### **Semaphores**

#### **Questions answered in this lecture:**

Review: How to implement join with condition variables?

Review: How to implement producer/consumer with condition variables?

What is the difference between **semaphores** and condition variables?

How to implement a **lock** with semaphores?

How to implement semaphores with locks and condition variables?

How to implement **join** and producer/consumer with semaphores?

How to implement **reader/writer locks** with semaphores?

# Summary: rules of thumb for CVs

- Keep state in addition to CV's
- Always do wait/signal with lock held

Whenever thread wakes from waiting, recheck state

### **Condition Variables vs Semaphores**

- Condition variables have no state (other than waiting queue)
  - Programmer must track additional state
- Semaphores have state: track integer value
  - State cannot be directly accessed by user program, but state determines behavior of semaphore operations

### **Semaphore Operations**

Allocate and Initialize

```
sem_t sem;
sem_init(sem_t *s, int initval) {
  s->value = initval;
}
```

- User cannot read or write value directly after initialization
- Wait or Test (sometime P() for Dutch word)
  - Waits until value of sem is > 0, then decrements sem value
- Signal or Increment or Post (sometime V() for Dutch)
  - Increment sem value, then wake a single waiter

### Join with CV vs Semaphores

```
CVs:
                                       void thread_exit() {
void thread_join() {
                                           Mutex_lock(&m); // a
    Mutex_lock(&m);// w
                                           done = 1; // b
    if (done == 0) // x
                                           Cond_signal(&c);// c
       Cond_wait(&c, &m); // y
                                           Mutex_unlock(&m);// d
    Mutex unlock(&m); // z
                        Sem wait(): Waits until value > 0, then decrement
Semaphores:
                        Sem_post(): Increment value, then wake a single waiter
sem ts;
sem_init(&s, ???);
                     Initialize to 0 (so sem wait() must wait...)
                                       void thread_exit() {
     void thread_join() {
                                           sem post(&s)
          sem wait(&s);
```

### **Equivalence Claim**

- Semaphores are equally powerful to Locks+CVs
  - what does this mean?
- One might be more convenient, but that's not relevant
- Equivalence means each can be built from the other

### **Proof Steps**

Want to show we can do these three things:



# **Build Lock from Semaphore**

```
typedef struct __lock_t {
// whatever data structs you need go here
} lock_t;

void init(lock_t *lock) {
}

void acquire(lock_t *lock) {
}

void release(lock_t *lock) {
}
```

Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter Locks

Semaphores

### **Build Lock from Semaphore**

Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter Locks

Semaphores

### **Building CV's over Semaphores**

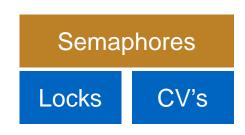
Possible, but really hard to do right



Read about Microsoft Research's attempts:

http://research.microsoft.com/pubs/64242/ImplementingCVs.pdf

Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter

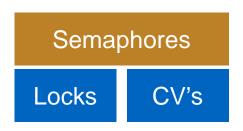


Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter



Sem\_wait(): Waits until value > 0, then decrement

Sem\_post(): Increment value, then wake a single waiter

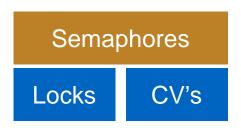


```
Sem_wait{sem_t *s) {
    lock_acquire(&s->lock);
    // this stuff is atomic

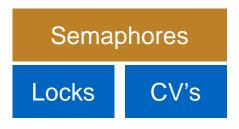
    lock_release(&s->lock);
    lock_release(&s->lock);
}
```

Sem\_wait(): Waits until value > 0, then decrement

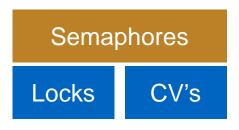
Sem\_post(): Increment value, then wake a single waiter



Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter



Sem\_wait(): Waits until value > 0, then decrement Sem\_post(): Increment value, then wake a single waiter

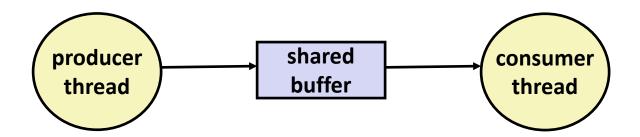


# Using Semaphores to Coordinate Access to Shared Resources

- Basic idea: Thread uses a semaphore operation to notify another thread that some condition has become true
  - Use counting semaphores to keep track of resource state.
  - Use binary semaphores to notify other threads.
- Two classic examples:
  - The Producer-Consumer Problem
  - The Readers-Writers Problem



### **Producer-Consumer Problem**



### Common synchronization pattern:

- Producer waits for empty slot, inserts item in buffer, and notifies consumer
- Consumer waits for item, removes it from buffer, and notifies producer

### Examples

- Multimedia processing:
  - Producer creates video frames, consumer renders them
- Event-driven graphical user interfaces
  - Producer detects mouse clicks, mouse movements, and keyboard hits and inserts corresponding events in buffer
  - Consumer retrieves events from buffer and paints the display

### **Producer/Consumer: Semaphores #1**

### Simplest case:

- Single producer thread, single consumer thread
- Single shared buffer with one element between producer and consumer

### Requirements

- Consumer must wait for producer to fill buffer
- Producer must wait for consumer to empty buffer (if filled)

### Requires 2 semaphores

```
• emptyBuffer: Initialize to ??? 1 \rightarrow 1 empty buffer; producer can run 1 time first
```

• fullBuffer: Initialize to ???
0 → 0 full buffers; consumer can run 0 times first

# **Producer/Consumer: Semaphores #2**

- Next case: Circular Buffer
  - Single producer thread, single consumer thread
  - Shared buffer with N elements between producer and consumer

### Requires 2 semaphores

- emptyBuffer: Initialize to ??? N → N empty buffers; producer can run N times first
- fullBuffer: Initialize to ??? 0 → 0 full buffers; consumer can run 0 times first

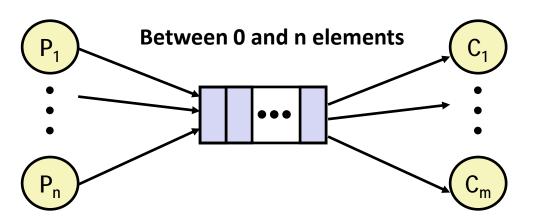
# **Producer/Consumer: Semaphore #3**

#### Final case:

- Multiple producer threads, multiple consumer threads
- Shared buffer with N elements between producer and consumer

### Requirements

- Each consumer must grab unique filled element
- Each producer must grab unique empty element
- Why will previous code (shown below) not work???



# **Producer/Consumer: Semaphore #3**

#### Final case:

- Multiple producer threads, multiple consumer threads
- Shared buffer with N elements between producer and consumer

### Requirements

- Each consumer must grab unique filled element
- Each producer must grab unique empty element
- Why will previous code (shown below) not work???

```
Producer
i = 0;
while (1) {
    sem_wait(&emptyBuffer);
    Fill(&buffer[i]);
    i = (i+1)%N;
    sem_signal(&fullBuffer);
}

Consumer

j = 0;
while (1) {
    sem_wait(&fullBuffer);
    Use(&buffer[j]);
    j = (j+1)%N;
    sem_signal(&emptyBuffer);
}
```

Are i and j private or shared? Need each producer to grab unique buffer

#### Final case:

- Multiple producer threads, multiple consumer threads
- Shared buffer with N elements between producer and consumer

### Requirements

- Each consumer must grab unique filled element
- Each producer must grab unique empty element

```
Producer
While (1) {
    sem_wait(&emptyBuffer);
    myi = findempty(&buffer);
    Fill(&buffer[myi]);
    sem_signal(&fullBuffer);
}

Consumer
While (1) {
    sem_wait(&fullBuffer);
    myj = findfull(&buffer);
    Use(&buffer[myj]);
    sem_signal(&emptyBuffer);
}
```

- Consider three possible locations for mutual exclusion
- Which work??? Which is best???

sem signal(&mutex);

```
Producer #1

sem_wait(&mutex);
sem_wait(&emptyBuffer);
myi = findempty(&buffer);
Fill(&buffer[myi]);
sem signal(&fullBuffer);
sem signal(&fullBuffer);
sem signal(&emptyBuffer);
sem signal(&emptyBuffer);
Consumer #1

sem_wait(&mutex);
sem_wait(&fullBuffer);
sem_wai
```

sem signal(&mutex);

#### Problem?

Deadlock at mutex (e.g., consumer runs first; won't release mutex)

- Consider three possible locations for mutual exclusion
- Which work??? Which is best????

Works, but limits concurrency:

Only 1 thread at a time can be using or filling different buffers

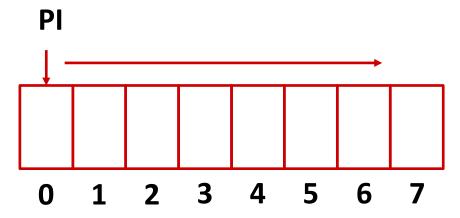
- Consider three possible locations for mutual exclusion
- Which work??? Which is best????

Works and increases concurrency; only finding a buffer is protected by mutex; Filling or Using different buffers can proceed concurrently

How to implement with multiple producer and multiple consumers?

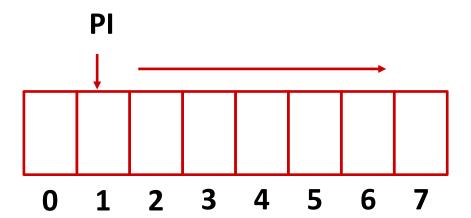
Producer A: 0 <- findempty

An index PI allocate availble slots

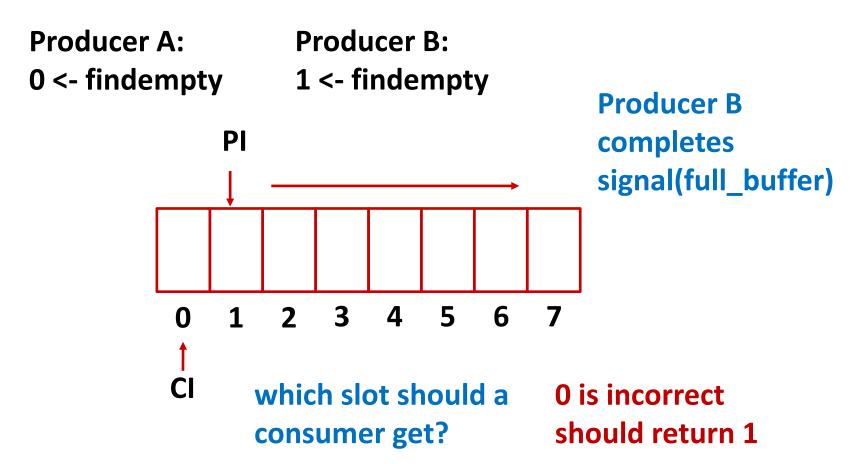


How to implement with multiple producer and multiple consumers?

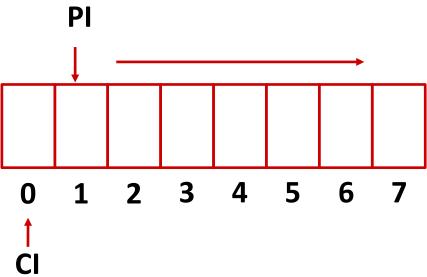
Producer A: Producer B: 0 <- findempty 1 <- findempty



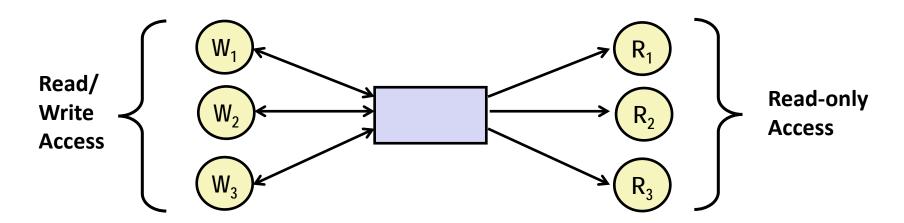
How to implement with multiple producer and multiple consumers?



- How to implement with multiple producer and multiple consumers?
  - Approach 1: In find full, scan the buffer to find an available one
  - Approach 2: Producer insert an item into a list, which is searched by consumer



### **Readers-Writers Problem**



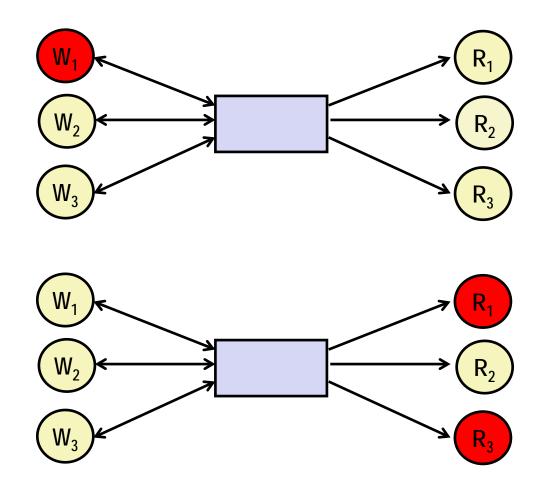
#### Problem statement:

- Reader threads only read the object
- Writer threads modify the object (read/write access)
- Writers must have exclusive access to the object
- Unlimited number of readers can access the object

### Occurs frequently in real systems, e.g.,

- Online airline reservation system
- Multithreaded caching Web proxy

# **Readers/Writers Examples**



# Reader/Writer Locks

- Goal: Let multiple reader threads grab lock (shared)
- Only one writer thread can grab lock (exclusive)
  - No reader threads
  - No other writer threads
- How to implement reader/writer lock with semaphores
  - rwlock\_acquire\_readlock
  - rwlock\_release\_readlock
  - rwlock\_acquire\_writelock
  - rwlock\_release\_writelock

### Variants of Readers-Writers

- First readers-writers problem (favors readers)
  - No reader should be kept waiting unless a writer has already been granted permission to use the object.
  - A reader that arrives after a waiting writer gets priority over the writer.
  - Web cache (写没那么重要)
- Second readers-writers problem (favors writers)
  - Once a writer is ready to write, it performs its write as soon as possible
  - A reader that arrives after a writer must wait, even if the writer is also waiting.
  - Ticket reservation
- Starvation (where a thread waits indefinitely) is possible in both cases.

# Reader/Writer Locks

```
13 void rwlock_acquire_readlock(rwlock_t *rw)
14
               //
15
21 void rwlock release_readlock(rwlock_t *rw)
22
               //
23 }
29 rwlock_acquire_writelock(rwlock_t *rw) {
30
31 }
32 rwlock release writelock(rwlock t *rw) {
33
34 }
```

```
T1: acquire_readlock()
T2: acquire_readlock()
T3: acquire_writelock()
T2: release_readlock()
T1: release_readlock()
T4: acquire_readlock()
T5: acquire_readlock() // ???
{T3: release_writelock()
// what happens???
```

# **Reader/Writer Locks**

```
1 typedef struct _rwlock_t {
2         sem_t lock;
3         sem_t writelock;
4         int readers;
5 } rwlock_t;
6
7 void rwlock_init(rwlock_t *rw) {
8         rw->readers = 0;
9         sem_init(&rw->lock, 1);
10         sem_init(&rw->writelock, 1);
11 }
12
```

# Reader/Writer Locks

```
13 void rwlock acquire readlock(rwlock_t *rw)
14
               sem wait(&rw->lock);
15
               rw->readers++;
16
               if (rw->readers == 1)
                    sem wait(&rw->writelock);
17
18
               sem post(&rw->lock);
19 }
21 void rwlock release readlock(rwlock t *rw) {
22
               sem wait(&rw->lock);
23
               rw->readers--;
24
               if (rw->readers == 0)
25
                    sem post(&rw->writelock); ]
26
               sem post(&rw->lock);
27
29 rwlock acquire writelock(rwlock t *rw) {
30
               sem wait(&rw->writelock);
31 }
32 rwlock release writelock(rwlock t *rw) {
33
               sem post(&rw->writelock);
34 }
```

```
T1: acquire_readlock()
T2: acquire_readlock()
T3: acquire_writelock()
T2: release_readlock()
T1: release_readlock()
T4: acquire_readlock()
T5: acquire_readlock() // ???
T3: release_writelock()
// what happens???
```

<u>Readers: (读者永远 Block 写者)</u>

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
// 第一个reader阻塞writer
    /* Reading happens here */
   P(&mutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
    while (1) {
        P(&w);

    /* Writing here */

        V(&w);
    }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
     * Reading happens here */
   P(&mutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
    while (1) {
       P(&w);

       /* Writing here */

      V(&w);
    }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 1 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
   if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
     * Reading happens here */
   P(&mutex);
   readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
   while (1) {
     P(&w);

   /* Writing here */

     V(&w);
   }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 2 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
      Reading happens here */
   P(&mutex);
   readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
  while (1) {
    P(&w);

    /* Writing here */

    V(&w);
  }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 2 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
      Reading happens here */
   P(&mutex);
   readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
    V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
   while (1) {
     P(&w);

     /* Writing here */

     V(&w);
   }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 1 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
   if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
    /* Reading happens here */
   P(&mutex);
   readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
    V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
  while (1) {
    P(&w);

    /* Writing here */

    V(&w);
  }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 2 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
    * Reading happens here */
   P(&mutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
    V(&mutex);
```

#### **Writers:**

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 1 W == 0

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
    /* Reading happens here */
    P(&mutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
    √(&mutex);
```

#### **Writers:**

```
void writer(void)
{
   while (1) {
     P(&w);

     /* Writing here */

     V(&w);
   }
}
```

rw1.c

Arrivals: R1 R2 W1 R3

Readcnt == 0 W == 1

### Other Versions of Readers-Writers

### Shortcoming of first solution

Continuous stream of readers will block writers indefinitely

#### Second version

- Once writer comes along, blocks access to later readers
- Series of writes could block all reads

### FIFO implementation

- Service requests in order received
- Threads kept in FIFO
- Each has semaphore that enables its access to critical section

## Solution to Second Readers-Writers Problem

### Consider two aspects

- Following writes can overtake reads
- Block multiple reads enter concurrently into the reading area

# How to Modify the First Version to the Second

#### **Readers:**

```
int readcnt; /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */
void reader(void)
 while (1) {
   P(&mutex);
   readcnt++;
    if (readcnt == 1) /* First in */
     P(&w);
   V(&mutex);
    /* Reading happens here */
    P(&mutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&mutex);
```

#### **Writers:**

```
void writer(void)
{
    while (1) {
        P(&w);

    /* Writing here */

        V(&w);
    }
}
```

rw1.c

## **Solution to Second Readers-Writers Problem**

```
int readcnt, writecnt;  // Initially 0
sem_t rmutex, wmutex, r, w; // Initially 1
void reader(void)
 while (1) {
   P(&r);
   P(&rmutex);
   readcnt++;
    if (readcnt == 1) /* First in */
    P(&w);
   V(&rmutex);
   V(&r);
    /* Reading happens here */
    P(&rmutex);
    readcnt--;
    if (readcnt == 0) /* Last out */
     V(&w);
   V(&rmutex);
```

```
void writer(void)
  while (1) {
    P(&wmutex);
    writecnt++;
    if (writecnt == 1)
        P(&r);
    V(&wmutex);
// 第一个writer阻塞reader
    P(&w);
    /* Writing here */
    V(&w);
    P(&wmutex);
    writecnt--;
    if (writecnt == 0);
       V(&r);
    V(&wmutex);
```

# **Dining Philosopher's Problem**

#### Problem Statement

- 5 philosophers on a table with 5 forks
- A philosopher needs 2 forks to eat
- Sometimes they think, no need for forks
- Challenge: no deadlock and no philosopher starves

```
Each philosopher:

(P2)

(f1)

(while (1) {
    think();
    get_forks(p);
    eat();
    put_forks(p);

(P3)

(P4)

(P4)
```

# **First Try**

```
void get_forks(int p) {
    sem_wait(&forks[left(p)]);
    sem_wait(&forks[right(p)]);
}

void put_forks(int p) {
    sem_post(&forks[left(p)]);
    sem_post(&forks[right(p)]);
}

12

P1

P2

13

P0

P0

P0

14

P4
```

### Wrong and cause deadlock

- If every philosopher takes their left fork simultaneously, no one can get the right fork
- Deadlock!

# Second Try: break the dependency

### Cycle of waiting is broken!

More deadlocks on next lecture

## **Semaphores**

- Semaphores are equivalent to locks + condition variables
  - Can be used for both mutual exclusion and ordering
- Semaphores contain state
  - How they are initialized depends on how they will be used
  - Init to 1: Mutex
  - Init to 0: Join (1 thread must arrive first, then other)
  - Init to N: Number of available resources
- Sem\_wait(): Waits until value > 0, then decrement (atomic)
- Sem\_post(): Increment value, then wake a single waiter (atomic)
- Can use semaphores in producer/consumer relationships and for reader/writer locks