## Rust Memory Management

Kenjiro Taura

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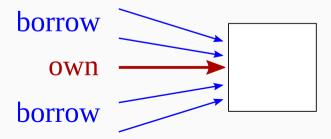
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## Introduction

## Rust's basic idea to memory management

- Rust maintains that, for any live object,
  - 1. there is one and only one pointer that "owns" it (the owning pointer)
  - 2. there are any number of non-owning pointers to it *(borrowing pointers)*
  - 3. borrowing pointers cannot be dereferenced after the owning pointer goes away
- $\Rightarrow$  it can safely reclaim the data when the owning pointer goes away

"single-ownership rule"



#### The rules are enforced statically

- Rust enforces the rules (or, detect violations thereof)
  - statically, not dynamically
  - compile-time, not at runtime
  - before execution, not during execution

"borrow checker"

## Escaping from the single ownership model

- there are actually some ways to get around the rules
- 1. reference counting pointers (≈ multiple owning pointers)
  - counts the number of owners *at runtime*, and reclaim the data when all these pointers are gone
- 2. unsafe/raw pointers (≈ totally up to you)

they are not specific to Rust, and we'll not cover them below

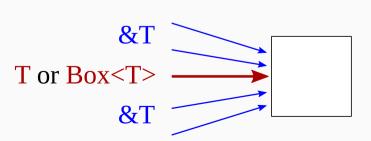
## **Rust Basics**

## Pointer-like data types in Rust

```
given a type T (i32, struct, enum, ...), below are types representing "references (pointers) to T"
```

- 1. T: owning pointer to T
- 2. BoxT> (pronounced "box T"): owning pointer to T
- 3. &T (pronounced "ref T"): borrowing pointer to T
- 4. Rc < T > and Arc < T >: shared (reference-counting) owning pointer to T
- 5. \*T: unsafe pointer to T

following discussions are focused on T, Box<T> and &T



#### Pointer-making expressions

given an expression e of type T, below are expressions that make pointers to the value of e (besides e itself)

- Box::new(e) (of type Box<T>): an owning pointer
- &e (of type &T): a borrowing pointer

#### An example

- note: type of variables can be omitted (spelled out for clarity)
- note: the above program violates several rules so it does not compile

# **Owning pointers**

## Assignments of owning pointers

• to maintain the "single-owner" rule, an assignment of owning pointers in Rust *does not copy, but moves it* out of the righthand side, disallowing further use of it

```
b = a; // a cannot be used below

fn foo() {
    let a = S{x: ..., y: ...};
    ... a.x ...; // OK, as expected
    ... a.y ...; // OK, as expected
```

## Assignments of owning pointers

• to maintain the "single-owner" rule, an assignment of owning pointers in Rust *does not copy, but moves it* out of the righthand side, disallowing further use of it

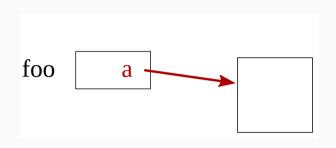
```
b = a; // a cannot be used below

fn foo() {
   let a = S{x: ..., y: ...};
   ... a.x ...; // OK, as expected
   ... a.y ...; // OK, as expected
   // the reference moves out from a
   let b = a;
   a.x; // NG, the value has moved out
   b.x; // OK
}
```

#### Argument-passing also moves the reference

• passing a value to a function also moves the reference out of the source

```
fn foo() {
  let a = S{x: ..., y: ...};
    ... a.x ...; // OK, as expected
    ... a.y ...; // OK, as expected
```

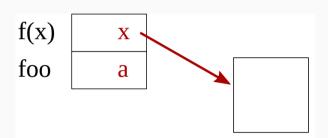


}

#### Argument-passing also moves the reference

• passing a value to a function also moves the reference out of the source

```
fn foo() {
  let a = S{x: ..., y: ...};
  ... a.x ...; // OK, as expected
  ... a.y ...; // OK, as expected
  // moves the reference out of a
  f(a);
  a.x; // NG, the reference has moved
}
```



## Exceptions to "assignment moves the reference"

• you may notice the moving assignment contradicts what you have seen

```
b = a; // a cannot be used after this
```

• if it applies everywhere, does the following program violate it?

```
fn foo() -> f64 {
  let a = 123.456;
  let b = a; // does the reference to 123.456 move out from a!?
  a + 0.789 // if so, is this invalid!?
}
```

- answer: no, it does *not* apply to primitive types like i32, f64, etc.
- more generally, it does not apply to data types that implement Copy trait

#### Copy trait

• define your struct with #[derive(Copy, Clone)] like

```
#[derive(Copy, Clone)]
struct S { ... }
```

•  $\Rightarrow$  assignment or argument-passing of S *copies* the righthand side

```
fn foo() {
  let a = S{x: ..., y: ...};
  a.x; // OK, as expected
  a.y; // OK, as expected
```

 note: copy types trivially maintain the single-owner rule

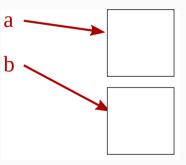
#### Copy trait

• define your struct with #[derive(Copy, Clone)] like

```
#[derive(Copy, Clone)]
struct S { ... }
```

•  $\Rightarrow$  assignment or argument-passing of S *copies* the righthand side

```
fn foo() {
   let a = S{x: ..., y: ...};
   a.x; //OK, as expected
   a.y; //OK, as expected
   // the value is copied
   let b = a;
   a.x; //OK
   b.x; //OK, too
}
```



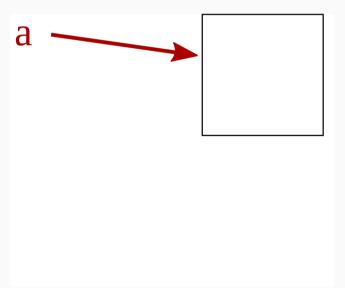
 note: copy types trivially maintain the single-owner rule

# Box< T > type

#### Box<T> makes an owning pointer

• making a pointer by Box::new(v) moves the reference out of v, too, and Box::new(v) becomes the owning pointer

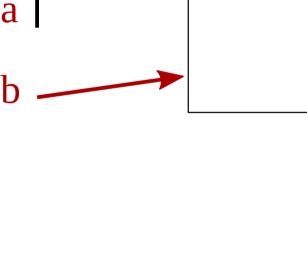
```
fn foo() {
  let a = S{x: ..., y: ...};
  a.x; //OK, as expected
  a.y; //OK, as expected
}
```



#### Box<T> makes an owning pointer

• making a pointer by Box::new(v) moves the reference out of v, too, and Box::new(v) becomes the owning pointer

```
fn foo() {
  let a = S{x: ..., y: ...};
  a.x; //OK, as expected
  a.y; //OK, as expected
  //OK, now b is the owning pointer
  let b = Box::new(a)
  a.x; //NG, the value has moved out
  (*b).x; //OK
  b.x; //OK. abbreviation of (*b).x
}
```



#### Difference between T and Box<T>?

• as you have seen, the effects of

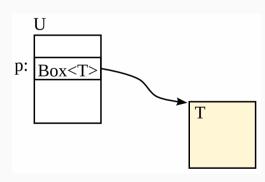
```
let b = a
and
let b = Box::new(a)
```

- look very similar (identical)
- as far as data lifetime is concerned, it is in fact safe to say they are
- Rust has distinction between them for
  - 1. specifying data layout
  - 2. allowing dynamic dispatch only for Box<T>
  - 3. specifying where data are allocated (stack vs. heap)

## Data layout differences between T and Box<T>

- S and U below have different data layouts
  - ▶ struct S { ..., p: T, } "embeds" a T into S
  - struct U { ..., p: Box< T>, } has p point to a separately allocated T



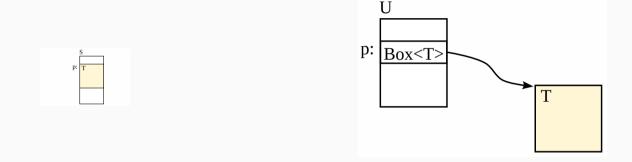


#### Data layout differences between T and Box<T>

- in particular, Box < T > is essential to define recursive data structures
  - struct S { ..., p: S, } is not allowed, whereas
  - ▶ struct U { ..., p: Box<U>, } is
- note: U above can never be constructed; a recursive data structure typically looks like
  - ▶ struct U { ..., p: Option<Box<U>>>, }

## Data layout differences between T and Box<T>

• the distinction is insignificant when discussing lifetimes



- in both cases, data of T (yellow box) is gone exactly when the enclosing structure is gone
- another difference is that Rust allocates T on stack and move it to heap when  ${\sf Box}{<}T{>}$  is made
- again, it has nothing to do with lifetime (unlike C/C++)

#### Owning pointers and control flows

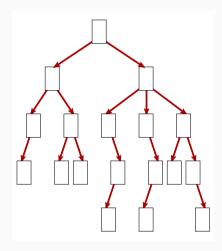
- Rust compiler determines, for each variable of owning pointer type (T or Box<T>), at which point the variable is can be used or *valid* (i.e., the value has not been moved out)
- it may be a *conservative* estimate

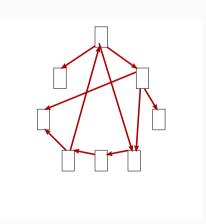
```
fn foo() {
  let a = S{x: ..., y: ...};
  if ... {
    let b = a;
  }
    ... a.x ... //NG
}

fn foo() {
  let a = S{x: ..., y: ...};
  for ... {
    let b = a;
    }
    ... a.x ... //NG
}
```

## A (huge) implication of the single-owner rule

- with only owning pointers (T and Box<T>),
  - ▶ you can make *a tree* of data,
  - but you cannot make a general graph with joins or cycles, where a node may be pointed to by multiple nodes
- to make a graph whose nodes are T, use either
  - &T to represent edges, or
  - Vec<T> to represent nodes and Vec<(i32, i32)> to represent edges

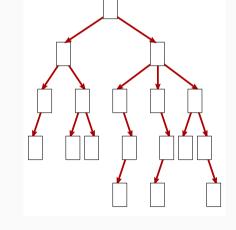




## The (huge) implication to memory management

- with only owning pointers (i.e., no borrowing pointers)
- whenever an owning pointer is gone (e.g.,
  - a variable goes out of scope or
  - a variable or field is overwritten),

the entire tree rooted from the pointer can be safely reclaimed



• Rust exactly does that, with the additional guarantee that *borrowing* pointers are never dereferenced after its owning pointer is gone

# Borrowing pointers (&T)

#### Basics

- you can derive any number of borrowing pointers (&T) from T or Box<T>
- the owning pointer remains valid after a borrowing pointer has been made

```
let a = S{x: .., y: ..};
let b = &a;
... a.x + b.x ... // OK
```

• the issue is how to prevent a program from *dereferencing borrowing* pointers after its owning pointer is gone

• a borrowing pointer cannot be dereferenced after its owning pointer is gone

}

• a borrowing pointer cannot be dereferenced after its owning pointer is gone

```
fn foo() -> i32 {
  let c: &S; // a reference to S
  { // an inner block
    let b: &S; // another reference
```

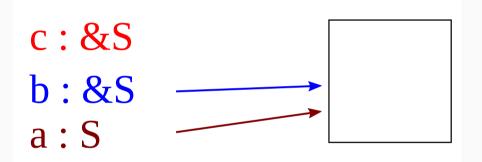
c:&S

b: &S

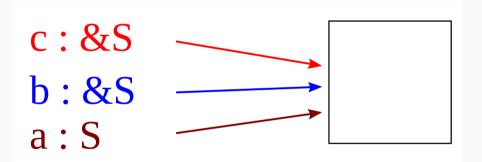
```
fn foo() -> i32 {
  let c: &S; // a reference to S
  { // an inner block
    let b: &S; // another reference
    let a = S\{x: ...\}; // allocate S
```

```
c:&S
b:&S
a:S
```

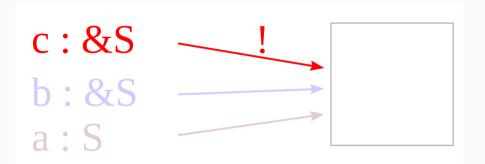
```
fn foo() -> i32 {
  let c: &S; // a reference to S
  { // an inner block
    let b: &S; // another reference
    let a = S\{x: ...\}; // allocate S
    // OK (both a and b live only until the end of
the inner block)
    b = &a;
```



```
fn foo() -> i32 {
  let c: &S; // a reference to S
  { // an inner block
    let b: &S; // another reference
    let a = S\{x: ...\}; // allocate S
    // OK (both a and b live only until the end of
the inner block)
    b = &a;
    c = b; // dangerous (c outlives a)
```



```
fn foo() -> i32 {
  let c: &S; // a reference to S
  { // an inner block
    let b: &S; // another reference
    let a = S\{x: ...\}; // allocate S
    // OK (both a and b live only until the end of
the inner block)
    b = &a;
    c = b; // dangerous (c outlives a)
  } // a dies here, making c a dangling pointer
  C. X // NG (deref a dangling pointer)
```



### A mutable borrowing reference (&mut T)

• data cannot be modified through ordinary borrowing references &T

```
let a : S = S{x: 10, y: 20};
let b : &S = &a;
b.x = 100; //NG
```

- i.e., &T is the type of *immutable* references
- you can modify data only through a mutable reference (&mut T)

```
let mut a : S = S{x: 10, y: 20};
let b : &mut S = &mut a;
b.x = 100; //OK
```

• the difference is largely orthogonal to memory management

# **Borrow checking details**

### A technical remark about the borrow checking

- it's *not a creation* of a dangling pointer, *per se*, that is not allowed, but *dereferencing* of it
- *a slightly modified code below compiles without an error*, despite that c becomes a dangling pointer to a (as it is not dereferenced past a's lifetime)

```
fn foo() -> i32 {
  let c: &S; // a reference to S
  {    // an inner block
    let b: &S; // another reference
    let a = S{x: ...}; // allocate S
    // OK (both a and b live only until the end of the inner block)
    b = &a;
    c = b; // dangerous (c outlives a)
  } // a dies here, making c a dangling pointer
    // c.x don't deref c }
```

# How borrow checking works: lifetime

- *lifetime* of data
  - program points where the data has not been deallocated
  - program points where the data's owning pointer is valid
- for each borrowing pointer, Rust compiler determines the *lifetime* of data it points to *(referent lifetime)* as its static type
- upon assignment p = q between borrowing pointers, it demands

referent lifetime of  $p \subset$  referent lifetime of q

# How borrow checking basically works

```
fn foo() -> i32 {
let c: &S; // \to \alpha
{
let b: &S; // \to \alpha
let a = S{x: ...}; // lives until \alpha
b = &a; // b's referent lifetime = a's lifetime
c = b; // c's referent lifetime = b's
} // a dies here (\alpha)
c.x // NG (deref outside c's referent lifetime = \alpha)
}
```

- 1. the owning pointer a's lifetime is the inner block (call it  $\alpha$ )
- 2. due to the assignments,
  - b's referent lifetime  $\subset \alpha$
  - c's referent lifetime  $\subset \alpha$
- 3.  $\therefore$  c.x outside the inner block ( $\not\subset \alpha$ ) is invalid

### Programming with borrowing references

- in more general cases, programs using borrowing references must help compilers track their referent lifetimes
- this must be done for functions called from unknown places, function calls to unknown functions and data structures
- to this end, the programmer sometimes must annotate *reference types with their referent lifetimes*

### References in function parameters

problem: how to check the validity of:

1. functions taking references without knowing all its callers,

```
fn p_points_q(p: &mut P, q: &Q) {
  p.x = q; //OK?
}
```

2. function calls passing references without knowing the definition of f?

```
let c = ...;
{
  let a = Q{...};
  let b = &a;
  f(c, b);
} ... c.x.y ... // OK?
```

#### References in function return values

problem: how to check the validity of:

1. functions returning references without knowing its all callers for

```
return_ref(...) -> &P {
    ...
    let p: &P = ...
    ...
    p // OK?
}
```

2. function calls receiving references from function calls

```
fn receive_ref() {
    ...
    let p: &P = return_ref(...);
    ...
```

### References in function return values

```
p.x // OK?
}
```

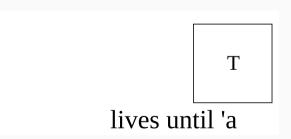
problem: how to check the validity of:

1. dereferencing a pointer obtained from a data structure fn ref\_from\_struct()
{
 ...
 let p: &P = a.p;
 ...
 p.x // OK?
}

2. what about functions taking data structures containing references and returning another containing references, etc.?

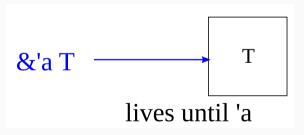
### Reference type with a lifetime parameter

- to address this problem, Rust's borrowing reference types (&T or  $\&mut\ T$ ) carry *lifetime parameter* representing their referent lifetimes
- syntax:
  - &'aT: reference to "T whose lifetime is 'a"
  - &' a mut T: ditto; except you can modify data through it
- *every* reference carries a lifetime parameter, though there are places you can omit them
- roughly, you must write them explicitly in function parameters, return types, and struct/enum fields; and can omit them for local variables



### Reference type with a lifetime parameter

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- roughly, you must write them explicitly in function parameters, return types, and struct/enum fields; and can omit them for local variables



### Attaching lifetime parameters to functions

• the following does not compile:

```
fn foo(ra: &i32, rb: &i32, rc: &i32) -> &i32 {
  ra
}
```

with errors like:

# Why do we need an annotation, *fundamentally*?

• without any annotation, how to know whether this is safe, *without knowing the definition of foo?* 

```
let r : &i32;
let a = 123;
 let b = 456;
   let c = 789;
   r = foo(&a, &b, &c);
```

• essentially, the compiler complains "tell me what kind of lifetime foo(&a, &b, &c) has"

# Attaching lifetime parameters to functions

• syntax:

```
fn f<'a, 'b, 'c, …>(p_0 : T_0, p_1 : T_1, …) -> T_r { … } T_0, T_1, ..., \text{ and } T_r \text{ may use 'a, 'b, 'c, ... as lifetime parameters (e.g., \&'a i32)}
```

• f<'a, 'b, 'c, ...> is a function that takes parameters of respective lifetimes

### One way to attach lifetime parameters

```
• effect: the return value is assumed to point to the shortest of the three
```

fn foo<'a>(ra: &'a i32, rb: &'a i32, rc: &'a i32) -> &'a i32

- why? generally, when Rust compiler finds
  foo(x, y, z), it tries to determine 'a so that
  it is contained in the lifetime of all (x, y, and
  z)
- as a result, our program does not compile, even if foo(&a, &b, &c) in fact returns &a

```
let r: &i32;
  let a = 123;
    let b = 456;
      let c = 789;
       r = foo(&a, &b, &c);
      // 'a \leftarrow shortest of \{\alpha, \beta, \gamma\} = \gamma
      // and r's type becomes &\gamma i32
    } // c's lifetime (= \gamma) ends here
  } // b's lifetime (= \beta) ends here
  *r // NG, as we are outside \gamma
```

#### An alternative

```
fn foo<'a,'b,'c>(ra: &'a i32, rb: &'b i32, rc: &'c i32) -> &'a i32
```

- signifies that the return value points to data whose lifetime is ra's referent lifetime (and has nothing to do with rb's or rc's)
- for foo(x, y, z), Rust compiler tries to determine 'a so it is contained in the lifetime of x's referent (therefore 'a =  $\alpha$ )
- as a result, the program we are discussing compiles:

```
let r: &i32;
  let a = 123;
    let b = 456;
       let c = 789;
       r = foo(&a, &b, &c);
      // ' a \rightarrow shortest \ of \{\alpha\} = \alpha
      // and r's type becomes &\alpha i32
    } // c's lifetime (= \gamma) ends here
  } // b's lifetime (= \beta) ends here
  *r // OK, as here is within \alpha
```

### Types with lifetime parameters capture/constrain the function's behavior

• what if you try to fool the compiler by:

```
fn foo<'a,'b,'c>(ra: &'a i32, rb: &'b i32, rc: &'c i32) -> &'a i32 {
  rb
}
```

- the compiler rejects returning rb (of type & b) when the function's return type is & a
- in general, the compiler allows assignments only between references having the same lifetime parameter

### Another example (make a reference between inputs)

• what if we rewrite

r = foo(&a, &b, &c); into bar(&mut r, &a, &b, &c); with bar something like

fn bar(r: &mut &i32, a: &i32, b: &i32, c: &i32) {
 \*r = a;
}

### Make a reference between inputs

- how to specify lifetime parameters so that:
  - 1. \*r = a; in bar's definition is allowed, and
  - 2. we can dereference \*r at the end of the caller?

```
let a = 123;
  let mut r = \&0;
    let b = 456;
       let c = 789;
       bar(&mut r, &a, &b, &c); //r \rightarrow ???
    } // c's lifetime (= \gamma) ends here
  } // b's lifetime (= \beta) ends here
  *r // OK???
} // a's lifetime (= \alpha) ends here
```

#### Answer

- again, we need to signify that r points to a (and not b or c after bar(&r, &a, &b, &c))
- a working lifetime parameter is the following:

• problem: how to check the validity of programs using data structure containing a borrowing reference

```
struct R {
 p: &i32
and functions returning R:
fn ret_r(a: &i32, b: &i32, c: &i32) -> R {
 R { p: a }
or taking R (or reference to it):
```

```
fn take_r(r: &mut R, a: &i32, b: &i32, c: &i32) {
  r.p = a;
}
```

• you cannot simply have a field of type &T in struct/enum like this:

```
struct R {
  p: &i32
  ...
}
```

• you need to specify the lifetime parameter of p, and let R take the lifetime parameter:

```
struct R<'a> {
  p: &'a i32
  ...
}
```

• R<'a> represents R whose p field points to an i32 whose lifetime is 'a

• this way, a structure containing borrowing references exposes their referent lifetimes to its user

### Attaching lifetime parameters to data structure

• say we like to have data structures:

```
struct T { x: i32 }
struct S { p: &T }
```

• and a function:

```
fn make_s(a: &T, b: &T) -> S { S { p: a } }
```

• so that the following compiles:

```
let s;
let a = T{...};
{
  let b = T{...};
  s = make_s(&a, &b);
```

# Attaching lifetime parameters to data structure

```
}
s.p.x
```

- the compiler needs to verify s.p points to a, not b
- we have to signify that by appropriate lifetime parameters

#### Answer

• define S<'a> so its p's referent lifetime is 'a

```
struct S<'a> { p: &'a T }
```

• define make\_s so it returns S<'a> where 'a is the referent lifetime of its *first* parameter

```
fn make_s(a: &'a T, b: &'b T) -> S<'a> {
   S { p: a }
}
```

### A more complex example Rust cannot verify

say we now have data structures

```
struct S {
  p: &T,
  q: &T
}
• and a function
fn make_s(a: &T, b: &T) -> S {
```

struct T { x: i32 }

S { p: a, q: b }

• so that the following compiles

# A more complex example Rust cannot verify

```
let s;
let a = T{...};
{
   let b = T{...};
   s = make_s(&a, &b);
}
s.p.x
```

• again, the compiler needs to verify s.p points to a, not b

# Answer that I thought should work but doesn't

- define S so that:
  - ▶ its p points to T of lifetime 'a, and
  - ▶ its q points to T of lifetime 'b

```
struct S<'a, 'b> {
   p: &'a T,
   q: &'b T
}
```

• define make\_s so it returns S<'a, 'b> where 'a is the lifetime of its first parameter, like:

```
fn make_s(a: &'a T, b: &'b T) -> S<'a, 'b> {
   S { p: a, q: b }
}
```

### The compiler complains

- I don't know what is the exact spec of Rust that rejects this program, but it is apparently that Rust disallows *dereference of any struct any lifetime* parameter of which is invalid at the point of dereference
- in this example, s : S<'a, 'b> and one of its lifetime parameters ('b) is invalid at line 18

# **Summary**

# Why memory management is difficult

- every language wants to prevent dereferencing a pointer to an alreadyreclaimed memory block (dangling pointer)
- the problem would have been trivial if you could reclaim v's referent as soon as v goes out of scope
- this is not the case, as v's referent may still be reachable from other variables when v goes out of scope

```
let p : &T;
{
    let v = T{x: ...};
    ...
    p = &v;
} // v never used below, but its referent is ... p.x ...
```

# Why memory management is difficult

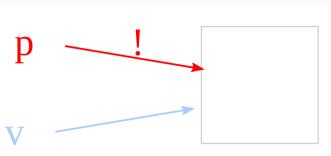
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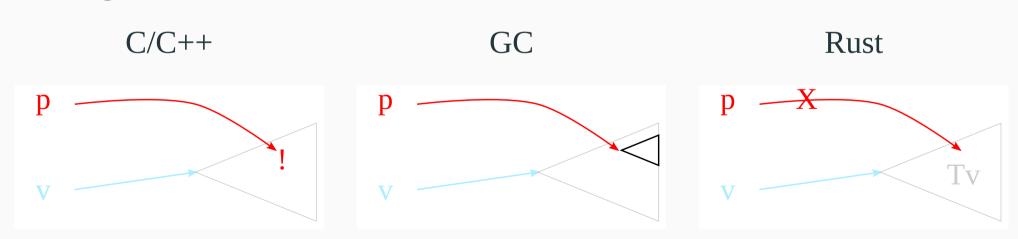
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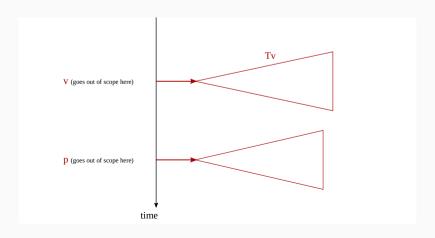


#### C vs. GC vs. Rust

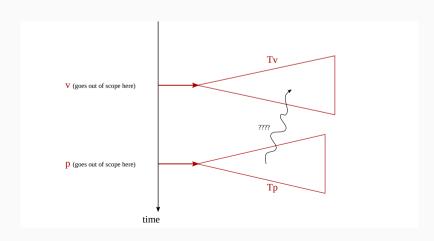
- C/C++: it's up to you
- GC: if it is reachable from other variables, I retain it for you
- Rust: when v goes out of scope,
  - 1. I reclaim  $T_v$ , all data reachable from v through owning pointers
  - 2.  $T_v$  may be reachable from other variables via borrowing references, but I guarantee such references are never dereferenced



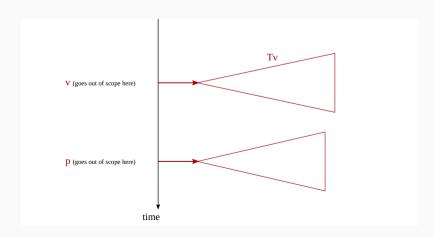
- say two data structures  $T_v$  rooted at variable v and  $T_p$  rooted at variable p
- assume v goes out of scope earlier than p
- we wish to guarantee when v goes out of scope, it is safe to reclaim the entire  $T_{\nu}$
- generally it is of course not the case, as there may be pointers somewhere in  $T_v \to {\rm somewhere \ in} \ T_v$



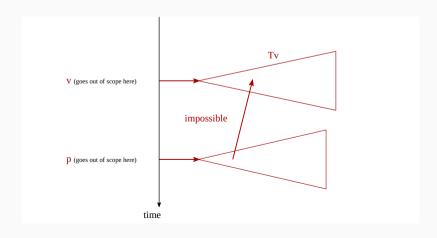
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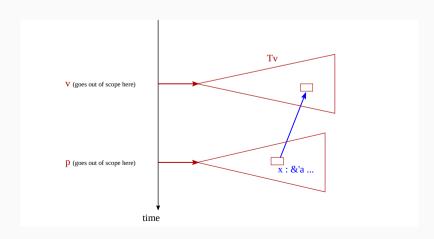
- recall the "single-owner rule," which guarantees there is only one owning pointer to any node
- $\Rightarrow$  there can be no *owning* pointers from outside  $T_v$  to inside  $T_v$
- $\Rightarrow$  any such pointer must be a borrowing pointer
- crucially, a borrowing pointer must have a lifetime parameter (lifetime of the referent); say 'a



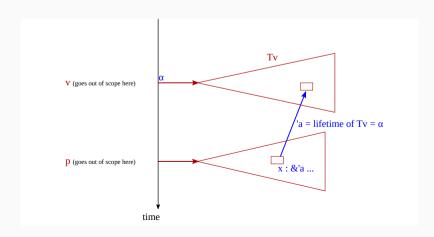
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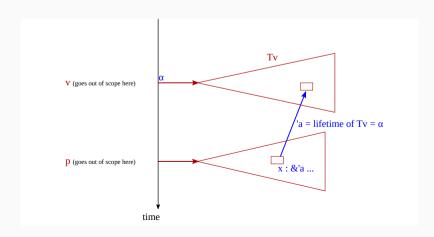
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- any structure containing borrowing pointers must carry these parameters too, as part of its type (e.g., S<'a>)
- assignment to such borrowing pointers determines 'a to end when the righthand side goes out of scope ( $\alpha$  in the figure)
- by 'a =  $\alpha$ , the containing data structure (T\_p, of type S<'a>) cannot be dereferenced



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