

# Exact Heap Summaries from Symbolic Execution

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## Abstract

One of the fundamental challenges of using symbolic execution to analyze software has been the treatment of dynamically allocated data. State-of-the-art symbolic execution techniques have addressed this challenge by constructing the heap *lazily*, materializing objects on the concrete heap “as needed” and using non-deterministic choice points to explore each feasible concrete heap configuration. Because analysis of the materialized heap locations relies on concrete program semantics, the lazy initialization approach exacerbates the state space explosion problem that limits the scalability of symbolic execution. In this work we present a novel approach for lazy symbolic execution of heap manipulating software which utilizes a fully symbolic heap constructed on-the-fly during symbolic execution. Our approach is 1) *scalable* – it does not create the additional points of non-determinism introduced by existing lazy initialization techniques and it explores each execution path only once for any given set of isomorphic heaps, 2) *precise* – at any given point during symbolic execution, the symbolic heap represents the exact set of feasible concrete heap structures for the program under analysis, and 3) *expressive* – the symbolic heap can represent recursive data structures and heaps resulting from loops and recursive control structures in the code. We report on a case-study of an implementation of our technique in the Symbolic PathFinder tool to illustrate its scalability, precision and expressiveness. We also discuss how test case generation – a common use for symbolic execution results – can benefit from symbolic execution which uses a fully symbolic heap.

**Categories and Subject Descriptors** CR-number [subcategory]: third-level

**General Terms** term1, term2

**Keywords** keyword1, keyword2

## 1. Introduction

In recent years symbolic execution – a program analysis technique for systematic exploration of program execution paths using symbolic input values – has provided the basis for various software testing and analysis techniques. For each execution path explored during symbolic execution, constraints on the symbolic inputs are collected to create a *path condition*. The set of path conditions computed by symbolic execution characterize the observed program ex-

ecution behaviours and can be used as an enabling technology for various applications, e.g., regression analysis [2, 8, 13–15, 17], data structure repair [10], dynamic discovery of invariants [4, 18], and debugging [12].

Initial work on symbolic execution largely focused on checking properties of programs with primitive types, such as integers and booleans [3, 11]. Despite recent advances in constraint solving technologies, improvements in raw computing power, and advances in reduction and abstraction techniques [1, 7] symbolic execution of programs of modest size containing only primitive types, remains challenging because of the large number of execution paths generated during symbolic analysis.

With the advent of object-oriented languages that manipulate dynamically allocated data, e.g., Java and C++, recent work has generalized the core ideas of symbolic execution to enable analysis of programs containing complex data structures with unbounded domains, i.e., data stored on the heap [5, 6, 9]. These techniques construct the heap in a lazy manner, deferring materialization of objects on the concrete heap until they are needed for the analysis to proceed. Treatment of heap allocated data then follows concrete program semantics once a heap location is materialized, resulting in a large number of feasible concrete heap configurations, and as a result, a large number of points of non-determinism to be analyzed, further exacerbating the state space explosion problem.

THIS PARA IS NOT QUITE RIGHT BUT THE IDEA IS STARTING TO COME OUT. Although lazy symbolic execution techniques have been instrumental in enabling analysis of heap manipulating programs, they miss an important opportunity to control the state space explosion problem by treating only inputs with primitive types symbolically and materializing a concrete heap. As we show in this work, the use of a fully *symbolic heap* during lazy symbolic execution, can improve the scalability of the analysis while maintaining precision and efficiency. Moreover, the number of path conditions computed by lazy symbolic execution when a symbolic heap is used produces considerably fewer path conditions – a valuable benefit for client analyses that use the results of symbolic execution, e.g., regression analyses.

The key advantages of our approach to lazy symbolic execution using a fully symbolic heap include:

- *Scalability*. Our approach constructs the symbolic heap on-the-fly during symbolic execution and avoids creating the additional points of non-determinism introduced by existing lazy initialization techniques. Moreover, it explores each execution path only once for any given set of isomorphic heaps.
- *Precision*. At any given point during symbolic execution, the symbolic heap represents the exact set of feasible concrete heap structures for the program under analysis
- *Expressiveness*. The symbolic heap can represent recursive data structures and heap structures resulting from loops and recursive control structures in the analyzed code.

This paper makes the following contributions:

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- We present a novel lazy symbolic execution technique for analyzing heap manipulating programs that constructs a fully symbolic representation of the heap on-the-fly during symbolic execution.
- We prove the soundness and completeness of our algorithm...
- We implement our approach in the Symbolic Pathfinder tool
- We demonstrate experimentally that our technique improves the scalability of symbolic execution of heap manipulating software over state-of-the-art techniques, while maintaining efficiency and precision.
- We discuss the benefits of using a symbolic heap that can be realized by the client analysis that uses the results of symbolic execution.

## 2. Background and Motivation

In this section we present the background on state of the art techniques that have been developed to handle data non-determinism arising from complex data structures. We present an overview of lazy initialization and lazier# initialization. We also present a brief description of the two bounding strategies used in symbolic execution in heap manipulating programs. Next we present a motivating examples where current concrete initialization of the heap structures struggle to scale to medium sized program due to non-determinism introduced in the symbolic execution tree. We use this example to motivate the need for a more truly symbolic and compact representation of the heap in a manner similar to that of primitive types.

Generalized symbolic execution technique generates a concrete representation of connected memory structures using only the implicit information from the program itself. In the original lazy initialization algorithm, symbolic execution explores different heap shapes by concretizing the heap at the first memory access (read) to an un-initialized symbolic object. At this point, a non-deterministic choice point of concrete heap locations is created that includes: (a) null, (b) an access to a new instance of the object, and (c) aliases to other type-compatible symbolic objects that have been concretized along the same execution path [?]. The number of choices explored in lazy initialization greatly increases the non-determinism and often makes the exploration of the program state space intractable.

The Lazier# algorithm is an improvement of the lazy initialization and it pushes the non-deterministic choices further into the execution tree. In the case of a memory access to an uninitialized reference location, by default, no choice point is created. Instead, the read returns a unique symbolic reference representing the contents of the location. The reference may assume any one of three states: uninitialized, non-null, or initialized. The reference is returned in an uninitialized state, and only in a subsequent memory access is the reference concretely initialized.

## 3. Javalite

Figure 3 defines the surface syntax for the Javalite language [16]. Figure 4 is the machine syntax. Javalite is syntactic machine defined as rewrites on a string. The semantics use a CEKS model with a (C)ontrol string representing the expression being evaluated, an (E)nvironment for local variables, a (K)ontinuation for what is to be executed next, and a (S)tore for the heap.

The environment,  $\eta$ , associates a variable  $x$  with a value  $v$ . The value can be a reference,  $r$  or one of the special values **null**, **true**, or **false**. Although the Javalite machine is purely syntactic, for clarity and brevity in the presentation, the more complex structures such as the environment are treated as partial functions. As such,  $\eta(x) = r$  is the reference mapped to the variable in the environment. The

```
public class LinkedList {

    /** assume the linked list is valid with no cycles */
    LLNode head;
    Data data0, data1, data2, data3, data4;

    private class Data { Integer val; }

    private class LLNode {
        protected Data elem;
        protected LLNode next; }

    public static boolean contains(LLNode root, Data val) {
        LLNode node = root;
        while (true) {
            if (node.val == val) return true;
            if (node.next == null) return false;
            node = node.next;
        }
    }

    public void run() {
        if (LinkedList.contains(head, data0) &&
            LinkedList.contains(head, data1) &&
            LinkedList.contains(head, data2) &&
            LinkedList.contains(head, data3) &&
            LinkedList.contains(head, data4)) return;
    }
}
```

Figure 1. Linked list

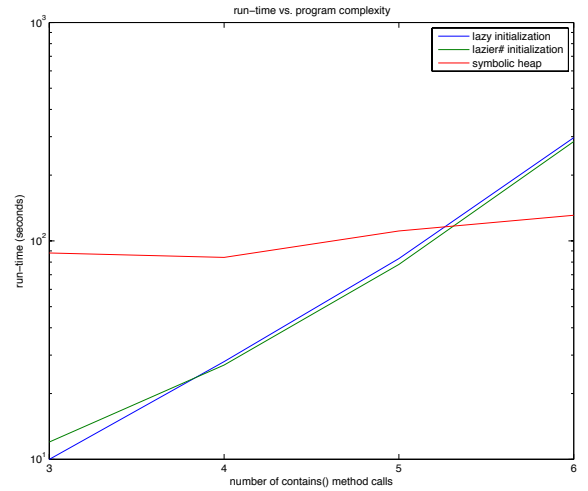


Figure 2. Time versus complexity for the linked list example

notation  $\eta' = \eta[x \mapsto v]$  defines a new partial function  $\eta'$  that is just like  $\eta$  only the variable  $x$  now maps to  $v$ .

The heap is a labeled bipartite graph consisting of references,  $r$ , and locations,  $l$ . The machine syntax in Figure 4 defines that graph in  $L$ , the location map, and  $R$ , the reference map. As done with the environment,  $L$  and  $R$  are treated as partial functions where  $L(r) = \{(\phi l) \dots\}$  is the set of location-constraint pairs in the heap associated with the given reference, and  $R(l, f) = r$  is the reference associated with the given location-field pair in the heap.

As the updates to  $L$  and  $R$  are complex in the machine semantics, predicate calculus is used to describe updates to the functions. Consider the following example where  $l$  is some location and  $\rho$  is a set of references.

$$L' = L[r \mapsto \{(\text{true } l)\}][\forall r' \in \rho (r' \mapsto (\text{true } l_{\text{null}}))]$$

```

P ::= (μ (C m))
μ ::= (CL ...)
T ::= bool | C
CL ::= (class C ([T f] ...) (M ...))
M ::= (T m [T x] e)
e ::= x
    | (new C)
    | (e $f)
    | (x $f := e)
    | (e = e)
    | (if e e else e)
    | (var T x := e in e)
    | (e @ m e)
    | (x := e)
    | (begin e ...)
    | v
x ::= this | id
f ::= id
m ::= id
C ::= id
v ::= r | null | true | false
r ::= number
id ::= variable-not-otherwise-mentioned

```

Figure 3. The Javalite surface syntax.

```

φ ::= (φ) | φ ⊞ φ | ¬φ | true | false | r = r | r ≠ r
l ::= number
L ::= (mt | (L [r → {(φ l) ...}]))
R ::= (mt | (R [(l f) → r]))
η ::= (mt | (η [x → v]))
s ::= (μ L R φg η e k)
k ::= end
    | (* $f → k)
    | (x $f := * → k)
    | (* = e → k)
    | (v = * → k)
    | (if * e else e → k)
    | (var T x := * in e → k)
    | (* @ m e → k)
    | (v @ m * → k)
    | (x := * → k)
    | (begin * (e ...) → k)
    | (pop η k)

```

Figure 4. The machine syntax for Javalite with  $\boxtimes \in \{\wedge, \vee, \Rightarrow\}$ .

The new partial function  $L'$  is just like  $L$  only it remaps  $r$ , and it remaps all the references in  $\rho$ .

The location  $l_{null}$  is a special location in the heap to represent null. It has a companion reference  $r_{null}$ . The initial heap for the machine is defined such that  $L(r_{null}) = \{(\mathbf{true} \ l_{null})\}$

The initial state of the machine needs to be defined.

The rewrite rules that define the Javalite semantics are in Figure 5.

#### 4. GSE with Lazy Initialization

A special reference,  $r_{un}$ , and location,  $l_{un}$ , is introduced to support lazy initialization in GSE. The ' $un$ ' is to indicate the reference or location is uninitialized at the point of execution. The initial state of the machine maps  $r_{null}$  as before and adds  $L(r_{un}) = \{(\mathbf{true} \ l_{un})\}$

A field in an object is symbolic, meaning it is uninitialized, if the location for the field is  $l_{un}$  on some constraint. The function  $\text{UN}(L, R, r, f) = \{l \dots\}$  returns locations in which the field  $f$  is uninitialized:

$$\text{UN}(L, R, r, f) = \{l \mid \exists \phi ((\phi \ l) \in L(r) \wedge \exists \phi' ((\phi' \ l_{un}) \in L(R(l, f)) \wedge \mathbb{S}(\phi \wedge \phi')))\}$$

where  $\mathbb{S}(\phi)$  returns true if  $\phi$  is satisfiable. The cardinality of the set is never greater than one in GSE and the constraint is always satisfiable because all constraints are constant. This property is relaxed in GSE with heap summaries.

#### 5. GSE with Heap Summaries

The function  $\text{VS}(L, R, \phi_g, r, f)$  constructs the value-set given a heap, reference, and desired field:

$$\text{VS}(L, R, \phi_g, r, f) = \{(\phi \wedge \phi' \ l') \mid \exists l ((l \ \phi) \in L(r) \wedge \exists r' \in R(l, f) ((l' \ \phi') \in L(r') \wedge \mathbb{S}(\phi \wedge \phi' \wedge \phi_g)))\}$$

where  $\mathbb{S}(\phi)$  returns true if  $\phi$  is satisfiable.

The strengthen function  $\text{ST}(L, r, \phi')$  strengthens every constraint from the reference  $r$  with  $\phi'$  and keeps only location-constraint pairs that are satisfiable after this strengthening:

$$\text{ST}(L, r, \phi) = \{(\phi \wedge \phi' \ l) \mid (\phi' \ l) \in L(r) \wedge \mathbb{S}(\phi \wedge \phi' \wedge \phi_g)\}$$

#### 6. Proofs

##### 6.1 Definitions

**Definition 1.** The set of *states*  $\mathcal{S}$  is defined as

**Definition 2.** The set of *initial states*  $\mathcal{S}_0$  is defined as

**Definition 3.** The set of *references*  $\mathcal{R}$  is defined as the set of natural numbers

$$\mathcal{R} = \mathbb{N}$$

The total number of references in a summary state and a lazy state that it represents are generally not the same. However, the number of references on the stack in either state is always the same. In order to make the distinction between different types of references, we partition the set of natural numbers using modular arithmetic.

**Definition 4.** The set of *stack references*  $\mathcal{R}_t$  is defined as

$$\mathcal{R}_t = \{i \in \mathbb{N} \mid (i \bmod 3) = 0\}$$

**Definition 5.** The set of *input heap references*  $\mathcal{R}_h$  is defined as

$$\mathcal{R}_h = \{i \in \mathbb{N} \mid (i \bmod 3) = 1\}$$

**Definition 6.** The set of *new heap references*  $\mathcal{R}_f$  is defined as

$$\mathcal{R}_n = \{i \in \mathbb{N} \mid (i \bmod 3) = 2\}$$

**Definition 7.** For a given function  $f : A \mapsto B$ , the *image*  $f^\rightarrow$  and *preimage*  $f^\leftarrow$  are defined as

$$f^\rightarrow = \{f(a) \mid a \in A\} \quad (1)$$

$$f^\leftarrow = \{a \mid f(a) \in B\} \quad (2)$$

NEW $r = \text{stack}_r() \quad l = \text{fresh}_l(C)$ $R' = R[\forall f \in \text{fields}(C) \ ((lf) \mapsto r_{\text{null}})]$ $L' = L[r \mapsto \{(\text{true } l)\}]$ <hr/> $(LR \phi_g \eta (\text{new } C) k) \rightarrow (L' R' \phi_g \eta r k)$			FIELD ACCESS(EVAL) $(LR \phi_g \eta (e \$ f) k) \rightarrow$ $(LR \phi_g \eta e (* \$ f \rightarrow k))$	FIELD WRITE (EVAL) $(LR \phi_g \eta (x \$ f := e) k) \rightarrow$ $(LR \phi_g \eta e (x \$ f := * \rightarrow k))$
EQUALS (L-OPERAND EVAL) $(LR \phi_g \eta (e_0 = e) k) \rightarrow$ $(LR \phi_g \eta e_0 (* = e \rightarrow k))$	EQUALS (R-OPERAND EVAL) $(LR \phi_g \eta v (* = e \rightarrow k)) \rightarrow$ $(LR \phi_g \eta e (v = * \rightarrow k))$	EQUALS (BOOL) $v_0 \in \{\text{true}, \text{false}\} \quad v_1 \in \{\text{true}, \text{false}\}$ $v_r = \text{eq?}(v_0, v_1)$ <hr/> $(LR \phi_g \eta v_0 (v_1 = * \rightarrow k)) \rightarrow$ $(LR \phi_g \eta v_r k)$		
IF-THEN-ELSE (EVAL) $(LR \phi_g \eta (\text{if } e_0 e_1 \text{ else } e_2) k) \rightarrow$ $(LR \phi_g \eta e_0 (\text{if } * e_1 \text{ else } e_2) \rightarrow k)$	IF-THEN-ELSE (TRUE) $(LR \phi_g \eta \text{true} (\text{if } * e_1 \text{ else } e_2) \rightarrow k) \rightarrow$ $(LR \phi_g \eta e_1 k)$	IF-THEN-ELSE (FALSE) $(LR \phi_g \eta \text{false} (\text{if } * e_1 \text{ else } e_2) \rightarrow k) \rightarrow$ $(LR \phi_g \eta e_2 k)$		
VARIABLE DECLARATION (EVAL) $(LR \phi_g \eta (\text{var } Tx := e_0 \text{ in } e_1) k) \rightarrow$ $(LR \phi_g \eta e_0 (\text{var } Tx := * \text{ in } e_1 \rightarrow k))$	VARIABLE DECLARATION $(LR \phi_g \eta v (\text{var } Tx * := \text{in } e_1 \rightarrow k)) \rightarrow$ $(LR \phi_g \eta [x \mapsto v] e_1 (\text{pop } \eta k))$	METHOD INVOCATION (OBJECT EVAL) $(LR \phi_g \eta (e_0 @ m e_1) k) \rightarrow$ $(LR \phi_g \eta e_0 (* @ m e_1 \rightarrow k))$		
METHOD INVOCATION (ARG EVAL) $(LR \phi_g \eta v_0 (* @ m e_1 \rightarrow k)) \rightarrow$ $(LR \phi_g \eta e_1 (v_0 @ m * \rightarrow k))$	METHOD INVOCATION $(Tm [Tx] e_m) = \text{lookup}(m)$ $\eta_m = \eta[\text{this} \mapsto v_0][x \mapsto v_1]$ <hr/> $(LR \phi_g \eta v_1 (v_0 @ m * \rightarrow k)) \rightarrow$ $(LR \phi_g \eta_m e_m (\text{pop } \eta k))$	VARIABLE ASSIGNMENT (EVAL) $(LR \phi_g \eta (x := e) k) \rightarrow$ $(LR \phi_g \eta e (x := * \rightarrow k))$		
VARIABLE ASSIGNMENT $(LR \phi_g \eta v (x := * \rightarrow k)) \rightarrow$ $(LR \phi_g \eta [x \mapsto v] v k)$	BEGIN (NO ARGS) $(LR \phi_g \eta (\text{begin}) k) \rightarrow$ $(LR \phi_g \eta k)$	BEGIN (ARG0 EVAL) $(LR \phi_g \eta (\text{begin } e_0 e_1 \dots) k) \rightarrow$ $(LR \phi_g \eta e_0 (\text{begin } * (e_1 \dots) \rightarrow k))$		
BEGIN (ARG1 EVAL) $(LR \phi_g \eta v (\text{begin } * (e_i e_{i+1} \dots) \rightarrow k)) \rightarrow$ $(LR \phi_g \eta e_i (\text{begin } * (e_{i+1} \dots) \rightarrow k))$	BEGIN (ARGN EVAL) $(LR \phi_g \eta v (\text{begin } * (e_n) \rightarrow k)) \rightarrow$ $(LR \phi_g \eta e_n (\text{begin } * () \rightarrow k))$	BEGIN $(LR \phi_g \eta v (\text{begin } * () \rightarrow k)) \rightarrow$ $(LR \phi_g \eta v k)$		
NULL $(LR \phi_g \eta \text{null } k) \rightarrow$ $(LR \phi_g \eta r_{\text{null}} k)$	POP $(LR \phi_g \eta v (\text{pop } \eta_0 k)) \rightarrow$ $(LR \phi_g \eta_0 v k)$			

Figure 5. Javalite rewrite rules that are common to generalized symbolic execution and precise heap summaries.

**Definition 8.** A *state transition function*  $\rightarrow_\Phi$  is a mapping  $\rightarrow_\Phi: s \mapsto s$ , which takes one machine state and transforms it into another machine state. Two important state transition functions are the *lazy state transition function*  $\rightarrow_\ell$  and the *summary state transition function*  $\rightarrow_s$ .

**Definition 9.** A *state sequence* is a sequence of states denoted as  $\Pi_n = s_0, s_1, \dots, s_n$ . A *feasible state sequence*,  $\Pi_n^\phi = s_0, s_1, \dots, s_n$  is consistent with the transition:  $\forall i \ (0 \leq i < n \Rightarrow s_i \rightarrow_\Phi s_{i+1})$ , where  $s_0 \in S_0$ .

**Definition 10.** The set of *lazy states*  $S_\ell$  is defined as

$$S_\ell = \{s_\ell \mid \exists \Pi_n^\ell \ (\Pi_n^\ell = s_0, \dots, s_\ell)\} \quad (3)$$

**Definition 11.** The set of *summary states*  $S_s$  is defined as

$$S_s = \{s_s \mid \exists \Pi_n^s \ (\Pi_n^s = s_0, \dots, s_s)\} \quad (4)$$

**Definition 12.** Given a sequence of states

$$\Pi_n = s_0, s_1, \dots, s_n$$

where

$$s_i = (\mu_i \ L_i \ R_i \ \phi_i \ \eta_i \ e_i \ k_i)$$

the *control flow sequence* of  $\Pi_n$  is defined as the sequence of tuples

$$\pi_n = \mathbb{CF}(\Pi_n) = (\eta_0 \ e_0 \ k_0), (\eta_1 \ e_1 \ k_1), \dots, (\eta_n \ e_n \ k_n)$$

**Definition 13.** Given a state transition function  $\rightarrow_\Phi$ , an initial state  $s_0$  and a control flow sequence  $\pi_n$ , the *feasible state set*,  $\mathbb{FS}(\rightarrow_\Phi, s_0, \pi_n)$ , is defined as

$$\mathbb{FS}(\rightarrow_\Phi, s_0, \pi_n) = \{s \mid \exists \Pi_n^\phi \ (\pi_n = \mathbb{CF}(\Pi_n^\phi) \wedge s = \text{last}(\Pi_n^\phi))\}$$

where  $\text{last}(\Pi_n)$  returns the last state on the feasible sequence.

**Definition 14.** A *field access descriptor*  $\gamma_i$  is a tuple

$$\gamma_i = (r_i \ \phi_i \ l_i \ f_i)$$

**Definition 15.** An *access path*  $\Gamma_n$  is a sequence of field access descriptors  $\Gamma_n = \gamma_0, \gamma_1, \dots, \gamma_n$ .

**Definition 16.** For a given access path  $\Gamma_n$  the *access path constraint*  $\mathbb{PC}(\Gamma_n)$  is defined as

$$\mathbb{PC}(\Gamma_n) = \bigwedge \{\phi \mid \exists \gamma \in \Gamma_n \ (\gamma = (r \ \phi \ e \ f))\}$$

INITIALIZE (NULL)

$$\frac{\begin{array}{l} \Lambda = \text{UN}(L, R, r, f) \quad \Lambda \neq \emptyset \\ r' = \text{fresh}_r() \quad \theta_{\text{null}} = \{(\text{true } l_{\text{null}})\} \\ l_x = \min_l(\Lambda) \\ \phi'_g = (\phi_g \wedge r' = r_{\text{null}}) \end{array}}{(L R \phi_g r f C) \rightarrow_I (L[r' \mapsto \theta_{\text{null}}] R[(l_x, f) \mapsto r'] \phi'_g r f C)}$$

INITIALIZE (ALIAS)

$$\frac{\begin{array}{l} \Lambda = \text{UN}(L, R, r, f) \quad \Lambda \neq \emptyset \quad r' = \text{fresh}_r() \\ \rho = \{(r_a l_a) \mid \text{isInit}(r_a) \wedge r_a = \min_r(R^{-1}[l_a]) \wedge \text{type}(l_a) = C\} \\ (r_a l_a) \in \rho \quad \theta_{\text{alias}} = \{(\text{true } l_a)\} \quad l_x = \min_l(\Lambda) \\ \phi'_g = (\phi_g \wedge r' \neq r_{\text{null}} \wedge r' = r_a \wedge (\wedge_{(r'_a l_a) \in \rho} (r'_a \neq r_a)) \quad r' \neq r_a) \end{array}}{(L R \phi_g r f C) \rightarrow_I (L[r' \mapsto \theta_{\text{alias}}] R[(l_x, f) \mapsto r'] \phi'_g r f C)}$$

INITIALIZE (NEW)

$$\frac{\begin{array}{l} \Lambda = \text{UN}(L, R, r, f) \quad \Lambda \neq \emptyset \\ r_f = \text{init}_r() \quad l_f = \text{fresh}_l(C) \\ \rho = \{(r_a l_a) \mid \text{isInit}(r_a) \wedge r_a = \min_r(R^{-1}[l_a]) \wedge \text{type}(l_a) = C\} \\ \theta_{\text{new}} = \{(\text{true } l_f)\} \quad l_x = \min_l(\Lambda) \\ R' = R[\forall f \in \text{fields}(C) ((l_f f) \mapsto r_{\text{un}})] \\ \phi'_g = (\phi_g \wedge r_f \neq r_{\text{null}} \wedge (\wedge_{(r_a l_a) \in \rho} r_f \neq r_a)) \end{array}}{(L R \phi_g r f C) \rightarrow_I (L[r_f \mapsto \theta_{\text{new}}] R'[(l_x, f) \mapsto r_f] \phi'_g r f C)}$$

INITIALIZE (END)

$$\frac{\Lambda = \text{UN}(L, R, r, f) \quad \Lambda = \emptyset}{(L R \phi_g r f C) \rightarrow_I (L R \phi_g r f C)}$$

**Figure 6.** The initialization machine,  $s ::= (L R \phi_g r f C)$ , with  $s \rightarrow_I^* s'$  indicating stepping the machine until the state does not change.

FIELD ACCESS

$$\frac{\begin{array}{l} \{(\phi l)\} = L(r) \quad l \neq l_{\text{null}} \quad C = \text{type}(l, f) \\ (L R \phi_g r f C) \rightarrow_I^* (L' R' \phi'_g r f C) \\ \{(\phi' l')\} = L'(R'(l, f)) \quad r' = \text{stack}_r(C) \end{array}}{(L R \phi_g \eta r (* \$ f \rightarrow k)) \rightarrow (L'[r' \mapsto (\phi' l')] R' \phi'_g \eta r' k)}$$

EQUALS (REFERENCE-TRUE)

$$\frac{L(r_0) = L(r_1) \quad \phi'_g = (\phi_g \wedge r_0 = r_1)}{(L R \phi_g \eta r_0 (r_1 = * \rightarrow k)) \rightarrow (L R \phi'_g \eta \text{true } k)}$$

FIELD WRITE

$$\frac{\begin{array}{l} r_x = \eta(x) \quad \{(\phi l)\} = L(r_x) \quad l \neq l_{\text{null}} \\ r' = \text{fresh}_r() \quad \theta = L'(r) \end{array}}{(L R \phi_g \eta r (x \$ f := * \rightarrow k)) \rightarrow (L[r \mapsto \theta] R[(l f) \mapsto r'] \phi'_g \eta r k)}$$

EQUALS (REFERENCE-FALSE)

$$\frac{L(r_0) \neq L(r_1) \quad \phi'_g = (\phi_g \wedge r_0 \neq r_1)}{(L R \phi_g \eta r_0 (r_1 = * \rightarrow k)) \rightarrow (L R \phi'_g \eta \text{false } k)}$$

**Figure 7.** GSE with lazy initialization.

**Definition 17.** For a given state  $s = (L_s R_s \phi_s \eta_s e_s k_s)$ , a **valid access path**  $\Gamma_n^s = \gamma_0, \gamma_1, \dots, \gamma_n$  satisfies the properties

$$\begin{array}{l} r_0 \in \text{refs}(\eta_s) \\ \mathbb{S}(\phi_s \wedge \mathbb{PC}(\Gamma_n^s)) \\ \forall i \in \mathbb{N} (0 \leq i < n \Leftrightarrow \gamma_i \in \Gamma_n^s \wedge \\ \quad \gamma_{i+1} \in \Gamma_n^s \wedge \\ \quad (\phi_i l_i) \in L_s(r_i) \wedge \\ \quad r_{i+1} = R_s(l_i, f_i) \wedge \\ \quad (\phi_{i+1} l_{i+1}) = L_s(r_{i+1})) \end{array}$$

where  $\gamma_i = (r_i \phi_i l_i f_i)$

**Definition 18.** A **homomorphism**  $s_x \rightarrow_h s_y$ , from state  $s_x = (L_x R_x \phi_x \eta_x e_x k_x)$  to state  $s_y = (L_y R_y \phi_y \eta_y e_y k_y)$ , is defined as follows:

$$\begin{array}{l} s_x \rightarrow_h s_y \Leftrightarrow \\ \exists h : \mathcal{L} \mapsto \mathcal{L} (\forall l_\alpha \in \mathcal{L} (\forall l_\beta \in \mathcal{L} (\forall f \in \mathcal{F} ( \\ (\phi_\alpha l_\alpha) \in L_x(R_x(l_\beta, f)) \Rightarrow (\phi_\beta h(l_\alpha)) \in L_y(R_y(h(l_\beta), f)) \\ )))) \end{array}$$

**Definition 19.** Given homomorphism  $s_x \rightarrow_h s_y$ , the **homomorphism constraint**  $\mathbb{HC}(s_x \rightarrow_h s_y)$  is defined as:

$$\begin{array}{l} \mathbb{HC}(s_x \rightarrow_h s_y) = \\ \bigwedge \{ \phi_b \mid \exists r \in L_y^{\leftarrow} (\exists (\phi_a l) \in L_x^{\rightarrow} ((\phi_b h(l)) \in L_y(r))) \} \end{array}$$

**Definition 20.** The **representation relation** is defined as follows: given lazy state  $s_\ell = (L_\ell R_\ell \phi_\ell \eta_\ell e_\ell k_\ell)$  and summary state  $s_s = (L_s R_s \phi_s \eta_s e_s k_s)$ ,  $s_\ell \sqsubset s_s$  if and only if  $\eta_\ell = \eta_s$ ,  $e_\ell = e_s$ ,  $k_\ell = k_s$ , and there exists a homomorphism  $s_\ell \rightarrow_h s_s$  such that

$$\mathbb{S}(\phi_s \wedge \mathbb{HC}(s_\ell \rightarrow_h s_s)) \quad (5)$$

**Definition 21.** A summary state  $s_s$  is **equivalent** to a set of lazy states  $P$  if and only if  $s_s$  represents every state in  $P$  and represents no other state:

$$s_s \cong P \Leftrightarrow \forall s_i \in \mathcal{S} (s_i \in P \Leftrightarrow s_i \sqsubset s_s)$$

**Definition 22.** A state  $s$  is **sound** with respect to a transition relation,  $\rightarrow_\phi$ , initial state,  $s_0$ , and control flow path,  $\pi_n$ , if and only if

$$\forall s_\ell \in \mathcal{S}_\ell (s_\ell \sqsubset s_s \Rightarrow s_\ell \in \mathbb{FS}(\rightarrow_\phi, s_0, \pi_n))$$

**Definition 23.** A state  $s$  is **complete** with respect to a transition relation,  $\rightarrow_\phi$ , initial state,  $s_0$ , and control flow path,  $\pi_n$ , if and only if

$$\forall s_\ell \in \mathcal{S}_\ell (s_\ell \in \mathbb{FS}(\rightarrow_\phi, s_0, \pi_n) \Rightarrow s_\ell \sqsubset s_s)$$

**Definition 24.** A state  $s$  is **exact** with respect to a transition relation,  $\rightarrow_\phi$ , initial state,  $s_0$ , and control flow path,  $\pi_n$ , if and only if it is both sound and complete:

$$s \cong \mathbb{FS}(\rightarrow_\phi, s_0, \pi_n)$$

$$\begin{array}{c}
\text{FIELD WRITE} \\
\Psi_x = \{(r_{cur} \phi l) \mid (\phi l) \in L'(r_x) \wedge r_{cur} = R(l, f)\} \\
X = \{(r_{cur} \theta l) \mid \exists \phi ((r_{cur} \phi l) \in \Psi_x \wedge \theta = \mathbb{ST}(L', r, \phi) \cup \mathbb{ST}(L', r_{cur}, \neg \phi))\} \\
R'' = R'[\forall (r_{cur} \theta l) \in X ((l f) \mapsto \text{fresh}_r())] \\
L'' = L'[\forall (r_{cur} \theta l) \in X (\exists r_{targ} (r_{targ} = R'(l, f) \wedge (r_{targ} \mapsto \theta)))] \\
\hline
(L R \phi_g \eta r (x \$ f := * \rightarrow k)) \rightarrow (L'' R'' \phi_g \eta r k) \\
\\
\text{SUMMARIZE} \\
\Lambda = \mathbb{UN}(L, R, r, f) \quad \Lambda \neq \emptyset \\
C = \text{type}(f) \quad r_f = \text{init}_r() \quad l_f = \text{fresh}_l(C) \\
R' = R[\forall f \in \text{fields}(C) ((l f) \mapsto r_{un})] \\
\rho = \{(r_a \phi_a l_a) \mid \text{isInit}(r_a) \wedge r_a = \min_r(R^{-1}[l_a]) \wedge (\phi_a l_a) \in L(r_a) \wedge \text{type}(l_a) = C\} \\
\theta_{null} = \{(\phi l_{null}) \mid \phi = (r_f = r_{null})\} \\
\theta_{new} = \{(\phi l_f) \mid \phi = (r_f \neq r_{null} \wedge (\wedge_{(r'_a, \phi'_a, l'_a) \in \rho} r_f \neq r'_a))\} \\
\theta_{alias} = \{(\phi l_a) \mid \exists r_a (\exists \phi_a ((r_a \phi_a l_a) \in \rho \wedge \phi = (\phi_a \wedge r_f \neq r_{null} \wedge r_f = r_a \wedge (\wedge_{(r'_a, \phi'_a, l'_a) \in \rho} (r'_a \neq r_a) r_f \neq r'_a)))\} \\
\theta_{all} = \theta_{alias} \cup \theta_{new} \cup \theta_{null} \\
L' = L[r_f \mapsto \theta_{all}] \\
\Psi_x = \{(r_{cur} \phi l) \mid (\phi l) \in L'(r) \wedge r_{cur} = R'(l, f)\} \\
X = \{(r_{cur} \theta l) \mid \exists \phi ((r_{cur} \phi l) \in \Psi_x \wedge \theta = \mathbb{ST}(L', r_f, \phi) \cup \mathbb{ST}(L', r_{cur}, \neg \phi))\} \\
R'' = R'[\forall (r_{cur} \theta l) \in X ((l f) \mapsto \text{fresh}_r())] \\
L'' = L'[\forall (r_{cur} \theta l) \in X (\exists r_{targ} (r_{targ} = R'(l, f) \wedge (r_{targ} \mapsto \theta)))] \\
l_x = \min_l(\Lambda) \\
\hline
(L R r f) \rightarrow_S (L''[r_f \mapsto \theta] R''[(l_x, f) \mapsto r_f] r f) \\
\\
\text{SUMMARIZE (END)} \\
\Lambda = \{l \mid \exists \phi ((\phi l) \in L(r) \wedge R(l, f) = \perp)\} \quad \Lambda = \emptyset \\
\hline
(L R r f) \rightarrow_S (L R r f)
\end{array}$$

**Figure 8.** The summary machine,  $s ::= (L R r f)$ , with  $s \rightarrow_I^* s'$  indicating stepping the machine until the state does not change.

## 6.2 Theorems

**Theorem 1.** *If we have a summary state  $s_s = (L_s R_s \phi_s \eta_s e_s k_s)$ , then for any reference  $r \in L_s^{\leftarrow}$ , and any two pairs  $(\phi_\alpha l_\alpha) \in L_s(r)$  and  $(\phi_\beta l_\beta) \in L_s(r)$  such that  $l_\alpha \neq l_\beta$ , then*

$$(\phi_\alpha \wedge \phi_\beta) = \text{false}$$

*Proof.* The proof will proceed inductively. For the base case, consider any initial state  $s_0$ . The property holds by construction. (Hands waving around in the air for emphasis)

Now we will show that if the exclusivity property holds for some state  $s_s$ , then it holds for any state  $s'_s$  where  $s_s \rightarrow_S s'_s$ .

First, suppose we have state  $s_s$  and intermediate state  $s'_s$  where  $s_s \rightarrow_S s'_s$ . If all fields are initialized, then  $s_s$  and  $s'_s$  are identical, so the property holds for  $s'_s$ . If any field is uninitialized, then the fields are initialized to new references, for which the exclusivity property holds by construction. (More hands waving)

Since the exclusivity property holds for every intermediate state, for any instruction that relies on the summary machine we can assume without loss of generality that all pertinent fields are initialized.

Now, suppose we have a field read instruction. When we read the field, a new value set is created based on the  $\mathbb{VS}$  function. The members of the value set have the form  $(\phi \wedge \phi' l)$ . Choose any two distinct members of the value set,  $(\phi_\alpha \wedge \phi'_\alpha l_\alpha)$  and  $(\phi_\beta \wedge \phi'_\beta l_\beta)$ . If  $\phi_\alpha \neq \phi_\beta$ , we know that exclusivity holds because  $\phi_\alpha$  and  $\phi_\beta$  came from the same value set in  $s_s$  and are therefore exclusive. If  $\phi_\alpha = \phi_\beta$ , we know that exclusivity holds because  $\phi'_\alpha$  and  $\phi'_\beta$  came from the same value set in  $s_s$  and are therefore exclusive. Thus, the exclusivity property holds for any pair of constraints in the value set. Since the only new value set in  $L_{s'_s}^{\rightarrow}$  is generated by the  $\mathbb{VS}$

function, we are guaranteed that if exclusivity holds for  $s_s$ , then exclusivity holds for  $s'_s$ .

Suppose we have a field write instruction. This case is nearly identical as the field read. In this instruction, a new value set is created. The members of the value set have the form  $(\phi \wedge \phi' l)$ . Choose any two distinct members of the value set,  $(\phi_\alpha \wedge \phi'_\alpha l_\alpha)$  and  $(\phi_\beta \wedge \phi'_\beta l_\beta)$ . If  $\phi_\alpha \neq \phi_\beta$ , we know that exclusivity holds because  $\phi_\alpha = \neg \phi_\beta$ , so  $\phi_\alpha$  and  $\phi_\beta$  are therefore exclusive. If  $\phi_\alpha = \phi_\beta$ , we know that exclusivity holds because  $\phi'_\alpha$  and  $\phi'_\beta$  came from the same value set in  $s_s$  and are therefore exclusive. Thus, the exclusivity property holds for any pair of constraints in the value set. Since exclusivity holds for the only new value set in  $L_{s'_s}^{\rightarrow}$ , we are guaranteed that if exclusivity holds for  $s_s$ , then exclusivity holds for  $s'_s$ .

Suppose we have a "new" instruction. In this case, only one value set is added to  $L_{s'_s}^{\rightarrow}$ , and that value set contains only one member, so exclusivity holds by default.

Suppose we have any instruction other than a read, write, or new. No machine rule other than those three listed instructions modifies the  $L$  function. Therefore, the exclusivity property must hold for  $s'_s$  in these cases.

Since the exclusivity property holds for any initial state, and since it holds for any "next" state if the property holds for the previous state, we have proven the property for every symbolic state.  $\square$

**Lemma 2.** *If symbolic state  $s_s = (L_s R_s \phi_s \eta r (* \$ f \rightarrow k))$  is exact with respect to some initial state  $s_0$  and control flow path  $\pi_n$ , then the intermediate state  $s'_s$  such that  $s_s \rightarrow_S^* s'_s$  is equivalent to  $\{\forall s'_\ell | \exists s_\ell \sqsubset s_s (s_\ell \rightarrow_I^* s'_\ell)\}$ .*

FIELD ACCESS

$$\frac{\begin{array}{l} \forall (\phi l) \in L(r) \ (l = l_{\text{null}} \rightarrow \neg \mathbb{S}(\phi \wedge \phi_g)) \\ \{C\} = \{C \mid \exists (\phi l) \in L(r) \ (C = \text{type}(l, f))\} \\ (LR \text{ rf } C) \rightarrow_S^* (L' R' \text{ rf } C) \quad r' = \text{stack}_r() \end{array}}{(LR \phi_g \eta r (* \$ f \rightarrow k)) \rightarrow (L'[r' \mapsto \mathbb{V}\mathbb{S}(L', R', r, f, \phi_g)] R' \phi_g \eta r' k)}$$

FIELD WRITE

$$\frac{\begin{array}{l} r_x = \eta(x) \quad \forall (\phi l) \in L(r_x) \ (l = l_{\text{null}} \rightarrow \neg \mathbb{S}(\phi \wedge \phi_g)) \\ \Psi_x = \{(r_{\text{cur}} \phi l) \mid (\phi l) \in L'(r_x) \wedge r_{\text{cur}} = R(l, f)\} \\ X = \{(r_{\text{cur}} \theta l) \mid \exists \phi ((r_{\text{cur}} \phi l) \in \Psi_x \wedge \theta = \mathbb{S}\mathbb{T}(L', r, \phi) \cup \mathbb{S}\mathbb{T}(L', r_{\text{cur}}, \neg \phi))\} \\ R'' = R'[\forall (r_{\text{cur}} \theta l) \in X \ ((l, f) \mapsto \text{fresh}_r())] \\ L'' = L'[\forall (r_{\text{cur}} \theta l) \in X \ (\exists r_{\text{targ}} (r_{\text{targ}} = R'(l, f) \wedge (r_{\text{targ}} \mapsto \theta)))] \end{array}}{(LR \phi_g \eta r (x \$ f := * \rightarrow k)) \rightarrow (L'' R'' \phi_g \eta r k)}$$

EQUALS (REFERENCES-TRUE)

$$\frac{\begin{array}{l} \theta_\alpha = \{(\phi_0 \wedge \phi_1) \mid \exists l ((\phi_0 l) \in L(r_0) \wedge (\phi_1 l) \in L(r_1))\} \\ \theta_0 = \{\phi_0 \mid \exists l_0 ((\phi_0 l_0) \in L(r_0) \wedge \forall (\phi_1 l_1) \in L(r_1) \ (l_0 \neq l_1))\} \\ \theta_1 = \{\phi_1 \mid \exists l_1 ((\phi_1 l_1) \in L(r_1) \wedge \forall (\phi_0 l_0) \in L(r_0) \ (l_0 \neq l_1))\} \\ \phi'_g = \phi_g \wedge (\vee_{\phi_\alpha \in \theta_\alpha} \phi_\alpha) \wedge (\wedge_{\phi_0 \in \theta_0} \neg \phi_0) \wedge (\wedge_{\phi_1 \in \theta_1} \neg \phi_1) \\ \mathbb{S}(\phi'_g) \end{array}}{(LR \phi_g \eta r_0 (r_1 = * \rightarrow k)) \rightarrow (LR \phi'_g \eta \text{true } k)}$$

EQUALS (REFERENCES-FALSE)

$$\frac{\begin{array}{l} \theta_\alpha = \{(\phi_0 \Rightarrow \neg \phi_1) \mid \exists l ((\phi_0 l) \in L(r_0) \wedge (\phi_1 l) \in L(r_1))\} \\ \theta_0 = \{\phi_0 \mid \exists l_0 ((\phi_0 l_0) \in L(r_0) \wedge \forall (\phi_1 l_1) \in L(r_1) \ (l_0 \neq l_1))\} \\ \theta_1 = \{\phi_1 \mid \exists l_1 ((\phi_1 l_1) \in L(r_1) \wedge \forall (\phi_0 l_0) \in L(r_0) \ (l_0 \neq l_1))\} \\ \phi'_g = \phi_g \wedge (\wedge_{\phi_\alpha \in \theta_\alpha} \phi_\alpha) \vee ((\vee_{\phi_0 \in \theta_0} \phi_0) \vee (\vee_{\phi_1 \in \theta_1} \phi_1)) \\ \mathbb{S}(\phi'_g) \end{array}}{(LR \phi_g \eta r_0 (r_1 = * \rightarrow k)) \rightarrow (LR \phi'_g \eta \text{false } k)}$$

**Figure 9.** Precise symbolic heap summaries from symbolic execution.

*Proof.* Take any lazy state  $s_\ell$  such that  $s_\ell \sqsubset s_s$ . By Definition 20, we know  $s_\ell = (L_\ell R_\ell \phi_\ell \eta r (* \$ f \rightarrow k))$ . Take any state  $s'_\ell$  where  $s_\ell \rightarrow_I^* s'_\ell$ , and state  $s'_s$  where  $s_s \rightarrow_S^* s'_s$ . Note that state  $s'_\ell$  has the form:  $s'_\ell = (L_{\ell'} R_{\ell'} \phi_{\ell'} \eta r (* \$ f \rightarrow k))$ . Take any location, field pair  $(l_\ell f)$  such that  $(l_\ell f) \in R_{\ell'}^+$ , and let  $l_s = h(l_\ell)$ . We may classify  $l_\ell$  into one of three categories, based on the values of the  $R$  function in each of the states  $s_\ell$ ,  $s'_\ell$ ,  $s_s$ , and  $s'_s$ , and we may define a function  $h' : \mathcal{L} \mapsto \mathcal{L}$  based on that classification.

Class 1:  $R_\ell(l_\ell, f) = R_{\ell'}(l_\ell, f)$  and  $R_s(l_s, f) = R_{s'}(l_s, f)$ . In this case, let  $h'(l_\ell) = h(l_\ell)$ . Since  $s_\ell \rightarrow_h s_s$ , obviously:

$$(\phi_\alpha l_\alpha) \in L_{\ell'}(R_{\ell'}(l_\ell, f)) \Rightarrow (\phi_b h'(l_\alpha)) \in L_{s'}(R_{s'}(l_s, f))$$

Class 2:  $R_\ell(l_\ell, f) = R_{\ell'}(l_\ell, f)$  and  $R_s(l_s, f) \neq R_{s'}(l_s, f)$ . Notice that since  $R_s(l_s, f) \neq R_{s'}(l_s, f)$ , we may deduce that  $(\phi_b \perp) \in L_s(R_s(l_s, f))$ , and by extension,  $(\phi_a \perp) = L_\ell(R_\ell(l_\ell, f))$ . In this case, we let  $h'(l_\ell) = h(l_\ell)$ . Since  $(\phi_a \perp) \in L_{\ell'}(R_{\ell'}(l_\ell, f))$ , and since by rule  $(\phi_b \perp) \in L_{s'}(R_{s'}(l_s, f))$ , we can see that in this case:

$$(\phi_\alpha l_\alpha) \in L_{\ell'}(R_{\ell'}(l_\ell, f)) \Rightarrow (\phi_b h'(l_\alpha)) \in L_{s'}(R_{s'}(l_s, f))$$

Class 3:  $R_\ell(l_\ell, f) \neq R_{\ell'}(l_\ell, f)$  and  $R_s(l_s, f) \neq R_{s'}(l_s, f)$ . In this case, let  $l_\alpha$  be any location such that  $(\phi_a l_\alpha) \in L_{\ell'}(R_{\ell'}(l_\ell, f))$ . If  $(* l_\alpha) \in L_\ell^+$ , let  $h'(l_\alpha) = h(l_\alpha)$ . Otherwise, let  $l_\beta$  be the location such that  $(\phi_b l_\beta) \in L_{s'}(R_{s'}(l_s, f))$  and  $(\phi_b l_\beta) \notin L_s(R_s(l_s, f))$ . Now, let  $h'(l_\alpha) = l_\beta$ . Observe that either way,

$$(\phi_\alpha l_\alpha) \in L_{\ell'}(R_{\ell'}(l_\ell, f)) \Rightarrow (\phi_b h'(l_\alpha)) \in L_{s'}(R_{s'}(l_s, f))$$

Furthermore, since  $l_\alpha$  and  $l_\beta$  are new locations with uninitialized fields, we know that for any field  $f'$ ,  $\{(\phi_p \perp)\} = L_{\ell'}(R_{\ell'}(l_\alpha, f'))$  and  $\{(\phi_p \perp)\} = L_{s'}(R_{s'}(l_\beta, f'))$  therefore, we know that:

$$(\phi_p l_x) \in L_{\ell'}(R_{\ell'}(l_\alpha, f')) \Rightarrow (\phi_q h'(l_x)) \in L_{s'}(R_{s'}(h'(l_\alpha), f'))$$

We have now shown that there exists a mapping  $h' : \mathcal{L} \mapsto \mathcal{L}$  for all  $l_{\ell'} \in L_{\ell'}^+$  such that:

$$(\phi_\alpha l_\alpha) \in L_{\ell'}(R_{\ell'}(l_{\ell'}, f)) \Rightarrow (\phi_b h'(l_\alpha)) \in L_{s'}(R_{s'}(l_{\ell'}, f))$$

. By Definition 18 we know that  $s'_\ell \rightarrow_{h'} s'_s$ . Furthermore, since the heap constraint is satisfiable (hands waving here), we know that  $s'_\ell \sqsubset s'_s$ . We have therefore shown that for some summary state  $s_s$  and an arbitrary lazy state  $s_\ell$  such that  $s_\ell \sqsubset s_s$ :

$$(s_\ell \rightarrow_I^* s'_\ell \wedge s_s \rightarrow_S^* s'_s) \Rightarrow s'_\ell \sqsubset s'_s \quad (6)$$

We now prove the reverse case, that  $s_s^*$  represents no infeasible states. Suppose that  $s_s^*$  represents some infeasible state. This means that we represent some lazy state that has some reference  $r$  which points somewhere that no place in the feasible set points to. Since we don't change the path condition, all the old references still point exactly to the same places they used to. So, the problem must be with one of the new references. All of the new references point to either a new location, the null location, the uninitialized location, or some alias. The new, null, and uninitialized locations are pretty straightforward and easy to show that they are all pointing to the correct places at the correct times. This means that there must be a feasible path to a target location that does not exist for any lazy heap. So, pick an arbitrary lazy heap containing the location and field in question. If said target location does not exist, then there is no reference in the lazy heap pointing to that location. In the summary heap, the path constraint on the path leading to the undesired target contains an aliasing condition that states that the source reference only points to this target location on condition that the parent reference points there. However, since we already know that no other reference in the lazy heap points there, this condition

must be infeasible. Therefore, it is not part of the represented state. We have a contradiction. Therefore, there is no alias that points somewhere it's not supposed to.

We have now proven that

$$s_\ell^* \sqsubset s_s^* \Rightarrow s_\ell^* \in \{\forall s'_\ell [\exists s_\ell \sqsubset s_s (s_\ell \rightarrow_I^* s'_\ell)]\}$$

This fact, combined with our previous result, proves that

$$s_s^* \cong \{\forall s'_\ell [\exists s_\ell \sqsubset s_s (s_\ell \rightarrow_I^* s'_\ell)]\}$$

□

**Lemma 3.** *If there are symbolic states  $s_s$  and  $s'_s$ , control sequences  $\pi_n$  and  $\pi_{n+1}$ , initial state  $s_0$ , and reference  $r'$  such that the following conditions hold:*

$$s_s = (L_s R_s \phi_g \eta r (* \$ f \rightarrow k)) \quad (7)$$

$$s_s \cong \mathbb{FS}(\rightarrow_\phi, s_0, \pi_n) \quad (8)$$

$$r' = \text{fresh}_r() \quad (9)$$

$$\pi_{n+1} = \pi_n (\eta r' k) \quad (10)$$

$$s_s \rightarrow_s s'_s \quad (11)$$

then

$$s'_s \cong \mathbb{FS}(\rightarrow_\phi, s_0, \pi_{n+1})$$

*Proof.* We will consider two cases for this proof. In the first case, we assume that all of the fields involved in the read are initialized. In the second case we consider the case of uninitialized fields.

Case 1: suppose all of the pertinent fields in  $s_s$  are initialized. Take an arbitrary lazy state  $s_\ell$  such that  $s_\ell \sqsubset s_s$ . Since  $s_s$  is exact,  $s_\ell = (L_\ell R_\ell \phi_\ell \eta r (* \$ f \rightarrow k))$ , and  $s_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n)$ . If we apply the state transition functions to achieve states  $s'_\ell$  and  $s'_s$  such that  $s_\ell \rightarrow_\ell s'_\ell$  and  $s_s \rightarrow_s s'_s$ , we find that:

$$s'_\ell = (L_\ell[r' \mapsto (\phi'_\ell l')] R_\ell \phi_\ell \eta r' k)$$

and

$$s'_s = (L_s[r' \mapsto \mathbb{VS}(L_s, R_s, r, f, \phi_g)] R_s \phi_g \eta r' k)$$

We now show that  $s'_\ell \sqsubset s'_s$ . Since  $\eta$ ,  $e$ , and  $k$  are identical between  $s'_s$  and  $s'_\ell$ , the first condition is met by default. Now we construct the function  $h'$  such that  $h' = h$ . Observe that since  $s_\ell \rightarrow_h s_s$ , and since  $R_\ell$  and  $R_s$  are unchanged from states  $s_\ell$  to  $s'_\ell$  and  $s_s$  to  $s'_s$  respectively, we are guaranteed that  $r = R_\ell(l, f) \Rightarrow r = R_s(h'(l), f)$ . Let  $\{(\phi'_\ell l')\} = L_\ell(R_\ell(l, f))$ . Since  $\mathbb{S}(\phi_g \wedge \mathbb{HC}(s_\ell \rightarrow_h s_s))$  is valid, we know that:

$$(\phi_s \wedge \phi'_s h(l')) \in \mathbb{VS}(L_s, R_s, r, f, \phi_g)$$

From this, we may deduce that:

$$(\phi_\ell l) \in L'_\ell(r') \Rightarrow (\phi_s \wedge \phi'_s h'(l)) \in L'_s(r')$$

Since  $r'$  is the only new addition to  $L'_\ell$  and  $L'_s$ , we now know that the assertion above holds for all  $l \in \mathcal{L}$ . Thus, we have shown that  $s'_\ell \rightarrow_{(g h)} s'_s$ . Furthermore, since  $\mathbb{S}(\phi_g \wedge \mathbb{HC}(s'_\ell \rightarrow_{h'} s'_s))$ , and since  $\eta_\ell = \eta_s$ ,  $e_\ell = e_s$ ,  $k_\ell = k_s$ , by Definition 20 we know  $s'_\ell \sqsubset s'_s$ . We have now shown that for any lazy state  $s_\ell$ :

$$s_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n) \Rightarrow s'_\ell \sqsubset s'_s \quad (12)$$

Since there is only one possible control flow sequence  $\pi_{n+1}$ , this means that if  $s_\ell \rightarrow_\ell s'_\ell$ , then

$$s_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n) \Leftrightarrow s'_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1}) \quad (13)$$

Combining Equations 12 and 13, we may finally conclude that  $s'_s$  is complete with respect to  $\mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1})$

$$s'_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1}) \Rightarrow s'_\ell \sqsubset s'_s \quad (14)$$

Now, suppose that there exists a state  $s'_i$  such that  $s'_i \sqsubset s'_s$ , but  $s'_i \notin \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1})$ . Since  $s'_i \sqsubset s'_s$ , then by Definition 20, we know there exists a homomorphism  $s'_i \rightarrow_{h'} s'_s$ , and that  $\mathbb{S}(\phi'_i \wedge \mathbb{HC}(s'_i \rightarrow_{h'} s'_s))$ . From state  $s'_i$ , construct state  $s_i$  such that

$$s_i = (L_i R_i \phi_i \eta r (* \$ f \rightarrow k))$$

$$L_i = L_{i'} \setminus \{r'\}$$

$$R_i = R_{i'}$$

$$\phi_i = \phi'_{i'}$$

Observe that  $s_i \rightarrow_\ell s'_i$ . Now, construct function  $h_i$  so that  $h_i = h'$ . Observe that  $s_i \rightarrow_{h_i} s_s$ , and that  $\mathbb{S}(\phi_i \wedge \mathbb{HC}(s_i \rightarrow_{h_i} s_s))$ , so  $s_i \sqsubset s_s$ . By the hypothesis that  $s_s$  is exact,  $s_i \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n)$ . Combining this with the fact that  $s_i \rightarrow_\ell s'_i$ , we conclude that  $s'_i \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1})$ . We have a contradiction.

Therefore,  $s'_s$  is sound with respect to  $\mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1})$

$$s'_i \sqsubset s'_s \Rightarrow s'_i \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1}) \quad (15)$$

Since  $s_s$  is both sound and complete, we may combine Equations 14 and 15 to find that

$$s'_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_{n+1}) \Leftrightarrow s'_\ell \sqsubset s'_s$$

By Definition 21,  $s'_s \cong \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n)$ , and so by Definition 24,  $s'_s$  is exact.

Case 2: If there are uninitialized fields, then the lazy initialization machine will make an intermediate state  $s_t$ . By lemma 2, the symbolic state is equivalent to the set of lazy initialized states. From the intermediate state, the proof is the same as for case 1. □

**Lemma 4.** *If symbolic state  $s_s = (L_s R_s \phi_s \eta r (x \$ f := * \rightarrow k))$  is exact with respect to some initial state  $s_0$  and control flow path  $\pi_n$ , and if  $s_s \rightarrow_s s'_s$  for some state  $s'_s$ , then  $s'_s$  is equal to  $(L_{s'} R_{s'} \phi_{s'} \eta k)$  and is exact with respect to  $s_0$  and  $\pi_n (\eta k \emptyset)$ .*

*Proof.* By Lemma 2 we know that if  $s_s$  is exact, then the intermediate state  $s_x$  such that  $s_s \rightarrow_S^* s_x$  is also exact. Thus, for  $s_s$  and any state  $s_i$  such that  $s_i \sqsubset s_s$  we will assume, without loss of generality, that all relevant fields have been initialized.

First, we show that every state in the feasible set is represented by the  $s'_s$ . Take some lazy state  $s_i$  such that  $s_i \sqsubset s_s$ . It is easy to see that  $s'_i$  is represented by  $s'_s$ .

Next, we show that every state represented by  $s'_s$  is in the feasible set. We use the same argument as in the field read proof, that because  $s'_s$  represents every state in the feasible set, and since the cardinality of the set of states represented by  $s'_s$  is less than or equal to the cardinality of the feasible set, that  $s'_s$  can only represent feasible states. □

**Lemma 5.** *If symbolic state  $s_s = (L_s R_s \phi_s \eta r_0 (r_1 = * \rightarrow k))$  is exact with respect to some initial state  $s_0$  and control flow path  $\pi_n$ , and if  $s_s \rightarrow_s s'_s$  for some state  $s'_s$ , then  $s'_s$  is equal to  $(L_s R_s \phi_{s'} \eta v_{s'} k)$  and is exact with respect to  $s_0$  and  $\pi_n (\eta v_{s'} k)$ .*

There are two rules that apply to state  $s_s$ , one for the **true** branch and one for the **false** branch. Since the proofs for both rules are nearly identical, for clarity we will only show the proof for the case for the **true** branch here.

*Proof.* Choose any  $s_\ell \sqsubset s_s$ , and let  $\zeta_T = \mathbb{FS}(\rightarrow_\ell, s_0, (\pi_n, (\eta \text{true } k)))$ . Since  $s_s$  is exact, we know that  $s_\ell \in \mathbb{FS}(\rightarrow_\ell, s_0, \pi_n)$ ,  $s_\ell = (L_\ell R_\ell \phi_\ell \eta r_0 (r_1 = * \rightarrow k))$ , and that there exists a homomorphism  $s_\ell \rightarrow_{(g h)} s_s$  such that  $\mathbb{S}(\phi_s \wedge \mathbb{HC}(s_\ell \rightarrow_{(g h)} s_s))$ . Depending on the values of  $L_\ell(r_0)$  and  $L_\ell(r_1)$ , there are two different rules that might apply to  $s_\ell$ .



Case 1: Assume  $s_\ell : L_\ell(r_0) = L_\ell(r_1)$ , and let

$$\zeta_t = \zeta_T \setminus \{s_f | L_f(r_0) \neq L_f(r_1)\}$$

In this case, the lazy “equals - references true” rule applies, and we know state  $s'_\ell : s_\ell \rightarrow_\ell s'_\ell$  is in  $\zeta_t$ . Observe that by applying theorem 1,  $\phi'_s \wedge \phi_0 \wedge \phi_1$  reduces to  $\phi_s$ . Therefore,  $\mathbb{S}(\phi'_s \wedge \mathbb{HC}(s'_\ell \rightarrow_{(g\ h)} s'_s))$  is true, and by extension,  $s'_\ell \sqsubset s'_s$ . Since this relation holds for arbitrary  $s'_\ell \in \zeta_t$ , we now know that

$$s'_\ell \in \zeta_t \Rightarrow s'_\ell \sqsubset s'_s$$

Now we prove the case for the other direction. Consider a state  $s'_s$  where  $s_s \rightarrow_s s'_s$ . Define  $\theta_\alpha, \theta_0$  and  $\theta_1$  as in the “equals (references-true) rule”. Since  $L_s$  and  $R_s$  are unchanged from  $s_s$ , and  $\phi'_s$  is only a strengthened version of  $\phi_s$ , we know that

$$\{s'_\ell | s'_\ell \sqsubset s'_s\} \subseteq \{s'_\ell | \exists s_\ell (s_\ell \sqsubset s_s) \wedge s_\ell \rightarrow_s s'_\ell\}$$

Suppose that there exists state  $s'_i$  such that  $s'_i \sqsubset s'_s$  and  $s'_i \notin \zeta_t$ . Because of the above conclusion, we know that

$$s'_i \in \{s'_\ell | \exists s_\ell (s_\ell \sqsubset s_s) \wedge s_\ell \rightarrow_s s'_\ell\}$$

Combining this with the assumption that  $s'_i \notin \zeta_t$ , we must conclude that  $L_\ell(r_0) \neq L_\ell(r_1)$ . Because of this, and because of Theorem 1, we know that either all constraints in the set

$$\{\phi_i | \exists \phi_\alpha (\phi_\alpha \in \theta_\alpha) \wedge \phi_i = (\phi_\alpha \wedge \phi_0 \wedge \phi_1)\}$$

are unsatisfiable, or that at least one constraint in the set

$$\{\phi_i | \exists \phi_\alpha (\phi_\alpha \in (\theta_0 \cup \theta_1)) \wedge (\phi_i = \phi_\alpha \wedge \phi_0 \wedge \phi_1)\}$$

is valid. Either way,  $\mathbb{S}(\phi'_i \wedge \phi_0 \wedge \phi_1)$  is false and  $s'_s$  does not represent  $s'_i$ . We have a contradiction. Therefore:

$$s'_\ell \sqsubset s'_s \Rightarrow s'_\ell \in \zeta_t$$

Combining this with our previous result, we conclude that

$$s'_\ell \in \zeta_t \Leftrightarrow s'_\ell \sqsubset s'_s$$

Case 2: Assume  $s_\ell : L_\ell(r_0) \neq L_\ell(r_1)$ , and let

$$\zeta_f = \zeta_T \setminus \{s_t | L_t(r_0) = L_t(r_1)\}$$

This means that the lazy “equals - references false” rule applies. The proof for the “equals - references false” rule is highly similar to the proof for “equals - references true”, so we omit it for the sake of brevity. The result for this case is:

$$s'_\ell \in \zeta_f \Leftrightarrow s'_\ell \sqsubset s'_s$$

Since  $\zeta_T = \zeta_t \cup \zeta_f$ , we can combine the results of the two cases to find that

$$s'_\ell \in \zeta_T \Leftrightarrow s'_\ell \sqsubset s'_s$$

By Definition 21,  $s'_s \equiv \zeta_T$ , and by definition 24,  $s'_s$  is exact.  $\square$

**Theorem 6.** *If  $\Pi_n^s$  is a feasible summary state sequence, then the final state in  $\Pi_n^s$  is equivalent to the feasible set of lazy states sharing the same control flow sequence:*

$$\text{last}(\Pi_n^s) \cong \mathbb{FS}(\rightarrow_\ell, \text{first}(\Pi_n^s), \mathbb{CF}(\Pi_n^s)) \quad (16)$$

*Proof.* The proof will proceed inductively.

Base case: For any initial state  $s_0$ , the feasible state set reduces to  $\{s_0\}$ :

$$\mathbb{FS}(\rightarrow_\ell, s_0, \mathbb{CF}(s_0)) = \{s_0\}$$

It's obvious that a homomorphism from  $s_0$  to  $s_0$  exists, and that the Heap Constraint is always satisfiable by construction. Thus,  $s_0 \in s_0 \sqsubset s_0$ .

Inductive step: If summary state  $s_s$  is exact, then any state  $s'_s$  such that  $s_s \rightarrow_s s'_s$  is also exact. Suppose  $s_s$  has the form for a field read, field write, or reference compare rule. By Lemmas

3, 4, and 5,  $s'_s$  will also be exact. Suppose  $s_s$  is accepted by the “new” rule. In this case, the new reference points to the new location on condition true, so it's obvious that  $s_s$  represents all of the proper lazy states, and the existence of any infeasible lazy states represented by  $s_s^{\text{prime}}$  would imply that  $s_s$  is not exact. For all the other rules, the L and R functions are unchanged, and the rules for the  $\eta$ ,  $e$ , and  $k$  are exactly the same between the lazy and summary machines, so there is a bijective mapping between the represented states in  $s_s$  and  $s'_s$ . Thus, in all cases, if  $s_s$  is exact, then  $s'_s$  is also exact.

Having proved both the base case and the inductive step, the it follows that for any  $n$ ,  $s_n$  will be exact.  $\square$

## 7. Related Work

The related work goes here.

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