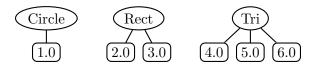
## Sum-of-Product Data Types

#### 1 Introduction

Every general-purpose programming language must allow the processing of values with different structure that are nevertheless considered to have the same "type". For example, in the processing of simple geometric figures, we want a notion of a "figure type" that includes circles with a radius, rectangles with a width and height, and triangles with three sides. Abstractly, figure values might be depicted as shown below:



The name in the oval is a *tag* that indicates which kind of figure the value is, and the branches leading down from the oval indicate the *components* of the value. Such types are known as **sum-of-product data types** because they consist of a sum of tagged types, each of which holds on to a product of components. They are also known as **algebraic data types**.

In OCAML we can declare a new figure type that represents these sorts of geometric figures as follows:

```
type figure =
   Circ of float (* radius *)
   Rect of float * float (* width, height *)
   Tri of float * float * float (* side1, side2, side3 *)
```

Such a declaration is known as a **data type** declaration. It consists of a series of |-separated clauses of the form

```
constructor-name of component-types,
```

where *constructor-name* must be capitalized. The names Circ, Rect, and Tri are called the **constructors** of the figure type. Each serves as a function-like entity that turns components of the appropriate type into a value of type figure. For example, we can make a list of the three figures depicted above:

```
# let figs = [Circ 1.; Rect (2.,3.); Tri(4.,5.,6.)];; (* List of sample figures *)
val figs : figure list = [Circ 1.; Rect (2., 3.); Tri (4., 5., 6.)]
```

It turns out that constructors are *not* functions and cannot be manipulated in a first-class way. For example, we cannot write

```
List.map Circ [7.;8.;9.] (* Does not work, since Circ is not a function *)
```

However, we can always embed a constructor in a function when we need to. For example, the following does work:

```
List.map (fun r \rightarrow Circ r) [7.;8.;9.] (* This works *)
```

We manipulate a value of the figure type by using the OCAML match construct to perform a case analysis on the value and name its components. For example, Fig. 1 shows how to calculate figure perimeters and scale figures.

```
# let pi = 3.14159;;
val pi : float = 3.14159
(* Use pattern matching to define functions on sum-of-products datatype values *)
# let perim fig = (* Calculate perimeter of figure *)
    match fig with
      Circ r -> 2.*.pi*.r
    | \text{Rect } (w,h) -> 2.*.(w+.h)
    | Tri (s1,s2,s3) -> s1+.s2+.s3;;
val perim : figure -> float = <fun>
# List.map perim figs;;
- : float list = [6.28318; 10.; 15.]
# let scale n fig = (* Scale figure by factor n *)
 match fig with
    Circ r -> Circ (n*.r)
  | Rect (w,h) \rightarrow Rect (n*.w, n*.h)
  | Tri (s1,s2,s3) -> Tri (n*.s1, n*.s2, n*.s3);;
val scale : float -> figure -> figure = <fun>
# List.map (scale 3.) figs;;
- : figure list = [Circ 3.; Rect (6., 9.); Tri (12., 15., 18.)]
# List.map (FunUtils.o perim (scale 3.)) figs;;
- : float list = [18.84954; 30.; 45.]
```

Figure 1: Manipulations of figure values.

Using data type declarations, we can create user-defined versions of some of the built-in OCAML types that we have been using. For instance, here is a definition of the option type:

```
# type 'a option = None | Some of 'a;;
type 'a option = None | Some of 'a
```

This is an example of a parameterized data type declaration in which the 'a can be instantiated to any type. option is an example of a type constructor.

```
# None;;
- : 'a option = None
# Some 3;;
- : int option = Some 3
# Some true;;
- : bool option = Some true
```

We can even construct our own version of a list type (though it won't support the infix :: operator or the square-bracket list syntax):

```
# type 'a myList = Nil | Cons of 'a * 'a myList;;
type 'a myList = Nil | Cons of 'a * 'a myList
```

Note that lists are a recursive data type. Data types are implicitly recursive without the need for any keyword like rec. Here are our lists in action:

```
# let ns = Cons(1, Cons(2, Cons(3, Nil)));;
val ns : int myList = Cons (1, Cons (2, Cons (3, Nil)))
# let bs = Cons('a', Cons('b', Cons('c', Nil)));;
val bs : char myList = Cons ('a', Cons ('b', Cons ('c', Nil)))
# let ss = Cons("d", Cons("n", Cons("t", Nil)));;
val ss : string myList = Cons ("d", Cons ("n", Cons ("t", Nil)))
# let rec map f xs =
    match xs with
        Nil -> Nil
        | Cons(x,xs') -> Cons(f x, map f xs');;
        val map : ('a -> 'b) -> 'a myList -> 'b myList = <fun>
# map ((+) 1) ns;;
- : int myList = Cons (2, Cons (3, Cons (4, Nil)))
# map ((^) "a") ss;;
- : string myList = Cons ("ad", Cons ("an", Cons ("at", Nil)))
```

Data type declarations may be mutually recursive if they are glued together with and. For example, here is the definition of data types and constructors for lists of even length and odd length:

```
# type 'a evenList = ENil | ECons of 'a * ('a oddList)
  and 'a oddList = OCons of 'a * ('a evenList);;
type 'a evenList = ENil | ECons of 'a * 'a oddList

type 'a oddList = OCons of 'a * 'a evenList

# OCons(2, ECons(3, OCons(5, ENil)));;
- : int oddList = OCons (2, ECons (3, OCons (5, ENil)))

# ECons(2, ENil);;
Characters 9-13:
  ECons(2, ENil);;
```

This expression has type 'a evenList but is here used with type int oddList

The last example shows that the type system cannot be fooled by declaring an odd-length list to have even length.

Sometimes it is helpful for data type declarations to have multiple type parameters. These must be enclosed in parenthesis and separated by commas. For example:

```
# type ('a, 'b) swaplist = SNil | SCons of 'a * (('b, 'a) swaplist);;
type ('a, 'b) swaplist = SNil | SCons of 'a * ('b, 'a) swaplist
# let alts = SCons(1, SCons(true, SCons(2, SCons(false, SNil))));;
val alts : (int, bool) swaplist =
    SCons (1, SCons (true, SCons (2, SCons (false, SNil))))
```

```
# let stail xs =
    match xs with
      SNil -> raise (Failure "attempt to take tail of swaplist")
    | SCons(x,xs') -> xs';;
val stail : ('a, 'b) swaplist -> ('b, 'a) swaplist = <fun>
# stail alts;;
-: (bool, int) swaplist = SCons (true, SCons (2, SCons (false, SNil)))
# let srev xs =
    let rec loop olds news =
      match olds with
        SNil -> news
      | SCons(x,xs') -> loop xs' (SCons(x,news))
    in loop xs SNil;;
val srev : ('a, 'a) swaplist -> ('a, 'a) swaplist = <fun>
# srev alts;;
Characters 5-9:
  srev alts;;
This expression has type (int, bool) swaplist but is here used with type
  (int, int) swaplist
```

Data type declarations are different from type abbreviations, even though both are are introduced via the type keyword. Consider the following:

```
# type 'a doubloon1 = 'a * 'a;; (* Type abbreviation *)
type 'a doubloon1 = 'a * 'a

# type 'a doubloon2 = Doubloon of 'a * 'a;; (* Data type declaration *)
type 'a doubloon2 = Doubloon of 'a * 'a
```

The presence of the capitalized constructor name Doubloon (as well as the keyword of 1) is the syntactic marker that indicates that doubloon2 is a sum-of-products data type rather than a type abbreviation.

Note that doubloon2 is an example of a data type with just a single constructor. Such data types can be useful as a simple data abstraction mechanism in cases where it is desirable to distinguish representations that happen to have the same concrete type.<sup>2</sup> For example:

```
# let swap1 ((x,y) : 'a doubloon1) = (y, x);;
val swap1 : 'a doubloon1 -> 'a * 'a = <fun>
# let swap2 d = match d with Doubloon (x,y) -> Doubloon (y,x);;
val swap2 : 'a doubloon2 -> 'a doubloon2 = <fun>
# swap1 (1,2);;
- : int * int = (2, 1)
# swap2 (Doubloon(1,2));;
- : int doubloon2 = Doubloon (2, 1)
```

<sup>&</sup>lt;sup>1</sup>The of keyword is not required for nullary constructors, such as None in the option data type.

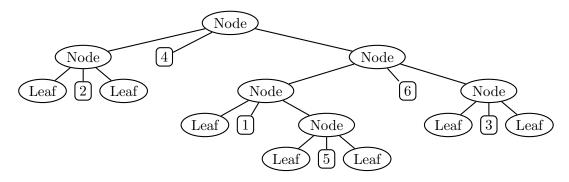
 $<sup>^2</sup>$ However, this is a very crude form of abstraction, since the concrete representation can be manipulated via pattern matching. For true data abstraction, the module mechanism described in Handout #21 should be used.

This expression has type int \* int but is here used with type 'a doubloon2

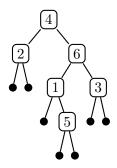
# 2 Binary Trees

### 2.1 Background

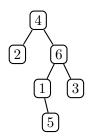
A classic example of a parameterized recursive data type is the **binary tree**. A binary tree is either (1) a leaf or (2) a node with a left subtree, value, and right subtree. Here is a depiction of a sample binary tree:



The depiction is more compact if we put each value in the node position and use  $_{ullet}$  for each leaf:



The notation is even more compact if we do not draw the leaves:

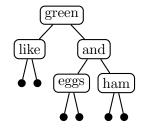


#### 2.2 Binary Trees in Ocaml

We can express the type of a binary tree in Ocaml as follows:

Node (Node (Leaf, 1, Node (Leaf, 5, Leaf)), 6, Node (Leaf, 3, Leaf)))

Of course, we can create a binary tree of strings instead, such as:



Now we'll define some simple functions that manipulate trees. In each case we will use the match construct to test whether a given tree is a leaf or a node and to extract the components of the node:

```
# let rec nodes tr = (* Returns number of nodes in tree *)
    match tr with
      Leaf -> 0
    | Node(1,v,r) -> 1 + (nodes 1) + (nodes r);;
val nodes : 'a bintree -> int = <fun>
# nodes int_tree;;
-: int = 6
# nodes string_tree;;
-: int = 5
# let rec height tr = (* Returns height of tree *)
    match tr with
      Leaf -> 0
    | Node(l,v,r) \rightarrow 1 + max (height l) (height r);;
val height : 'a bintree -> int = <fun>
# height int_tree;;
-: int = 4
# height string_tree;;
-: int = 3
# let rec sum tr = (* Returns sum of nodes in tree of integers *)
    match tr with
      Leaf -> 0
    | Node(1,v,r) -> v + (sum 1) + (sum r);;
val sum : int bintree -> int = <fun>
# sum int_tree;;
-: int = 21
# let rec prelist tr = (* Returns pre-order list of leaves *)
    match tr with
     Leaf -> []
    | Node(1,v,r) -> v :: (prelist 1) @ (prelist r);;
val prelist : 'a bintree -> 'a list = <fun>
# prelist int_tree;;
- : int list = [4; 2; 6; 1; 5; 3]
# prelist string_tree;;
- : string list = ["green"; "like"; "and"; "eggs"; "ham"]
# let rec inlist tr = (* Returns in-order list of leaves *)
    match tr with
      Leaf -> []
    | Node(l,v,r) -> (inlist l) @ [v] @ (inlist r);;
val inlist : 'a bintree -> 'a list = <fun>
# inlist int_tree;;
- : int list = [2; 4; 1; 5; 6; 3]
# inlist string_tree;;
-: string list = ["like"; "green"; "eggs"; "and"; "ham"]
```

```
(* Returns post-order list of leaves *)
# let rec postlist tr =
    match tr with
      Leaf -> []
    | Node(1,v,r) -> (postlist 1) @ (postlist r) @ [v];;
val postlist : 'a bintree -> 'a list = <fun>
# postlist int_tree;;
-: int list = [2; 5; 1; 3; 6; 4]
# postlist string_tree;;
- : string list = ["like"; "eggs"; "ham"; "and"; "green"]
# let rec map f tr = (* Map a function over every value in a tree *)
    match tr with
      Leaf -> Leaf
    | Node(1,v,r) -> Node(map f 1, f v, map f r);;
val map : ('a -> 'b) -> 'a bintree -> 'b bintree = <fun>
# map (( * ) 10) int_tree;;
- : int bintree =
Node (Node (Leaf, 20, Leaf), 40,
 Node (Node (Leaf, 10, Node (Leaf, 50, Leaf)), 60, Node (Leaf, 30, Leaf)))
# map String.uppercase string_tree;;
- : string bintree =
Node (Node (Leaf, "LIKE", Leaf), "GREEN",
 Node (Node (Leaf, "EGGS", Leaf), "AND", Node (Leaf, "HAM", Leaf)))
# map String.length string_tree;;
- : int bintree =
Node (Node (Leaf, 4, Leaf), 5,
 Node (Node (Leaf, 4, Leaf), 3, Node (Leaf, 3, Leaf)))
# map ((flip String.get) 0) string_tree;;
- : char bintree =
Node (Node (Leaf, 'l', Leaf), 'g',
 Node (Node (Leaf, 'e', Leaf), 'a', Node (Leaf, 'h', Leaf)))
# let rec fold glue lfval tr = (* Divide/conquer/glue on trees *)
    match tr with
      Leaf -> lfval
    | Node(1,v,r) -> glue (fold glue lfval 1) v (fold glue lfval r);;
val fold : ('a -> 'b -> 'a -> 'a) -> 'a -> 'b bintree -> 'a = <fun>
# let sum = fold (fun l v r -> l + v + r) 0;; (* Alternative definition *)
val sum : int bintree -> int = <fun>
(* can define nodes, height similarly *)
# let prelist tr = fold (fun l v r \rightarrow v :: l @ r) [] tr;; (* Alternative definition *)
val prelist : 'a bintree -> 'a list = <fun>
(* can define inlist, postlist similarly *)
```

#### 2.3 Binary Search Trees

A common use of binary trees in practice is to implement **binary search trees** (BSTs). The **BST** condition holds at a non-leaf binary tree node if (1) all elements in the left subtree of the node are  $\leq$  the node value and (2) all elements in the right subtree of the node are  $\geq$  the node value. A tree is a BST if the BST condition holds at all non-leaf nodes in the tree.

For example, below are some of the many possible BSTs containing the numbers 1 through 7. Note that a BST is not required to be balanced in any way.

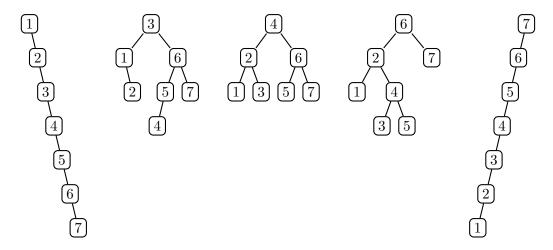


Fig. 2 presents a set implementation in which sets are represented as binary search trees. The combination of sum-of-product data types, pattern matching on these types, and higher-order functions makes this implementation remarkably concise. It is worthwhile for you to compare this implementation to a corresponding implementation in other languages, such as JAVA or C.

# 3 S-Expressions

#### 3.1 Overview

A symbolic expression (s-expression for short) is a simple notation for representing tree structures using linear text strings containing matched pairs of parentheses. Each leaf of a tree is an **atom**, which (to first approximation) is any sequence of characters that does not contain a left parenthesis ('('), a right parenthesis (')'), or a whitespace character (space, tab, newline, etc.).

 $<sup>^3</sup>$ As we shall see, string and character literals can contain parentheses and whitespace characters.

```
module BSTSet : SET = struct
  open Bintree (* exports bintree datatype and functions from previous section *)
  type 'a set = 'a bintree
  let empty = Leaf
  let singleton x = Node(Leaf, x, Leaf)
  let rec insert x t =
    match t with
      Leaf -> singleton x
    | Node(1,v,r) \rightarrow if x = v then t
                     else if x < v then Node(insert x 1, v, r)
                     else Node(1, v, insert x r)
  (* Assume called on non-empty tree *)
  let rec deleteMax t =
    match t with
      Leaf -> raise (Failure "shouldn't happen")
    | Node(1, v, Leaf) -> (v, 1)
    | Node(1,v,r) -> let (max, r') = deleteMax r in
                        (max, Node(1,v,r'))
 let rec delete x s =
    match s with
     Leaf -> Leaf
    | Node(1, v, Leaf) when v = x \rightarrow 1
    | Node(Leaf, v, r) when v = x \rightarrow r
    | Node(1,v,r) -> if x = v then
                        let (pred, 1') = deleteMax 1 in Node(1', pred, r)
                     else if x < v then Node(delete x 1, v, r)</pre>
                     else Node(1, v, delete x r)
  let rec member x s =
    match s with
      Leaf -> false
    | Node(l,v,r) \rightarrow if x = v then true
                      else if x < v then member x l
                      else member x r
  let rec toList s = inlist s
  let rec union s1 s2 = ListUtils.foldr insert s2 (postlist s1)
  (* In union and below, postlist helps to preserve balance more than
     inlist or prelist in a foldr. For a foldl, prelist would be best. *)
  let rec intersection s1 s2 =
    ListUtils.foldr (fun x s -> if member x s1 then insert x s
                                 else s)
                     empty
                     (postlist s2)
  let rec difference s1 s2 = ListUtils.foldr delete s1 (postlist s2)
 let rec fromList xs = ListUtils.foldr insert empty xs
  let rec toString eltToString s = StringUtils.listToString eltToString (toList s)
end
```

Figure 2: An implementation of the SET signature using binary search trees.

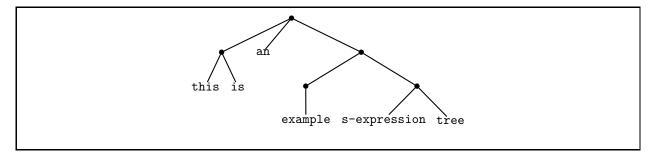


Figure 3: Viewing ((this is) an ((example) (s-expression tree))) as a tree.

Examples of atoms include x, this-is-an-atom, anotherKindOfAtom, 17, 3.14159, 4/3\*pi\*r^2, a.b[2]%3, 'Q', and "a (string) atom". A node in an s-expression tree is represented by a pair of parentheses surrounding zero or s-expressions that represent the node's subtrees. For example, the s-expression

```
((this is) an ((example) (s-expression tree)))
```

designates the structure depicted in Fig. 3. Whitespace is necessary for separating atoms that appear next to each other, but can be used liberally to enhance (or obscure!) the readability of the structure. Thus, the above s-expression could also be written as

without changing the structure of the tree.

S-expressions were pioneered in Lisp as a notation for data as well as programs (which we have seen are just particular kinds of tree-shaped data!). We shall see that s-expressions are an exceptionally simple and elegant way of solving the **parsing problem**: translating string-based representations of data structures and programs into the tree structures they denote.<sup>4</sup> For this reason, all the mini-languages we study later in this course have a concrete syntax based on s-expressions.

The fact that LISP dialects (including SCHEME) have a built-in primitive for parsing s-expressions (read) and treating them as literals (quote) makes them particularly good for manipulating programs (in any language) written with s-expressions. It is not quite as convenient to manipulate

<sup>&</sup>lt;sup>4</sup>There are detractors who hate s-expressions and claim that LISP stands for Lots of Irritating Silly Parenthesis. Apparently such people lack a critical aesthetic gene that prevents them from appreciating beautiful designs. Strangely, many such people seem to prefer the far more verbose encoding of trees in XML notation discussed later. Go figure!

s-expression program syntax in other languages, such as OCAML, but we shall see that it is still far easier than solving the parsing problem for more general notations.

#### 3.2 Representing S-Expressions in Ocaml

As with any other kind of tree-shaped data, s-expressions can be represented in Ocaml as values of an appropriate datatype. The Ocaml datatype representing s-expression trees is presented in Fig. 4.

```
type sexp =
    Int of int
    | Flt of float
    | Str of string
    | Chr of char
    | Sym of string
    | Seq of sexp list
```

Figure 4: Ocaml s-expression datatype.

There are five kinds of atoms, distinguished by type; these are the leaves of s-expression trees:

- 1. integer literals, constructed via Int;
- 2. floating point literals, constructed via Flt;
- 3. string literals, constructed via Str;
- 4. character literals, constructed via Chr; and
- 5. symbols, which are name tokens (as distinguished from quoted strings), constructed via Sym.

The nodes of s-expression trees are represented via the Seq constructor, whose sexp list argument denotes any number of s-expression subtrees. For example, the s-expression given by the concrete notation

```
(stuff (17 3.14159) ("foo" 'c' bar))
would be expressed in OCAML as:
    Seq [Sym("stuff");
        Seq [Int(17); Flt(3.14159)];
        Seq [Str("foo"); Chr('c'); Sym("bar")]]
```

The Sexp module in ~/cs251/utils/Sexp.ml contains several handy utilities for manipulating sexp trees. In particular, it contains functions for **parsing** s-expression strings into sexp trees and for **unparsing** sexp trees into s-expression trees. The signature SEXP for the Sexp module is presented in Fig. 5. We will not study the implementation of the Sexp functions, but will use them as black boxes.

Here are some sample invocations of functions from the Sexp module:

```
# let s = Sexp.stringToSexp "(stuff (17 3.14159) (\"foo\" 'c' bar))";;
val s : Sexp.sexp =
   Sexp.Seq
   [Sexp.Sym "stuff"; Sexp.Seq [Sexp.Int 17; Sexp.Flt 3.14159];
   Sexp.Seq [Sexp.Str "foo"; Sexp.Chr 'c'; Sexp.Sym "bar"]]
```

```
module type SEXP = sig
  (* The sexp type is exposed for the world to see *)
  type sexp =
     Int of int
    | Flt of float
    | Str of string
    | Chr of char
   | Sym of string
    | Seq of sexp list
  exception IllFormedSexp of string
  (* This exception is used for all errors in s-expression manipulation *)
 val stringToSexp : string -> sexp
  (* (stringToSexp <str>) returns the sexp tree represented by the s-expression
    <str>. Raise an IllFormedSexp exception if <str> is not a valid
    s-expression string. *)
 val stringToSexps : string -> sexp list
  (* (stringToSexps <str>) returns the list of sexp trees represented by <str>, which
    is a string containing a sequence of s-expressions. Raise an IllFormedSexp
    exception if <str> not a valid representation of a sequence of s-expressions. *)
 val fileToSexp : string -> sexp
  (* (fileToSexp <filename>) returns the sexp tree represented by the s-expression
    contents of the file named by <filename>. Raises an IllFormedSexp exception
    if the file contents is not a valid s-expression. *)
 val fileToSexps : string -> sexp list
  (* (fileToSexps <filename>) returns the list of sexp trees represented by the
    contents of the file named by <filename>. Raises an IllFormedSexp exception if
    the file contents is not a valid representation of a sequence of s-expressions. *)
 val sexpToString : sexp -> string
  (* (sexpToString <sexp>) returns an s-expression string representing <sexp> *)
 val sexpToString' : int -> sexp -> string
  (* (sexpToString' <width> <sexp>) returns an s-expression string representing
    <sexp> in which an attempt is made for each line of the result to be
    <= <width> characters wide. *)
 val sexpsToString : sexp list -> string
  (* (sexpsToString <sexps>) returns string representations of the sexp trees
    in <sexps> separated by two newlines. *)
 val sexpToFile : sexp -> string -> unit
  (* (sexpsToFile <sexp> <filename>) writes a string representation of <sexp>
    to the file name <filename>. *)
 val readSexp : unit -> sexp
  (* Reads lines from standard input until a complete s-expression has been
    found, and returns the sexp tree for this s-expresion. *)
end
```

Figure 5: The SEXP signature.

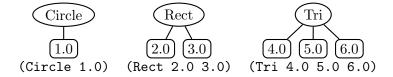
```
# Sexp.sexpToString s;;
- : string = "(stuff (17 3.14159) (\"foo\" 'c' bar))"
# let ss = Sexp.stringToSexps "stuff (17 3.14159) (\"foo\" 'c' bar)";;
val ss : Sexp.sexp list =
  [Sexp.Sym "stuff"; Sexp.Seq [Sexp.Int 17; Sexp.Flt 3.14159];
   Sexp.Seq [Sexp.Str "foo"; Sexp.Chr 'c'; Sexp.Sym "bar"]]
# Sexp.sexpsToString ss;;
- : string = "stuff \ln (17 3.14159) \ln ("foo'" 'c' bar)"
# Sexp.readSexp();;
(a b
   (c d e)
   (f (g h))
   i)
- : Sexp.sexp =
Sexp.Seq
 [Sexp.Sym "a"; Sexp.Sym "b";
  Sexp.Seq [Sexp.Sym "c"; Sexp.Sym "d"; Sexp.Sym "e"];
  Sexp.Seq [Sexp.Sym "f"; Sexp.Seq [Sexp.Sym "g"; Sexp.Sym "h"]];
  Sexp.Sym "i"]
```

#### 3.3 S-Expression Representations of Sum-of-Product Trees

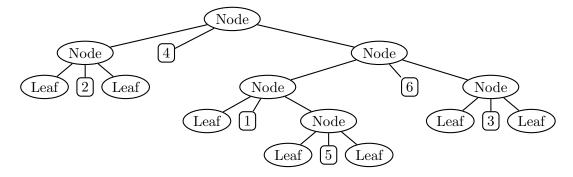
We will mainly use s-expressions for concisely representing the trees implied by sum-of-product data type constructor invocations. We will represent a tree node with tag tag and subtrees  $t_1 \dots xt_n$  by an s-expression of the form:

```
(tag < s-expression for t_1 > \dots < s-expression for t_n > 0
```

For instance, consider the following figure trees:



Consider the following binary tree:



Using the above conventions, this would be represented via the s-expression:

```
(Node (Node (Leaf) 2 (Leaf))
     4
     (Node (Node (Leaf) 1 (Node (Leaf) 5 (Leaf)))
     6
          (Node (Leaf) 3 (Leaf))))
```

This is not a very compact representation! We can often develop more compact representations for particular data types. For instance, here are other s-expressions representing the binary tree above:

```
((* 2 *) 4 ((* 1 (* 5 *)) 6 (* 3 *)))
((2) 4 ((1 (5)) 6 (3)))
```

It is possible to write functions that convert between binary trees and any of these s-expression notations.