

# POSIX Lexing with Derivatives of Regular Expressions (Proof Pearl)

Fahad Ausaf<sup>1</sup>, Roy Dyckhoff<sup>2</sup>, and Christian Urban<sup>3</sup>

<sup>1</sup> King's College London

fahad.ausaf@icloud.com

<sup>2</sup> University of St Andrews

roy.dyckhoff@st-andrews.ac.uk

<sup>3</sup> King's College London

christian.urban@kcl.ac.uk

**Abstract.** Brzozowski introduced the notion of derivatives for regular expressions. They can be used for a very simple regular expression matching algorithm. Sulzmann and Lu cleverly extended this algorithm in order to deal with POSIX matching, which is the underlying disambiguation strategy for regular expressions needed in lexers. Sulzmann and Lu have made available on-line what they call a “rigorous proof” of the correctness of their algorithm w.r.t. their specification; regrettably, it appears to us to have unfillable gaps. In the first part of this paper we give our inductive definition of what a POSIX value is and show (i) that such a value is unique (for given regular expression and string being matched) and (ii) that Sulzmann and Lu’s algorithm always generates such a value (provided that the regular expression matches the string). We also prove the correctness of an optimised version of the POSIX matching algorithm. Our definitions and proof are much simpler than those by Sulzmann and Lu and can be easily formalised in Isabelle/HOL. In the second part we analyse the correctness argument by Sulzmann and Lu and explain why it seems hard to turn it into a proof rigorous enough to be accepted by a system such as Isabelle/HOL.

**Keywords:** POSIX matching, Derivatives of Regular Expressions, Isabelle/HOL

## 1 Introduction

Brzozowski [1] introduced the notion of the *derivative*  $r \setminus c$  of a regular expression  $r$  w.r.t. a character  $c$ , and showed that it gave a simple solution to the problem of matching a string  $s$  with a regular expression  $r$ : if the derivative of  $r$  w.r.t. (in succession) all the characters of the string matches the empty string  $\varepsilon$ , then  $r$  matches  $s$  (and *vice versa*). The derivative has the property (which may be regarded as its specification) that, for every string  $s$  and regular expression  $r$  and character  $c$ , one has  $cs \in L(r)$  if and only if  $s \in L(r \setminus c)$ . The beauty of Brzozowski’s derivatives is that they are neatly expressible in any functional language, and very easy to be defined and reasoned about in a theorem

prover—the definitions consist just of inductive datatypes and recursive functions. A completely formalised proof of this matcher has for example been given in [4].

One limitation of Brzozowski’s matcher is that it only generates a YES/NO answer for a string being matched by a regular expression. Sulzmann and Lu [5] extended this matcher to allow generation not just of a YES/NO answer but of an actual matching, called a [lexical] *value*. They give a still very simple algorithm to calculate a value that appears to be the value associated with POSIX lexing (posix) challenge then is to specify that value, in an algorithm-independent fashion, and to show that Sulzmann and Lu’s derivative-based algorithm does indeed calculate a value that is correct according to the specification.

Inspired by work of Frisch and Cardelli [2] on a GREEDY regular expression matching algorithm, the answer given in [5] is to define a relation (called an “Order Relation”) on the set of values of  $r$ , and to show that (once a string to be matched is chosen) there is a maximum element and that it is computed by the derivative-based algorithm. Beginning with our observations that, without evidence that it is transitive, it cannot be called an “order relation”, and that the relation is called a “total order” despite being evidently not total<sup>4</sup>, we identify problems with this approach (of which some of the proofs are not published in [5]); perhaps more importantly, we give a simple inductive (and algorithm-independent) definition of what we call being a *POSIX value* for a regular expression  $r$  and a string  $s$ ; we show that the algorithm computes such a value and that such a value is unique. Proofs are both done by hand and checked in *Isabelle* mechanical checking was absolutely essential: this subject area has hidden snares. This was also noted by Kuklewitz [3] who found that nearly all POSIX matching implementations are “buggy” [5, Page 203].

#### Say something about POSIX lexing

An extended version of [5] is available at the website of its first author; this includes some “proofs”, claimed in [5] to be “rigorous”. Since these are evidently not in final form, we make no comment thereon, preferring to give general reasons for our belief that the approach of [5] is problematic rather than to discuss details of unpublished work.

Derivatives as calculated by Brzozowski’s method are usually more complex regular expressions than the initial one; various optimisations are possible, such as the simplifications of  $0 + r$ ,  $r + 0$ ,  $1 \cdot r$  and  $r \cdot 1$  to  $r$ . One of the advantages of having a simple specification and correctness proof is that the latter can be refined to allow for such optimisations and simple correctness proof.

Sulzmann and Lu [5] [1]

there are two commonly used disambiguation strategies to create a unique matching tree: one is called *greedy* matching [2] and the other is *POSIX* matching [3,5]. For the latter there are two rough rules:

- The Longest Match Rule (or “maximal munch rule”):  
The longest initial substring matched by any regular expression is taken as next token.
- Rule Priority:

<sup>4</sup> Why is it not total?

For a particular longest initial substring, the first regular expression that can match determines the token.

In the context of lexing, POSIX is the more interesting disambiguation strategy as it produces longest matches, which is necessary for tokenising programs. For example the string *iffoo* should not match the keyword *if* and the rest, but as one string *iffoo*, which might be a variable name in a program. As another example consider the string *xy* and the regular expression  $(x + y + xy)^*$ . Either the input string can be matched in two ‘iterations’ by the single letter-regular expressions  $x$  and  $y$ , or directly in one iteration by  $xy$ . The first case corresponds to greedy matching, which first matches with the left-most symbol and only matches the next symbol in case of a mismatch. The second case is POSIX matching, which prefers the longest match. In case more than one (longest) matches exist, only then it prefers the left-most match. While POSIX matching seems natural, it turns out to be much more subtle than greedy matching in terms of implementations and in terms of proving properties about it. If POSIX matching is implemented using automata, then one has to follow transitions (according to the input string) until one finds an accepting state, record this state and look for further transition which might lead to another accepting state that represents a longer input initial substring to be matched. Only if none can be found, the last accepting state is returned.

Sulzmann and Lu’s paper [5] targets POSIX regular expression matching. They write that it is known to be to be a non-trivial problem and nearly all POSIX matching implementations are “buggy” [5, Page 203]. For this they cite a study by Kuklewicz [3]. My current work is about formalising the proofs in the paper by Sulzmann and Lu. Specifically, they propose in this paper a POSIX matching algorithm and give some details of a correctness proof for this algorithm inside the paper and some more details in an appendix. This correctness proof is unformalised, meaning it is just a “pencil-and-paper” proof, not done in a theorem prover. Though, the paper and presumably the proof have been peer-reviewed. Unfortunately their proof does not give enough details such that it can be straightforwardly implemented in a theorem prover, say Isabelle. In fact, the purported proof they outline does not work in central places. We discovered this when filling in many gaps and attempting to formalise the proof in Isabelle.

**Contributions:**

## 2 Preliminaries

Strings in Isabelle/HOL are lists of characters with the empty string being represented by the empty list, written  $[]$ , and list-cons being written as  $_ :: _$ . Often we use the usual bracket notation for strings; for example a string consisting of a single character is written  $[c]$ . By using the type *char* for characters we have a supply of finitely many characters roughly corresponding to the ASCII character set. Regular expressions are as usual and defined as the following inductive datatype:

$$r := 0 \mid 1 \mid c \mid r_1 + r_2 \mid r_1 \cdot r_2 \mid r^*$$

where  $0$  stands for the regular expression that does not match any string and  $1$  for the regular expression that matches only the empty string. The language of a regular expression is again defined as usual by the following clauses

$$\begin{aligned}
L(\emptyset) &\stackrel{\text{def}}{=} \emptyset \\
L(I) &\stackrel{\text{def}}{=} \{\emptyset\} \\
L(c) &\stackrel{\text{def}}{=} \{[c]\} \\
L(r_1 \cdot r_2) &\stackrel{\text{def}}{=} L(r_1) @ L(r_2) \\
L(r_1 + r_2) &\stackrel{\text{def}}{=} L(r_1) \cup L(r_2) \\
L(r^*) &\stackrel{\text{def}}{=} (L(r))^*
\end{aligned}$$

We use the star-notation for regular expressions and sets of strings. The Kleene-star on sets is defined inductively.

*Semantic derivatives* of sets of strings are defined as

$$\begin{aligned}
Der\ c\ A &\stackrel{\text{def}}{=} \{s \mid [c] @ s \in A\} \\
Ders\ s\ A &\stackrel{\text{def}}{=} \{s' \mid s @ s' \in A\}
\end{aligned}$$

where the second definition lifts the notion of semantic derivatives from characters to strings.

The nullable function

$$\begin{aligned}
nullable\ (\emptyset) &\stackrel{\text{def}}{=} False \\
nullable\ (I) &\stackrel{\text{def}}{=} True \\
nullable\ (c) &\stackrel{\text{def}}{=} False \\
nullable\ (r_1 + r_2) &\stackrel{\text{def}}{=} nullable\ r_1 \vee nullable\ r_2 \\
nullable\ (r_1 \cdot r_2) &\stackrel{\text{def}}{=} nullable\ r_1 \wedge nullable\ r_2 \\
nullable\ (r^*) &\stackrel{\text{def}}{=} True
\end{aligned}$$

The derivative function for characters and strings

$$\begin{aligned}
(\emptyset) \setminus c &\stackrel{\text{def}}{=} \emptyset \\
(I) \setminus c &\stackrel{\text{def}}{=} \emptyset \\
(c') \setminus c &\stackrel{\text{def}}{=} \text{if } c = c' \text{ then } 1 \text{ else } 0 \\
(r_1 + r_2) \setminus c &\stackrel{\text{def}}{=} r_1 \setminus c + r_2 \setminus c \\
(r_1 \cdot r_2) \setminus c &\stackrel{\text{def}}{=} \text{if } nullable\ r_1 \text{ then } r_1 \setminus c \cdot r_2 + r_2 \setminus c \text{ else } r_1 \setminus c \cdot r_2 \\
(r^*) \setminus c &\stackrel{\text{def}}{=} r \setminus c \cdot r^* \\
ders\ \emptyset\ r &\stackrel{\text{def}}{=} r \\
ders\ (c :: s)\ r &\stackrel{\text{def}}{=} ders\ s\ (r \setminus c)
\end{aligned}$$

It is a relatively easy exercise to prove that

$$\begin{aligned}
nullable\ r &= (\emptyset \in L(r)) \\
L(r \setminus c) &= Der\ c\ (L(r))
\end{aligned}$$

### 3 POSIX Regular Expression Matching

### 4 The Argument by Sulzmann and Lu

### 5 Conclusion

Nipkow lexer from 2000

Values

$$v := \text{Void} \mid \text{Char } c \mid \text{Left } v \mid \text{Right } v \mid \text{Seq } v_1 \ v_2 \mid \text{Stars } vs$$

The language of a regular expression

$$\begin{aligned} L(\emptyset) &\stackrel{\text{def}}{=} \emptyset \\ L(1) &\stackrel{\text{def}}{=} \{\emptyset\} \\ L(c) &\stackrel{\text{def}}{=} \{[c]\} \\ L(r_1 \cdot r_2) &\stackrel{\text{def}}{=} L(r_1) @ L(r_2) \\ L(r_1 + r_2) &\stackrel{\text{def}}{=} L(r_1) \cup L(r_2) \\ L(r^*) &\stackrel{\text{def}}{=} (L(r))^* \end{aligned}$$

The *flat* function for values

$$\begin{aligned} |\text{Void}| &\stackrel{\text{def}}{=} \emptyset \\ |\text{Char } c| &\stackrel{\text{def}}{=} [c] \\ |\text{Left } v| &\stackrel{\text{def}}{=} |v| \\ |\text{Right } v| &\stackrel{\text{def}}{=} |v| \\ |\text{Seq } v_1 \ v_2| &\stackrel{\text{def}}{=} |v_1| @ |v_2| \\ |\text{Stars } \emptyset| &\stackrel{\text{def}}{=} \emptyset \\ |\text{Stars } (v :: vs)| &\stackrel{\text{def}}{=} |v| @ |\text{Stars } vs| \end{aligned}$$

The *mkeps* function

$$\begin{aligned} \text{mkeps } (1) &\stackrel{\text{def}}{=} \text{Void} \\ \text{mkeps } (r_1 \cdot r_2) &\stackrel{\text{def}}{=} \text{Seq } (\text{mkeps } r_1) (\text{mkeps } r_2) \\ \text{mkeps } (r_1 + r_2) &\stackrel{\text{def}}{=} \text{if nullable } r_1 \text{ then Left } (\text{mkeps } r_1) \text{ else Right } (\text{mkeps } r_2) \\ \text{mkeps } (r^*) &\stackrel{\text{def}}{=} \text{Stars } \emptyset \end{aligned}$$

The *inj* function

$$\begin{array}{ll}
inj(d) c \text{ Void} & \stackrel{\text{def}}{=} Char d \\
inj(r_1 + r_2) c (\text{Left } v_1) & \stackrel{\text{def}}{=} Left (inj r_1 c v_1) \\
inj(r_1 + r_2) c (\text{Right } v_2) & \stackrel{\text{def}}{=} Right (inj r_2 c v_2) \\
inj(r_1 \cdot r_2) c (\text{Seq } v_1 v_2) & \stackrel{\text{def}}{=} Seq (inj r_1 c v_1) v_2 \\
inj(r_1 \cdot r_2) c (\text{Left } (\text{Seq } v_1 v_2)) & \stackrel{\text{def}}{=} Seq (inj r_1 c v_1) v_2 \\
inj(r_1 \cdot r_2) c (\text{Right } v_2) & \stackrel{\text{def}}{=} Seq (mkeps r_1) (inj r_2 c v_2) \\
inj(r^*) c (\text{Seq } v (\text{Stars } vs)) & \stackrel{\text{def}}{=} Stars ((inj r c v) :: vs)
\end{array}$$

The inhabitation relation:

$$\begin{array}{c}
\frac{\vdash v_1 : r_1 \quad \vdash v_2 : r_2}{\vdash \text{Seq } v_1 v_2 : (r_1 \cdot r_2)} \\
\frac{\vdash v_1 : r_1}{\vdash (\text{Left } v_1) : (r_1 + r_2)} \quad \frac{\vdash v_2 : r_1}{\vdash (\text{Right } v_2) : (r_2 + r_1)} \\
\frac{}{\vdash \text{Void} : (I)} \quad \frac{}{\vdash (\text{Char } c) : (c)} \\
\frac{}{\vdash \text{Stars } [] : (r^*)} \quad \frac{\vdash v : r \quad \vdash \text{Stars } vs : (r^*)}{\vdash \text{Stars } (v :: vs) : (r^*)}
\end{array}$$

We have also introduced a slightly restricted version of this relation where the last rule is restricted so that  $|v| \neq []$ . This relation for *non-problematic* is written  $\models v : r$ .

Our Posix relation  $s \in r \rightarrow v$

$$\begin{array}{c}
\frac{}{\overline{[] \in (I) \rightarrow \text{Void}}} \quad \frac{}{\overline{[c] \in (c) \rightarrow (\text{Char } c)}} \\
\frac{s \in r_1 \rightarrow v}{s \in (r_1 + r_2) \rightarrow (\text{Left } v)} \quad \frac{s \in r_2 \rightarrow v \quad s \notin L(r_1)}{s \in (r_1 + r_2) \rightarrow (\text{Right } v)} \\
\frac{s_1 \in r_1 \rightarrow v_1 \quad s_2 \in r_2 \rightarrow v_2 \quad \nexists s_3 s_4. s_3 \neq [] \wedge s_3 @ s_4 = s_2 \wedge s_1 @ s_3 \in L(r_1) \wedge s_4 \in L(r_2)}{(s_1 @ s_2) \in (r_1 \cdot r_2) \rightarrow \text{Seq } v_1 v_2} \\
\frac{|v| \neq [] \quad \nexists s_3 s_4. s_3 \neq [] \wedge s_3 @ s_4 = s_2 \wedge s_1 @ s_3 \in L(r) \wedge s_4 \in L(r^*)}{(s_1 @ s_2) \in (r^*) \rightarrow \text{Stars } (v :: vs)} \\
\frac{}{\overline{[] \in (r^*) \rightarrow \text{Stars } []}}
\end{array}$$

Our version of Sulzmann's ordering relation

$$\begin{array}{c}
 \frac{v_1 \succ_{r_1} v_1' \quad v_1 \neq v_1'}{\text{Seq } v_1 v_2 \succ_{(r_1 \cdot r_2)} \text{Seq } v_1' v_2'} \quad \frac{v_2 \succ_{r_2} v_2'}{\text{Seq } v_1 v_2 \succ_{(r_1 \cdot r_2)} \text{Seq } v_1 v_2'} \\
 \frac{\text{len}(|v_1|) \leq \text{len}(|v_2|)}{(\text{Left } v_2) \succ_{(r_1 + r_2)} (\text{Right } v_1)} \quad \frac{\text{len}(|v_2|) < \text{len}(|v_1|)}{(\text{Right } v_1) \succ_{(r_1 + r_2)} (\text{Left } v_2)} \\
 \frac{v_2 \succ_{r_2} v_2'}{(\text{Right } v_2) \succ_{(r_1 + r_2)} (\text{Right } v_2')} \quad \frac{v_1 \succ_{r_1} v_1'}{(\text{Left } v_1) \succ_{(r_1 + r_2)} (\text{Left } v_1')} \\
 \\
 \frac{}{\text{Void} \succ (I) \text{Void}} \quad \frac{}{(\text{Char } c) \succ (c) (\text{Char } c)} \\
 \frac{|\text{Stars } (v :: vs)| = []}{\text{Stars } [] \succ_{(r^*)} \text{Stars } (v :: vs)} \quad \frac{|\text{Stars } (v :: vs)| \neq []}{\text{Stars } (v :: vs) \succ_{(r^*)} \text{Stars } []} \\
 \frac{v_1 \succ_r v_2 \quad v_1 \neq v_2}{\text{Stars } (v_1 :: vs_1) \succ_{(r^*)} \text{Stars } (v_2 :: vs_2)} \\
 \frac{\text{Stars } vs_1 \succ_{(r^*)} \text{Stars } vs_2}{\text{Stars } (v :: vs_1) \succ_{(r^*)} \text{Stars } (v :: vs_2)} \quad \frac{}{\text{Stars } [] \succ_{(r^*)} \text{Stars } []}
 \end{array}$$

A prefix of a string  $s$

$$s_1 \sqsubseteq s_2 \stackrel{\text{def}}{=} \exists s_3. s_1 @ s_3 = s_2$$

Values and non-problematic values

$$\text{Values } r s \stackrel{\text{def}}{=} \{v \mid \vdash v : r \wedge (|v|) \sqsubseteq s\}$$

The point is that for a given  $s$  and  $r$  there are only finitely many non-problematic values.

Some lemmas we have proved:

$$\begin{array}{l}
 L(r) = \{|v| \mid \vdash v : r\} \\
 L(r) = \{|v| \mid \models v : r\} \\
 \text{If nullable } r \text{ then } \vdash \text{mkeps } r : r. \\
 \text{If nullable } r \text{ then } |\text{mkeps } r| = []. \\
 \text{If } \vdash v : (r \setminus c) \text{ then } \vdash (\text{inj } r c v) : r. \\
 \text{If } \vdash v : (r \setminus c) \text{ then } |\text{inj } r c v| = c :: (|v|). \\
 \text{If nullable } r \text{ then } [] \in r \rightarrow \text{mkeps } r. \\
 \text{If } s \in r \rightarrow v \text{ then } |v| = s. \\
 \text{If } s \in r \rightarrow v \text{ then } \models v : r. \\
 \text{If } s \in r \rightarrow v_1 \text{ and } s \in r \rightarrow v_2 \text{ then } v_1 = v_2.
 \end{array}$$

This is the main theorem that lets us prove that the algorithm is correct according to  $s \in r \rightarrow v$ :

$$\text{If } s \in (r \setminus c) \rightarrow v \text{ then } (c :: s) \in r \rightarrow (\text{inj } r c v).$$

**Proof** The proof is by induction on the definition of *der*. Other inductions would go through as well. The interesting case is for  $r_1 \cdot r_2$ . First we analyse the case where *nullable*  $r_1$ . We have by induction hypothesis

$$\begin{aligned} (IH1) \quad & \forall s v. \text{ if } s \in (r_1 \setminus c) \rightarrow v \text{ then } (c :: s) \in r_1 \rightarrow (\text{inj } r_1 \ c \ v) \\ (IH2) \quad & \forall s v. \text{ if } s \in (r_2 \setminus c) \rightarrow v \text{ then } (c :: s) \in r_2 \rightarrow (\text{inj } r_2 \ c \ v) \end{aligned}$$

and have

$$s \in (r_1 \setminus c \cdot r_2 + r_2 \setminus c) \rightarrow v$$

There are two cases what  $v$  can be: (1) *Left*  $v'$  and (2) *Right*  $v'$ .

- (1) We know  $s \in (r_1 \setminus c \cdot r_2) \rightarrow v'$  holds, from which we can infer that there are  $s_1, s_2, v_1, v_2$  with

$$s_1 \in (r_1 \setminus c) \rightarrow v_1 \quad \text{and} \quad s_2 \in r_2 \rightarrow v_2$$

and also

$$\# s_3 \ s_4. \ s_3 \neq [] \wedge s_3 @ s_4 = s_2 \wedge s_1 @ s_3 \in L(r_1 \setminus c) \wedge s_4 \in L(r_2)$$

and have to prove

$$(c :: s_1 @ s_2) \in (r_1 \cdot r_2) \rightarrow \text{Seq } (\text{inj } r_1 \ c \ v_1) \ v_2$$

The two requirements  $(c :: s_1) \in r_1 \rightarrow (\text{inj } r_1 \ c \ v_1)$  and  $s_2 \in r_2 \rightarrow v_2$  can be proved by the induction hypotheses (IH1) and the fact above.

This leaves to prove

$$\# s_3 \ s_4. \ s_3 \neq [] \wedge s_3 @ s_4 = s_2 \wedge c :: s_1 @ s_3 \in L(r_1) \wedge s_4 \in L(r_2)$$

which holds because  $c :: s_1 @ s_3 \in L(r_1)$  implies  $s_1 @ s_3 \in L(r_1 \setminus c)$

- (2) This case is similar.

The final case is that  $\neg$  *nullable*  $r_1$  holds. This case again similar to the cases above.

## References

1. J. A. Brzozowski. Derivatives of Regular Expressions. *Journal of the ACM*, 11(4):481–494, 1964.
2. A. Frisch and L. Cardelli. Greedy Regular Expression Matching. In *Proc. of the 31st International Conference on Automata, Languages and Programming (ICALP)*, volume 3142 of LNCS, pages 618–629, 2004.
3. C. Kuklewicz. Regex Posix. [https://wiki.haskell.org/Regex\\_Posix](https://wiki.haskell.org/Regex_Posix).
4. S. Owens and K. Slind. Adapting Functional Programs to Higher Order Logic. *Higher-Order and Symbolic Computation*, 21(4):377–409, 2008.
5. M. Sulzmann and K. Lu. POSIX Regular Expression Parsing with Derivatives. In *Proc. of the 12th International Conference on Functional and Logic Programming (FLOPS)*, volume 8475 of LNCS, pages 203–220, 2014.



## 6 Roy's Rules

$$\begin{array}{c}
 \text{Void } \triangleleft \epsilon \quad \text{Char } c \triangleleft \text{Lit } c \\
 \frac{v_1 \triangleleft r_1}{\text{Left } v_1 \triangleleft r_1 + r_2} \quad \frac{v_2 \triangleleft r_2 \quad |v_2| \notin L(r_1)}{\text{Right } v_2 \triangleleft r_1 + r_2} \\
 \frac{v_1 \triangleleft r_1 \quad v_2 \triangleleft r_2 \quad s \in L(r_1 \setminus |v_1|) \wedge |v_2| \setminus s \in L(r_2) \Rightarrow s = \square}{(v_1, v_2) \triangleleft r_1 \cdot r_2} \\
 \frac{v \triangleleft r \quad vs \triangleleft r^* \quad |v| \neq \square}{(v :: vs) \triangleleft r^*} \quad \square \triangleleft r^*
 \end{array}$$