



DEPARTMENT OF COMPUTER SCIENCE

# Dictionary Matching with Fingerprints

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A dissertation submitted to the University of Bristol in accordance with the requirements of the degree  
of Master of Engineering in the Faculty of Engineering.

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Tuesday 14<sup>th</sup> April, 2015



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# Declaration

This dissertation is submitted to the University of Bristol in accordance with the requirements of the degree of MEng in the Faculty of Engineering. It has not been submitted for any other degree or diploma of any examining body. Except where specifically acknowledged, it is all the work of the Author.

Dominic Joseph Moylett, Tuesday 14<sup>th</sup> April, 2015



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# Executive Summary

**A compulsory section, of at most 1 page**

This section should précis the project context, aims and objectives, and main contributions and achievements; the same section may be called an abstract elsewhere. The goal is to ensure the reader is clear about what the topic is, what you have done within this topic, *and* what your view of the outcome is.

The former aspects should be guided by your specification: essentially this section is a (very) short version of what is typically the first chapter. The latter aspects should be presented as a concise, factual bullet point list. The points will of course differ for each project, but an example is as follows:

- I spent 120 hours collecting material on and learning about the Java garbage-collection sub-system.
- I wrote a total of 5000 lines of source code, comprising a Linux device driver for a robot (in C) and a GUI (in Java) that is used to control it.
- I designed a new algorithm for computing the non-linear mapping from A-space to B-space using a genetic algorithm, see page 17.
- I implemented a version of the algorithm proposed by Jones and Smith in [6], see page 12, corrected a mistake in it, and compared the results with several alternatives.





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# Supporting Technologies

- I used the GNU Multiple Precision Arithmetic Library (GMP) to support my implementation of Karp-Rabin fingerprints.
- I used the C Minimum Perfect Hashing Library (CMPH) for static perfect hashing.
- I used an open-source implementation of Red-Black Trees from [http://en.literateprograms.org/Red-black\\_tree\\_\(C\)?oldid=19567](http://en.literateprograms.org/Red-black_tree_(C)?oldid=19567), with some minor adaptations.



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# Notation and Acronyms

CMPH	:	C Minimum Perfect Hashing Library
GMP	:	GNU Multiple Precision Arithmetic Library
$T$	:	A text string of $n$ characters
$t_i$	:	The $i$ -th character in $T$
$\mathcal{P}$	:	A list of $k$ patterns
$P_i$	:	The $i$ -th pattern in $\mathcal{P}$ , a text string of $m_i$ characters
$M$	:	A list of the length of each pattern in $\mathcal{P}$ .
$p_{i,j}$	:	The $j$ -th character in $P_i$
$\phi(T)$	:	The Karp-Rabin fingerprint of a text string $T$



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# Acknowledgements

First and foremost, I would like to thank my supervisors: Dr. Raphaël Clifford and Dr. Benjamin Sach. This project would have been impossible without their work and advice. Alongside them, I would like to mention Dr. Markus Jalsenius for his assistance during the summer project that led to this work and Dr. Allyx Fontaine, who contributed to the paper on which my project is based and advised me alongside Benjamin every week.

Everyone on my course has had an impact on me over the past four years. In particular, I would like to mention William Coaluca, Stephen de Mora, Nicholas Phillips, James Savage and Ashley Whetter. I have put countless hours into many projects with one or more of them.

I would like to acknowledge David Beddows, Derek Bekoe, Timothy Lewis and Jonathan Walsh for remaining a stable household for the past three years - four in the case of David and Timothy.

Last, but most certainly not least, I would like to thank my family for the infinite support, happiness and love they have given me my entire life.



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# Chapter 1

## Contextual Background

**A compulsory chapter, of roughly 10 pages**

This chapter should describe the project context, and motivate each of the proposed aims and objectives. Ideally, it is written at a fairly high-level, and easily understood by a reader who is technically competent but not an expert in the topic itself.

In short, the goal is to answer three questions for the reader. First, what is the project topic, or problem being investigated? Second, why is the topic important, or rather why should the reader care about it? For example, why there is a need for this project (e.g., lack of similar software or deficiency in existing software), who will benefit from the project and in what way (e.g., end-users, or software developers) what work does the project build on and why is the selected approach either important and/or interesting (e.g., fills a gap in literature, applies results from another field to a new problem). Finally, what are the central challenges involved and why are they significant?

The chapter should conclude with a concise bullet point list that summarises the aims and objectives. For example:

The high-level objective of this project is to reduce the performance gap between hardware and software implementations of modular arithmetic. More specifically, the concrete aims are:

1. Research and survey literature on public-key cryptography and identify the state of the art in exponentiation algorithms.
2. Improve the state of the art algorithm so that it can be used in an effective and flexible way on constrained devices.
3. Implement a framework for describing exponentiation algorithms and populate it with suitable examples from the literature on an ARM7 platform.
4. Use the framework to perform a study of algorithm performance in terms of time and space, and show the proposed improvements are worthwhile.





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## Chapter 2

# Technical Background

### 2.1 Pattern Matching: Formal Definitions

Pattern matching with a single pattern is a simple problem to describe intuitively: We have a text and a pattern, and we want to output any indexes where the pattern occurs in the text.

More formally, we refer to the text by  $T$ , and define it as a string of  $n$  characters  $t_0...t_{n-1}$ . Likewise, the pattern is referred to as  $P$ , and is a string of  $m$  characters  $p_0...p_{m-1}$ . The aim of the text indexing problem is to output indexes  $i \in \{m-1, ..., n-1\}$  such that  $t_{i-m+1}...t_i = P$ .

It is worth noting that there are many other ways of defining this problem. The most notable differences in this paper are that the text and pattern are indexed at zero instead of one, and that the index at the end of the pattern's occurrence is returned instead of the index at the start. Both of these are done to be intentionally to be consistent with the code implemented: The zero-indexing is because the implementations are written in C, which also uses zero indexing, and reporting the index at the end of the occurrence is to cater for the streaming model, on which more information will be provided later.

#### 2.1.1 Dictionary Matching: Formal Definitions

Like pattern matching, dictionary matching is also simple to describe intuitively: We have one text as before, but now we have multiple patterns, and we want to output any indexes where a pattern occurs in the text.

Formally, this is defined as follows: We have a text  $n$  characters long  $T = t_0...t_{n-1}$ , and a set of  $k$  patterns  $\mathcal{P} = \{P_0, ..., P_k\}$  of respective lengths  $M = \{m_0, ..., m_k\}$ . Hence a given pattern  $P_i$  is a string of  $m_i$  characters  $p_{i,0}...p_{i,m_i-1}$ . We output an index  $j \in \{\min(M), ..., n_1\}$  if  $\exists i \in \{0, ..., k-1\}$  such that  $t_{j-m_i+1}...t_j = P_i$ .

Note that for this work, we do not care about what pattern has occurred in the text, only that a pattern has occurred. This is due to a limitation with one of the algorithms, which will be discussed later.

### 2.2 The Streaming Model

Data streaming is a way of reducing space consumption for certain problems. Under this model, required space is reduced by not processing the entire problem input at once. Instead, the input is provided to the algorithm in portions, delivered via a stream of data. The algorithm processes one portion of the input at a time, and it is required that the algorithm is not allowed to store the entire input.

Under this model, we measure performance by two properties:

- **Space:** The size of the data structure
- **Time:** The time taken to process each portion in the stream

It is easy to see how pattern matching and in turn dictionary matching can be performed in this model. We can process the text by individual characters. During preprocessing we store the pattern and initialise a circular buffer  $buf$  which is  $m$  characters long. At index  $j$  when we receive character  $t_j$  we perform the algorithm described in Algorithm 2.1. A dictionary matching variant can be done by storing a circular buffer which is  $\max(M)$  characters long and repeating Algorithm 2.1  $k$  times. These algorithms use  $O(m)$  and  $O(\sum_{i=0}^{k-1} m_i)$  respectively, both in terms of space and time per character.

```

rotate buf by one
append  $t_i$  to buf for  $i = 0$  upto  $m - 1$  do
  if  $buf_i \neq p_i$  then
    return -1
  end
end
return j

```

**Algorithm 2.1:** A naïve solution to single pattern matching.

```

newstate  $\leftarrow -1$ 
for  $i = 0$  upto  $k - 1$  do
  state  $\leftarrow -1$ 
  j  $\leftarrow 0$ 
  while goto(state,  $p_{i,j}$ )  $\neq fail$  do
    state  $\leftarrow$  goto(state,  $p_{i,j}$ )
    j  $\leftarrow j + 1$ 
  end
  while j <  $m_i$  do
    newstate  $\leftarrow$  newstate + 1
    goto(state,  $p_{i,j}$ )  $\leftarrow$  newstate
    state  $\leftarrow$  newstate
    j  $\leftarrow j + 1$ 
  end
  output(state) =  $\{P_i\}$ 
end
forall the  $a \in \Sigma$  such that goto(-1,  $a$ ) = fail do
  goto(-1,  $a$ ) = -1
end

```

**Algorithm 2.2:** Constructing the goto function for Aho-Corasick.

Of course, these are poor solutions to both pattern and dictionary matching. We can do much better in terms of both time and space complexity.

## 2.3 The Aho-Corasick Algorithm for Dictionary Matching

The Aho-Corasick Algorithm for Efficient String Matching[1] - known hereafter as Aho-Corasick - is a deterministic algorithm for dictionary matching. Published in 1975, the algorithm works as a generalisation of Knuth-Morris-Pratt, extending the state machine from single patterns in KMP to multiple patterns.

Preprocessing consists of three algorithms. The first, Algorithm 2.2, produces the goto function, which determines what to do if the next character in the stream is a match. This in essence works by building a suffix tree: We traverse the tree until we either reach the end of the pattern or we hit a leaf, and then append the rest of the pattern to the leaf. Note that  $\Sigma$  refers to the alphabet of the patterns and *fail* is a default fail state for if the goto function cannot find a character for that state.

The second, Algorithm 2.3 constructs the failure function for when the next character cannot be found and the output function for whether or not there is a match. This is similar to how the failure table is computed in Knuth-Morris-Pratt, by using previously computed failure tables to find the longest prefix that is also a suffix of that point in the pattern.

From these two algorithms alone it is possible to perform dictionary matching, using a computation method again similar to Knuth-Morris-Pratt: For each character  $t_j$  in the text when we are in state  $s$ , we check if  $goto(s, t_j) = fail$ . If that is the case, we call  $s \leftarrow failure(s)$  repeatedly until the previous check no longer holds. We then update our state  $s \leftarrow goto(s, t_j)$ , and if  $output(s) \neq empty$  then we return  $j$ , otherwise we return  $-1$ . This runs in amortised  $O(|\Sigma|)$  time per character, and worst case  $O(|\Sigma| \max(M))$  time per character, as can be seen via Knuth-Morris-Pratt arguments.

To improve on this running time, Algorithm 2.4 is used, which combines the goto and failure functions to produce a next function, which given any state and character returns the next state. Computation now simply becomes as each character  $t_j$  comes in when we are in state  $s$ , call  $s \leftarrow next(s, t_j)$  and return  $j$  if  $output(s) \neq empty$ . This runs in worst case  $O(|\Sigma|)$  time per character, where the bottleneck is finding

```

queue ← empty
foreach  $a \in \Sigma$  such that goto(-1,  $a$ ) =  $s \neq -1$  do
    | queue ← queue  $\cup \{s\}$ 
    | failure( $s$ ) ← -1
end
while queue  $\neq$  empty do
    |  $r \leftarrow \text{pop}(\text{queue})$ 
    | foreach  $a \in \Sigma$  such that goto( $r$ ,  $a$ ) =  $s \neq \text{fail}$  do
        | queue ← queue  $\cup s$ 
        | state ← failure( $r$ )
        | while goto(state,  $a$ ) = fail do
            | state ← failure(state)
        | end
        | failure( $s$ ) ← goto(state,  $a$ )
        | output( $s$ ) ← output( $s$ )  $\cup$  output(failure( $s$ ))
    | end
end

```

**Algorithm 2.3:** Constructing the failure and output functions for Aho-Corasick.

```

queue ← empty
foreach  $a \in \Sigma$  do
    | next(-1,  $a$ ) = goto(-1,  $a$ )
    | if goto(-1,  $a$ )  $\neq$  -1 then
        | queue ← queue  $\cup \{\text{goto}(-1, a)\}$ 
    | end
end
while queue  $\neq$  empty do
    |  $r \leftarrow \text{pop}(\text{queue})$ 
    | foreach  $a \in \Sigma$  do
        | if goto( $r$ ,  $a$ ) =  $s \neq \text{fail}$  then
            | queue ← queue  $\cup s$ 
            | next( $r$ ,  $a$ ) =  $s$ 
        | end
        | else
            | next( $r$ ,  $a$ ) = next(failure( $r$ ),  $a$ )
        | end
    | end
end

```

**Algorithm 2.4:** Constructing the next function for Aho-Corasick.

the value associated with character  $t_j$  in the next function. In both the case with the goto and failure functions and the case with only the next function, space complexity is  $O(\sum_{i=0}^{k-1} m_i)$ .

### 2.3.1 An Alternative: The Commentz-Walter Algorithm

Much like how Aho-Corasick is an algorithm for dictionary matching based on Knuth-Morris-Pratt, Commentz-Walter[2] is an algorithm based on Boyer-Moore algorithm, using similar techniques to Aho-Corasick to convert the algorithm from single pattern to multiple patterns. While it is interesting to note as an alternative, particularly because of its time improvement on average cases and the fact that a variant of it is used in the GNU command **grep**,<sup>1</sup> it is not implemented in this project. This is because, like Boyer-Moore, the Commentz-Walter algorithm skips indexes in the text, which is not possible in the streaming model.

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<sup>1</sup>See <http://git.savannah.gnu.org/cgit/grep.git/tree/src/kwset.c>



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## Chapter 3

# Project Execution

A topic-specific chapter, of roughly 20 pages

This chapter is intended to describe what you did: the goal is to explain the main activity or activities, of any type, which constituted your work during the project. The content is highly topic-specific, but for many projects it will make sense to split the chapter into two sections: one will discuss the design of something (e.g., some hardware or software, or an algorithm, or experiment), including any rationale or decisions made, and the other will discuss how this design was realised via some form of implementation.

This is, of course, far from ideal for *many* project topics. Some situations which clearly require a different approach include:

- In a project where asymptotic analysis of some algorithm is the goal, there is no real “design and implementation” in a traditional sense even though the activity of analysis is clearly within the remit of this chapter.
- In a project where analysis of some results is as major, or a more major goal than the implementation that produced them, it might be sensible to merge this chapter with the next one: the main activity is such that discussion of the results cannot be viewed separately.

Note that it is common to include evidence of “best practice” project management (e.g., use of version control, choice of programming language and so on). Rather than simply a rote list, make sure any such content is useful and/or informative in some way: for example, if there was a decision to be made then explain the trade-offs and implications involved.

### 3.1 Example Section

This is an example section; the following content is auto-generated dummy text. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Ut purus elit, vestibulum ut, placerat ac, adipiscing vitae, felis. Curabitur dictum gravida mauris. Nam arcu libero, nonummy eget, consectetur id, vulputate a, magna. Donec vehicula augue eu neque. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Mauris ut leo. Cras viverra metus rhoncus sem. Nulla et lectus vestibulum urna fringilla ultrices. Phasellus eu tellus sit amet tortor gravida placerat. Integer sapien est, iaculis in, pretium quis, viverra ac, nunc. Praesent eget sem vel leo ultrices bibendum. Aenean faucibus. Morbi dolor nulla, malesuada eu, pulvinar at, mollis ac, nulla. Curabitur auctor semper nulla. Donec varius orci eget risus. Duis nibh mi, congue eu, accumsan eleifend, sagittis quis, diam. Duis eget orci sit amet orci dignissim rutrum.

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foo

Figure 3.1: This is an example figure.

foo	bar	baz
0	0	0
1	1	1
⋮	⋮	⋮
9	9	9

Table 3.1: This is an example table.

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### 3.1.1 Example Sub-section

This is an example sub-section; the following content is auto-generated dummy text. Notice the examples in Figure 3.1, Table 3.1, Algorithm 3.1 and Listing 3.1. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Ut purus elit, vestibulum ut, placerat ac, adipiscing vitae, felis. Curabitur dictum gravida mauris. Nam arcu libero, nonummy eget, consectetur id, vulputate a, magna. Donec vehicula augue eu neque. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Mauris ut leo. Cras viverra metus rhoncus sem. Nulla et lectus vestibulum urna fringilla ultrices. Phasellus eu tellus sit amet tortor gravida placerat. Integer sapien est, iaculis in, pretium quis, viverra ac, nunc. Praesent eget sem vel leo ultrices bibendum. Aenean faucibus. Morbi dolor nulla, malesuada eu, pulvinar at, mollis ac, nulla. Curabitur auctor semper nulla. Donec varius orci eget risus. Duis nibh mi, congue eu, accumsan eleifend, sagittis quis, diam. Duis eget orci sit amet orci dignissim rutrum.

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```
for i = 0 upto n do
|   ti ← 0
end
```

**Algorithm 3.1:** This is an example algorithm.

```
for( i = 0; i < n; i++ ) {
    t[ i ] = 0;
}
```

Listing 3.1: This is an example listing.

bibendum, erat ligula aliquet magna, vitae ornare odio metus a mi. Morbi ac orci et nisl hendrerit mollis. Suspendisse ut massa. Cras nec ante. Pellentesque a nulla. Cum sociis natoque penatibus et magnis dis parturient montes, nascetur ridiculus mus. Aliquam tincidunt urna. Nulla ullamcorper vestibulum turpis. Pellentesque cursus luctus mauris.

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**Example paragraph.** This is an example paragraph; note the trailing full-stop in the title, which is intended to ensure it does not run into the text.



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## Chapter 4

# Critical Evaluation

**A topic-specific chapter, of roughly 10 pages**

This chapter is intended to evaluate what you did. The content is highly topic-specific, but for many projects will have flavours of the following:

1. functional testing, including analysis and explanation of failure cases,
2. behavioural testing, often including analysis of any results that draw some form of conclusion wrt. the aims and objectives, and
3. evaluation of options and decisions within the project, and/or a comparison with alternatives.

This chapter often acts to differentiate project quality: even if the work completed is of a high technical quality, critical yet objective evaluation and comparison of the outcomes is crucial. In essence, the reader wants to learn something, so the worst examples amount to simple statements of fact (e.g., “graph X shows the result is Y”); the best examples are analytical and exploratory (e.g., “graph X shows the result is Y, which means Z; this contradicts [1], which may be because I use a different assumption”). As such, both positive *and* negative outcomes are valid *if* presented in a suitable manner.



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## Chapter 5

# Conclusion

**A compulsory chapter, of roughly 2 pages**

The concluding chapter of a dissertation is often underutilised because it is too often left too close to the deadline: it is important to allocation enough attention. Ideally, the chapter will consist of three parts:

1. (Re)summarise the main contributions and achievements, in essence summing up the content.
2. Clearly state the current project status (e.g., “X is working, Y is not”) and evaluate what has been achieved with respect to the initial aims and objectives (e.g., “I completed aim X outlined previously, the evidence for this is within Chapter Y”). There is no problem including aims which were not completed, but it is important to evaluate and/or justify why this is the case.
3. Outline any open problems or future plans. Rather than treat this only as an exercise in what you *could* have done given more time, try to focus on any unexplored options or interesting outcomes (e.g., “my experiment for X gave counter-intuitive results, this could be because Y and would form an interesting area for further study” or “users found feature Z of my software difficult to use, which is obvious in hindsight but not during at design stage; to resolve this, I could clearly apply the technique of Smith [7]”).



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# Bibliography

- [1] Alfred V. Aho and Margaret J. Corasick. Efficient string matching: An aid to bibliographic search. *Commun. ACM*, 18(6):333–340, June 1975.
- [2] Beate Commentz-Walter. A string matching algorithm fast on the average. In Hermann A. Maurer, editor, *Automata, Languages and Programming*, volume 71 of *Lecture Notes in Computer Science*, pages 118–132. Springer Berlin Heidelberg, 1979.



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## Appendix A

# An Example Appendix

Content which is not central to, but may enhance the dissertation can be included in one or more appendices; examples include, but are not limited to

- lengthy mathematical proofs, numerical or graphical results which are summarised in the main body,
- sample or example calculations, and
- results of user studies or questionnaires.

Note that in line with most research conferences, the marking panel is not obliged to read such appendices.