

数据结构与算法分析

华中科技大学软件学院

2017年秋

大纲

- 1 树的表示
- 2 二叉树
- 3 二叉查找树
- 4 平衡二叉树
- 5 B树

课程计划

- 已经学习了
 - 线性表的数组与链表实现
 - 桶式排序与基数排序
 - 堆栈及其应用
 - 队列

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- 即将学习
 - 树的表示
 - 二叉树，树的遍历，决策树
 - 二叉查找树
 - 平衡二叉树：AVL树、红黑树
 - B-树，B+树

树



Roadmap

1 树的表示

2 二叉树

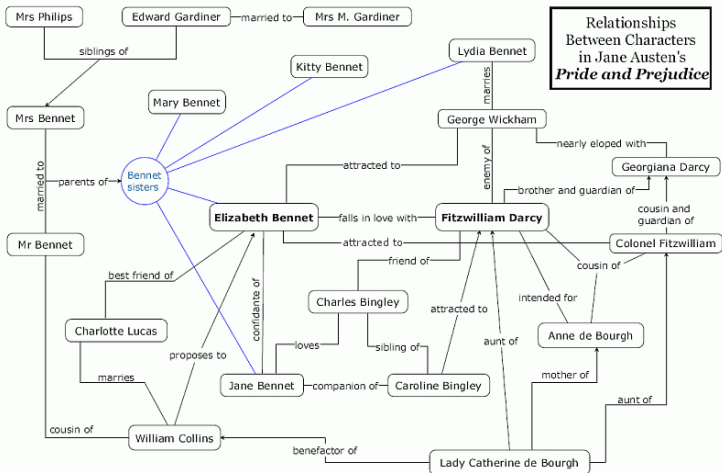
3 二叉查找树

4 平衡二叉树

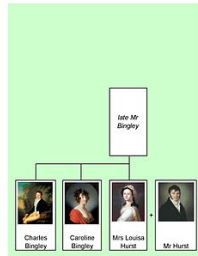
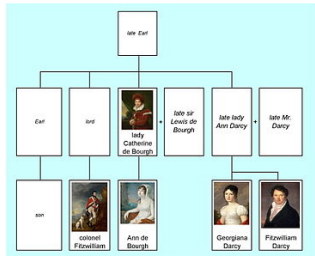
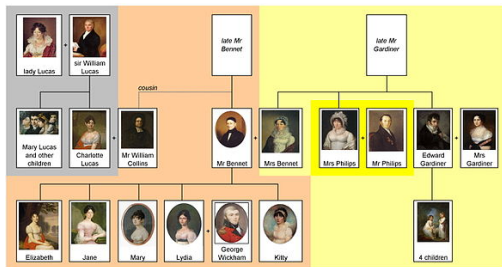
5 B树

- Already talked about computation/recursion tree
- Other trees:
 - Hierarchy of file folders/Sub-domain names
 - Represent infix expressions
 - XML
 - Family trees, organization charts
 - Dictionary searches
- Tree is a set of nodes connected in a certain way

Relationship Graph



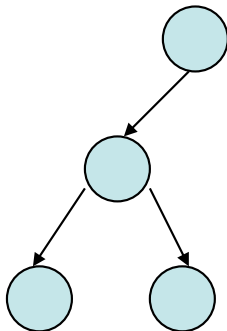
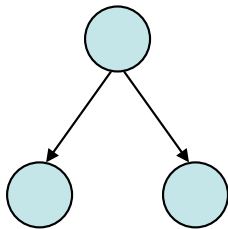
Family Trees



树的定义

- Recursive definition:
 - $\{\}$ is a tree (empty tree);
 - A node r , with ≥ 0 non-empty subtrees T_i , and with a directed edge from r to T_i
- Upside-down drawing of natural tree
 - Top node = root
 - Bottom (childless) nodes = leaves
- Tree (or a node) has a height, the length of the longest path from root
 - max number of edges from root to bottom (or node)
 - $\text{Height}(\text{null}) = -1$, $h(\text{root}) = 0$

树的递归定义



树的实现

```
typedef struct TreeNode *PtrToNode;
typedef struct treeNode
{
    Elementype element;
    PtrToNode firstChild;
    PtrToNode nextSibling;
} TreeNode;
```

- Tree is an instance of TreeNode, with its members
- If R is root, what is R.nextSibling?

文件结构

- File/directory listing
- Treat directory as special kind of tree

```
void listDir (DirectoryOrFile D, int depth)
{
    printName (D, depth);
    if (isDirectory (D))
    {
        for each child C in dir D
            listDir (C, depth+1);
    }
}

void listAll (DirectoryOrFile D)
{
    listDir (D, 0);
}
```

文件结构举例

Desktop

- My documents
 - My music
 - My pictures
- My computer
 - C
 - Documents and settings
 - Gang Shen
 - desktop
 - Program files
 - D

Roadmap

1 树的表示

2 二叉树

3 二叉查找树

4 平衡二叉树

5 B树

二叉树

Most often, restrict the allowed number of children to 2 (may have 0 or 1)

- Each node has two children, possibly null
- Nulls not drawn

```
typedef struct binTreeNode
{
    ElementType element;
    struct binTreeNode *left;
    struct binTreeNode *right;
} BinTreeNode;
```

二叉树的遍历

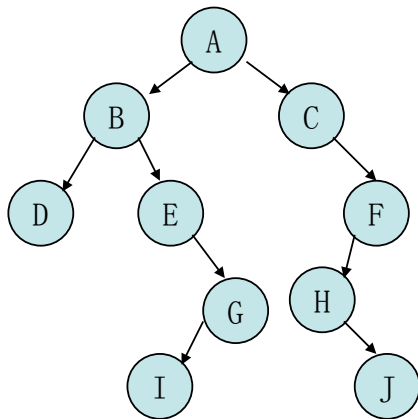
- Three ways to visit all nodes of a binary tree in depth-first fashion
 - Pre-order
 - Post-order
 - In-order
- Depends on visit parent before, after or between its children. For example, preorder
 - Visit current node
 - Visit left subtree
 - Visit right subtree

二叉树的先序遍历

```
void pre_order (BinTreeNode *root)
{
    if (root == NULL)
        return;

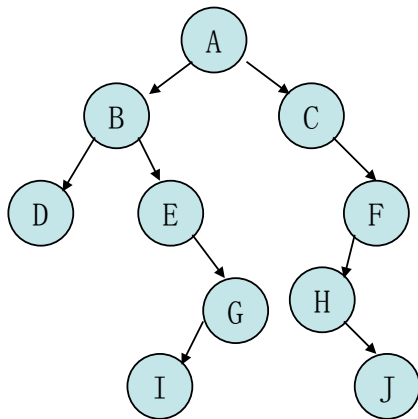
    print ("%c, ", root->element);
    pre_order (root->left);
    pre_order (root->right);
}
```

遍历



- preorder:
- inorder:
- postorder:

遍历

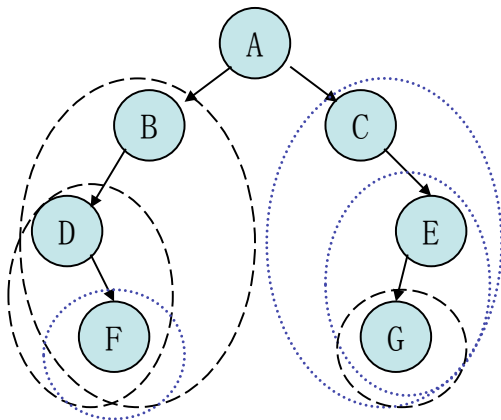


- preorder: A, B, D, E, G, I, C, F, H, J,
- inorder: D, B, E, I, G, A, C, H, J, F,
- postorder: D, I, G, E, B, J, H, F, C, A,

通过遍历结果构造二叉树

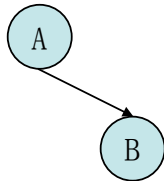
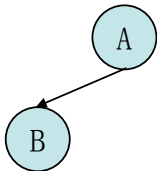
- What information was lost when we have only traversal results of a tree?
- Is a traversal sufficient to rebuild a tree?
 - What about combos?
- Given an in-order traversal and a pre/post-order traversal, what should we do to construct a tree?
- In-order: D, F, B, A, C, G, E,
- Compare Pre-order: A, B, D, F, C, E, G,

构造一棵树



- In-order: **D**, **F**, **B**, **A**, **C**, **G**, **E**,
- Compare Pre-order: **A**, **B**, **D**, **F**, **C**, **E**, **G**,

先序+后序？



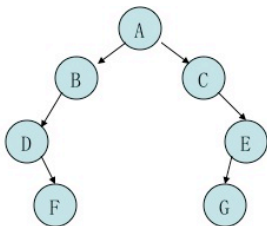
Two distinct trees share the same traversal sequences

- Pre-order: A, B,
- Post-order: B, A,

用数组表示二叉树

Parent->children

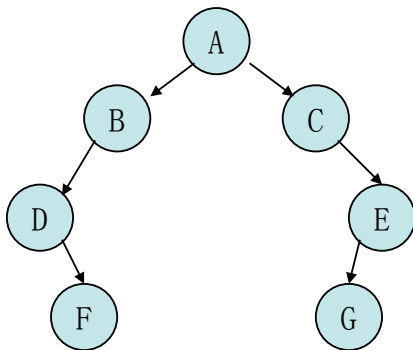
A	1	2
B	3	-1
C	-1	4
D	-1	5
E	6	-1
F	-1	-1
G	-1	-1



Children->parent

A	-1
B	0
C	100
D	1
E	102
F	103
G	4

用数组表示二叉树



$A[i]$: current node, $A[2*i]$: left child, $A[2*i+1]$: right child

	A	B	C	D			E		F					G	
--	---	---	---	---	--	--	---	--	---	--	--	--	--	---	--

表达式树

- Algebra expressions can be represented by trees
- $(a + (b * c)) + (((d * e) + f) * g)$
 - Hard to parse directly
 - Saw before: can convert to postfix, then parse
- Idea: represent as tree
 - Operands on leaves
 - Operations on root and internal nodes
- Then traverse to print postfix
- On each node, print left, right, then element

打印后缀表达式

采用后序遍历

```
void postfix (BinTreeNode *root)
{
    if (root != NULL)
    {
        postfix (root->left);
        postfix (root->right);
        print "(%c, ", root->element);
    }
}
```

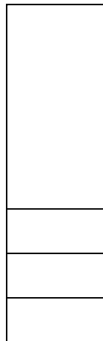
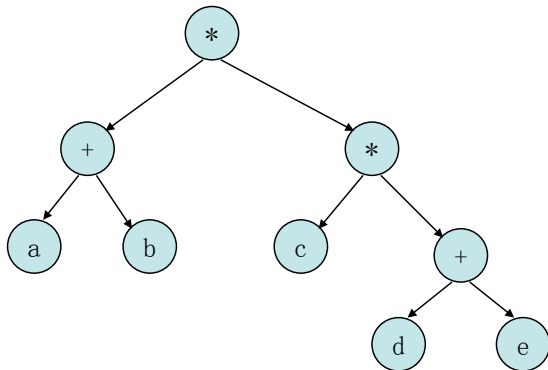
构造表达式树

- Given a tree, pretty easy to print post-order. How to get the tree?
- Similar to stack algorithm for infix \rightarrow postfix

```
while (!end of expression)
{
    Read variable, then push as TreeNode
    Read operation, then pop t1, t2 to
        form a TreeNode and push new
        TreeNode (op,t1,t2)
}
```

Example: `ab+cde+**`

表达式树



二叉树的高度

Height(T) = max distance from root to a leaf

Theorem

Number of nodes in a binary tree $n(T) \leq 2^{h(T)+1} - 1$.

Proof: by induction. Base case, one node: $n(T) = 1$, then $2^{h(T)+1} - 1 = 2^{0+1} - 1 = 1$. Assume true for trees of height $\leq H$. Let $h(T) = H+1$, then

$$\begin{aligned} n(T) &= 1 + n(T_1) + n(T_2) \\ &\leq 1 + 2^{h(T_1)+1} - 1 + 2^{h(T_2)+1} - 1 \quad (\text{induction}) \\ &\leq 2 * \max(2^{h(T_1)+1}, 2^{h(T_2)+1}) - 1 \\ &= 2 * 2^{\max(h(T_1)+1, h(T_2)+1)} - 1 \\ &= 2 * 2^{h(T)} - 1 \quad (\text{definition of height}) \\ &= 2^{h(T)+1} - 1 \end{aligned}$$

二叉树的高度

- If know # of nodes, can get max height
- 8 nodes \rightarrow height at least 2
- $n(T) \leq 2^{h(T)+1} - 1, \log(n(T)) \leq h(T) + 1 - \log(1), \log(n(T)) - 1 \leq h(T)$
- Full binary tree: over half nodes are leaves
- Because all levels but the last are internal, sum of powers

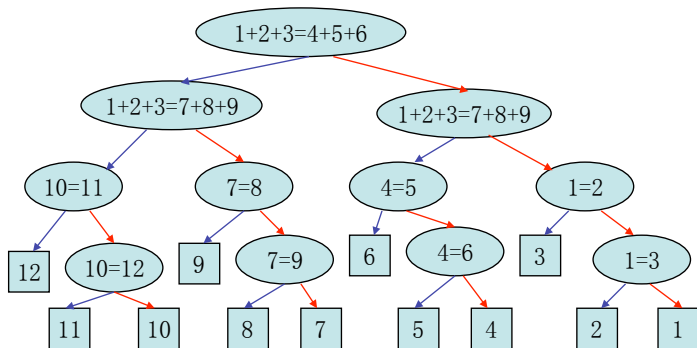
决策树

- Can think of many algorithms as decision trees, decisions on leaves, conditions on internal nodes
 - At each stage, make test
 - Go one way or other
 - Eventually stop
- Example: have a scale and 12 balls, 1 of them defected. Assume w the defcted weighs different, how many comparisons necessary to find?
- Draw a decision tree with 12 leaves

决策树

- Divide and then hopefully conquer:
 - Trivial case: 3 or 4 balls, two weighs give the result
 - Induction step: partition into groups, reduce the problem to smaller size by a weigh
- Label balls with numbers: 1, 2, 3, ...
- Leaves of the decision tree: 12 possibilities of the disqualified ball
- Height of the tree: $h(T) = \log 12$, round up

决策树



→ \neq

→ $=$

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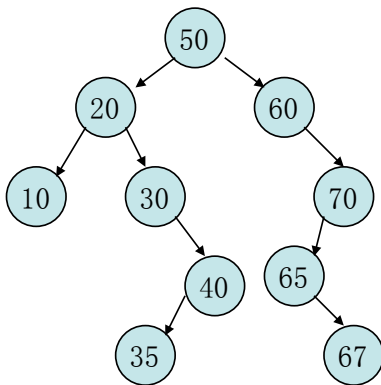
二叉查找树

- Data Structure with fast search, slow insert/delete
 - Sorted array, with bounded size
- Data Structures with fast insert/delete, slow search
 - Linked List
- balanced BST: fast search, fast insert, fast delete
 - No bounded size
 - All operations $\log(n)$, if balanced

BST

- BST = Binary trees + one new property
 - For a node n , everything left of n is $<n$;
everything right of n is $\geq n$
 - Applies to all nodes in two subtrees, at every level, not just the 2 direct children
- But not as hard as sounds: done at insert time
- Also: no duplicates, or use counter
- Recall: $2^{h(T)+1} - 1 = N(T)$

BST 举例



- Pre-order :
- In-order :
- Post-order :

BST中的查找

类似于折半查找

```
typedef struct BinTreeNode *SearchTree;
```

```
Position find (ElementType x, SearchTree T)
{
    if (T == NULL)
        return (NULL);

    if (x < T->element)
        return find (x, T->left);
    else if (x > T->element)
        return find (x, T->right);
    else return (T);
}
```

改写为迭代

仍然类似于折半查找

```
Position find (ElementType x, SearchTree T)
{
    while (T != NULL)
    {
        if (x < T->element)
            T = T->left;
        else if (x > T->element)
            T = T->right;
        else
            return (T);
    }
    return (NULL);
}
```

BST findmin/findmax

Find minimum element: given T, left child is smaller, right child is bigger

Position findMin (SearchTree T)

```
{  
    if (T == NULL)  
        return (NULL);  
  
    if (T->left == NULL)  
        return (T);  
  
    return (findMin (T->left));  
}
```

time = depth of tree $\approx \log n$

非递归形式代码

Tail recursion — recursion called at end, easy to convert to iterative

Idea: keep going left until null is found, then return the element

Change if(exp) to while (!exp)

Position findMin (SearchTree T)

```
{  
    if (T == NULL)  
        return (NULL);  
  
    while (T->left != NULL)  
        T = T->left;  
  
    return (T);  
}
```

BST插入

Idea: either return new node, or return sub-tree after x inserted

```
SearchTree insert (ElementType x, SearchTree T)
```

```
{  
    if (T == NULL)  
    {  
        T = malloc (sizeof (TreeNode));  
        T->element = x;  
        T->left = NULL;  
        T->right = NULL;  
    }  
    else if (x < T->element)  
        T->left = insert (x, T->left);  
    else if (x > T->element)  
        T->right = insert (x, T->right);  
  
    return (T);  
}
```

非递归插入

```
void insert (ElementType x, SearchTree T)
{
    SearchTree *P;

    while (T != NULL)
    {
        if (x < T->element)
        {
            P = &(T->left);
            T= T-> left
        }
        else if (x > T->element)
        {
            P = &(T->right);
            T= T-> right
        }
        else
            return;          /* already existing */
    }
    *P = (SearchTree)malloc (sizeof (TreeNode));
    *P->element = x;
    *P->left = NULL; *P->right = NULL;
}
```

BST删除

- As often, hardest case: insertion always happens on the bottom, but deletion may take place anywhere
- First, find the node, if has ≤ 1 children, then easy
 - 0: just delete
 - 1: replace it with its child
- If has 2 children, then harder
 - Strategy: replace deleted node with smallest element from right sub-tree (or the largest of the left sub-tree)
 - What about that node? we must delete it (but this one easy)

删除代码

```
SearchTree Delete (ElementType x, SearchTree T)
{
    Position tmpCell;

    if (T == null)
        return (NULL);

    if (x < T->element)
        T->left = delete (x, T->left);
    else if (x > T->element)
        T->right = delete (x, T->right);
    else if (T->left != NULL && T->right != NULL)
    {
        tmpCell = findMin (T->right);
        T->element = tmpCell->element;
        T->right = delete (T->element, T->right);
    }
    else T = T->left != null ? T->left : T->right;

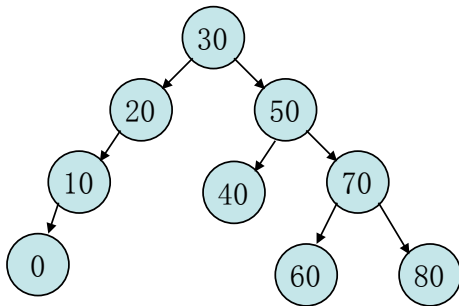
    return (T);
}
```


插入与删除

- Insert 30, 20, 50, 70, 10, 40, 60, 80, 0
- Delete 0, 20, 30
- So: deletion is hard. One solution: lazy delete
- Don't physically remove. Just mark as deleted
 - If duplicate, decrement count
 - Often used in databases

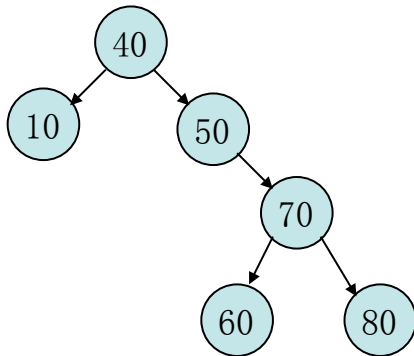
插入

Insert 30, 20, 50, 70, 10, 40, 60, 80, 0



删除

Delete 0, 20, 30



BST平均复杂度

- Each time descend a level, cut nodes in half, assuming 2 children each
- Can show: if all BSTs equiprobable, $\text{depth} = O(\log n)$
- But are they?
- Given right n insertions (which?), depth can be n

BST最坏复杂度

- BST properties must always hold
- How many trees have nodes 1, 2, 3?
 - Value set doesn't determine tree
 - But value list does
- But what if many nodes have 1 child?
 - What if “unbalanced” ?
 - Say, if insert 1, 2, 3, 4, 5 or 5, 4, 3, 2, 1?
- In worse case, BST becomes a linked list
 - Find: $O(n)$
 - Insert: $O(n)$
 - Delete: $O(n)$
- In practice, BST performance could be bad

实验三: Josephus problem

- N people form a circle, eliminate a person every k people, who is the final survivor?
- Label each person with 0, 1, 2, ..., n-1, denote $J(n, k)$ the labels of survivors when there are n people
- First eliminate the person labeled k-1, re-label the rest, starting with 0 for the one originally labeled k

0	1	2	3	...	k-2	k-1	k	k+1	...	n-1
				...	n-2		0	1	...	

- Dynamic programming

$$J(n, k) = (J(n-1, k) + k) \% n, \text{ if } n > 1,$$

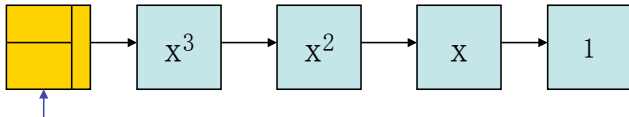
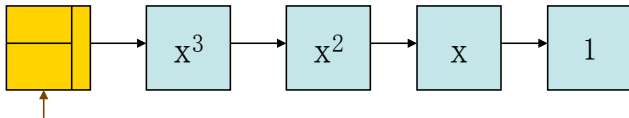
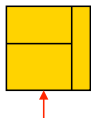
$$J(1, k) = 0$$

实验三: Polynomial multiplication

- If sorted, we know where to insert later items (following the current node), search takes $O(n^2)$
- For example,
 $f(x) = x^3 + x^2 + x + 1, g(x) = x^3 + x^2 + x + 1$, to get $f(x) * g(x)$
- First do $x^3 * g(x)$, we have
 $H \rightarrow x^6 \rightarrow x^5 \rightarrow x^4 \rightarrow x^3$, always insert into the end, n insertions
- Then add to above $x^2 * g(x)$,
 $H \rightarrow x^6 \rightarrow 2x^5 \rightarrow 2x^4 \rightarrow 2x^3 \rightarrow x^2$, $n+1$ additions/insertion
- Remember $n + (n + 1) + \dots + (2n - 1) = O(n^2)$

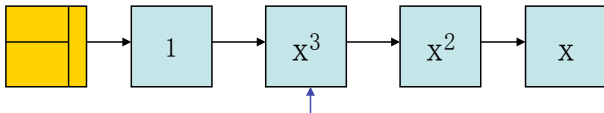
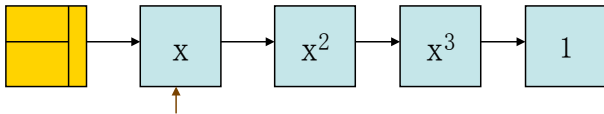
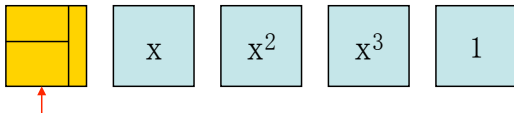
排序

Consecutive insertions by remembering the last node



未排序

Search has to start from the head



复杂度分析

- Let $f(n) = \sum c_i x_i$, $g(n) = \sum d_i x_i$, for $i = 0..n$, and denote $T(n)$ time complexity of $f(n) * g(n)$
- Because $f(n) * g(n) = c_n d_n x^{2n} + x^n * (c_n g(n-1) + d_n f(n-1)) + f(n-1) * g(n-1)$
- Actually it all depends on how to insert the first $n+1$ items
 - Trivial case $T(1) = O(1)$
 - Sorted: $T(n) = T(n-1) + O(n)$
 - Unsorted: $T(n) = T(n-1) + O(n^2)$

实验5

- 给出一棵二叉树的先序（或后序）遍历结果，以及中序遍历结果，如何构造这棵树？假定遍历结果以数组方式输入，请写出相应函数，判断是否存在生成同样遍历结果的树，如果存在，构造这棵树。
- 二叉树的层序遍历。使用队列作为辅助存储，按树的结点的深度，从根开始依次访问所有结点。

Roadmap

1 树的表示

2 二叉树

3 二叉查找树

4 平衡二叉树

5 B树

AVL树

- The earliest form of self-balancing BSTs
- Adelson, Velsky , E.M. Landis, 1962, An algorithm for the organization of information
- Problem with BST: can be unbalanced
- Solution: keep tree balanced, re-balance if necessary
- What do you mean by the word balance?
 - Root' s left and right trees have same height?
 - No, not enough. Or: require this for every node?
 - No, that' s too much. Then only support size $2^{h+1} - 1$
- Middle: for each node, $h(L)$ and $h(R)$ differ by ≤ 1

AVL树

- Not storing depths of nodes, storing heights of each sub-tree
- Can store actual heights, or just “height bits”
 - = - same
 - / - left is 1 greater
 - \ - right is 1 greater
- $H(\text{AVL})$ guaranteed $\leq \sqrt{2} \log n$, search automatically $\log n$

AVL插入结点

- Insertion: could violate AVL property
- AVL trees re-balance themselves as necessary after insertion, using “rotations”
- An insert could throw tree off balance
 - Which part of the tree is off balance?
 - Root could be off-balance
 - Parent of inserted node could be off-balance
 - Nodes on path to root off-balance
- We rebalance lowest such node

AVL平衡

- Suppose we must rebalance a: a' s sub-trees must differ by ≥ 2
 - Was balanced
 - differ by 2 caused by inserting a node
- Four cases: insertion in
 - 1 Left sub-tree of left child of a
 - 2 Right sub-tree of left child
 - 3 Left sub-tree of right child
 - 4 Right sub-tree of right child
- Duality: $1 \sim 4, 2 \sim 3$

旋转

- 1 and 4 are (relatively) easy
- 2 and 3 are harder:
 - Single rotation
 - Double rotation
- Think of single rotation as an operation
- Two singles can form a double

单旋转代码

```
Position rotateWithLeftChild (Position k2)
{
    Position k1 = k2->left;

    k2->left = k1->right;
    k1->right = k2;
    k2->height = MAX (height (k2->left),
                      height (k2->right)) + 1;
    k1->height = MAX (height (k1->left),
                     k2->height) + 1;

    return (k1);
}
```

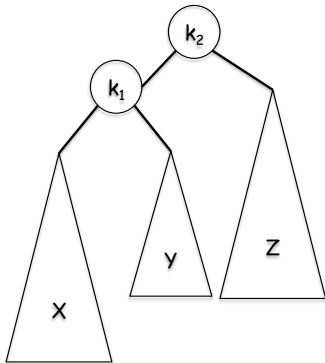
双旋转代码

```
position doubleRotateWithLeftChild (Position k3)
{
    k3->left = rotateWithRightChild (k3->left);

    return (rotateWithLeftChild (k3));
}
```

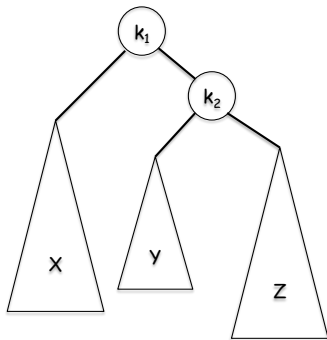
举例：插入子树X

- After insert, k_2 off-balance because k_1 off-balance
- Previously had to be within 1, so $h(X) = h(Y) + 2$
- After insert into X, have $h(X) = m + 2$, $h(Y) = m$, $h(Z) = m$
- Before insert, had $h(X) = m + 1$, $h(Y) = m$, $h(Z) = m$

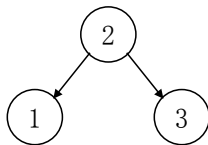
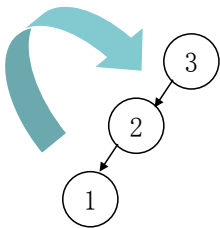
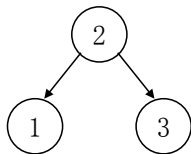
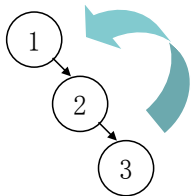


旋转

- To rebalance, want to pull X up, push Z down
- Pull k_1 up as new root, k_2 stays connected to k_1 and z
- But Y becomes left child of k_2
- Is this still a BST? Yes



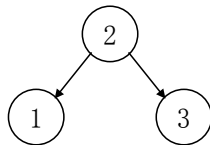
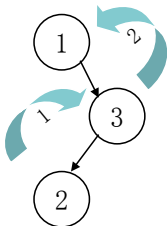
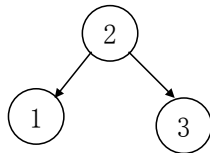
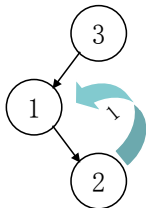
单旋转



双旋转

Do insertions sequentially: 9, 8, 7, 6, 5, 4, 3, 2, 1

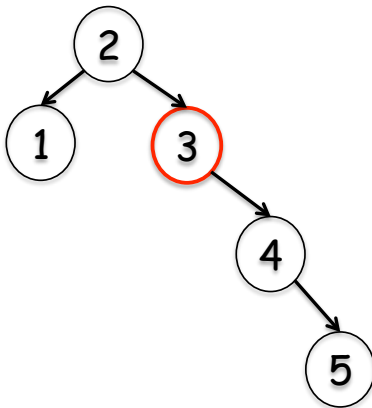
And 9, 7, 8, 4, 6, 5, 3, 1, 2



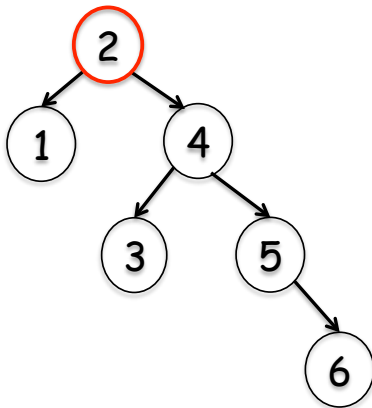
动态生成AVL树



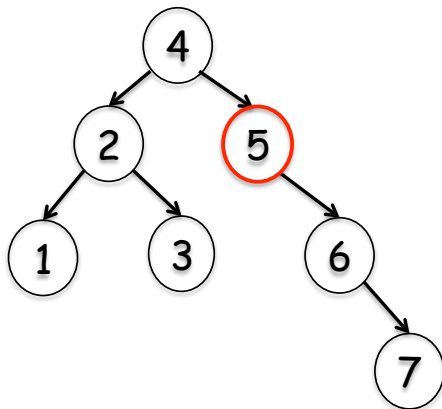
调整



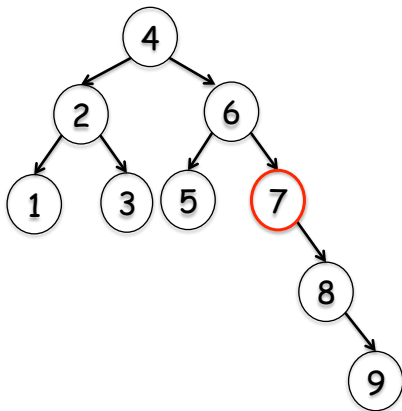
调整



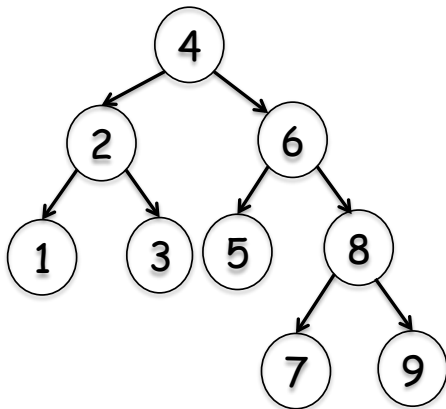
调整



调整



调整



删除

- Deletion is harder than insertion
- Do the regular BST deletion
- Check if balanced after deletion
- If unbalanced, apply rotations to make it balanced
- Or use lazy deletion

AVL树的性能

- Worst case: $A_h = A_{h-1} + A_{h-2} + \text{root}$, $A_0 = \text{root}$
- Number of nodes at least: 0 1 2 4 7 12 20
- Look familiar?
- Recall Fibonacci numbers: 1 2 3 5 8 13 21
- In general: $N_h = N_{h-1} + N_{h-2} + 1$, rewrite:
 $(N_h + 1) = (N_{h-1} + 1) + (N_{h-2} + 1)$
- Set $F_h = N_h + 1$, we have $F_h = F_{h-1} + F_{h-2}$

AVL树的高度

- Fibonacci $F_h = O(\phi^h)$, $\phi = \frac{1+\sqrt{5}}{2} \approx 1.618$
- Thus $N_h = O(\phi^h)$
- Remember: $N_h = \#$ of nodes in AVL
- Recall Fibonacci numbers: 1 2 3 5 8 13 21
- $\log N_h = \log 1.618^h = h \log 1.618 = h * .69$
- $h \approx 1.44 \log N_h$

Roadmap

1 树的表示

2 二叉树

3 二叉查找树

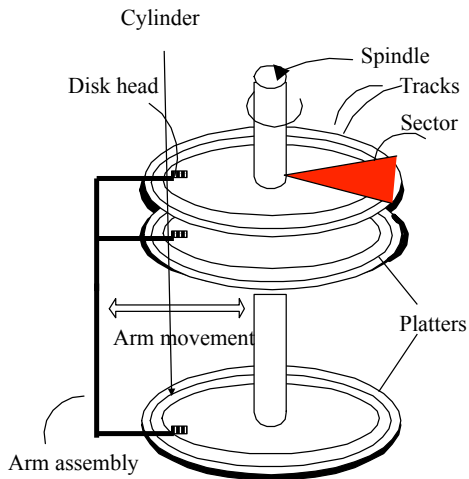
4 平衡二叉树

5 **B树**

B树的引入

- BSTs are great as long as balanced
- Can access item in \log time (in best case)
- What if n is larger?
- What if a billion or trillion items in a database?
- Don't have enough RAM, have to put into secondary storage, larger in size but slower in access time
- Assumptions on the RAM model in complexity analysis may be no longer valid

硬盘的结构



磁盘与内存

- $7200/\text{M} \sim 1/120\text{s}$ per rotation = 8.3ms per rotation
- If half way away, $8.3/2 = 4.15\text{ms}$
- But head must move too, so say: $\approx 10\text{ms} = .01\text{s} \sim 100$ rotations/second
- Compare RAM average access time: $10\text{ns} = .00000001\text{s} \sim 100\text{million}$ access/s
- $100,000,000/100 = 1,000,000$ x faster

内存与CPU

- Typical processors, Pentium/Core/Tegra 3/A7
 - over 1GHz, 1billion operations per second?
- 1 billion “cycles” \sim operations per second
- Faster than RAM but not that faster
- Compare with disk, $1,000,000,000/100 = 10,000,000$ x faster
- 1 operation or memory access is not equivalent to one disk access
- Disk size increases fast but disk speed does not

计算模型

- In main memory: CPU time can be given by big O notation
- In databases time is dominated by I/O cost
 - Big O too, but for I/O's
 - Often big O becomes a constant
- The I/O Model of Computation redefines “simple operation” as “disk access”
- Consequence: need to redesign certain algorithms & data structures

数据库中的查找

- Big improvement: $\log_2 1\text{MB} = 20$
 - Each operation divides remaining range in half!
- But recall: all that matters is #disk accesses
- 20 is better than 2^{20} but accessing disk is slow

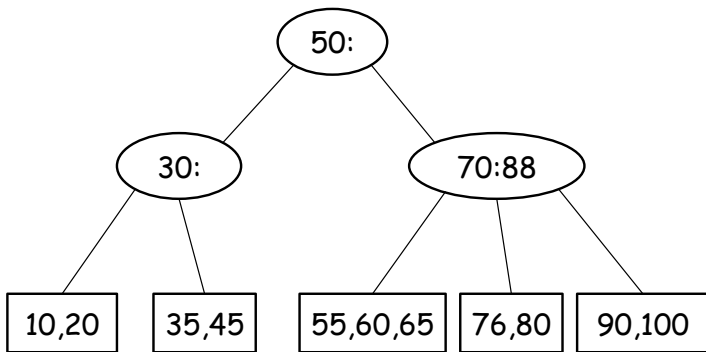
从BST到B树

- Like BSTs except each node maps to one block
 - Branching factor is $\gg 2$
 - Each access divides remaining range by, say, 300
 - B-trees = BSTs + blocks
 - B+ trees are a variant of B-trees
- Data stored only in leaves
 - Leaves form a (sorted) linked list
 - Better supports range queries
- Consequences:
 - Much shorter depth leads to many fewer disk reads
 - Must find element within node
 - Trades CPU/RAM time for disk time

B树的定义

- A B-tree of order m is a tree satisfies
 - Root is either a leaf or has 2 to m children
 - All nodes has at most m children
 - All internal nodes has at least $m/2$ children
 - All internal nodes with k children has $k-1$ keys
 - All leaves have the same depth
- Leaves store information
- Keys on internal nodes: separating sub-trees
- Search complexity: amortized to $\log_{m/2} n$ to $\log_m n$

B树举例



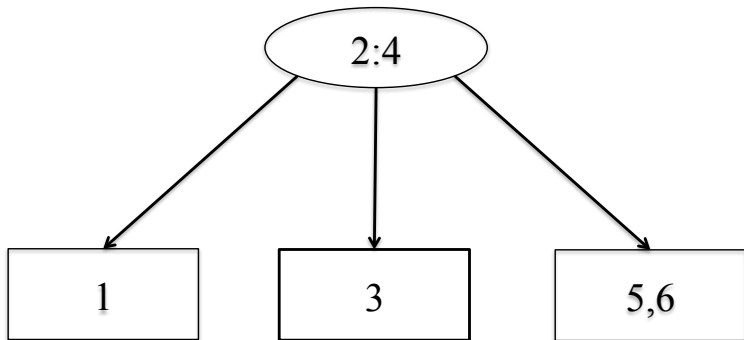
B树的操作

- Search – similar to BST, start from root, go down recursively, directed by keys
- Insert – may cause overflow if inserting into a full node, rebalancing is needed in this case by splitting the node with the median
- Delete – delete and restructure the tree to regain its invariants

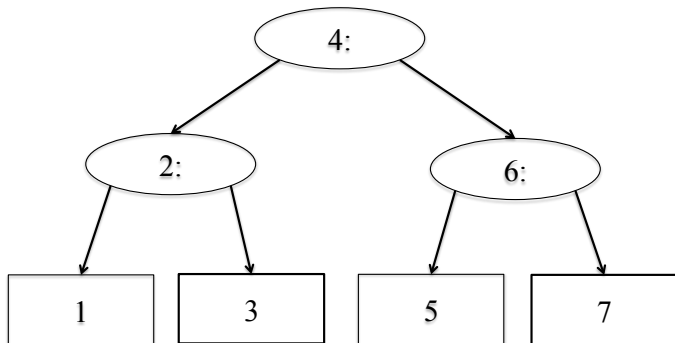
插入

- First find the right place to insert
- Try to insert into a leaf, if it is not overflowed, then OK
- Otherwise, split the node into two by choosing a median; repeat from bottom up, may increase the height by inserting the separation node, until the B-tree properties are met
- Trick: don't put all eggs into a basket, leave some spaces

B树插入



B树插入



B树查找的效率

- With parameters:
 - block=4kb
 - integer = 4bytes
 - pointer = 8bytes
- The largest n satisfying $4n + 8(n + 1) \leq 4096$ is $n=340$
- Each node has 170–340 keys, assume on average has $(170+340)/2=255$
- Then:
 - 255 rows at depth = 1
 - $255^2 = 64k$ rows at depth = 2
 - $255^3 = 16M$ rows at depth = 3
 - $255^4 = 4G$ rows at depth = 4

小结

- 树可以表示结点与结点之间的非线性关系，因此在遍历时会丢失部分偏序信息
- 二叉查找树在最好情况下可以达到查找、插入运算的对数时间复杂度
- 平衡二叉树可以通过重新平衡的操作保持树的高度与结点数目之间的对数关系
- 由于磁盘I/O操作耗时，通过建立B树可以在查找时减少对磁盘的访问

实验6

- 4.42 判定二叉树的同构，交换部分（或全部）节点的左右儿子后得到的树称为同构。请写出相应函数，判断两棵给定的树是否同构。
- 4.46 2-d树。使用两个关键词的二叉查找树。完成问题(b)和(c)。