CMPT 379 Compilers

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Lexical Analysis

• Also called *scanning*, take input program string and convert into tokens

```
• Example:
                          T DOUBLE
                                         ("double")
                          T IDENT
                                         ("f")
                          T OP
                                         ("=")
                          T IDENT
                                         ("sqrt")
double f = sqrt(-1);
                          T LPAREN
                                         ("(")
                          T OP
                                         ("-")
                          T INTCONSTANT
                                         ("1")
                          T RPAREN
                                         (")")
                          T SEP
                                         (";")
```

Token Attributes

- Some tokens have attributes
 - T_IDENT "sqrt"
 - T INTCONSTANT 1
- Other tokens do not
 - T WHILE
- Token=T_IDENT, Lexeme="sqrt", Pattern
- Source code location for error reports

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Lexical errors

- What if user omits the space in "doublef"?
 - No lexical error, single token T_IDENT
 ("doublef") is produced instead of sequence
 T DOUBLE, T IDENT("f")!
- Typically few lexical error types
 - E.g., illegal chars, opened string constants or comments that are not closed

Lexical errors

- Lexical analysis should not disambiguate tokens,
 - e.g. unary op + versus binary op +
 - Use the same token T_PLUS for both
 - It's the job of the parser to disambiguate based on the context
- Language definition should not permit crazy long distance effects (e.g. Fortran)

DO 5 I = 1,5
$$T_DO T_INT(5) T_ID(I)$$

DO 5 I = 1.5 $T_ID(DO5I) T_EQ$

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Ad-hoc Scanners

Implementing Lexers: Loop and switch scanners

- Ad hoc scanners
- Big nested switch/case statements
- Lots of getc()/ungetc() calls
 - Buffering; Sentinels for push-backs; streams
- Can be error-prone, use only if
 - Your language's lexical structure is very simple
 - The tools do not provide what you need for your token definitions
- Changing or adding a keyword is problematic
- Have a look at an actual implementation of an ad-hoc scanner 9/15/10

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Implementing Lexers: Loop and switch scanners

- Another problem: how to show that the implementation actually captures all tokens specified by the language definition?
- How can we show correctness
- Key idea: separate the definition of tokens from the implementation
- Problem: we need to reason about patterns and how they can be used to define tokens (recognize strings).

Specification of Patterns using Regular Expressions

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Formal Languages: Recap

- Symbols: a, b, c
- Alphabet : finite set of symbols $\Sigma = \{a, b\}$
- String: sequence of symbols bab
- Empty string: ε Define: $\Sigma^{\varepsilon} = \Sigma \cup \{\varepsilon\}$
- ullet Set of all strings: Σ^{ullet} cf. The Library of Babel, Jorge Luis Borges
- (Formal) Language: a set of strings
 { aⁿ bⁿ: n > o }

Regular Languages

- The set of regular languages: each element is a regular language
- Each regular language is an example of a (formal) language, i.e. a set of strings
 e.g. { a^m bⁿ: m, n are +ve integers }

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Regular Languages

- Defining the set of all regular languages:
 - The empty set and {a} for all a in Σ^ϵ are regular languages
 - If L₁ and L, and L are regular languages, then:

$$L_1 \cdot L_2 = \{xy \mid x \in L_1 \text{ and } y \in L_2\}$$
 (concatenation)
 $L_1 \cup L_2$ (union)
 $L^* = \bigcup_{i=0}^{\infty} L^i$ (Kleene closure)
are also regular languages

- There are no other regular languages

Formal Grammars

- A formal grammar is a concise description of a formal language
- A formal grammar uses a specialized syntax
- For example, a regular expression is a concise description of a regular language
 - (a|b)*abb: is the set of all strings over the alphabet {a, b} which end in abb
- We will use regular expressions (regexps) in order to define tokens in our compiler,
 - e.g. lexemes for string tokens are \" $(\Sigma \")$ * \"

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Regular Expressions: Definition

- Every symbol of $\Sigma \cup \{ \epsilon \}$ is a regular expression
 - E.g. if $\Sigma = \{a,b\}$ then 'a', 'b' are regexps
- If r₁ and r₂ are regular expressions, then the core operators to combine two regexps are
 - Concatenation: r₁r₂, e.g. 'ab' or 'aba'
 - Alternation: r₁|r₂, e.g. 'a|b'
 - Repetition: r₁*, e.g. 'a*' or 'b*'
- No other core operators are defined
 - But other operators can be defined using the basic operators (as in lex regular expressions) e.g. a+ = aa*

Lex regular expressions

Expression	Matches	Example	Using core operators
c	non-operator character c	a	
\c	character c literally	*	
"s"	string s literally	"**"	
	any character but newline	a.*b	
Λ	beginning of line	^abc	used for matching
\$	end of line	abc\$	used for matching
[s]	any one of characters in string s	[abc]	(alblc)
[^s]	any one character not in string s	[^a]	(blc) where $\Sigma = \{a,b,c\}$
r*	zero or more strings matching r	a*	
r+	one or more strings matching r	a+	aa*
<i>r</i> ?	zero or one r	a?	(ale)
r{m,n}	between m and n occurences of r	a{2,3}	(aalaaa)
$r_1 r_2$	an r ₁ followed by an r ₂	ab	
$r_1 r_2$	an r ₁ or an r ₂	a b	
(r)	same as r	(a b)	
r_1/r_2	r ₁ when followed by an r ₂	abc/123	used for matching

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Regular Expressions: Definition

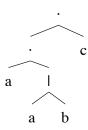
- Note that operators apply recursively and these applications can be ambiguous
 - E.g. is aa|bc equal to a(a|b)c or ((aa)|b)c?
- Avoid such cases of ambiguity provide explicit arguments for each regexp operator
 - For convenience, for examples on this page, let us use the symbol '.' to denote the operator for concatenation
- Remove ambiguity with an explicit regexp tree
 - a(a|b)c is written as $(\cdot(\cdot a(|ab))c)$ or in postfix: $aab|\cdot c\cdot$
 - ((aa)|b)c is written as $(\cdot(|(\cdot aa)b)c)$ or in postfix: $aa \cdot b|c \cdot$

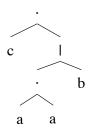
Regular Expressions: Definition

• Remove ambiguity with an explicit regexp tree a(a|b)c is written as $(\cdot(\cdot a(|ab))c)$ or in postfix: aab|·c·

> ((aa)|b)c is written as $(\cdot(|(\cdot aa)b)c)$ or in postfix: aa·b|c·

• Does the order of concatenation matter?





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Equivalence of Regexps

•
$$(R|S)|T == R|(S|T) == RS|RT$$

 $R|S|T$
• $(R|S)* == (R*S*)*$

- (RS)T == R(ST)
- (R|S) == (S|R)
- R*R* == (R*)* == R* (RS)*R == R(SR)* == RR*| ε
- R** == R*
- (R|S)T = RT|ST

- RR* == R*R
- $R = R | R = R \varepsilon$

Equivalence of Regexps

• (01)(01)*|(01)(01)*|
$$\epsilon$$
 • R* == RR*| ϵ

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Regular Expressions

- To describe all lexemes that form a token as a pattern
 - (0|1|2|3|4|5|6|7|8|9)+
- Need decision procedure: to which token does a given sequence of characters belong (if any)?
 - Finite State Automata
 - Can be deterministic (DFA) or nondeterministic (NFA)

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Implementing Regular Expressions with Finite-state Automata

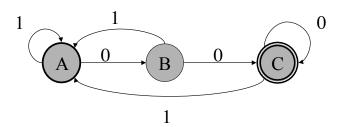
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Deterministic Finite State Automata: DFA

- A set of states S
 - One start state q_o, zero or more final states F
- ullet An alphabet \sum of input symbols
- A transition function:
 - $-\delta$: $S \times \Sigma \Rightarrow S$
- Example: $\delta(1, a) = 2$

DFA: Example

 What regular expression does this automaton accept?



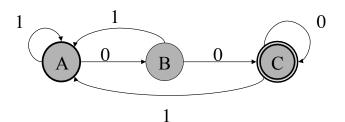
A: start state C: final state

Answer: (0|1)*00

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DFA simulation



Input string: 00100

DFA simulation takes at most *n* steps for input of length *n* to return accept or reject

• Start state: A

1.
$$\delta(A,0) = B$$

2.
$$\delta(B,0) = C$$

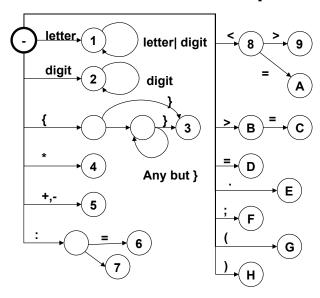
3.
$$\delta(C,1) = A$$

4.
$$\delta(A,0) = B$$

5.
$$\delta(B,0) = C$$

 no more input and C is final state: accept

FA: Pascal Example



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Building a Lexical Analyzer

- Token ⇒ Pattern
- Pattern ⇒ Regular Expression
- Regular Expression ⇒ NFA
- NFA ⇒ DFA
- DFAs or NFAs for all the tokens ⇒ Lexical Analyzer
- Two basic rules to deal with multiple matching:
 greedy match + regexp ordering

Note that **greedy** means *longest leftmost match*

Lexical Analysis using Lex

```
#include <stdio.h>
#define NUMBER
#define IDENTIFIER 257
/* regexp definitions */
num [0-9]+
               { return NUMBER; }
[a-zA-Z0-9]+ { return IDENTIFIER; }
int
main () {
  int token;
 while ((token = yylex())) {
   switch (token) {
     case NUMBER: printf("NUMBER: %s, LENGTH:%d\n", yytext, yyleng); break;
      case IDENTIFIER: printf("IDENTIFIER: %s, LENGTH:%d\n", yytext, yyleng); break;
     default: printf("Error: %s not recognized\n", yytext);
 }
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                                                                                   27
```

NFAs

- NFA: like a DFA, except
 - A transition can lead to more than one state, that is, δ : S x $\Sigma \Rightarrow 2^S$
 - One state is chosen non-deterministically
 - Transitions can be labeled with ϵ , meaning states can be reached without reading any input, that is,

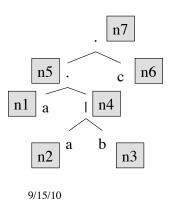
$$\delta: S \times \Sigma \cup \{ \epsilon \} \Rightarrow 2^{S}$$

Thompson's construction

Converts regexps to NFA

Build NFA recursively from regexp tree

Build NFA with left-to-right parse of postfix string using a stack



Input = $aabl \cdot c \cdot$

- read a, push n1 = nfa(a)
- read a, push n2 = nfa(a)
- read b, push n3 = nfa(b)
- read |, n3=pop(); n2=pop(); push n4 = nfa(or, n2, n3)
- read ·, n4 = pop(); n1 = pop(); push n5 = nfa(cat, n1, n4)
- read c, push n6 = nfa(c)
- read ·, n6 = pop(); n5 = pop(); push n7 = nfa(cat, n5, n6)

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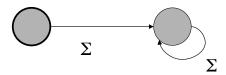
Thompson's construction

- Converts regexps to NFA
- Six simple rules
 - Empty language
 - Symbols
 - Empty String
 - Alternation $(r_1 \text{ or } r_2)$
 - Concatenation $(r_1 \text{ followed by } r_2)$
 - Repetition (r_1^*)

Used by Ken Thompson for pattern-based search in text editor QED (1968) To keep things

simple our version is more verbose

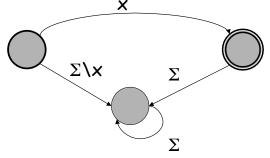
For the empty language φ (optionally include a sinkhole state)



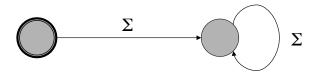
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Thompson Rule 1

For each symbol x of the alphabet, there is a NFA that accepts it (include a sinkhole state)



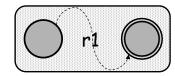
 \bullet There is an NFA that accepts only ϵ

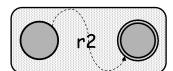


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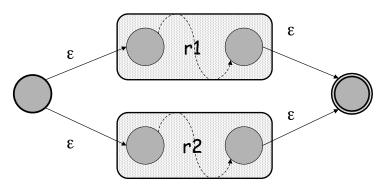
Thompson Rule 3

• Given two NFAs for r_1 , r_2 , there is a NFA that accepts $r_1 | r_2$





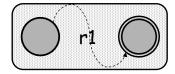
• Given two NFAs for r_1 , r_2 , there is a NFA that accepts $r_1 | r_2$

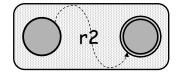


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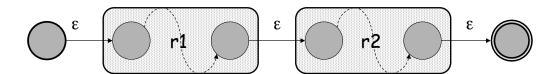
Thompson Rule 4

 Given two NFAs for r₁, r₂, there is a NFA that accepts r₁r₂





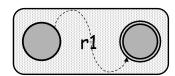
 Given two NFAs for r₁, r₂, there is a NFA that accepts r₁r₂



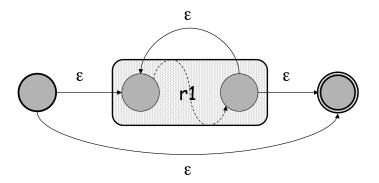
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Thompson Rule 5

 Given a NFA for r₁, there is an NFA that accepts r₁*



 Given a NFA for r₁, there is an NFA that accepts r₁*



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Example

- Set of all binary strings that are divisible by four (include o in this set)
- Defined by the regexp: ((0|1)*00) | 0
- Apply Thompson's Rules to create an NFA

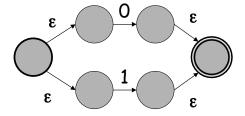
Basic Blocks o and 1



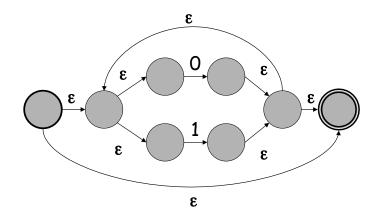


(this version does not report errors: no sinkholes)

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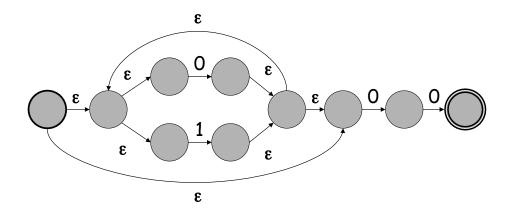


0|1

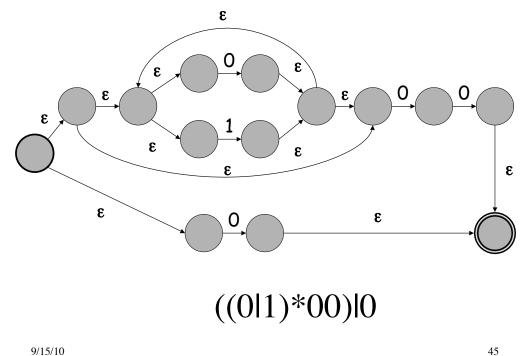


(0|1)*

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(0|1)*00



Simulating NFAs

- Similar to DFA simulation
- But have to deal with ε transitions and multiple transitions on the same input
- Instead of one state, we have to consider sets of states
- Simulating NFAs is a problem that is closely linked to converting a given NFA to a DFA

NFA to DFA Conversion

- Subset construction
- Idea: subsets of set of all NFA states are equivalent and become one DFA state
- Algorithm simulates movement through NFA
- Key problem: how to treat ε-transitions?

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ε-Closure

• Start state: q_o

```
• \epsilon-closure(S): S is a set of states

initialize: S \leftarrow \{q_0\}

T \leftarrow S

repeat T' \leftarrow T

T \leftarrow T' \cup [\cup_{s \in T'} \mathbf{move}(s, \epsilon)]

until T = T'
```

ε-Closure (T: set of states)

```
push all states in T onto stack initialize \epsilon-closure(T) to T while stack is not empty do begin pop t off stack for each state u with u \in move(t, \epsilon) do if u \notin \epsilon-closure(T) do begin add u to \epsilon-closure(T) push u onto stack end end
```

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NFA Simulation

- After computing the ϵ -closure move, we get a set of states
- On some input extend all these states to get a new set of states

```
\mathbf{DFAedge}(T,c) = \epsilon\text{-}\mathbf{closure}\left(\cup_{q \in T}\mathbf{move}(q,c)\right)
```

NFA Simulation

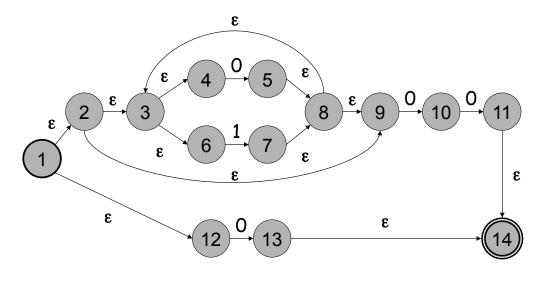
• Start state: q_o • Input: c_i , ..., c_k $T \leftarrow \epsilon\text{-closure}(\{q_0\})$ for $i \leftarrow 1$ to k $T \leftarrow \mathbf{DFAedge}(T, c_i)$

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Conversion from NFA to DFA

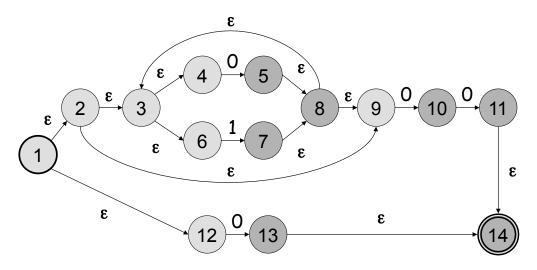
- Conversion method closely follows the NFA simulation algorithm
- Instead of simulating, we can collect those NFA states that behave identically on the same input
- Group this set of states to form one state in the DFA

Example: subset construction

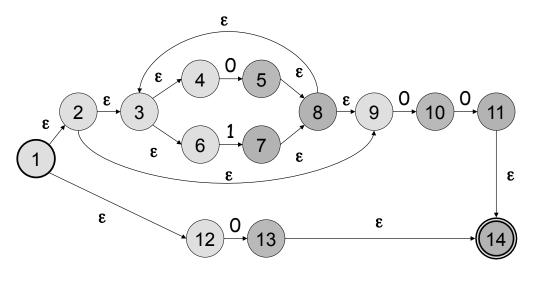


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ε -closure(q_o)

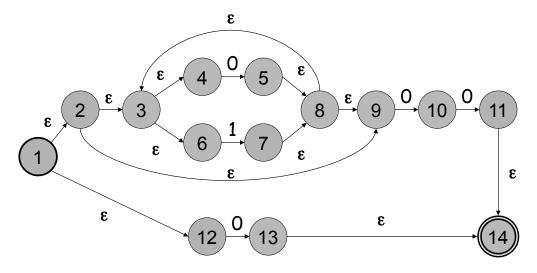


move(ε -closure(q_o), o)

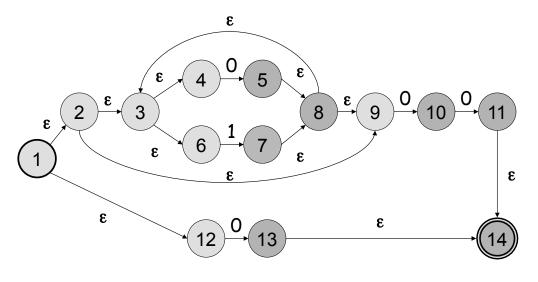


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ε -closure(move(ε -closure(q_o), o))

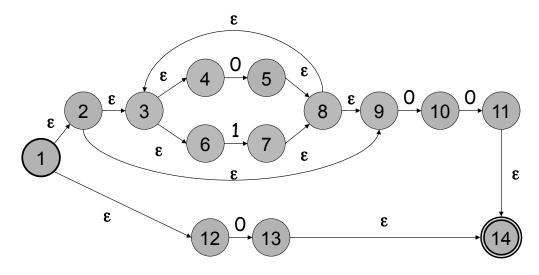


move(ε -closure(q_o), 1)



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ε -closure(move(ε -closure(q_o), 1))



Subset Construction

```
add \epsilon-closure(q_o) to Dstates unmarked while \exists unmarked T \in Dstates do begin mark T;

for each symbol c do begin

U := \epsilon-closure(move(T, c));

if U \notin Dstates then

add U to Dstates unmarked

Dtrans[d, c] := U;

end

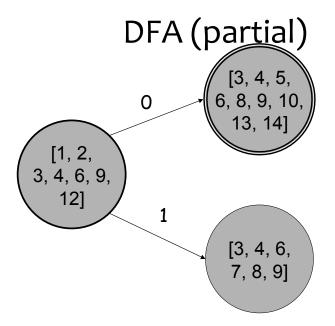
end
```

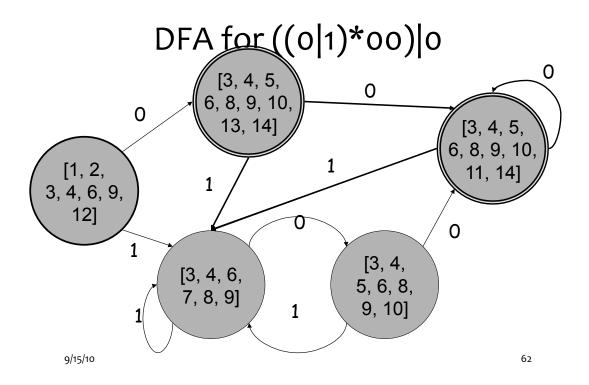
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Subset Construction

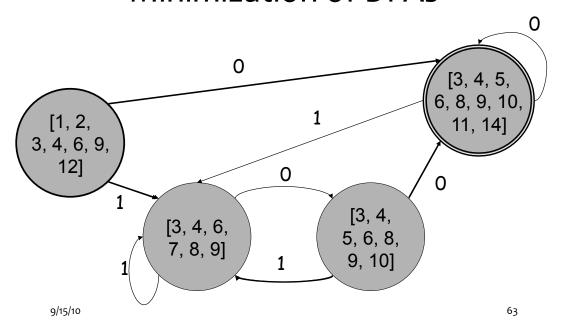
```
states[0] = \epsilon\text{-closure}(\{q_0\})
p = j = 0
while \ j \le p \ do \ begin
for \ each \ symbol \ c \ do \ begin
e = DFAedge(states[j], c)
if \ e = states[i] \ for \ some \ i \le p
then \quad Dtrans[j, c] = i
else \quad p = p+1
states[p] = e
Dtrans[j, c] = p
j = j+1
end
g/15/10 \ end
```

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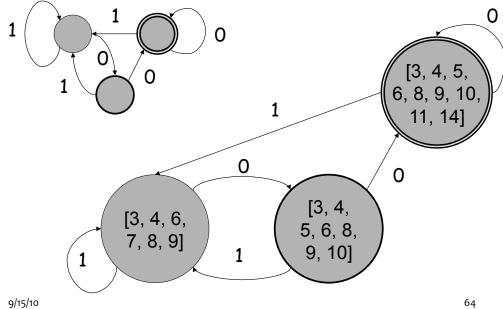




Minimization of DFAs

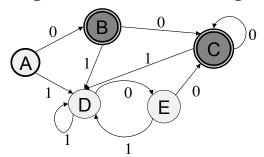


Minimization of DFAs



Minimization of DFAs

- Algorithm for minimizing the number of states in a DFA
- Step 1: partition states into 2 groups: accepting and non-accepting



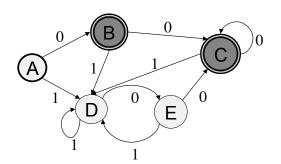
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Minimization of DFAs

- Step 2: in each group, find a sub-group of states having property P
- P: The states have transitions on each symbol (in the alphabet) to the *same* group

A, 0: blue A, 1: yellow E, 0: blue E, 1: yellow D, 0: yellow D, 1: yellow



B, 0: blue

B, 1: yellow

C, 0: blue

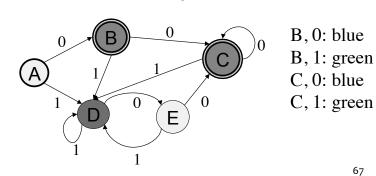
C, 1: yellow

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Minimization of DFAs

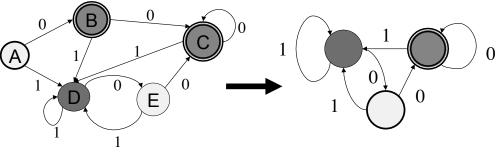
- Step 3: if a sub-group does not obey P split up the group into a separate group
- Go back to step 2. If no further sub-groups emerge then continue to step 4





Minimization of DFAs

- Step 4: each group becomes a state in the minimized DFA
- Transitions to individual states are mapped to a single state representing the group of states



NFA to DFA

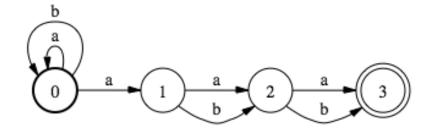
- Subset construction converts NFA to DFA
- Complexity:
 - For FSAs, we measure complexity in terms of initial cost (creating the automaton) and per string cost
 - Let r be the length of the regexp and n be the length of the input string
 - NFA, Initial cost: O(r); Per string: O(rn)
 - DFA, Initial cost: $O(r^2s)$; Per string: O(n)
 - DFA, common case, s = r, but worst case $s = 2^{r}$

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NFA to DFA

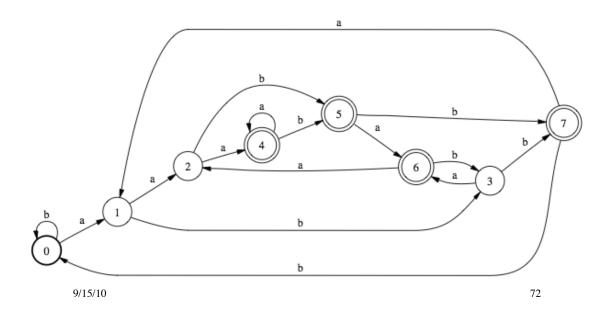
- A regexp of size r can become a 2^r state DFA, an exponential increase in complexity
 - Try the subset construction on NFA built for the regexp A*aAⁿ⁻¹ where A is the regexp (a|b)
- Note that the NFA for regexp of size r will have r states
- Minimization can reduce the number of states
- But minimization requires determinization

NFA to DFA

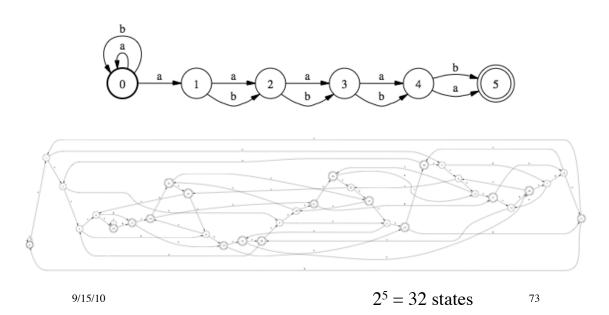


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NFA to DFA



NFA to DFA



NFA vs. DFA in the wild

Engine Type	Programs
DFA	<pre>awk (most versions), egrep (most versions), flex, lex, MySQL, Procmail</pre>
Traditional NFA	GNU <i>Emacs</i> , Java, <i>grep</i> (most versions), <i>less</i> , <i>more</i> , .NET languages, PCRE library, Perl, PHP (pcre routines), Python, Ruby, <i>sed</i> (most versions), vi
POSIX NFA	mawk, MKS utilities, GNU Emacs (when requested)
Hybrid NFA/DFA	GNU awk, GNU grep/egrep, Tcl

Extensions to Regular Expressions

- Most modern regexp implementations provide extensions:
 - matching groups; \1 refers to the string matched by the first grouping (), \2 to the second match, etc.,
 - e.g. ([a-z]+)\1 which matches abab where \1=ab
 - match and replace operations,
 - e.g. s/([a-z]+)/11/g which changes ab into abab where 1=ab
- These extensions are no longer "regular". In fact, extended regexp matching is NP-hard
 - Extended regular expressions (including POSIX and Perl) are called REGEX to distinguish from regexp (which are regular)
- In order to capture these difficult cases, the algorithms used even for simple regexp matching run in time

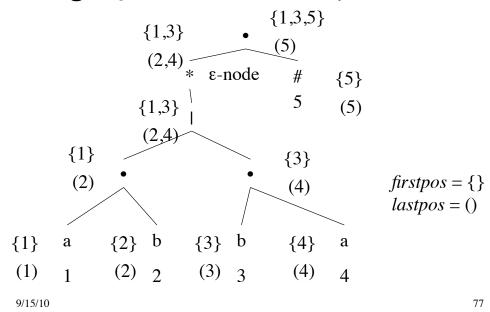
 9/15/exponential in the length of the input

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Converting Regular Expressions directly into DFAs

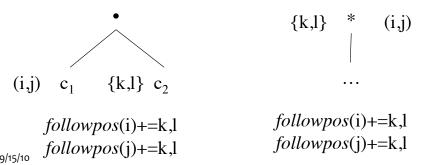
This algorithm was first used by Al Aho in egrep, and used in awk, lex, flex

Regexp to DFA: ((ab) | (ba)) *#

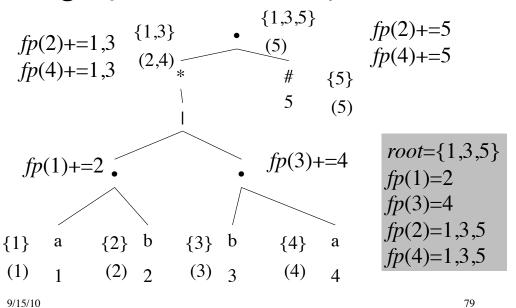


Regexp to DFA: followpos

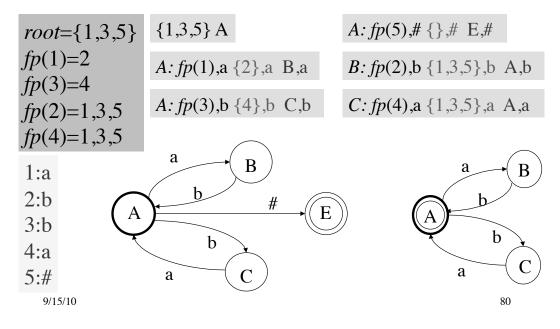
- followpos(p) tells us which positions can follow a position p
- There are two rules that use the firstpos {} and lastpos () information



Regexp to DFA: ((ab) | (ba)) *#



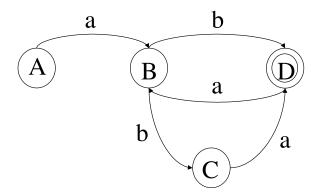
Regexp to DFA: ((ab) | (ba)) *#



Converting an NFA into a Regular Expression

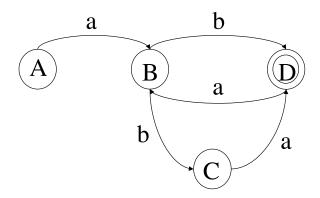
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NFA to RegExp



What is the regular expression for this NFA?

NFA to RegExp



- A = a B
- B = b D | b C

- D = a B | ε
- C = a D

9/15/10

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NFA to RegExp

- Three steps in the algorithm (apply in any order):
- Substitution: for B = X pick every A = B | T and replace to get A = X | T
- 2. Factoring: (RS)|(RT) = R(S|T) and (RT)|
 (ST) = (R|S)T
- Arden's Rule: For any set of strings S and T, the equation X = (S X) | T has X = (S*) T as a solution.

NFA to RegExp

$$B = b D | b C$$

$$D = a B \mid \varepsilon$$

$$C = a D$$

• Substitute:

$$A = a B$$

$$B = b D | b a D$$

$$D = a B \mid \epsilon$$

Factor:

$$A = a B$$

$$B = (b|ba)D$$

$$D = a B \mid \varepsilon$$

• Substitute:

$$D = a (b | b a) D | \varepsilon$$

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NFA to RegExp

$$D = a(b|ba)D|\epsilon$$

• Factor:

$$D = (ab|aba)D|\epsilon$$
 $A = (ab|aba)$

• Arden:

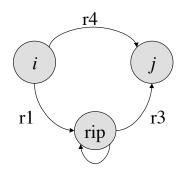
$$A = (ab | aba) D$$
 • Simplify:

$$D = (ab|aba)* \epsilon$$

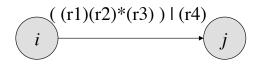
• Remove epsilon:

Substitute:

NFA to Regexp using GNFAs



Generalized NFA: transition function takes state and regexp and returns a set of states



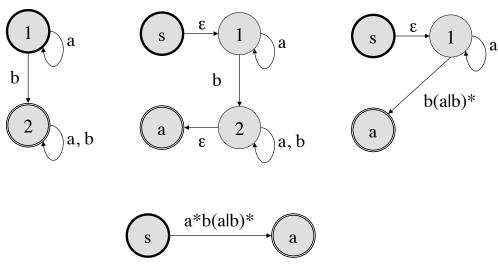
r2 Algorithm:

- 1. Add new start & accept state
- 2. For each state *s*: rip state *s* creating GNFA, consider each state *i* and *j* adjacent to *s*

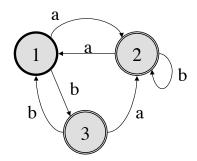
3. Return regexp from start to accept state 87

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NFA to Regexp using GNFAs



NFA to Regexp using GNFAs



Rip states 1, 2, 3 in that order, and we get: (a(aalb)*ablb) ((bala)(aalb)*ablbb)*((bala)(aalb)*lɛ)la(aalb)*

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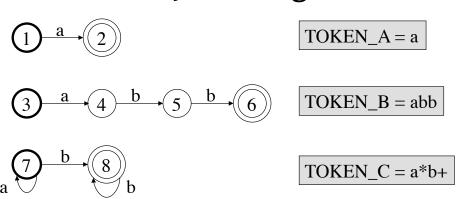
Implementing a Lexical Analyzer

Lexical Analyzer using NFAs

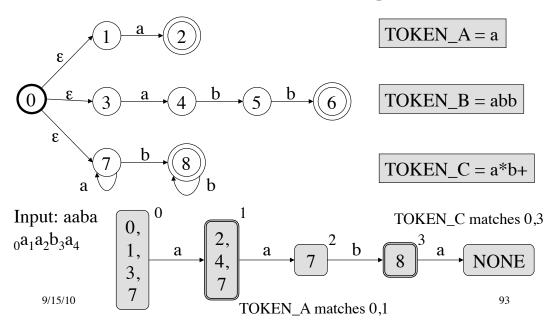
- For each token convert its regexp into a DFA or NFA
- Create a new start state and create a transition on ϵ to the start state of the automaton for each token
- For input $i_1, i_2, ..., i_n$ run NFA simulation which returns some final states (each final state indicates a token)
- If no final state is reached then raise an error
- Pick the final state (token) that has the longest match in the input,
 - e.g. prefer DFA #8 over all others because it read the input until i_{30} and none of the other DFAs reached i_{30}
 - If two DFAs reach the same input character then pick the one that is listed first in the ordered list

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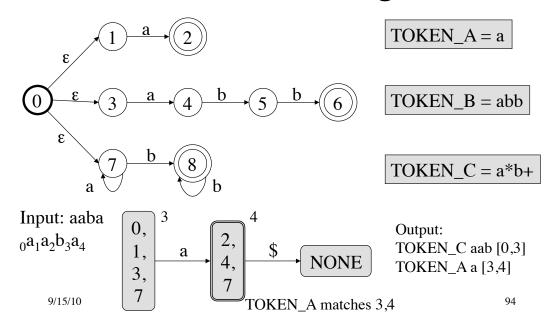
Lexical Analysis using NFAs



Lexical Analysis using NFAs



Lexical Analysis using NFAs



Lexical Analyzer using DFAs

- Each token is defined using a regexp r_i
- Merge all regexps into one big regexp
 - $-R = (r_1 | r_2 | ... | r_n)$
- Convert R to an NFA, then DFA, then minimize
 - remember orig NFA final states with each DFA state

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Lexical Analyzer using DFAs

- The DFA recognizer has to find the longest leftmost match for a token
 - continue matching and report the last final state reached once DFA simulation cannot continue
 - e.g. longest match: <print> and not <pr>>, <int></pr>
 - e.g. leftmost match: for input string aabaaaaab the regexp a⁺b will match aab and not aaaaab
- If two patterns match the same token, pick the one that was listed earlier in R
 - e.g. prefer final state (in the original NFA) of r_2 over r_3

Lookahead operator

- Implementing r_1/r_2 : match r_1 when followed by r_2
- e.g. a*b+/a*c accepts a string bac but not abd
- The lexical analyzer matches r₁εr₂ up to position q in the input
- But remembers the position p in the input where r₁ matched but not r₂
- Reset to start state and start from position *p*

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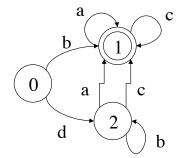
Efficient data-structures for DFAs

Implementing DFAs

- 2D array storing the transition table
- Adjacency list, more space efficient but slower
- Merge two ideas: array structures used for sparse tables like DFA transition tables
 - base & next arrays: Tarjan and Yao, 1979
 - Dragon book (default+base & next+check)

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Implementing DFAs



	a	b	c	d
0	ı	1	_	2
1	1	-	1	-
2	1	2	1	-

Implementing DFAs

	a	b	c	d
0	-	1	-	2
1	1	-	1	-
2	1	2	1	-

1 1 2 1 1 1 2 1 5 0 3 1 2 4 6 2 2 0 1 0 1

next

check

base $\begin{vmatrix} 0 & 2 \\ 1 & 4 \end{vmatrix}$

nextstate(s, x):

L := base[s] + x

return next[L] if check[L] eq s

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Implementing DFAs

	a	b	c	d
0	-	1	-	2
1	1	-	1	-
2	1	2	1	ı

 1
 2

 1
 1

 2

 2
 1
 1
 2

 2
 1
 1
 2
 1

 2
 0
 1
 0
 1

next

check

base

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0	1	-
1	3	-
2	0	1

nextstate(s, x):

L := base[s] + x

default

return next[L] if check[L] eq selse return nextstate(default[s], x)

Summary

- Token ⇒ Pattern
- Pattern ⇒ Regular Expression
- Regular Expression ⇒ NFA
 - Thompson's Rules
- NFA ⇒ DFA
 - Subset construction
- DFA ⇒ minimal DFA
 - Minimization
- ⇒ Lexical Analyzer (multiple patterns)