Synchronization: Advanced

15-213 / 18-213: Introduction to Computer Systems 25th Lecture, Nov. 21, 2017

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Reminder: Semaphores

- Semaphore: non-negative global integer synchronization variable
- Manipulated by *P* and *V* operations:
 - P(s): [while (s == 0) wait(); s--;]
 - Dutch for "Proberen" (test)
 - *V(s):* [**s++**;]
 - Dutch for "Verhogen" (increment)
- OS kernel guarantees that operations between brackets [] are executed atomically
 - Only one P or V operation at a time can modify s.
 - When while loop in P terminates, only that P can decrement s
- Semaphore invariant: (s >= 0)

Review: Using semaphores to protect shared resources via mutual exclusion

Basic idea:

- Associate a unique semaphore mutex, initially 1, with each shared variable (or related set of shared variables)
- Surround each access to the shared variable(s) with P(mutex) and V(mutex) operations

```
mutex = 1
P(mutex)
cnt++
V(mutex)
```

This case is so common, that pthreads provides mutex as primitive.

Today

- Using semaphores to schedule shared resources
 - Producer-consumer problem
 - Readers-writers problem
- Other concurrency issues
 - Thread safety
 - Races
 - Deadlocks

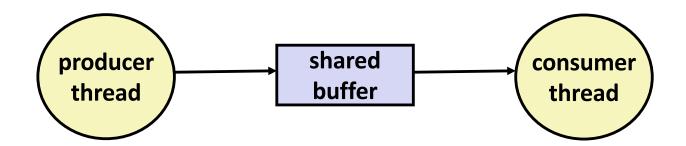
Using Semaphores to Coordinate Access to Shared Resources

- 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:

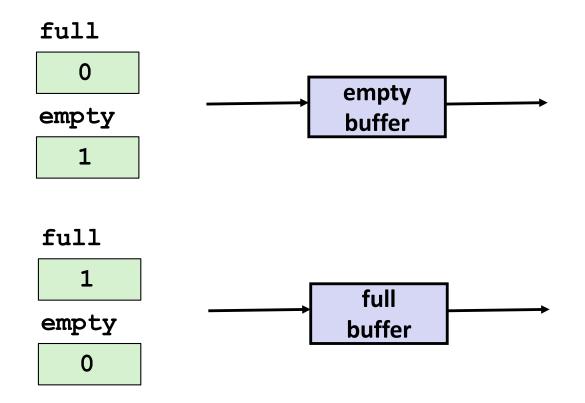
- Producer waits for empty slot, inserts item in buffer, and notifies consumer
- Consumer waits for *item*, removes it from buffer, and notifies producer

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 on 1-element Buffer

■ Maintain two semaphores: full + empty



Producer-Consumer on 1-element Buffer

```
#include "csapp.h"

#define NITERS 5

void *producer(void *arg);
void *consumer(void *arg);

struct {
  int buf; /* shared var */
  sem_t full; /* sems */
  sem_t empty;
} shared;
```

```
int main(int argc, char** argv) {
 pthread t tid producer;
 pthread t tid consumer;
 /* Initialize the semaphores */
  Sem init(&shared.empty, 0, 1);
  Sem init(&shared.full, 0, 0);
 /* Create threads and wait */
 Pthread create (&tid producer, NULL,
                 producer, NULL);
 Pthread create (&tid consumer, NULL,
                 consumer, NULL);
 Pthread join(tid producer, NULL);
 Pthread join(tid consumer, NULL);
 return 0;
```

Producer-Consumer on 1-element Buffer

```
Initially: empty==1, full==0
```

Producer Thread

```
void *producer(void *arg) {
  int i, item;
  for (i=0; i<NITERS; i++) {
    /* Produce item */
    item = i;
   printf("produced %d\n",
            item);
    /* Write item to buf */
    P(&shared.empty);
    shared.buf = item;
    V(&shared.full);
  return NULL;
```

Consumer Thread

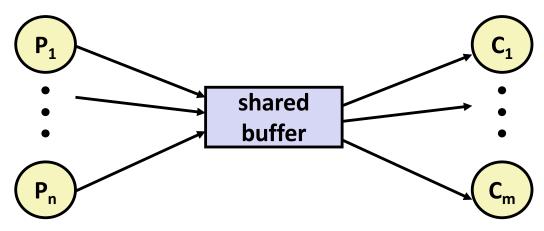
```
void *consumer(void *arg) {
  int i, item;

for (i=0; i<NITERS; i++) {
    /* Read item from buf */
    P(&shared.full);
    item = shared.buf;
    V(&shared.empty);

    /* Consume item */
    printf("consumed %d\n", item);
  }
  return NULL;
}</pre>
```

Why 2 Semaphores for 1-Entry Buffer?

Consider multiple producers & multiple consumers

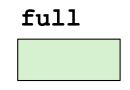


- Producers will contend with each to get empty
- Consumers will contend with each other to get full

Producers

```
P(&shared.empty);
shared.buf = item;
V(&shared.full);
```

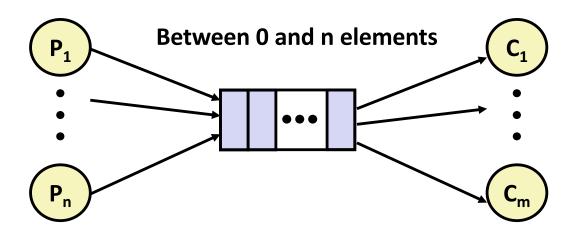




Consumers

```
P(&shared.full);
item = shared.buf;
V(&shared.empty);
```

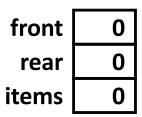
Producer-Consumer on an *n*-element Buffer

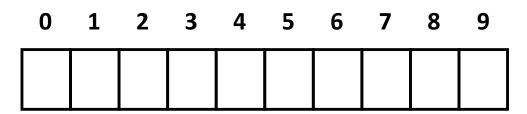


Implemented using a shared buffer package called sbuf.

Circular Buffer (n = 10)

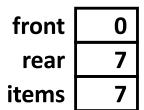
- Store elements in array of size n
- items: number of elements in buffer
- Empty buffer:
 - front = rear
- Nonempty buffer
 - rear: index of most recently inserted element
 - front: (index of next element to remove 1) mod n
- Initially:





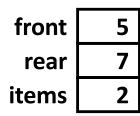
Circular Buffer Operation (n = 10)

Insert 7 elements



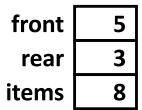
0	1	2	3	4	5	6	7	8	9

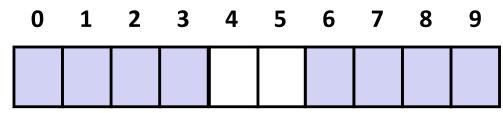
Remove 5 elements



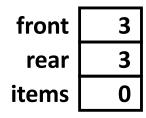
0	1	2	3	4	5	6	7	8	9

Insert 6 elements





Remove 8 elements

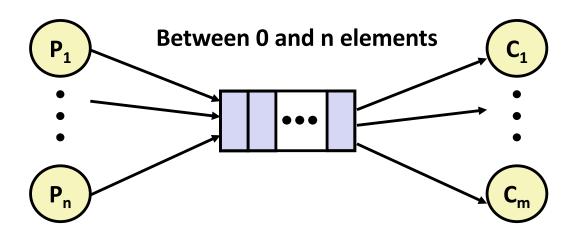


0	1	2	3	4	5	6	7	8	9

Sequential Circular Buffer Code

```
init(int v)
   items = front = rear = 0;
insert(int v)
   if (items >= n)
     error();
   if (++rear >= n) rear = 0;
  buf[rear] = v;
   items++;
int remove()
   if (items == 0)
      error();
   if (++front >= n) front = 0;
   int v = buf[front];
   items--;
   return v;
```

Producer-Consumer on an *n*-element Buffer



Requires a mutex and two counting semaphores:

- mutex: enforces mutually exclusive access to the buffer and counters
- slots: counts the available slots in the buffer
- items: counts the available items in the buffer

Makes use of general semaphores

Will range in value from 0 to n

sbuf Package - Declarations

```
#include "csapp.h"
typedef struct {
   int *buf; /* Buffer array
                                                      */
   int n; /* Maximum number of slots
                                                      */
   int front;  /* buf[front+1 (mod n)] is first item */
   int rear;  /* buf[rear] is last item
                                                      */
   sem_t mutex; /* Protects accesses to buf
                                                      */
   sem t slots; /* Counts available slots
                                                      */
                                                      */
   sem t items; /* Counts available items
} sbuf t;
void sbuf init(sbuf t *sp, int n);
void sbuf deinit(sbuf t *sp);
void sbuf insert(sbuf t *sp, int item);
int sbuf remove(sbuf t *sp);
```

sbuf Package - Implementation

Initializing and deinitializing a shared buffer:

```
/* Create an empty, bounded, shared FIFO buffer with n slots */
void sbuf init(sbuf t *sp, int n)
{
    sp->buf = Calloc(n, sizeof(int));
                                /* Buffer holds max of n items */
    sp->n = n;
    sp->front = sp->rear = 0; /* Empty buffer iff front == rear */
    Sem init(&sp->mutex, 0, 1); /* Binary semaphore for locking */
    Sem init(&sp->slots, 0, n); /* Initially, buf has n empty slots */
    Sem init(&sp->items, 0, 0); /* Initially, buf has zero items */
}
/* Clean up buffer sp */
void sbuf deinit(sbuf t *sp)
{
   Free (sp->buf);
```

sbuf.c

sbuf Package - Implementation

Inserting an item into a shared buffer:

```
/* Insert item onto the rear of shared buffer sp */
void sbuf insert(sbuf t *sp, int item)
   P(&sp->slots);
                               /* Wait for available slot */
                              /* Lock the buffer
   P(&sp->mutex);
                                                           */
   if (++sp->rear >= sp->n) /* Increment index (mod n) */
       sp->rear = 0;
   sp->buf[sp->rear] = item; /* Insert the item
                                                          */
                              /* Unlock the buffer
   V(&sp->mutex);
                                                          */
                               /* Announce available item */
   V(&sp->items);
                                                         sbuf.c
```

sbuf Package - Implementation

Removing an item from a shared buffer:

```
/* Remove and return the first item from buffer sp */
int sbuf remove(sbuf t *sp)
{
   int item;
                               /* Wait for available item */
   P(&sp->items);
                               /* Lock the buffer
   P(&sp->mutex);
                                                           */
   if (++sp-)front >= sp-)n /* Increment index (mod n) */
       sp->front = 0;
   item = sp->buf[sp->front];  /* Remove the item
                                                           */
   V(&sp->mutex);
                         /* Unlock the buffer
                                                           */
                                /* Announce available slot */
   V(&sp->slots);
   return item;
                                                             sbuf.c
```

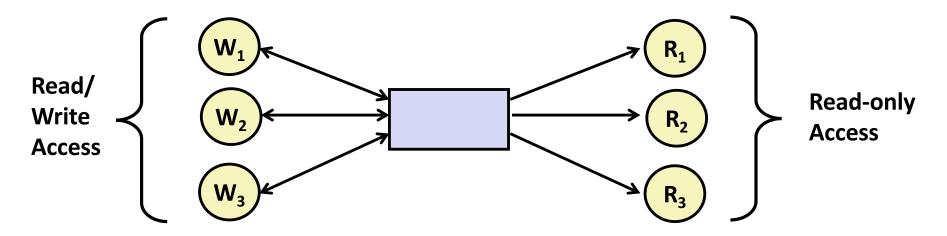
Demonstration

- See program produce-consume.c in code directory
- 10-entry shared circular buffer
- 5 producers
 - Agent i generates numbers from 20*i to 20*i 1.
 - Puts them in buffer
- 5 consumers
 - Each retrieves 20 elements from buffer
- Main program
 - Makes sure each value between 0 and 99 retrieved once

Today

- Using semaphores to schedule shared resources
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 - Readers-writers problem
- Other concurrency issues
 - Thread safety
 - Races
 - Deadlocks

Readers-Writers Problem



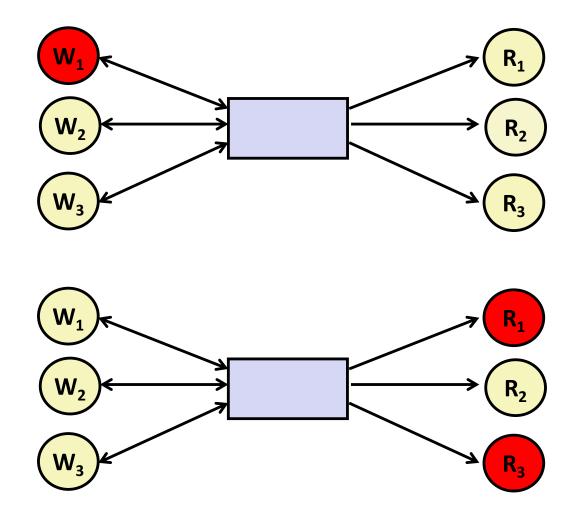
Problem statement:

- 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



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.
- 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.
- Starvation (where a thread waits indefinitely) is possible in both cases.

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:

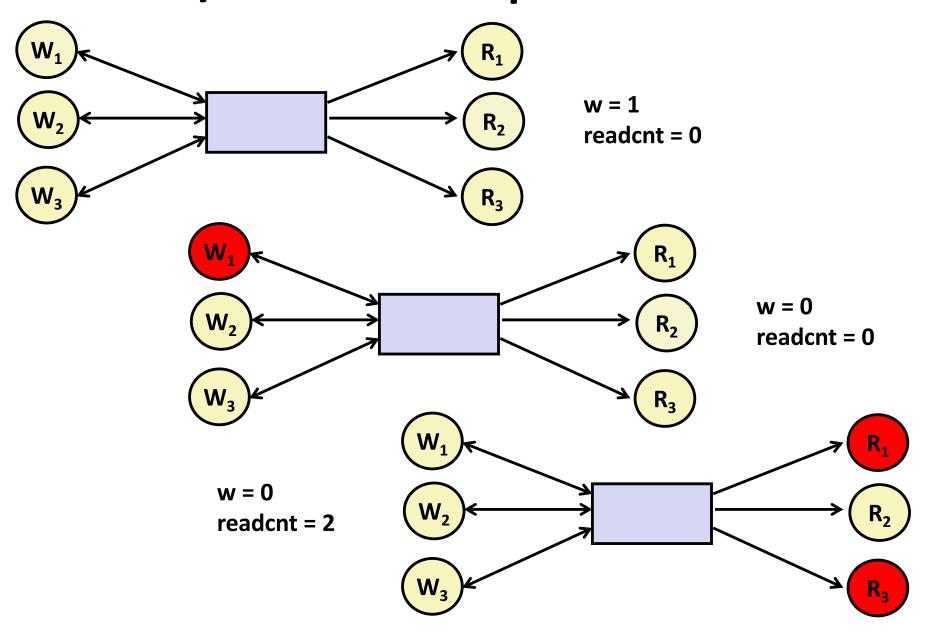
```
void writer(void)
{
   while (1) {
     P(&w);

   /* Writing here */

     V(&w);
   }
}
```

rw1.c

Readers/Writers Examples



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

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);
R1
     * 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++;
R2
     f (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++;
R3
      f (readcnt == 1) /* First in */
         P(&w);
       V(&mutex);
       /* Reading happens here */
R2
       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);
     (&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

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


```
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);
```

Solution to Second Readers-Writers Problem Void Writer (Void)

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

Today

- Using semaphores to schedule shared resources
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 - Deadlocks
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One Worry: Races

 A race occurs when correctness of the program depends on one thread reaching point x before another thread reaches point y

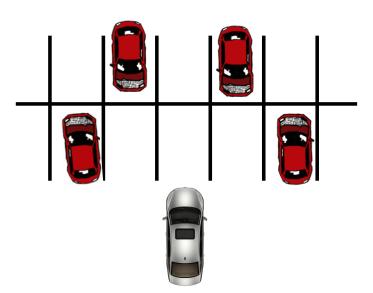
```
/* a threaded program with a race */
int main(int argc, char** argv) {
   pthread t tid[N];
    int i;
    for (i = 0; i < N; i++)
        Pthread create(&tid[i], NULL, thread, &i);
    for (i = 0; i < N; i++)
       Pthread join(tid[i], NULL);
    return 0;
/* thread routine */
void *thread(void *varqp) {
    int myid = *((int *)varqp);
    printf("Hello from thread %d\n", myid);
    return NULL;
```

race.c

Data Race







Race Elimination

Make sure don't have unintended sharing of state

```
/* a threaded program without the race */
int main(int argc, char** argv) {
    pthread t tid[N];
    int i;
    for (i = 0; i < N; i++) {
        int *valp = Malloc(sizeof(int));
        *valp = i;
        Pthread create(&tid[i], NULL, thread, valp);
    for (i = 0; i < N; i++)
        Pthread join(tid[i], NULL);
    return 0;
/* thread routine */
void *thread(void *vargp) {
    int myid = *((int *)varqp);
    Free (varqp);
    printf("Hello from thread %d\n", myid);
    return NULL;
                                                norace.c
```

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A Worry: Deadlock

Def: A process is deadlocked iff it is waiting for a condition that will never be true.

Typical Scenario

- Processes 1 and 2 needs two resources (A and B) to proceed
- Process 1 acquires A, waits for B
- Process 2 acquires B, waits for A
- Both will wait forever!

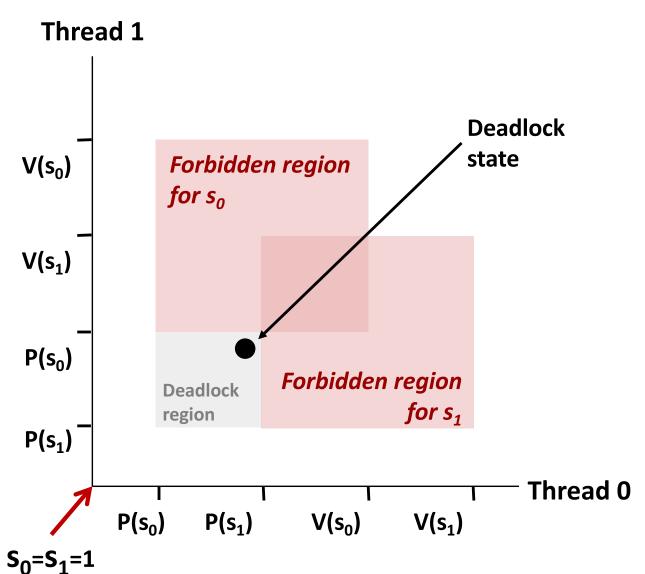
Deadlocking With Semaphores

```
int main(int argc, char** argv)
{
    pthread_t tid[2];
    Sem_init(&mutex[0], 0, 1); /* mutex[0] = 1 */
    Sem_init(&mutex[1], 0, 1); /* mutex[1] = 1 */
    Pthread_create(&tid[0], NULL, count, (void*) 0);
    Pthread_create(&tid[1], NULL, count, (void*) 1);
    Pthread_join(tid[0], NULL);
    Pthread_join(tid[1], NULL);
    printf("cnt=%d\n", cnt);
    return 0;
}
```

```
void *count(void *vargp)
{
    int i;
    int id = (int) vargp;
    for (i = 0; i < NITERS; i++) {
        P(&mutex[id]); P(&mutex[1-id]);
        cnt++;
        V(&mutex[id]); V(&mutex[1-id]);
    }
    return NULL;
}</pre>
```

```
Tid[0]: Tid[1]:
P(s<sub>0</sub>); P(s<sub>1</sub>);
P(s<sub>1</sub>); P(s<sub>0</sub>);
cnt++; V(s<sub>0</sub>); V(s<sub>1</sub>);
V(s<sub>1</sub>);
```

Deadlock Visualized in Progress Graph



Locking introduces the potential for *deadlock:* waiting for a condition that will never be true

Any trajectory that enters the *deadlock region* will eventually reach the *deadlock state*, waiting for either S₀ or S₁ to become nonzero

Other trajectories luck out and skirt the deadlock region

Unfortunate fact: deadlock is often nondeterministic (race)

Deadlock





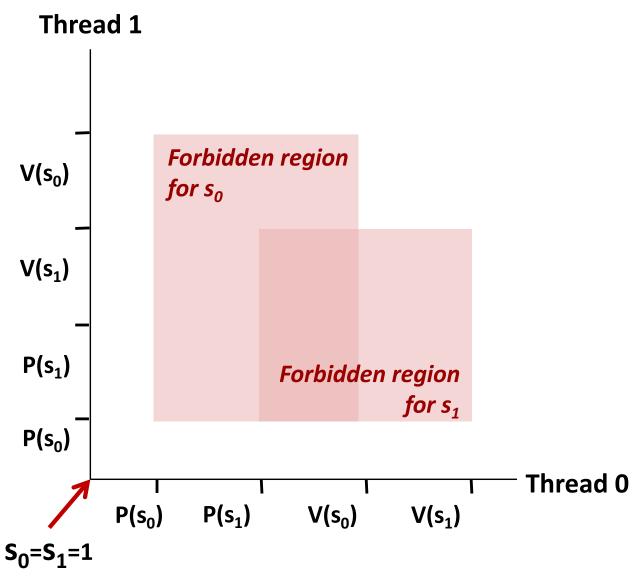
Avoiding Deadlock Acquire shared resources in same order

```
int main(int argc, char** argv)
{
   pthread t tid[2];
   Sem init(&mutex[0], 0, 1); /* mutex[0] = 1 */
   Sem init(&mutex[1], 0, 1); /* mutex[1] = 1 */
   Pthread create(&tid[0], NULL, count, (void*) 0);
   Pthread create(&tid[1], NULL, count, (void*) 1);
   Pthread join(tid[0], NULL);
   Pthread join(tid[1], NULL);
   printf("cnt=%d\n", cnt);
   return 0;
```

```
void *count(void *varqp)
    int i;
    int id = (int) vargp;
    for (i = 0; i < NITERS; i++) {
       P(&mutex[0]); P(&mutex[1]);
       cnt++;
       V(&mutex[id]); V(&mutex[1-id]);
    return NULL;
```

```
Tid[1]:
Tid[0]:
P(s_0);
            P(s_0);
            P(s_1);
P(s_1);
cnt++;
            cnt++;
V(s_0);
            V(s_1);
            V(s_0);
V(s_1);
```

Avoided Deadlock in Progress Graph



No way for trajectory to get stuck

Processes acquire locks in same order

Order in which locks released immaterial

Demonstration

- See program deadlock.c
- 100 threads, each acquiring same two locks
- Risky mode
 - Even numbered threads request locks in opposite order of oddnumbered ones

Safe mode

All threads acquire locks in same order

Today

- Using semaphores to schedule shared resources
 - Producer-consumer problem
 - Readers-writers problem
- Other concurrency issues
 - Races
 - Deadlocks
 - Thread safety

Crucial concept: Thread Safety

- Functions called from a thread must be thread-safe
- Def: A function is thread-safe iff it will always produce correct results when called repeatedly from multiple concurrent threads.
- Classes of thread-unsafe functions:
 - Class 1: Functions that do not protect shared variables
 - Class 2: Functions that keep state across multiple invocations
 - Class 3: Functions that return a pointer to a static variable
 - Class 4: Functions that call thread-unsafe functions

Thread-Unsafe Functions (Class 1)

- **■** Failing to protect shared variables
 - Fix: Use P and V semaphore operations
 - Example: goodcnt.c
 - Issue: Synchronization operations will slow down code

Thread-Unsafe Functions (Class 2)

- Relying on persistent state across multiple function invocations
 - Example: Random number generator that relies on static state

```
static unsigned int next = 1;
/* rand: return pseudo-random integer on 0..32767 */
int rand(void)
   next = next*1103515245 + 12345;
    return (unsigned int) (next/65536) % 32768;
/* srand: set seed for rand() */
void srand(unsigned int seed)
   next = seed;
```

Thread-Safe Random Number Generator

- Pass state as part of argument
 - and, thereby, eliminate static state

```
/* rand_r - return pseudo-random integer on 0..32767 */
int rand_r(int *nextp)
{
    *nextp = *nextp*1103515245 + 12345;
    return (unsigned int) (*nextp/65536) % 32768;
}
```

Consequence: programmer using rand_r must maintain seed

Thread-Unsafe Functions (Class 3)

- Returning a pointer to a static variable
- Fix 1. Rewrite function so caller passes address of variable to store result
 - Requires changes in caller and callee
- Fix 2. Lock-and-copy
 - Requires simple changes in caller (and none in callee)
 - However, caller must free memory.

```
/* Convert integer to string */
char *itoa(int x)
{
    static char buf[11];
    sprintf(buf, "%d", x);
    return buf;
}
```

```
char *lc_itoa(int x, char *dest)
{
    P(&mutex);
    strcpy(dest, itoa(x));
    V(&mutex);
    return dest;
}
```

Warning: Some functions like gethostbyname require a deep copy. Use reentrant gethostbyname r version instead.

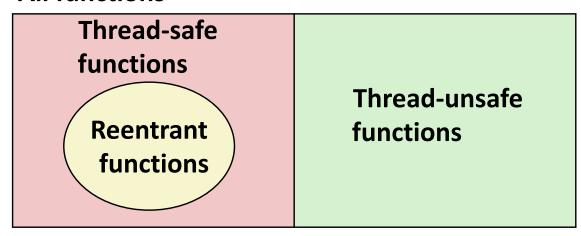
Thread-Unsafe Functions (Class 4)

- Calling thread-unsafe functions
 - Calling one thread-unsafe function makes the entire function that calls it thread-unsafe
 - Fix: Modify the function so it calls only thread-safe functions ©

Reentrant Functions

- Def: A function is reentrant iff it accesses no shared variables when called by multiple threads.
 - Important subset of thread-safe functions
 - Require no synchronization operations
 - Only way to make a Class 2 function thread-safe is to make it reetnrant (e.g., rand r)

All functions



Thread-Safe Library Functions

- All functions in the Standard C Library (at the back of your K&R text) are thread-safe
 - Examples: malloc, free, printf, scanf
- Most Unix system calls are thread-safe, with a few exceptions:

Thread-unsafe function	Class	Reentrant version
asctime	3	asctime_r
ctime	3	ctime_r
gethostbyaddr	3	gethostbyaddr_r
gethostbyname	3	gethostbyname_r
inet_ntoa	3	(none)
localtime	3	localtime_r
rand	2	rand_r
		_

Threads Summary

- Threads provide another mechanism for writing concurrent programs
- Threads are growing in popularity
 - Somewhat cheaper than processes
 - Easy to share data between threads
- However, the ease of sharing has a cost:
 - Easy to introduce subtle synchronization errors
 - Tread carefully with threads!
- For more info:
 - D. Butenhof, "Programming with Posix Threads", Addison-Wesley, 1997