## Interprocess Communication

## Interprocess Communication

- Consider shell pipeline
  - -cat chapter1 chapter2 chapter3 |
     grep tree
  - 2 processes
  - Information sharing
  - Order of execution

## Interprocess Communication

- Processes within a system may be independent or cooperating
- Cooperating process can affect or be affected by other processes
- Reasons for cooperating processes:
  - Information sharing
  - Computation speedup
  - Modularity
  - Convenience
- Cooperating processes require a mechanism to exchange data and information

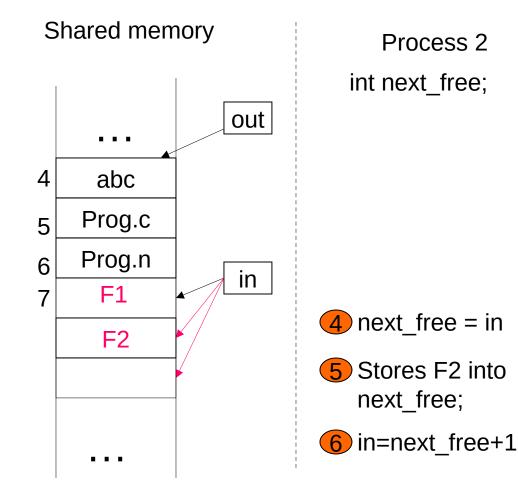
#### IPC issues

- 1. How one process passes information to another?
- 2. How to make sure that two or more processes do not get into each other's way when engaging in critical activities?
- 3. How to do proper sequencing when dependencies are present?
- Ans 1: easy for threads, for processes different approaches (e.g., message passing, shared memory)
- Ans 2 and Ans 3: same problems and same solutions apply for threads and processes
  - Mutual exclusion & Synchronization

# Spooling Example: Correct

Process 1 int next\_free;

- 1next\_free = in;
- Stores F1 into next\_free;
- 3in=next\_free+1



# Spooling Example: Races

Process 1 int next\_free;

- 1next\_free = in;
- Stores F1 into next\_free;
- 4in=next\_free+1

Shared memory out 4 abc Prog.c 5 Prog.n 6 in **F**2

Process 2 int next free;

next\_free = in
/\* value: 7 \*/

- Stores F2 into next\_free;
- 6 in=next\_free+1

## Better Coding?

```
    In previous code

      for(;;){
        int next free = in;
        slot[next free] = file;
        in = next free + 1;

    What if we use one line of code?

      for(;;){
        slot[in++] = file
```

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# When Can process Be switched?

- After each machine instruction!
- in++ is a C/C++ statement, translated into three machine instructions:
  - load mem, R
  - inc R
  - store R, mem
- Interrupt (and hence process swichting) can happen in between.

#### Race condition

- Two or more processes are reading or writing some shared data and the final result depends on who runs precisely when
- Very hard to Debug

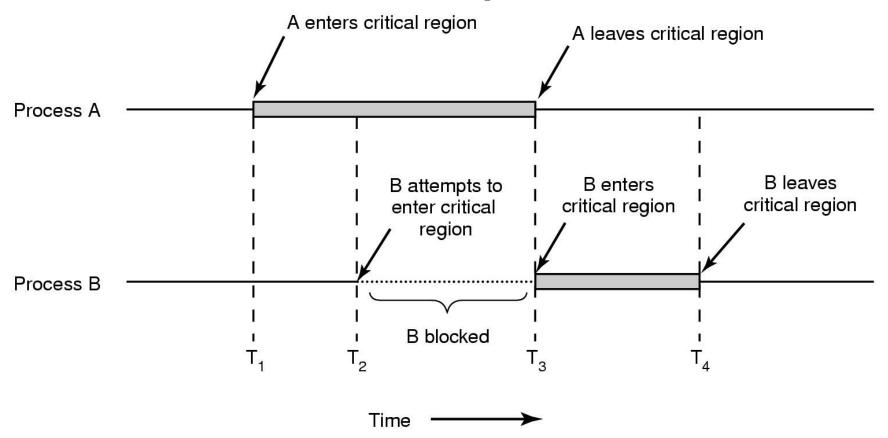
## Critical Region

- That part of the program that do critical things such as accessing shared memory
- Can lead to race condition

## Solution Requirement

- 1) No two processes simultaneously in critical region
- 2) No assumptions made about speeds or numbers of CPUs
- No process running outside its critical region may block another process
- 4) No process must wait forever to enter its critical region

# Solution Requirement



# Mutual exclusion With Busy Waiting

- Possible Solutions
  - Disabling Interrupts
  - Lock Variables
  - Strict Alternation
  - Peterson's solution
  - -TSL

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## Disabling Interrupts

- How does it work?
  - Disable all interrupts just after entering a critical section
  - Re-enable them just before leaving it.

```
while (true) {
   /* disable interrupts */;
   /* critical section */;
   /* enable interrupts */;
   /* remainder */;
```

- Why does it work?
  - With interrupts disabled, no clock interrupts can occur
  - No switching can occur
- Problems:
  - What if the process forgets to enable the interrupts?
  - Multiprocessor? (disabling interrupts only affects one CPU)
- Only used inside OS

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### Lock Variables

```
int lock = 0;
while (lock);
lock = 1:
//EnterCriticalSection;
  access shared variable;
//LeaveCriticalSection;
lock = 0;
Does the above code work?
```

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### Lock Variables

```
int lock = 0;
while (lock);
Check again here?
lock = 1:
//EnterCriticalSection;
  access shared variable;
//LeaveCriticalSection;
lock = 0;
Still doesn't work!
```

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## Strict Alternation

```
while (TRUE) {
                                       while (TRUE) {
   while (turn != 0) /* loop */;
                                                               /* loop */;
                                          while (turn != 1)
   critical_region();
                                          critical_region();
   turn = 1;
                                          turn = 0;
   noncritical_region();
                                          noncritical_region();
                                                     (b)
              (a)
      (a)Process 0
                                                        (b)
          Process 1
```

Proposed solution to critical region problem

#### Problem

- Busy waiting: Continuously testing a variable until some value appear
  - Wastes CPU time
- Violates condition 3
  - When one process is much slower than the other

#### Peterson's solution

- Consists of 2 procedures
- Each process has to call
  - enter\_region with its own process # before entering its C.R.
  - And Leave\_region after leaving C.R.

```
do{
enter region(proce
ss#)
      critical section
leave region(proce
ss#)
      remainder section
} while (TRUE);
```

## Peterson's solution (for 2

```
#define FALSE 0
#define TRUE
#define N
                                   /* number of processes */
                                   /* whose turn is it? */
int turn;
int interested[N];
                                   /* all values initially 0 (FALSE) */
void enter_region(int process);
                                   /* process is 0 or 1 */
    int other;
                                   /* number of the other process */
    other = 1 - process; /* the opposite of process */
    interested[process] = TRUE; /* show that you are interested */
    turn = process;
                      /* set flag */
    while (turn == process && interested[other] == TRUE) /* null statement */;
void leave region(int process) /* process: who is leaving */
    interested[process] = FALSE; /* indicate departure from critical region */
```

## Peterson's Solution: Analysis(1)

- Let Process 1 is not interested and Process 0 calls enter\_region with 0
- So, turn = 0 and interested[0] = true and Process 0 is in CR
- Now if Process 1 calls enter\_region, it will hang there until interested[0] is false. Which only happens when Process 0 calls leave\_region i.e. leaves the C.R.

## Peterson's Solution: Analysis(2)

- Let both processes call enter\_region simultaneously
- Say turn = 1. (i.e. Process 1 stores last)
- Process 0 enters critical region: while (turn = = 0 && ...) returns false since turn = 1.
- Process 1 loops until process 0 exits: while (turn = 1 && interested[0] = = true) returns true.
- It works fine!!

## Busy Waiting: Problems

- Waste CPU time since it sits on a tight loop
- May have unexpected effects:
  - Priority Inversion Problem

#### Example:

- 2 Cooperating Processes: H (high priority ) and L (low priority )
- Scheduling rule: H is run whenever it is ready
- Let L in C. R. and H is ready and wants to enter C.R.
- Since H is ready it is given the CPU and it starts busy waiting
- L will never gets the chance to leave its C.R.
- H loops forever

## Sleep & wakeup

- When a process has to wait, change its state to BLOCKED
- Switched to **READY** state, when it is OK to retry entering the critical section
- Sleep is a system call that causes the caller to block
  - be suspended until another process wakes it up
- Wakeup system call has one parameter, the process to be awakened.
- Let's illustrate the use of sleep & wakeup with an example: The producer consumer problem

## Producer Consumer Problem

- Also called bounded-buffer problem
- Two (or m+n) processes share a common buffer
- One (or m) of them is (are) <u>producer(s)</u>: put(s) information in the buffer
- One (or n) of them is (are) <u>consumer(s)</u>: take(s) information out of the buffer
- Trouble and solution
  - Producer wants to put but buffer full- Go to sleep and wake up when consumer takes one or more
  - Consumer wants to take but buffer empty- go to sleep and wake up when producer puts one or more

## Sleep and Wakeup

```
#define N 100
                                                /* number of slots in the buffer */
                                                /* number of items in the buffer */
int count = 0;
void producer(void)
     int item;
    while (TRUE) {
                                                /* repeat forever */
          item = produce_item();
                                                /* generate next item */
          if (count == N) sleep();
                                                /* if buffer is full, go to sleep */
          insert_item(item);
                                                /* put item in buffer */
                                                /* increment count of items in buffer */
          count = count + 1;
          if (count == 1) wakeup(consumer);
                                                /* was buffer empty? */
void consumer(void)
     int item;
    while (TRUE) {
                                                /* repeat forever */
          if (count == 0) sleep();
                                                /* if buffer is empty, got to sleep */
                                                /* take item out of buffer */
          item = remove item();
          count = count - 1;
                                                /* decrement count of items in buffer */
          if (count == N - 1) wakeup(producer); /* was buffer full? */
          consume_item(item);
                                                /* print item */
```

# Sleep and Wakeup

```
/* number of slots in the buffer */
  #define N 100
                                                    /* number of items in the buffer */
  int count = 0:
void producer(void)
                                            void consumer(void)
    int item;
                                                 int item;
    while (TRUE) {
                                                 while (TRUE) {
         item = produce_item();
                                                      if (count == 0) sleep();
         if (count == N) sleep();
                                                      item = remove_item();
         insert_item(item);
                                                      count = count - 1;
                                                      if (count == N - 1) wakeup(producer);
         count = count + 1;
         if (count == 1) wakeup(consumer);
                                                      consume item(item);
```

Producer-consumer problem

# Sleep and Wakeup: Race condition

- Busy waiting problem is resolved but the following race condition exists
- Unconstrained access to count
  - CPU is given to P just after C has read count to be 0 but not yet gone to sleep.
  - P calls wakeup
  - Result is lost wake-up signal
  - Both will sleep forever

## Semaphores

900

- A new variable type
- A kind of generalized lock
  - First defined by Dijkstra in late 60s
  - Main synchronization primitive used in original UNIX
- Semaphores are like integers, except
  - No negative values
  - Only operations allowed are up and down - can't read or write value, except to set it initially

## Semaphores: Types

#### Counting semaphore.

The value can range over an unrestricted domain

#### Binary semaphore

- The value can range only between 0 and 1.
- On some systems, binary semaphores are known as mutex locks as they provide mutual exclusion

## Semaphores: Operation

- Operation "down":
  - if value > 0; value-- and then continue.
  - if value = 0; process is put to sleep without completing the down for the moment
    - Checking the value, changing it, and possibly going to sleep, is all done as an **atomic** action.

#### Operation "up":

- increments the value of the semaphore addressed.
- If one or more process were sleeping on that semaphore, one of them is chosen by the system (e.g. at random) and is allowed to complete its down
  - The operation of incrementing the semaphore and waking up one process is also indivisible
- No process ever blocks doing an up.

## Semaphores: Atomicity

- Operations must be atomic
  - Two down's together can't decrement value below zero
  - Similarly, process going to sleep in down won't miss wakeup from up – even if they both happen at same time

#### Producer & consumer

```
#define N 100
                                         /* number of slots in the buffer */
  typedef int semaphore;
                                         /* semaphores are a special kind of int */
   semaphore mutex = 1;
                                         /* controls access to critical region */
   semaphore empty = N;
                                         /* counts empty buffer slots */
                                         /* counts full buffer slots */
  semaphore full = 0;
                                            void consumer(void)
void producer(void)
                                                  int item;
     int item;
     while (TRUE) {
                                                 while (TRUE) {
          item = produce_item();
                                                       down(&full);
          down(&empty);
                                                       down(&mutex);
          down(&mutex);
                                                       item = remove_item();
          insert_item(item);
                                                       up(&mutex);
          up(&mutex);
                                                       up(&empty);
          up(&full);
                                                       consume_item(item);
```

## Semaphores in Producer Consumer Problem: Analysis

- 3 semaphores are used
  - full (initially 0) for counting occupied slots
  - Empty (initially N) for counting empty slots
  - mutex (initially 1) to make sure that Producer and Consumer do not access the buffer at the same time.
- Here 2 uses of semaphores
  - Mutual exclusion (mutex)
  - Synchronization (full and empty)
    - To guarantee that certain event sequences do or do

Block on:	Unblock on:
Producer: insert in full buffer	Consumer: item inserted
Consumer: remove from empty buffer	Producer: item removed

## Semaphores: Usage

- 1. Mutual exclusion
- 2. Controlling access to limited resource
- 3. Synchronization

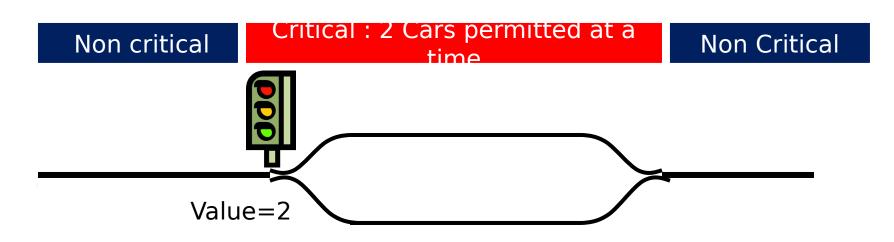
#### Mutual exclusion

- How to ensure that only one process can enter its C.R.?
- Binary semaphore initialized to 1
- Shared by all collaborating processes
- If each process does a down just before entering CR and an up just after leaving then mutual exclusion is guaranteed

```
do {
   down(mutex);
   // critical section
   up(mutex);
   // remainder section
} while (TRUE);
```

### Controlling access to a resource

- What if we want maximum m process/thread can use a resource simultaneously?
- Counting semaphore initialized to the number of available resources
- Semaphore from railway analogy
  - Here is a semaphore initialized to 2 for resource control:



## Synchronization

- How to resolve dependency among processes
- Binary semaphore initialized to 0
- consider 2 concurrently running processes:
  - P1 with a statement S1 and
  - P2 with a statement S2.

```
    Suppose we require that S2 be executed on S1;
    has completed down(sync up(synch p2 h);
    );
```

Semaphores: "Be Careful"

• Suppose the following is done in Producer's

code Just the down(&empty) down(&mutex) order is down(&mutex) down(&empty) reversed

- If buffer full P would block due to down(&empty) with mutex = 0.
- So now if C tries to access the buffer, it would block too due to its down(&mutex).
- Both processes would stay blocked forever: DEADLOCK

### **Monitors**

- A higher level synchronization primitive
- A collection of procedures, variables and data structures grouped in a special kind of module or package.

```
monitor example
     integer i;
     condition c;
     procedure producer();
     end;
     procedure consumer( );
     end;
end monitor;
    Example of a monitor
```

### **Monitors**

- Only one process can be active in a monitor at any instant
- Monitors are programming language construct, so the compiler knows they are special and can handle calls to monitor procedures differently from other calls.
- Because the compiler, not the programmer, is arranging the mutual exclusion, it is safer
- We also need a way to block and wakeup: Wait and Signal (done on a condition variables)

### **Monitors**

- wait is called on some condition variables:
  - Calling process is blocked
  - another process that had been previously prohibited from entering the monitor is allowed to enter now.
- signal is called on some condition variable:
  - A process waiting on that CV is given the chance to get up.
  - Who should run? Caller or awakened one?

**Alternative#1:** Let newly awakened process to run suspending the caller.

**Alternative#2:** Process doing a signal must exit the monitor immediately i.e. signal statement may appear only as the final statement in a monitor procedure.

**Alternative#3:** Let the caller run and when it exits the monitor then the waiting process is allowed to start.

# Outline of producer-consumer using Monitors

```
procedure producer;
monitor ProducerConsumer
                                                   begin
     condition full, empty;
                                                         while true do
     integer count;
                                                         begin
     procedure insert(item: integer);
     begin
                                                               item = produce_item;
          if count = N then wait(full);
                                                               ProducerConsumer.insert(item)
           insert_item(item);
                                                         end
           count := count + 1;
                                                  end:
          if count = 1 then signal(empty)
                                                   procedure consumer;
     end;
                                                   begin
     function remove: integer;
                                                         while true do
     begin
          if count = 0 then wait(empty);
                                                         begin
          remove = remove_item;
                                                               item = ProducerConsumer.remove;
           count := count - 1;
                                                               consume_item(item)
          if count = N - 1 then signal(full)
                                                         end
     end:
                                                   end:
     count := 0;
```

- Outline of producer-consumer problem with monitors
  - only one monitor procedure active at one time
  - buffer has N slots

end monitor;

### Producer-consumer solution in Java

```
public class ProducerConsumer {
      static final int N = 100;
                                 // constant giving the buffer size
      static producer p = new producer(); // instantiate a new producer thread
      static consumer c = new consumer(); // instantiate a new consumer thread
      static our_monitor mon = new our_monitor():
                                                       // instantiate a new monitor
      public static void main(String args[]) {
         p.start(); // start the producer thread
                   // start the consumer thread
         c.start();
      static class producer extends Thread {
         public void run() {// run method contains the thread code
           int item:
           while (true) { // producer loop
              item = produce_item();
              mon.insert(item);
         private int produce_item() { ... } // actually produce
      static class consumer extends Thread {
         public void run() { run method contains the thread code
           int item;
                          // consumer loop
           while (true) {
              item = mon.remove();
              consume_item (item);
         private void consume_item(int item) { ... } // actually consume
```

```
static class our_monitor { // this is a monitor
  private int buffer[] = new int[N];
  private int count = 0, lo = 0, hi = 0; // counters and indices
  public synchronized void insert(int val) {
     if (count == N) go_to_sleep(); // if the buffer is full, go to sleep
     buffer [hi] = val; // insert an item into the buffer
     hi = (hi + 1) \% N; // slot to place next item in
     count = count + 1: // one more item in the buffer now
     if (count == 1) notify(); // if consumer was sleeping, wake it up
  public synchronized int remove() {
     int val:
     if (count == 0) go_to_sleep(); // if the buffer is empty, go to sleep
     val = buffer [lo]; // fetch an item from the buffer
     lo = (lo + 1) \% N; // slot to fetch next item from
     count = count - 1; // one few items in the buffer
     if (count == N - 1) notify(); // if producer was sleeping, wake it up
     return val:
 private void go_to_sleep() { try{wait();} catch(InterruptedException exc) {};}
```

# Problems with monitors and semaphores

- Semaphores are too low level
- Monitors are not usable except in a few programming languages
- Designed to work in an environment having access to a common memory
- Doesn't allow information exchange among machines
- None of them would work in a distributed systems (why?) consisted of multiple CPUs, each with its own private memory connected by a LAN.

# Message Passing

- solution to the problem of semaphores and monitors w.r.t distributed systems
- A method of IPC that uses two primitives
  - send and receive: system calls.
  - send(destination, &message)
  - receive(source, &message)
  - If no message is available:
    - The receiver can block until one arrives
    - Return immediately with an error code

# Message Passing

- Challenges (Study of Computer Networks)
  - Messages can be lost by the network.
  - Acknowledgement and retransmission issue.
  - Process naming.
  - Authentication.
  - Performance issue.

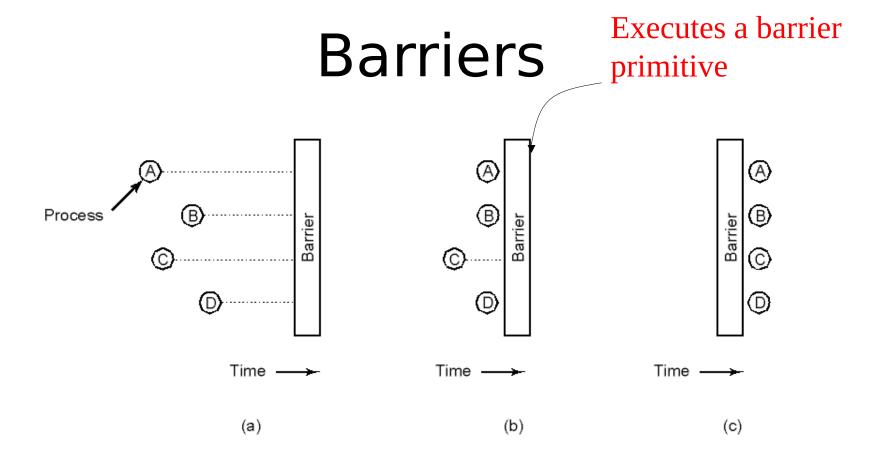
#### Producer Consumer with Message Passing

```
#define N 100
                                                                /* number of slots in the buffer */
                        void producer(void)
                            int item;
                                                                /* message buffer */
                             message m;
                            while (TRUE) {
Assumptions:
                                 item = produce item();
                                                                /* generate something to put in buffer */
•All messages
                                 receive(consumer, &m);
                                                                /* wait for an empty to arrive */
                                                                /* construct a message to send */
                                 build_message(&m, item);
are of same size
                                                                /* send item to consumer */
                                 send(consumer, &m);
Messages sent
but not yet
                        void consumer(void)
received are
                            int item, i;
automatically
                            message m;
buffered
                            for (i = 0; i < N; i++) send(producer, &m); /* send N empties */
                            while (TRUE) {
                                 receive(producer, &m);
                                                                /* get message containing item */
                                                                /* extract item from message */
                                 item = extract item(&m);
                                 send(producer, &m);
                                                                /* send back empty reply */
                                 consume_item(item);
                                                                /* do something with the item */
```

The producer-consumer problem with N messages

### Barriers

- A synchronizing mechanism intended for groups of processes
- Some applications are divided into phases and have the rule that no process may proceed into the next phase until all processes are ready to proceed to the next phase.
- This can be done by placing a barrier at the end of each phase.
- When a process reaches the barrier, it is blocked until all processes have reached the barrier.



#### Use of a barrier

- processes approaching a barrier
- all processes but one blocked at barrier
- last process arrives, all are let through

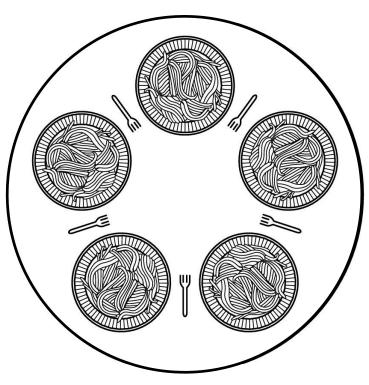
Dining Philosophers

• Philosophers spend their

lives thinking and eating

 Don't interact with their neighbors

- When get hungry try to pick up 2 chopsticks (one at a time in either order) to eat
- Need both to eat, then release both when done
- How to program the scenario avoiding all concurrency problems?

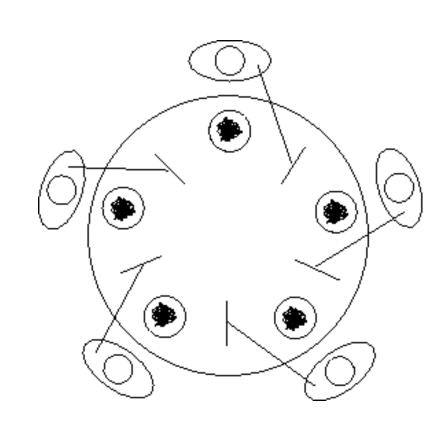


# Dining Philosophers: A

```
/* number of philosophers */
#define N 5
                                          /* i: philosopher number, from 0 to 4 */
void philosopher(int i)
     while (TRUE) {
          think();
                                          /* philosopher is thinking */
                                          /* take left fork */
          take_fork(i);
          take_fork((i+1) % N);
                                          /* take right fork; % is modulo operator */
                                          /* yum-yum, spaghetti */
          eat();
                                          /* put left fork back on the table */
          put_fork(i);
          put_fork((i+1) % N);
                                          /* put right fork back on the table */
```

### Dining Philosophers: Problems with Previous Solution

- Deadlock may happen
- Does this solution prevents any such thing from happening?
  - Everyone takes the left fork simultaneously



### Dining Philosophers: Problems with Previous Solution

#### **Tentative Solution:**

- After taking left fork, check whether right fork is available.
- If not, then return left one, wait for some time and repeat again.

#### Problem:

- All of them start and do the algorithm synchronously and simultaneously:
- STARVATION (A situation in which all the programs run indefinitely but fail to make any progress)
- Solution: Random wait; but what if the most unlikely of same random number happens?

## Another Attempt, Successful!

```
void philosopher(int i)
 while (true)
    think();
     down(&mutex);
    take_fork(i);
    take_fork((i+1)\%N);
     eat();
     put_fork(i);
    put_fork((i+1)%N);
    up(&mutex);
```

- Theoretically solution is OK- no deadlock, no starvation.
- Practically with a performance bug:
  - Only one

     philosopher can be
     eating at any
     instant: absence of
     parallelism

## Final Solution part 1

```
5
#define N
                                       /* number of philosophers */
                                       /* number of i's left neighbor */
#define LEFT
                      (i+N-1)%N
                      (i+1)%N
                                       /* number of i's right neighbor */
#define RIGHT
                                       /* philosopher is thinking */
#define THINKING
                                       /* philosopher is trying to get forks */
#define HUNGRY
#define EATING
                                       /* philosopher is eating */
                                       /* semaphores are a special kind of int */
typedef int semaphore;
int state[N];
                                       /* array to keep track of everyone's state */
semaphore mutex = 1;
                                       /* mutual exclusion for critical regions */
semaphore s[N];
                                       /* one semaphore per philosopher */
void philosopher(int i)
                                       /* i: philosopher number, from 0 to N-1 */
    while (TRUE) {
                                       /* repeat forever */
                                       /* philosopher is thinking */
         think();
         take_forks(i);
                                       /* acquire two forks or block */
                                       /* yum-yum, spaghetti */
         eat();
                                       /* put both forks back on table */
         put_forks(i);
```

### Final Solution Part 2

```
/* i: philosopher number, from 0 to N-1 */
void take_forks(int i)
    down(&mutex);
                                       /* enter critical region */
     state[i] = HUNGRY;
                                       /* record fact that philosopher i is hungry */
                                       /* try to acquire 2 forks */
     test(i);
    up(&mutex);
                                       /* exit critical region */
                                       /* block if forks were not acquired */
    down(&s[i]);
void put forks(i)
                                       /* i: philosopher number, from 0 to N-1 */
    down(&mutex);
                                       /* enter critical region */
                                       /* philosopher has finished eating */
     state[i] = THINKING
                                       /* see if left neighbor can now eat */
    test(LEFT);
    test(RIGHT);
                                       /* see if right neighbor can now eat */
                                       /* exit critical region */
    up(&mutex);
void test(i)
                                       /* i: philosopher number, from 0 to N-1 */
    if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {
         state[i] = EATING;
         up(&s[i]);
```

# The Readers and Writers Problem

- Dining Philosopher Problem: Models processes that are competing for exclusive access to a limited resource
- Readers Writers Problem: Models access to a database
- Example: An airline reservation systemmany competing process wishing to read and write-
  - Multiple readers simultaneously- acceptable
  - Multiple writers simultaneously- not acceptable
  - Reading, while write is writing- not acceptable

# The Readers and Writers Problem

- First variation no reader kept waiting unless writer has permission to use shared object
- Second variation once writer is ready, it performs write ASAP

```
typedef int semaphore;
                                    /* use your imagination */
semaphore mutex = 1;
                                    /* controls access to 'rc' */
semaphore db = 1;
                                    /* controls access to the database */
int rc = 0;
                                    /* # of processes reading or wanting to */
void reader(void)
    while (TRUE) {
                                    /* repeat forever */
         down(&mutex);
                                    /* get exclusive access to 'rc' */
          rc = rc + 1;
                                    /* one reader more now */
          if (rc == 1) down(\&db);
                                    /* if this is the first reader ... */
          up(&mutex);
                                    /* release exclusive access to 'rc' */
          read_data_base();
                                    /* access the data */
          down(&mutex);
                                    /* get exclusive access to 'rc' */
          rc = rc - 1;
                                    /* one reader fewer now */
          if (rc == 0) up(\&db);
                                    /* if this is the last reader ... */
          up(&mutex);
                                    /* release exclusive access to 'rc' */
          use_data_read();
                                    /* noncritical region */
void writer(void)
    while (TRUE) {
                                    /* repeat forever */
         think up data();
                                    /* noncritical region */
                                    /* get exclusive access */
          down(&db);
          write_data_base();
                                    /* update the data */
                                    /* release exclusive access */
          up(&db);
```

# Issue regarding the solution

- Inherent priority to the readers
- Say a new reader arrives every 2 seconds and each reader takes 5 seconds to do its work. What will happen to a writer?

Issue regarding second variation

- Writer don't have to wait for readers that came along after it
- Less concurrency, lower performance

# Thanks for your sincerity