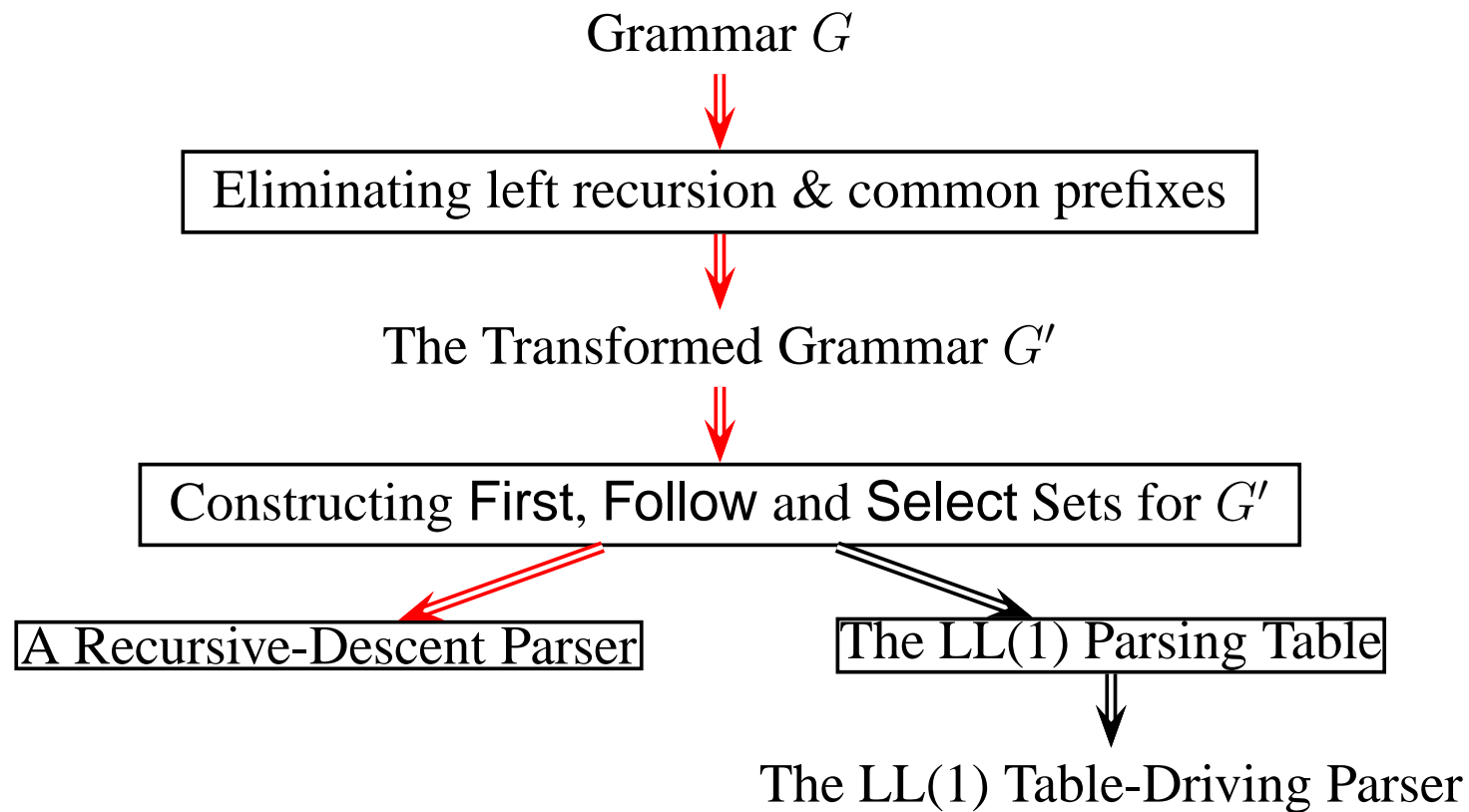


Lecture 4: Top-Down Parsing: Recursive-Descent

1. Compare and contrast top-down and bottom-up parsing
2. Write a predictive (or non-backtracking) top-down parser



The micro-English Grammar Revisited

- 1 $\langle \text{sentence} \rangle \rightarrow \langle \text{subject} \rangle \langle \text{predicate} \rangle$
- 2 $\langle \text{subject} \rangle \rightarrow \mathbf{NOUN}$
- 3 | **ARTICLE NOUN**
- 4 $\langle \text{predicate} \rangle \rightarrow \mathbf{VERB} \langle \text{object} \rangle$
- 5 $\langle \text{object} \rangle \rightarrow \mathbf{NOUN}$
- 6 | **ARTICLE NOUN**

The English Sentence

PETER PASSED THE TEST

The micro-English Grammar Revisited (Cont'd)

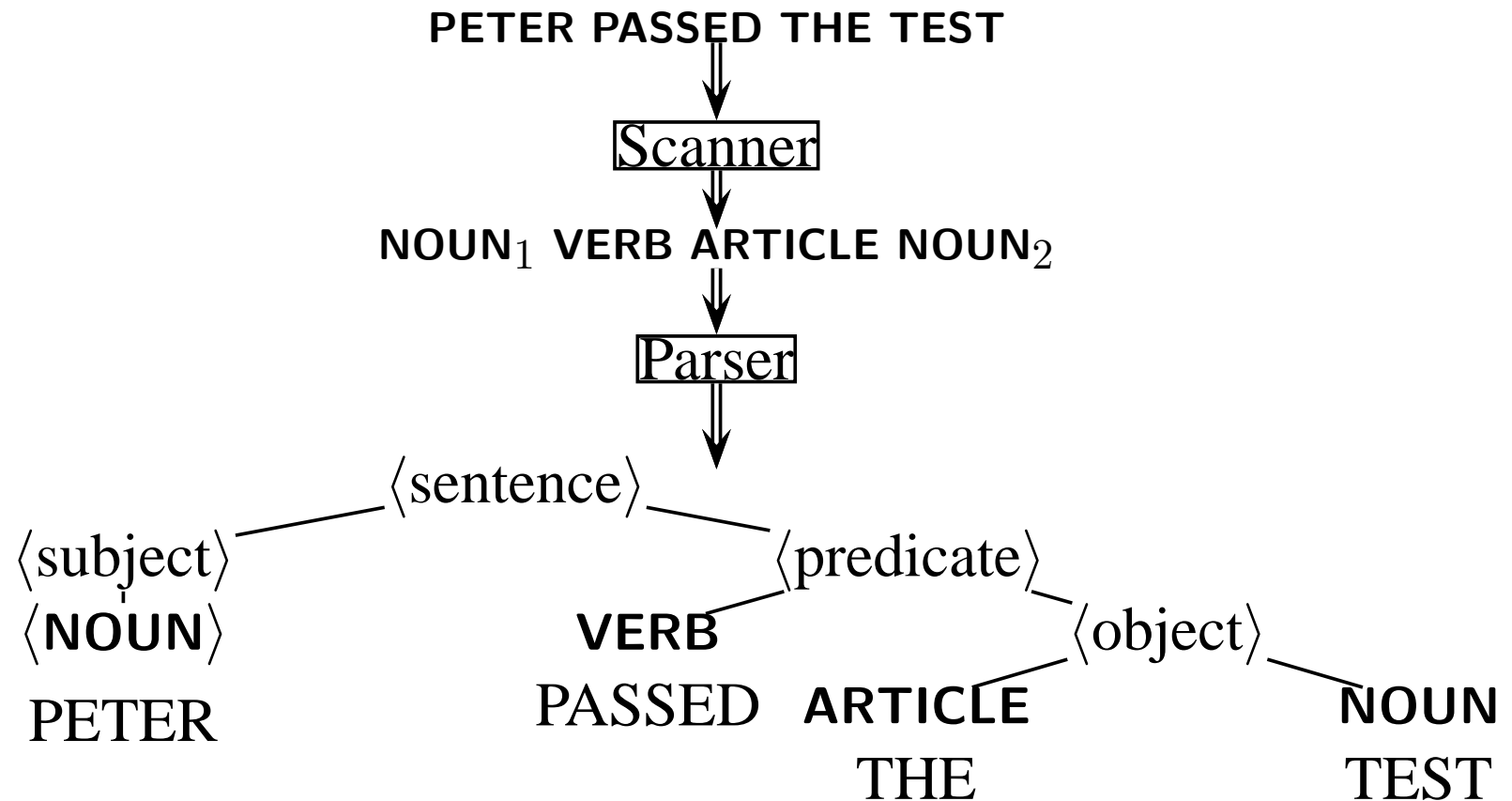
- **The Leftmost Derivation:**

⟨sentence⟩	\Rightarrow_{lm}	⟨subject⟩ ⟨predicate⟩	by P1
	\Rightarrow_{lm}	NOUN ⟨predicate⟩	by P2
	\Rightarrow_{lm}	NOUN VERB ⟨object⟩	by P4
	\Rightarrow_{lm}	NOUN VERB ARTICLE NOUN	by P6

- **The Rightmost Derivation:**

⟨sentence⟩	\Rightarrow_{rm}	⟨subject⟩ ⟨predicate⟩	by P1
	\Rightarrow_{rm}	⟨subject⟩ VERB ⟨object⟩	by P4
	\Rightarrow_{rm}	⟨subject⟩ VERB ARTICLE NOUN	by P6
	\Rightarrow_{rm}	NOUN VERB ARTICLE NOUN	by P2

The Role of the Parser



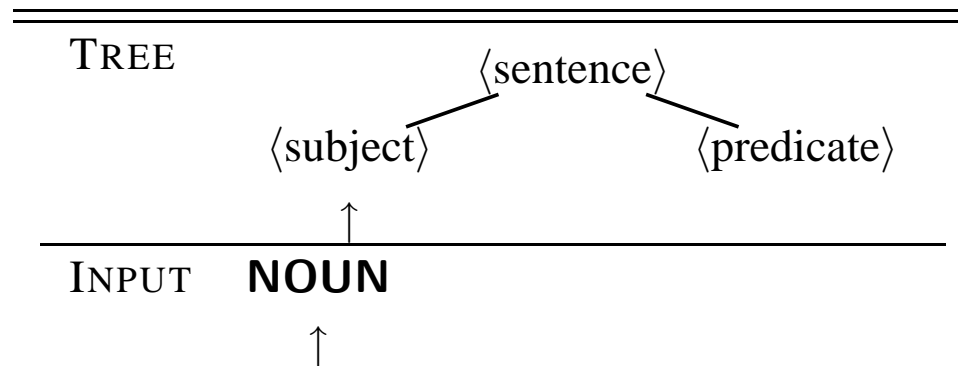
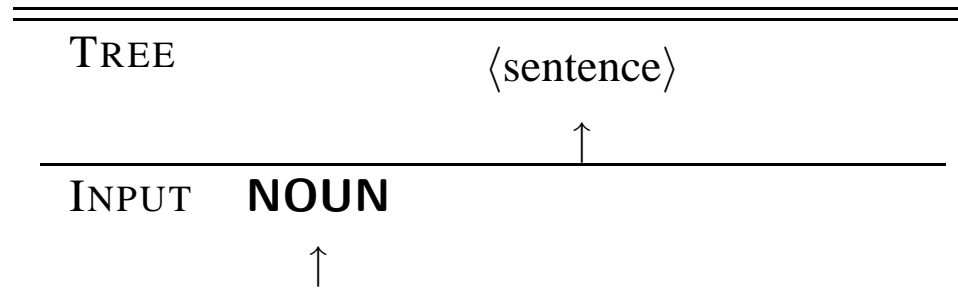
Two General Parsing Methods

1. **Top-down parsing** – Build the parse tree **top-down**:
 - Productions used represent the **leftmost** derivation.
 - The best known and widely used methods:
 - Recursive descent
 - Table-driven
 - **LL(k)** (**L**eft-to-right scan of input, **L**eftmost derivation, **k** tokens of lookahead).
 - Almost all programming languages can be specified by LL(1) grammars, but such grammars may not reflect the structure of a language
 - In practice, LL(k) for small k is used
 - Implemented more easily by hand.
 - Used in parser generators such as **JavaCC**
2. **Bottom-up parsing** – Build the parse tree **bottom-up**:
 - Productions used represent the **rightmost** derivation in reverse.
 - The best known and widely used method: **LR(1)** (**L**eft-to- right scan of input, **R**ightmost derivation in reverse, **1** token of lookahead)
 - More powerful – every LL(1) is LR(1) but the converse is false
 - Used by parser generators (e.g., **Yacc** and **JavaCUP**).

Lookahead Token(s)

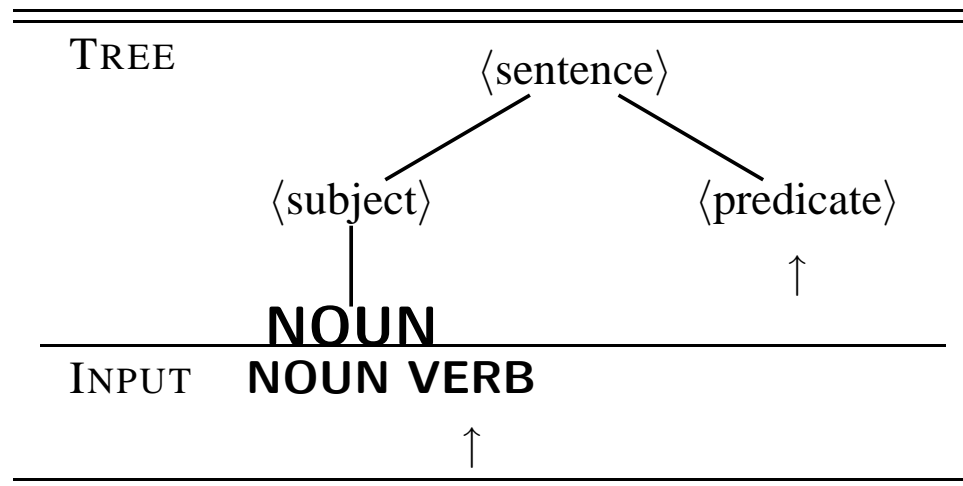
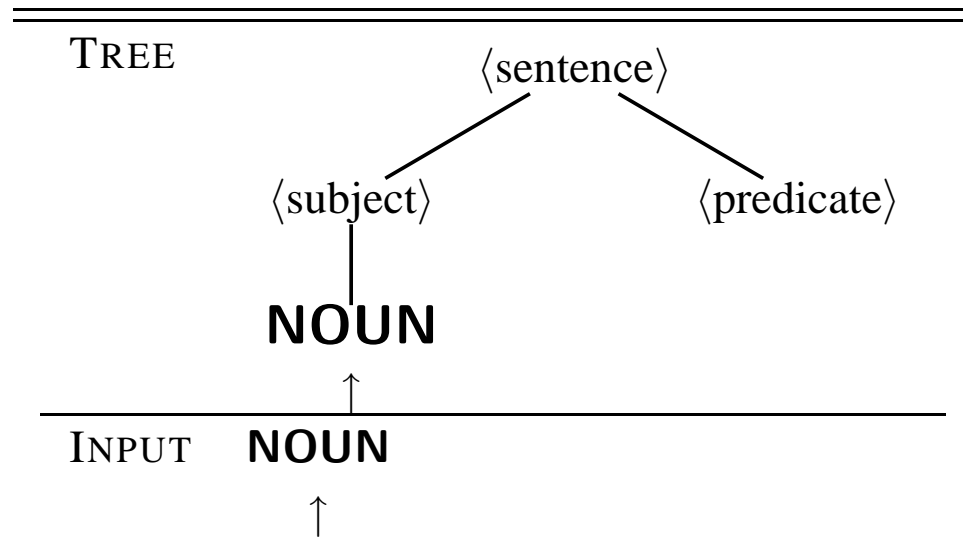
- **Lookahead Token(s)**: The currently scanned token(s) in the input.
- In **Recogniser.java**, **currentToken** represents the lookahead token
- For most programming languages, one token lookahead only.
- Initially, the lookahead token is the leftmost token in the input.

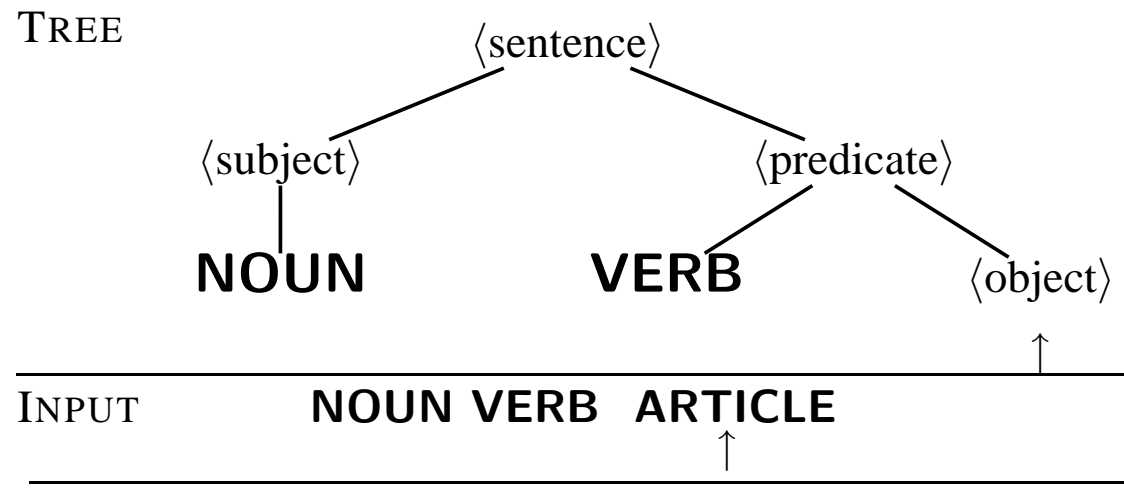
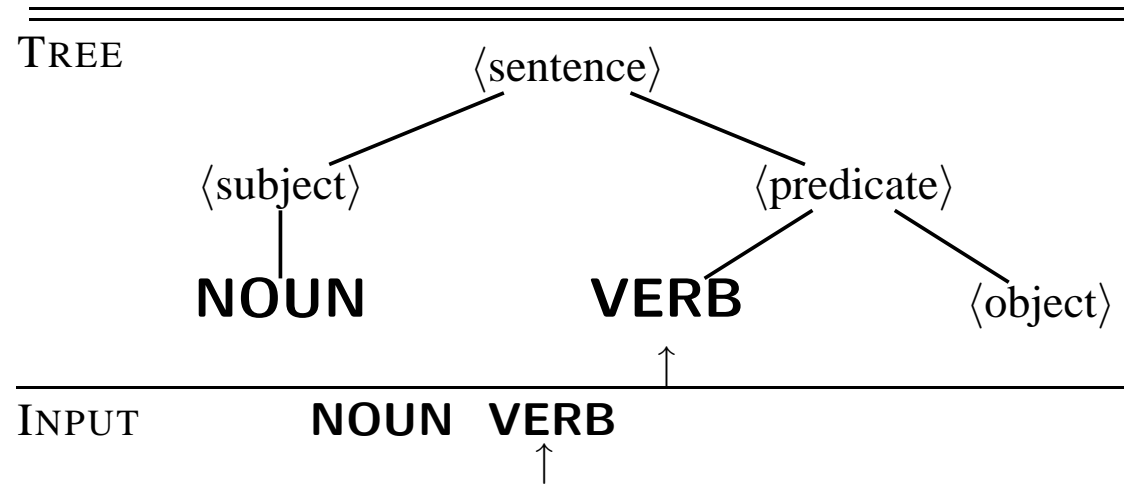
Top-Down Parse Of NOUN VERB ARTICLE NOUN

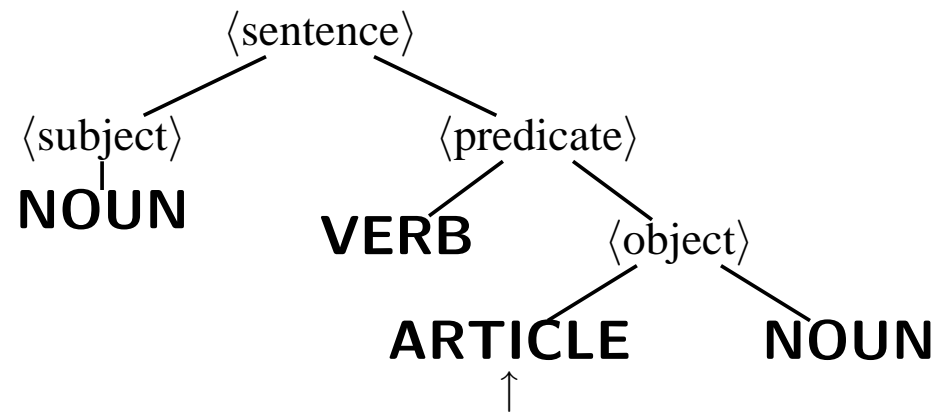


Notations:

- ↑ on the tree indicates the nonterminal being expanded or recognised
- ↑ on the sentence points to the lookahead token
 - All tokens to the **left** of ↑ have been read
 - All tokens to the **right** of ↑ have **NOT** been processed

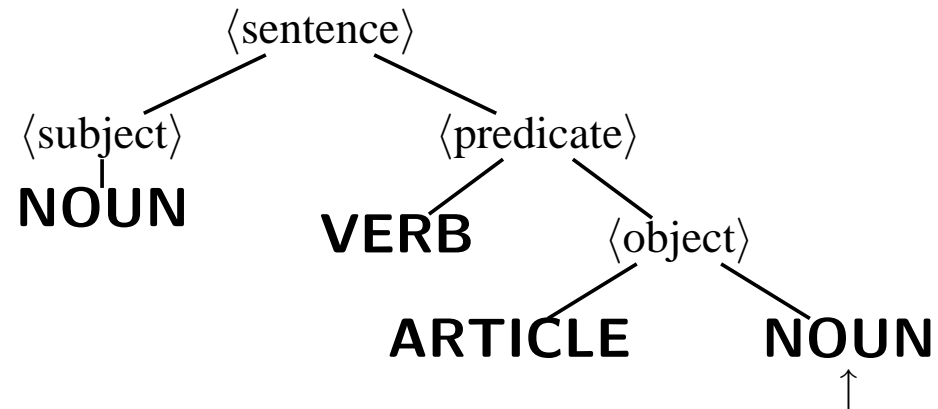




 TREE


 INPUT

 NOUN VERB ARTICLE
 ↑

 TREE


 INPUT

 NOUN VERB ARTICLE NOUN
 ↑

Top-Down Parsing

- Build the parse tree starting with the start symbol (i.e., the root) towards the sentence being analysed (i.e., leaves).
- Use one token of lookahead, in general
- **Discover the leftmost derivation**
I.e, the productions used in expanding the parse tree represent a leftmost derivation

Predictive (Non-Backtracking) Top-Down Parsing

- To expand a nonterminal, the parser always **predict** (choose) the right alternative for the nonterminal by looking at the lookahead symbol only.
- Flow-of-control constructs, with their distinguishing **keywords**, are detectable this way, e.g., in the VC grammar:

```
⟨stmt⟩ → ⟨compound-stmt⟩  
        | if "(" ⟨expr⟩ ")" (ELSE ⟨stmt⟩)?  
        | break ";"  
        | continue ";"  
        ...
```

- **Prediction happens before the actual match begins.**

Bottom-Up Parse Of NOUN VERB ARTICLE NOUN

TREE

INPUT **NOUN**
 ↑

TREE ⟨subject⟩
 |
 NOUN

INPUT **NOUN**
 ↑

TREE ⟨subject⟩
 |
 NOUN

INPUT **NOUN VERB**
 ↑

TREE ⟨subject⟩
 |
NOUN

INPUT **NOUN VERB ARTICLE**
 ↑

TREE ⟨subject⟩
 |
NOUN

INPUT **NOUN VERB ARTICLE NOUN**
 ↑

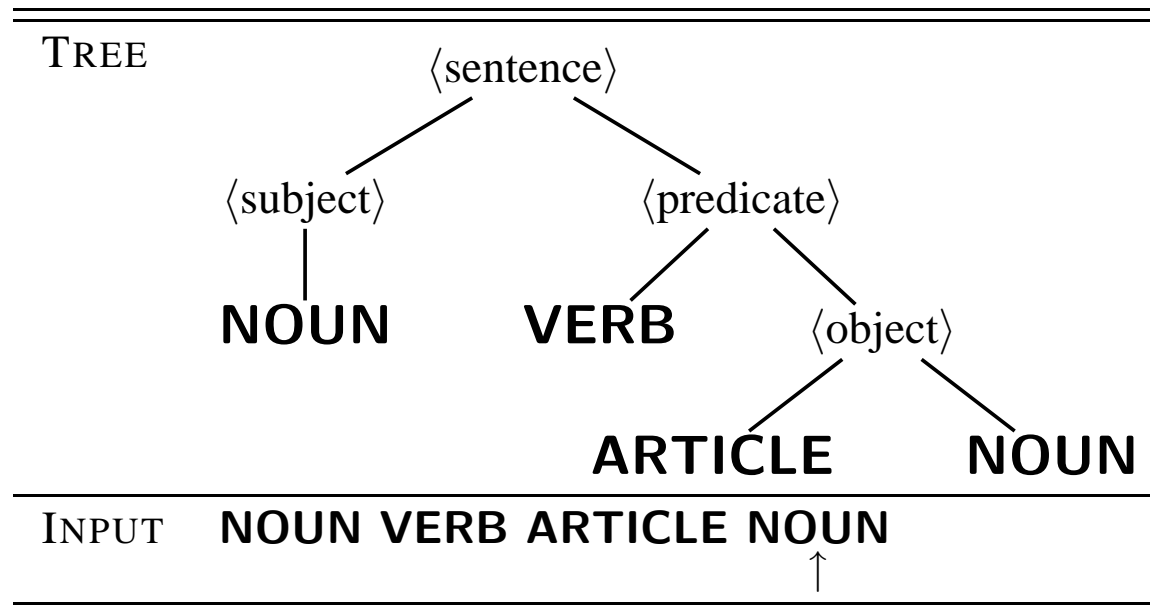
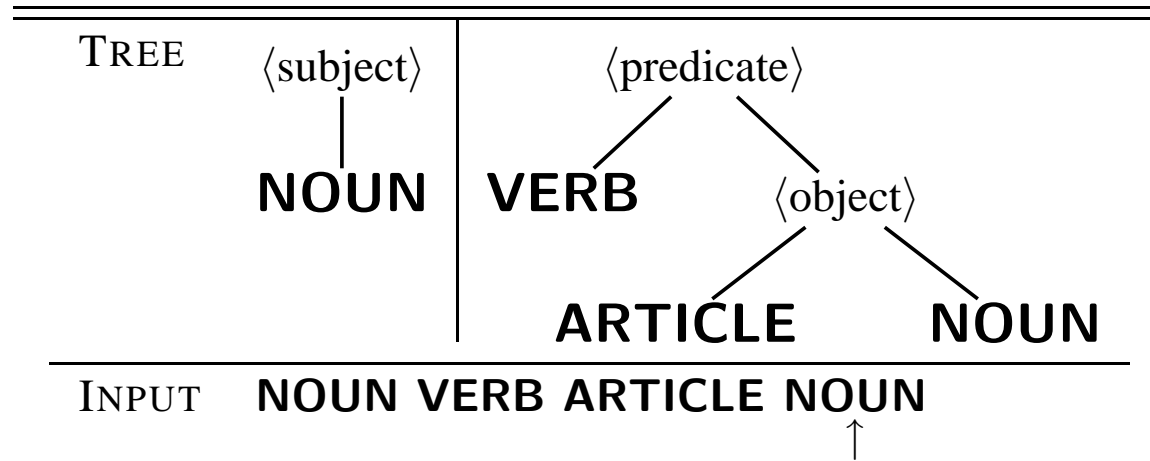
TREE	⟨subject⟩		⟨object⟩
	NOUN	ARTICLE	NOUN

INPUT **NOUN VERB ARTICLE NOUN**
 ↑

Note: What if the parser had chosen ⟨subject⟩ → **ARTICLE NOUN** instead of ⟨object⟩ → **ARTICLE NOUN**?

In this case, the parser would not make any further process.

Having read a ⟨subject⟩ and **VERB**, the parser has reached a state in which it should not parse another ⟨subject⟩.

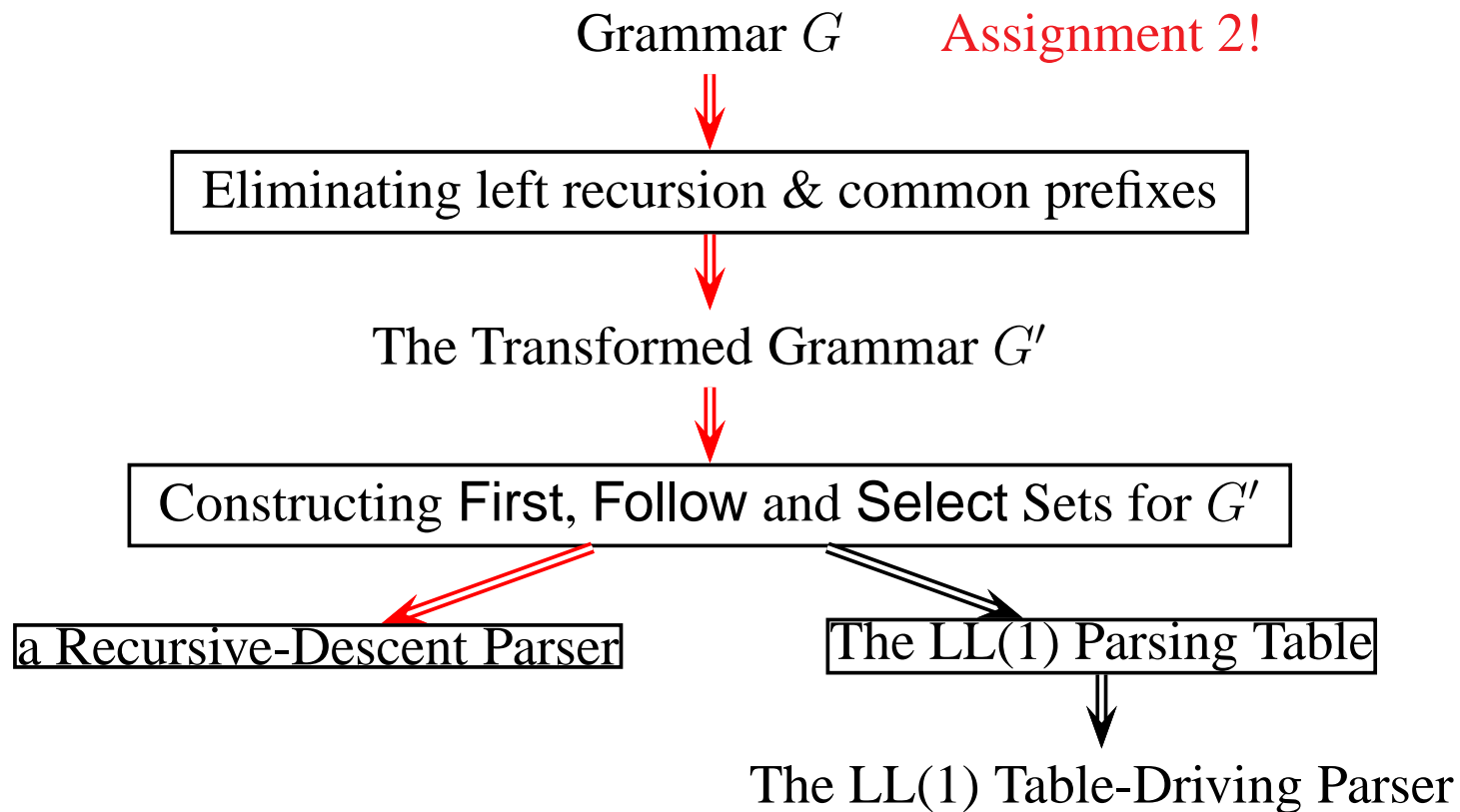


Bottom-Up Parsing

- Build the parse tree starting with the the sentence being analysed (i.e., leaves) towards the start symbol (i.e., the root).
- Use one token of lookahead, in general.
- The basic (smallest) language constructs recognised first, then they are used to discover more complex constructs.
- **Discover the rightmost derivation in reverse** — the productions used in expanding the parse tree represent a rightmost derivation in reverse order

Lecture 4: Top-Down Parsing: Recursive-Descent

1. Compare and contrast top-down and bottom-up parsing ✓
2. Write a predictive (or non-backtracking) top-down parser



Which of the Two Alternatives on S to Choose?

- Grammar:

$$S \rightarrow aA \mid bB$$

$$A \rightarrow \dots$$

$$B \rightarrow \dots$$

- Sentence: $a \dots$
- The leftmost derivation:

$$S \Longrightarrow_{\text{lm}} aA$$

$$\Longrightarrow_{\text{lm}} \dots$$

Select the first alternative aA

Which of the Two Alternatives on S to Choose?

- Grammar:

$$S \rightarrow Ab \mid Bc$$

$$A \rightarrow Df \mid CA$$

$$B \rightarrow gA \mid e$$

$$C \rightarrow dC \mid c$$

$$D \rightarrow h \mid i$$

- Sentence: $gchfc$

- The leftmost derivation:

$$\begin{array}{ccccccc} S & \Longrightarrow_{\text{lm}} & Bc & \Longrightarrow_{\text{lm}} & gAc & \Longrightarrow_{\text{lm}} & gCAc \\ & & \Longrightarrow_{\text{lm}} & gcAc & \Longrightarrow_{\text{lm}} & gcDfc & \Longrightarrow_{\text{lm}} & gchfc \end{array}$$

Intuition behind First Sets

- Grammar:

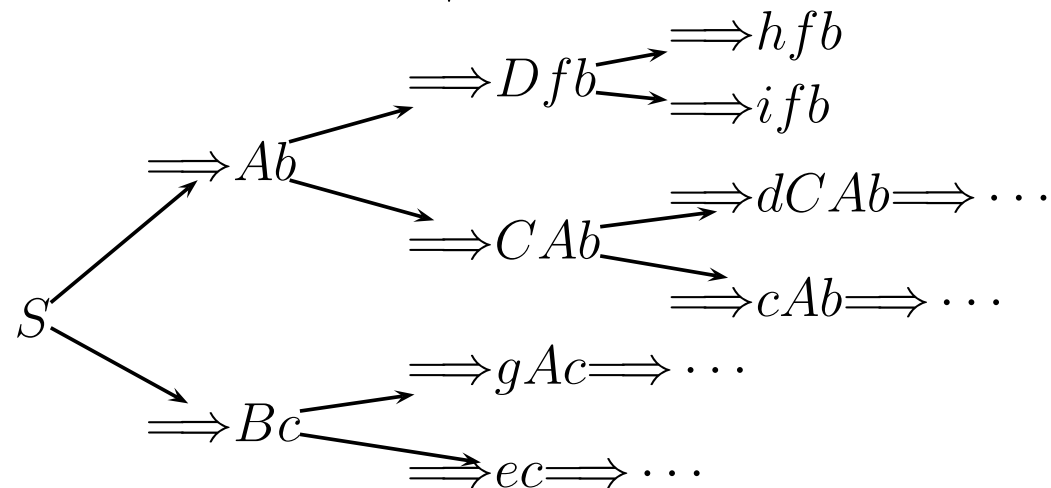
$$S \rightarrow Ab \mid Bc$$

$$A \rightarrow Df \mid CA$$

$$B \rightarrow gA \mid e$$

$$C \rightarrow dC \mid c$$

$$D \rightarrow h \mid i$$



- All possible leftmost derivations:

$$\text{First}(Ab) = \{c, d, h, i\}$$

$$\text{First}(Bc) = \{e, g\}$$

Definition of First Sets

First(α):

- The set of all terminals that can begin any strings derived from α .
- if $\alpha \Longrightarrow^* \epsilon$, then ϵ is also in **First(α)**

Nullable Nonterminals

A nonterminal A is **nullable** if $A \Longrightarrow^* \epsilon$.

A Procedure to Compute $\text{First}(\alpha)$

1. **Case 1:** α is a single symbol or ϵ :

If α is a terminal a , then $\text{First}(\alpha) = \text{First}(a) = \{a\}$

else if α is ϵ , then $\text{First}(\alpha) = \text{First}(\epsilon) = \{\epsilon\}$

else if α is a nonterminal and $\alpha \rightarrow \beta_1 \mid \beta_2 \mid \beta_3 \mid \dots$ then

$$\text{First}(\alpha) = \cup_k \text{First}(\beta_k)$$

2. **Case 2:** $\alpha = X_1 X_2 \dots X_n$:

If $X_1 X_2 \dots X_i$ is nullable **but X_{i+1} is not**, then

$$\text{First}(\alpha) = \text{First}(X_1) \cup \text{First}(X_2) \cup \dots \cup \text{First}(X_{i+1})$$

If $i = n$ is nullable, then add ϵ to $\text{First}(\alpha)$

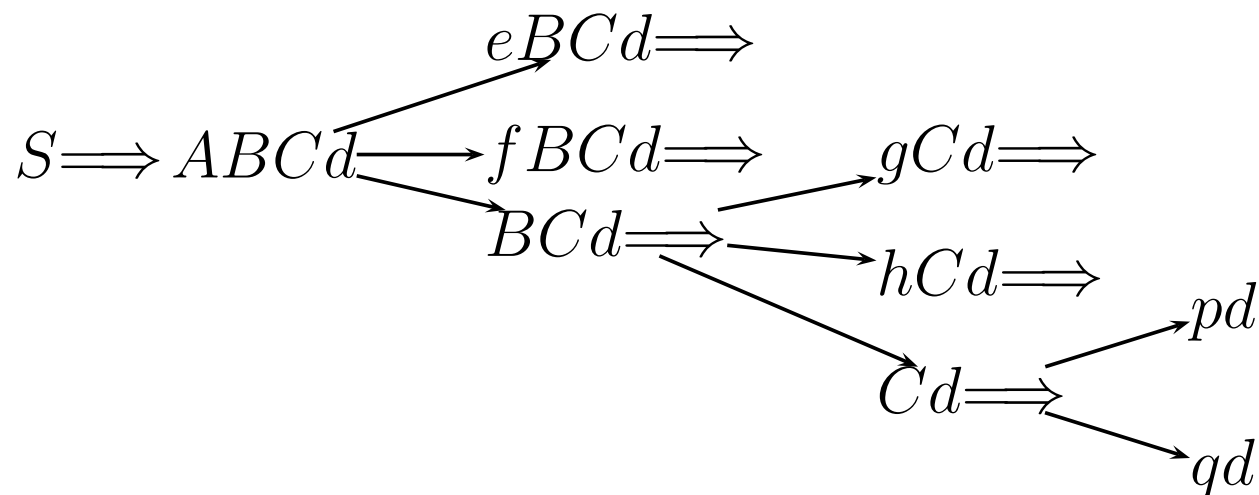
Case 2 of the Procedure for Computing First

$$S \rightarrow ABCd$$

$$A \rightarrow e \mid f \mid \epsilon$$

$$B \rightarrow g \mid h \mid \epsilon$$

$$C \rightarrow p \mid q$$



$$\text{First}(ABCd) = \{e, f, g, h, p, q\}$$

Case 2 of the Procedure for Computing First Again

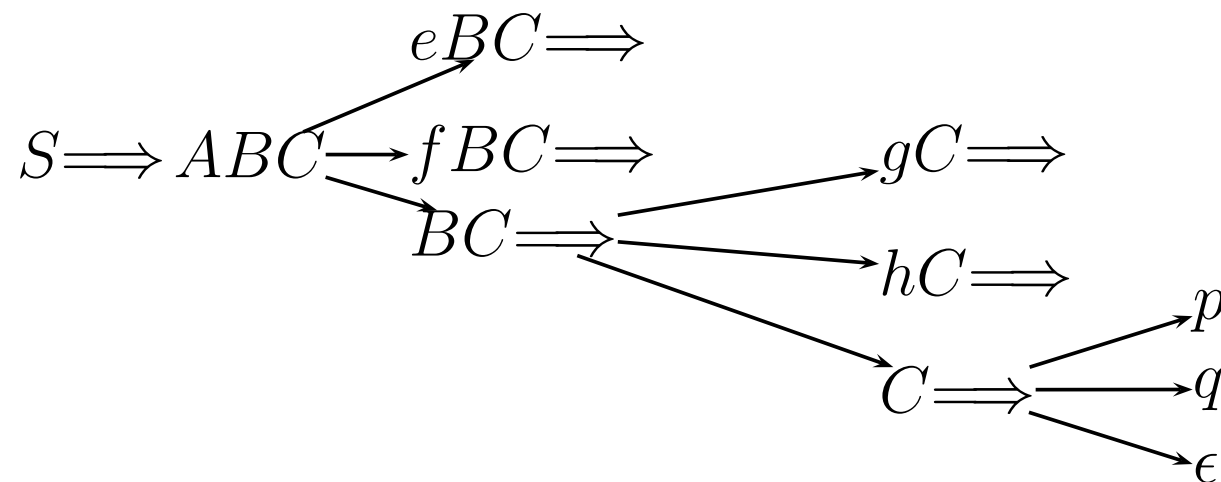
$$S \rightarrow ABC$$

d was deleted from the grammar in slide 218

$$A \rightarrow e \mid f \mid \epsilon$$

$$B \rightarrow g \mid h \mid \epsilon$$

$$C \rightarrow p \mid q \mid \epsilon$$



$$\text{First}(ABC) = \{e, f, g, h, p, q, \epsilon\}$$

The Expression Grammar

- The grammar with left recursion:

Grammar 1: $E \rightarrow E + T \mid E - T \mid T$
 $T \rightarrow T * F \mid T / F \mid F$
 $F \rightarrow \mathbf{INT} \mid (E)$

- The transformed grammar **without** left recursion:

Grammar 2: $E \rightarrow TQ$
 $Q \rightarrow +TQ \mid -TQ \mid \epsilon$
 $T \rightarrow FR$
 $R \rightarrow *FR \mid /FR \mid \epsilon$
 $F \rightarrow \mathbf{INT} \mid (E)$

First Sets for Grammar 1 (with Recursion)

$$\text{First}(E) = \text{First}(E + T) = \text{First}(E - T) =$$

$$\text{First}(T) = \text{First}(T * F) = \text{First}(T / F) =$$

$$\text{First}(F) = \{ (, \text{INT} \}$$

$$\text{First}((E)) = \{ (\}$$

$$\text{First}(\text{INT}) = \{ \text{INT} \}$$

The explicit construction is left as an exercise.

First Sets for Grammar 2 (without Recursion)

$$\begin{aligned}
 \text{First}(E) &= \text{First}(TQ) &= \{ (, \text{INT} \} \\
 \text{First}(T) &= \text{First}(FR) &= \{ (, \text{INT} \} \\
 &\text{First}(Q) &= \{ +, -, \epsilon \} \\
 &\text{First}(R) &= \{ *, /, \epsilon \} \\
 &\text{First}(F) &= \{ \text{INT}, (\} \\
 &\text{First}(+TQ) &= \{ + \} \\
 &\text{First}(-TQ) &= \{ - \} \\
 &\text{First}(*FR) &= \{ * \} \\
 &\text{First}(/FR) &= \{ / \} \\
 &\text{First}((E)) &= \{ (\} \\
 &\text{First}(\text{INT}) &= \{ \text{INT} \}
 \end{aligned}$$

Why Follow Sets?

- First sets do not tell us when to apply $A \rightarrow \alpha$ such that $\alpha \Rightarrow^* \epsilon$ (the important special case is $A \rightarrow \epsilon$)
- Follow sets do
- Follow sets constructed only for nonterminals
- By convention, assume every input is terminated by a special end marker (i.e., **the EOF marker**), denoted $\$$
- Follow sets do not contain ϵ

Definition of Follow Sets

Let A be a nonterminal. Define $\text{Follow}(A)$ to be the set of terminals that can appear immediately to the right of A in some sentential form. That is,

$$\text{Follow}(A) = \{a \mid S \Longrightarrow^* \dots Aa \dots\}$$

where S is the start symbol of the grammar.

A Procedure to Compute Follow Sets

1. If A is the start symbol, add $\$$ to $\text{Follow}(A)$.
2. Look through the grammar for all occurrences of A on the right of productions. Let a typical production be:

$$B \rightarrow \alpha A \beta$$

There are two cases – **both may be applicable**:

- (a) $\text{Follow}(A)$ includes $\text{First}(\beta) - \{\epsilon\}$.
- (b) If $\beta \Longrightarrow^* \epsilon$, then include $\text{Follow}(B)$ in $\text{Follow}(A)$.

Follow Sets for Grammar 1 (with Recursion)

$$\text{Follow}(E) = \{+, -,), \$\}$$

$$\text{Follow}(T) = \text{Follow}(F) = \{+, -, *, /,), \$\}$$

The explicit construction is left as an exercise.

Follow Sets for Grammar 2 (without Recursion)

$$\text{Follow}(E) = \{), \$\}$$

$$\text{Follow}(Q) = \{), \$\}$$

$$\text{Follow}(T) = \{+, -,), \$\}$$

$$\text{Follow}(R) = \{+, -,), \$\}$$

$$\text{Follow}(F) = \{+, -, *, /,), \$\}$$

Select Sets for Productions

- One **Select** set for every production in the grammar:
- The **Select** set for a production of the form $A \rightarrow \alpha$ is:
 - If $\epsilon \in \text{First}(\alpha)$, then

$$\text{Select}(A \rightarrow \alpha) = (\text{First}(\alpha) - \{\epsilon\}) \cup \text{Follow}(A)$$

- Otherwise:

$$\text{Select}(A \rightarrow \alpha) = \text{First}(\alpha)$$

- The **Select** set predicts $A \rightarrow \alpha$ to be used in a derivation.
- Thus, the **Select** not needed if A has has one alternative

Select Sets for Grammar 1

Follow sets not used since the grammar has no ϵ -productions

$$\text{Select}(E \rightarrow E + T) = \text{First}(E + T) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(E \rightarrow E - T) = \text{First}(E - T) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(E \rightarrow T) = \text{First}(T) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(T \rightarrow T * F) = \text{First}(T * F) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(T \rightarrow T / F) = \text{First}(T / F) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(T \rightarrow F) = \text{First}(F) = \{ (, \mathbf{INT} \}$$

$$\text{Select}(F \rightarrow \mathbf{INT}) = \text{First}(\mathbf{INT}) = \{ \mathbf{INT} \}$$

$$\text{Select}(F \rightarrow (E)) = \text{First}((E)) = \{ (\}$$

Select Sets for Grammar 2

$$\begin{aligned}
 \text{Select}(E \rightarrow TQ) &= \text{First}(TQ) &&= \{ (, \mathbf{INT} \} \\
 \text{Select}(Q \rightarrow + TQ) &= \text{First}(+TQ) &&= \{ + \} \\
 \text{Select}(Q \rightarrow - TQ) &= \text{First}(-TQ) &&= \{ - \} \\
 \text{Select}(Q \rightarrow \epsilon) &= (\text{First}(\epsilon) - \{ \epsilon \}) \cup \text{Follow}(Q) = \{), \$ \} \\
 \text{Select}(T \rightarrow FR) &= \text{First}(FR) &&= \{ (, \mathbf{INT} \} \\
 \text{Select}(R \rightarrow * FR) &= \text{First}(*FR) &&= \{ * \} \\
 \text{Select}(R \rightarrow / FR) &= \text{First}(/FR) &&= \{ / \} \\
 \text{Select}(R \rightarrow \epsilon) &= (\text{First}(\epsilon) - \{ \epsilon \}) \cup \text{Follow}(T) = \{ +, -,), \$ \} \\
 \text{Select}(F \rightarrow \mathbf{INT}) &= \text{First}(\mathbf{INT}) &&= \{ \mathbf{INT} \} \\
 \text{Select}(F \rightarrow (E)) &= \text{First}((E)) &&= \{ (\}
 \end{aligned}$$

Outline for the Rest of the Lecture

1. Definition of LL(1) grammar
2. One simplification in the presence of a nullable alternative
3. Eliminate left recursion and common prefixes
4. Write parsing methods in the presence of regular operators
5. $LL(k)$ for small k often necessary for some constructs

Definition of LL(1) Grammar

- A grammar is **LL(1)** if for every nonterminal of the form:

$$A \rightarrow \alpha_1 \mid \cdots \mid \alpha_n$$

the select sets are pairwise disjoint, i.e.:

$$\text{Select}(A \rightarrow \alpha_i) \cap \text{Select}(A \rightarrow \alpha_j) = \emptyset$$

for all i and j such that $i \neq j$.

- This implies there can be at most one **nullable** alternative

Left Recursion

- **Direct** left-recursion:

$$A \rightarrow A\alpha$$

- **Non-direct** left-recursion:

$$A \rightarrow B\alpha$$

$$B \rightarrow A\beta$$

- Algorithm 4.1 of text eliminates both kinds of left recursion
- In real programming languages, non-direct left-recursion is rare
- Not required
- **A grammar with left recursion is not LL(1)**

Eliminating Direct Left Recursion

- The grammar G_1 :

$$A \rightarrow \alpha_1 \mid \alpha_2 \mid \cdots \mid \alpha_n \text{ // } \alpha_i \text{ does not begin with } A$$

$$A \rightarrow A\beta_1 \mid A\beta_2 \mid \cdots \mid A\beta_m$$

- The transformed grammar G_2 :

$$A \rightarrow \alpha_1 A' \mid \alpha_2 A' \mid \cdots \mid \alpha_n A'$$

$$A' \rightarrow \beta_1 A' \mid \beta_2 A' \mid \cdots \mid \beta_m A' \mid \epsilon$$

- G_1 and G_2 define the same language: $L(G_1) = L(G_2)$
- **Example:** in Slide 220, Grammar 2 is the transformed version of Grammar 1

Eliminating Direct Left Recursion: Special Case

- The grammar G_1 :

$$A \rightarrow \alpha \quad // \alpha \text{ does not begin with } A$$

$$A \rightarrow A\beta$$

- The transformed grammar G_2 :

$$A \rightarrow \alpha A'$$

$$A' \rightarrow \beta A' \mid \epsilon$$

Eliminating Common Prefixes: Left-Factoring

- The grammar G_1 :

$$A \rightarrow \alpha\beta_1 \mid \alpha\beta_2 \mid \cdots \mid \alpha\beta_m$$

$$A \rightarrow \gamma$$

- The transformed grammar G_2 :

$$A \rightarrow \alpha A'$$

$$A \rightarrow \gamma$$

$$A' \rightarrow \beta_1 \mid \beta_2 \mid \cdots \mid \beta_m$$

- $L(G_1) = L(G_2)$
- A grammar with common prefixes is not LL(1)

Example: Eliminating Common Prefixes

$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$ ELSE $\langle \text{stmt} \rangle$
$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$
$\langle \text{stmt} \rangle$	\rightarrow	other



$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$ $\langle \text{else-clause} \rangle$
$\langle \text{else-clause} \rangle$	\rightarrow	ELSE $\langle \text{stmt} \rangle$ ϵ
$\langle \text{stmt} \rangle$	\rightarrow	other

Eliminating Direct Left Recursion Using Regular Operators

- The grammar G_1 :

$$A \rightarrow \alpha_1 \mid \alpha_2 \mid \cdots \mid \alpha_n$$

$$A \rightarrow A\beta_1 \mid A\beta_2 \mid \cdots \mid A\beta_m$$

- The transformed grammar G_2 :

$$A \rightarrow (\alpha_1 \mid \cdots \mid \alpha_n)(\beta_1 \mid \cdots \mid \beta_m)^*$$

- G_1 and G_2 define the same language: $L(G_1) = L(G_2)$
- **Recommended to use in Assignment 2**, where $n = m = 1$ for most left-recursive cases:

$$A \rightarrow \alpha\beta^*$$

The Expression Grammar

- The grammar with left recursion:

$$\begin{aligned}\text{Grammar 1: } E &\rightarrow E + T \mid E - T \mid T \\ T &\rightarrow T * F \mid T / F \mid F \\ F &\rightarrow \mathbf{INT} \mid (E)\end{aligned}$$

- Eliminating left recursion using the Kleene Closure

$$\begin{aligned}\text{Grammar 3: } E &\rightarrow T ("+" T \mid "-" T)^* \\ T &\rightarrow F ("*" F \mid "/" F)^* \\ F &\rightarrow \mathbf{INT} \mid "(" E ")"\end{aligned}$$

All tokens are enclosed in double quotes to distinguish them for the regular operators: (,) and *

- Compare with Slide 220

Eliminating Common Prefixes using Choice Operator

- The grammar G_1 :

$$A \rightarrow \alpha\beta_1 \mid \alpha\beta_2 \mid \cdots \mid \alpha\beta_m$$

$$A \rightarrow \gamma$$

- The transformed grammar G_2 :

$$A \rightarrow \alpha(\beta_1 \mid \beta_2 \mid \cdots \mid \beta_m)$$

$$A \rightarrow \gamma$$

- Recommended to use in Assignment 2

Example: Eliminating Common Prefixes

$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$ ELSE $\langle \text{stmt} \rangle$
$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$
$\langle \text{stmt} \rangle$	\rightarrow	other



$\langle \text{stmt} \rangle$	\rightarrow	IF "(" $\langle \text{expr} \rangle$ ")" $\langle \text{stmt} \rangle$ (ELSE $\langle \text{stmt} \rangle$)?
$\langle \text{stmt} \rangle$	\rightarrow	other

Compare with Slide 251

LL(k) Grammar and Parsing

- A grammar is LL(k) if it can be parsed **deterministically** using k tokens of lookahead
- A formal definition for LL(k) grammars can be found in Grune and Jacobs' book **es**
- Grammar 1 in Slide 220 is not LL(k) for any k !
- However, Grammar 2 in Slide 220 is LL(1)
- Only a understanding of LL(1) is required this year ear