Lexical Analysis

What is Lexical Analysis

- Comes from the word lexicon, or dictionary
- Lexical Analysis: Partitioning a string into words
 - > These words are also called tokens
- We will use this code as a running example:

if
$$(i==j)$$

 $z = 0$;

$$z = 1;$$

Code is provided as input string to lexical analysis

"if(
$$i == j$$
)\ n \ $tz = 0$;\ $nelse$ \ n \ $tz = 1$;\ n "

Goal is turning the string into tokens, or tokenization

What is a Token?

- Smallest unit that has meaning in a string
 - ➤ In English, tokens are English words: nouns, verbs, adjectives, ...
 - ➤ In a programming language: identifiers, integers, keywords, whitespace, ...
- A token is a tuple (type, lexeme)
 - > type: the token type that the token belongs to
 - Identifier: string of letters and digits, starting with a letter
 - Integer: string of digits
 - Keyword: "else", "if", "while", ...
 - Whitespace: string of blanks, newlines, and tabs
 - lexeme: actual string value of this token

Lexical Analysis is the act of Tokenization

- Output of lexical analysis is a stream of tokens
- Tokens are the input to Syntax Analysis (a.k.a. Parsing)
 - Parsers rely on token type to figure out role of each token E.g. a keyword is treated differently from an identifier

Lexical Analysis Tokenization Example

- Given " $if(i == j) \setminus n \setminus tz = 0$; $\setminus nelse \setminus n \setminus tz = 1$; $\setminus n$ "
- What would be an output of lexical analysis?

 Recall a token is a tuple (type, lexeme)
- U Output:

(keyword, "if")(left-parenthesis, "(")(identifier, "i")(equals-op, "==")(identifier, "j")(right-parenthesis, ")")(whitespace, "n t")(identifier, "z")(assign-op, "=")(integer, "0")(semicolon, ";")(whitespace, "n")(keyword, "else")(whitespace, "n t")(identifier, "z")(assign-op, "=")(integer, "1")(semicolon, ";")(whitespace, "n")

The lexer usually discards "non-interesting" tokens that don't contribute to parsing, e.g., whitespace, comments

Some language features makes lexing difficult

- FORTRAN compilation rule: whitespace is insignificant
 - Reason: inaccuracy of card punching by operators
- Consider
 - ➤ DO 5I=1,25
 - ➤ DO 5I=1.25
- This is the interpretation of the two statements:
 - Former: Iterate from I=1 to I=25 with step size 5
 - Latter: Assign1.25 to variable DO5I
- Reading left-to-right, cannot tell if DO5I is a variable or DO statement; Have to continue until "," or "." is reached.
 - > "lookahead" may be required to decide on tokens
 - > Feedback necessary from parser to lexical analysis

C++ language has difficult features too

- C++ has the Right Angle Brackets >> issue: https://www.open-std.org/jtc1/sc22/wg21/docs/papers/2005/n1757.html
- typedef std::vector<std::vector<int> > Table; // OK typedef std::vector<std::vector<int>> Table; // Error
- Why? >> is read as one token which can either be:
 - A stream operator (e.g. cin >> var)
 - Or a shift operator (e.g. 1 >> 2)
- Space is needed in between to create two > tokens
- ☐ Fixed in C+11 standard so this is no longer an error
 - ➤ That makes tokenization decision on >> context dependent
 - > Again forcing lexical analysis to get feedback from parser

Lexical Analysis Implementation

Step 1:

- Define a set of token types
 - Refer to language specifications
 - Types you choose depends on design of parser
 - Recall " $if(i == j) \setminus n \setminus tz = 0$; $\setminus nelse \setminus n \setminus tz = 1$; $\setminus n$ "
 - Should "==" be one token? or two tokens? Depends.
 - Should "if", "then", "else" be separate types or just one keyword type? Depends.

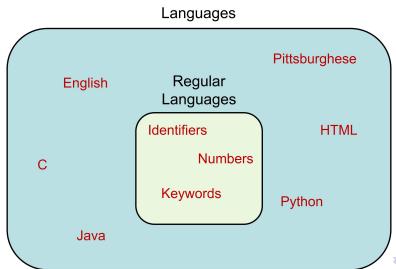
Step 2:

> For each token type, describe which string belongs to it

Describing strings belonging to a token type

- A token type is something that looks like this:Identifier: string of letters and digits, starting with a letterIs there a more formal (mathematical) way to express this?
 - Yes! By using the formalism of Languages.
 - Definition of **Language**: Let \sum be a set of characters, a **language** over \sum is a set of strings of the characters drawn from \sum
 - So by definition, any token type is a Language
 - And so are English, Java, Python, and HTML
- ☐ Some Languages can be very difficult to express formally
 - > Imagine having to formally describe the English language!

Token types belong to a subset of Languages (called Regular Languages)



Regular Expressions express Regular Languages

☐ Definition of Regular Expression

The **regular expressions (REs)** over \sum are the total set of expressions that can be constructed using the following components:

- \triangleright ε
- ightharpoonup 'c' where $c \in \sum$
- \rightarrow A + B where A, B are **RE** over \sum
- ➤ AB where A, B are RE over ∑
- \rightarrow A* where A is a **RE** over \sum
- Regular Languages are defined as languages that can be expressed using Regular Expressions.

Atomic Regular Expressions

- Single character denotes a set of one string 'c' = { "c" }
- **Lead** Epsilon or ϵ character denotes a zero length string $\epsilon = \{$ "" $\}$
- Empty set is $\{\} = \phi$, not the same as ϵ size $(\phi) = 0$ size $(\varepsilon) = 1$ length $(\varepsilon) = 0$

Compound Regular Expressions

- Union: if A and B are REs, then $A + B = \{ s \mid s \in A \text{ or } s \in B \}$
- Concatenation of sets/strings $AB = \{ ab \mid a \in A \text{ and } b \in B \}$
- Iteration (Kleene closure) $A^* = \bigcup_{i>0} A^i \quad \text{where } A^i = A...A \ (i \text{ times})$

in particular

$$A^* = \{\varepsilon\} + A + AA + AAA + \dots$$

$$A+=A+AA+AAA+...=AA^*$$

The L(Expression) Notation

- L(Expression): means the language defined by Expression
- Some example languages defined using the L() notation:
 - L(ε) = { "" }
 - L('c') = { "c" }
 - $L(A+B) = L(A) \cup L(B)$
 - $L(AB) = \{ ab \mid a \in L(A) \text{ and } b \in L(B) \}$
 - $L(A^*) = \bigcup_{i>0} L(A^i)$

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 - integer = digit digit*
 - Q: is '000' an integer?
 - Q: how to define another integer RE that excludes sequences with leading 0s?

More Examples

- Identifier: strings of letters or digits, starting with a letter
 - ▶ letter = 'A' + ... + 'Z' + 'a' + ... + 'z'
 - ➤ Identifier = letter (letter + digit)*

- Whitespace: a non-empty string of blanks, newlines, tabs
 - \rightarrow whitespace = (' ' + '\n' + '\t') +

More Examples

- Identifier: strings of letters or digits, starting with a letter
 - ▶ letter = 'A' + ... + 'Z' + 'a' + ... + 'z'
 - Identifier = letter (letter + digit)*
 - Q: is letter (letter* + digit*) the same?
- Whitespace: a non-empty string of blanks, newlines, tabs
 - \rightarrow whitespace = (' ' + '\n' + '\t') +

More Examples

- Phones number: consider (412) 624-0000
 - $\gg \sum = \operatorname{digit} \cup \{ -, (,) \}$
 - area = digit ³
 - exchange = digit 3
 - > phone = digit 4
 - > phoneNumber = '(' area ')' exchange '-' phone
- ☐ Email address: student @ pitt.edu
 - $\triangleright \sum = \text{letter} \cup \{., @\}$
 - > name = letter +
 - > emailAddress = name '@' name '.' name

More Regular Expression Notations

Some "syntactic sugar" for regular expressions:

```
Union: A + B \equiv A \mid B

Option: A + \varepsilon \equiv A?

Range: 'a' + 'b' + ... + 'z' \equiv [a-z]

Excluded range:

complement of [a-z] \equiv [^a-z]
```

We have learnt the formalism for lexical analysis

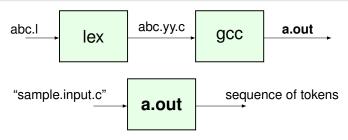
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 - Regular expression (RE)
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 - Solution 1: Convert RE to code using a tool <u>Lex</u> (for C), <u>Flex</u> (for C++), <u>Jlex</u> (for java)
 - Programmer specifies tokens of interest using REs
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 - Programmer specifies tokens of interest using REs
 - The tool generates the source code from the given REs
 - > Solution 2: Write the code manually from REs
 - This is likely similar to code that the tool generates
 - Table-driven code based on a finite state automaton

Lex: a Tool for Lexical Analysis



- Big difference from your previous coding experience
 - > Writing REs instead of the code itself
 - Writing actions associated with each RE
- We will first describe structure of specification file
- The internals of the tool will be discussed later

Example Lex Specification File

```
/* 1. Regular expression definitions section */
%{
/* Code block inserted for includes and declarations */
#include <stdlib.h>
%}
string
       [a-z]+
space []+
%%
/* 2. Rules section: action for each regular expression */
{string} { printf("lexeme: %s, len=%d\n", yytext, yyleng); }
{space} { /* No action */ }
%%
/* 3. User code section */
int main() {
 while (yylex() != 0)  }
 return 0;
```

Example Lex Specification File: Explanation

- Overview of operation:
 - Parser calls yylex() when ready to process the next token
 - yylex() tokenizes longest string that matches an RE
 - yylex() stores the token lexeme in yytext
 - yylex() stores length of lexeme in yyleng
 - yylex() executes the action { ... } in the rule for RE
 - yylex() returns 0 if no more tokens / non-zero otherwise
- To test the lexer without a parser, we need a lexer driver
 - > The main () function serves as the lexer driver
 - > On piping "hello world!" to input of lexer (a.out):

```
$ echo "hello world!" | ./a.out
lexeme: hello, len=5
lexeme: world, len=5
'
```

How is the Specification File Converted to a Lexer

The problem we face is

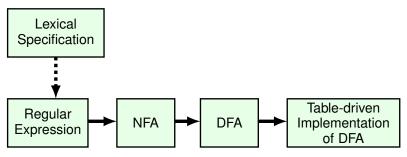
Given a string s and a regular expression RE, is

$$s \in L(RE)$$
?

Implementing Lexical Analysis with Finite Automata

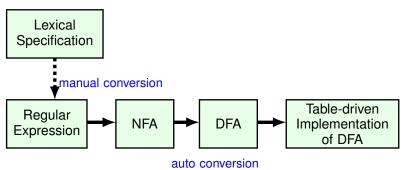
An Overview of RE to FA

Our implementation sketch



An Overview of RE to FA

Our implementation sketch



Implementation Outline

- RE → NFA → DFA → Table-driven Implementation
 - Tokens are specified using Regular Expressions
 - Tokens are accepted using a table-driven DFA
 - Deterministic Finite Automata (DFAs)
 - Non-deterministic Finite Automata (NFAs)
 - Table implementations
- \square I will soon show $RL \equiv L(RE) \equiv L(NFA) \equiv L(DFA)$
 - > Will show an automated way to take RE all the way to DFA

Finite Automata

- A finite automata consists of 5 components
 - $(\Sigma, S, n, F, \delta)$
 - (1). An input alphabet ∑
 - (2). A set of states S
 - (3). A start state $n \in S$
 - (4). A set of accepting states $F \subseteq S$
 - (5). A set of transitions δ : $S_a \xrightarrow{input} S_b$

State Graph is a graphical representation of FA

- Sometimes we use state graph to represent a FA
- A state graph includes
 - > A set of states
 - > A start state
 - > A set of accepting states
 - > A set of transitions









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State Graph is a graphical representation of FA

- Sometimes we use **state graph** to represent a FA
- A state graph includes
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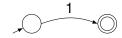
➤ A start state

- ➤ A set of accepting states
- \bigcirc

> A set of transitions

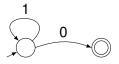


Example: a finite state automata that accepts only "1"



More State Graph Examples

A finite automata accepting any number of 1s followed by a single 0. Here we have Alphabet = {0,1}



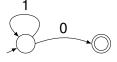
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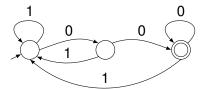
Example: What language does the following state graph recognize? Here we have Alphabet = {0,1}

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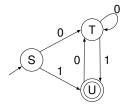
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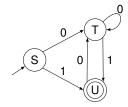
How tokens are accepted by Finite Automata

- Transition δ : $S_a \stackrel{c}{\rightarrow} S_b$ read as: When in state S_a , go to state S_b when scanned char is "c"
- **1** Begin at start state $n \in S$.
- Transition until end of input or no transition possible
- Read current state x
 - ightharpoonup If $x \in \text{accepting set } F$, then $\Rightarrow \text{accept}$
 - ➤ Otherwise, ⇒ reject

Given the state graph of a DFA,

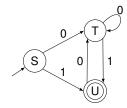


Given the state graph of a DFA,



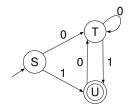
	→ input characters			
state ↓		0	1	
	S			
	Т			
	U			

Given the state graph of a DFA,



	→ input characters			
state ↓		0	1	
	S	Т	U	
	Т	Т	U	
	U	Т	Х	

Given the state graph of a DFA,




```
Table-driven Code:
DFA() {
   state = "S":
   while (!done) {
      ch = fetch input();
      state = Table[state][ch];
      if (state == "x")
         perror("error");
   if (state \in F)
      printf("accept");
   else
      printf("reject");
```

Table-driven Code is identical across DFAs

☐ Each RE has a different DFA, meaning different table

But table-driven code for tokenization remains the same!

Table-driven Code is identical across DFAs

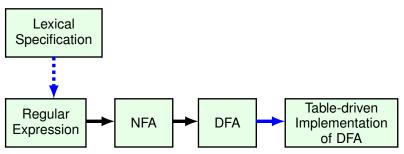
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- But table-driven code for tokenization remains the same!

Revisit our implementation outline

RE → NFA → **DFA** → **Table-driven Implementation**

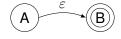
From RE to FA

Our implementation sketch



Epsilon Moves

- \blacksquare Another kind of transition: ε -moves
 - Moves from state A to state B without reading input

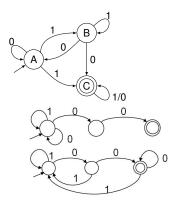


- \square ε -moves makes transitions nondeterministic
 - Instead of next character determining the next state, now machine has a choice of staying in A or moving to B

Deterministic and Nondeterministic Automata

- Deterministic Finite Automata (DFA)
 - One transition per input per state
 - \triangleright No ε -moves
- Non-deterministic Finite Automata (NFA)
 - Can have multiple transitions for one input in a given state
 - \triangleright Can have ε -moves
- DFAs are easier to implement
 - > Real machines are deterministic by nature just like DFAs
 - > Given a nondeterministic choice, hard to know what to do

Examples

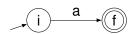


Converting RE to NFA

- McNaughton-Yamada-Thompson Algorithm
- ☐ Step 1: processing atomic REs
 - $\succ \varepsilon$ expression



➤ single character RE a

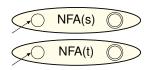


Step 2: processing compound REs

$$r = s \mid t$$

$$r = st$$

☐ Step 2: processing compound REs



$$> r = st$$

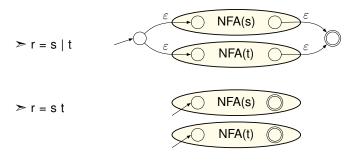
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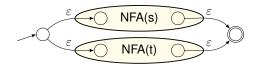
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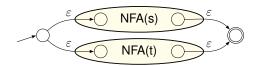




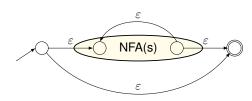


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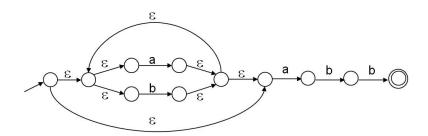


In-class Practice

Convert "(a|b)*a b b" to NFA

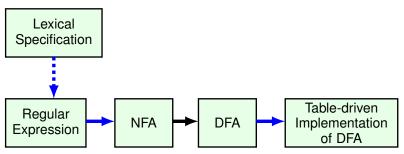
In-class Practice

Convert "(a|b)*a b b" to NFA



From RE to FA

Our implementation sketch



Execution of Finite Automata

- A DFA can take only one path through the state graph
 - Completely determined by input
- A NFA has a choice of:
 - \triangleright Whether to make ε -moves
 - Which of multiple transitions for a single input to take

Execution of Finite Automata

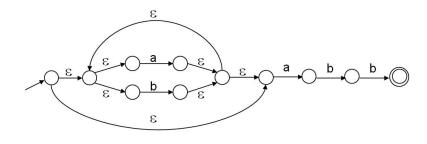
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- When to accept a token for DFAs and NFAs
 - > DFA: When input string leads to a final state
 - > NFA: When input string **can** lead to a final state

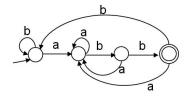
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- When to accept a token for DFAs and NFAs
 - DFA: When input string leads to a final state
 - > NFA: When input string **can** lead to a final state
- Question: Which one is more expressive?

$L(NFA) \equiv L(DFA) \equiv RL$

Both accept "(a|b)*a b b"





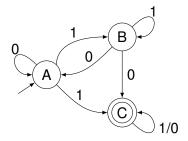
How to Convert NFA to DFA

- Basic idea: Given NFA, simulate its execution using DFA
 - ➤ At step n, the NFA may be in any of multiple possible states
- ☐ The new DFA is constructed as follows,
 - ightharpoonup A state of DFA \equiv a non-empty subset of states of the NFA
 - Start state = the set of NFA states reachable through ε-moves from NFA start state
 - ightharpoonup A transition $S_a \stackrel{c}{\rightarrow} S_b$ is added **iff**

 S_b is the set of NFA states reachable from any state in S_a after seeing the input c, considering ε -moves as well

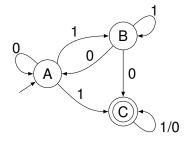
Example NFA to DFA

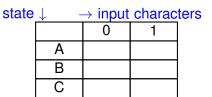
☐ What is the Equivalent DFA?



Example NFA to DFA

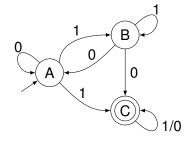
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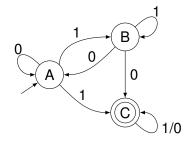
☐ What is the Equivalent DFA?



state	↓ -	\rightarrow input characters			
		0	1		
	Α	Α	BC		
	В	AC	В		
	С	С	С		

Example NFA to DFA

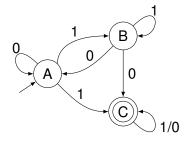
■ What is the Equivalent DFA?



state	↓ -	→ input	charac	ters
		0	1	
	Α	Α	BC	
	В	AC	В	
	С	С	С	

Example NFA to DFA

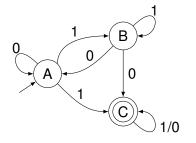
■ What is the Equivalent DFA?



state	↓ -	→ input characters			
		0	1		
	Α	Α	BC		
	В	AC	В		
	С	С	С		
	AC				
	BC				

Example NFA to DFA

■ What is the Equivalent DFA?

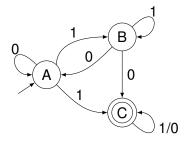


state	↓ -	→ input	charac	ters
		0	1	
	Α	Α	BC	
	В	AC	В	
	C	С	С	
	AC	AC	BC	
	BC	AC	BC	

state ↓

Example NFA to DFA

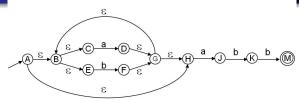
■ What is the Equivalent DFA?



0 1
A A BC
B AC B
C C C
AC AC BC

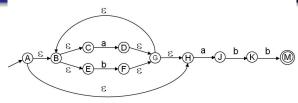
→ input characters

Algorithm Illustrated: Converting NFA to DFA



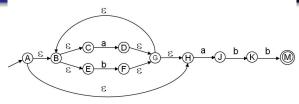
	ε	а	b
Α			
В			
B C D E F G H			
D			
Е			
F			
G			
I			
J			
K M			
M			

Step 1: Construct the Table



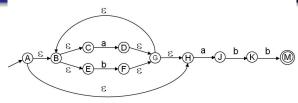
	ε	а	b
Α	BH		
B C	BH CE		
С		D	
D	G		
Е			F
F	G BH		
Ğ	BH		
Н		J	
J			K M
K			M
М			

Step 2: Construct ε -closure

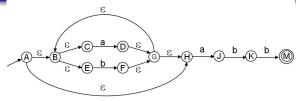


	ε	а	b
Α	BHCE CE		
В	CE		
С		D	
D	GBHCE		
Е			F
F	GBHCE		
G	BHCE		
Н		٦	
J			K
K			М
М			

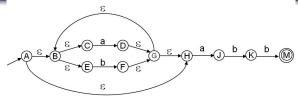
Step 3: Update Other Columns



	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
E			F
F	GBHCE BHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
M			

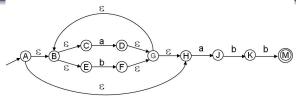


	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
E			F
F	GBHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
M			



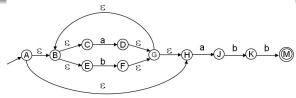
	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
Е			F
F	GBHCE BHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
М			

	а	b
ABHCE	DJ	F



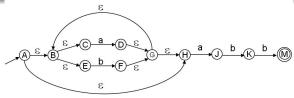
	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
E			F
F	GBHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
M			

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F



	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
Е			F
F	GBHCE BHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
M			

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F
FK	DJ	FM



	ε	а	b
Α	BHCE	DJ	F
В	CE	D	F
С		D	
D	GBHCE	DJ	F
Е			F
F	GBHCE	DJ	F
G	BHCE	DJ	F
Н		J	
J			K
K			М
М			

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F
FK	DJ	FM
FM	DJ	F

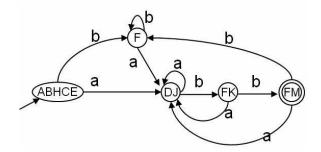
Step 5: Generate the DFA

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F
FK	DJ	FM
FM	DJ	F

Step 5: Generate the DFA

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F
FK	DJ	FM
FM	DJ	F

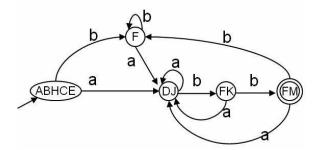
Note: the number of states is not minimized



Step 5: Generate the DFA

	а	b
ABHCE	DJ	F
DJ	DJ	FK
F	DJ	F
FK	DJ	FM
FM	DJ	F

Note: the number of states is not minimized



States ABHCE and F can be merged! Why?

NFA to DFA. Space Complexity

- An NFA may be in many states at any time
- If NFA has N states, how many DFA states?
 - NFA must be in some subset of those N states
 - How many non-empty subsets are there?
 - $2^N 1$ many states
- \square The resulting DFA has $O(2^N)$ space complexity
 - > Remember this is big-O. Typically much less.

NFA to DFA Time Complexity

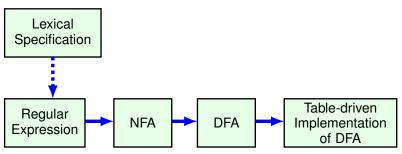
- A DFA can be implemented by a 2D table T
 - One dimension is "states", the other is "input characters"
 - ightharpoonup For $S_a \stackrel{c}{\rightarrow} S_b$, we have $T[S_a,c] = S_b$
- DFA execution
 - ightharpoonup If the current state is S_a and input is c, then read $T[S_a,c]$
 - ➤ Update the current state to S_b , assuming $T[S_a,c] = S_b$
 - ightharpoonup Requires O(|X|) steps, where |X| is the length of input
- NFA execution
 - > At a given step, there is a set of possible states, up to N
 - On input c, must access table for each possible state to get next set of possible states
 - ightharpoonup Requires O(|X| * N) steps

Implementation in Practice

- GNU lex
 - Convert regular expression to NFA
 - Convert NFA to DFA
 - Perform DFA state minimization to reduce space
 - Generate transition table from DFA
 - Perform table compression to further reduce space
- Most other automated lexers also trade off space for speed by choosing DFA over NFA

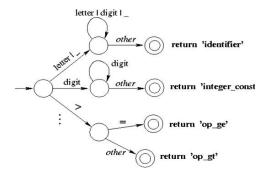
From RE to FA

Our implementation sketch



Structure of a Scanner Automaton

A scanner recognize multiple REs



How much should we match?

- In general, find the longest match possible
- If same length, first rule in lex file takes precedence Example:

on input **123.45**, we match it as (numConst, 123.45)

rather than

(numConst, 123), (dot, "."), (numConst, 45)

How to Match Keywords?

Approach 1: Hardcode the keywords

Approach 2: When token is identified, check a table of keywords

Example: to recognize the following tokens

Identifiers: letter(letter|digit)*

Keywords: if, then, else

Beyond Regular Languages

- Regular languages are expressive enough for tokens
- Can express identifiers, strings, comments, etc.
- However, it is the least expressive formal language.
 - Many languages are not regular
 - C programming language is not
 - XML or JSON is not
 - "(((...)))" is also not
 - Finite automata cannot express nested structures
 - Can only remember a finite number of "("s encountered
- We need a more powerful language for parsing
 - > In the next lecture, we will discuss context-free languages