

The Java HotSpot Performance Engine Architecture

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### Chapter 1. Introduction and Overview

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The Java HotSpot™ virtual machine implementation (Java HotSpot™ VM) is Sun Microsystems, Inc.'s high-performance VM for the Java platform. Java HotSpot technology provides the foundation for the Java SE platform, the premier solution for rapidly developing and deploying business-critical desktop and enterprise applications. Java SE technology is available for the Solaris Operating Environment (OE), Linux, and Microsoft Windows, as well as other platforms through Java technology licensees.

The Java platform has become a mainstream vehicle for software development and deployment. With millions of developers and users, the Java platform is growing explosively in many dimensions: from credit cards to wireless devices, desktops to mainframes. It is the underlying foundation for deploying Web page applets, Web services, large commercial applications, and more.

The Java HotSpot VM builds upon Java technology's cross-platform support and robust security model with new features and capabilities for scalability, quality, and performance. In addition to new features, this version is upward compatible with previous releases.

The Java HotSpot VM supports virtually all aspects of development, deployment, and management of corporate applications, and is used by:

- Integrated development environments (IDEs) including the Sun Java Studio Tools, the NetBeans open source project, IBM's Eclipse, IntelliJ IDEA, Oracle JDeveloper, and others.
- Application server vendors, such as the Sun Java System Application Server, BEA Systems' WebLogic software, IBM's WebSphere software, Apple Computer, Inc.'s WebObjects software, and others.

## Chapter 2. The Java HotSpot VM Architecture

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### Overview

The Java HotSpot Virtual Machine is Sun's VM for the Java platform. It delivers the optimal performance for Java applications using many advanced techniques, incorporating a state-of-the-art memory model, garbage collector, and adaptive optimizer. It is written in a high-level, object-oriented style, and features:

- Uniform object model



`-client` or `-server`.

Although the Server and the Client VMs are similar, the Server VM has been specially tuned to maximize peak operating speed. It is intended for executing long-running server applications, which need the fastest possible operating speed more than a fast start-up time or smaller runtime memory footprint.

The Client VM compiler serves as an upgrade for both the Classic VM and the just-in-time (JIT) compilers used by previous versions of the JDK. The Client VM offers improved run time performance for applications and applets. The Java HotSpot Client VM has been specially tuned to reduce application start-up time and memory footprint, making it particularly well suited for client environments. In general, the client system is better for GUIs.

The Client VM compiler does not try to execute many of the more complex optimizations performed by the compiler in the Server VM, but in exchange, it requires less time to analyze and compile a piece of code. This means the Client VM can start up faster and requires a smaller memory footprint.

The Server VM contains an advanced adaptive compiler that supports many of the same types of optimizations performed by optimizing C++ compilers, as well as some optimizations that cannot be done by traditional compilers, such as aggressive inlining across virtual method invocations. This is a competitive and performance advantage over static compilers. Adaptive optimization technology is very flexible in its approach, and

typically outperforms even advanced static analysis and compilation techniques.

Both solutions deliver extremely reliable, secure, and maintainable environments to meet the demands of today's enterprise customers.

## Memory Model

### Handleless Objects

In previous versions of the Java virtual machine, such as the Classic VM, indirect handles are used to represent object references. While this makes relocating objects easier during garbage collection, it represents a significant performance bottleneck, because accesses to the instance variables of Java programming language objects require two levels of indirection.

In the Java HotSpot VM, no handles are used by Java code. Object references are implemented as direct pointers. This provides C-speed access to instance variables. When an object is relocated during memory reclamation, the garbage collector is responsible for finding and updating all references to the object in place.

### Two-Word Object Headers

The Java HotSpot VM uses a two machine-word object header, as opposed to three words in the Classic VM. Since the average Java object size is small, this has a significant impact on space consumption -- saving approximately eight percent in heap size for typical applications. The first header word contains

information such as the identity hash code and GC status information. The second is a reference to the object's class. Only arrays have a third header field, for the array size.

## Reflective Data are Represented as Objects

Classes, methods, and other internal reflective data are represented directly as objects on the heap (although those objects may not be directly accessible to Java technology-based programs). This not only simplifies the VM internal object model, but also allows classes to be collected by the same garbage collector used for other Java programming language objects.

## Native Thread Support, Including Preemption and Multiprocessing

Per-thread method activation stacks are represented using the host operating system's stack and thread model. Both Java programming language methods and native methods share the same stack, allowing fast calls between the C and Java programming languages. Fully preemptive Java programming language threads are supported using the host operating system's thread scheduling mechanism.

A major advantage of using native OS threads and scheduling is the ability to take advantage of native OS multiprocessing support transparently. Because the Java HotSpot VM is designed to be insensitive to race conditions caused by preemption and/or multiprocessing while executing Java programming language code, the Java programming language threads will automatically

take advantage of whatever scheduling and processor allocation policies the native OS provides.

## Garbage Collection

The generational nature of the Java HotSpot VM's memory system provides the flexibility to use specific garbage collection algorithms suited to the needs of a diverse set of applications. The Java HotSpot VM supports several different garbage collection algorithms designed to serve different pause time and throughput requirements.

## Background

A major attraction of the Java programming language for programmers is that it is the first mainstream programming language to provide built-in automatic memory management, or garbage collection (GC). In traditional languages, dynamic memory is allocated using an explicit allocate/free model. In practice, this turns out to be not only a major source of memory leaks, program bugs, and crashes in programs written in traditional languages, but also a performance bottleneck and a major impediment to modular, reusable code. (Determining free points across module boundaries is nearly impossible without explicit and hard-to-understand cooperation between modules.) In the Java programming language, garbage collection is also an important part of the "safe" execution semantics required to support the security model.

A garbage collector automatically handles *freeing* of unused object memory behind the scenes by reclaiming an object only

when it can prove that the object is no longer accessible to the running program. Automation of this process completely eliminates not only the memory leaks caused by freeing too little, but also the program crashes and hard-to-find reference bugs caused by freeing too much.

Traditionally, garbage collection has been considered an inefficient process that impeded performance, relative to an explicit-free model. In fact, with modern garbage collection technology, performance has improved so much that overall performance is actually substantially better than that provided by explicit freeing of objects.

## The Java HotSpot Garbage Collector

In addition to including the state-of-the-art features described below, the memory system is designed as a clean, object-oriented framework that can easily be instrumented, experimented with, or extended to use new garbage collection algorithms.

The major features of the Java HotSpot garbage collector are presented below. Overall, these capabilities are well-suited both for applications where the highest possible performance is needed, and for long-running applications where memory leaks and memory inaccessibility due to fragmentation are highly undesirable.

## Accuracy

The Java HotSpot garbage collector is a fully accurate collector. In contrast, many other garbage collectors are conservative or



partially accurate. While conservative garbage collection can be attractive because it is very easy to add to a system without garbage collection support, it has certain drawbacks. In general, conservative garbage collectors are prone to memory leaks, disallow object migration, and can cause heap fragmentation.

A conservative collector does not know for sure where all object references are located. As a result, it must be conservative by assuming that memory words that appear to refer to an object are in fact object references. This means that it can make certain kinds of mistakes, such as confusing an integer for an object pointer. Memory cells that look like a pointer are regarded as a pointer -- and GC becomes inaccurate. This has several negative impacts. First, when such mistakes are made (which in practice is not very often), memory leaks can occur unpredictably in ways that are virtually impossible for application programmers to reproduce or debug. Second, since it might have made a mistake, a conservative collector must either use handles to refer indirectly to objects -- decreasing performance -- or avoid relocating objects, because relocating handleless objects requires updating all references to the objects. This cannot be done if the collector does not know for sure whether an apparent reference is a real reference. The inability to relocate objects causes object memory fragmentation and, more importantly, prevents use of the advanced generational copying collection algorithms described below.

Because the Java HotSpot collector is fully accurate, it can make several strong design guarantees that a conservative collector cannot make:

- All inaccessible object memory can be reclaimed reliably.

- All objects can be relocated, allowing object memory compaction, which eliminates object memory fragmentation and increases memory locality.

An accurate garbage collection mechanism avoids accidental memory leaks, enables object migration, and provides for full heap compaction. The GC mechanism in the Java Hotspot VM scales well to very large heaps.

## Generational Copying Collection

The Java HotSpot VM employs a state-of-the-art generational copying collector, which provides two major benefits:

- Increased allocation speed and overall garbage collection efficiency for most programs, compared to nongenerational collectors
- Corresponding decrease in the frequency and duration of user-perceivable garbage collection pauses

A generational collector takes advantage of the fact that in most programs, the vast majority of objects (often greater than 95 percent) are very short lived (for example, they are used as temporary data structures). By segregating newly created objects into an object nursery, a generational collector can accomplish several things. First, because new objects are allocated contiguously in stack-like fashion in the object nursery, allocation becomes extremely fast, since it merely involves updating a single pointer and performing a single check for nursery overflow. Secondly, by the time the nursery overflows, most of the objects

in the nursery are already dead, allowing the garbage collector to simply move the few surviving objects elsewhere, and avoid doing any reclamation work for dead objects in the nursery.

## Parallel Young Generation Collector

The single-threaded copying collector described above, while suitable for many deployments, could become a bottleneck to scaling in an application that is otherwise parallelized to take advantage of multiple processors. To take full advantage of all available CPUs on a multiprocessor machine, the Java HotSpot VM offers an optional multithreaded collector for the young generation, in which the tracing and copying of live objects is accomplished by multiple threads working in parallel. The implementation has been carefully tuned to balance the collection work between all available processors, allowing the collector to scale up to large numbers of processors. This reduces the pause times for collecting young space and maximizes garbage collection throughput. The parallel collector has been tested with systems containing more than 100 CPU's and 0.5 terabytes of heap. The parallel young generation collector is the default garbage collection algorithm used with the Server VM.

## Chapter 3. The Java HotSpot Compilers

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### Overview

Most attempts to accelerate Java programming language performance have focused on applying compilation techniques

developed for traditional languages. Just-in-time (JIT) compilers are essentially fast traditional compilers that translate the Java technology bytecodes into native machine code on the fly. A JIT running on the end user's machine actually executes the bytecodes and compiles each method the first time it is executed.

However, there are several issues with JIT compilation. First, because the compiler runs on the execution machine in *user time*, it is severely constrained in terms of compile speed: if it is not very fast, then the user will perceive a significant delay in the startup of a program or part of a program. This entails a trade-off that makes it far more difficult to perform advanced optimizations, which usually slow down compilation performance significantly.

Secondly, even if a JIT had time to perform full optimization, such optimizations are less effective for the Java programming language than for traditional languages like C and C++. There are a number of reasons for this:

- The Java language is dynamically *safe*, meaning that it ensures that programs do not violate the language semantics or directly access unstructured memory. This means dynamic type-tests must frequently be performed (when casting, and when storing into object arrays).
- The Java language allocates all objects on the *heap*, in contrast to C++, where many objects are stack allocated. This means that object allocation rates are much higher for the Java language than for C++. In addition, because the Java language is garbage collected, it has very different types of memory allocation overhead (including potentially scavenging and write-barrier overhead) than C++.

- In the Java language, most method invocations are *virtual* (potentially polymorphic), and are more frequently used than in C++. This means not only that method invocation performance is more dominant, but also that static compiler optimizations (especially global optimizations such as inlining) are much harder to perform for method invocations. Many traditional optimizations are most effective between calls, and the decreased distance between calls in the Java language can significantly reduce the effectiveness of such optimizations, since they have smaller sections of code to work with.
- Java technology-based programs can change on the fly due to a powerful ability to perform dynamic loading of classes. This makes it far more difficult to perform many types of global optimizations. The compiler must not only be able to detect when these optimizations become invalid due to dynamic loading, but also be able to undo or redo those optimizations during program execution, even if they involve active methods on the stack. This must be done without compromising or impacting Java technology-based program execution semantics in any way.

As a result, any attempt to achieve fundamental advances in Java language performance must provide nontraditional answers to these performance issues, rather than blindly applying traditional compiler techniques.

The Java HotSpot VM architecture addresses the Java language performance issues described above by using adaptive optimization technology.

## Hot Spot Detection

Adaptive optimization solves the problems of JIT compilation by taking advantage of an interesting program property. Virtually all programs spend the vast majority of their time executing a minority of their code. Rather than compiling method by method, just in time, the Java HotSpot VM immediately runs the program using an interpreter, and analyzes the code as it runs to detect the critical hot spots in the program. Then it focuses the attention of a global native-code optimizer on the hot spots. By avoiding compilation of infrequently executed code (most of the program), the Java HotSpot compiler can devote more attention to the performance-critical parts of the program, without necessarily increasing the overall compilation time. This hot spot monitoring is continued dynamically as the program runs, so that it literally adapts its performance on the fly to the user's needs.

A subtle but important benefit of this approach is that by delaying compilation until after the code has already been executed for a while (measured in machine time, not user time), information can be gathered on the way the code is used, and then utilized to perform more intelligent optimization. As well, the memory footprint is decreased. In addition to collecting information on hot spots in the program, other types of information are gathered, such as data on caller-callee relationships for virtual method invocations.

## Method Inlining

The frequency of virtual method invocations in the Java programming language is an important optimization bottleneck. Once the Java HotSpot adaptive optimizer has gathered information during execution about program hot spots, it not only

compiles the hot spot into native code, but also performs extensive method inlining on that code.

Inlining has important benefits. It dramatically reduces the dynamic frequency of method invocations, which saves the time needed to perform those method invocations. But even more importantly, inlining produces much larger blocks of code for the optimizer to work on. This creates a situation that significantly increases the effectiveness of traditional compiler optimizations, overcoming a major obstacle to increased Java programming language performance.

Inlining is synergistic with other code optimizations, because it makes them more effective. As the Java HotSpot compiler matures, the ability to operate on large, inlined blocks of code will open the door to a host of even more advanced optimizations in the future.

## Dynamic Deoptimization

Although inlining, described in the last section, is an important optimization, it has traditionally been very difficult to perform for dynamic object-oriented languages like the Java language.

## Chapter 4. Advanced Features of the Java HotSpot VM

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The Java HotSpot VM supports many advanced features to enable high scalability, high performance, and enterprise-class reliability, availability and serviceability.

# Scalability

The Java HotSpot VM has recently added automatic self-sizing and adaptation mechanisms called [ergonomics](#). Currently, ergonomics manifests in two principal areas. First, depending on the physical configuration of the machine (taking into account number of processors and available physical memory, for example), either the Client VM or Server VM will be automatically selected. In particular, the Server VM will be selected for machines with larger numbers of processors and larger amounts of RAM, and the size of the garbage-collected heap will be automatically selected for reasonable server-side applications on such hardware. Second, the garbage collection algorithms in the Java HotSpot VM are now self-tuning, so that it is no longer necessary to explicitly specify the relative sizes of the young and old generations. The garbage collectors will self-tune to improve the throughput of the application and reduce pause times. Ergonomic techniques automatically improve scalability of server-side applications, and more work in this area is planned for future releases.

## Performance

In addition to the core object-oriented optimizations enabled by the Java HotSpot VM's architecture, the VM and the Sun Java Runtime Environment support some other key performance optimizations:

- *Fast reflection*: the Java libraries now generate bytecode stubs for frequently used reflective objects such as Methods and Constructors. This technique exposes the reflective invocations



to the Java HotSpot compilers, yielding much higher performance and, in some cases with the Server VM, complete elimination of the overhead associated with the reflective invocation. This provides significant speedups in reflection-intensive code, such as that used in serialization, RMI, and CORBA code environments.

- *New I/O optimizations:* the Java HotSpot compilers treat operations on New I/O Buffer objects specially, producing high-quality machine code for `get` and `put` method invocations. Combined with the large performance and scalability improvements in network and file I/O offered by the New I/O APIs, Java programming language applications can now achieve similar throughput as applications coded in C and C++. The New I/O Buffer optimizations are also applicable to other problem domains, such as 3D graphics, transferring large amounts of data between the Java platform and the outside world.

## Reliability, Availability and Serviceability

The current release of the Java HotSpot VM is the most reliable to date. Recent releases of the VM have set new records for reliability and availability for enterprise applications, based on execution of various large applications by Sun Microsystems, Inc.

The Java HotSpot VM contains the reference implementation of the Java Virtual Machine Tools Interface (JVM TI). This interface allows tools such as profilers, debuggers, and monitors to observe and control the JVM. Included features are:

## Chapter 5. Impact on Software Reusability

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# Overview

A primary benefit of object-oriented programming is that it can increase development productivity by providing powerful language mechanisms for software reuse. In practice, however, such reusability is rarely attained. Extensive use of these mechanisms can significantly reduce performance, which leads programmers to use them sparingly. A surprising side effect of the Java HotSpot technology is that it significantly reduces this performance cost. Sun believes this will have a major impact on how object-oriented software is developed, by allowing companies to take full advantage of object-oriented reusability mechanisms for the first time, without compromising the performance of their software.

Examples of this effect are easy to come by. A survey of programmers using the Java programming language will quickly reveal that many avoid using fully virtual methods (and also write bigger methods), because they believe that every virtual method invocation entails a significant performance penalty. Ubiquitous, fine-grain use of virtual methods, such as methods that are not static or final in the Java programming language, is extremely

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## Chapter 6. Summary

The Java HotSpot VM delivers optimal performance for Java applications, delivering advanced optimization, garbage collection, and thread synchronization capabilities. In addition, the VM offers debugging capabilities designed to improve overall reliability, availability and serviceability of Java technology-based

applications. The Java HotSpot VM provides separate compilers for client and server environments so that applications can be optimized according to their target deployment environments.

## Chapter 7. Availability ---

The Java HotSpot VM is included in the Java SE platform environment. It is available at [Java Sun](#) for the following environments:

- Solaris Operating Environment for SPARC platforms.
- Solaris Operating Environment for Intel platforms.
- Linux Operating Systems: several versions of Red Hat Enterprise Linux, SuSE Linux and the Sun Java Desktop System are officially supported on Intel platforms. Recent versions of the Java SE platform have undergone limited testing on other Linux platforms. Please see the [supported system configurations](#) for Java SE for more information.

## Chapter 8. Resources ---

These web sites provide additional information:

- [Java HotSpot Home Page](#)
- [Memory Management in the Java HotSpot VM \(PDF\)](#)
- [Ergonomics Documentation for the Java HotSpot VM](#)
- [Tuning Garbage Collection with the Java HotSpot VM](#)

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