Higher-order Arities, Signatures and Equations via Modules

Ambroise Lafont

joint work with Benedikt Ahrens, André Hirschowitz, Marco Maggesi

Keywords associated with syntax

Induction/Recursion

Substitution



Model

Operation/Construction

Arity/Signature

This talk: give a mathematical account of this area

Motivation: LCD

The *differentiable* λ -calculus (LCD) was introduced by [Ehrard-Regnier 2003].

The syntax is not straightforward, as it involves some equations.

There are alternative presentations of the syntax in later articles, more or less verbose.

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The next slides give 3 variants of the syntax:

- 1. Mutual definition of *simple terms* and *differential* λ -terms
- 2. Stand-alone definition of simple terms
- 3. Stand-alone definition of differential λ -terms.

A **syntax** for the **differentiable λ-calculus** by **mutual induction**:

[Categorical Models for Simply Typed Resource Calculi]

Simple terms:

$$\Lambda^s: \quad s, t, u, v ::= \quad x \mid \lambda x.s \mid sT \mid \mathsf{D} s \cdot t$$

Differential λ-terms:

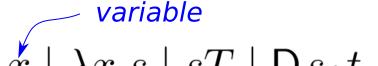
$$\Lambda^d: \quad S, T, U, V ::= \quad 0 \mid s \mid s + T$$

A syntax for the differentiable λ-calculus by mutual induction:

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Differential λ-terms:

 $\Lambda^d: \quad S, T, U, V ::= \quad 0 \mid s \mid s + T$ neutral element for + modulo commutativity

$$s+T$$

modulo α -renaming of x

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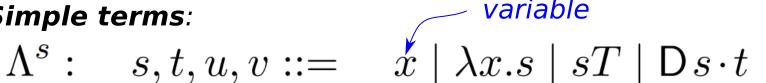
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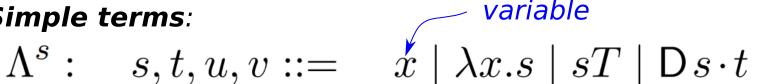
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A syntax is specified by operations and equations.

But which ones are allowed? What is the limit?

Which operations/equations are allowed to specify a syntax?

A stand-alone presentation of simple terms:

Simple terms:

$$\Lambda^s: \quad s, t, u, v ::= \quad x \mid \lambda x.s \mid sT \mid \mathsf{D} s \cdot t$$

Differential λ-terms:

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A stand-alone presentation of simple terms:

Simple terms:

$$\Lambda^s: \quad s,t,u,v ::= \quad x \mid \lambda x.s \mid sT \mid \mathsf{D} s \cdot t$$

as an operation: $\Lambda^s \times FreeCommutativeMonoid(\Lambda^s) \to \Lambda^s$

Differential λ-terms:

 $T \in \Lambda^d = FreeCommutativeMonoid(\Lambda^s)$

Which operations/equations are allowed to specify a syntax?

A stand-alone presentation of differential λ -terms:

Allow summands everywhere (not only in the right arg of application)

Differential λ -terms:

$$\Lambda^{
m d}: S,\!T$$
 $::= x \mid \lambda x.S \mid ST \mid {\sf D}S \cdot T$ neutral element for $+$ modulo commutativity and associativity

Turn [Categorical Models for

Simply Typed Resource Calculi]'s

abbreviations into equations:

$$\lambda x. \Sigma_i t_i = \Sigma_i \lambda x. t_i$$
$$(\Sigma_i t_i) u = \Sigma_i t_i u$$

$$D(\Sigma_i t_i) \cdot (\Sigma_j u_j) = \Sigma_i \Sigma_j D t_i \cdot u_j$$

Syntax of LCD: Conclusion

There is no well-established *scheme* for presenting a syntax.

We propose such a scheme (which is the counterpart of a mathematical theory of presentations of monads).

How can we compare these different versions?

In which sense are they syntaxes?

Which operations/equations are we allowed to specify in a syntax?

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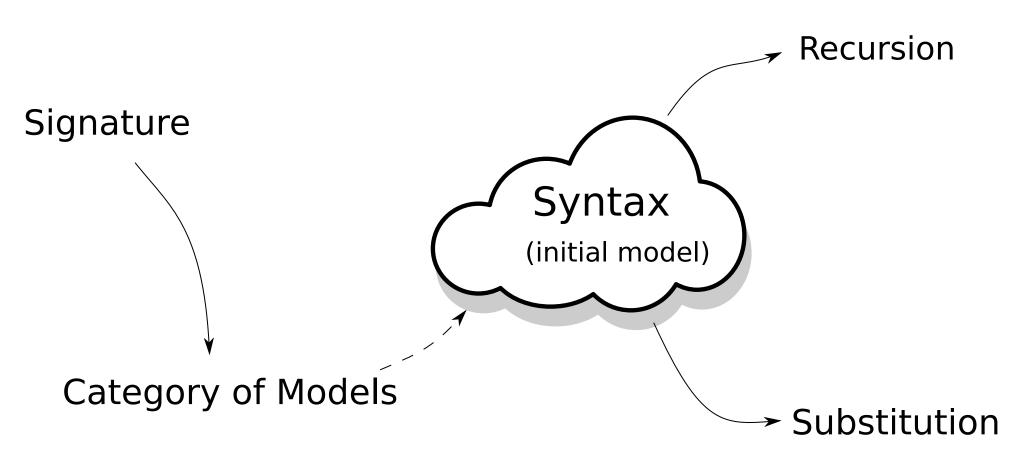
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What is a syntax?

What is a syntax?



generates a syntax = existence of the initial model

Overview

Topic: specification and construction of untyped syntaxes with variables and a well-behaved substitution (e.g. differential λ -calculus).

Our work:

- 1. general notion of *1-signature* based on *monads* and *modules*.
 - Caveat: Not all of them do generate a syntax
 - special case: classical *algebraic 1-signatures* generate a syntax
- 2. notion of **2-signature**: a pair of a 1-signature and a set of equations.
 - special case: *algebraic 2-signatures* generate a syntax

Previous work of Fiore-Hur 2010

[Fiore-Hur 2010]: presentations of simply typed languages by generating *binding* operations (e.g. λ -abstraction) and equations among them.

Our work: for the untyped setting, a variant of their approach where monads and modules over them are the central notions.

Table of contents

1. Review: Binding signatures and their models

2. 1-Signatures and models based on monads and modules

3. Equations

4. Recursion

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1. Review: Binding signatures and their models

- Categorical formulation of term languages
- Initial semantics for binding signatures

- 2. 1-Signatures and models based on monads and modules
- 3. Equations
- 4. Recursion

Example: differential λ -calculus (last variant)

$$\Lambda^{
m d}: S,\!T \qquad ::= \quad x \mid \lambda x.S \mid S\,T \mid \mathsf{D}S \cdot T \mid 0 \mid S+T$$

Free variable indexing:

$$LCD: X \mapsto \{\text{terms taking free variables in } X\}$$

 $LCD(\emptyset) = \{0, \lambda z.z, \dots\}$
 $LCD(\{x,y\}) = \{0, \lambda z.z, \dots, x, y, x + y, \dots\}$

Example: differential λ -calculus (last variant)

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$$\begin{array}{cccc} \mathrm{LCD}(f) \,:\, \mathrm{LCD}(X) \to & \mathrm{LCD}(Y) \\ & t & \mapsto & t[x \mapsto f(x)] \end{array} \qquad \text{where} \quad f: X \to Y$$

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⇒ LCD is an endofunctor on Set

Operations as natural transformations:

$$egin{array}{lll} +: & LCD imes LCD &
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Variables as a natural transformation:

 $\operatorname{var}: \operatorname{Id}_{\operatorname{Set}} \stackrel{\centerdot}{\to} LCD$

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$$+: \ LCD \times LCD \xrightarrow{\cdot} LCD$$

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Next slides: generalize this pattern to other languages

Binding Signatures

Definition

Binding signature = a family of lists of natural numbers.

Each list specifies one operation in the syntax:

- length of the list = number of arguments of the operation
- natural number in the list = number of bound variables in the corresponding argument

Syntax with 0, +:

Lambda calculus:

Similarly, any binding signature gives rise to a category of models.

Well-established theorem

The initial model of a binding signature Σ always exists.

Question: Does this initial model come with a well-behaved

substitution?

Answer: Yes: see e.g. [Fiore, Plotkin, Turi 1999], [Ghani & Uustalu 2003]

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... and initiality still holds in the subcategory of models with a well-

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15/50

model of (0, +) = endofunctor R with natural transformations:

$$+: R \times R \xrightarrow{\cdot} R$$

$$0: \qquad 1 \stackrel{\cdot}{\rightarrow} R$$

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morphism = natural transformation commuting with 0, + and var.

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1. Review: Binding signatures and their models

2. 1-Signatures and models based on monads and modules

- Our take on substitution
- Our take on 1-signatures, models and syntax
- Our take on binding 1-signatures
- 3. Equations
- 4. Recursion

Binding signatures \hookrightarrow Our 1-signatures

A **1-signature** Σ is a functorial assignment:

$$R \mapsto \Sigma(R)$$

A **model of** Σ is a pair:

$$(R, \rho: \Sigma(R) \to R)$$

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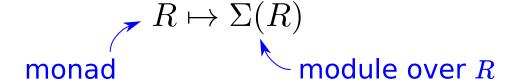
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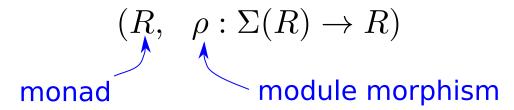
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Reminder:

- $LCD(X) = \{ \text{ differential } \lambda \text{-terms taking free variables in } X \}$
- Variables induce a natural transformation ${
 m var}:{
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- Variable renaming by functoriality:

$$LCD(f)(t) = t[x \mapsto f(x)]$$

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Variable renaming = special case of **substitution**:

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The triple (LCD, var, bind) is called a **monad**.

monad morphism = mapping preserving var and bind.

Monads

1. LCD : Set \rightarrow Set

- 2. A collection of functions $(var_X : X \to LCD(X))_X$ Variables are expressions
- 3. For each function $u:X\to LCD(Y)$, a function $\operatorname{bind}_u:LCD(X)\to LCD(Y)$ Parallel substitution

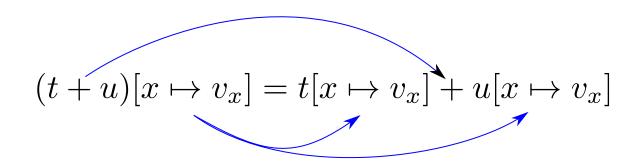
Notation: $\operatorname{bind}_{\mathbf{u}}(\mathbf{t}) = \mathbf{t}[\mathbf{x} \mapsto \mathbf{u}(\mathbf{x})]$

4. Monadic laws:

$$egin{aligned} & \mathrm{var}(\mathbf{y})[\mathbf{x}\mapsto\mathbf{u}(\mathbf{x})] = \mathbf{u}(\mathbf{y}) \\ & \mathbf{t}[\mathbf{x}\mapsto\mathbf{var}(\mathbf{x})] = \mathbf{t} \\ & \mathbf{t}[\mathbf{x}\mapsto\mathbf{f}(\mathbf{x})][\mathbf{y}\mapsto\mathbf{g}(\mathbf{y})] = \mathbf{t}[\mathbf{x}\mapsto\mathbf{f}(\mathbf{x})[\mathbf{y}\mapsto\mathbf{g}(\mathbf{y})] \] \end{aligned}$$

Preview: Operations are module morphisms

+ commutes with substitution



Categorical formulation

$$LCD imes LCD$$
 supports LCD -substitution



 $LCD \times LCD$ is a module over LCD



+:LCD imes LCD o LCD is

a module morphism

Modules VS Monads

Monad

- 1. $B : Set \rightarrow Set$
- 2. A collection of functions $(var_X : X \rightarrow B(X))_X$ Variables are expressions
- 3. For each function $u:X\to B(Y)$, a function $\operatorname{bind}_u:B(X)\to B(Y)$ Parallel substitution

Notation:
$$\operatorname{bind}_{\mathrm{u}}(\mathrm{t}) = \mathrm{t}[\mathrm{x} \mapsto \mathrm{u}(\mathrm{x})]^{\mathrm{B}}$$

4. Substitution laws:

$$\begin{split} var(y)[x \mapsto u(x)]^B &= u(y) \\ t[x \mapsto var(x)]^B &= t \\ t[x \mapsto f(x)]^B[y \mapsto g(y)]^B &= t[x \mapsto f(x)[y \mapsto g(y)]^B]^B \end{split}$$

Modules VS Monads

Monad Module over a monad B (e.g. $B \times B, 2, ...$)

- 1. $M : Set \rightarrow Set$ $M(X) = expressions \ taking \ variables \ in \ X$
- 2. A collection of functions $(var_X : X \to M(X))_X$
- 3. For each function $u:X\to B(Y)$, a function $\operatorname{bind}_u:M(X)\to M(Y)$ Parallel substitution

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$$\begin{split} \frac{var(y)[x\mapsto u(x)] = u(y)}{t[x\mapsto var(x)]^M = t} \\ t[x\mapsto f(x)]^M[y\mapsto g(y)]^M = t[x\mapsto f(x)[y\mapsto g(y)]^B \,]^M \end{split}$$

Building blocks for binding signatures

Essential constructions of **modules over a monad** R:

- R itself
- $M \times N$ for any modules M and N (in particular, $R \times R$)
- The **derivative of a module** M is the module M' defined by $M'(X) = M(X + \{ \diamond \}).$

The derivative is used to model an operation binding a variable (Cf next slide).

Syntactic operations are module morphisms

module morphism = maps commuting with substitution.

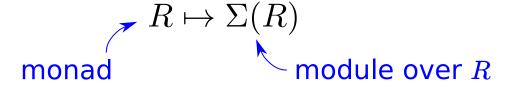
$$id_{M}:M
ightarrow M$$

$$0:1 \rightarrow LCD$$

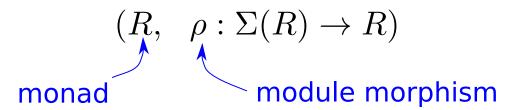
$$+:LCD imes LCD o LCD$$

The Big Picture again

A **1-signature** Σ is a functorial assignment:



A **model of** Σ is a pair:



A **model morphism** $m:(R,\rho)\to (S,\sigma)$ is a monad morphism commuting with the module morphism: $\Sigma(R) \xrightarrow{\rho} R$

$$\begin{array}{c|c}
\Sigma(R) & \xrightarrow{\rho} & R \\
\Sigma(m) & \downarrow & \downarrow \\
\Sigma(S) & \xrightarrow{\sigma} & S
\end{array}$$

Syntax

Definition

Given a 1-signature Σ , its **syntax** is an initial object in its category of models.

Question: Does the syntax exist for every 1-signature?

Answer: No.

Counter-example: the 1-signature $R \mapsto \mathscr{P} \circ R$

powerset endofunctor on Set

Examples of 1-signatures generating syntax

• **(0,+) language**:

```
Signature: R \mapsto \mathbf{1} + R \times R
```

Model:
$$(R \text{ , } 0: 1 \rightarrow R \text{ , } +: R \times R \rightarrow R)$$

Syntax:
$$(B , 0 : 1 \rightarrow B, + : B \times B \rightarrow B)$$

lambda calculus:

Signature: $R \mapsto R' + R \times R$

Model: $(R \text{ , } abs: R' \rightarrow R \text{ , } app: R \times R \rightarrow R)$

Syntax: (Λ , $abs: \Lambda' o \Lambda$, $app: \Lambda imes \Lambda o \Lambda$)

Can we generalize this pattern?

Initial semantics for algebraic 1-signatures

Syntax exists for any **algebraic 1-signature**, i.e. 1-signature built out of derivatives, products, coproducts, and the trivial 1-signature $R \mapsto R$.

Algebraic 1-signatures correspond to binding signatures through the embedding:

Binding signatures \hookrightarrow Our 1-signatures

Question: Can we enforce some equations in the syntax ? For example: commutativity of + for the differential λ -calculus.

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- 1. Review: Binding 1-signatures and their models
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3. Equations

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Example: a commutative binary operation

Specification of a binary operation

1-Signature: $R \mapsto R \times R$

Model: $(R , + : R \times R \rightarrow R)$

What is an appropriate notion of model for a commutative binary operation ?

Example: a commutative binary operation

Specification of a commutative binary operation

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Answer: a monad equipped with a commutative binary operation

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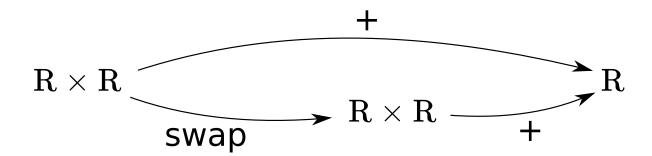
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Equation (1) states an equality between R-module morphisms:



Review: Signatures with equations

• [Fiore-Hur 2010]: existence of an initial model for an inductively defined (with a specific syntax) set of possible equations.

• [AHLM CSL 2018]: "quotients" of algebraic 1-signatures generate a syntax.

Examples:

- a binary commutative operation
- application of the simple terms of differential λ -calculus (2nd variant)

app : LCD \times FreeCommutativeMonoid(LCD) \rightarrow LCD

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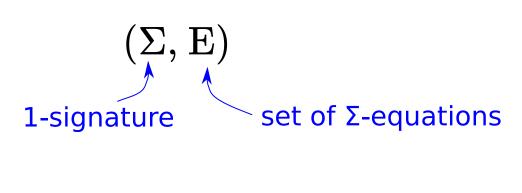
This work: more general equations (e.g. associativity of a binary op).

Equations

Given a 1-signature Σ , a Σ -equation $A \Rightarrow B$ is a functorial assignment

$$R \mapsto \left(\begin{array}{c} A(R) \Longrightarrow B(R) \\ & \text{parallel pair of module} \\ & \text{morphisms over } R \end{array}\right)$$

A 2-signature is a pair



model of a 2-signature (Σ, E) :

- a model R of Σ
- s.t. \forall (A \Rightarrow B) \in E, the two morphisms $A(R) \Rightarrow B(R)$ are equal

Algebraic 2-signatures

Given a 1-signature Σ , a Σ -equation $A \Rightarrow B$ is **elementary** if:

- 1. A "preserves pointwise epimorphisms"
 - (e.g., any "algebraic 1-signature")
- 2. B is of the form $R \mapsto R'^{...}$ (e.g. $R \mapsto R$)

Algebraic 2-signature:

 (Σ, E) set of **elementary** algebraic 1-signature Σ -equations

Syntax exists for any algebraic 2-signature

Example: λ-calculus modulo βη

The algebraic 2-signature $(\Sigma_{LC\beta\eta}, E_{LC\beta\eta})$ of λ -calculus modulo $\beta\eta$:

$$\mathbf{\Sigma}_{\mathbf{LC\beta\eta}}\left(\mathrm{R}
ight):=\Sigma_{\mathrm{LC}}(\mathrm{R})=\mathrm{R} imes\mathrm{R}+\mathrm{R}^{\prime}$$

model of Σ_{LC} = monad R with module morphisms:

$$app: R \times R \to R$$
 $abs: R' \to R$

β-equation:
$$(\lambda x.t) u = \underline{t[x \mapsto u]}$$
 η-equation: $t = \lambda x.(t x)$ $\sigma_R(t,u)$

$$\mathbf{E}_{\mathbf{LC}\boldsymbol{\beta}\boldsymbol{\eta}} = \{ \beta \text{-equation}, \eta \text{-equation} \}$$

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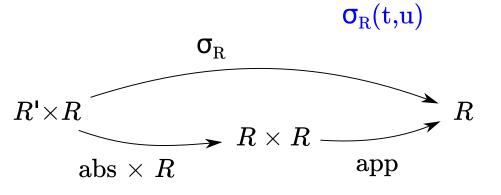
$$\mathbf{\Sigma}_{\mathrm{LCBn}}\left(\mathrm{R}
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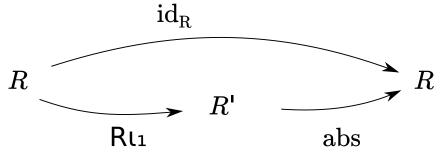
model of Σ_{1C} = monad R with module morphisms:

$$app: R \times R \to R$$
 $abs: R' \to R$

β-equation:
$$(\lambda x.t) u = t[x \mapsto u]$$

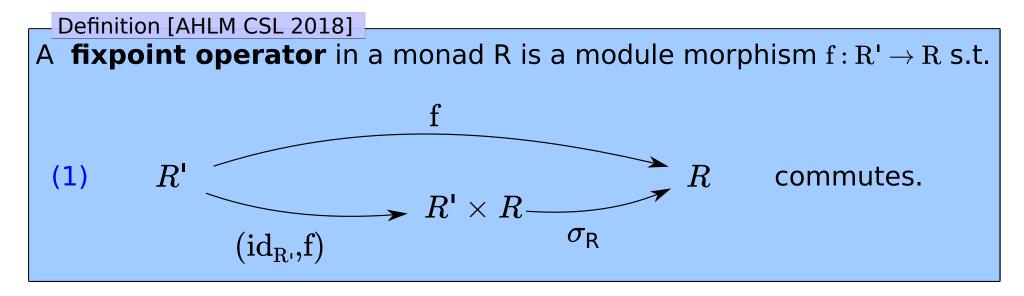
η-equation: $t = \lambda x.(t x)$





$$\mathbf{E}_{\mathbf{LC}\boldsymbol{\beta}\boldsymbol{\eta}} = \{ \beta \text{-equation}, \eta \text{-equation} \}$$

Example: fixpoint operator



The algebraic 2-signature (Σ_{fix}, E_{fix}) of a fixpoint operator:

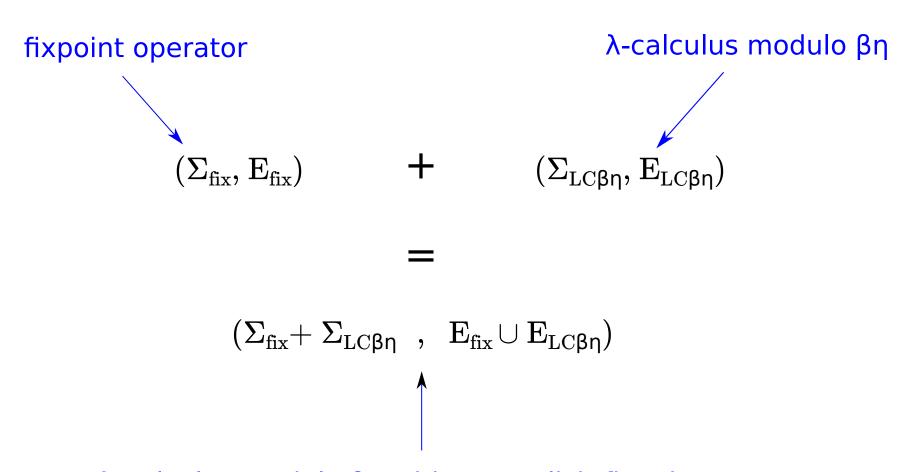
$$\Sigma_{ ext{fix}}\left(\mathrm{R}
ight) := \mathrm{R'} \qquad \qquad \mathrm{E}_{ ext{fix}} = \left\{ \ egin{pmatrix} 1 \ \end{pmatrix}
ight.$$

Proposition [AHLM CSL 2018]

Fixpoint operators in $LC_{\beta\eta}$ are in one to one correspondance with fixpoint combinators (i.e. λ -terms Y s.t. t (Yt) = Yt for any t).

Combining algebraic 2-signatures

Algebraic 2-signatures can be combined:



 λ -calculus modulo $\beta\eta$ with an explicit fixpoint operator

Example: free commutative monoid

An algebraic 2-signature (Σ_{mon}, E_{mon}) for the free commutative monoid monad: $\Sigma_{mon}(R):=1+R\times R$

model of Σ_{mon} = monad R with module morphisms:

$$0:1 \to R \qquad +: R \times R \to R$$

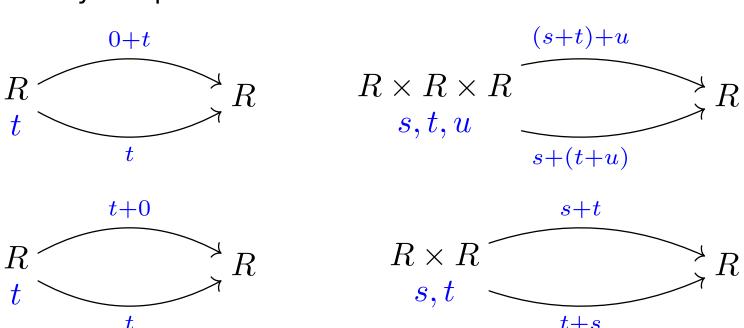
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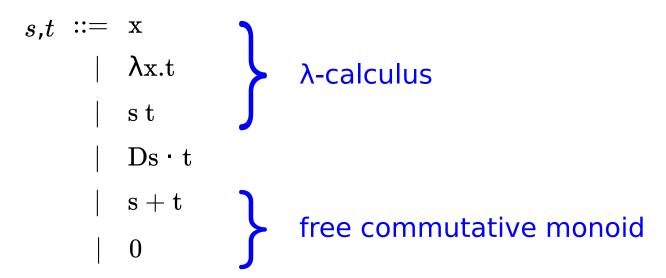
4 elementary Σ -equations:



Our target: LCD

Syntax of the differentiable λ-calculus:

Simple terms $s,t \in \Lambda$



and (bi)linearity of constructors with respect to +:

$$\lambda x.(s+t) = \lambda x.s + \lambda x.t$$
 ...

Algebraic 1-signature for LCD

Syntax of the differentiable λ-calculus:



Simple terms $s,t \in \Lambda$ Corresponding 1-signature

Algebraic 1-signature for LCD

Syntax of the differentiable λ-calculus:

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Resulting algebraic 1-signature:

$$\Sigma_{
m LCD}({
m R}) = \Sigma_{
m LC}({
m R}) + {
m R} imes {
m R} + \Sigma_{
m mon}({
m R})$$

Elementary equations for LCD

Commutative monoidal structure:

$$\mathbf{E}_{\mathrm{mon}}$$

$$\begin{cases} \mathbf{s} + \mathbf{t} = \mathbf{t} + \mathbf{s} \\ \mathbf{s} + (\mathbf{t} + \mathbf{u}) = (\mathbf{s} + \mathbf{t}) + \mathbf{u} \\ \mathbf{0} + \mathbf{t} = \mathbf{t} \\ \mathbf{t} + \mathbf{0} = \mathbf{t} \end{cases}$$

$$R \times R \Rightarrow R$$
 $R \times R \times R \Rightarrow R$
 $R \Rightarrow R$
 $R \Rightarrow R$
 $R \Rightarrow R$

Linearity:

$$\lambda x.(s+t) = \lambda x.s + \lambda x.t$$
 $R \times R \Rightarrow R$ $D(s+t) \cdot u = Ds \cdot u + Dt \cdot u$ $R \times R \times R \Rightarrow R$ $Ds \cdot (t+u) = Ds \cdot t + Ds \cdot u$ $R \times R \times R \Rightarrow R$

• • •

Table of contents

- 1. Review: Binding signatures and their models
- 2. 1-Signatures and models based on monads and modules
- 3. Equations

4. Recursion

Principle of recursion

Recursion on the syntax \approx Initiality in the category of models

Recipe for constructing "by recursion" a monad morphism:

$$f:R\to S$$
 initial model of a 2-signature (Σ,E)

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Initiality of R \Rightarrow model morphism $R \to S \Rightarrow$ monad morphism $R \to S$

Example: Computing the set of free variables

$$LC = initial model of (\Sigma_{LC}, \emptyset)$$

$$\Sigma_{\rm LC}({
m R})={
m R} imes{
m R}+{
m R}^{\scriptscriptstyle \mathsf{I}}$$

 \mathcal{P} = power set monad

Definition of a (monad) morphism $fv: LC \to \mathcal{P}$ s.t.

$$\mathrm{fv}(\mathrm{app}(\mathrm{t},\!\mathrm{u}))=\mathrm{fv}(\mathrm{t})\cup\mathrm{fv}(\mathrm{u})$$

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Initiality of $LC \Rightarrow fv : LC \rightarrow P$ satisfying the above equations (as a model morphism).

Example: Translating λ-calculus with fixpoint

Definition of a translation $\mathbf{f}:\mathrm{LC}_{\beta\eta\mathrm{fix}}\to\mathrm{LC}_{\beta\eta}\,$ s.t.

$$f(u) = "u[\ fix(t) \mapsto app(Y, abs(t)) \]"$$

a chosen fixpoint combinator

Example: Translating λ-calculus with fixpoint

```
\mathsf{LC}_{\mathsf{Bnfix}} = \mathsf{initial} \; \mathsf{model} \; \mathsf{of} \; (\Sigma_{\mathsf{LCBn}} \, , \, \mathord{\mathrm{E}}_{\mathsf{LCBn}}) + (\Sigma_{\mathsf{fix}} \, , \; \mathord{\mathrm{E}}_{\mathsf{fix}})
          \lambda-calculus modulo \beta\eta with a fixpoint operator \mathrm{fix}:\mathrm{LC}_{\beta\eta\mathrm{fix}}'\to\mathrm{LC}_{\beta\eta\mathrm{fix}}
LC_{\beta n} = initial model of (\Sigma_{LC\beta n}, E_{LC\beta n})
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                                         f(u) = u[fix(t) \mapsto app(Y, abs(t))]
                                                                                                   a chosen fixpoint combinator
\Rightarrow \text{ make LC}_{\beta\eta} \text{ a model of } (\Sigma_{\mathrm{LC}\beta\eta}\,, E_{\mathrm{LC}\beta\eta}) + (\Sigma_{\mathrm{fix}}\,,\ E_{\mathrm{fix}}) \text{:}
                                                                                                   \hat{\mathsf{Y}}: \mathrm{LC}_{\mathsf{Bn}}{}^{\mathsf{I}} 
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                                                    app, abs
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Initiality of $LC_{\beta\eta fix} \Rightarrow f: LC_{\beta\eta fix} \rightarrow LC_{\beta\eta}$

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Definition of a (monad) morphism $s : LC \rightarrow \mathbb{N}$ **s.t.**

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$$\mathbf{s}(\mathbf{t}) = \mathbf{g}(\mathbf{t}, (\mathbf{x} \mapsto \mathbf{0}))$$

variables are of size 0 45/50

Conclusion

Summary of the talk:

- presented a notion of 1-signature and models
- defined a 2-signature as a 1-signature and a set of equations
- identified a class of 2-signatures that generate a syntax

The main theorem has been formalized in Coq using the UniMath library.

Future work:

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Thank you!