

ROBERT SEDGEWICK | KEVIN WAYNE

<http://algs4.cs.princeton.edu>

## 5.1 STRING SORTS

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- ▶ *strings in Java*
- ▶ *key-indexed counting*
- ▶ *LSD radix sort*
- ▶ *MSD radix sort*
- ▶ *3-way radix quicksort*
- ▶ *suffix arrays*

# Algorithms

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# String processing

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String. Sequence of characters.

Important fundamental abstraction.

- Information processing.
- Genomic sequences.
- Communication systems (e.g., email).
- Programming systems (e.g., Java programs).
- ...

*“The digital information that underlies biochemistry, cell biology, and development can be represented by a simple string of G's, A's, T's and C's. This string is the root data structure of an organism's biology.” — M. V. Olson*

# The char data type

C char data type. Typically an 8-bit integer.

- Supports 7-bit ASCII.
- Can represent only 256 characters.

	0	1	2	3	4	5	6	7	8	9	A	B	C	D	E	F
0	NUL	SOH	STX	ETX	EOT	ENQ	ACK	BEL	BS	HT	LF	VT	FF	CR	SO	SI
1	DLE	DC1	DC2	DC3	DC4	NAK	SYN	ETB	CAN	EM	SUB	ESC	FS	GS	RS	US
2	SP	!	"	#	\$	%	&	'	(	)	*	+	,	-	.	/
3	0	1	2	3	4	5	6	7	8	9	:	;	<	=	>	?
4	@	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
5	P	Q	R	S	T	U	V	W	X	Y	Z	[	\	]	^	_
6	`	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o
7	p	q	r	s	t	u	v	w	x	y	z	{		}	~	DEL

Hexadecimal to ASCII conversion table

A á ð ö

U+0041 U+00E1 U+2202 U+1D50A

Unicode characters

Java char data type. A 16-bit unsigned integer.

- Supports original 16-bit Unicode.
- Supports 21-bit Unicode 3.0 (awkwardly).

# I (heart) Unicode

---



# The String data type

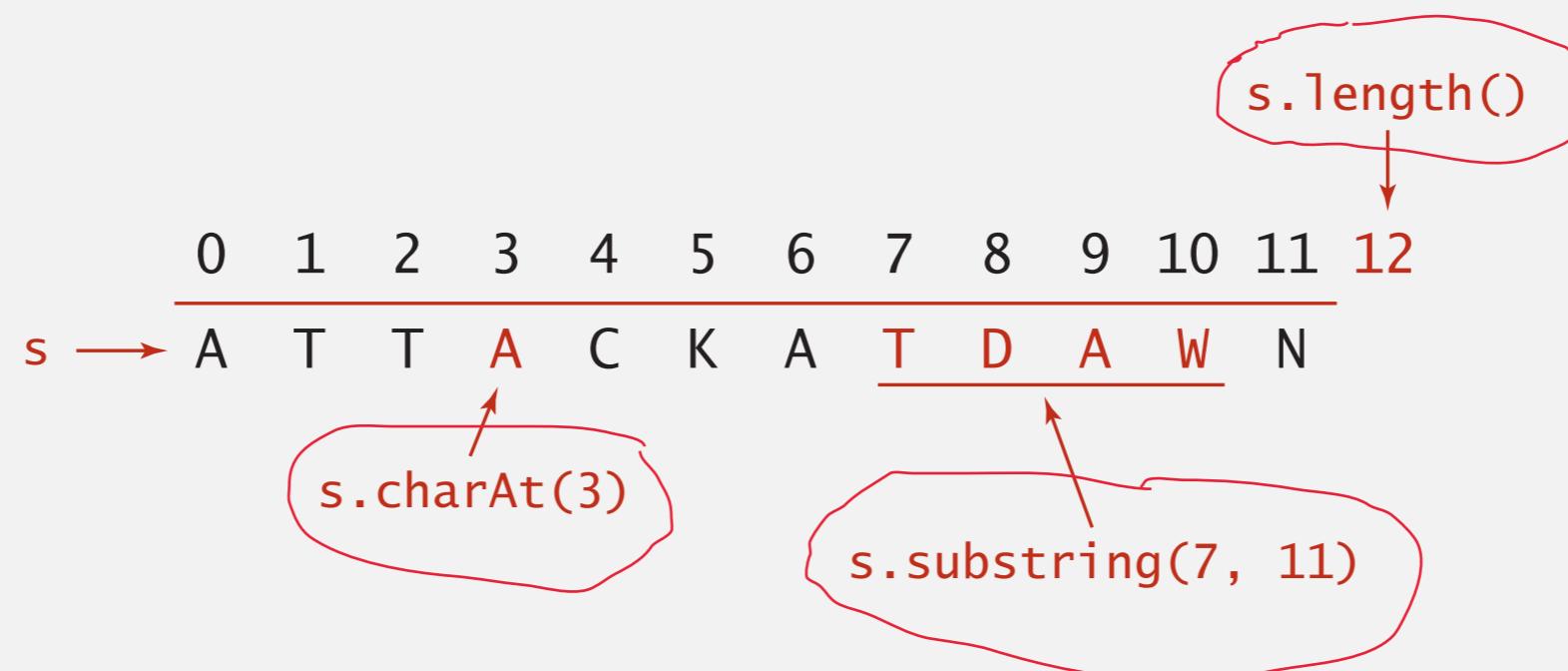
String data type in Java. Sequence of characters (immutable).

Length. Number of characters.

Indexing. Get the  $i^{th}$  character.

Substring extraction. Get a contiguous subsequence of characters.

String concatenation. Append one character to end of another string.



# The String data type: Java implementation

```
public final class String implements Comparable<String>
{
    private char[] value; // characters
    private int offset; // index of first char in array
    private int length; // length of string
    private int hash; // cache of hashCode()
```

```
public int length()
{ return length; }
```

```
public char charAt(int i)
{ return value[i + offset]; }
```

```
private String(int offset, int length, char[] value)
{
```

```
    this.offset = offset;
    this.length = length;
    this.value = value;
}
```

```
public String substring(int from, int to)
{ return new String(offset + from, to - from, value); }
```

```
...
```

value[]									
length									
0	1	2	3	4	5	6	7	8	
X	X	A	T	T	A	C	K	X	



copy of reference to  
original char array



# The **String** data type: performance

String data type (in Java). Sequence of characters (immutable).

Underlying implementation. Immutable char[] array, offset, and length.

String		
operation	guarantee	extra space
length()	1	1
charAt()	1	1
substring()	1	1
concat()	N	N

Memory.  $40 + 2N$  bytes for a virgin String of length  $N$ .

can use byte[] or char[] instead of String to save space  
(but lose convenience of String data type)

# The **StringBuilder** data type

**StringBuilder** data type. Sequence of characters (mutable).

Underlying implementation. Resizing `char[]` array and length.

	String		StringBuilder	
operation	guarantee	extra space	guarantee	extra space
<code>length()</code>	1	1	1	1
<code>charAt()</code>	1	1	1	1
<code>substring()</code>	1	1	N	N
<code>concat()</code>	N	N	1 *	1 *

\* amortized

Remark. **StringBuffer** data type is similar, but thread safe (and slower).

# String vs. StringBuilder

Q. How to efficiently reverse a string?

A.

```
public static String reverse(String s)
{
    String rev = "";
    for (int i = s.length() - 1; i >= 0; i--)
        rev += s.charAt(i);
    return rev;
}
```

concat() takes  
 $O(N)$

quadratic time

B.

```
public static String reverse(String s)
{
    StringBuilder rev = new StringBuilder();
    for (int i = s.length() - 1; i >= 0; i--)
        rev.append(s.charAt(i));
    return rev.toString();
}
```

linear time

## String challenge: array of suffixes

Q. How to efficiently form array of suffixes?

**input string**

a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14

**suffixes**

0	a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
1		a	c	a	a	g	t	t	t	a	c	a	a	g	c
2			c	a	a	g	t	t	t	a	c	a	a	g	c
3				a	a	g	t	t	t	a	c	a	a	g	c
4					a	g	t	t	t	a	c	a	a	g	c
5						g	t	t	t	a	c	a	a	g	c
6							t	t	t	a	c	a	a	g	c
7								t	t	a	c	a	a	g	c
8									t	a	c	a	a	g	c
9										a	c	a	a	g	c
10											c	a	a	g	c
11												a	a	g	c
12												a	g	c	
13												g	c		
14													c		

# String vs. StringBuilder

Q. How to efficiently form array of suffixes?

A.

```
public static String[] suffixes(String s)
{
    int N = s.length();
    String[] suffixes = new String[N];
    for (int i = 0; i < N; i++)
        suffixes[i] = s.substring(i, N);
    return suffixes;
}
```

linear time and  
linear space

B.

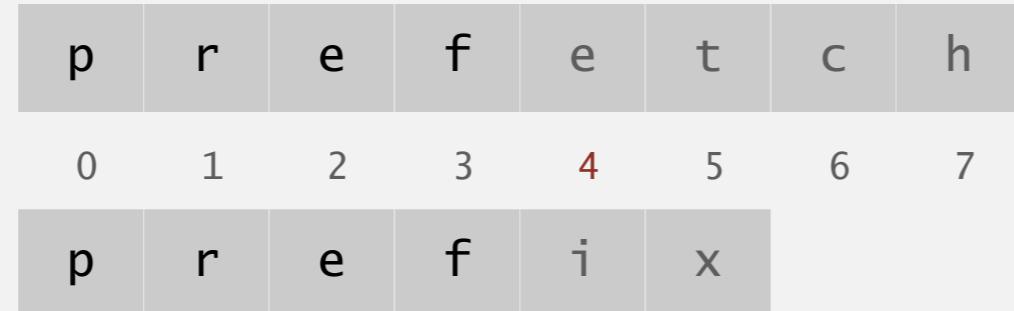
```
public static String[] suffixes(String s)
{
    int N = s.length();
    StringBuilder sb = new StringBuilder(s);
    String[] suffixes = new String[N];
    for (int i = 0; i < N; i++)
        suffixes[i] = sb.substring(i, N);
    return suffixes;
}
```

quadratic time and  
quadratic space

StringBuilder takes  
 $O(N)$  for substring

# Longest common prefix

Q. How long to compute length of longest common prefix?



```
public static int lcp(String s, String t)
{
    int N = Math.min(s.length(), t.length());
    for (int i = 0; i < N; i++)
        if (s.charAt(i) != t.charAt(i))
            return i;
    return N;
}
```

linear time (worst case)  
sublinear time (typical case)

Running time. Proportional to length  $D$  of longest common prefix.

Remark. Also can compute compareTo() in sublinear time.

# Alphabets

**Digital key.** Sequence of digits over fixed alphabet.

**Radix.** Number of digits  $R$  in alphabet.

name	$R()$	$\lg R()$	characters
BINARY	2	1	01
OCTAL	8	3	01234567
DECIMAL	10	4	0123456789
HEXADECIMAL	16	4	0123456789ABCDEF
DNA	4	2	ACTG
LOWERCASE	26	5	abcdefghijklmnoprstuvwxyz
UPPERCASE	26	5	ABCDEFGHIJKLMNPQRSTUVWXYZ
PROTEIN	20	5	ACDEFGHIKLMNPQRSTVWY
BASE64	64	6	ABCDEFGHIJKLMNPQRSTUVWXYZabcdefghijklmnopqrstuvwxyz0123456789+/
ASCII	128	7	<i>ASCII characters</i>
EXTENDED_ASCII	256	8	<i>extended ASCII characters</i>
UNICODE16	65536	16	<i>Unicode characters</i>

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# Review: summary of the performance of sorting algorithms

Frequency of operations = key compares.

algorithm	guarantee	random	extra space	stable?	operations on keys
insertion sort	$\frac{1}{2} N^2$	$\frac{1}{4} N^2$	1	yes	compareTo()
mergesort	$N \lg N$	$N \lg N$	$N$	yes	compareTo()
quicksort	$1.39 N \lg N^*$	$1.39 N \lg N$	$c \lg N$	no	compareTo()
heapsort	$2 N \lg N$	$2 N \lg N$	1	no	compareTo()

\* probabilistic

**Lower bound.**  $\sim N \lg N$  compares required by any compare-based algorithm.

- Q. Can we do better (despite the lower bound)?  
A. Yes, if we don't depend on key compares.

# Key-indexed counting: assumptions about keys

---

**Assumption.** Keys are integers between 0 and  $R - 1$ .

**Implication.** Can use key as an array index.

## Applications.

- Sort string by first letter.
- Sort class roster by section.
- Sort phone numbers by area code.
- Subroutine in a sorting algorithm. [stay tuned]

**Remark.** Keys may have associated data  $\Rightarrow$   
can't just count up number of keys of each value.

input		sorted result (by section)
name	section	
Anderson	2	Harris 1
Brown	3	Martin 1
Davis	3	Moore 1
Garcia	4	Anderson 2
Harris	1	Martinez 2
Jackson	3	Miller 2
Johnson	4	Robinson 2
Jones	3	White 2
Martin	1	Brown 3
Martinez	2	Davis 3
Miller	2	Jackson 3
Moore	1	Jones 3
Robinson	2	Taylor 3
Smith	4	Williams 3
Taylor	3	Garcia 4
Thomas	4	Johnson 4
Thompson	4	Smith 4
White	2	Thomas 4
Williams	3	Thompson 4
Wilson	4	Wilson 4

↑  
*keys are  
small integers*

# Key-indexed counting demo

**Goal.** Sort an array  $a[]$  of  $N$  integers between 0 and  $R - 1$ .



$R = 6$

- Count frequencies of each letter using key as index.
- Compute frequency cumulates which specify destinations.
- Access cumulates using key as index to move items.
- Copy back into original array.

```
int N = a.length;
int[] count = new int[R+1];

for (int i = 0; i < N; i++)
    count[a[i]+1]++;

for (int r = 0; r < R; r++)
    count[r+1] += count[r];

for (int i = 0; i < N; i++)
    aux[count[a[i]]++] = a[i];

for (int i = 0; i < N; i++)
    a[i] = aux[i];
```

i	a[i]	
0	d	
1	a	use a for 0
2	c	b for 1
3	f	c for 2
4	f	d for 3
5	b	e for 4
6	d	f for 5
7	b	
8	f	
9	b	
10	e	
11	a	

# Key-indexed counting demo

**Goal.** Sort an array  $a[]$  of  $N$  integers between 0 and  $R - 1$ .

- Count frequencies of each letter using key as index.
- Compute frequency cumulates which specify destinations.
- Access cumulates using key as index to move items.
- Copy back into original array.

```
int N = a.length;
int[] count = new int[R+1];

count frequencies → for (int i = 0; i < N; i++)
    count[a[i]+1]++;

for (int r = 0; r < R; r++)
    count[r+1] += count[r];

for (int i = 0; i < N; i++)
    aux[count[a[i]]++] = a[i];

for (int i = 0; i < N; i++)
    a[i] = aux[i];
```

i	a[i]	offset by 1 [stay tuned]
0	d	
1	a	
2	c	
3	f	
4	f	
5	b	
6	d	
7	b	
8	f	
9	b	
10	e	
11	a	

r count[r]

a	0
b	2
c	3
d	1
e	2
f	1
-	3

# Key-indexed counting demo

**Goal.** Sort an array  $a[]$  of  $N$  integers between 0 and  $R - 1$ .

- Count frequencies of each letter using key as index.
- Compute frequency cumulates which specify destinations.
- Access cumulates using key as index to move items.
- Copy back into original array.

```
int N = a.length;
int[] count = new int[R+1];

for (int i = 0; i < N; i++)
    count[a[i]+1]++;

compute cumulates → for (int r = 0; r < R; r++)
    count[r+1] += count[r];

for (int i = 0; i < N; i++)
    aux[count[a[i]]++] = a[i];

for (int i = 0; i < N; i++)
    a[i] = aux[i];
```

i	a[i]	r	count[r]
0	d	a	0
1	a	b	2
2	c	c	5
3	f	d	6
4	f	e	8
5	b	f	9
6	d	-	12
7	b	-	-
8	f	-	-
9	b	-	-
10	e	-	-
11	a	-	-

6 keys < d, 8 keys < e  
so d's go in a[6] and a[7]

# Key-indexed counting demo

**Goal.** Sort an array  $a[]$  of  $N$  integers between 0 and  $R - 1$ .

- Count frequencies of each letter using key as index.
- Compute frequency cumulates which specify destinations.
- Access cumulates using key as index to move items.
- Copy back into original array.

```
int N = a.length;
int[] count = new int[R+1];

for (int i = 0; i < N; i++)
    count[a[i]+1]++;

for (int r = 0; r < R; r++)
    count[r+1] += count[r];

move items → for (int i = 0; i < N; i++)
    aux[count[a[i]]++] = a[i];

for (int i = 0; i < N; i++)
    a[i] = aux[i];
```

i	a[i]	i	aux[i]
0	d	0	a
1	a	1	a
2	c	2	b
3	f	3	b
4	f	4	b
5	b	5	c
6	d	6	d
7	b	7	d
8	f	8	e
9	b	9	f
10	e	10	f
11	a	11	f

# Key-indexed counting demo

**Goal.** Sort an array  $a[]$  of  $N$  integers between 0 and  $R - 1$ .

- Count frequencies of each letter using key as index.
- Compute frequency cumulates which specify destinations.
- Access cumulates using key as index to move items.
- **Copy back into original array.**

```
int N = a.length;
int[] count = new int[R+1];

for (int i = 0; i < N; i++)
    count[a[i]+1]++;

for (int r = 0; r < R; r++)
    count[r+1] += count[r];

for (int i = 0; i < N; i++)
    aux[count[a[i]]++] = a[i];

for (int i = 0; i < N; i++)
    a[i] = aux[i];
```

copy  
back

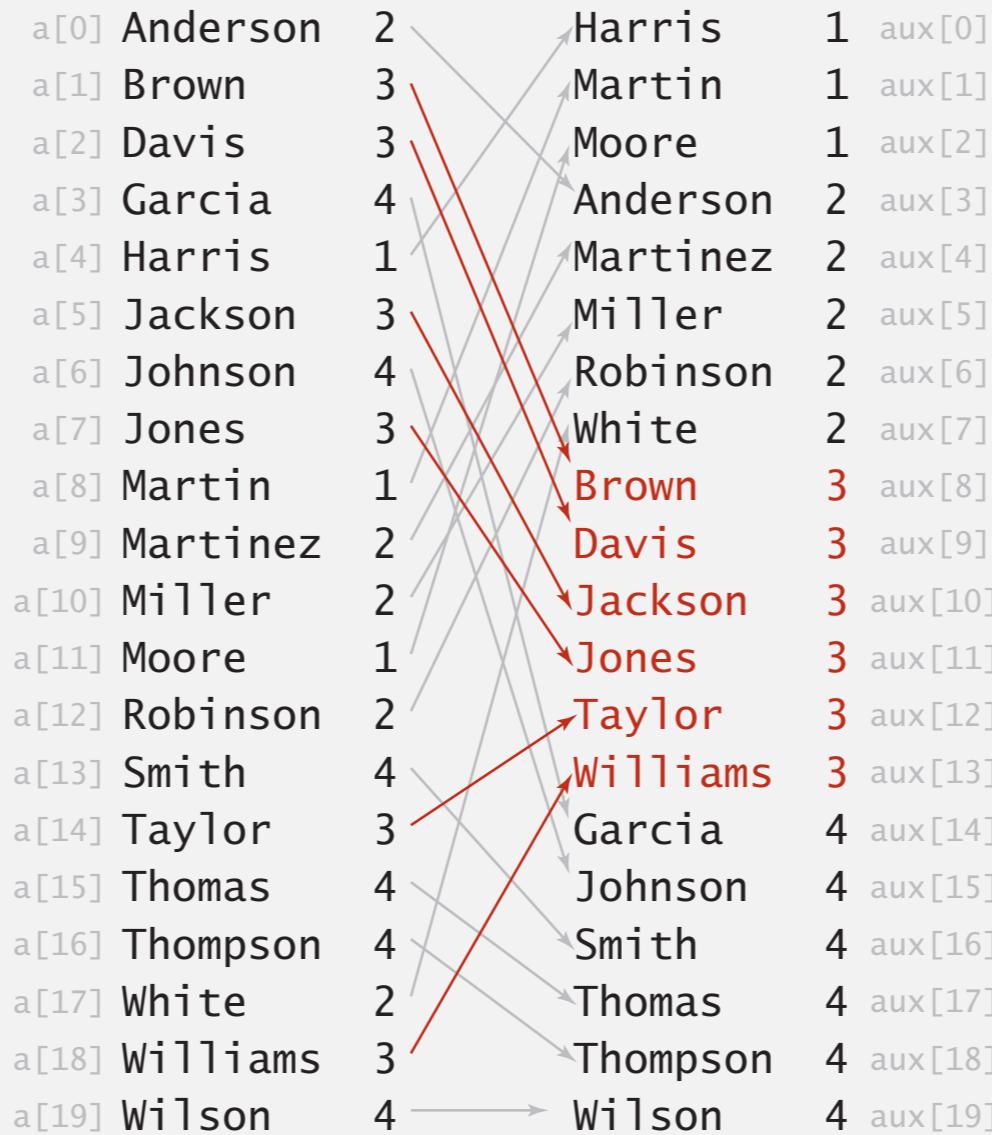
i	a[i]	i	aux[i]
0	a	0	a
1	a	1	a
2	b	2	b
3	b	3	b
4	b	4	b
5	c	5	c
6	d	6	d
7	d	7	d
8	e	8	e
9	f	9	f
10	f	10	f
11	f	11	f

# Key-indexed counting: analysis

**Proposition.** Key-indexed counting uses  $\sim 11N + 4R$  array accesses to sort  $N$  items whose keys are integers between 0 and  $R - 1$ .

**Proposition.** Key-indexed counting uses extra space proportional to  $N + R$ .

Stable? ✓



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## 5.1 STRING SORTS

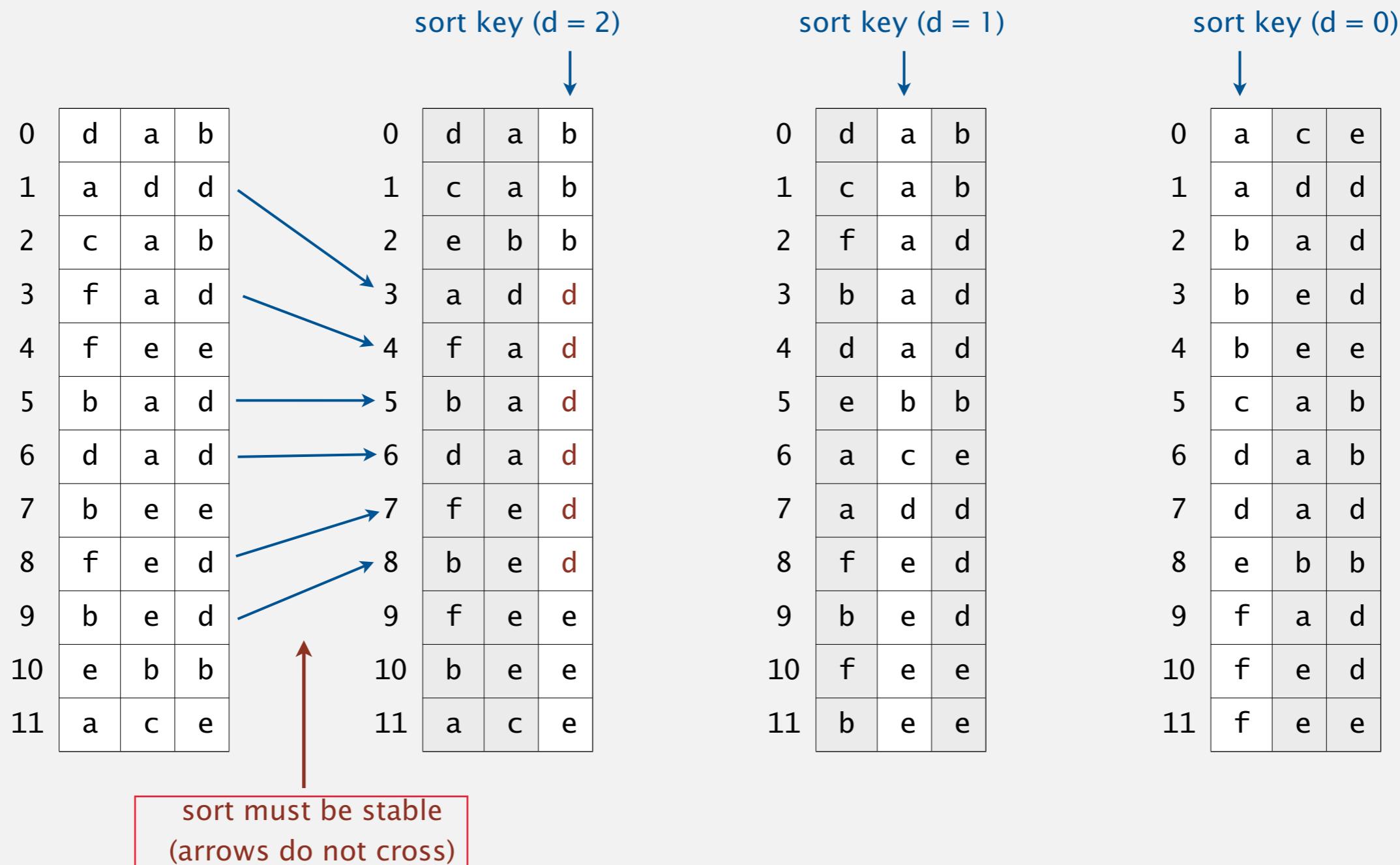
---

- ▶ *strings in Java*
- ▶ *key-indexed counting*
- ▶ *LSD radix sort*
- ▶ *MSD radix sort*
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- ▶ *suffix arrays*

# Least-significant-digit-first string sort

## LSD string (radix) sort.

- Consider characters from right to left.
- Stably sort using  $d^{th}$  character as the key (using key-indexed counting).



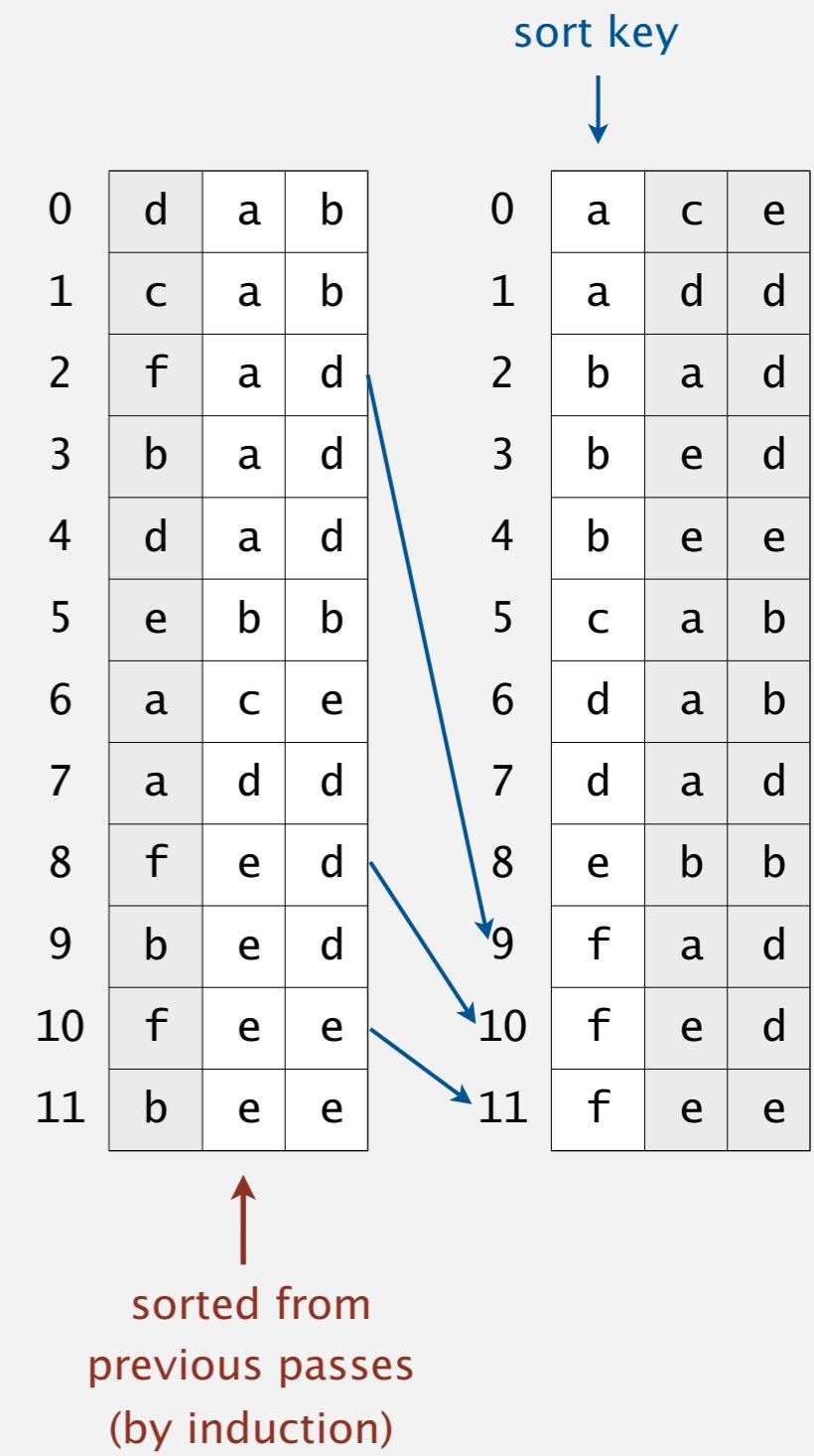
## LSD string sort: correctness proof

Proposition. LSD sorts fixed-length strings in ascending order.

Pf. [by induction on  $i$ ]

After pass  $i$ , strings are sorted by last  $i$  characters.

- If two strings differ on sort key, key-indexed sort puts them in proper relative order.
- If two strings agree on sort key, stability keeps them in proper relative order.



Proposition. LSD sort is stable.

# LSD string sort: Java implementation

```
public class LSD
{
    public static void sort(String[] a, int W) ← fixed-length W strings
    {
        int R = 256; ← radix R
        int N = a.length;
        String[] aux = new String[N];

        for (int d = W-1; d >= 0; d--) ← do key-indexed counting
        {
            int[] count = new int[R+1]; ← for each digit from right to left
            for (int i = 0; i < N; i++)
                count[a[i].charAt(d) + 1]++;
            for (int r = 0; r < R; r++)
                count[r+1] += count[r];
            for (int i = 0; i < N; i++)
                aux[count[a[i].charAt(d)]++] = a[i];
            for (int i = 0; i < N; i++)
                a[i] = aux[i];
        }
    }
}
```

The code implements LSD string sort in Java. It takes a string array `a` and its length `W` as input. The radix is set to 256. It uses an auxiliary array `aux` of the same length as `a`. The sorting process involves multiple passes over the array, starting from the least significant digit (`d = W-1`) and moving towards the most significant digit (`d = 0`). Within each pass, it performs key-indexed counting. A red box highlights the inner loop for counting, which uses an array `count` of size `R+1` (where `R` is the radix). The loop iterates through each character in the array, increments the count for its ASCII value, and then performs a cumulative sum to get the index in the auxiliary array. Finally, it copies the elements from `aux` back to `a`.

# Summary of the performance of sorting algorithms

Frequency of operations.

algorithm	guarantee	random	extra space	stable?	operations on keys
insertion sort	$\frac{1}{2} N^2$	$\frac{1}{4} N^2$	1	yes	<code>compareTo()</code>
mergesort	$N \lg N$	$N \lg N$	$N$	yes	<code>compareTo()</code>
quicksort	$1.39 N \lg N$ *	$1.39 N \lg N$	$c \lg N$	no	<code>compareTo()</code>
heapsort	$2 N \lg N$	$2 N \lg N$	1	no	<code>compareTo()</code>
LSD †	$2 W N$	$2 W N$	$N + R$	yes	<code>charAt()</code>

\* probabilistic

† fixed-length  $W$  keys

Q. What if strings do not have same length?

# String sorting interview question

---

**Problem.** Sort one million 32-bit integers.

**Ex.** Google (or presidential) interview.

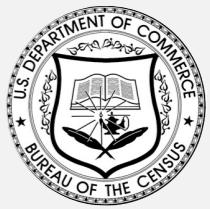
**Which sorting method to use?**

- Insertion sort.
- Mergesort.
- Quicksort.
- Heapsort.
- LSD string sort.



# How to take a census in 1900s?

1880 Census. Took 1,500 people 7 years to manually process data.

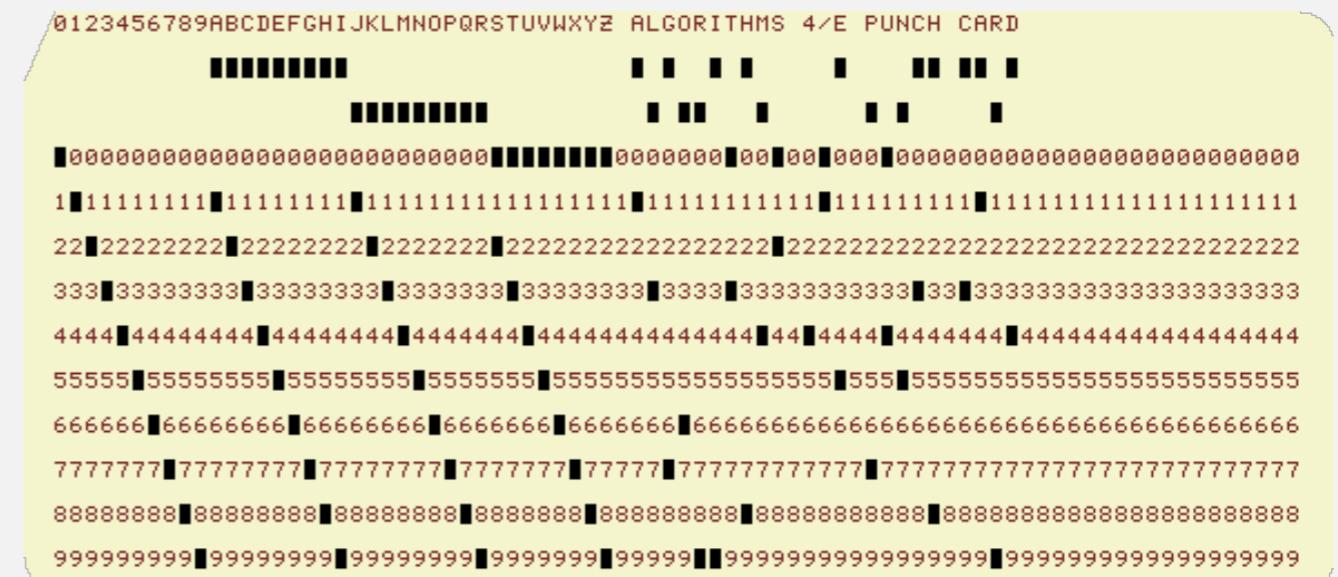


Herman Hollerith. Developed counting and sorting machine to automate.

- Use punch cards to record data (e.g., gender, age).
  - Machine sorts one column at a time (into one of 12 bins).
  - Typical question: how many women of age 20 to 30?



## Hollerith tabulating machine and sorter



punch card (12 holes per column)

1890 Census. Finished months early and under budget!

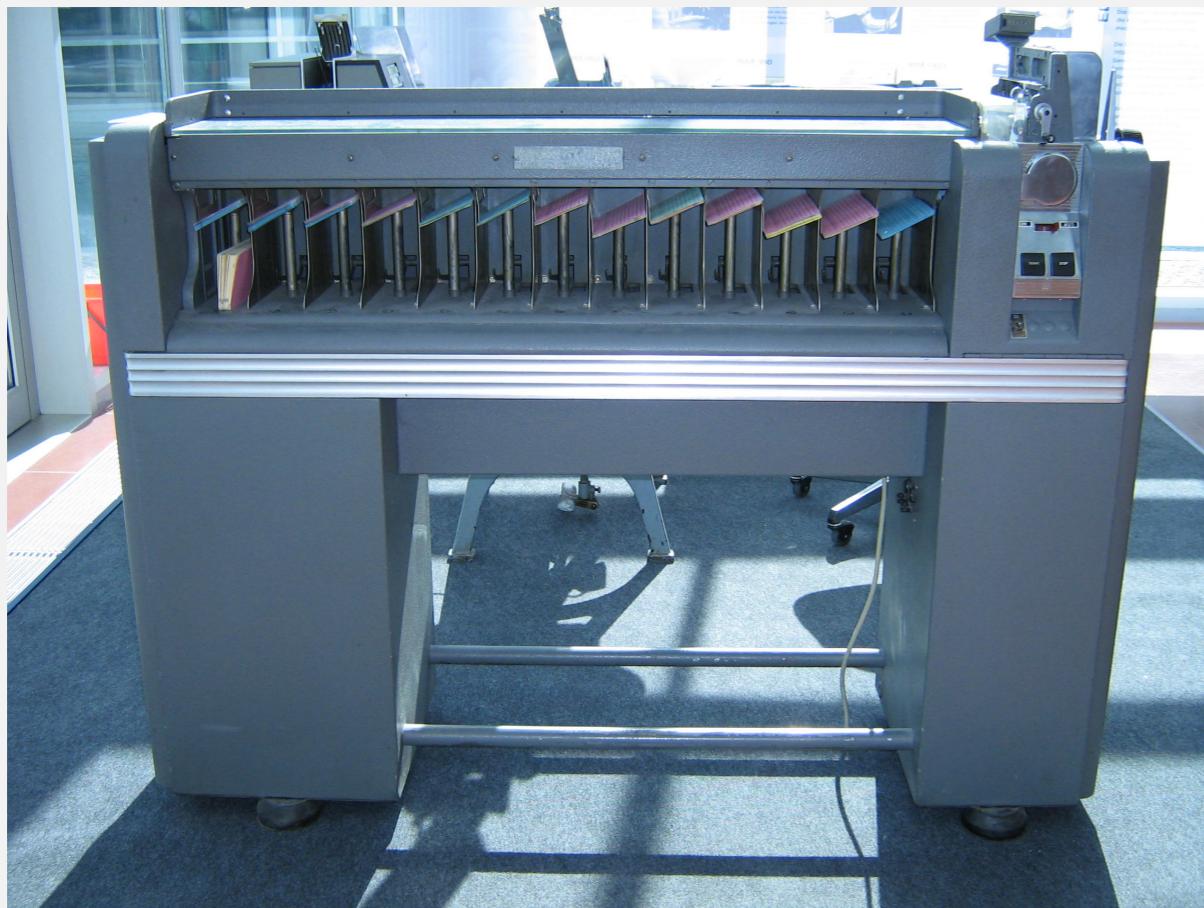
# How to get rich sorting in 1900s?

---

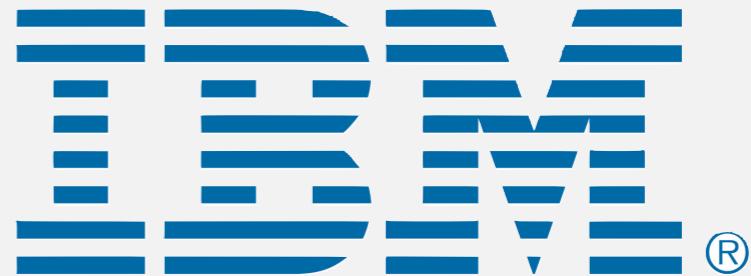
Punch cards. [1900s to 1950s]

- Also useful for accounting, inventory, and business processes.
- Primary medium for data entry, storage, and processing.

Hollerith's company later merged with 3 others to form Computing Tabulating Recording Corporation (CTR); company renamed in 1924.



IBM 80 Series Card Sorter (650 cards per minute)



# LSD string sort: a moment in history (1960s)



card punch



punched cards



card reader



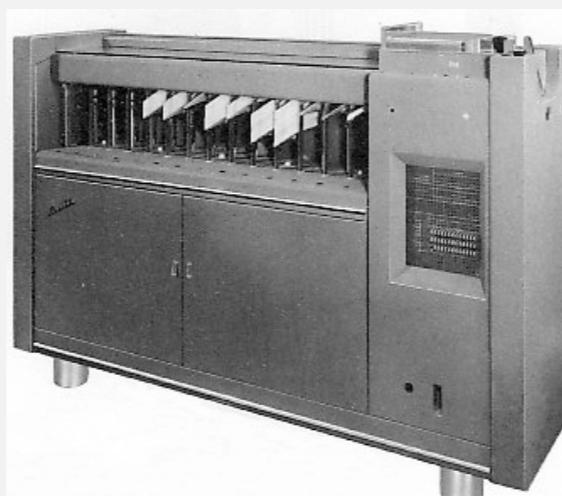
mainframe



line printer

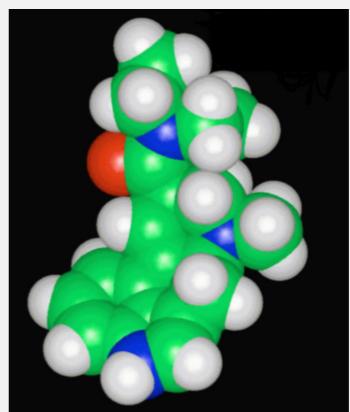
To sort a card deck

- start on right column
- put cards into hopper
- machine distributes into bins
- pick up cards (stable)
- move left one column
- continue until sorted



card sorter

not related to sorting



Lysergic Acid Diethylamide  
(Lucy in the Sky with Diamonds)

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- ▶ *suffix arrays*

# Most-significant-digit-first string sort

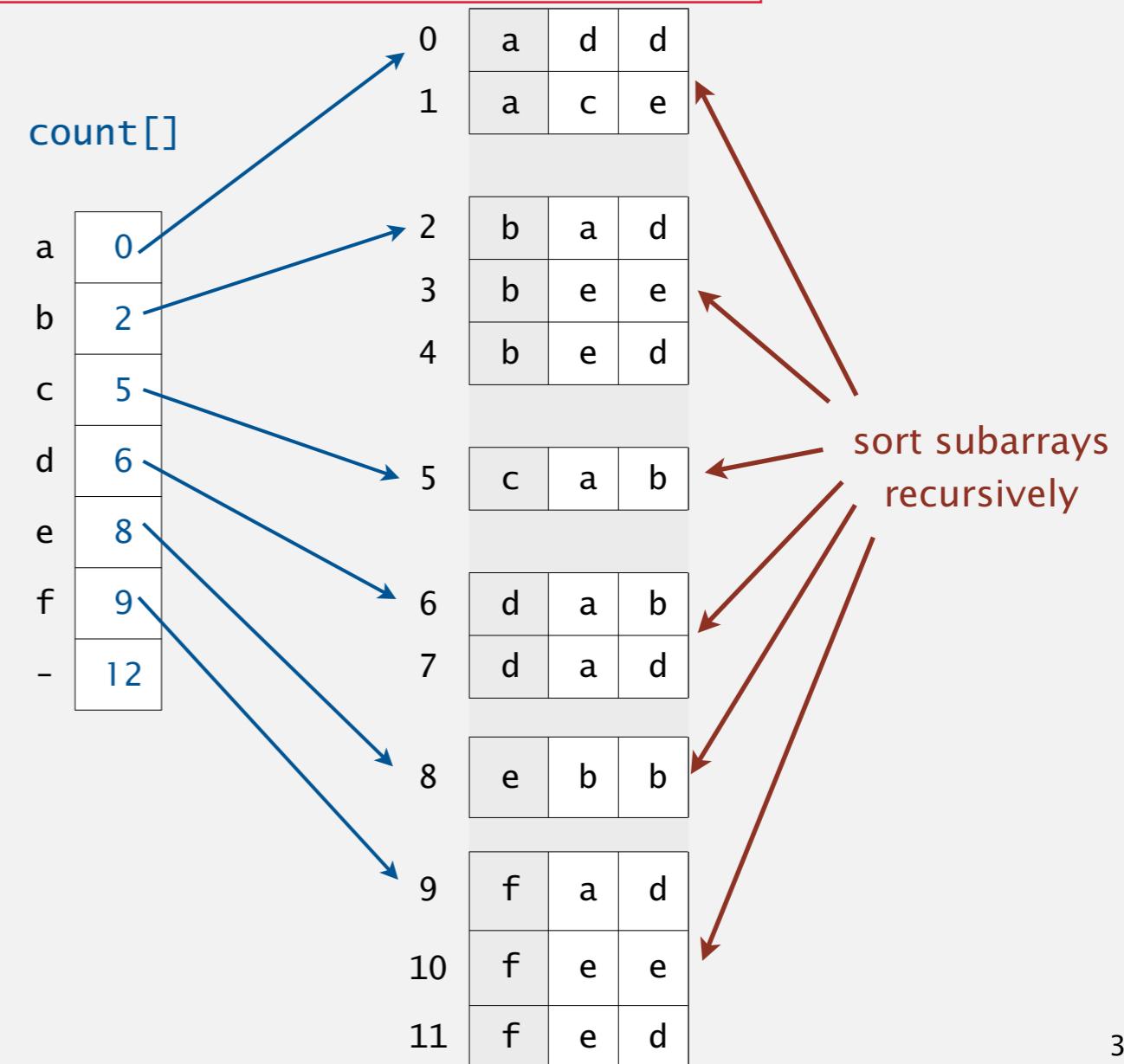
## MSD string (radix) sort.

- Partition array into  $R$  pieces according to first character (use key-indexed counting).
- Recursively sort all strings that start with each character (key-indexed counts delineate subarrays to sort).

0	d	a	b
1	a	d	d
2	c	a	b
3	f	a	d
4	f	e	e
5	b	a	d
6	d	a	d
7	b	e	e
8	f	e	d
9	b	e	d
10	e	b	b
11	a	c	e

0	a	d	d
1	a	c	e
2	b	a	d
3	b	e	e
4	b	e	d
5	c	a	b
6	d	a	b
7	d	a	d
8	e	b	b
9	f	a	d
10	f	e	e
11	f	e	d

sort key



# MSD string sort: example

input		d							
she	are								
sells	by	to	by						
seashells	she	seas	seashells	sea	seashells	sea	seashells	seashells	sea
by	sells	seashells	sea	seashells	seashells	seashells	seashells	seashells	seashells
the	seashells	sea	seashells						
sea	sea	seals							
shore	shore	seashells	seals						
the	shells	she							
shells	she	shore							
she	sells	shells							
sells	surely	she							
are	seashells	surely							
surely	the	hi	the						
seashells	the								

need to examine every character in equal keys	end of string goes before any char value	output
are	are	are
by	by	by
sea	sea	sea
seashells	seashells	seashells
seashells	seashells	seashells
sells	sells	sells
sells	sells	sells
she	she	she
shore	shore	shore
shells	shells	shells
she	she	she
surely	surely	surely
the	the	the
the	the	the

Trace of recursive calls for MSD string sort (no cutoff for small subarrays, subarrays of size 0 and 1 omitted)

# Variable-length strings

Treat strings as if they had an extra char at end (smaller than any char).

0	s	e	a	-1
1	s	e	a	s
2	s	e	l	l
3	s	h	e	-1
4	s	h	e	-1
5	s	h	e	l
6	s	h	o	r
7	s	u	r	e

why smaller?

she before shells

```
private static int charAt(String s, int d)
{
    if (d < s.length()) return s.charAt(d);
    else return -1;
}
```

C strings. Have extra char '\0' at end  $\Rightarrow$  no extra work needed.

## MSD string sort: Java implementation

```
public static void sort(String[] a)
{
    aux = new String[a.length]; ←
    sort(a, aux, 0, a.length-1, 0);
}

private static void sort(String[] a, String[] aux, int lo, int hi, int d)
{
    if (hi <= lo) return;
    int[] count = new int[R+2];
    for (int i = lo; i <= hi; i++)
        count[charAt(a[i], d) + 2]++;
    for (int r = 0; r < R+1; r++)
        count[r+1] += count[r];
    for (int i = lo; i <= hi; i++)
        aux[count[charAt(a[i], d) + 1]++] = a[i];
    for (int i = lo; i <= hi; i++)
        a[i] = aux[i - lo];
}

for (int r = 0; r < R; r++)
    sort(a, aux, lo + count[r], lo + count[r+1] - 1, d+1);
}
```

can recycle aux[] array  
but not count[] array

key-indexed counting

sort R subarrays recursively

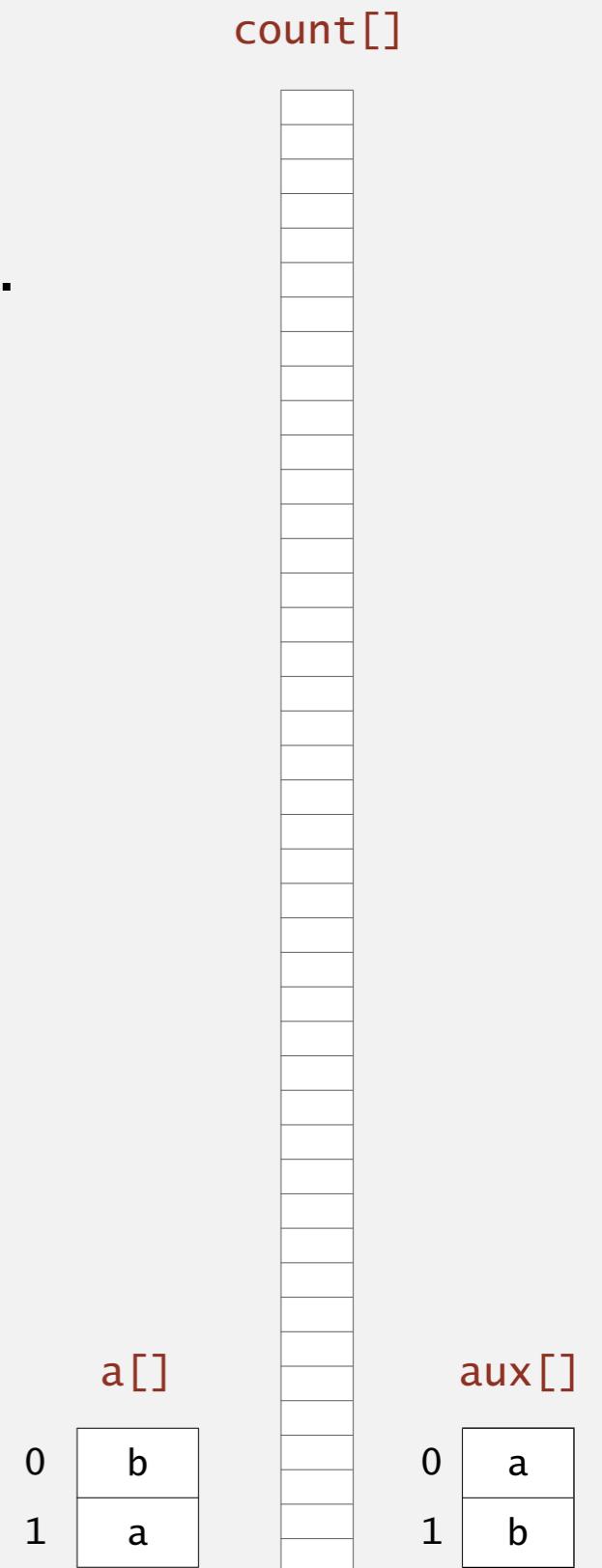
# MSD string sort: potential for disastrous performance

Observation 1. Much too slow for small subarrays.

- Each function call needs its own count[] array.
- ASCII (256 counts): 100x slower than copy pass for  $N=2$ .
- Unicode (65,536 counts): 32,000x slower for  $N=2$ .

Observation 2. Huge number of small subarrays

because of recursion.



# Cutoff to insertion sort

Solution. Cutoff to insertion sort for small subarrays.

- Insertion sort, but start at  $d^{th}$  character.
- Implement less() so that it compares starting at  $d^{th}$  character.

```
public static void sort(String[] a, int lo, int hi, int d)
{
    for (int i = lo; i <= hi; i++)
        for (int j = i; j > lo && less(a[j], a[j-1], d); j--)
            exch(a, j, j-1);
}
```

```
private static boolean less(String v, String w, int d)
{   return v.substring(d).compareTo(w.substring(d)) < 0; }
```

in Java, forming and comparing substrings is faster than directly comparing chars with charAt()

# MSD string sort: performance

## Number of characters examined.

- MSD examines just enough characters to sort the keys.
- Number of characters examined depends on keys.
- Can be sublinear in input size!

compareTo() based sorts  
can also be sublinear!

Random (sublinear)	Non-random with duplicates (nearly linear)	Worst case (linear)
1EI0402	are	1DNB377
1HYL490	by	1DNB377
1R0Z572	sea	1DNB377
2HXE734	seashells	1DNB377
2IYE230	seashells	1DNB377
2XOR846	sells	1DNB377
3CDB573	sells	1DNB377
3CVP720	she	1DNB377
3IGJ319	she	1DNB377
3KNA382	shells	1DNB377
3TAV879	shore	1DNB377
4CQP781	surely	1DNB377
4QGI284	the	1DNB377
4YHV229	the	1DNB377

Characters examined by MSD string sort

# Summary of the performance of sorting algorithms

Frequency of operations.

algorithm	guarantee	random	extra space	stable?	operations on keys
insertion sort	$\frac{1}{2} N^2$	$\frac{1}{4} N^2$	1	yes	compareTo()
mergesort	$N \lg N$	$N \lg N$	$N$	yes	compareTo()
quicksort	$1.39 N \lg N$ *	$1.39 N \lg N$	$c \lg N$	no	compareTo()
heapsort	$2 N \lg N$	$2 N \lg N$	1	no	compareTo()
LSD †	$2 NW$	$2 NW$	$N + R$	yes	charAt()
MSD ‡	$2 NW$	$N \log_R N$	$N + DR$	yes	charAt()

D = function-call stack depth  
(length of longest prefix match)



\* probabilistic  
† fixed-length W keys  
‡ average-length W keys

# MSD string sort vs. quicksort for strings

---

## Disadvantages of MSD string sort.

- Extra space for aux[].
- Extra space for count[].
- Inner loop has a lot of instructions.
- Accesses memory "randomly" (cache inefficient).

## Disadvantage of quicksort.

- Linearithmic number of string compares (not linear).
- Has to rescan many characters in keys with long prefix matches.

Goal. Combine advantages of MSD and quicksort.

# Algorithms

ROBERT SEDGEWICK | KEVIN WAYNE

<http://algs4.cs.princeton.edu>

## 5.1 STRING SORTS

---

- ▶ *strings in Java*
- ▶ *key-indexed counting*
- ▶ *LSD radix sort*
- ▶ **MSD radix sort**
- ▶ *3-way radix quicksort*
- ▶ *suffix arrays*

# Algorithms

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## 5.1 STRING SORTS

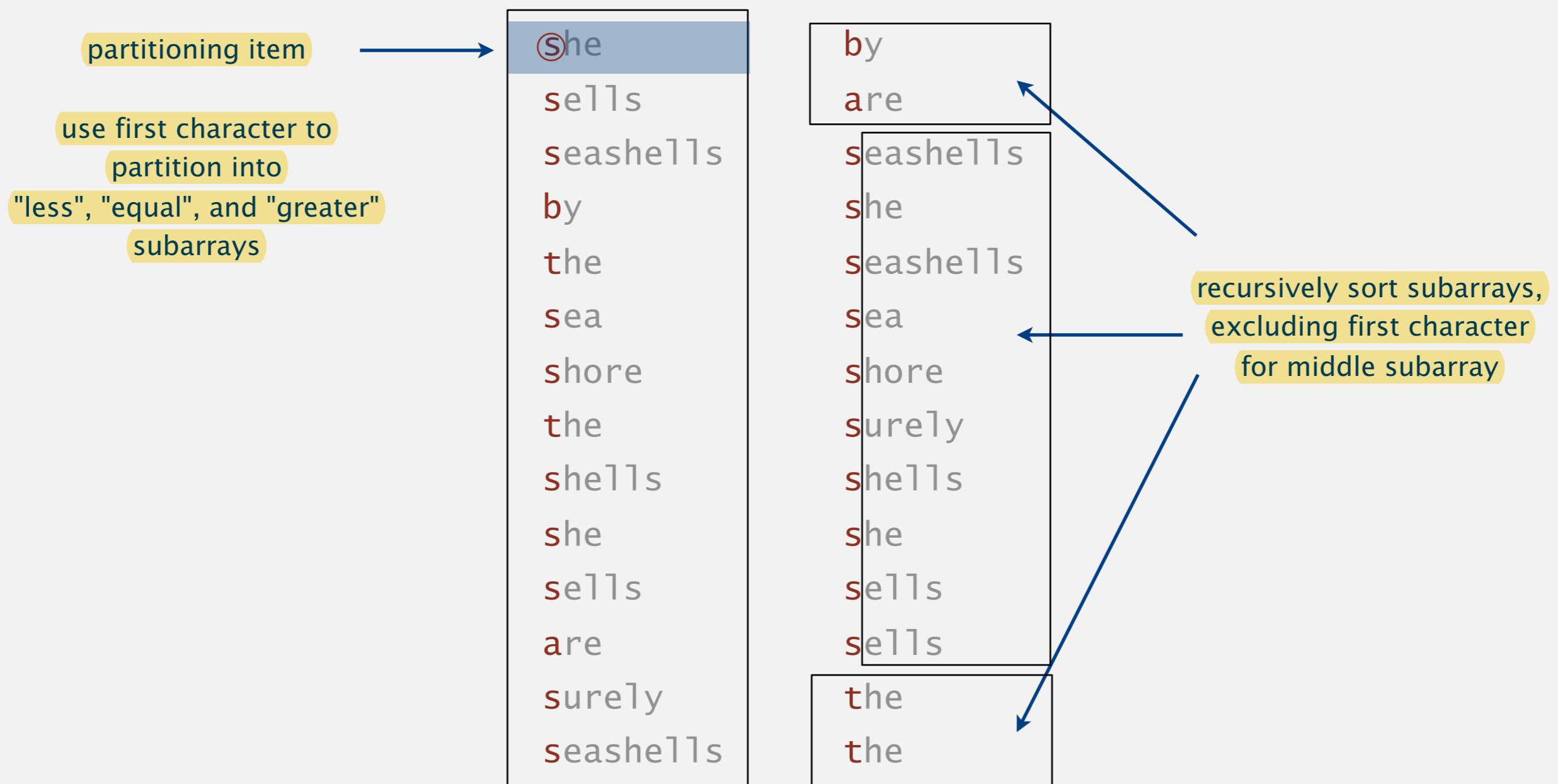
---

- ▶ *strings in Java*
- ▶ *key-indexed counting*
- ▶ *LSD radix sort*
- ▶ *MSD radix sort*
- ▶ ***3-way radix quicksort***
- ▶ *suffix arrays*

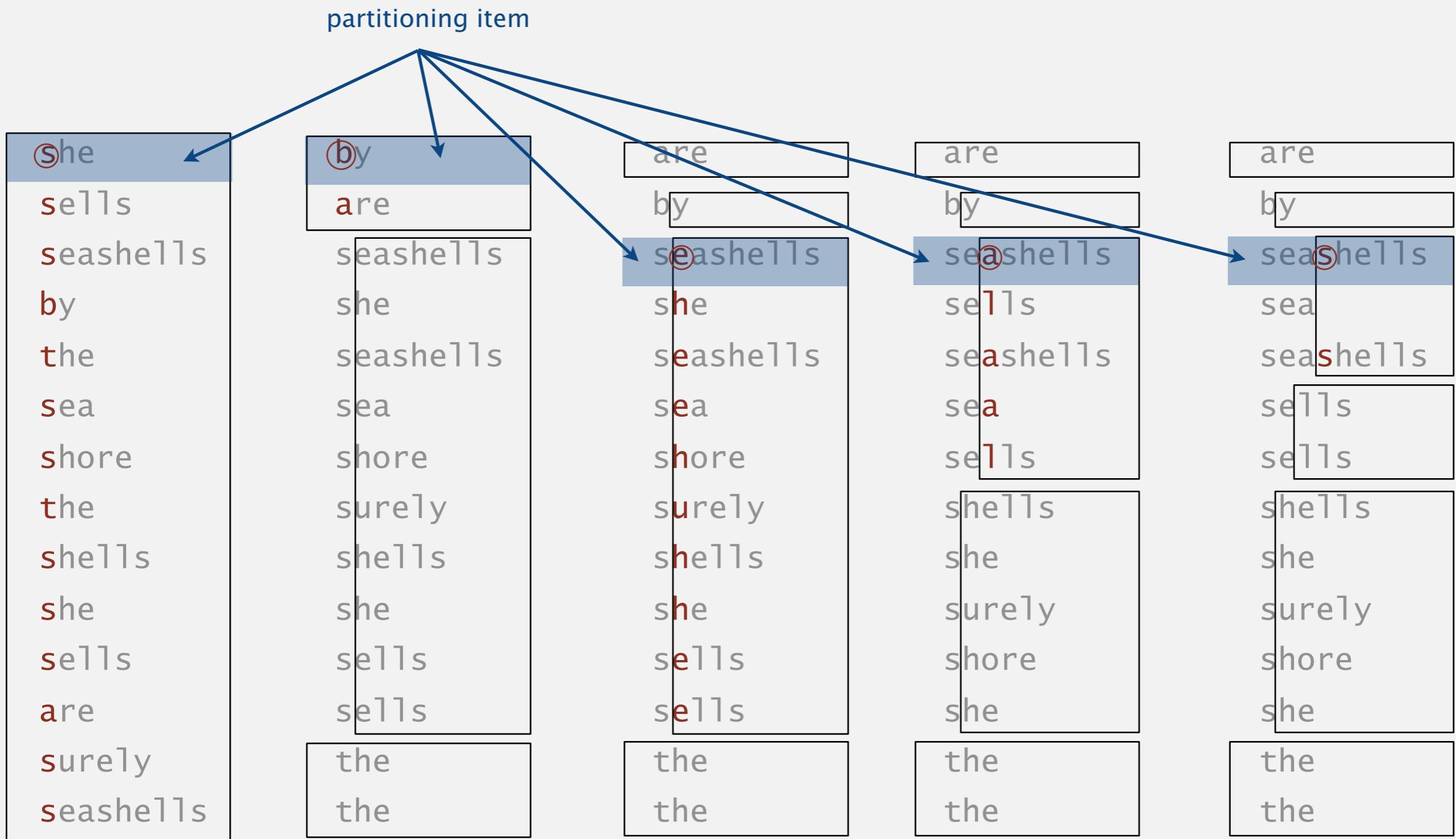
## 3-way string quicksort (Bentley and Sedgewick, 1997)

**Overview.** Do 3-way partitioning on the  $d^{th}$  character.

- Less overhead than  $R$ -way partitioning in MSD string sort.
- Does not re-examine characters equal to the partitioning char  
(but does re-examine characters not equal to the partitioning char).



# 3-way string quicksort: trace of recursive calls



Trace of first few recursive calls for 3-way string quicksort (subarrays of size 1 not shown)

## 3-way string quicksort: Java implementation

```
private static void sort(String[] a)
{  sort(a, 0, a.length - 1, 0);  }

private static void sort(String[] a, int lo, int hi, int d)
{
    if (hi <= lo) return;
    int lt = lo, gt = hi;
    int v = charAt(a[lo], d);
    int i = lo + 1;
    while (i <= gt)
    {
        int t = charAt(a[i], d);
        if      (t < v) exch(a, lt++, i++);
        else if (t > v) exch(a, i, gt--);
        else              i++;
    }
    sort(a, lo, lt-1, d);
    if (v >= 0) sort(a, lt, gt, d+1); ← sort 3 subarrays recursively
    sort(a, gt+1, hi, d);
}
```

3-way partitioning  
(using  $d^{\text{th}}$  character)

to handle variable-length strings

# 3-way string quicksort vs. standard quicksort

## Standard quicksort.

- Uses  $\sim 2N \ln N$  **string compares** on average.
- Costly for keys with long common prefixes (and this is a common case!)

## 3-way string (radix) quicksort.

- Uses  $\sim 2N \ln N$  **character compares** on average for random strings.
- Avoids re-comparing long common prefixes.

### Fast Algorithms for Sorting and Searching Strings

Jon L. Bentley\*

Robert Sedgewick#

#### Abstract

We present theoretical algorithms for sorting and searching multikey data, and derive from them practical C implementations for applications in which keys are character strings. The sorting algorithm blends Quicksort and radix sort; it is competitive with the best known C sort codes. The searching algorithm blends tries and binary

that is competitive with the most efficient string sorting programs known. The second program is a symbol table implementation that is faster than hashing, which is commonly regarded as the fastest symbol table implementation. The symbol table implementation is much more space-efficient than multiway trees, and supports more advanced searches.

# 3-way string quicksort vs. MSD string sort

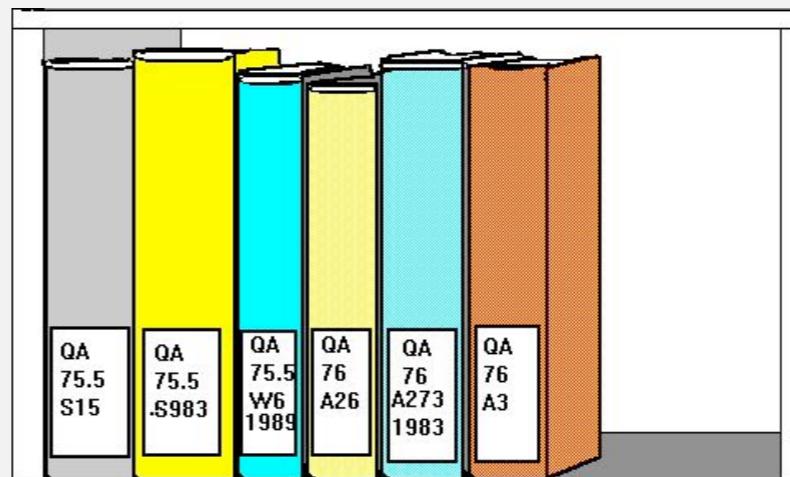
## MSD string sort.

- Is cache-inefficient.
- Too much memory storing count[].
- Too much overhead reinitializing count[] and aux[].

## 3-way string quicksort.

- Has a short inner loop.
- Is cache-friendly.
- Is in-place.

library of Congress call numbers



Bottom line. 3-way string quicksort is method of choice for sorting strings.

# Summary of the performance of sorting algorithms

Frequency of operations.

algorithm	guarantee	random	extra space	stable?	operations on keys
insertion sort	$\frac{1}{2} N^2$	$\frac{1}{4} N^2$	1	yes	compareTo()
mergesort	$N \lg N$	$N \lg N$	$N$	yes	compareTo()
quicksort	$1.39 N \lg N$ *	$1.39 N \lg N$	$c \lg N$	no	compareTo()
heapsort	$2 N \lg N$	$2 N \lg N$	1	no	compareTo()
LSD †	$2 NW$	$2 NW$	$N + R$	yes	charAt()
MSD ‡	$2 NW$	$N \log_R N$	$N + D R$	yes	charAt()
3-way string quicksort	$1.39 W N \lg R$ *	$1.39 N \lg N$	$\log N + W$	no	charAt()

\* probabilistic

† fixed-length  $W$  keys

‡ average-length  $W$  keys

# Algorithms

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## 5.1 STRING SORTS

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- ▶ ***3-way radix quicksort***
- ▶ *suffix arrays*

# Algorithms

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## 5.1 STRING SORTS

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- ▶ *LSD radix sort*
- ▶ *MSD radix sort*
- ▶ *3-way radix quicksort*
- ▶ ***suffix arrays***

## Keyword-in-context search

---

Given a text of  $N$  characters, preprocess it to enable fast substring search (find all occurrences of query string context).

```
% more tale.txt
it was the best of times
it was the worst of times
it was the age of wisdom
it was the age of foolishness
it was the epoch of belief
it was the epoch of incredulity
it was the season of light
it was the season of darkness
it was the spring of hope
it was the winter of despair
:
```

**Applications.** Linguistics, databases, web search, word processing, ....

## Keyword-in-context search

---

Given a text of  $N$  characters, preprocess it to enable fast substring search (find all occurrences of query string context).

```
% java KWIC tale.txt 15 ← characters of
search                                              surrounding context
o st giless to search for contraband
her unavailing search for your fathe
le and gone in search of her husband
t provinces in search of impoverishe
dispersing in search of other carri
n that bed and search the straw hold

better thing
t is a far far better thing that i do than
some sense of better things else forgotte
was capable of better things mr carton ent
```

**Applications.** Linguistics, databases, web search, word processing, ....

## Suffix sort

input string

i	t	w	a	s	b	e	s	t	i	t	w	a	s	w
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14

form suffixes

0	i t w a s b e s t i t w a s s w
1	t w a s b e s t i t w a s s w
2	w a s b e s t i t w a s s w
3	a s b e s t i t w a s s w
4	s b e s t i t w a s s w
5	b e s t i t w a s s w
6	e s t i t w a s s w
7	s t i t w a s s w
8	t i t w a s s w
9	i t w a s s w
10	t w a s s w
11	w a s s w
12	a s s w
13	s s w
14	w

sort suffixes to bring repeated substrings together

3	a s b e s t
12	a s s w
5	b e s t i t w a s s w
6	e s t i t w a s s w
0	i t w a s b e s t i t w a s s w
9	i t w a s s w
4	s b e s t i t w a s s w
7	s t i t w a s s w
13	s w
8	t i t w a s s w
1	t w a s b e s t i t w a s s w
10	t w a s s w
14	w
2	w a s b e s t i t w a s s w
11	w a s s w

# Keyword-in-context search: suffix-sorting solution

- Preprocess: **suffix sort** the text.
- Query: **binary search** for query; scan until mismatch.

KWIC search for "search" in Tale of Two Cities

		:
632698	s e a l e d _ m y _ l e t t e r _ a n d _ ...	
713727	s e a m s t r e s s _ i s _ l i f t e d _ ...	
660598	s e a m s t r e s s _ o f _ t w e n t y _ ...	
67610	s e a m s t r e s s _ w h o _ w a s _ w i ...	
4430	s e a r c h _ f o r _ c o n t r a b a n d ...	
42705	s e a r c h _ f o r _ y o u r _ f a t h e ...	
499797	s e a r c h _ o f _ h e r _ h u s b a n d ...	
182045	s e a r c h _ o f _ i m p o v e r i s h e ...	
143399	s e a r c h _ o f _ o t h e r _ c a r r i ...	
411801	s e a r c h _ t h e _ s t r a w _ h o l d ...	
158410	s e a r e d _ m a r k i n g _ a b o u t _ ...	
691536	s e a s _ a n d _ m a d a m e _ d e f a r ...	
536569	s e a s e _ a _ t e r r i b l e _ p a s s ...	
484763	s e a s e _ t h a t _ h a d _ b r o u g h ...	
	:	

# Longest repeated substring

---

Given a string of  $N$  characters, find the longest repeated substring.

```
a a c a a g t t a c a a g c a t g a t g c t g t a c t a  
g g a g a g t t a t a c t g g t c g t c a a a c c t g a a  
c c t a a t c c t t g t g t g t a c a c a c a c t a c t a  
c t g t c g t c g t c a t a t a t c g a g a t c a t c g a  
a c c g g a a g g c c g g a c a a g g c g g g g g t a t  
a g a t a g a t a g a c c c c t a g a t a c a c a t a c a  
t a g a t c t a g c t a g c t c a t c g a t a c a  
c a c t c t c a c a c t c a a g a g t t a t a c t g g t c  
a a c a c a c t a c t a c g a c a g a c g a c c a a c c a  
g a c a g a a a a a a a a a c t c t a t a t c t a t a a a a
```

**Applications.** Bioinformatics, cryptanalysis, data compression, ...

# Longest repeated substring: a musical application

---

Visualize repetitions in music. <http://www.bewitched.com>

**Mary Had a Little Lamb**



**Bach's Goldberg Variations**



# Longest repeated substring

---

Given a string of  $N$  characters, find the longest repeated substring.

## Brute-force algorithm.

- Try all indices  $i$  and  $j$  for start of possible match.
- Compute longest common prefix (LCP) for each pair.



**Analysis.** Running time  $\leq D N^2$ , where  $D$  is length of longest match.

## Longest repeated substring: a sorting solution

input string

a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14

form suffixes

0	a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
1		a	c	a	a	g	t	t	t	a	c	a	a	g	c
2			c	a	a	g	t	t	t	a	c	a	a	g	c
3				a	a	g	t	t	t	a	c	a	a	g	c
4					a	g	t	t	t	a	c	a	a	g	c
5						g	t	t	t	a	c	a	a	g	c
6							t	t	t	a	c	a	a	g	c
7								t	t	a	c	a	a	g	c
8									t	a	c	a	a	g	c
9										a	c	a	a	g	c
10											c	a	a	g	c
11												c	a	a	g
12													a	a	g
13													g	c	
14														g	c

sort suffixes to bring repeated substrings together

0	a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
11			a	a	g	c									
3				a	a	g	t	t	t	a	c	a	a	g	c
9					a	c	a	a	g	c					
1						a	c	a	a	g	t	t	t	a	c
12							a	g	c						
4								a	g	t	t	t	a	c	a
14									c						
10										c	a	a	g	c	
2											c	a	a	g	t
13												g	c		
5												g	t	t	a
8												t	a	c	a
7												t	t	a	c
6												t	t	t	a

compute longest prefix between adjacent suffixes

a	a	c	a	a	g	t	t	t	a	c	a	a	g	c
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14

# Longest repeated substring: Java implementation

```
public String lrs(String s)
{
    int N = s.length();

    String[] suffixes = new String[N];
    for (int i = 0; i < N; i++)
        suffixes[i] = s.substring(i, N);                                ← create suffixes  
                                                (linear time and space)

    Arrays.sort(suffixes);                                         ← sort suffixes

    String lrs = "";
    for (int i = 0; i < N-1; i++)
    {
        int len = lcp(suffixes[i], suffixes[i+1]);
        if (len > lrs.length())
            lrs = suffixes[i].substring(0, len);                         ← find LCP between
                                                                adjacent suffixes in
                                                                sorted order
    }
    return lrs;
}
```

```
% java LRS < moby dick.txt
,- Such a funny, sporty, gamy, jesty, joky, hoky-poky lad, is the Ocean, oh! Th
```

## Sorting challenge

---

**Problem.** Five scientists  $A$ ,  $B$ ,  $C$ ,  $D$ , and  $E$  are looking for long repeated substring in a genome with over 1 billion nucleotides.

- $A$  has a grad student do it by hand.
- $B$  uses brute force (check all pairs).
- $C$  uses suffix sorting solution with insertion sort.
- $D$  uses suffix sorting solution with LSD string sort.
- ✓ •  $E$  uses suffix sorting solution with 3-way string quicksort.



but only if LRS is not long (!)

**Q.** Which one is more likely to lead to a cure cancer?

# Longest repeated substring: empirical analysis

input file	characters	brute	suffix sort	length of LRS
LRS.java	2,162	0.6 sec	0.14 sec	73
amendments.txt	18,369	37 sec	0.25 sec	216
aesop.txt	191,945	1.2 hours	1.0 sec	58
mobydick.txt	1.2 million	43 hours †	7.6 sec	79
chromosome11.txt	7.1 million	2 months †	61 sec	12,567
pi.txt	10 million	4 months †	84 sec	14
pipi.txt	20 million	forever †	???	10 million

† estimated

## Suffix sorting: worst-case input

Bad input: longest repeated substring very long.

- Ex: same letter repeated  $N$  times.
- Ex: two copies of the same Java codebase.

	form suffixes	sorted suffixes
0	t w i n s t w i n s	i n s
1	w i n s t w i n s	i n s t w i n s
2	i n s t w i n s	n s
3	n s t w i n s	n s t w i n s
4	s t w i n s	s
5	t w i n s	s t w i n s
6	w i n s	t w i n s
7	i n s	t w i n s t w i n s
8	n s	w i n s
9	s	w i n s t w i n s

LRS needs at least  $1 + 2 + 3 + \dots + D$  character compares,  
where  $D = \text{length of longest match}$ .

Running time. Quadratic (or worse) in  $D$  for LRS (and also for sort).

# Suffix sorting challenge

---

**Problem.** Suffix sort an arbitrary string of length  $N$ .

**Q.** What is worst-case running time of best algorithm for problem?

- Quadratic.
- ✓ • Linearithmic.      ← Manber-Myers algorithm
- ✓ • Linear.              ← suffix trees (beyond our scope)
- Nobody knows.

# Suffix sorting in linearithmic time

---

## Manber-Myers MSD algorithm overview.

- Phase 0: sort on first character using key-indexed counting sort.
- Phase  $i$ : given array of suffixes sorted on first  $2^{i-1}$  characters, create array of suffixes sorted on first  $2^i$  characters.

## Worst-case running time. $N \lg N$ .

- Finishes after  $\lg N$  phases.
- Can perform a phase in linear time. (!) [ahead]

# Linearithmic suffix sort example: phase 0

original suffixes

0	b a b a a a a b c b a b a a a a a 0
1	a b a a a a b c b a b a a a a a 0
2	b a a a a b c b a b a a a a a 0
3	a a a a b c b a b a a a a a 0
4	a a a b c b a b a a a a a 0
5	a a b c b a b a a a a a 0
6	a b c b a b a a a a a 0
7	b c b a b a a a a a 0
8	c b a b a a a a a 0
9	b a b a a a a a 0
10	a b a a a a a 0
11	b a a a a a a 0
12	a a a a a a 0
13	a a a a a 0
14	a a a a 0
15	a a 0
16	a 0
17	0

key-indexed counting sort (first character)

17	0
1	a b a a a a b c b a b a a a a a 0
16	a 0
3	a a a a b c b a b a a a a a 0
4	a a a b c b a b a a a a a 0
5	a a b c b a b a a a a a 0
6	a b c b a b a a a a a 0
15	a a 0
14	a a a 0
13	a a a a 0
12	a a a a a 0
10	a b a a a a a 0
0	b a b a a a a b c b a b a a a a a 0
9	b a b a a a a a 0
11	b a a a a a 0
7	b c b a b a a a a a 0
2	b a a a a b c b a b a a a a a 0
8	c b a b a a a a a 0

↑  
*sorted*

# Linearithmic suffix sort example: phase 1

original suffixes		index sort (first two characters)	
0	b a b a a a a b c b a b a a a a a 0	17	0
1	a b a a a a b c b a b a a a a a 0	16	a 0
2	b a a a a b c b a b a a a a a 0	12	a a a a a a 0
3	a a a a b c b a b a a a a a 0	3	a a a a a b c b a b a a a a a 0
4	a a a b c b a b a a a a a 0	4	a a a b c b a b a a a a a 0
5	a a b c b a b a a a a a 0	5	a a b c b a b a a a a a 0
6	a b c b a b a a a a a 0	13	a a a a a 0
7	b c b a b a a a a a 0	15	a a 0
8	c b a b a a a a a 0	14	a a a a a 0
9	b a b a a a a a 0	6	a b c b a b a a a a a 0
10	a b a a a a a 0	1	a b a a a a b c b a b a a a a a 0
11	b a a a a a a 0	10	a b a a a a a a 0
12	a a a a a a 0	0	b a b a a a a b c b a b a a a a a 0
13	a a a a a 0	9	b a b a a a a a a 0
14	a a a a 0	11	b a a a a a a a 0
15	a a a 0	2	b a a a a b c b a b a a a a a 0
16	a a 0	7	b c b a b a a a a a 0
17	0	8	c b a b a a a a a 0

↑  
*sorted*

# Linearithmic suffix sort example: phase 2

original suffixes		index sort (first four characters)	
0	b a b a a a a b c b a b a a a a a 0	17	0
1	a b a a a a b c b a b a a a a a 0	16	a 0
2	b a a a a b c b a b a a a a a 0	15	a a 0
3	a a a a b c b a b a a a a a 0	14	a a a 0
4	a a a b c b a b a a a a a 0	3	a a a a a b c b a b a a a a a 0
5	a a b c b a b a a a a a 0	12	a a a a a a 0
6	a b c b a b a a a a a 0	13	a a a a a 0
7	b c b a b a a a a a 0	4	a a a b c b a b a a a a a 0
8	c b a b a a a a a 0	5	a a b c b a b a a a a a 0
9	b a b a a a a a 0	1	a b a a a a a b c b a b a a a a 0
10	a b a a a a a 0	10	a b a a a a a 0
11	b a a a a a a 0	6	a b c b a b a a a a a 0
12	a a a a a a 0	2	b a a a a a b c b a b a a a a 0
13	a a a a a 0	11	b a a a a a a 0
14	a a a a 0	0	b a b a a a a b c b a b a a a a 0
15	a a 0	9	b a b a a a a a 0
16	a 0	7	b c b a b a a a a a 0
17	0	8	c b a b a a a a a 0

↑  
*sorted*

# Linearithmic suffix sort example: phase 3

	original suffixes	index sort (first eight characters)
0	b a b a a a a b c b a b a a a a a 0	17 0
1	a b a a a a b c b a b a a a a a 0	16 a 0
2	b a a a a b c b a b a a a a a 0	15 a a 0
3	a a a a b c b a b a a a a a 0	14 a a a 0
4	a a a b c b a b a a a a a 0	13 a a a a 0
5	a a b c b a b a a a a a 0	12 a a a a a 0
6	a b c b a b a a a a a 0	3 a a a a b c b a b a a a a a 0
7	b c b a b a a a a a 0	4 a a a b c b a b a a a a a 0
8	c b a b a a a a a 0	5 a a b c b a b a a a a a 0
9	b a b a a a a a 0	10 a b a a a a a 0
10	a b a a a a a 0	1 a b a a a a b c b a b a a a a a 0
11	b a a a a a a 0	6 a b c b a b a a a a a 0
12	a a a a a a 0	11 b a a a a a a 0
13	a a a a a 0	2 b a a a a b c b a b a a a a a 0
14	a a a a 0	9 b a b a a a a a a 0
15	a a a 0	0 b a b a a a a b c b a b a a a a a 0
16	a a 0	7 b c b a b a a a a a 0
17	0	8 c b a b a a a a a 0

↑  
finished (no equal keys)

# Constant-time string compare by indexing into inverse

	original suffixes	index sort (first four characters)	inverse[]
0	b a b a a a a b c b a b a a a a a 0	17 0	0 14
1	a b a a a a b c b a b a a a a a 0	16 a 0	1 9
2	b a a a a b c b a b a a a a a 0	15 a a 0	2 12
3	a a a a b c b a b a a a a a 0	14 a a a 0	3 4
4	a a a b c b a b a a a a a 0	3 a a a a b c b a b a a a a a 0	4 7
5	a a b c b a b a a a a a 0	12 a a a a a 0	5 8
6	a b c b a b a a a a a 0	13 a a a a a 0	6 11
7	b c b a b a a a a a 0	4 a a a b c b a b a a a a a 0	7 16
8	c b a b a a a a a 0	5 a a b c b a b a a a a a 0	8 17
9	b a b a a a a a 0	1 a b a a a a a b c b a b a a a a a 0	9 15
10	a b a a a a a 0	10 a b a a a a a 0	10 10
11	b a a a a a a 0	6 a b c b a b a a a a a 0	11 13
12	a a a a a a 0	2 b a a a a a b c b a b a a a a a 0	12 5
13	a a a a a 0	11 b a a a a a a 0	13 6
14	a a a a 0	0 b a b a a a a b c b a b a a a a a 0	14 3
15	a a 0	9 b a b a a a a a 0	15 2
16	a 0	7 b c b a b a a a a a 0	16 1
17	0	8 c b a b a a a a a 0	17 0

$\text{suffixes}_4[13] \leq \text{suffixes}_4[4]$  (because  $\text{inverse}[13] < \text{inverse}[4]$ )  
 so  $\text{suffixes}_8[9] \leq \text{suffixes}_8[0]$

## String sorting summary

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We can develop linear-time sorts.

- Key compares not necessary for string keys.
- Use characters as index in an array.

We can develop sublinear-time sorts.

- Input size is amount of data in keys (not number of keys).
- Not all of the data has to be examined.

3-way string quicksort is asymptotically optimal.

- $1.39 N \lg N$  chars for random data.

Long strings are rarely random in practice.

- Goal is often to learn the structure!
- May need specialized algorithms.

# Algorithms

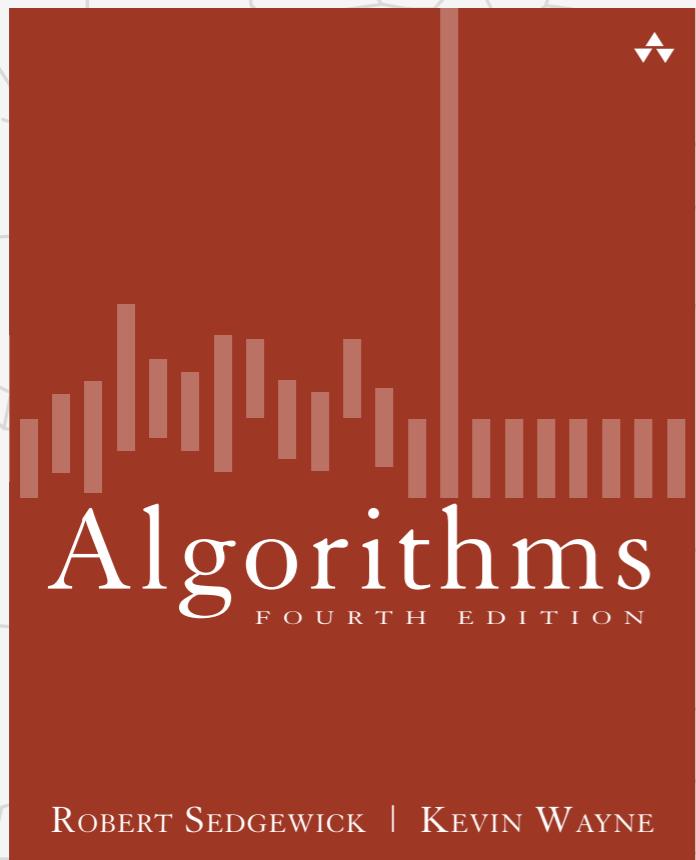
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<http://algs4.cs.princeton.edu>

## 5.1 STRING SORTS

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- ▶ *strings in Java*
- ▶ *key-indexed counting*
- ▶ *LSD radix sort*
- ▶ *MSD radix sort*
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- ▶ ***suffix arrays***



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