Notes on Lambda Calculus

Foundations of Computer Science

Spring 2017

Terms. A term of the λ -calculus is either:

- a variable x, y, z, \ldots
- an abstraction $\langle x \to M \rangle$ where x is a variable and M a term
- an application M N where M, N are terms

Examples: $x \quad \langle x \to x \rangle \quad \langle y \to \langle x \to x \rangle \rangle \quad \langle x \to x \langle y \to y \rangle \rangle$

Intuitively, $\langle x \to M \rangle$ represents a function with parameter x and returning M, while M N represents an application of function M to argument N. The simplification rules below will enforce this interpretation.¹

Just like elsewhere in mathematics, we will use parentheses freely to group terms together to affect or just clarify the order of applications. Application M N is a binary operation that associates to the left, so that writing M N P is the same as writing (M N) P. If you want M (N P) (which means something different) then you need to use parentheses explicitly.

Intuitively, the *scope* of x in $\langle x \to M \rangle$ is all of M. An occurrence of a variable is said to be bound if it occurs in the scope of an abstraction with that variable as a parameter. More precisely, it is bound to the nearest enclosing abstraction. An occurrence of a variable is said to be *free* if it is not bound.

Examples: y is free in $\langle x \to y \rangle$; the first occurrence of x is free in $\langle y \to x \ \langle x \to x \rangle \rangle$ while the second is not; z is bound in $\langle z \to \langle x \to z \rangle \rangle$.

Bound variables can be renamed without affecting the meaning of term. Intuitively, $\langle x \to x \rangle$ and $\langle y \to y \rangle$ represent the same function, the identity function. That we happen to call the parameter x in the first and y in the second is pretty irrelevant. Two terms are α -equivalent when they are equal up to renaming of some bound variables. Thus, $\langle x \to x \ z \rangle$ and $\langle y \to y \ z \rangle$ are α -equivalent. Be careful that your renaming does not capture a free occurrence of a variable. For example, $\langle x \to x \ z \rangle$ and $\langle z \to z \ z \rangle$ are not α -equivalent. They represent different functions.

¹The standard presentation of the λ -calculus uses notation $\lambda x.M$ for $\langle x \to M \rangle$, hence the name.

We will generally identify α -equivalent terms.

Substitution. An important operation is that of substituting a term N for a variable x inside another term M, written $M\{N/x\}$. It is defined formally as

$$x\{N/x\} = N$$

$$y\{N/x\} = y \quad \text{if } x \neq y$$

$$(M_1 \ M_2)\{N/x\} = M_1\{N/x\} \ M_2\{N/x\}$$

$$\langle y \to M \rangle \{N/x\} = \langle y \to M\{N/x\} \rangle \quad \text{if } y \text{ is not free in } N$$

In the last case, if x = y or if y is free in N, we can always find a term $\langle z \to M' \rangle$ that is α -equivalent to $\langle y \to M \rangle$ and such that $x \neq z$ and z is not free in N to perform the sustitution.

(Because we avoid capturing free variables, this form of substitution is called a *capture-avoiding substitution*.)

Simplification Rules. The main simplification rule is:

$$\langle x \to M \rangle \ N = M\{N/x\}$$

A term of the form $\langle x \to M \rangle$ N is called a redex.

Simplification can occur within the context of a larger term, of course, leading to the following three additional simplification rules:

$$M\ P=N\ P$$
 if $M=N$
$$P\ M=P\ N$$
 if $M=N$
$$\langle x\to M\rangle=\langle x\to N\rangle$$
 if $M=N$

Examples:

$$\langle x \to x \rangle \ \langle y \to y \rangle = x \{ \langle y \to y \rangle / x \}$$

= $\langle y \to y \rangle$

$$(\langle x \to \langle y \to x \rangle \rangle \ z_1) \ z_2 = \ (\langle y \to x \rangle \{z_1/x\}) \ z_2$$

$$= \langle y \to z_1 \rangle \ z_2$$

$$= z_1 \{ z_2 / y \}$$

$$= z_1$$

$$\begin{array}{lll} (\langle x \rightarrow \langle y \rightarrow y \rangle \rangle \ \langle z \rightarrow z \rangle) \ \langle x \rightarrow \langle y \rightarrow x \rangle \rangle = & \langle y \rightarrow y \rangle \{\langle z \rightarrow z \rangle / x\} \ \langle x \rightarrow \langle y \rightarrow x \rangle \rangle \\ &= & \langle y \rightarrow y \rangle \ \langle x \rightarrow \langle y \rightarrow x \rangle \rangle \\ &= & y \{\langle x \rightarrow \langle y \rightarrow x \rangle \rangle / y\} \\ &= & \langle x \rightarrow \langle y \rightarrow x \rangle \rangle \end{aligned}$$

From now on, I will skip the explicit substitution step when showing simplifications.

A term is in *normal form* if it has no redex (and thus cannot be simplified any further). Not every term can be simplified to a normal form:

$$\langle x \to x \ x \rangle \ \langle x \to x \ x \rangle = \langle x \to x \ x \rangle \ \langle x \to x \ x \rangle$$
$$= \langle x \to x \ x \rangle \ \langle x \to x \ x \rangle$$
$$= \dots$$

There can be more than one redex in a term, meaning that there may be more than one applicable simplification. For instance, in the term $(\langle x \to x \rangle \langle y \to x \rangle)$ $(\langle x \to \langle y \to x \rangle \rangle z_1 z_2)$. A property of the λ -calculus is that all the ways to simplify a term down to a normal form yield the same normal form (up to renaming of bound variables). This is called the *Church-Rosser property*. It says that the order in which we perform simplifications to reach a normal form is not important.

In practice, one often imposes an order in which to apply simplifications to avoid nondeterminisn. The *normal-order strategy*, which always simplifies the leftmost and outermost redex, is guaranteed to find a normal form if one exists.

To simplify the description, we introduce a convenient abbreviation. We write

$$\langle x_1 \ x_2 \to M \rangle = \langle x_1 \to \langle x_2 \to M \rangle \rangle$$

$$\langle x_1 \ x_2 \ x_3 \to M \rangle = \langle x_1 \to \langle x_2 \to \langle x_3 \to M \rangle \rangle \rangle$$

$$\langle x_1 \ x_2 \ x_3 \ x_4 \to M \rangle = \langle x_1 \to \langle x_2 \to \langle x_3 \to \langle x_4 \to M \rangle \rangle \rangle$$

$$\vdots$$

Working through the abbreviations, this means that we have simplifications:

$$\langle x_1 \ x_2 \to M \rangle \ N = \langle x_2 \to M \{ N/x_1 \} \rangle$$
$$\langle x_1 \ x_2 \ x_3 \to M \rangle \ N = \langle x_2 \ x_3 \to M \{ N/x_1 \} \rangle$$
$$\vdots$$

Encoding Booleans. Even though the λ -calculus only has variables and functions, that's enough to encode all traditional data types.

Here's one way to encode Boolean values (due to Church):

$$\mathbf{true} = \langle x \ y \to x \rangle$$
$$\mathbf{false} = \langle x \ y \to y \rangle$$

In what sense are these encodings of Boolean values? Booleans are useful because they allow you to select one branch or the other of a conditional expression.

$$\mathbf{if} = \langle c \ x \ y \to c \ x \ y \rangle$$

The trick is that when B simplifies to either **true** or **false**, then **if** B M N simplifies either to M or to N, respectively:

If $B = \mathbf{true}$, then

$$\begin{array}{ll} \textbf{if} \ B \ M \ N = & B \ M \ N \\ = & \textbf{true} \ M \ N \\ = & \langle x \ y \rightarrow x \rangle \ M \ N \\ = & \langle y \rightarrow M \rangle \ N \\ = & M \end{array}$$

while if B =**false**, then

$$\begin{array}{lll} \textbf{if} \ B \ M \ N = & B \ M \ N \\ = & \textbf{false} \ M \ N \\ = & \left\langle x \ y \rightarrow y \right\rangle M \ N \\ = & \left\langle y \rightarrow y \right\rangle N \\ - & N \end{array}$$

Of course, these show that **if** is not strictly necessary. You should convince yourself that **true** M N = M and that **false** M N = N.

We can define logical operators:

$$\mathbf{and} = \langle m \ n \to m \ n \ m \rangle$$
$$\mathbf{or} = \langle m \ n \to m \ m \ n \rangle$$
$$\mathbf{not} = \langle m \to \langle x \ y \to m \ y \ x \rangle \rangle$$

Thus, for example:

and true false =
$$\langle m \ n \rightarrow m \ n \ m \rangle$$
 true false

$$= \langle n \to \text{true } n \text{ true} \rangle \text{ false}$$

$$= \text{true false true}$$

$$= \langle x | y \to x \rangle \text{ false true}$$

$$= \langle y \to \text{false} \rangle \text{ true}$$

$$= \text{false}$$

Encoding Natural Numbers. Here is an encoding of natural numbers, again due to Church (hence the name, Church numerals):

$$\mathbf{0} = \langle f \ x \to x \rangle$$

$$\mathbf{1} = \langle f \ x \to f \ x \rangle$$

$$\mathbf{2} = \langle f \ x \to f \ (f \ x) \rangle$$

$$\mathbf{3} = \langle f \ x \to f \ (f \ (f \ x)) \rangle$$

$$\mathbf{4} = \dots$$

In general, natural number n is encoded as $\langle f | x \to f^n | x \rangle$ Successor operation:

$$\mathbf{succ} = \langle n \to \langle f \ x \to n \ f \ (f \ x) \rangle \rangle$$

$$\mathbf{succ} \ \mathbf{1} = \langle n \to \langle f \ x \to n \ f \ (f \ x) \rangle \rangle \ \langle f \ x \to f \ x \rangle$$

$$= \langle f \ x \to \langle f \ x \to f \ x \rangle \ f \ (f \ x) \rangle$$

$$= \langle f \ x \to \langle x \to f \ x \rangle \ (f \ x) \rangle$$

$$= \langle f \ x \to f \ (f \ x) \rangle$$

$$= \langle f \ x \to f \ (f \ x) \rangle$$

$$= \mathbf{2}$$

Other operations:

$$\mathbf{plus} = \langle m \ n \to m \ \mathbf{succ} \ n \rangle$$

$$\mathbf{times} = \langle m \ n \to \langle f \ x \to m \ (n \ f) \ x \rangle \rangle$$
$$\mathbf{iszero}? = \langle n \to n \ \langle x \to \mathbf{false} \rangle \ \mathbf{true} \rangle$$

plus 2 1 =
$$\langle m \ n \rightarrow m \ \text{succ} \ n \rangle$$
 2 1
= $\langle n \rightarrow 2 \ \text{succ} \ n \rangle$ 1
= 2 succ 1
= $\langle f \ x \rightarrow f \ (f \ x) \rangle$ succ 1
= $\langle x \rightarrow \text{succ} \ (\text{succ} \ x) \rangle$ 1
= succ (succ 1)
= succ ($\langle n \rightarrow \langle f \ x \rightarrow n \ f \ (f \ x) \rangle \rangle$ 1)
= succ ($\langle f \ x \rightarrow 1 \ f \ (f \ x) \rangle$
= succ ($\langle f \ x \rightarrow \langle f \ x \rightarrow f \ x \rangle \ f \ (f \ x) \rangle$
= succ ($\langle f \ x \rightarrow \langle f \ x \rightarrow f \ x \rangle \ (f \ x) \rangle$
= succ ($\langle f \ x \rightarrow \langle f \ x \rightarrow f \ (f \ x) \rangle$)
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= $\langle f \ x \rightarrow f \ (f \ f \ x) \rangle \rangle$

iszero?
$$0 = \langle n \to n \langle x \to false \rangle true \rangle \langle f x \to x \rangle$$

$$= \langle f | x \to x \rangle \langle x \to \mathbf{false} \rangle \mathbf{true}$$
$$= \langle x \to x \rangle \mathbf{true}$$
$$= \mathbf{true}$$

iszero? 2 =
$$\langle n \to n \ \langle x \to \text{false} \rangle \ \text{true} \rangle \ \langle f \ x \to f \ (f \ x) \rangle$$

= $\langle f \ x \to f \ (f \ x) \rangle \ \langle x \to \text{false} \rangle \ \text{true}$
= $\langle x \to \langle x \to \text{false} \rangle \ (\langle x \to \text{false} \rangle \ x) \rangle \ \text{true}$
= $\langle x \to \langle x \to \text{false} \rangle \ \text{false} \rangle \ \text{true}$
= $\langle x \to \text{false} \rangle \ \text{true}$
= false

(An alternative way to define **times** is as $\langle m \ n \to m \ (\mathbf{plus} \ n) \ \mathbf{0} \rangle$. Check that **times 2 3 = 6** with this definition.)

Defining a predecessor function is a bit more challenging. Predecessor takes a nonzero natural number n and returning n-1. There are several ways of defining such a function; here is probably the simplest:

$$\mathbf{pred} = \langle n \to \langle f | x \to n | \langle g | h \to h | (g | f) \rangle | \langle u \to x \rangle | \langle u \to u \rangle \rangle \rangle$$

$$\begin{aligned} \mathbf{pred} \ \mathbf{2} &= & \langle n \to \langle f \ x \to n \ \langle g \ h \to h \ (g \ f) \rangle \ \langle u \to x \rangle \ \langle u \to u \rangle \rangle \rangle \ \langle f \ x \to f \ (f \ x) \rangle \\ &= & \langle f \ x \to \langle f \ x \to f \ (f \ x) \rangle \ \langle g \ h \to h \ (g \ f) \rangle \ \langle u \to x \rangle \ \langle u \to u \rangle \rangle \\ &= & \langle f \ x \to \langle x \to \langle g \ h \to h \ (g \ f) \rangle \ (\langle g \ h \to h \ (g \ f) \rangle \ \langle u \to x \rangle) \rangle \ \langle u \to u \rangle \rangle \\ &= & \langle f \ x \to \langle g \ h \to h \ (g \ f) \rangle \ (\langle h \to h \ (\langle u \to x \rangle \ f) \rangle) \rangle \ \langle u \to u \rangle \\ &= & \langle f \ x \to \langle g \ h \to h \ (g \ f) \rangle \ \langle h \to h \ x \rangle \rangle \ \langle u \to u \rangle \\ &= & \langle f \ x \to \langle h \to h \ (\langle h \to h \ x \rangle \ f) \rangle \rangle \ \langle u \to u \rangle \\ &= & \langle f \ x \to \langle h \to h \ (f \ x) \rangle \rangle \ \langle u \to u \rangle \\ &= & \langle f \ x \to \langle u \to u \rangle \ (f \ x) \rangle \\ &= & \langle f \ x \to f \ x \rangle \\ &= & 1 \end{aligned}$$

Note that **pred 0** is just **0**:

pred 0 =
$$\langle n \to \langle f | x \to n \langle g | h \to h \langle g | f \rangle \rangle \langle u \to x \rangle \langle u \to u \rangle \rangle \rangle \langle f | x \to x \rangle$$

= $\langle f | x \to \langle f | x \to x \rangle \langle g | h \to h \langle g | f \rangle \rangle \langle u \to x \rangle \langle u \to u \rangle \rangle$

$$= \langle f \ x \to \langle x \to x \rangle \ \langle u \to x \rangle \ \langle u \to u \rangle \rangle$$

$$= \langle f \ x \to \langle u \to x \rangle \ \langle u \to u \rangle \rangle$$

$$= \langle f \ x \to x \rangle$$

$$= \mathbf{0}$$

Encoding pairs. A pair is just a packaging up of two terms in such a way that we can recover the two terms later on.

$$\mathbf{pair} = \langle x \ y \to \langle s \to s \ x \ y \rangle \rangle$$
$$\mathbf{first} = \langle p \to p \ \langle x \ y \to x \rangle \rangle$$
$$\mathbf{second} = \langle p \to p \ \langle x \ y \to y \rangle \rangle$$

It is easy to check that this works as advertised:

first (pair
$$a \ b$$
) = $\langle p \to p \ \langle x \ y \to x \rangle \rangle$ ($\langle x \ y \to \langle s \to s \ x \ y \rangle \rangle$ $a \ b$)
= $\langle p \to p \ \langle x \ y \to x \rangle \rangle$ ($\langle y \to \langle s \to s \ a \ y \rangle \rangle$ b)
= $\langle p \to p \ \langle x \ y \to x \rangle \rangle$ $\langle s \to s \ a \ b \rangle$
= $\langle s \to s \ a \ b \rangle$ $\langle x \ y \to x \rangle$
= $\langle x \ y \to x \rangle$ $a \ b$
= $\langle y \to a \rangle$ b
= a

second (pair
$$a$$
 b) = $\langle p \to p \ \langle x \ y \to y \rangle \rangle$ ($\langle x \ y \to \langle s \to s \ x \ y \rangle \rangle$ a b)
= $\langle p \to p \ \langle x \ y \to y \rangle \rangle$ ($\langle y \to \langle s \to s \ a \ y \rangle \rangle$ b)
= $\langle p \to p \ \langle x \ y \to y \rangle \rangle$ $\langle s \to s \ a \ b \rangle$
= $\langle s \to s \ a \ b \rangle$ $\langle x \ y \to y \rangle$
= $\langle x \ y \to y \rangle$ a b
= $\langle y \to y \rangle$ b
= b

Recursion. With conditionals and basic data types, we are very close to having a Turing-complete programming language (that is, one that can simulate Turing machines). All that is missing is a way to do loops. It turns out we can write recursive functions in the λ -calculus, which is sufficient to give us loops.

Consider factorial. Intuitively, we would like to define **fact** by

$$\mathbf{fact} = \langle n \to (\mathbf{iszero?} \ n) \ \mathbf{1} \ (\mathbf{times} \ n \ (\mathbf{fact} \ (\mathbf{pred} \ n))) \rangle$$

but this is not a valid definition, since the right-hand side refers to the term being defined. It is really an *equation*, the same way x = 3x is an equation. Consider that equation, x = 3x. Define F(x) = 3x. Then, a solution of x = 3x is really a fixed-point of F, namely, a value x_0 for which $F(x_0) = x_0$. And F has only one fixed-point, namely $x_0 = 0$, which gives us the one solution to x = 3x, namely x = 0.

Similarly, if we define

$$F_{fact} = \langle f \rightarrow \langle n \rightarrow (\mathbf{iszero?} \ n) \ \mathbf{1} \ (\mathbf{times} \ n \ (f \ (\mathbf{pred} \ n))) \rangle \rangle$$

then we see that the definition that we're looking for is a fixed-point of F_{fact} , namely, a term \mathbf{f} such that F_{fact} $\mathbf{f} = \mathbf{f}$. Indeed, if we have such a term, then:

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egin{array}{ll} \mathbf{f} & \mathbf{3} = F_{fact} \ \mathbf{f} \ \mathbf{3} = \langle f 
ightarrow \langle n 
ightarrow (\operatorname{iszero?} n) \ \mathbf{1} \ (\operatorname{times} \ n \ (f \ (\operatorname{pred} \ n))) 
angle 
angle \ \mathbf{f} \ \mathbf{3} = \langle n 
ightarrow (\operatorname{iszero?} n) \ \mathbf{1} \ (\operatorname{times} \ n \ (\operatorname{f} \ (\operatorname{pred} \ n))) 
angle \ \mathbf{3} = (\operatorname{iszero?} \ \mathbf{3}) \ \mathbf{1} \ (\operatorname{times} \ \mathbf{3} \ (\operatorname{f} \ (\operatorname{pred} \ \mathbf{3})) = \operatorname{times} \ \mathbf{3} \ (\operatorname{f} \ (\operatorname{pred} \ \mathbf{3})) = \operatorname{times} \ \mathbf{3} \ (\operatorname{f} \ \mathbf{2}) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{f} \ \mathbf{1})) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{times} \ \mathbf{1} \ (\operatorname{f} \ \mathbf{1}))) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{times} \ \mathbf{1} \ (\operatorname{f} \ \mathbf{1}))) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{times} \ \mathbf{1} \ (\operatorname{f} \ \mathbf{1}))) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{times} \ \mathbf{1} \ (\operatorname{f} \ \mathbf{1}))) = \operatorname{times} \ \mathbf{3} \ (\operatorname{times} \ \mathbf{2} \ (\operatorname{times} \ \mathbf{1} \ \mathbf{1})) = \mathbf{6} \end{array}
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(I coalesced together quite a few simplification steps in the above, for the sake of space.)

Thus, what we need is a way to find fixed-points in the λ -calculus. The following function does just that, for any term of the λ -calculus:

$$Y = \langle f \to \langle x \to f(x x) \rangle \langle x \to f(x x) \rangle \rangle$$

YG gives us a fixed-point of G:

First, note that

$$YG = \langle f \to \langle x \to f (x x) \rangle \langle x \to f (x x) \rangle \rangle G$$

$$= \langle x \to G (x x) \rangle \langle x \to G (x x) \rangle$$

$$= G (\langle x \to G (x x) \rangle \langle x \to G (x x) \rangle)$$

And therefore

$$YG = G (\langle x \to G (x x) \rangle \langle x \to G (x) \rangle)$$

$$= G (G (\langle x \to G (x x) \rangle \langle x \to G (x) \rangle))$$

$$= G (YG)$$

So indeed, $\langle x \to G (x x) \rangle \langle x \to G (x x) \rangle$ is a fixed-point of G.

We can use Y to define our factorial function:

$$\mathbf{fact} = Y \ F_{fact}$$

By the above derivation, we know that

$$\mathbf{fact} = \langle x \to F_{fact} \ (x \ x) \rangle \ \langle x \to F_{fact} \ (x \ x) \rangle$$
$$\mathbf{fact} = F_{fact} \ \mathbf{fact}$$

and thus:

fact
$$3 = Y F_{fact} 3$$

$$= \langle f \rightarrow \langle x \rightarrow f \ (x \ x) \rangle \ \langle x \rightarrow f \ (x \ x) \rangle \rangle F_{fact} 3$$

$$= \langle x \rightarrow F_{fact} \ (x \ x) \rangle \ \langle x \rightarrow F_{fact} \ (x \ x) \rangle 3$$

$$= F_{fact} \ (\langle x \rightarrow F_{fact} \ (x \ x) \rangle \ \langle x \rightarrow F_{fact} \ (x \ x) \rangle) 3$$

$$= F_{fact} \ \text{fact } 3$$

$$= \langle f \rightarrow \langle n \rightarrow (\text{iszero? } n) \ 1 \ (\text{times } n \ (f \ (\text{pred } n))) \rangle \text{ fact } 3$$

$$= \langle n \rightarrow (\text{iszero? } n) \ 1 \ (\text{times } n \ (\text{fact } (\text{pred } n))) \rangle 3$$

$$= (\text{iszero? } 3) \ 1 \ (\text{times } 3 \ (\text{fact } (\text{pred } 3)))$$

$$= \text{times } 3 \ (\text{fact } 2)$$

$$= \text{times } 3 \ (\text{fact } 2)$$

$$= \text{times } 3 \ (\text{times } 2 \ (\text{fact } 1))$$

$$= \text{times } 3 \ (\text{times } 2 \ (\text{times } 1 \ (\text{fact } 1)))$$

$$= \text{times } 3 \ (\text{times } 2 \ (\text{times } 1 \ (\text{fact } 1)))$$

$$= \text{times } 3 \ (\text{times } 2 \ (\text{times } 1 \ (\text{fact } 1)))$$

$$= \text{times } 3 \ (\text{times } 2 \ (\text{times } 1 \ (\text{fact } 1)))$$

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