Parsing with Derivatives

A Functional Pearl

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"I want to do parsing."

-Me, new Grad Student

"grad-school Vietnam"

"charred remains"

"would-be Ph.D.s"

Parsing should be simple.

Parsing should be functional.

Parsing should be fun.

is not.

LL vs. LR

LR vs. LALR

Left-recursive?

Right-recursive?

Shift / reduce tables

Shift / reduce conflicts

Backtracking

Table management

Ambiguity?

There is a way.

Brzozowski's derivative.

Derivatives of Regular Expressions

Janusz A. Brzozowski

Princeton University, Princeton, New Jerseyt

Abstract. Kleene's regular expressions, which can be used for describing sequential circuits, were defined using three operators (union, concatenation and iterate) on sets of sequences. Word descriptions of problems can be more easily put in the regular expression language if the language is enriched by the inclusion of other logical operations. However, in the problem of converting the regular expression description to a state diagram, the existing methods either cannot handle expressions with additional operators, or are made quite complicated by the presence of such operators. In this paper the notion of a derivative of a regular expression is introduced and the properties of derivatives are discussed. This leads, in a very natural way, to the construction of a state diagram from a regular expression containing any number of logical operators.

1964

Derivatives of Regular Expressions

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Abstract. Kleene's regular expressions, which can be used for describing sequential circuits, were defined using three operators (union, concatenation and iterate) on sets of sequences. Word descriptions of problems can be more easily put in the regular expression language if the language is enriched by the inclusion of other logical operations. However, in the problem of converting the regular expression description to a state diagram, the existing methods either cannot handle expressions with additional operators, or are made quite complicated by the presence of such operators. In this paper the notion of a derivative of a regular expression is introduced and the properties of derivatives are discussed. This leads, in a very natural way, to the construction of a state diagram from a regular expression containing any number of logical operators.

```
(define-struct ∅
                        {})
(define-struct ε
                       {})
                       {value})
(define-struct token
(define-struct δ
                       {lang})
(define-struct ∪
                       {this that})
(define-struct ∘
                       {left right})
(define-struct ⋆
                       {lang})
(define (D c L)
  (match L
    [(ø)
                    (ø)]
    [(ε)
                    (ø)]
    [(δ <u></u>)
                    (ø)]
    [(token a)
                    (if (eqv? a c) (\epsilon) (\emptyset))]
    [(U L1 L2)
                    (u (D c L1) (D c L2))]
                    ( o (D c L1) L)]
    [(\star L1)]
    [(° L1 L2)
                    (υ (° (δ L1) (D c L2))
                        (o (D c L1) L2))]))
(define (nullable? L)
  (match L
    [(ø)
                    #f]
    [(E)
                    #t]
    [(token )
                    #f]
                    #t1
    [(* _)
    [(δ L1)
                    (nullable? L1)]
    [(u L1 L2)
                    (or (nullable? L1)
                         (nullable? L2))]
    [(° L1 L2)
                    (and (nullable? L1)
                          (nullable? L2))]))
  (define (recognizes? w p)
    (cond [(null? w) (nullable? p)]
          [else (recognizes? (cdr w) (D (car w) p))]))
```

```
(define-struct ∅
                        {})
                                                                 (define-struct ∅
                                                                                          {})
                        {})
                                                                 (define-struct ε
(define-struct ε
                                                                                         {tree-set})
                        {value})
                                                                 (define-struct token {value?})
(define-struct token
                        {lang})
                                                                 (define-lazy-struct δ {lang})
(define-struct δ
                        {this that})
(define-struct ∪
                                                                 (define-lazy-struct ∪ {this that})
(define-struct ∘
                        {left right})
                                                                 (define-lazy-struct • {left right})
                        {lang})
                                                                 (define-lazy-struct ★ {lang})
(define-struct ⋆
                                                                 (define-lazy-struct → {lang reduce})
(define (D c L)
                                                                 (define/memoize (D c p)
  (match L
                                                                   #:order ([p #:eq] [c #:equal])
    [(ø)
                     (ø)]
                                                                   (match p
    [(E)
                     (ø)]
                                                                      [(ø)
                                                                                      (ø)]
    [(δ <u></u>)
                     (ø)]
                                                                                      (ø)]
                                                                     [(ε <u>_</u>)
                                                                     [(δ <u></u>)
                                                                                      (ø)]
    [(token a)
                    (if (eqv? a c) (\epsilon) (\emptyset))]
                     (u (D c L1) (D c L2))]
    [(U L1 L2)
                                                                     [(token p?)
                                                                                      (if (p? c) (\epsilon (set c)) (\emptyset))]
                     ( o (D c L1) L)]
                                                                                      (U (D c p1) (D c p2))]
    [(\star L1)]
                                                                     [(U p1 p2)]
                     (υ (° (δ L1) (D c L2))
    [(° L1 L2)
                                                                     [(\star p1)]
                                                                                      ( o (D c p1) p)]
                        (o (D c L1) L2))))
                                                                                      (\rightarrow (D c p1) f)]
                                                                     [(\rightarrow p1 f)]
                                                                                      (υ (° (δ p1) (D c p2))
                                                                      [(o p1 p2)
                                                                                          (o (D c p1) p2))]))
(define (nullable? L)
                                                                 (define/fix (parse-null p)
                                                                   #:bottom (set)
  (match L
                                                                   (match p
    [(ø)
                    #f]
    [(E)
                    #t]
                                                                      [(ε S)
                                                                                     S1
    [(token )
                    #f]
                                                                      [(ø)
                                                                                     (set)]
                                                                     [(δ p)
    [(* )
                    #t1
                                                                                     (parse-null p)]
    [(\delta L1)]
                     (nullable? L1)]
                                                                     [(token )
                                                                                     (set)1
    [(U L1 L2)
                     (or (nullable? L1)
                                                                                     (set '())]
                                                                     [(* )
                         (nullable? L2))]
                                                                     [(u p1 p2)]
                                                                                     (set-union (parse-null p1)
    [(° L1 L2)
                     (and (nullable? L1)
                                                                                                 (parse-null p2))]
                                                                     [(o p1 p2)
                          (nullable? L2))]))
                                                                                     (for*/set ([t1 (parse-null p1)]
                                                                                                 [t2 (parse-null p2)])
                                                                                                (cons t1 t2))]
                                                                     [(\rightarrow p1 f)]
                                                                                     (for/set ([t (parse-null p1)])
                                                                                               (f t)))))
  (define (recognizes? w p)
                                                                   (define (parse w p)
                                                                     (cond [(null? w) (parse-null p)]
    (cond [(null? w) (nullable? p)]
           [else (recognizes? (cdr w) (D (car w) p))]))
                                                                            [else (parse (cdr w) (D (car w) p))]))
```

t Laziness

+ Memoization

+ Fixed points

Brzozowski's derivative?

1. Filter:

Keep every string starting with c.

2. Chop:

Remove c from the start of each.

foo frak bar

<u>f</u>

foo frak

<u>f</u>

oo rak

Recognition algorithm

- Derive with respect to each character.
- Does the derived language contain ε ?

foo = (foo)*

$$oo \in D_{f}(foo)*$$

ε (foo)*

ε (foo)*

Deriving atomic languages

$\epsilon = \{ \parallel \parallel \}$ $c \equiv \{c\}$

```
(define-struct Ø {})
(define-struct ε {})
(define-struct token {value})
```

 $D_c\emptyset =$

$$D_c\emptyset=\emptyset$$

(define (D c L)

```
(define (D c L)
  (match L
```

$$D_c(\epsilon) =$$

$$D_c(\epsilon) = \emptyset$$

 $D_c\{c\} = \epsilon$

$$D_c\{c\} = \epsilon$$

$$D_c\{c'\} = \emptyset \text{ if } c \neq c'$$

```
(define (D c L)
  (match L
```

```
[(token a) (cond [(eqv? a c) (\epsilon)] [else (\emptyset)])]
```

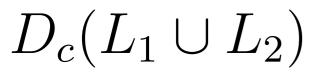
Deriving regular languages

$L_1 \cup L_2$

L₁ · L₂

 L_1^{\star}

```
(define-struct ∪ {this that})
(define-struct ∘ {left right})
(define-struct ★ {lang})
```



$$D_{c}(L_{1} \cup L_{2}) = \{w : cw \in L_{1} \cup L_{2}\}$$

$$= \{w : cw \in L_{1} \text{ or } cw \in L_{2}\}$$

$$= \{w : w \in D_{c}L_{1} \text{ or } w \in D_{c}L_{2}\}$$

$$= \{w : w \in D_{c}L_{1}\} \cup \{w : w \in D_{c}L_{2}\}$$

$$= D_{c}L_{1} \cup D_{c}L_{2}.$$

```
(define (D c L)
  (match L
```

$$D_c(L^{\star}) =$$

$$D_c(L^*) = (D_c L) \cdot L^*$$

```
(define (D c L)
  (match L
```

$$[(\star L1) (\circ (D C L1) (\star L1))]$$

Concatenation?

Needs nullability operator

$\delta(L) = \epsilon \text{ if } \epsilon \in L$ $\delta(L) = \emptyset \text{ if } \epsilon \not\in L$

(define-struct δ {lang})

$$D_c(\delta(L)) = \emptyset$$

```
(define (D c L)
  (match L
```

$$D_c(L_1 \cdot L_2) =$$

$$D_c(L_1 \cdot L_2) = (D_c L_1 \cdot L_2)$$

$$D_c(L_1 \cdot L_2) = (D_c L_1 \cdot L_2) \cup (\delta(L_1) \cdot D_c L_2)$$

```
(define (D c L)
  (match L
```

```
(define (D c L)
  (match L
    [(\emptyset)]
                      (Ø)]
    [(s)]
                      (Ø)]
    [(token a)
                     (cond [(eqv? a c) (ε)]
                             [else (Ø)])]
    [(\delta _)
                      (Ø)]
    [(U L1 L2)]
                      (U (D c L1)
                          (D c L2))]
    [(★ L1)
                      (° (D c L1) L)]
                      (U (\circ (\delta L1) (D c L2))
    [(° L1 L2)
                          (° (D c L1) L2))]))
```

To recognize?

Need nullability

Need

nullability

Need to compute nullability

$$\delta(\epsilon) = \epsilon$$

$$\delta(c) = \emptyset$$

$$\delta(\emptyset) = \emptyset$$

$$\delta(L_1 \cup L_2) = \delta(L_1) \cup \delta(L_2)$$
$$\delta(L_1 \cdot L_2) = \delta(L_1) \cdot \delta(L_2)$$
$$\delta(L_1^*) = \epsilon$$

```
(define (nullable? L)
  (match L
    [(\emptyset)]
                      #f]
    [(s)]
                      #t]
    [(token)
                      #f]
    [(\delta L1)]
                      (nullable? L1)]
    [(* _)
                      #t]
    [(u L1 L2)
                      (or (nullable? L1)
                           (nullable? L2))]
                      (and (nullable? L1)
    [(° L1 L2)
                            (nullable? L2))]))
```

```
(define (recognizes? w L)
  (if (null? w)
        (nullable? L)
        (recognizes? (cdr w) (D (car w) L)))))
```

How about context-free grammars?

context-free grammars

Recursive regular expressions

$$L=L\cdot\mathbf{x}$$

$$D_{\mathbf{x}}L = D_{\mathbf{x}}L \cdot \mathbf{x}$$

$$\cup \ \epsilon$$

$$(D 'x L) =$$

$$(D \ 'x \ L) = (D \ 'x \ (U \ (\circ \ L \ 'x) \ \epsilon))$$

$$= (U \ (U \ (\circ \ (D \ 'x \ L) \ 'x) \ (\circ \ (\delta \ L) \ (D \ 'x \ 'x)))$$

$$(D \ 'x \ \epsilon))$$

$$(D 'x L) =$$

Solution?

```
(define-struct Ø
                     {})
                    {})
(define-struct ε
(define-struct token {value})
(define-struct ∪ {this that})
(define-struct o {left right})
(define-struct ★ {lang})
(define-struct δ {lang})
```

```
(define-struct Ø
                     {})
                     {})
(define-struct ε
(define-struct token {value})
(define-lazy-struct ∪ {this that})
(define-lazy-struct • {left right})
(define-lazy-struct ★ {lang})
(define-lazy-struct δ {lang})
```

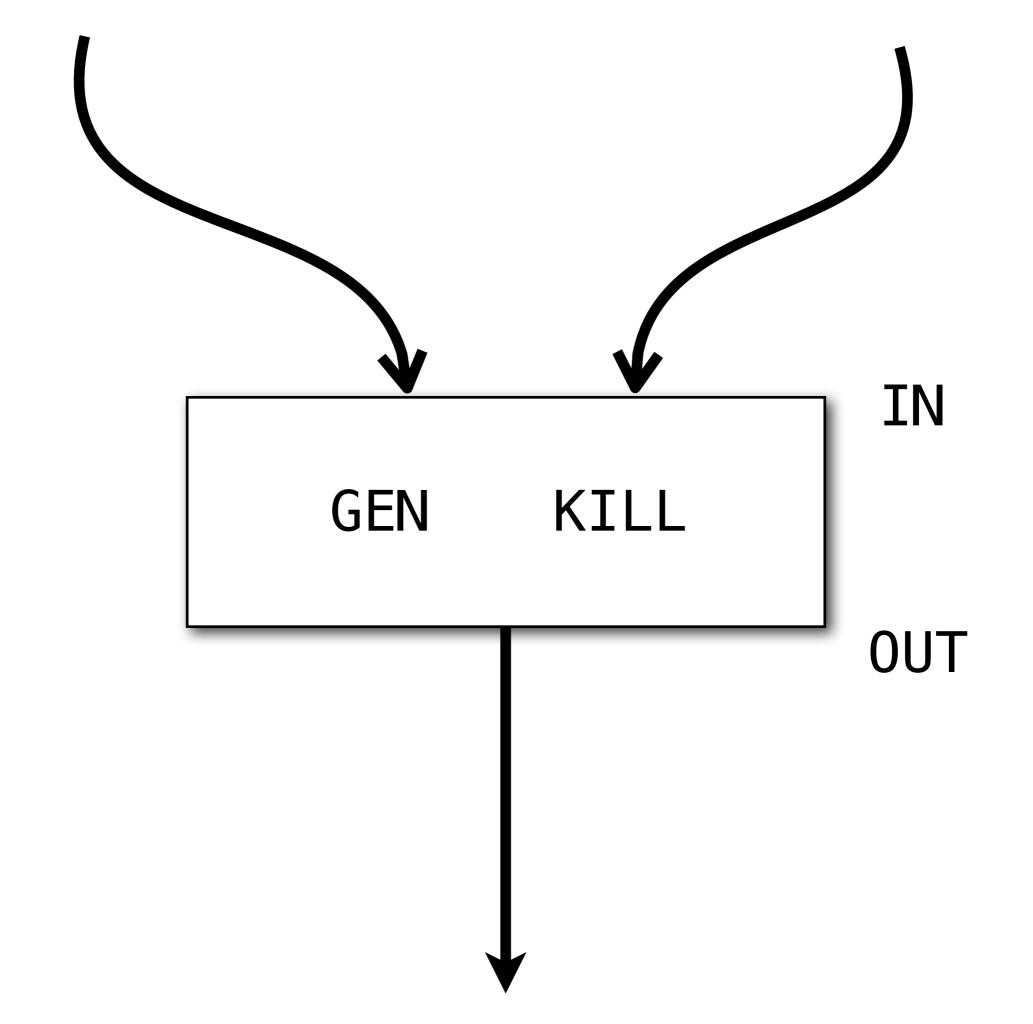
$$\delta(L) = \delta(L) \cdot \delta(\mathbf{x})$$
 $\cup \ \delta(\epsilon)$

$$\delta(L) = \delta(L) \cdot \delta(\mathbf{x})$$
 $\cup \delta(\epsilon)$

Solution?


```
(define (nullable? L)
  (match L
    [(\emptyset)]
                      #f]
    [(s)]
                      #t]
    [(token _)
                      #f]
    [(\delta L1)]
                      (nullable? L1)]
    [(* _)
                      #t]
    [(U L1 L2)
                      (or (nullable? L1)
                           (nullable? L2))]
                      (and (nullable? L1)
    [(° L1 L2)
                            (nullable? L2))]))
```

```
(define/fix (nullable? L)
  #:bottom #f
  (match L
    [(\emptyset)]
                      #f]
    [(g)]
                      #t]
    [(token _)
                      #f]
    [(\delta L1)]
                      (nullable? L1)]
    [(* _)
                      #t]
    [(u L1 L2)
                      (or (nullable? L1)
                           (nullable? L2))]
                      (and (nullable? L1)
    [(° L1 L2)
                            (nullable? L2))]))
```



```
(define/fix (OUT stmt)
 #:bottom Ø
  (- (u (IN stmt) (GEN stmt))
     (KILL stmt)))
(define/fix (IN stmt)
 #:bottom Ø
  (apply u (map OUT (preds stmt))))
```

Final problem

Grammar unfolds forever

Solution?

Memoize

```
(define (D c L)
  (match L
     [(\emptyset)]
                       (Ø)]
     [(s)]
                       (Ø)]
     [(token a)
                       (cond [(eqv? a c) (ε)]
                              [else
                                            (Ø)])]
     [(δ _)
                       (Ø)]
     [(U L1 L2)]
                       (U (D c L1)
                          (D c L2))]
     [(\star L1)]
                       (° (D c L1) L)]
     [(° L1 L2)
                       (\cup (\circ (\delta L1) (D c L2))
                          (° (D c L1) L2))]))
```

```
(define/memoize (D c L)
  #:order [([L #:eq] [c #:equal])]
  (match L
     [(\emptyset)]
                       (Ø)]
    [(g)]
                       (\emptyset)
    [(token a)
                       (cond [(eqv? a c) (ε)]
                              [else (\emptyset)])]
    [(\delta)]
                       (Ø)]
     [(U L1 L2)]
                       (U (D c L1)
                          (D c L2))]
    [(\star L1)]
                       (° (D c L1) L)]
     ( · L1 L2)
                       (U (\circ (\delta L1) (D c L2))
                          (° (D c L1) L2))]))
```

It works!

(for recognition)

What about parsing?

 $D_c: \mathbb{L} \to \mathbb{L}$

 $D_c: \mathbb{P}(A,T) \to \mathbb{P}(A,T)$

$$\mathbb{P}(A,T) = A^* \to \mathcal{P}(T \times A^*)$$

```
(define/memoize (D c L)
  #:order [([L #:eq] [c #:equal])]
  (match L
     [(\emptyset)]
                       (Ø)]
    [(g)]
                       (\emptyset)
    [(token a)
                       (cond [(eqv? a c) (ε)]
                              [else (\emptyset)])]
    [(\delta)]
                       (Ø)]
     [(U L1 L2)]
                       (U (D c L1)
                          (D c L2))]
    [(\star L1)]
                       (° (D c L1) L)]
     ( · L1 L2)
                       (U (\circ (\delta L1) (D c L2))
                           (° (D c L1) L2))]
```

```
(define/memoize (D c L)
  #:order [([L #:eq] [c #:equal])]
  (match L
     [(\emptyset)]
                        (Ø)]
     [(ε)]
                        (\emptyset)
     [(token a)
                        (cond [(eqv? a c) (ε(set c))]
                                [else
                                               (Ø)])]
     [(\delta)]
                        (\emptyset)
     [(U L1 L2)]
                        (U (D c L1)
                            (D c L2))]
     [(\star L1)]
                        ( o (D c L1) L)]
     ( · L1 L2)
                        (\cup (\circ (\delta L1) (D c L2))
                            (° (D c L1) L2))]))
     [(\rightarrow L1 f)]
                        (\rightarrow (D c L1) f))
```

Computing nullability

Computing null parses

```
(define/fix (parse-ε p)
  #:bottom (set)
  (match p
    [(\epsilon S)]
                      S]
    \lceil (\varnothing) \rceil
                     (set)]
    [(\delta p) (parse-\epsilon p)]
     [(token ) (set)]
                     (set '())]
    [(* _)
    [(\upsilon p1 p2)]
                     (set-union (parse-ε p1)
                                   (parse-\epsilon p2))
                     (for*/set ([t1 (parse-ε p1)]
     [(o p1 p2)
                                   [t2 (parse-ε p2)])
                                  (cons t1 t2))]
                     (for/set ([t (parse-ε p1)])
     [(\rightarrow p1 f)]
                                 (f t)))))
```

```
(define (recognizes? w L)
  (if (null? w)
        (nullable? L)
        (recognizes? (cdr w) (D (car w) L)))))
```

Demo

More in paper

- Theory: From languages to parsers
- Optimization: Grammar compaction
- Discussion: Complexity & performance

Implementation

www.ucombinator.org/projects/parsing/

Reference implementations, test cases, test grammars.

Thanks!

Complexity?

Theory

$$O(2^{2n}G^2)$$

Compaction

$$\emptyset \circ p = p \circ \emptyset \Rightarrow \emptyset$$

$$\emptyset \cup p = p \cup \emptyset \Rightarrow p$$

$$(\epsilon \downarrow \{t_1\}) \circ p \Rightarrow p \to \lambda t_2.(t_1, t_2)$$

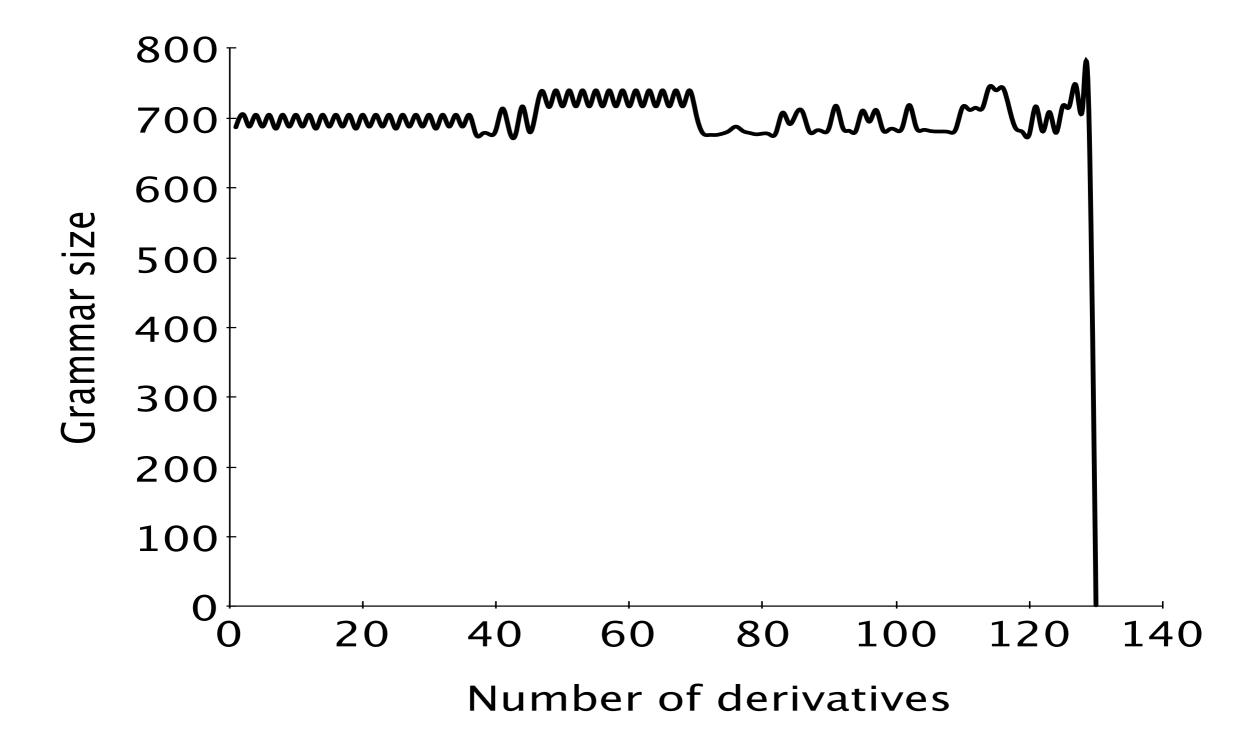
$$p \circ (\epsilon \downarrow \{t_2\}) \Rightarrow p \to \lambda t_1.(t_1, t_2)$$

$$(\epsilon \downarrow \{t_1, \dots, t_n\}) \to f \Rightarrow \epsilon \downarrow \{f(t_1), \dots, f(t_n)\}$$

$$((\epsilon \downarrow \{t_1\}) \circ p) \to f \Rightarrow p \to \lambda t_2.(t_1, t_2)$$

$$(p \to f) \to g \Rightarrow p \to (g \circ f)$$

$$\emptyset^* \Rightarrow \epsilon \downarrow \{\langle \rangle \}.$$

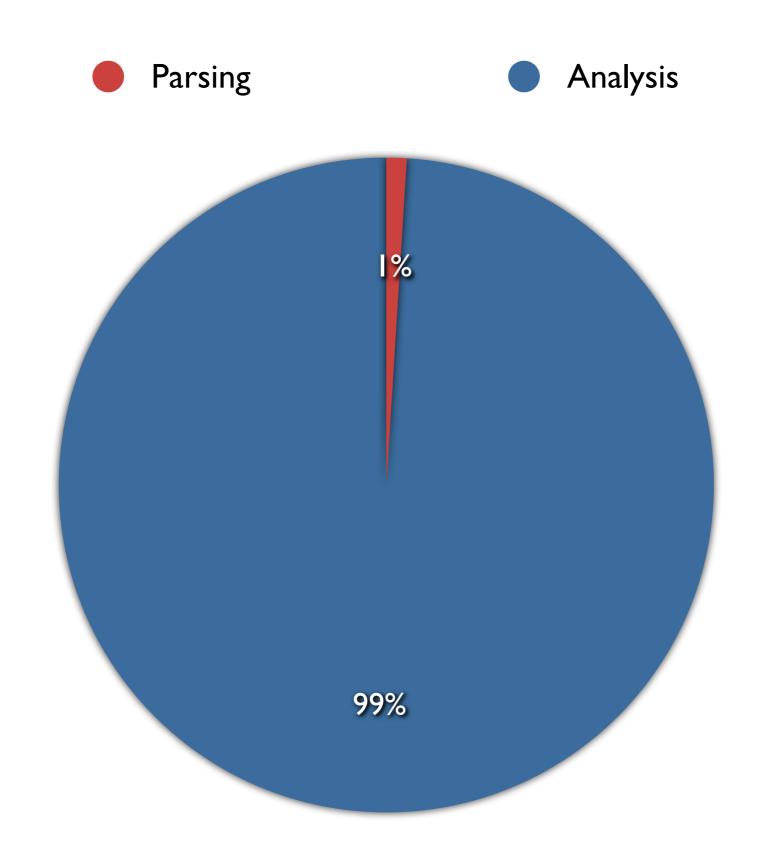


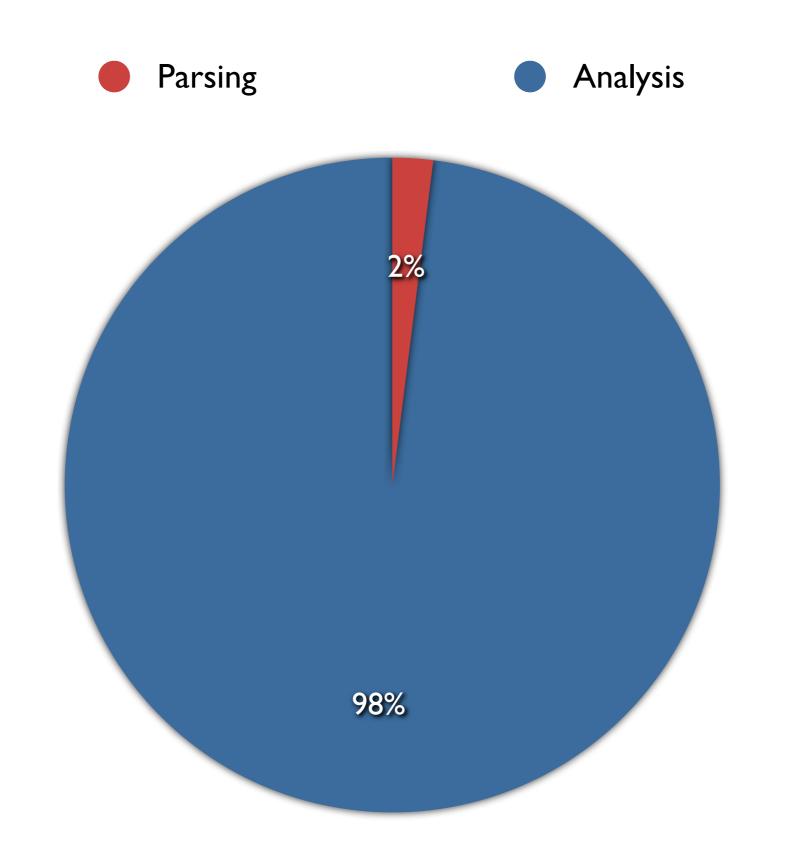
Practice

$$\approx O(nG)$$

Performance

Good enough.





Compaction

$p \cdot \emptyset = \emptyset$

$$\emptyset \circ p = p \circ \emptyset \Rightarrow \emptyset$$

$$\emptyset \cup p = p \cup \emptyset \Rightarrow p$$

$$(\epsilon \downarrow \{t_1\}) \circ p \Rightarrow p \to \lambda t_2.(t_1, t_2)$$

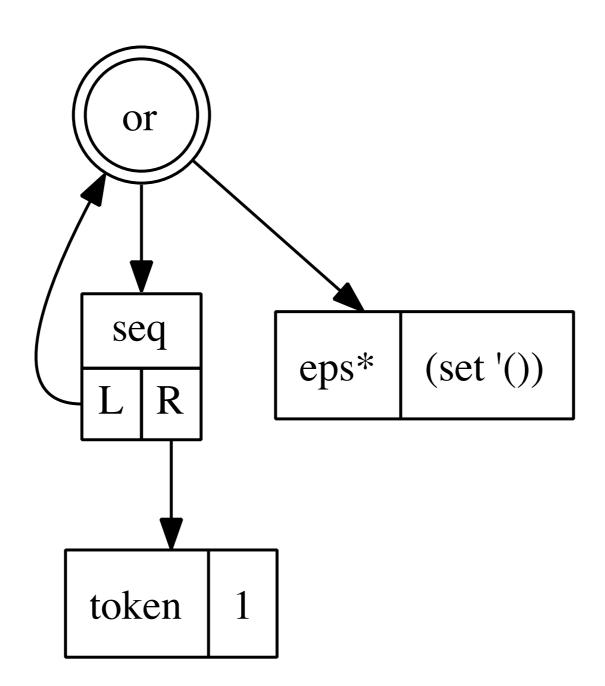
$$p \circ (\epsilon \downarrow \{t_2\}) \Rightarrow p \to \lambda t_1.(t_1, t_2)$$

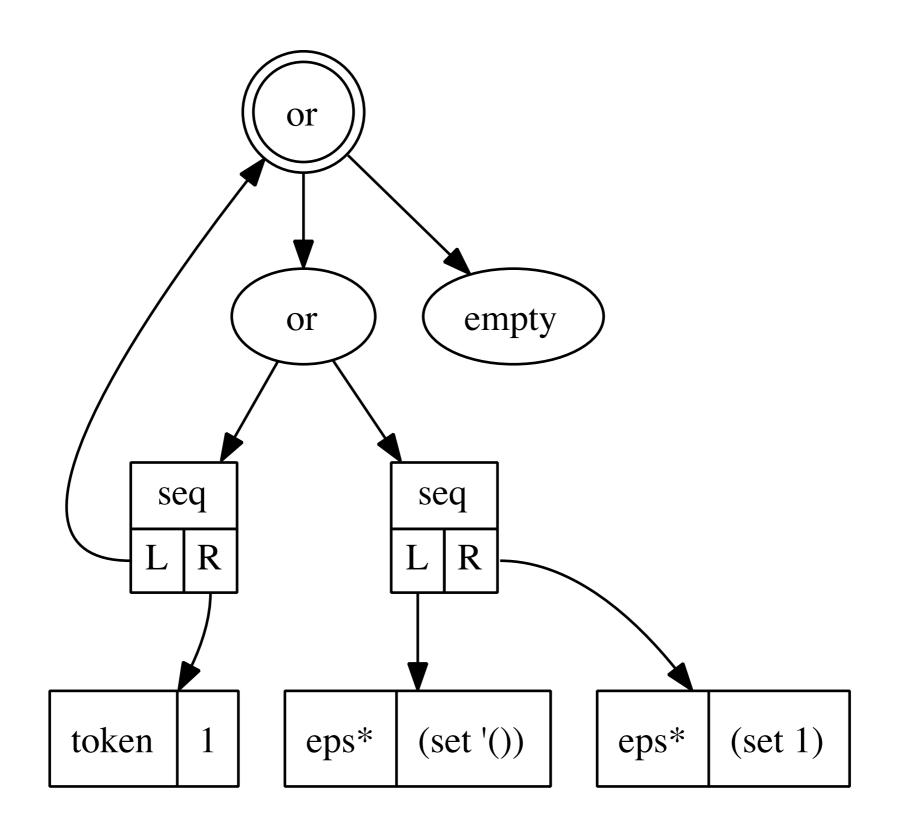
$$(\epsilon \downarrow \{t_1, \dots, t_n\}) \to f \Rightarrow \epsilon \downarrow \{f(t_1), \dots, f(t_n)\}$$

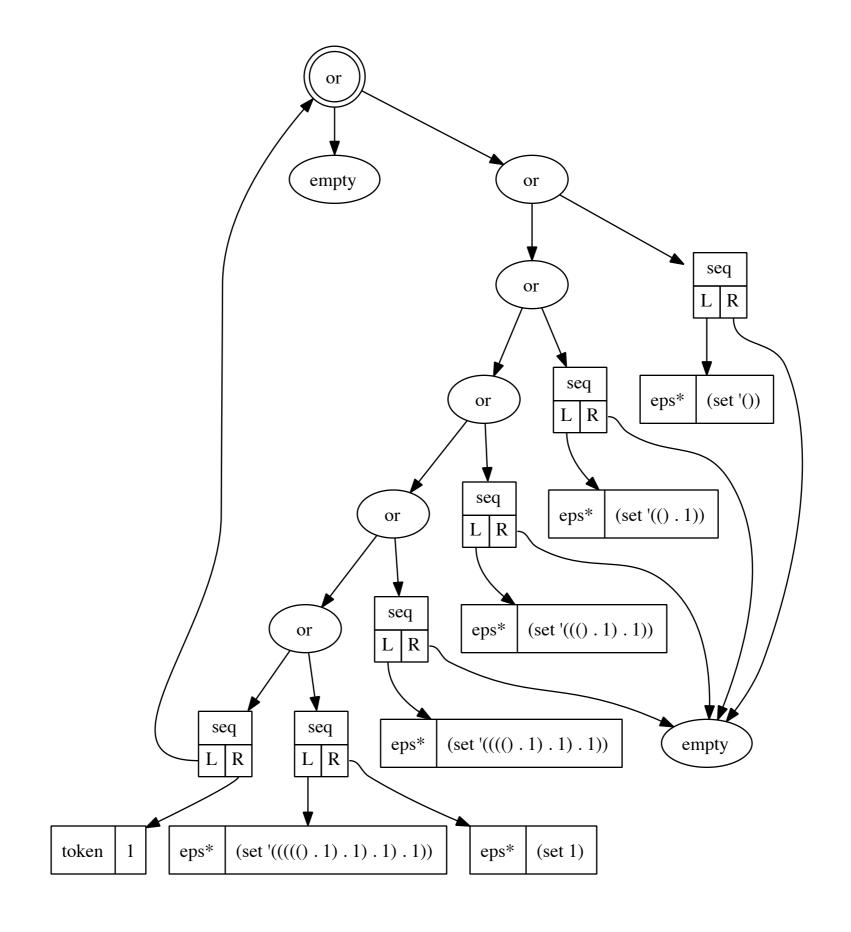
$$((\epsilon \downarrow \{t_1\}) \circ p) \to f \Rightarrow p \to \lambda t_2.(t_1, t_2)$$

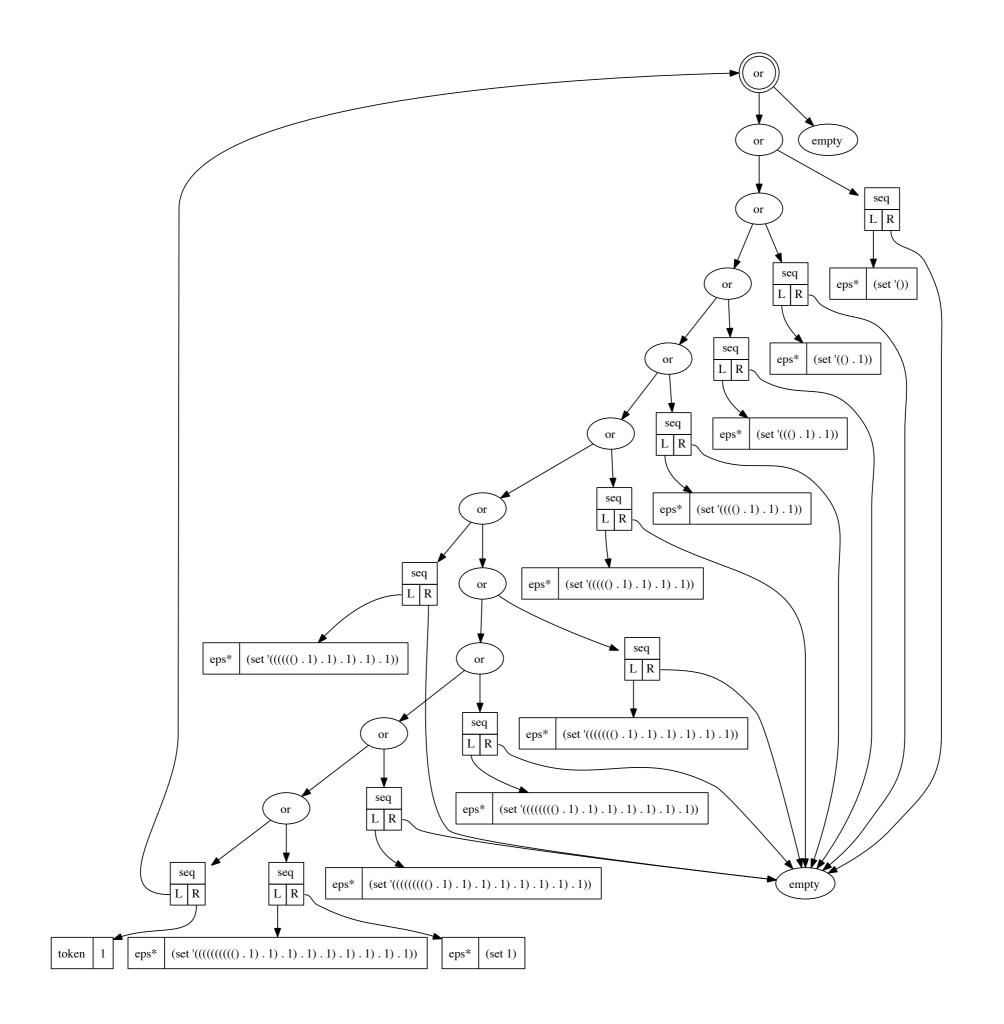
$$(p \to f) \to g \Rightarrow p \to (g \circ f)$$

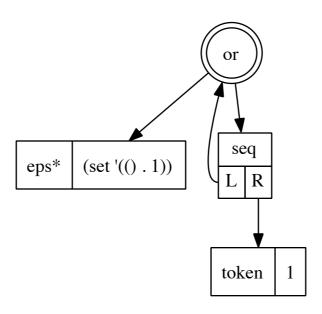
$$\emptyset^* \Rightarrow \epsilon \downarrow \{\langle \rangle \}.$$

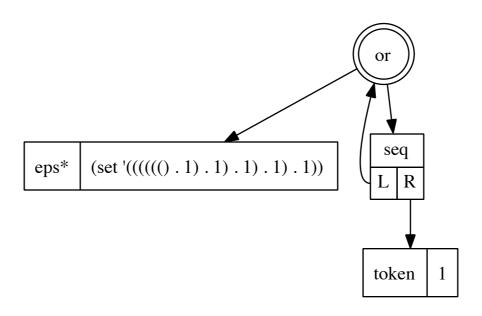


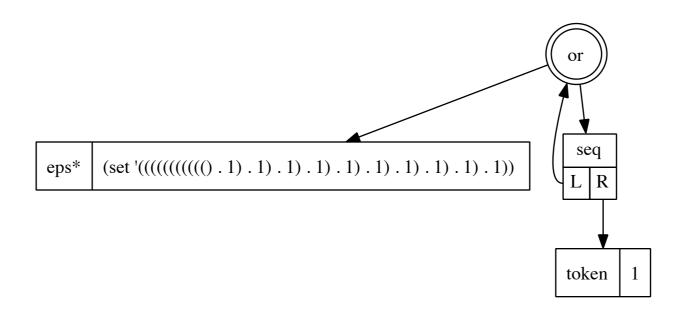












What is a parser?

$$\mathbb{P}(A,T) = A^* \to \mathcal{P}(T \times A^*)$$

Input string \downarrow $\mathbb{P}(A,T) = A^* \to \mathcal{P}(T \times A^*)$

Input string \downarrow $\mathbb{P}(A,T) = A^* \to \mathcal{P}(T \times A^*)$ \uparrow Parse tree

$$\lfloor \mathbb{P} \rfloor (A, T) = A^* \to \mathcal{P}(T)$$

Input string \downarrow $\lfloor \mathbb{P} \rfloor (A,T) = A^* \to \mathcal{P}(T)$

Input string
$$\downarrow \\ \lfloor \mathbb{P} \rfloor (A,T) = A^* \to \mathcal{P}(T)$$
 Parse tree

$$p \in \mathbb{P}(A, T)$$
$$\lfloor p \rfloor(w) = \{t : (t, \epsilon) \in p(w)\}$$

Context-free parsers

$$w \equiv \lambda w'.$$

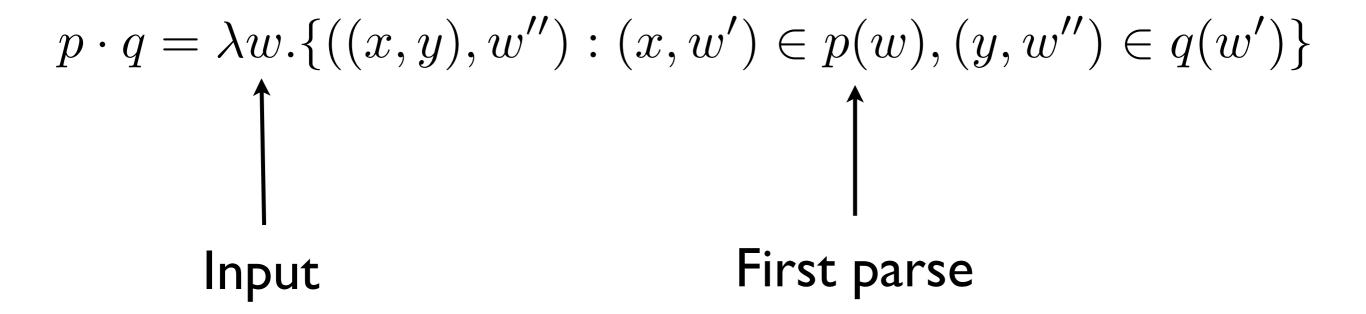
$$\begin{cases} \{(w, w'')\} & w' = ww'' \\ \emptyset & \text{otherwise.} \end{cases}$$

$\epsilon = \lambda w.\{(\epsilon, w)\}$

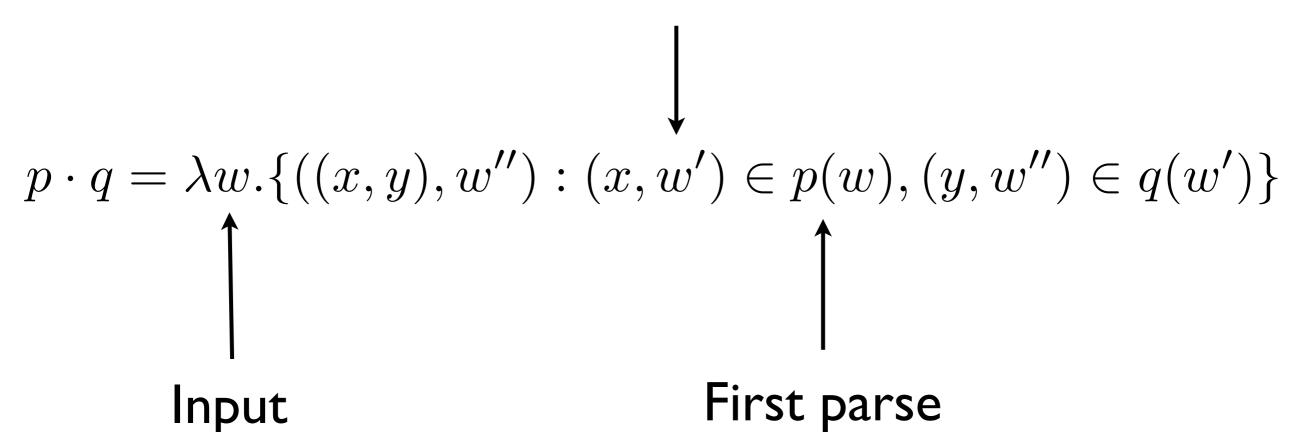
$\emptyset \equiv \lambda w. \{\}$

$$p \in \mathbb{P}(A, X)$$
 $q \in \mathbb{P}(A, Y)$
 $p \cdot q \in \mathbb{P}(A, X \times Y)$

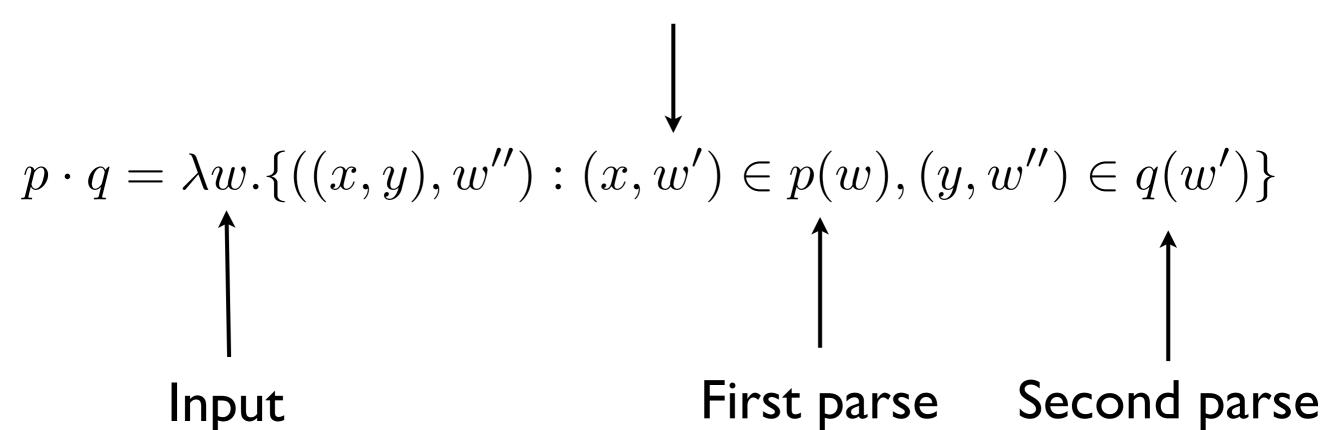
$$p \cdot q = \lambda w.\{((x,y),w'') : (x,w') \in p(w), (y,w'') \in q(w')\}$$

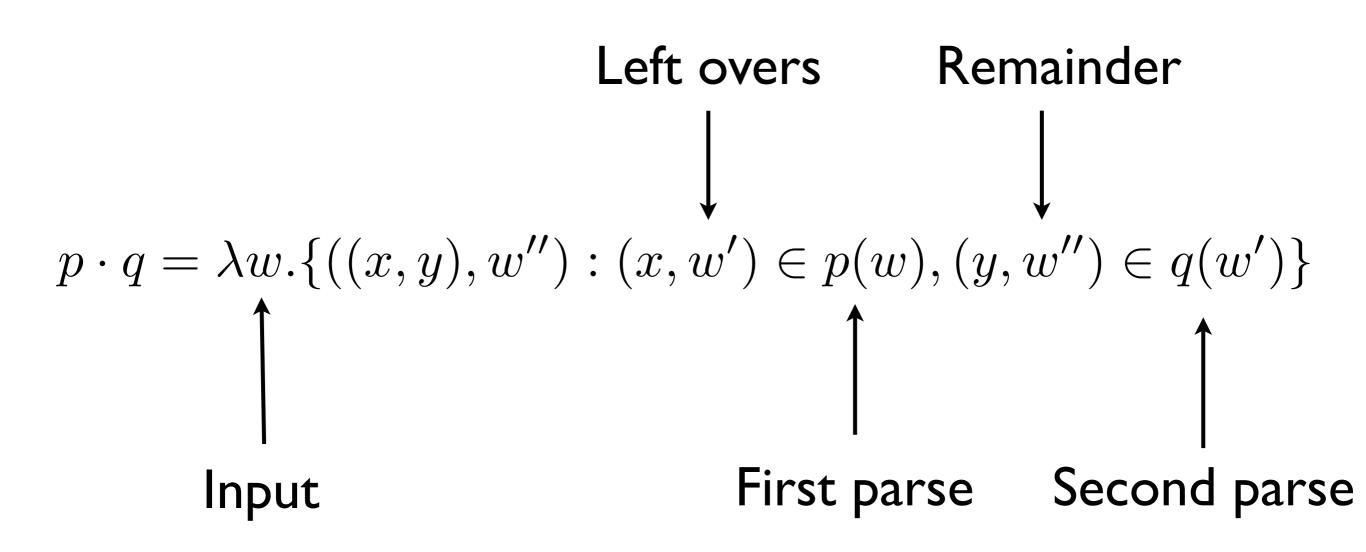


Left overs



Left overs





$$p \in \mathbb{P}(A, X)$$

 $q \in \mathbb{P}(A, X)$
 $p \cup q \in \mathbb{P}(A, X)$
 $p \cup q = \lambda w.p(w) \cup q(w)$

$$f \in X \to Y$$

$$p \in \mathbb{P}(A, X)$$

$$p \to f \in \mathbb{P}(A, Y)$$

$$p \to f = \lambda w.\{((f(x), w') : (x, w') \in p(w))\}$$

Defining the derivative

 $D_c: \mathbb{L} o \mathbb{L}$

$$D_c: \mathbb{P}(A,T) \to \mathbb{P}(A,T)$$

$$D_c(p) = \lambda w.p(cw) - (\lfloor p \rfloor (\epsilon) \times \{cw\})$$

$$D_c(p) = \lambda w.p(cw) - (\lfloor p \rfloor (\epsilon) \times \{cw\})$$
$$p(cw) = D_c(p)(w) \cup (\lfloor p \rfloor (\epsilon) \times \{cw\})$$

$$\lfloor p \rfloor (cw) = \lfloor D_c(p) \rfloor (w)$$

Calculating the derivative

$$D_c(c) = \epsilon \to \lambda \epsilon.c$$

$$D_c(c') = \emptyset \text{ if } c \neq c'$$

$$D_c(p \cup q) = D_c(p) \cup D_c(q)$$

$$D_c(p \to f) = D_c(p) \to f$$

$$D_c(p \cdot q) = \begin{cases} D_c(p) \cdot q & \epsilon \notin \mathcal{L}(p) \\ D_c(p) \cdot q \cup (\epsilon \to \lambda \epsilon. \lfloor p \rfloor(\epsilon)) \cdot D_c(q) & \text{otherwise.} \end{cases}$$

Further reading

- Brzozowski. JACM 1964.
- Owens, Reppy, Turon. JFP 2010.
- Danielsson. ICFP 2010.