return
   if (l===null)
      c ();
  else {
     public answer doRest () {
      return doList (printDouble, l.tail, c);
     }
     return printDouble (l.head, doRest);
  };
}
```

• Only the first element is processed directly with printDouble, the remaining are still processed with the generic doList

Loop-Preheader Transformation

Given recursive function int $f(a_1, ..., a_n)B$ Transform to

```
int f(a'_1, \ldots, a'_n){
	int f'(a_1, \ldots, a_n)B[f \mapsto f']
	return f'(a'_1, \ldots, a'_n);
}
```

Loop-Preheader Transformation

Given recursive function int $f(a_1, ..., a_n)B$ Transform to

```
int f(a'_1, \ldots, a'_n){
	int f'(a_1, \ldots, a_n)B[f \mapsto f']
	return f'(a'_1, \ldots, a'_n);
}
```

 Inlining now copies the specialized local function f' into the target

Loop-Preheader Transformation Applied

```
public answer doList (observeInt fX, list lX, cont cX) {
  public answer doListX (observeInt f, list 1, cont c) {
    return
      if (l===null)
        c ();
      else {
        public answer doRest () {
          return doListX (f, l.tail, c);
        return f (l.head, doRest);
      };
  return doListX (fX, lX, cX);
```

Inlining Recursive Functions

Loop-Preheader Transformation Applied

```
public answer doList (observeInt fX, list lX, cont cX) {
  public answer doListX (observeInt f, list l, cont c) {
    return
      if (l===null)
        c ();
      else {
        public answer doRest () {
          return doListX (f, l.tail, c);
        return f (l.head, doRest);
      };
  return doListX (fX, lX, cX);
```

- Observation: arguments f and c are loop invariant
- Replace by outer parameters



Inlining Recursive Functions

Hoisting Loop-Invariant Arguments

```
public answer doList (observeInt f, list lX, cont c) {
  public answer doListX (list 1) {
    return
      if (l===null)
        c ();
      else {
        public answer doRest () {
          return doListX (l.tail);
        return f (l.head, doRest);
      };
  return doListX (1X);
```

Inlining of doList into printTable continued

```
public answer printTable (list lX, cont c) {
  public answer doListX (list 1) {
    return
      if (l===null)
        c ();
      else {
        public answer doRest () {
          return doListX (l.tail);
        return printDouble (l.head, doRest);
      };
  return doListX (1X);
```

• printDouble is called directly and can be inlined!



Inlining Recursive Functions

Cascaded Inlining

```
public answer printTable (list lX, cont c) {
 public answer doListX (list 1) {
  return
   if (l===null)
    c ();
   else {
   public answer doRest () {
     return doListX (l.tail);
    return {
     int i = l.head;
     public answer again() {return putInt (i+i, doRest);
     return putInt (i, again);
    };
   };
 return doListX (1X);
```

Avoiding Code Explosion

- Inline expansion copies function bodies
- ⇒ The program text becomes bigger
- ⇒ Expansion may not terminate
 - Controlling inlining
 - Expand very frequently executed call sites determine frequency by static estimation or execution profiling
 - Expand functions with very small bodies
 - Expand functions called only once rely on dead function elimination

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Closure Conversion

- Closure = code address + environment
- One representation of closures: objects
- Closure conversion transforms the program so that no function appears to access free variables
- Approach: represent a function value of type t1 -> t2 by an object implementing the interface

```
interface I_t1_t2 {
  public t2 exec (t1 x);
}
```

There is a different implementation class for each function, as the free variables differ

Closure Conversion

Example

```
class doRest implements I_list_answer {
  doListX dlx; list l;
  public answer exec () { return dlx.exec (l.tail); }
class again implements I void answer {
  doListX dlx; list l; int i;
  public answer exec () {return putInt (i+i, new doRest (dlx, 1));}
class doListX implements I_list_answer {
 cont. c:
  public answer exec (list 1) {
    return
      if (l===null) c.exec ();
     else {
        return { int i = l.head;
                 return putInt (i, new again (this, l, i)); };
      };
class printTable implements I_list_cont_answer {
  public exec (list 1X, cont c) {
    return new doListX (c).exec (lX);
```

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Tail Recursion

- Functional programs have no loops
- Efficient (iterative) recursion through tail recursion
- A function is tail recursive if each recursive function call is a tail call
- Tail calls defined by contexts:

$$B = \{t_1 \ X_1 = e_1; \dots t_n \ X_n = e_n; \text{ return } B'\}$$

$$B' = \square \mid B \mid \text{if}(e) \ B' \text{ else } B'$$

 A call to g is a tail call if it occurs in a function definition as follows

$$t f(a_1,\ldots,a_n)B[g(e_1,\ldots,e_m)]$$

```
int g (int y) { int x = h(y); return f(x); }
```

- h (y) is not a tail call
- f(x) is a tail call
- Tail calls can be implemented more efficiently by a jump instead of a call
- Calling sequence for tail call:
 - Move actual parameters into argument registers
 - Restore callee-save registers
 - Pop stack frame of the calling function (if it has one)
 - Jump to the callee

Effects of Tail Calls

- In printTable, all calls are tail calls
- ⇒ Can all be implemented with jumps
 - The generated code is very similar to the code generated for the equivalent imperative program (with a while loop)
 - Difference: activation block on the heap vs. on the stack
 - Amendment
 - By compile-time escape analysis: objects that do not escape can be stack-allocated
 - By extremely cheap heap allocation and garbage collection

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Lazy Evaluation

- β -reduction: important law in equational reasoning
- Reminder β -reduction: if f(x) = B, then $f(e) = B[x \mapsto e]$
- PureFunJava violates this law

Unsound β-Reduction in PureFunJava

```
int loop (int z) {
                          int loop (int z) {
  return
                            return
    if (z>0) 42
                              if (z>0) 42
    else loop (z));
                              else loop (z));
int f (int x) {
                          int f (int x) {
  return if (y>8) x
                            return if (y>8) x
         else -y;
                                    else -y;
return f (loop (y));
                          return if (y>8) loop (y)
                                    else -v;
```

• For y = 0, left loops, but right terminates

Remedy: LazyJava With Call-By-Name Evaluation

- LazyJava
 - same syntax as PureFunJava
 - but with <u>lazy evaluation</u>: expressions are only evaluated if and when their value is demanded by execution of the program
- First step: <u>call-by-name</u> evaluation
 - Transform each expression to a thunk
 - Thunk: parameterless procedure that yields the value of the expression when invoked
 - Advantage: evaluation only when needed
 - Disadvantage: evaluation can be repeated arbitrarily often

Introducing Thunks

Original Program (lookup in binary tree)

```
class tree {
  String key;
  int binding;
  tree left;
  tree right;
public int look (tree t, String k) {
  int c = t.key.compareTo(k);
  if (c < 0) return look (t.left, k);
  else if (c > 0) return look (t.right, k);
  else return t.binding;
```

Introducing Thunks

Transformed Program (lookup in binary tree)

```
type th_int = () \rightarrow int;
type th_tree = () -> tree;
type th_string = () -> String;
class tree {
  th String key;
  th_int binding;
  th_tree left;
 th tree right;
public th int look (th tree t, th String k) {
  th_int c = t ().key ().compareTo(k);
  if (c () < 0) return look (t ().left, k);
  else if (c () > 0) return look (t ().right, k);
  else return t ().binding;
```

Call-By-Need Evaluation

- Second step: call-by-need evaluation
- Call-by-name evaluation with caching of result
- First invocation of thunk stores result in <u>memo slot</u> of the thunk's closure
- Further invocations return the value from the memo slot
- (exploits / requires purity)

Call-By-Need Transformation

Example

```
Recall int y;
```

f (loop (y)) is transformed to

```
th_int y;
f.exec (new intThunk () {
  public int eval () {
    return loop.exec (y);
  };
})
With supportive definitions (requiring assignment)
abstract class intThunk {
  int memo; boolean done = false;
  abstract public int eval();
  public int exec () {
    if (!done) {
      memo = this.eval();
      done = true;
```

return memo;

Example Evaluation of a Lazy Program

```
int fact (int i) {
   return if (i==0) 1 else i * fact (i-1);
}
tree t0 = new tree ("",0,null,null);
tree t1 = t0.enter ("-one", fact (-1));
tree t2 = t1.enter ("three", fact (3));
return putInt (t2.look ("three", exit));
}
```

• Fortunately, fact (-1) is never evaluated!

Optimization

- All the standard optimizations apply
- Additional optimization opportunities due to equational reasoning
 - Invariant hoisting
 - Dead-code removal
 - Deforestation

Invariant Hoisting

```
type intfun = int -> int

intfun f (int i) {
   public int g (int j) {
     return h (i) * j;
     return g;
}

return g;
}
type intfun = int -> int

type intfun = int -> int

intfun f (int i) {
   int hi = h (i);
   public int g (int j) {
     return hi * j;
     return g;
}
```

- In lazy functional language, left can be transformed into right
- Incorrect in strict language: h (i) may not terminate or yield different results on each call

Dead-Code Removal

```
int f (int i) {
  int d = g (x);
  return i+2;
}
```

- d is dead after its definition
- The LFL compiler removes this definition
- Incorrect in strict language!

Common modularization in FP

```
class intList {int head, intList tail;}
type intfun = int -> int;
type int2fun = (int,int) -> int;
public int sumSq (intfun inc, int2fun mul, int2fun add) {
  public intList range (int i, int j) {
    return if (i>j) then null
           else new intList (i, range (inc (i), j));
  public intList squares (intList 1) {
    return if (l==null) null
           else new intList (mul (1.head, 1.head), squares (1.tail));
  public int sum (int accum, intList 1) {
    return if (l==null) accum
           else sum (add (accum, l.head), l.tail);
  return sum (0, squares (range (1,100)));
```

Result of Deforestation

- Deforestation removes intermediate data structures
- Rearranges the order of function calls
- Only legal in a pure FL

- A function is <u>strict</u> in an argument, if this argument is <u>always needed</u> to produce the result of the function.
- Put formally: A function $f(x_1, ..., x_n)$ is strict in x_i if whenever the expression a fails to terminate, then the function call $f(b_1, ..., b_{i-1}, a, b_{i+1}, ..., b_n)$ fails to termiante.
- If the compiler knows that a function is strict, then it need not allocate a thunk for the argument, but it can evaluate it right away.
- Program analysis can approximate strictness

Examples: Strictness

```
int f (int x, int y) { return x + x + y; }
int g (int x, int y) { return if (x>0) y else x; }
tree h (String x, int y) {
  return new tree (x, y, null, null);
}
int j (int x) { return j(0); }
```

- f strict in x and y
- g strict in x not in y
- h not strict
- j strict in x

Using Strictness Information

- Lookup in a tree is strict in the tree and in the key
- But the binding information as well as the fields in the tree are not strict

```
th_String look (tree t, key k) {
  return if (k < t.key.eval())
        look (t.left.eval (), k)
        else if (k > t.key.eval())
        look (t.right.eval (), k)
        else
            t.binding;
}
```

- Exact strictness information is not computable
- Conservative approximation needed
- Domain: $b \in \{0, 1\}$
 - 1 (true) evaluation may terminate
 - 0 (false) evaluation does not terminate (definitely)
- Result is set H containing pairs (f, \vec{b})
- f strict in x_i if $(f, (1, ..., 1, 0, 1, ..., 1)) \notin H$

For First-Order Functions

```
\begin{array}{lll} M(c,\sigma) & = & 1 \\ M(x,\sigma) & = & x \in \sigma \\ M(E_1 + E_2,\sigma) & = & M(E_1,\sigma) \land M(E_2,\sigma) \\ M(\text{new}(E_1,\ldots),\sigma) & = & 1 \\ M(\text{if } E_1 \ E_2 \ E_3,\sigma) & = & M(E_1,\sigma) \land (M(E_2,\sigma) \lor M(E_3,\sigma)) \\ M(f(E_1,\ldots),\sigma) & = & (f,(M(E_1,\sigma),\ldots)) \in H \end{array}
```

Fixpoint Iteration

```
H \leftarrow \{\}
repeat
   done ← true
   for each function f(x_1, \ldots, x_n) = B do
     for each sequence (b_1, \ldots, b_n) \in \{0, 1\}^n do
        if (f,(b_1,\ldots,b_n)) \notin H then
           \sigma \leftarrow \{x_i \mid b_i = 1\}
           if M(B, \sigma) then
               done ← false
               H \leftarrow H \cup \{(f,(b_1,\ldots,b_n))\}
           end if
         end if
     end for
   end for
until done
```

Assessment

- Basic analysis, quite expensive
- Not applicable to full LazyJava
- Does not handle data structures
- Does not handle higher order functions
- Better algorithms exist that handle both
- Used in compilers for, e.g., Haskell

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JSR 335: Higher-Order Functions for Java

This JSR will extend the Java Programming Language Specification and the Java Virtual Machine Specification to support the following features:

- Lambda Expressions (anonymous functions)
- SAM Conversion
- Method References
- Virtual Extension Methods

Scheduled for Java SE 8

Closures

Java already has "closures" in the guise of anonymous inner classes.

Definition

```
public interface CallbackHandler {
    public void callback(Context c);
}

Use

foo.doSomething(new CallbackHandler() {
    public void callback(Context c) {
        System.out.println("pippo");
    }
}
```

Drawbacks of Anonymous Inner Classes

- Bulky syntax
- Inability to capture non-final local variables
- Transparency issues surrounding the meaning of return, break, continue, and 'this'
- No nonlocal control flow operators

The proposal mainly addresses items 1, 2, and 3.

Adding Lambda Expressions

- Replacing the machinery of anonymous inner classes
- Without introducing function types
- Instead: SAM conversion
- SAM = Single Abstract Method
 - Many common interfaces and abstract classes have this property, such as Runnable, Callable, EventHandler, or Comparator.
 - These are SAM types.
 - SAM-ness is a structural property identified by the compiler
- Introduce syntax to simplify the creation of SAM instances

Syntax of Lambda Expressions

- #{ -> 42 } or even #{ 42 }
 no arguments, returns 42
- #{ int x -> x + 1 }
 an int argument, returns x+1
- In general,
 - body can be an expression or
 - a statement list like a method body.

SAM Conversion

- A lambda expression is only legal in a context, where a SAM type is expected.
- The compiler infers the argument, return, and exception types.
- It checks them for assignment compatibility with the type of the method of the expected SAM type.
- The name of the method is ignored.
- Example:

```
1 CallbackHandler cb =
2 #{ Context c -> System.out.println("pippo") };
```

• Illegal:

```
1 Object o = #{ 42 };
```

Method References

- Transforming a method reference to a function
- Example

```
class Person {
  private final String name;
  private final int age;

public static int compareByAge(Person a, Person b)
  { ... }

public static int compareByName(Person a, Person b)
  { ... }

public static int compareByName(Person a, Person b)
  { ... }

Person[] people = ...

Arrays.sort(people, #Person.compareByAge);
```

Extension Methods

- Existing interfaces cannot be extended without breaking implementations.
- Closures give new opportunities for useful API additions, e.g., in the collection classes.
- Extension methods propose a way out of this dilemma.
- The proposal permits to extend an interface safely by providing a default implementation.
- Example:

```
public interface Set<T> extends Collection<T> {
   public int size();

// The rest of the existing Set methods
   public extension T reduce(Reducer<T> r)

default Collections.<T>setReducer;
}
```