

# Today

- Prim's Algorithm
- Huffman Encoding

# What is a Cut?

# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

(A)

# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

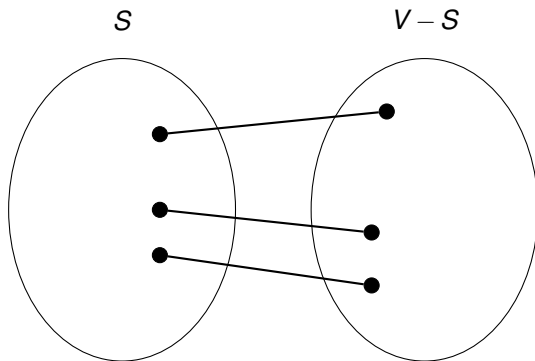
- (A) A set of edges whose removal disconnects a graph.
  - (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .
- (A) and (B).

# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

(A) and (B).

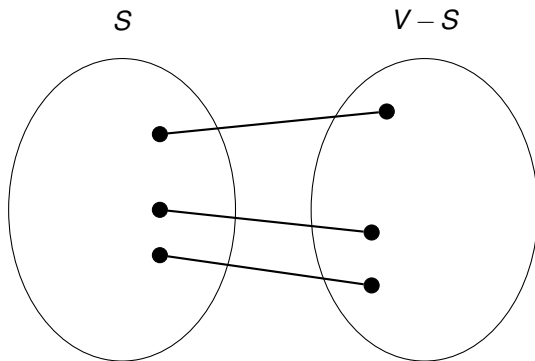


# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

(A) and (B).



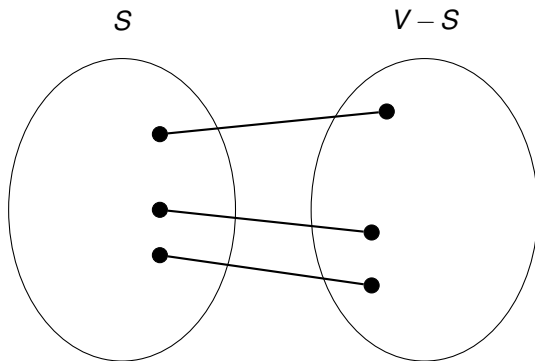
Note:

# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

(A) and (B).



Note: sometimes specified as  $(S, V - S)$

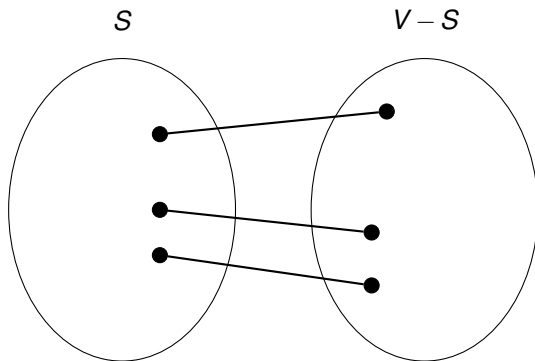


# What is a Cut?

What is a cut in an undirected graph,  $G = (V, E)$ ?

- (A) A set of edges whose removal disconnects a graph.
- (B) For partition of  $V$ ,  $(S, V - S)$ , set of edges across it;  $E \cap (S \times V - S)$ .

(A) and (B).



Note: sometimes specified as  $(S, V - S)$

..... sometimes explicitly as subset of edges  $E'$ .

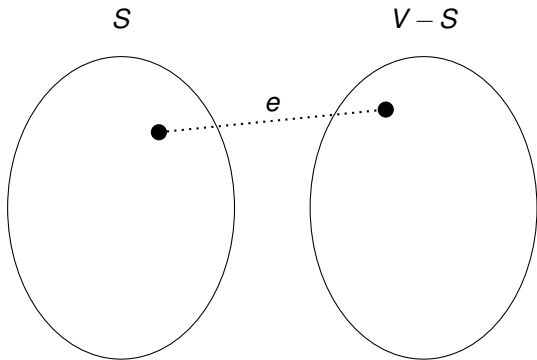
What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

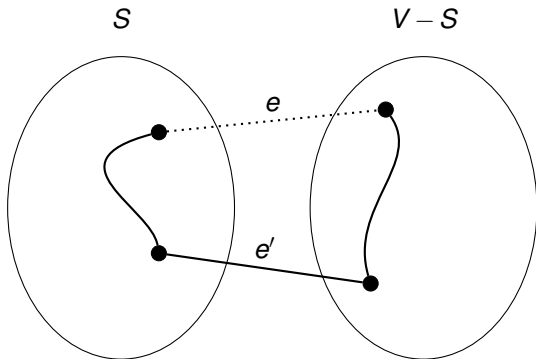
B.



What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.

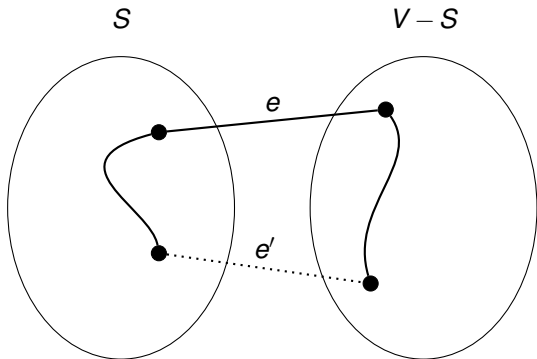


**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



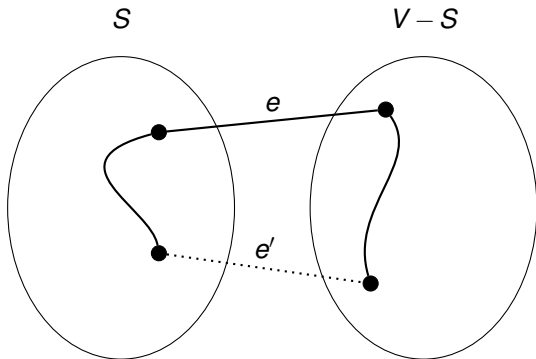
**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

Proof: replace,

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



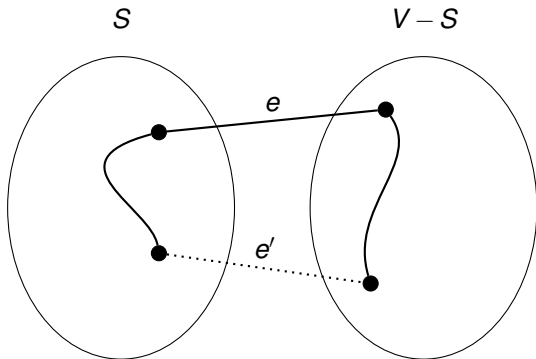
**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

Proof: replace,  $n - 1$  edges

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



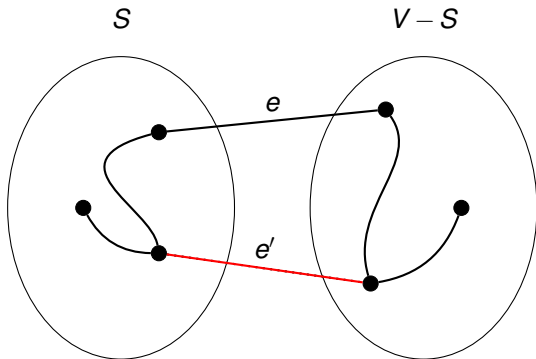
**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

Proof: replace,  $n - 1$  edges still

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

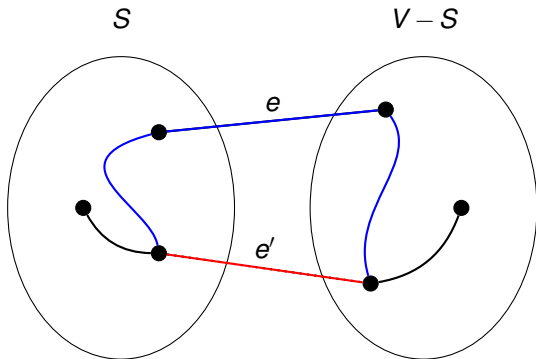
Proof: replace,  $n - 1$  edges still



What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



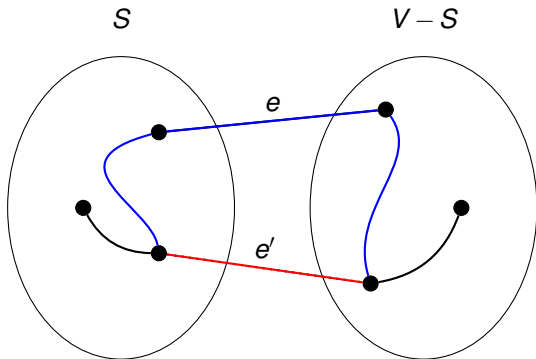
**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

Proof: replace,  $n - 1$  edges still connected

What is the cut property for MSTs?

- (A) Any edge in a cut is in some mst.
- (B) The smallest edge in a cut is in some mst.
- (C) The largest edge in a cut cannot be in an mst.

B.



**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

Proof: replace,  $n - 1$  edges still connected and as cheap.

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

**Generic MST:**

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

**Generic MST:**

While not connected.

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

**Generic MST:**

While not connected.

    Add smallest edge across a cut.

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

## **Generic MST:**

While not connected.

    Add smallest edge across a cut.

Correctness:

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

**Generic MST:**

While not connected.

    Add smallest edge across a cut.

Correctness: cut property



# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

## **Generic MST:**

While not connected.

    Add smallest edge across a cut.

Correctness: cut property with unique weight edges.

# Prim's algorithm

**Cut Property:** Any edge of minimal weight in a cut is in some MST. (If unique, it must be in MST.)

## **Generic MST:**

While not connected.

    Add smallest edge across a cut.

Correctness: cut property with unique weight edges.

Break ties for smallest edge according to lowest neighbors.

# Prim's Algorithm.

## **Generic MST:**

# Prim's Algorithm.

## **Generic MST:**

Start with  $S = v$ :

# Prim's Algorithm.

## **Generic MST:**

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

# Prim's Algorithm.

## **Generic MST:**

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

# Prim's Algorithm.

## **Generic MST:**

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

# Prim's Algorithm.

## **Generic MST:**

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?



# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

$O(nm)$  time.

# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

$O(nm)$  time.

Look at same edges over and over again!

# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

$O(nm)$  time.

Look at same edges over and over again!

Use a priority queue to keep edges!

# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

$O(nm)$  time.

Look at same edges over and over again!

Use a priority queue to keep edges!

Actually...

# Prim's Algorithm.

## Generic MST:

Start with  $S = v$ :

Find smallest edge  $(x, y)$  in crossing  $(S, V - S)$

let  $S = S \cup \{y\}$

Implementation?

Find smallest edge  $(x, y)$ ?  $O(m)$  time.

$O(nm)$  time.

Look at same edges over and over again!

Use a priority queue to keep edges!

Actually... use a priority queue to keep “closest” node.

# Prim's Algorithm

**Prim( $G, s$ )**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

# Prim's Algorithm

**Prim( $G, s$ )**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$



# Prim's Algorithm

**Prim( $G, s$ )**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

# Prim's Algorithm

**Prim( $G, s$ )**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

# Prim's Algorithm

**Prim( $G, s$ )**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

        decreaseKey( $H, w$ )

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$   
 $c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?



# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?  $\Theta(mn)$ ?

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$   
 $c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?  $\Theta(mn)$ ?  $\Theta((m+n) \log n)$ ?

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?  $\Theta(mn)$ ?  $\Theta((m+n) \log n)$ ?  $\Theta(m + n \log n)$ ?

# Prim's Algorithm

**Prim(G,s)**

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$

$c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?  $\Theta(mn)$ ?  $\Theta((m+n) \log n)$ ?  $\Theta(m + n \log n)$ ?  $O((m+n) \log n)$

# Prim's Algorithm

## Prim(G,s)

**foreach**  $v \in V$ :  $c(v) = \infty, prev(v) = nil$   
 $c(s) = 0, prev(s) = s$

$H = \text{make\_pqueue}(V, c)$

**while**  $(v = \text{deletemin}(H))$ :

    Add  $(v, prev(v))$  to  $T$

**foreach**  $(v, w)$ :

**if**  $(w(v, w) < c(w))$ :

$c(w) = w(v, w), prev(w) = v$

            decreaseKey( $H, w$ )

Dijkstras:

**if**  $(c(v) + w(v, w) < c(w))$ :

$c(w) = c(v) + w(v, w), prev(w) = v$

Runtime?  $\Theta(mn)$ ?  $\Theta((m+n) \log n)$ ?  $\Theta(m + n \log n)$ ?  $O((m+n) \log n)$

With Fibonacci Heaps:  $O(m + n \log n)$ .

# Compression.

Given a long file, make it shorter.

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.



# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..   “dot dot”  
A .-   “dot dash”  
N -.   “dash dot”  
S ... “dot dot dot”  
...

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”

T -    “dash”

I ..    “dot dot”

A .-    “dot dash”

N -.    “dash dot”

S ...    “dot dot dot”

...

Common Characters are shorter...

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E . "dot"

T - "dash"

I .. "dot dot"

A .- "dot dash"

N -. "dash dot"

S ... "dot dot dot"

...

Common Characters are shorter...

Cool!

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E . "dot"

T - "dash"

I .. "dot dot"

A .- "dot dash"

N -. "dash dot"

S ... "dot dot dot"

...

Common Characters are shorter...

Cool! Translate to 0 and 1?

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..   “dot dot”  
A .-   “dot dash”  
N -.   “dash dot”  
S ... “dot dot dot”  
...

Common Characters are shorter...

Cool! Translate to 0 and 1? Sure.

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..    “dot dot”  
A .-    “dot dash”  
N -.    “dash dot”  
S ...    “dot dot dot”  
...

Common Characters are shorter...

Cool! Translate to 0 and 1? Sure.

What is    ..    or “dot dot”?  
“|”

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..    “dot dot”  
A .-    “dot dash”  
N -.    “dash dot”  
S ...    “dot dot dot”  
...

Common Characters are shorter...

Cool! Translate to 0 and 1? Sure.

What is    ..    or “dot dot”?

“I” or “EE” ??



# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..    “dot dot”  
A .-    “dot dash”  
N -.    “dash dot”  
S ...    “dot dot dot”  
...

Common Characters are shorter...

Cool! Translate to 0 and 1? Sure.

What is    ..    or “dot dot”?

“I” or “EE” ??

Separate using pauses in morse code..

# Compression.

Given a long file, make it shorter.

16 characters alphabet, four bits/character.

One Idea: shorter representation of frequent characters.

Morse code:

E .    “dot”  
T -    “dash”  
I ..    “dot dot”  
A .-    “dot dash”  
N -.    “dash dot”  
S ...    “dot dot dot”  
...

Common Characters are shorter...

Cool! Translate to 0 and 1? Sure.

What is    ..    or “dot dot”?

“I” or “EE” ??

Separate using pauses in morse code.. for binary?

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0, 1\}^*$ .

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0, 1\}^*$ .

Example:

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

$A:00 \quad B:01 \quad C:10 \quad D:11$

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

$A : 00 \quad B : 01 \quad C : 10 \quad D : 11$

Fixed length codewords.



## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

$A : 00 \quad B : 01 \quad C : 10 \quad D : 11$

Fixed length codewords.

No codeword is prefix of another.

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

A : 00   B : 01   C : 10   D : 11

Fixed length codewords.

No codeword is prefix of another.

What is 100011?

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

A : 00   B : 01   C : 10   D : 11

Fixed length codewords.

No codeword is prefix of another.

What is 100011?

First two: "C"

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

A : 00   B : 01   C : 10   D : 11

Fixed length codewords.

No codeword is prefix of another.

What is 100011?

First two: "C"

Next two: "A"

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

A : 00   B : 01   C : 10   D : 11

Fixed length codewords.

No codeword is prefix of another.

What is 100011?

First two: "C"

Next two: "A"

Third two: "D"

## Prefix free codes.

A code is *prefix free* (or prefix) if no code for a letter is a prefix of another.

Letters: A,B,C,D.

Codewords: strings in  $\{0,1\}^*$ .

Example:

A : 00   B : 01   C : 10   D : 11

Fixed length codewords.

No codeword is prefix of another.

What is 100011?

First two: "C"

Next two: "A"

Third two: "D"

Can decode!

# Prefix freeness.

Another prefix free code for A,B,C,D.

# Prefix freeness.

Another prefix free code for A,B,C,D.

(A : 0),



# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10),$

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110),$

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110), (D : 111)$

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110), (D : 111)$

“110010” ???

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110), (D : 111)$

“110010” ???

C

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110), (D : 111)$

“110010” ???

C A

# Prefix freeness.

Another prefix free code for A,B,C,D.

$(A : 0), (B : 10), (C : 110), (D : 111)$

“110010” ???

C A B

# DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.



# DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11



## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:     $N(.4 * 1$



## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:     $N(.4*1 + .1*3 +$

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:     $N(.4*1 + .1*3 + .2*3)$

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:  $N(.4*1 + .1*3 + .2*3 + .3*2)$

## DNA example.

Consists of letters  $A, C, T, G$  with varying frequencies.

A: .4

C: .1

T: .2

G: .3

Expected length of fixed length encoding for  $N$  chars:  $2N$  bits.

A: .4    0

C: .1    100

T: .2    101

G: .3    11

Prefix Free?

0 not prefix of 100, 101, or 11.

11 not prefix of 0, 100 or 101

...

Yes!

Expected length:  $N(.4*1 + .1*3 + .2*3 + .3*2) = 1.9N$

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:

- Each internal node has two children.

- Code words at the leaves.

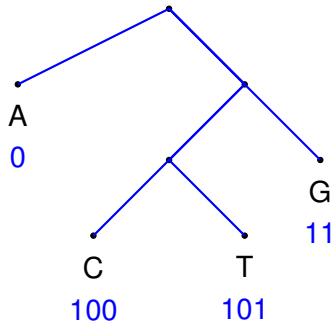
Our Example:



# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

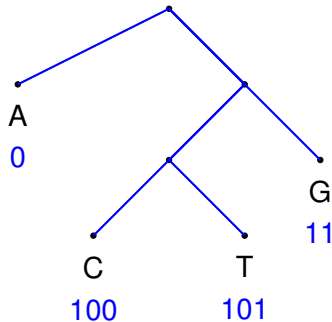
Our Example:



# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:

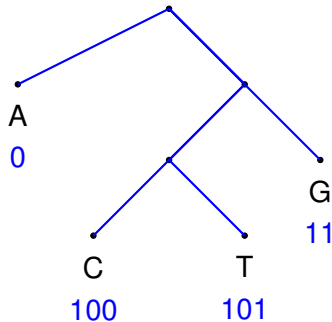


011101100

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:

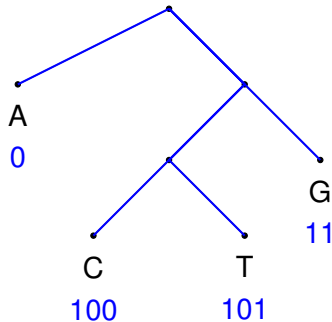


011101100  
0 11 101 100

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:

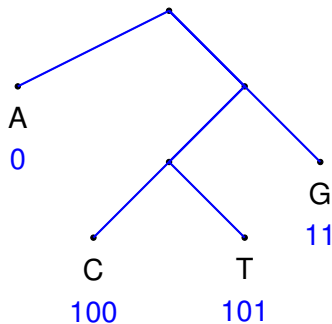


011101100  
0 11 101 100  
A

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:

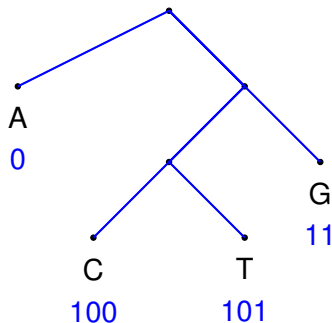


011101100  
0 11 101 100  
A G

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:

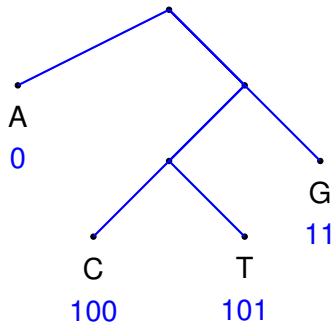


011101100  
0 11 101 100  
A G C

# Prefix free codes and binary trees.

Each prefix-free codes corresponds to a full binary trees:  
Each internal node has two children.  
Code words at the leaves.

Our Example:



011101100  
0 11 101 100  
A G C T

# Huffman Coding.

Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.



# Huffman Coding.

Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

# Huffman Coding.

Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

# Huffman Coding.

Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Example: (A,.4), (C,.1),(T,.2),(G,.3)

# Huffman Coding.

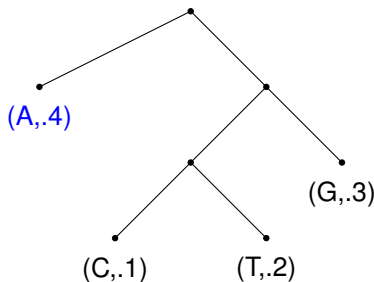
Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Example: (A,.4), (C,.1),(T,.2),(G,.3)



Cost:  $.4 * 1$

# Huffman Coding.

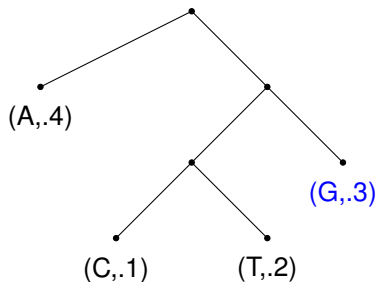
Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Example: (A,.4), (C,.1),(T,.2),(G,.3)



Cost:  $.4 * 1 + .3 * 2$

# Huffman Coding.

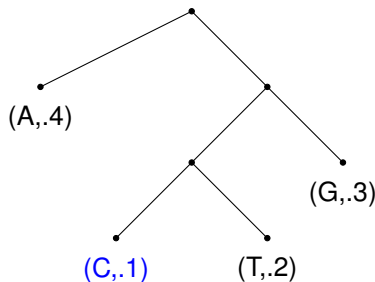
Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Example: (A,.4), (C,.1),(T,.2),(G,.3)



Cost:  $.4 * 1 + .3 * 2 + .1 * 3$

# Huffman Coding.

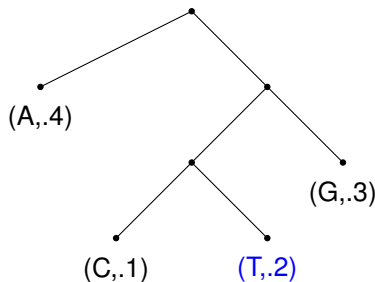
Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Example: (A,.4), (C,.1),(T,.2),(G,.3)



Cost:  $.4 * 1 + .3 * 2 + .1 * 3 + .2 * 3$

# Huffman Coding.

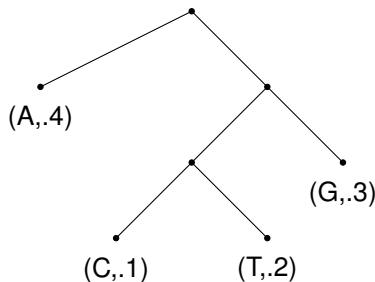
Given symbol frequencies  $f_1, \dots, f_n$ , find “best” prefix code.

Smallest average length.

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

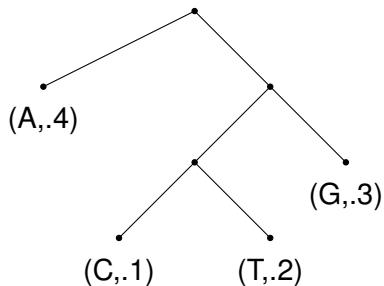
Example: (A,.4), (C,.1),(T,.2),(G,.3)



Cost:  $.4 * 1 + .3 * 2 + .1 * 3 + .2 * 3 = 1.9$

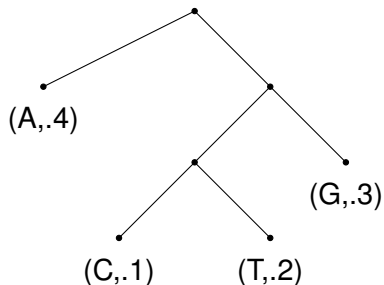


## Another view of cost.



Sum over all nodes, except root, of their frequency.

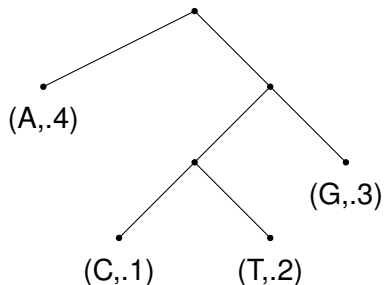
## Another view of cost.



Sum over all nodes, except root, of their frequency.

.4

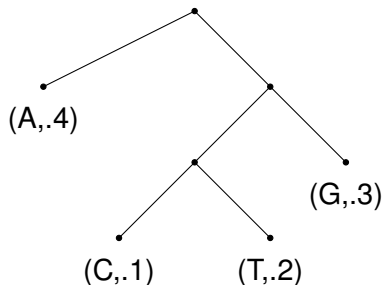
## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1$$

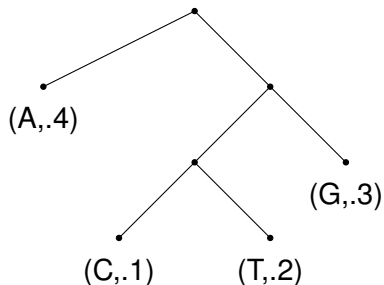
## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1 + .2$$

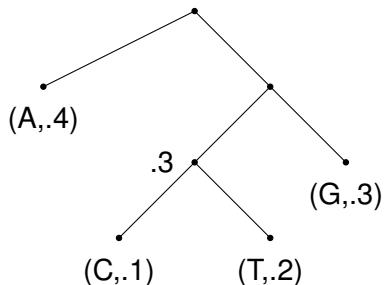
## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1 + .2 + .3$$

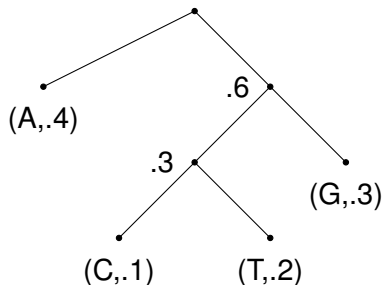
## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1 + .2 + .3 + .3$$

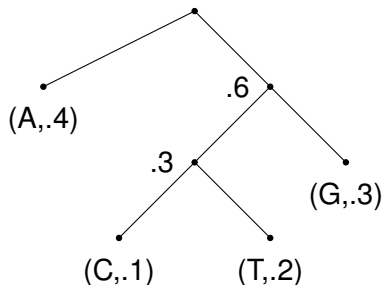
## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1 + .2 + .3 + .3 + .6$$

## Another view of cost.



Sum over all nodes, except root, of their frequency.

$$.4 + .1 + .2 + .3 + .3 + .6 = 1.9$$



# Greedy Algorithm.

# Greedy Algorithm.

Recursive View:

# Greedy Algorithm.

Recursive View: internal node has frequency

# Greedy Algorithm.

Recursive View: internal node has frequency  
...“internal nodes”  $\equiv$  “sort of symbols.”

# Greedy Algorithm.

Recursive View: internal node has frequency  
...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

# Greedy Algorithm.

Recursive View: internal node has frequency  
...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

# Greedy Algorithm.

Recursive View: internal node has frequency  
...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$



# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

# Greedy Algorithm.

Recursive View: internal node has frequency  
...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

Let's see method!

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

Let's see method!

$(A, .4), (C, .1), (T, .2), (G, .3)$

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

Let's see method!

$(A, .4), (C, .1), (T, .2), (G, .3)$

$(A, .4), (\{C, T\}, .3), (G, .3)$

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i (\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

Let's see method!

$(A, .4), (C, .1), (T, .2), (G, .3)$

$(A, .4), (\{C, T\}, .3), (G, .3)$

$(A, .4), (\{\{C, T\}, G\}, .6)$

# Greedy Algorithm.

Recursive View: internal node has frequency

...“internal nodes”  $\equiv$  “sort of symbols.”

Idea: Merge two symbols to make new internal node (symbol).

Which ones?

Cost of prefix tree with symbol leaves:

$$\sum_i f_i(\text{depth of symbol } i \text{ in tree.})$$

Might as well merge two lowest frequency symbols...  
to make low freq internal symbol.

Let's see method!

$(A, .4), (C, .1), (T, .2), (G, .3)$

$(A, .4), (\{C, T\}, .3), (G, .3)$

$(A, .4), (\{\{C, T\}, G\}, .6)$

$(\{A, \{\{C, T\}, G\}\}, 1)$

# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.



# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

- Merge two lowest frequency trees, into a new tree.

# Algorithm.

Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

    Merge two lowest frequency trees, into a new tree.

(A,.4)

(G,.3)

(C,.1)

(T,.2)

# Algorithm.

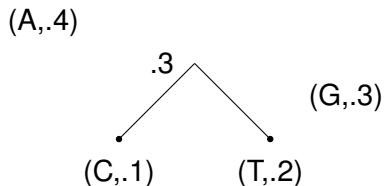
Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

Merge two lowest frequency trees, into a new tree.



# Algorithm.

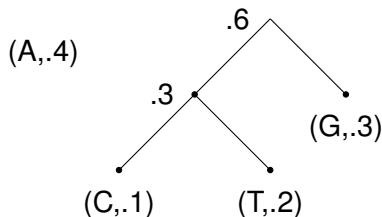
Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

Merge two lowest frequency trees, into a new tree.



# Algorithm.

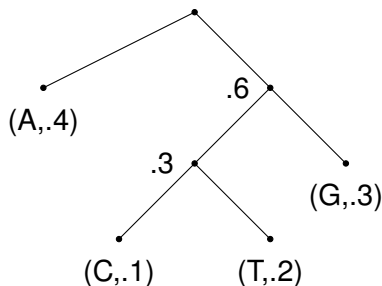
Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

Merge two lowest frequency trees, into a new tree.





# Algorithm.

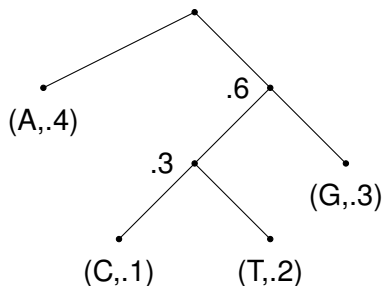
Cost2: Sum over all nodes, except root, of their “frequency”.

Algorithm:

Make each symbol into single node tree.

While more than one tree:

Merge two lowest frequency trees, into a new tree.



Implementation: priority queue to get lowest frequency trees.

## Correctness..

Recall MST: added a “could have” edge in tree every time.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).



# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings  $\rightarrow$  ok to merge in algorithm.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings  $\rightarrow$  ok to merge in algorithm.

Otherwise ... switch each with deepest pair of siblings improves tree.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

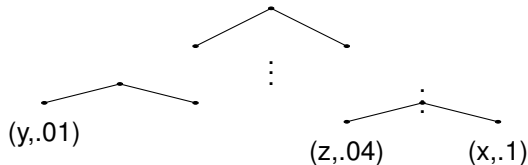
“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings  $\rightarrow$  ok to merge in algorithm.

Otherwise ... switch each with deepest pair of siblings improves tree.



# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

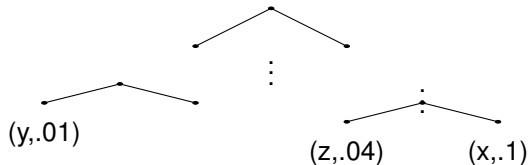
“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings  $\rightarrow$  ok to merge in algorithm.

Otherwise ... switch each with deepest pair of siblings improves tree.



# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

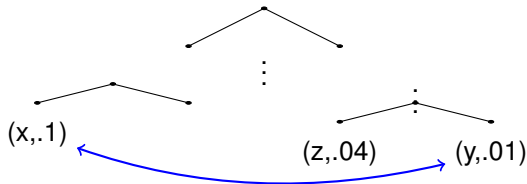
“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

If siblings  $\rightarrow$  ok to merge in algorithm.

Otherwise ... switch each with deepest pair of siblings improves tree.



Cost gets better with this switch.

# Correctness..

Recall MST: added a “could have” edge in tree every time.

“must have” if no ties.

Huffman: An optimal tree

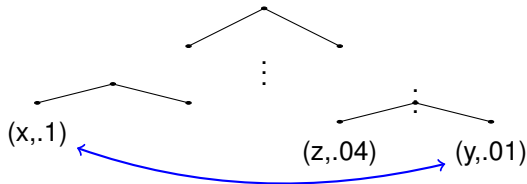
“could have” subtree with lowest frequency symbols  
and optimal tree on new characters.

Consider optimal tree.

Consider lowest frequency two symbols (assume no ties).

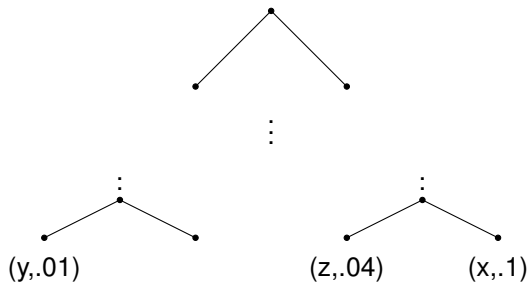
If siblings  $\rightarrow$  ok to merge in algorithm.

Otherwise ... switch each with deepest pair of siblings improves tree.



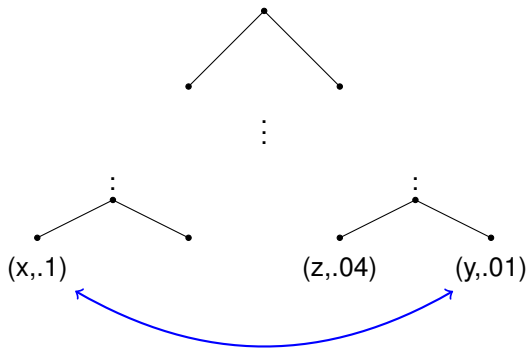
Cost gets better with this switch. Lowest frequency made siblings.

What about same depth?



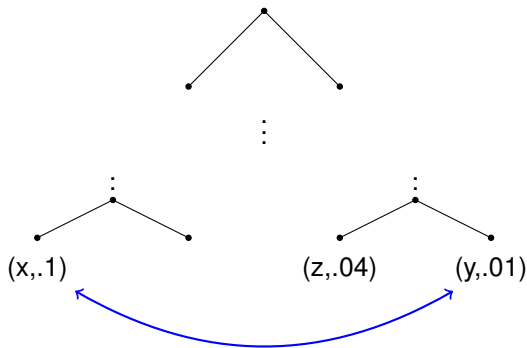


What about same depth?



Cost stays the same,

What about same depth?



Cost stays the same, but can make lowest into sibling.

# Huffman codes wrap-up

Questions ??

# Huffman codes wrap-up

Questions ??

Can the shape of a Huffman tree be a

# Huffman codes wrap-up

Questions ??

Can the shape of a Huffman tree be a

1. Caterpillar? Yes / No ?

# Huffman codes wrap-up

Questions ??

Can the shape of a Huffman tree be a

1. Caterpillar? Yes / No ?
2. Full balanced binary tree on  $k$  levels? Yes/No?

# Huffman codes wrap-up

Questions ??

Can the shape of a Huffman tree be a

1. Caterpillar? Yes / No ?
2. Full balanced binary tree on  $k$  levels? Yes/No?
3. Any shape of a full binary tree? Yes/No ?

# Taint Analysis



# Taint Analysis

```
a = http.read_response();
```

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

```
b = a + c;
```

```
⋮
```

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

```
b = a + c;
```

```
⋮
```

```
d = sql_command(b);
```

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

```
b = a + c;
```

```
⋮
```

```
d = sql_command(b);
```

*a* is input from web.

“*a* is tainted.”

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

```
b = a + c;
```

```
⋮
```

```
d = sql_command(b);
```

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

# Taint Analysis

```
a = http.read_response();
```

```
⋮
```

```
b = a + c;
```

```
⋮
```

```
d = sql_command(b);
```

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”



# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

$\implies A$

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

$\implies A, A \implies B$

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

$\implies A, A \implies B, \overline{B}.$

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

$\implies A, A \implies B, \overline{B}.$

Satisfiable?

# Taint Analysis

*a* = *http.read\_response()*;

⋮

*b* = *a* + *c*;

⋮

*d* = *sql\_command(b)*;

*a* is input from web.

“*a* is tainted.”

“if *a* is tainted *b* is tainted.”

“*b* should not be tainted.”

Logic representation:

*A* - “*a* is tainted”

*B* - “*b* is tainted”

$\implies A, A \implies B, \overline{B}.$

Satisfiable?

Not in this case.



# Horn SAT

Implications:

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

**Or** of negative literals.

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

**Or** of negative literals.

$$\overline{u} \vee \overline{v}$$

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

**Or** of negative literals.

$$\bar{u} \vee \bar{v}$$

Taint Example:

# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

**Or** of negative literals.

$$\bar{u} \vee \bar{v}$$

Taut Example:

$$\implies A, A \implies B, \bar{B}.$$



# Horn SAT

Implications:

**And** of positive literals imply **one** positive literal.

$$x \wedge y \rightarrow z$$

Negative clauses:

**Or** of negative literals.

$$\bar{u} \vee \bar{v}$$

Taint Example:

$$\implies A, A \implies B, \bar{B}.$$

Is this satisfiable?

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm:

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true



## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

Solution:

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

Solution:  $\{x_1, x_2, x_3, x_4\}$  are True

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

Solution:  $\{x_1, x_2, x_3, x_4\}$  are True

Could also set  $x_5$  to true, or both  $x_5$  and  $x_6$  to true...

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

Solution:  $\{x_1, x_2, x_3, x_4\}$  are True

Could also set  $x_5$  to true, or both  $x_5$  and  $x_6$  to true...but don't!

## Horn Sat: another view.

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

Problem: Find consistent assignment with fewest “True” variables.

Greedy algorithm: Only set variables to true if you have to.

Example:

$x_1$  must be true so  $x_3$  must be true

so  $x_2$  must be true so  $x_4$  must be true

Solution:  $\{x_1, x_2, x_3, x_4\}$  are True

Could also set  $x_5$  to true, or both  $x_5$  and  $x_6$  to true...but don't!

Same as horn sat!

# Why same as HornSAT?

Horn SAT had negative clauses.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.



# Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true

# Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true...

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
is set to true to satisfy a clause



# Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
is set to true to satisfy a clause  
so it must be true.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
    is set to true to satisfy a clause  
    so it must be true.

Horn has negative clauses.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
    is set to true to satisfy a clause  
    so it must be true.

Horn has negative clauses.

Negative clauses only problem for true variables.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
is set to true to satisfy a clause  
so it must be true.

Horn has negative clauses.

Negative clauses only problem for true variables.

Any variable that is true must be true.

## Why same as HornSAT?

Horn SAT had negative clauses.

No negative clauses for above algorithm.

Algorithm: Set a variable true ..if you have to!

Property: any variable set to true must be true in *any* satisfying assignment.

By induction. First  $k$  set to true... must be!

The  $k + 1$  set variable set to true  
is set to true to satisfy a clause  
so it must be true.

Horn has negative clauses.

Negative clauses only problem for true variables.

Any variable that is true must be true.

So if a negative clause is false, it must be.

# Efficient implementation

$$x_1 \wedge x_2 \implies x_4$$

$$x_3 \implies x_2$$

$$x_1 \implies x_3$$

$$x_5 \wedge x_1 \implies x_3$$

$$x_2 \wedge x_6 \implies x_5$$

$$\implies x_1$$

# Efficient implementation

$$\begin{array}{lll} x_1 \wedge x_2 & \implies & x_4 \\ x_3 & \implies & x_2 \\ x_1 & \implies & x_3 \\ x_5 \wedge x_1 & \implies & x_3 \\ x_2 \wedge x_6 & \implies & x_5 \\ & \implies & x_1 \end{array}$$

For each clause: keep count of true antecedents:

# Efficient implementation

$$\begin{array}{lll} x_1 \wedge x_2 & \implies & x_4 \\ x_3 & \implies & x_2 \\ x_1 & \implies & x_3 \\ x_5 \wedge x_1 & \implies & x_3 \\ x_2 \wedge x_6 & \implies & x_5 \\ & \implies & x_1 \end{array}$$

For each clause: keep count of true antecedents:  
When all antecedents true, then make consequent true.



# Efficient implementation

$$\begin{array}{lll} x_1 \wedge x_2 & \implies & x_4 \\ x_3 & \implies & x_2 \\ x_1 & \implies & x_3 \\ x_5 \wedge x_1 & \implies & x_3 \\ x_2 \wedge x_6 & \implies & x_5 \\ & \implies & x_1 \end{array}$$

For each clause: keep count of true antecedents:  
When all antecedents true, then make consequent true.

Data Structure:

# Efficient implementation

$$\begin{array}{lll} x_1 \wedge x_2 & \implies & x_4 \\ x_3 & \implies & x_2 \\ x_1 & \implies & x_3 \\ x_5 \wedge x_1 & \implies & x_3 \\ x_2 \wedge x_6 & \implies & x_5 \\ & \implies & x_1 \end{array}$$

For each clause: keep count of true antecedents:

When all antecedents true, then make consequent true.

Data Structure:

Connect variable to clauses with var as antecedent.

# Efficient implementation

$$\begin{array}{lll} x_1 \wedge x_2 & \implies & x_4 \\ x_3 & \implies & x_2 \\ x_1 & \implies & x_3 \\ x_5 \wedge x_1 & \implies & x_3 \\ x_2 \wedge x_6 & \implies & x_5 \\ & \implies & x_1 \end{array}$$

For each clause: keep count of true antecedents:

When all antecedents true, then make consequent true.

Data Structure:

Connect variable to clauses with var as antecedent.

When variable is set to true see if connected clauses are invoked.