# Notes on Compilation

Programming Languages

November 1 & 8, 2016

### **Optimizing Interpretation**

We've now essentially seen everything that pertains to interpretation. Sure, there are features that may be difficult to implement, but the basic infrastructure of interpretation the way we have it — parse surface syntax into abstract representation, possibly performing front-end transformations along the way, and then recursively evaluate the abstract representation to obtain a result — can handle most scenarios.

What we'll focus from now is not so much features of the language to be interpreted, but rather addressing the efficiency aspects of interpretation. To put it bluntly, our interpreters work, but they are abysmally slow. There are two ways to improve that:

- 1. Optimizing the abstract representation;
- 2. Translating the abstract representation into something that is easier and faster to execute this leads to compilation.

Let's look at optimizing the abstract representation. There are some low-lying fruit there.

For instance, last lecture, we saw the CPS transformation that takes a program and transforms it into one where every function call, instead of returning a value, calls a continuation with the resulting value. A continuation is a function that captures the "rest of the computation".

I gave you a mathematical definition of the transformation, and my sample code added a method cps() to every Expression node in the abstract representation that performed the given transformation. (While I defined the CPS transformation on the surface syntax, it should be clear that it could be performed on the abstract representation.)

One issue is that the transformation that I defined is supremely inefficient. Consider the expression (+ 1 (\* 3 4)). If we apply the CPS transformation I defined to this expression, in the context of a continuation K, the result is basically the following (where I use let to clean up the presentation slightly):

That's silly. And expensive to interpret: every let requires a binding to be added to the environment, every identifier requires a lookup in said environment. If we basically perform a substitution for all the bindings that define a constant value or another identifier, we obtain the much more reasonable expression:

```
(* 3 4 (function (x) (+ 1 x K)))
```

which is the example I gave last time. So an easy way to improve our interpreter is to make sure our CPS translation is less "naive", or to perform some simple substitutions on the result of the transformation. The sample code for this lecture uses the former approach, using a slightly more clever CPS transformation:

```
class ECall (Exp):
    . . .
    def cps (self,k):
        vars_e = [ " _x{}_".format(fresh()) for e in self._args ]
        var_f = " _x{}_".format(fresh())
        args = []
        cont_args = []
        cont_exps = []
        if self._fun.is_basic:
            fun = self._fun
        else:
            fun = EId(var_f)
            cont_args.append(var_f)
            cont_exps.append(self._fun)
        for (var,e) in zip(vars_e,self._args):
            if e.is_basic:
                args.append(e)
            else:
                args.append(EId(var))
                cont_args.append(var)
```

```
cont_exps.append(e)
result = ECall(fun,args + [k])
for (var,exp) in reversed(zip(cont_args,cont_exps)):
    result = exp.cps(EFunction([var],result))
return result
```

Basically, every Expression node now has a field <code>is\_basic</code> capturing whether the expression node represents a basic expression (a value or an identifier). Such basic expressions are used directly in the resulting CPS transformed code instead of being passed through a continuation that ultimately puts them in their final spot.

And indeed:

Here are some timing results for an interpreter with the above improved CPS transformation, to give us a baseline.

I'm using the recursive sum function called with 200000 to provide a large enough running time so that we can spot differences and improvements.

Another potential target for improvement is identifier lookup, at least if we use an array-based environment of the kind I've been using in my sample code.<sup>1</sup>. Right now, in our

<sup>&</sup>lt;sup>1</sup>If we use a dictionary-based environment, then the Python implementation of dictionaries is doing the heavy lifting of identifier lookup, and we don't need what I'm talking about in this section. This is another case of a feature of the object language (identifier lookup) modeled by a feature of the metalanguage. If we did not want to rely on that feature of the metalanguage, then we can use the technique described here.

interpreter, whenever we evaluate an identifer, we need to look it up in the environment. In the course of an evaluation, we lookup (search for) identifiers in the environment frequently. For instance, in the course of evaluating (sum 200000) above, we perform 3,800,011 identifier evaluations — that is 3,800,011 times we search for an identifier in the environment. That's a bit silly, because it turns out that we can predict exactly where in the environment any identifier will be. That's the whole point of the static binding discipline we've been using: we can tell statically, by looking at the code, which binding is going to hold the value of the identifier.

We can perform an analysis, without executing the code, that will tell us the shape that the environment will take when we evaluate every expression in our code. We can use this information to transform every EId(n) the abstract representation into an EIdIndex(i), which takes an integer, and simply pulls out the *i*th element of the environment, without having to search through the environment. Here is the code for EIdIndex:

```
class EIdIndex (Exp):
    # identifier without lookup

def __init__ (self,index):
    self._index = index
    self.expForm = "EIdIndex"
    self.is_basic = True

def eval (self,env):
    return eval_iter(self,env)
```

and the corresponding code in eval\_iter() that defines evaluation for EldIndex nodes:

. . .

You can see the contrast with EId – evaluation for EIdIndex should be faster.

Here's the idea. We're going to define a new Expression node method, called *compile\_env()*, that transforms the current node into a new node in which every EId has been replaced by a corresponding EIdIndex. We need to supply enough information for compile\_env() to be able to determine the index of every identifier in the environment. We're going to do so by building, as we're translating and digging down into subexpressions, a *symbol table* that basically corresponds to the environment as it will look when the expression is eventually evaluated. That symbol table only contains the identifiers themselves, and not the values, of course. (The values bound to the identifiers will only be known when the code evaluates, and we're not evaluating here, just looking at the source code to try to predict the shape of the environment.)

The initial symbol table just is a list of the identifiers in the initial environment. Here are the definitions for compile\_env() for each Expression node:

```
class EValue (Exp):
    ...
    def compile_env (self,symtable):
        return self

class EPrimCall (Exp):
    ...
    def compile_env (self,symtable):
        exps = [ exp.compile_env(symtable) for exp in self._exps ]
        return EPrimCall(self._prim,exps)

class EIf (Exp):
    ...
    def compile_env (self,symtable):
        condexp = self._cond.compile_env(symtable)
        thenexp = self._then.compile_env(symtable)
        elseexp = self._else.compile_env(symtable)
        return EIf(condexp,thenexp,elseexp)
```

```
class EId (Exp):
   def compile_env (self,symtable):
        for (index,name) in reversed(list(enumerate(symtable))):
            if name == self._id:
                return EIdIndex(index)
        raise Exception("Error: unbound identifier {}".format(self._id))
class ECall (Exp):
   def compile_env (self,symtable):
        fun = self._fun.compile_env(symtable)
        args = [ exp.compile_env(symtable) for exp in self._args ]
        return ECall(fun,args)
class EFunction (Exp):
   def compile_env (self,symtable):
        rec_name = [ self._name ] if self._name else []
        body = self._body.compile_env(symtable+rec_name+self._params)
        return EFunction(self._params,body,self._name)
```

To see how this is used, here is how to invoke compile\_env() in the shell to transform the code before evaluating it:

```
def shell_compenv ():
    ...
    env = initial_env_compenv()
    symtable = [ name for (name,_) in env ]
    ...
    result = parse(inp)
    if result["result"] == "expression":
        exp = result["expr"]
        with Timer() as timer:
```

We get the expression from the parser, we transform it to continuation-passing style, we transform it via compile\_env(), and then we evaluate it.

The results are promising:

So we shaved off nearly 1.5 seconds, so about 15% of the evaluation time. Pretty good for something easy to implement.

This is by way of example of how we can improve the efficiency of our interpreter by doing analyses that let us precompute or reduce the amount of work that the interpreter needs to do. This is especially important when evaluating function definitions: functions are parsed and transformed and stored in the environment in this transformed way, and we gain the benefit of the transformation every time we invoke the function.

Other obvious improvements include simplifying expressions involving constants, such as simplifying (\* 2 3) to 6, or ((function (x) (+ x 1)) a) to (+ a 1). But rather than looking at such transformations now, let's postpone them until we see compilation.

# Introduction to Compilation

The other to improve the efficiency of interpretation is to convert the abstract representation into another representation that is even easier and faster to execute. This process, when this other representation is low-level enough, is called *compilation*. A compiler is a program that takes surface syntax and produces a low-level representation that can be executed efficiently.

The low-level representation used by compiler is often called an *abstract (or virtual) machine*. There are two main classes of abstract machines used: stack machines, and register machines. One difference between abstract machines and the abstraction representations we've been using in our interpreters is that code for abstract machines is generally not recursive.

Stack machines are easier to understand, at least at a high level. Here's an example of a simple stack machine that can be used to convert a simple arithmetic surface syntax (which

could be taken to be in an abstract representation such as we've been using). The stack machine consists of a stack that holds integers, and the instructions of the stack machines include:

- n: which is an instruction to push integer n on the stack;
- +: which is an instruction to pop two integers off the stack, add them, and push the result on the stack;
- \*: which is an instruction to pop two integers off the stack, multiply then, and push the result on the stack.

Given this, here is a simple transformation function that takes an arithmetic expression and transforms it into a sequence of instructions for the stack machine:

Transforming (+ 1 (\* 3 4)), for example, yields:

The sequence of stack machine instructions  $1\ 3\ 4\ \otimes\ \oplus$  pushes 1, 3, and 4 on the stack, then pops 3 and 4 and multiples them together to put 12 on the stack, and then pops 12 and 1 to put 13 on the stack. The result of the evaluation is sitting on top of the stack: 13.

The other kind of abstract machine is a *register machine*. The idea is modeled after CPUs, which execute instructions stored in an array (the memory) and uses registers to store temporary values. This is the representation we will use as the target of our compilation. Next time, we will define a way to translate our abstract representation into the register machine I'll presently introduce.

The register machine uses an array of instructions, with some occasional values (representing integers, Booleans, and closures) and primitive operations in the mix. I'm going to call the array code. Position in the array are called *addresses*.

The registers of the machine are

- PC: holds the address of the instruction to execute next;
- ADDR: holds an address

• ENV: holds an environment (just an array of values)

• ARGS: holds an array of values

• RESULT: holds a value

#### Here are the instructions:

- RETURN: stops execution and returns the value in RESULT
- LOAD: puts the value at address PC + 1 in RESULT
- LOAD-ADDR: puts the integer at PC + 1 in ADDR
- LOOKUP: puts the value in ENV at index given by the integer at PC + 1 in RESULT
- CLEAR-ARGS: clears the ARGS array
- PUSH-ARGS: adds the content of RESULT to the end of ARGS
- $\bullet$  PRIM-CALL: calls the primitive operation at PC + 1 with arguments given by ARGS and puts the result in RESULT
- PUSH-ENV: adds the content of RESULT to the end of ENV
- PUSH-ENV-ARGS: appends the content of ARGS to the end of ENV
- JUMP: sets PC to the content of ADDR
- JUMP-TRUE: sets PC to the content of ADDR if RESULT contains Boolean value true
- LOAD-FUN: creates a closure<sup>2</sup> value out the ADDR and ENV and puts it in RESULT
- LOAD-ADDR-ENV: pulls out the address and environment in a closure in RESULT and puts them in ADDR and ENV, respectively

After every instruction, PC is incremented to point to the next memory location (or the one after if the instruction uses the value at PC + 1), unless a jump is involved.

It looks complicated, but in the end, it is a fairly simple machine that is well suited to our abstract representation. Here is a simple sequence of instructions to compute (+ 1 (\* 3 4)):

<sup>&</sup>lt;sup>2</sup>In this register machine, a closure is a pair of an address and an environment. Contrast with the definition of a closure in our abstract representation which is a function (parameters and body) and an environment.

```
0000
     LOAD
0001
      3
      PUSH-ARGS
0002
0003
      LOAD
0004
      4
                    # ARGS is now [3,4]
0005
      PUSH-ARGS
0006
      PRIM-CALL
                    # RESULT is now 12
0007
      oper_times
8000
      CLEAR_ARGS
0009
      PUSH_ARGS
0010
      LOAD
0011
0012
      PUSH_ARGS
                    # ARGS is now [12,1]
0013
      PRIM-CALL
                    # RESULT IS now 13
0014
      oper_plus
0015
      RETURN
```

#### Simple enough.

Here is a more complicated example that computes:

The recursive call is mediated by a closure with address 0008 and an empty environment. That closure is created at address 0008, and is immediately stored in ENV at position 0. The "recursive call" to that closure happens at addresses 51-54, which loads the closure and jumps to the closure's address.

```
0000
      LOAD
0001
      200000
      PUSH-ARGS
0002
0003
      LOAD
0004
0005
      PUSH-ARGS
0006
      LOAD-ADDR
0007
      8
8000
      LOAD-FUN
0009
      PUSH-ENV
0010
      PUSH-ENV-ARGS
      CLEAR-ARGS
0011
0012
     LOOKUP
```

- 0013 1
- 0014 PUSH-ARGS
- 0015 PRIM-CALL
- 0016 oper\_zero
- 0017 LOAD-ADDR
- 0018 55
- 0019 JUMP-TRUE
- 0020 CLEAR-ARGS
- 0021 LOOKUP
- 0022 1
- 0023 PUSH-ARGS
- 0024 LOAD
- 0025 1
- 0026 PUSH-ARGS
- 0027 PRIM-CALL
- 0028 oper\_minus
- 0029 CLEAR-ARGS
- 0030 PUSH-ARGS
- 0031 PUSH-ENV-ARGS
- 0032 CLEAR-ARGS
- 0033 LOOKUP
- 0034
- 0035 PUSH-ARGS
- 0036 LOOKUP
- 0037 2
- 0038 PUSH-ARGS
- 0039 PRIM-CALL
- 0040 oper\_plus
- 0041 CLEAR-ARGS
- 0042 PUSH-ARGS
- 0043 PUSH-ENV-ARGS
- 0044 CLEAR-ARGS
- 0045 LOOKUP
- 0046 3
- 0047 PUSH-ARGS
- 0048 LOOKUP
- 0049 4
- 0050 PUSH-ARGS
- 0051 LOOKUP
- 0052 0
- 0053 LOAD-ADDR-ENV
- 0054 JUMP

```
0055 LOOKUP
0056 2
0057 RETURN
```

I claim this is fast to execute. Let's see. I've implemented a simple execute() function to execute code in this abstract machine — see the sample code. A function test() basically runs the code above, except that the integer at address 0001 is taken from the argument to test:

```
>>> test(200000)
Eval time: 2.51s
20000100000
```

Bam. Faster.

## A Simple Compiler

Let's look at a simple example. Consider the code (+ 1 (+ 2 3)). What is the best code we can write directly in the register machine to compute this? One approach is the following, which respects the fact that evaluation order has you evaluating (+ 2 3) before evaluating (+ 1 ...):

```
LOAD
2
PUSH-ARGS
LOAD
PUSH-ARGS
PRIM-CALL
oper_plus
PUSH-ENV
CLEAR-ARGS
LOAD
PUSH-ARGS
LOOKUP
PUSH-ARGS
PRIM-CALL
oper_plus
RETURN
```

(Since the addresses are not important here, I'm dropping them.)

Question: how can we compile (+ 1 (+ 2 3)) such that we produce the above, or something similar? As a first step, note that we're compiling a CPS translation of this expression:

```
(+ 2 3 (function (x) (+ 1 x *DONE*)))
```

where \*DONE\* is a pre-defined continuation that simply returns its argument. And in fact, we are compiling the abstract representation, so:

and in fact, we are compiling a form where every EId is converted to an EIdIndex with an index into the environment:

(This assumes an initial environment with only + at index 0 and \*DONE\* at index 1.)

Here's a fairly simple compilation function, that converts abstract representation into register machine code. The invariant is that values (EValue, EIdIndex, and EFunction) translate to machine code that finishes with the value in the RESULT register. Note that the CPS transformation ensures that the arguments to function calls are either values or identifiers, and that ECall and EIf never actually return a value, but always call their continuations with their result.

The compilation is given by a function  $\mathcal{C}[-]$  that returns register machine code.

```
\mathcal{C}[\![	exttt{EValue}(v)]\!] = 	exttt{LOAD}\ v \mathcal{C}[\![	exttt{EIdIndex}(i)]\!] = 	exttt{LOOKUP}\ i
```

```
\mathcal{C} \llbracket \texttt{EFunction}(params,body,\texttt{None}) \rrbracket = \texttt{LOAD-ADDR} @after \\ \texttt{JUMP} \\ \# fun \\ \texttt{PUSH-ENV-ARGS} \\ \mathcal{C} \llbracket body \rrbracket \\ \# after \\ \texttt{LOAD-ADDR} @fun \\ \texttt{LOAD-FUN} \\ \end{gathered}
```

Here, I'm using @XYZ as "the address of #XYZ", instead of hard-wiring addresses into the translation. A pass called *assemble* in the sample code I gave you converts these labels into actual addresses. Of course, every time this compilation function is invoked, a fresh pair of labels for *fun* and *after* need to be used so as not to clash with other compiled functions.

For recursive functions, things are similar, except that the function itself is put in the environment before the body of the function is executed, to reflect the way evaluation works in the interpreter:

```
\begin{split} \mathcal{C}[\![\mathtt{EIf}(cond,then,else)]\!] = & \mathcal{C}[\![cond]\!] \\ \mathtt{LOAD-ADDR} @thenpart \\ \mathtt{JUMP-TRUE} \\ & \mathcal{C}[\![else]\!] \\ \#thenpart \\ & \mathcal{C}[\![then]\!] \end{split}
```

Let's see what this produces when we apply it to our (+ 1 (+ 2 3)) example.

```
CLEAR-ARGS
 LOAD
 2
 PUSH-ARGS
 LOAD
 PUSH-ARGS
 LOAD-ADDR
 @A6
 JUMP
#B7
 PUSH-ENV-ARGS
 CLEAR-ARGS
 LOAD
 1
 PUSH-ARGS
 LOOKUP
```

```
4
PUSH-ARGS
LOOKUP
0
PUSH-ARGS
LOOKUP
1
LOAD-ADDR-ENV
JUMP
#A6
LOAD-ADDR
@B7
LOAD-FUN
PUSH-ARGS
LOOKUP
1
LOAD-ADDR-ENV
JUMP
```

(Again, this is using @A6 as the address of label #A6, rather than explicit addresses, so that the code is easier to understand.)

This doesn't look so great. That's a lot of code. And if we run some benchmarking, we see that we're not doing much better than the interpreted version with indices into the environment instead of identifier lookup. Here is the baseline, running the sum of all numbers up to 200000 in the interpreter that compiles all EIds to EIdIndexes:

Here is the version that compiles and then executes:

```
result
(s (- n 1) (+ result n)))))
(sum 200000 0))
Eval time: 5.846s
20000100000
```

Better, but not much.

If we compare this code with the code we wrote by hand, we note that in our hand-written code, we called primitive operations directly. Here, we call the closure + that's in the environment, which holds the address of some pre-compiled code that does the actual call to the primitive oper\_plus operation. (The pre-compiled code was written by hand.)

So one way we could improve things is to recognize when we're making a call to a primitive operation. We can do so by recognizing when the index of an identifier in function call position is the index corresponding to a primitive function. We can figure that out because we know what the initial environment looks like.

If we assume that oper[i] holds the primitive operation function that corresponds to index i, then we can write a special case of  $\mathcal{C}[-]$  when the function call is an index to a primitive operation (the previous compilation function applies in all other cases):

```
 \begin{split} \mathcal{C}[\![\mathsf{ECall}(\mathsf{EIdIndex}(i_p),[e_1,\ldots,e_k])]\!] =& \mathsf{CLEAR-ARGS} \\ \mathcal{C}[\![e_1]\!] \\ \mathsf{PUSH-ARGS} \\ \dots \\ \mathcal{C}[\![e_{k-1}]\!] \\ \mathsf{PUSH-ARGS} \\ \mathsf{PRIM-CALL} \ oper[i_p] \\ \mathsf{CLEAR-ARGS} \\ \mathsf{PUSH-ARGS} \\ \mathsf{PUSH-ARGS} \\ \mathsf{PUSH-ARGS} \\ \mathsf{C}[\![e_k]\!] \\ \mathsf{LOAD-ADDR-ENV} \\ \mathsf{JUMP} \end{split}
```

With this addition to the compilation process, the code now generated for  $(+\ 1\ (+\ 2\ 3))$  becomes:

```
CLEAR-ARGS
LOAD
2
PUSH-ARGS
LOAD
3
```

```
PRIM-CALL
 oper_plus
 CLEAR-ARGS
 PUSH-ARGS
 LOAD-ADDR
 @A66
 JUMP
#B67
 PUSH-ENV-ARGS
 CLEAR-ARGS
 LOAD
 1
 PUSH-ARGS
 LOOKUP
 PUSH-ARGS
 PRIM-CALL
 oper_plus
 CLEAR-ARGS
 PUSH-ARGS
 LOOKUP
 LOAD-ADDR-ENV
 JUMP
#A66
 LOAD-ADDR
 @B67
 LOAD-FUN
 LOAD-ADDR-ENV
 JUMP
This looks much better. If we execute this code, we are faster, but still not great.
Lecture 9 - REF Compiled Language (defun, define)
#quit to quit, #abs to see abstract representation and code
ref/comp> (let ((sum (function s (n result)
                          (if (zero? n)
                              result
                              (s (- n 1) (+ result n))))))
              (sum 200000 0))
Eval time: 5.169s
20000100000
```

PUSH-ARGS

Again, let's compare to our hand-written code. The one difference that remains is that in this code we create a function (corresponding to continuation (function (x) (+ 1 x \*DONE))) just to call it immediately. We can save a lot of work by never creating the function in the first place! We can identify that special case and compile it differently. (the previous compilation functions apply in all other cases):

The code produced now is quite close to the one we wrote by hand:

```
CLEAR-ARGS
LOAD
2
PUSH-ARGS
LOAD
PUSH-ARGS
PRIM-CALL
oper_plus
PUSH-ENV
CLEAR-ARGS
LOAD
PUSH-ARGS
LOOKUP
PUSH-ARGS
PRIM-CALL
oper_plus
CLEAR-ARGS
PUSH-ARGS
LOOKUP
3
```

```
LOAD-ADDR-ENV
JUMP
```

And the benchmarks show a running time that is a third of the interpreted one, which is as good as we might expect given that we are running the compiled code using Python!