# Lexical Analysis

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CIS 352

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WHENEVER I LEARN A
NEW SKILL I CONCOCT
ELABORATE FANTASY
SCENARIOS WHERE IT
LETS ME SAVE THE DAY.



BUT TO FIND THEM WE'D HAVE TO SEARCH THROUGH 200 MB OF EMAILS LOOKING FOR SOMETHING FORMATTED LIKE AN ADDRESS!



- IT'S HOPELESS!











https://xkcd.com/208/

#### References

#### The following is partly based on

Basics of Compiler Design by Torben Mogensen

http://hjemmesider.diku.dk/~torbenm/Basics/

Regular Expressions and Automata using Haskell Simon Thompson

http://www.haskellcraft.com/craft3e/Reg\_exps.html

# ➤ The Syntactic Side of Languages

#### Natural Languages

```
stream of phonemes analysis stream of wia parsing words sentences
```

#### Artificial Languages

```
stream of via lexical characters analysis tokens stream of via parsing abstract syntax
```

#### What is a token?

Variable names, numerals, operators (e.g., +, /, etc.), key-words, ...

Lexical structure is typically specified via *regular expressions*.

# ➤ Regular Expressions (S. Kleene, 1951, 1956)

#### Definition 1.

A regular expression has one of six forms:

 $\epsilon$  — matches the empty string

x — matches the character 'x'

 $(r_1|r_2)$  — matches the strings matched by  $r_1$  or  $r_2$ 

 $(r_1r_2)$  — matches the strings  $w_1w_2$  where  $w_1$ 

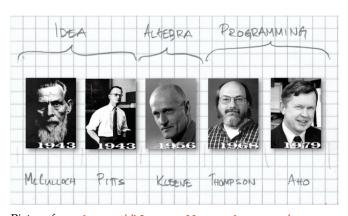
matches  $r_1$  and  $w_2$  matches  $r_2$ 

 $(r)^*$  — matches  $\epsilon$  and the strings  $w_1 \dots w_k$  where k > 0 and each  $w_i$  matches r

We omit the parens in  $(r_1|r_2)$ ,  $(r_1r_2)$ , and  $(r)^*$  when we can.

§Both Thompson and Mogensen omit this form, and henceforth, so shall we. (Ø is necessary for algebraic treatments of regular languages.)

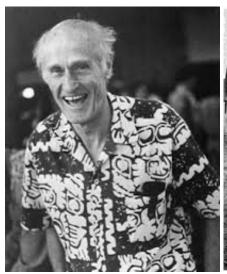
### Regular Expressions, History



- M&P: math model for neurons
- K: Extended M&P, reg. exps.
- T&A: grep, REGEX library

Picture from: https://blog.staffannoteberg.com/ 2013/01/30/regular-expressions-a-brief-history/

### Steve Kleene, Haskell Curry & Bruce Kleene





# Regular Expressions: Examples

- Sheep Language = { ba!, baa!, baaa!, baaaa!, . . . }.  $baa^*! = (b((a(a^*))!))$  matches exactly the Sheep Language strings.
- $(0|1)^*$  matches exactly the strings over 0 and 1, including  $\epsilon$ .
- $\bullet$   $(\epsilon|(1(0|1)^*))1$  matches exactly the binary representation of odd integers.
  - —more examples shortly—

#### Notation

 $r \Downarrow s \equiv_{def} regular expression r matches string s.$ 

# Big-Step Rules for RegEx Matching

\*-match<sub>1</sub>:  $\overline{r^* \Downarrow \epsilon}$ 

$$\begin{array}{ll} \epsilon\text{-match:} \ \overline{\epsilon \Downarrow \epsilon} & \text{Literal-match:} \ \overline{x \Downarrow x} \\ \\ |\text{-match}_1: \ \overline{(r_1|r_2) \Downarrow s} & |\text{-match}_2: \ \overline{(r_1|r_2) \Downarrow s} \\ \\ +\text{+-match:} \ \overline{r_1 \Downarrow s_1 \quad r_2 \Downarrow s_2} \ (s = s_1 + + s_2) \end{array}$$

[Stage direction: Copy these onto the board, but leave some room.]

\*-match<sub>2</sub>:  $\frac{r \Downarrow s_1}{r^* \parallel s} \stackrel{r^* \Downarrow s_2}{(s = s_1 + + s_2)}$ 

### Applying the Big-Step Rules

#### Class Exercise. Work out derivations for:

- $0 (0|1)^* \Downarrow 0101$
- $(0|1)^*((01)|(10)) \Downarrow 0110$

#### Lexical Analysis

└─Applying the Big-Step Rules



#### Class Exercise 1

$$\underset{*2}{\text{Lit}} \frac{1}{0 \downarrow 0} = \underset{*2}{\text{Lit}} \frac{1 \downarrow 1}{1 \downarrow 1} = \underset{*2}{\text{Lit}} \frac{1}{0 \downarrow 0} = \underset{*2}{\text{Lit}} \frac{1}{0 \downarrow 0} = \underset{*2}{\text{Lit}} \frac{1}{1 \downarrow 1} = \underset{*2}{\text{(0|1)} \downarrow 0} = \underset{*2}{\text{(0|1)}$$

#### **Class Exercise 2**

# Matching Regular Expressions in Haskell, I

#### **Abstract Syntax**

```
data Reg = Epsilon
| Literal Char
| Or Reg Reg
| Then Reg Reg
| Star Reg
| deriving (Eq)
```

#### Credits/Pointers

- The code here is based on work by Simon Thompson. See: http://www.haskellcraft.com/craft3e/Reg\_exps.html
- Also see RegExp.hs and Matches.hs in http://www.cis.syr.edu/courses/cis352/code/RegExp/ our local copy of Thompson's code.

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 Also see RegExp. ha and Matches. ha in http://www.cis.syr.edu/comres/cis352/code/RagExp/ our local copy of Thompson's code.

#### Stage Directions:

#### Open up

- RegExp.hs
- Matches.hs

# Matching Regular Expressions in Haskell, II

```
data Reg = Epsilon | Literal Char | Or Reg Reg | Then Reg Reg | Star Reg deriving (Eq)
```

```
splits, frontSplits :: [a] -> [ ([a],[a]) ]
splits st = [ splitAt n st | n <- [0 .. length st] ]
frontSplits st = [ splitAt n st | n <- [1 .. length st] ]</pre>
```

<sup>\*</sup> Our first example of avoiding a *left-recursion* ( $\approx$  *a black hole*).

```
Lexical Analysis
```

Matching Regular Expressions in Haskell, II

```
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date log = "patin | Lineat Car | In the log log | Saw log
deriving (Eg)

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Solidar (Ins. et al.) |

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```

```
Stage Directions:
```

# Regular Expressions and the Languages They Name

#### Definition 2.

Suppose *r* is a regular expression and *A* and *B* are sets of strings.

- L(r) = the set of strings matched by r.
- **6**  $A \cdot B = \{ w_a w_b \mid w_a \in A, w_b \in B \}.$

Thus:

$$\begin{array}{rcl} L(\epsilon) & = & \{\epsilon\} \\ L(\mathbf{x}) & = & \{\mathbf{x}\} \\ L(r_1|r_2) & = & L(r_1) \cup L(r_2) \\ L(r_1r_2) & = & L(r_1) \cdot L(r_2) \\ L(r^*) & = & \{\epsilon\} \cup L(r) \cdot L(r^*) & = & \bigcup_{i \geq 0} L(r)^i \end{array}$$

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### Short Cuts (Mogensen, §2.1.1)

- We can write (0|1|2|3|4|5|6|7|8|9) as [0123456789] or [0-9].
- $r^+ = r r^*$ , i.e.,

 $r^* \equiv 0$  more more matches of r $r^+ \equiv 1$  more more matches of r

• r? =  $r | \epsilon$   $\equiv 0$  or 1 matches of r.

#### **Examples**

- [a-zA-Z] = all alphabetic characters
- $(0|([1-9][0-9]^*))$  = all natural number constants
- $[a-zA-Z_{-}][a-zA-Z0-9]^* \equiv C$  variable names
- " $([a-zA-Z0-9]|\setminus [a-zA-Z0-9])^*$ "  $\equiv$  C string constants

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### Regular Expressions with Their Work Boots On

- grep, egrep, fgrep print lines matching a pattern
   See http://en.wikipedia.org/wiki/Grep
- Also see tr, sed, ...
   (The original Unix developers knew their automata theory cold.)
- See <a href="http://perldoc.perl.org/perlre.html">http://perldoc.perl.org/perlre.html</a>. (Folks in bioinformatics know their pattern matching cold.)
- See https://en.wikipedia.org/wiki/Comparison\_of\_regular\_expression\_engines.

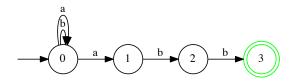
#### ➤ Non-deterministic Finite Automata

A Non-deterministic Finite Automaton (abbreviated NFA) consists of:

- A finite set of states, *S*.
- A finite set of moves (*labeled edges between states*) (Moves are labeled by either  $\epsilon$  or a  $c \in \Sigma$  = the input alphabet)
- A start state (in *S*).
- A set of terminal or final states (a subset of *S*).

#### Example 3.

$$S = \{0,1,2,3\}$$
, start state = 0, final sets =  $\{3\}$  moves =  $\{0 \xrightarrow{a} 0, 0 \xrightarrow{b} 0, 0 \xrightarrow{a} 1, 1 \xrightarrow{b} 2, 2 \xrightarrow{b} 3\}$ 



To implement NFA's we need a module for representing sets. We use:

http://hackage.haskell.org/packages/archive/containers/latest/doc/html/Data-Set.html

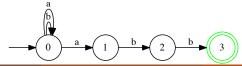
#### Data.Set

```
empty :: Set a
  fromList :: Ord a => [a] -> Set a
intersection :: Ord a => Set a -> Set a -> Set a
Data.Set.map :: (Ord a, Ord b) => (a -> b) -> Set a -> Set b
  singleton :: a -> Set a
      size :: Set a -> Int
  toList :: Set a -> [a]
  union :: Ord a => Set a -> Set a
      etc.
```

0

(S.singleton 3)

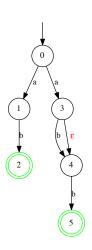
data Move a = Move a Char a | Emove a a



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### Another Example NFA

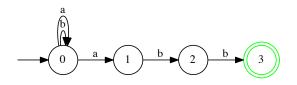
Note the two sorts of nondeterminism this machine exhibits.

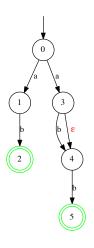


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# Accepting and rejecting strings

- What is the accepting path of abb through M?
- What other paths are possible?
- What are the accepting paths of *ab* through *N*?
- What happens with *N* and *aa*?





Machine M

Machine *N* 

### A small-step semantics for an NFA

#### Notation

For M = (States, Moves, start, Final):

- $M \vdash s \stackrel{a}{\Longrightarrow} s' \equiv_{\text{def}} (s, a, s') \in Moves.$
- $M \vdash s \stackrel{\epsilon}{\Longrightarrow} s' \equiv_{\mathsf{def}} (s, \epsilon, s') \in Moves.$

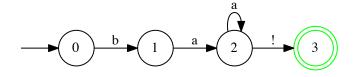
$$\frac{}{M \vdash s \stackrel{a}{\Longrightarrow} s'} ((s, a, s') \in Moves)$$

$$\frac{}{M \vdash s \stackrel{\epsilon}{\Longrightarrow} s'} \; \big( (s, \epsilon, s') \in Moves \big)$$

[Stage direction: Copy these onto the board.]

### Applying the Small-Step Rules, 1

$$M = (\{0,1,2,3\}, \{0 \xrightarrow{b} 1, 1 \xrightarrow{a} 2, 2 \xrightarrow{a} 2, 2 \xrightarrow{!} 3\}, 0, \{3\})$$

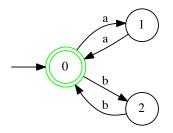


An accepting path for baaa!:

$$0 \stackrel{b}{\Longrightarrow} 1 \stackrel{a}{\Longrightarrow} 2 \stackrel{a}{\Longrightarrow} 2 \stackrel{a}{\Longrightarrow} 2 \stackrel{!}{\Longrightarrow} 3$$

### Applying the Small-Step Rules, Class Exercise

$$M = (\{0,1,2\}, \{0 \xrightarrow{a} 1, 1 \xrightarrow{a} 0, 0 \xrightarrow{b} 2, 2 \xrightarrow{b} 0\}, 0, \{0\})$$



What are accepting paths for aabbaa and aabaa?

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What are accepting paths for astbas and ashas?

- aabbaa  $0 \stackrel{a}{\Longrightarrow} 1 \stackrel{a}{\Longrightarrow} 0 \stackrel{b}{\Longrightarrow} 2 \stackrel{b}{\Longrightarrow} 0 \stackrel{a}{\Longrightarrow} 1 \stackrel{a}{\Longrightarrow} 0$
- aabaa  $0 \stackrel{a}{\Longrightarrow} 1 \stackrel{a}{\Longrightarrow} 0 \stackrel{b}{\Longrightarrow} 2$  Stuck!

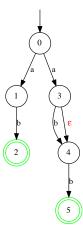
# ➤ NFAs implemented in Haskell

```
-- (trans nfa str)
-- = the set of states reachable in nfa by following str
trans :: Ord a => Nfa a -> String -> Set a
```

See http://www.cis.syr.edu/courses/cis352/code/RegExp/ImplementNfa.hs

```
trans machN "a" = \{1,3,4\}
```

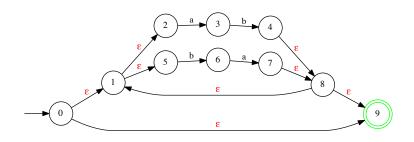
- $\epsilon$ -moves are a problem
- The ε-closure of a set of states S
   the set of states accessible from S via ε-moves



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Above we assume f is *monotone*, i.e.,  $f(A) \supseteq A$  for all A.

### Example: An NFA for $(ab|ba)^*$



```
*Top> closure m (singleton 2)
fromList [2]

*Top> closure m (singleton 1)
fromList [1,2,5]

*Top> closure m (singleton 0)
fromList [0,1,2,5,9]
```

### Taking one step

```
onemove :: Ord a => Nfa a -> Char -> Set a -> Set a onemove (NFA states moves start term) c x = \text{S.fromList} \ [ \ s \ | \ t <- \ \text{S.toList} \ x \ , \\ \text{Move z d s } <- \ \text{S.toList moves} \ , \\ \text{z==t , c==d ]} \\ = \{ s : t \in x \ \text{and} \ (t,c,s) \in \textit{moves} \}
```

```
onetrans :: Ord a => Nfa a -> Char -> Set a -> Set a
onetrans mach c x = closure mach (onemove mach c x)
```

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```
trans :: Ord a => Nfa a -> String -> Set a

trans mach str = foldl step startset str
   where
    step set ch = onetrans mach ch set
    startset = closure mach S.singleton (startstate mach))
```

```
foldl :: (a -> b -> a) -> a -> [b] -> a

foldl step s (c1:c2:...:ck:[])
= (... ((s 'step' c1) 'step' c2) 'step' ... 'step' ck)
```

### ightharpoonup RegExps ightharpoonup NFAs

#### M(r) = an NFA for accepting L(r).



Figure:  $M(\epsilon)$ 

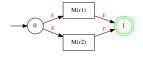


Figure:  $M(r_1|r_2)$ 

$$\rightarrow 1 \xrightarrow{x} 2$$

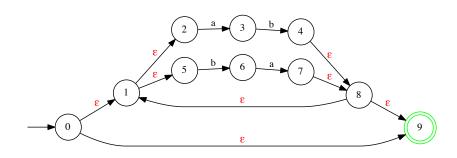
Figure: M(x)



Figure:  $M(r^*)$ 

Figure:  $M(r_1r_2)$ 

# Example: The NFA for $(ab|ba)^*$



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#### The translation in Haskell

```
From: BuildNfa.hs
build :: Reg -> Nfa Int
build Epsilon
                  = NFA (S.fromList [0..1])
                        S.singleton(Emove 0 1)
                        S.singleton 1
build (Literal c) = NFA (S.fromList [0..1])
                        S.singleton(Move 0 c 1)
                        0
                        S.singleton 1
build (0r r1 r2) = m_or (build r1) (build r2)
build (Then r1 r2) = m_then (build r1) (build r2)
build (Star r) = m_star (build r)
```

m\_or, m\_then, and m\_star are a bit ugly — because of all the state renumbering.

# Theory Break: Regular Languages

#### Definition 4.

The *regular languages* are the languages described by regular expressions (=  $\{L(r) : r \text{ is a reg. exp.}\}$ ).

#### Theorem 5.

*The regular languages*  $\subseteq$  *the languages accepted by NFAs.* 

**Proof:** We need to show the reg.-exp.→NFA translation is correct — which is a not-too-hard structural induction.

#### Theorem 6.

*The regular languages*  $\supseteq$  *the languages accepted by NFAs.* 

**Proof:** There turns out to be an NFA→reg.-exp. translation (which we'll skip here).

#### ➤ Deterministic Finite Automata

#### Definition 7.

A deterministic finite automata (abbreviated DFA) is a NFA that

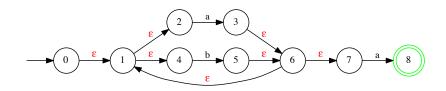
- contains no  $\epsilon$ -moves, and
- has at most one arrow labelled with a particular symbol leaving any given state.
- So in a DFA there is at most one possible move in any situation.
- The DFAs also characterize the regular languages.

#### NFAs and DFAs

- They both accept exactly the regular languages.
- You can translate NFAs to equivalent DFAs, but
- you may pay a price in size blow up.

# Extra Topics

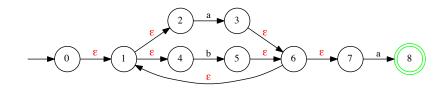
### Example NFA $\rightarrow$ DFA Translation, I

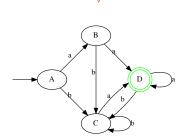


- $A = \epsilon$ -closure( $\{0\}$ ) =  $\{0, 1, 2, 4\}$ .
- $B = \epsilon$ -closure( $\{s: s' \xrightarrow{a} s, s' \in A\}$ ) =  $\{1, 2, 3, 4, 6, 7\}$ .  $(A \xrightarrow{a} B)$
- $C = \epsilon$ -closure( $\{s : s' \xrightarrow{b} s, s' \in A\}$ ) =  $\{1, 2, 4, 5, 6, 7\}$ .  $(A \xrightarrow{b} C)$
- $D = \epsilon$ -closure( $\{s : s' \xrightarrow{a} s, s' \in B\}$ ) =  $\{1, 2, 4, 5, 6, 7, 8\}$ . ( $B \xrightarrow{b} D$ )
- $C = \epsilon$ -closure( $\{s : s' \xrightarrow{b} s, s' \in B\}$ ) =  $\{1, 2, 4, 5, 6, 7\}$ . ( $B \xrightarrow{b} C$ )
- Similarly,  $C \xrightarrow{a} D$ ,  $C \xrightarrow{b} C$ ,  $D \xrightarrow{a} D$ ,  $D \xrightarrow{b} C$ .

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### Example NFA $\rightarrow$ DFA Translation, II





### The NFA to DFA algorithm in Haskell

```
make_deter :: Nfa Int -> Nfa (Set Int)
make_deter mach = deterministic mach (alphabet mach)
```

Switch to NfaToDfa.hs.

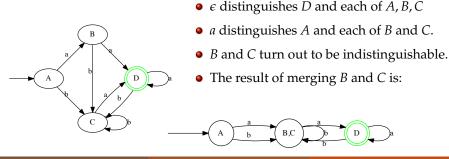
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# Minimizing DFAs, 1

#### Definition 8.

Suppose s and s' are states in a DFA M.

- s and s' are distinguished by x when M started in s run on x accepts  $\iff M$  started in s run on x rejects
- *s* and *s'* are indistinguishable when no string *x* distinguishes them. *So, we can treat merge s and s' safely into a single state.*



### ➤ Minimizing DFAs, 2

See Tom Henzinger's notes on the Myhill-Nerode Theorem http://engineering.dartmouth.edu/~d25559k/ENGS122\_files/Lectures\_Notes/Henzinger-Nerode-7.pdf.

(Much handier than the Pumping Lemma for regular languages)

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# ➤ Regular Definitions, 1

• In building a compiler or interpreter, you want to specify the lexical part of the language (e.g., token) by *regular definitions* (hopped-up regular expressions). E.g.:

$$IF = \mathtt{if}$$
 $ID = [\mathtt{a-zA-Z}][\mathtt{a-zA-Z0-9}]^*$ 
 $NUM = [-+][\mathtt{0-9}]^*$ 
 $FLOAT = a \ nasty \ mess$ 

• Then you translate the entire collection of these to an NFA. E.g.:

# Regular Definitions, 2

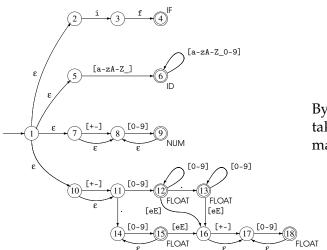


Figure 2.12: Combined NFA for several tokens

By convention, you take the longest match of a string.

### Regular Definitions, 3

Then you translate the NFA to a DFA with which you scan through the input and spit out tokens with lightning speed.

See §2.9 of Mogensen for details.

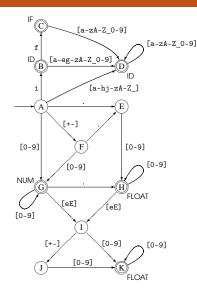


Figure 2.13: Combined DFA for several tokens

#### References

#### Also ...

Sign up & play with the Automata Tutor: <a href="http://www.automatatutor.com/">http://www.automatatutor.com/</a>.

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