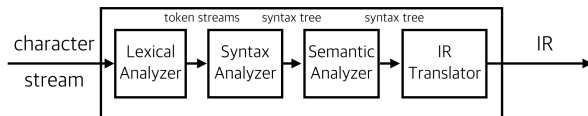


COSE312: Compilers

Lecture 2 — Lexical Analysis

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Lexical Analysis



ex) Given a C program

```
float match0 (char *s) /* find a zero */
{if (!strncmp(s, "0.0", 3))
    return 0.0;
}
```

the lexical analyzer returns the stream of tokens:

```
FLOAT ID(match0) LPAREN CHAR STAR ID(s) RPAREN
LBRACE IF LPAREN BANG ID(strncmp) LPAREN ID(s)
COMMA STRING(0.0) COMMA NUM(3) RPAREN RPAREN
RETURN REAL(0.0) SEMI RBRACE EOF
```

Specification, Recognition, and Automation

① **Specification:** how to specify lexical patterns?

- ▶ In C, identifiers are strings like `x`, `xy`, `match0`, and `_abc`.
- ▶ Numbers are strings like `3`, `12`, `0.012`, and `3.5E4`.

⇒ *regular expressions*

② **Recognition:** how to *recognize* the lexical patterns?

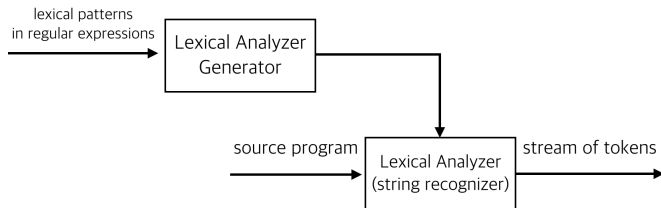
- ▶ Recognize `match0` as an identifier.
- ▶ Recognize `512` as a number.

⇒ *deterministic finite automata*.

③ **Automation:** how to automatically generate string recognizers from specifications?

⇒ *Thompson's construction* and *subset construction*

cf) Lexical Analyzer Generator



- `lex`: a lexical analyzer generator for C
- `jlex`: a lexical analyzer generator for Java
- `ocamllex`: a lexical analyzer generator for OCaml

Part 1: Specification

- Preliminaries: alphabets, strings, languages
- Syntax and semantics of regular expressions
- Extensions of regular expressions

Alphabet

An alphabet Σ is a finite, non-empty set of symbols. E.g,

- $\Sigma = \{0, 1\}$
- $\Sigma = \{a, b, \dots, z\}$

Strings

A string is a finite sequence of symbols chosen from an alphabet, e.g., **1**, **01**, **10110** are strings over $\Sigma = \{0, 1\}$. Notations:

- ϵ : the empty string.
- wv : the concatenation of w and v .
- w^R : the reverse of w .
- $|w|$: the length of string w :

$$\begin{aligned} |\epsilon| &= 0 \\ |va| &= |v| + 1 \end{aligned}$$

- If $w = vu$, then v is a *prefix* of w , and u is a *suffix* of w .
- Σ^k : the set of strings over Σ of length k
- Σ^* : the set of all strings over alphabet Σ :

$$\Sigma^* = \Sigma^0 \cup \Sigma^1 \cup \Sigma^2 \cup \dots = \bigcup_{i \in \mathbb{N}} \Sigma^i$$

- $\Sigma^+ = \Sigma^1 \cup \Sigma^2 \cup \dots = \Sigma^* \setminus \{\epsilon\}$

Languages

A language L is a subset of Σ^* : $L \subseteq \Sigma^*$.

- $L_1 \cup L_2, \quad L_1 \cap L_2, \quad L_1 - L_2$
- $L^R = \{w^R \mid w \in L\}$
- $\overline{L} = \Sigma^* - L$
- $L_1 L_2 = \{xy \mid x \in L_1 \wedge y \in L_2\}$
- The *power* of a language, L^n :

$$\begin{aligned} L^0 &= \{\epsilon\} \\ L^n &= L^{n-1} L \end{aligned}$$

- The *star-closure* (or *Kleene closure*) of a language, L^* :

$$L^* = L^0 \cup L^1 \cup L^2 \cup \dots = \bigcup_{i \geq 0} L^i$$

- The *positive closure* of a language, L^+ :

$$L^+ = L^1 \cup L^2 \cup L^3 \cup \dots = \bigcup_{i \geq 1} L^i$$

Regular Expressions

A regular expression is a notation to denote a language.

- Syntax

$$\begin{array}{lcl} R & \rightarrow & \emptyset \\ & | & \epsilon \\ & | & a \in \Sigma \\ & | & R_1 \mid R_2 \\ & | & R_1 \cdot R_2 \\ & | & R_1^* \\ & | & (R) \end{array}$$

- Semantics

$$\begin{array}{lcl} L(\emptyset) & = & \emptyset \\ L(\epsilon) & = & \{\epsilon\} \\ L(a) & = & \{a\} \\ L(R_1 \mid R_2) & = & L(R_1) \cup L(R_2) \\ L(R_1 \cdot R_2) & = & L(R_1)L(R_2) \\ L(R^*) & = & (L(R))^* \\ L((R)) & = & L(R) \end{array}$$

Example

$$\begin{aligned} L(a^* \cdot (a \mid b)) &= L(a^*)L(a \mid b) \\ &= (L(a))^*(L(a) \cup L(b)) \\ &= (\{a\})^*(\{a\} \cup \{b\}) \\ &= \{\epsilon, a, aa, aaa, \dots\}(\{a, b\}) \\ &= \{a, aa, aaa, \dots, b, ab, aab, \dots\} \end{aligned}$$

Exercises

Write regular expressions for the following languages:

- The set of all strings over $\Sigma = \{a, b\}$.
- The set of strings of a 's and b 's, terminated by ab .
- The set of strings with an even number of a 's followed by an odd number of b 's.
- The set of C identifiers.

Regular Definitions

Give names to regular expressions and use the names in subsequent expressions, e.g., the set of C identifiers:

$$\begin{aligned} \textit{letter} &\rightarrow A \mid B \mid \dots \mid Z \mid a \mid b \mid \dots \mid z \mid _ \\ \textit{digit} &\rightarrow 0 \mid 1 \mid \dots \mid 9 \\ \textit{id} &\rightarrow \textit{letter}(\textit{letter} \mid \textit{digit})^* \end{aligned}$$

Formally, a *regular definition* is a sequence of definitions of the form:

$$\begin{aligned} d_1 &\rightarrow r_1 \\ d_2 &\rightarrow r_2 \\ &\dots \\ d_n &\rightarrow r_n \end{aligned}$$

- 1 Each d_i is a new name such that $d_i \notin \Sigma$.
- 2 Each r_i is a regular expression over $\Sigma \cup \{d_1, d_2, \dots, d_{i-1}\}$.

Example

Unsigned numbers (integers or floating point), e.g., 5280, 0.01234, 6.336E4, or 1.89E-4:

<i>digit</i>	→	0 1 ... 9
<i>digits</i>	→	<i>digit digit*</i>
<i>optionalFraction</i>	→	. <i>digits</i> ϵ
<i>optionalExponent</i>	→	(E (+ - ϵ) <i>digits</i>) ϵ
<i>number</i>	→	<i>digits optionalFraction optionalExponent</i>

Extensions of Regular Expressions

- ① R^+ : the positive closure of R , i.e., $L(R^+) = L(R)^+$.
- ② $R?$: zero or one instance of R , i.e., $L(R?) = L(R) \cup \{\epsilon\}$.
- ③ $[a_1 a_2 \cdots a_n]$: the shorthand for $a_1 \mid a_2 \mid \cdots \mid a_n$.
- ④ $[a_1 - a_n]$: the shorthand for $[a_1 a_2 \cdots a_n]$, where a_1, \dots, a_n are consecutive symbols.
 - ▶ $[abc] = a \mid b \mid c$
 - ▶ $[a-z] = a \mid b \mid \cdots \mid z$.

Examples

- C identifiers:

letter → [A-Za-z_]

digit → [0-9]

id → *letter* (*letter*|*digit*)*

- Unsigned numbers:

digit → [0-9]

digits → *digit*⁺

number → *digits* (*.* *digits*)? (E [+−]? *digits*)?

Summary

① **Specification:** how to specify lexical patterns?

- ▶ In C, identifiers are strings like `x`, `xy`, `match0`, and `_abc`.
- ▶ Numbers are strings like `3`, `12`, `0.012`, and `3.5E4`.

⇒ *regular expressions*

② **Recognition:** how to *recognize* the lexical patterns?

- ▶ Recognize `match0` as an identifier.
- ▶ Recognize `512` as a number.

⇒ *deterministic finite automata*.

③ **Automation:** how to automatically generate string recognizers from specifications?

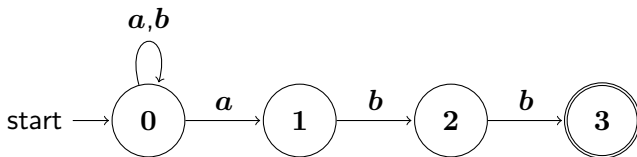
⇒ *Thompson's construction* and *subset construction*

Part 2: String Recognition by Finite Automata

- Non-deterministic finite automata
- Deterministic finite automata

String Recognizer in NFA

An NFA that recognizes strings $(a|b)^*abb$:



Non-deterministic Finite Automata

Definition (NFA)

A *nondeterministic finite automaton* (or *NFA*) is defined as,

$$M = (Q, \Sigma, \delta, q_0, F)$$

where

- Q : a finite set of *states*
- Σ : a finite set of *input symbols* (or input alphabet). We assume that $\epsilon \notin \Sigma$.
- $q_0 \in Q$: the *initial state*
- $F \subseteq Q$: a set of *final states* (or *accepting states*)
- $\delta : Q \times (\Sigma \cup \{\epsilon\}) \rightarrow 2^Q$: *transition function*

Example

Definition of an NFA:

$$(\{0, 1, 2, 3\}, \{a, b\}, \delta, 0, \{3\})$$

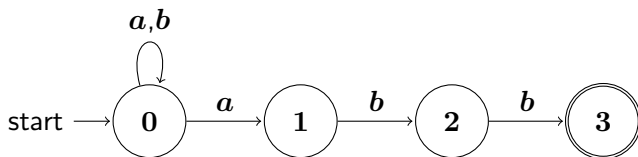
$$\delta(0, a) = \{0, 1\} \quad \delta(0, b) = \{0\}$$

$$\delta(1, a) = \emptyset \quad \delta(1, b) = \{2\}$$

$$\delta(2, a) = \emptyset \quad \delta(2, b) = \{3\}$$

$$\delta(3, a) = \emptyset \quad \delta(3, b) = \emptyset$$

The *transition graph*:



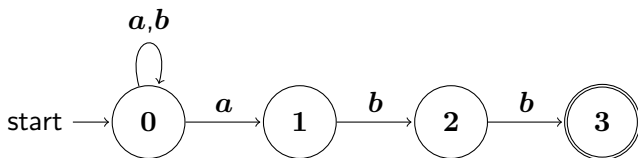
Example

The *transition table*:

State	a	b	ϵ
0	$\{0, 1\}$	$\{0\}$	\emptyset
1	\emptyset	$\{2\}$	\emptyset
2	\emptyset	$\{3\}$	\emptyset
3	\emptyset	\emptyset	\emptyset

String Recognition

- An NFA recognizes a string w if there is a path in the transition graph labeled by w .



String $aabb$ is accepted because

$$0 \xrightarrow{a} 0 \xrightarrow{a} 1 \xrightarrow{b} 2 \xrightarrow{b} 3$$

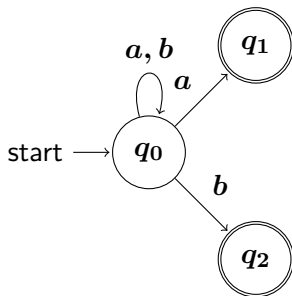
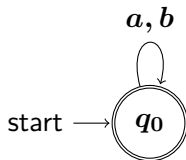
In general, the automaton recognizes any strings that end with abb :

$$L = \{wabb \mid w \in \{a, b\}^*\}$$

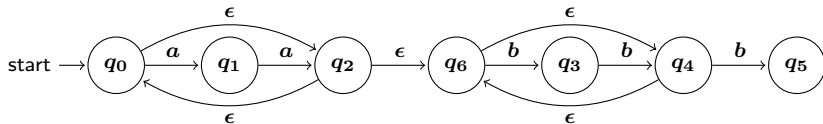
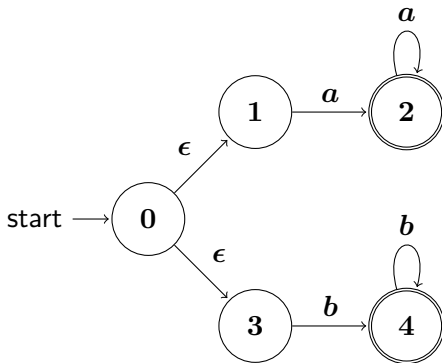
- The *language* of an NFA is the set of recognizable strings.

Exercises

Find the languages of the NFAs:



Exercises



Deterministic Finite Automata (DFA)

A DFA is a special case of an NFA, where

- 1 there are no moves on ϵ , and
- 2 for each state and input symbol, the next state is unique.

Definition (DFA)

A *deterministic finite automaton* (or *DFA*) is defined by a tuple of five components:

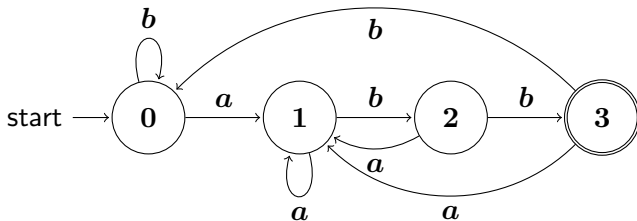
$$M = (Q, \Sigma, \delta, q_0, F)$$

where

- Q : a finite set of *states*
- Σ : a finite set of *input symbols* (or input alphabet)
- $\delta : Q \times \Sigma \rightarrow Q$: a *total* function called *transition function*
- $q_0 \in Q$: the *initial state*
- $F \subseteq Q$: a set of *final states*

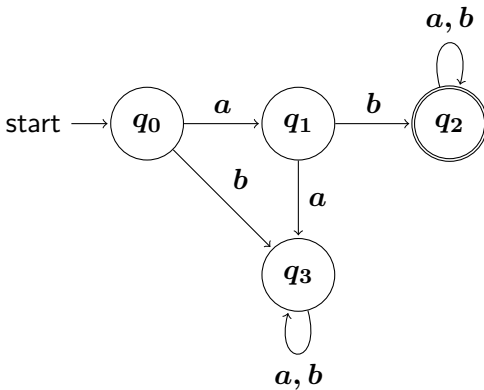
Example

A DFA that accepts $(a \mid b)^*abb$:



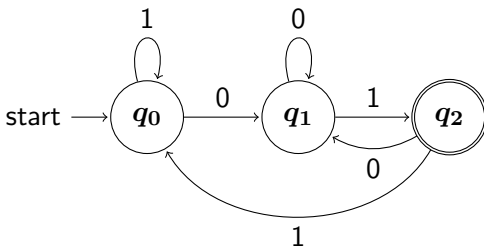
Exercise 1

What is the language of the DFA?



Exercise 2

What is the language of the DFA?



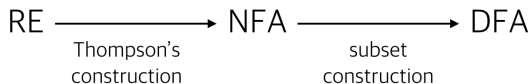
Summary

NFAs and DFAs are string recognizers.

- DFAs provide a concrete algorithm for recognizing strings.
- NFAs bridge the gap between REs and DFAs:
 - ▶ REs are descriptive but not executable.
 - ▶ DFAs are executable but not descriptive.
 - ▶ NFAs are in-between the REs and DFAs.

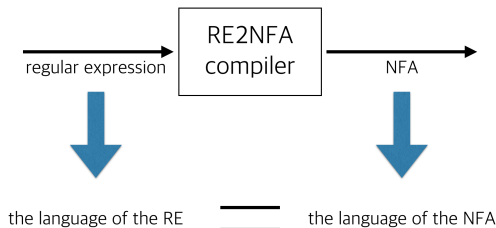
Part 3: Automation

Transform the lexical specification into an executable string recognizers:



From REs to NFAs

Transform a given regular expression into a semantically equivalent NFAs:



An instance of “compilation”:

- The source language is regular expressions and the target language is NFAs.
- The correctness is defined by the equivalence of the denoted languages.

Principles of Compilation

Every automatic compilation

- ① is done “compositionally”, and
- ② maintains some “invariants” during compilation.

Compilation of regular expressions, e.g., $R_1|R_2$:

- ① The compilation of $R_1|R_2$ is defined in terms of the compilation of R_1 and R_2 .
- ② Compiled NFAs for R_1 and R_2 satisfy the invariants:
 - ▶ an NFA has exactly one accepting state,
 - ▶ no arcs into the initial state, and
 - ▶ no arcs out of the accepting state.

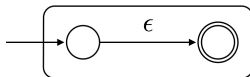
The Source Language

$$\begin{array}{lcl} R & \rightarrow & \emptyset \\ & | & \epsilon \\ & | & a \in \Sigma \\ & | & R_1 \mid R_2 \\ & | & R_1 \cdot R_2 \\ & | & R_1^* \\ & | & (R) \end{array}$$

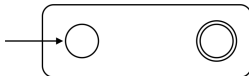
Compilation

Base cases:

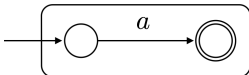
- $R = \epsilon$:



- $R = \emptyset$



- $R = a \ (\in \Sigma)$

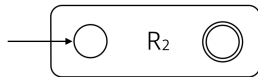
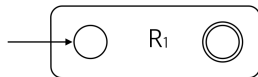


Compilation

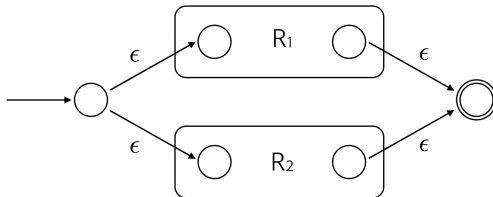
Inductive cases:

- $R = R_1 | R_2$:

- ① Compile R_1 and R_2 :



- ② Compile $R_1 | R_2$ using the results:



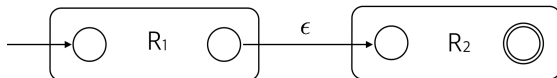
Compilation

• $R = R_1 \cdot R_2$:

① Compile R_1 and R_2 :



② Compile $R_1 \cdot R_2$ using the results:



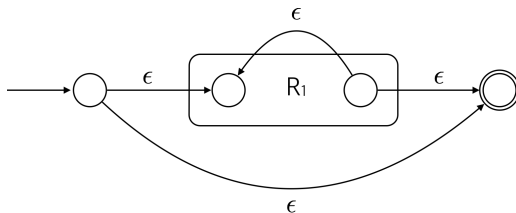
Compilation

- $R = R_1^*$:

- 1 Compile R_1 :



- 2 Compile R_1^* using the results:



Examples

- $0 \cdot 1^*$:
- $(0|1) \cdot 0 \cdot 1$:
- $(0|1)^* \cdot 1 \cdot (0|1)$:

From NFA to DFA

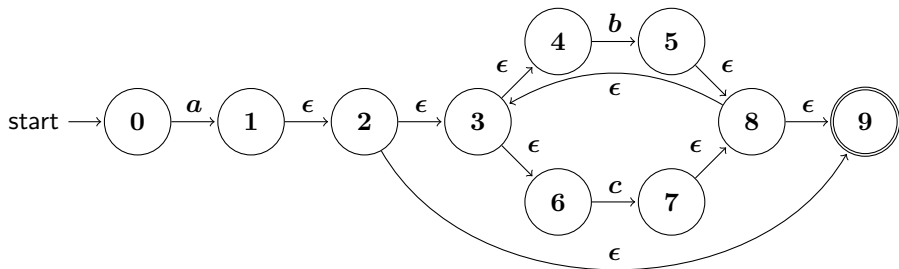
Transform an NFA

$$(N, \Sigma, \delta_N, n_0, N_A)$$

into an equivalent DFA

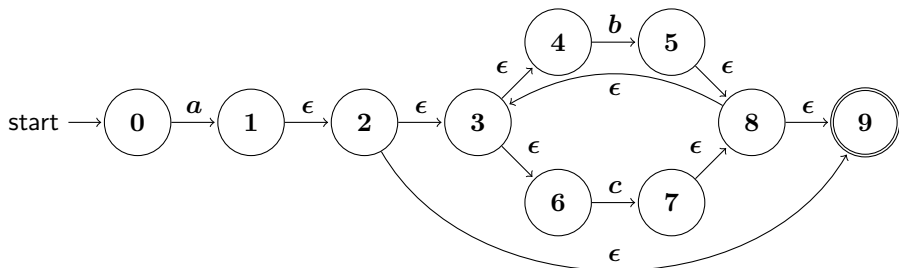
$$(D, \Sigma, \delta_D, d_0, D_A).$$

Running example:



ϵ -Closures

ϵ -closure(I): the set of states reachable from I without consuming any symbols.



$$\epsilon\text{-closure}(\{1\}) = \{1, 2, 3, 4, 6, 9\}$$

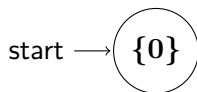
$$\epsilon\text{-closure}(\{1, 5\}) = \{1, 2, 3, 4, 6, 9\} \cup \{3, 4, 5, 6, 8, 9\}$$

Subset Construction

- Input: an NFA $(N, \Sigma, \delta_N, n_0, N_A)$.
- Output: a DFA $(D, \Sigma, \delta_D, d_0, D_A)$.
- Key Idea: the DFA simulates the NFA by considering every possibility at once. A DFA state $d \in D$ is a set of NFA state, i.e., $d \subseteq N$.

Running Example (1/5)

The initial DFA state $d_0 = \epsilon\text{-closure}(\{0\}) = \{0\}$.



Running Example (2/5)

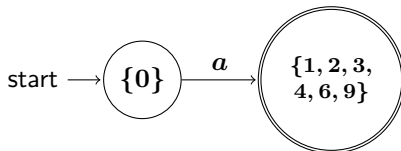
For the initial state S , consider every $x \in \Sigma$ and compute the corresponding next states:

$$\epsilon\text{-closure}\left(\bigcup_{s \in S} \delta(s, a)\right).$$

$$\epsilon\text{-closure}\left(\bigcup_{s \in \{0\}} \delta(s, a)\right) = \{1, 2, 3, 4, 6, 9\}$$

$$\epsilon\text{-closure}\left(\bigcup_{s \in \{0\}} \delta(s, b)\right) = \emptyset$$

$$\epsilon\text{-closure}\left(\bigcup_{s \in \{0\}} \delta(s, c)\right) = \emptyset$$



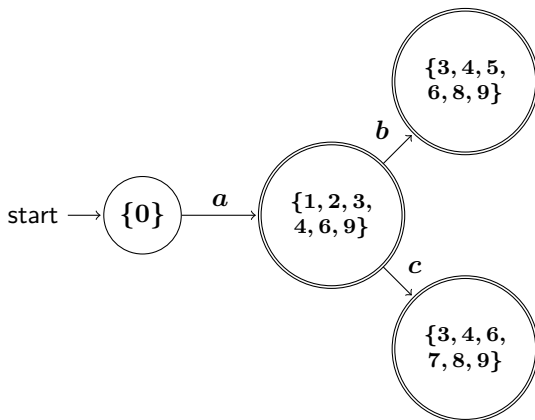
Running Example (3/5)

For the state $\{1, 2, 3, 4, 6, 9\}$, compute the next states:

$$\epsilon\text{-closure}(\bigcup_{s \in \{1, 2, 3, 4, 6, 9\}} \delta(s, a)) = \emptyset$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{1, 2, 3, 4, 6, 9\}} \delta(s, b)) = \{3, 4, 5, 6, 8, 9\}$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{1, 2, 3, 4, 6, 9\}} \delta(s, c)) = \{3, 4, 6, 7, 8, 9\}$$



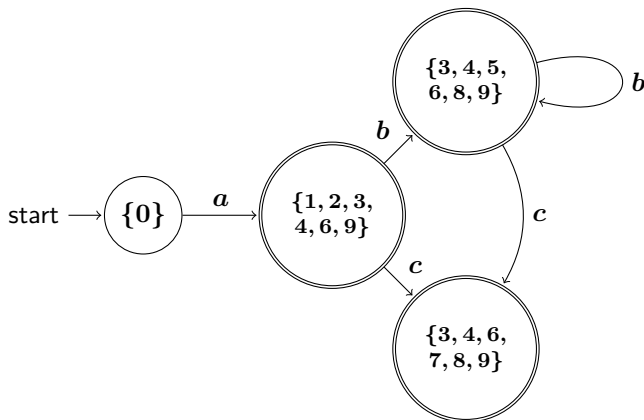
Running Example (4/5)

Compute the next states of $\{3, 4, 5, 6, 8, 9\}$:

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,5,6,8,9\}} \delta(s, a)) = \emptyset$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,5,6,8,9\}} \delta(s, b)) = \{3, 4, 5, 6, 8, 9\}$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,5,6,8,9\}} \delta(s, c)) = \{3, 4, 6, 7, 8, 9\}$$



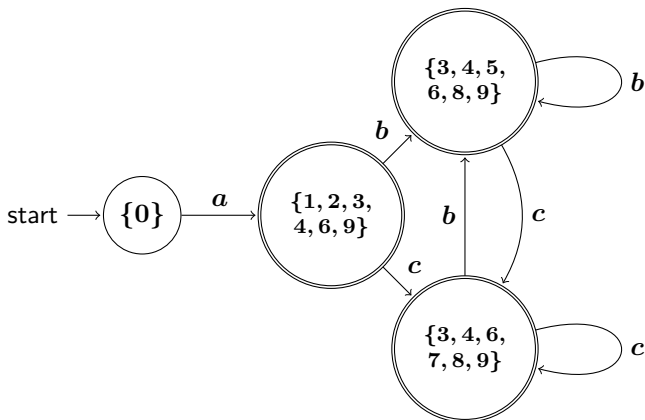
Running Example (5/5)

Compute the next states of $\{3, 4, 6, 7, 8, 9\}$:

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,6,7,8,9\}} \delta(s, a)) = \emptyset$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,6,7,8,9\}} \delta(s, b)) = \{3, 4, 5, 6, 8, 9\}$$

$$\epsilon\text{-closure}(\bigcup_{s \in \{3,4,6,7,8,9\}} \delta(s, c)) = \{3, 4, 6, 7, 8, 9\}$$



Subset Construction Algorithm

Algorithm 1 Subset construction

Input: An NFA $(N, \Sigma, \delta_N, n_0, N_A)$

Output: An equivalent DFA $(D, \Sigma, \delta_D, d_0, D_A)$

$d_0 = \epsilon\text{-closure}(\{n_0\})$

$D = \{d_0\}$

$W = \{d_0\}$

while $W \neq \emptyset$ **do**

 remove q from W

for $c \in \Sigma$ **do**

$t = \epsilon\text{-closure}(\bigcup_{s \in q} \delta(s, c))$

$D = D \cup \{t\}$

$\delta_D(q, c) = t$

if t was newly added to D **then**

$W = W \cup \{t\}$

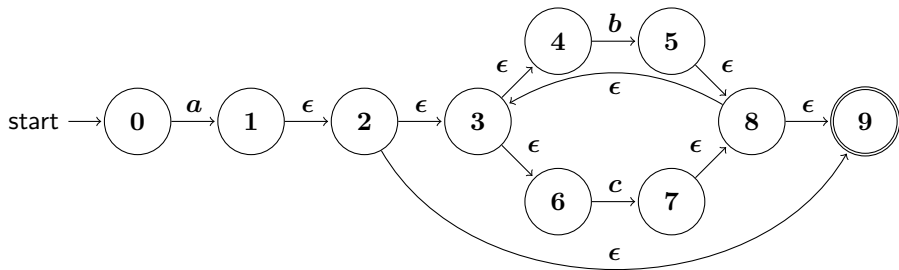
end if

end for

end while

$D_A = \{q \in D \mid q \cap N_A \neq \emptyset\}$

Running Example (1/5)



The initial state $d_0 = \epsilon\text{-closure}(\{0\}) = \{0\}$. Initialize D and W :

$$D = \{\{0\}\}, \quad W = \{\{0\}\}$$

Running Example (2/5)

Choose $q = \{0\}$ from W . For all $c \in \Sigma$, update δ_D :

	a	b	c
$\{0\}$	$\{1, 2, 3, 4, 6, 9\}$	\emptyset	\emptyset

Update D and W :

$$D = \{\{0\}, \{1, 2, 3, 4, 6, 9\}\}, \quad W = \{\{1, 2, 3, 4, 6, 9\}\}$$

Running Example (3/5)

Choose $q = \{1, 2, 3, 4, 6, 9\}$ from W . For all $c \in \Sigma$, update δ_D :

	a	b	c
$\{0\}$	$\{1, 2, 3, 4, 6, 9\}$	\emptyset	\emptyset
$\{1, 2, 3, 4, 6, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$

Update D and W :

$$\begin{aligned} D &= \{\{0\}, \{1, 2, 3, 4, 6, 9\}, \{3, 4, 5, 6, 8, 9\}, \{3, 4, 6, 7, 8, 9\}\} \\ W &= \{\{3, 4, 5, 6, 8, 9\}, \{3, 4, 6, 7, 8, 9\}\} \end{aligned}$$

Running Example (4/5)

Choose $q = \{3, 4, 5, 6, 8, 9\}$ from W . For all $c \in \Sigma$, update δ_D :

	a	b	c
$\{0\}$	$\{1, 2, 3, 4, 6, 9\}$	\emptyset	\emptyset
$\{1, 2, 3, 4, 6, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$
$\{3, 4, 5, 6, 8, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$

D and W :

$$D = \{\{0\}, \{1, 2, 3, 4, 6, 9\}, \{3, 4, 5, 6, 8, 9\}, \{3, 4, 6, 7, 8, 9\}\}$$

$$W = \{\{3, 4, 6, 7, 8, 9\}\}$$

Running Example (5/5)

Choose $q = \{3, 4, 6, 7, 8, 9\}$ from W . For all $c \in \Sigma$, update δ_D :

	a	b	c
$\{0\}$	$\{1, 2, 3, 4, 6, 9\}$	\emptyset	\emptyset
$\{1, 2, 3, 4, 6, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$
$\{3, 4, 5, 6, 8, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$
$\{3, 4, 6, 7, 8, 9\}$	\emptyset	$\{3, 4, 5, 6, 8, 9\}$	$\{3, 4, 6, 7, 8, 9\}$

D and W :

$$\begin{aligned} D &= \{\{0\}, \{1, 2, 3, 4, 6, 9\}, \{3, 4, 5, 6, 8, 9\}, \{3, 4, 6, 7, 8, 9\}\} \\ W &= \emptyset \end{aligned}$$

The while loop terminates. The accepting states:

$$D_A = \{\{1, 2, 3, 4, 6, 9\}, \{3, 4, 5, 6, 8, 9\}, \{3, 4, 6, 7, 8, 9\}\}$$

Algorithm for computing ϵ -Closures

- The definition

ϵ -closure(I) is the set of states reachable from I
without consuming any symbols.

is neither formal nor constructive.

- A formal definition:

$T = \epsilon$ -closure(I) is the smallest set such that

$$I \cup \bigcup_{s \in T} \delta(s, \epsilon) \subseteq T.$$

- Alternatively, T is the smallest solution of the equation

$$F(X) \subseteq (X)$$

where

$$F(X) = I \cup \bigcup_{s \in X} \delta(s, \epsilon).$$

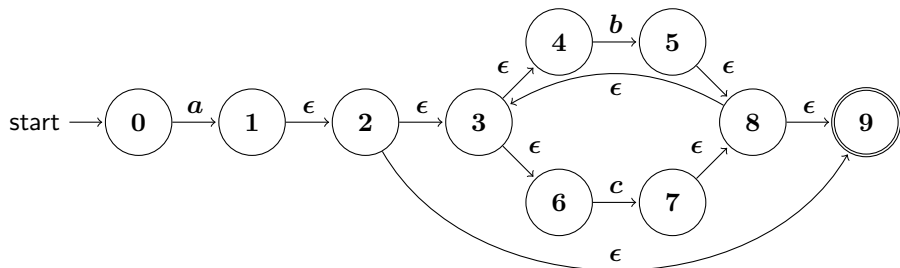
Such a solution is called the least fixed point of F .

Fixed Point Iteration

The least fixed point of a function can be computed by the *fixed point iteration*:

```
 $T = \emptyset$   
repeat  
   $T' = T$   
   $T = T' \cup F(T')$   
until  $T = T'$ 
```

Example



ϵ -closure($\{1\}$):

Iteration	T'	T
1	\emptyset	$\{1\}$
2	$\{1\}$	$\{1, 2\}$
3	$\{1, 2\}$	$\{1, 2, 3, 9\}$
4	$\{1, 2, 3, 9\}$	$\{1, 2, 3, 4, 6, 9\}$
5	$\{1, 2, 3, 4, 6, 9\}$	$\{1, 2, 3, 4, 6, 9\}$

Summary

Key concepts in lexical analysis:

- Specification: Regular expressions
- Implementation: Deterministic Finite Automata