

## Chapter 5 – Asynchronous Concurrent Execution

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## Chapter 5 – Asynchronous Concurrent Execution

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## Objectives

- After reading this chapter, you should understand:
  - the challenges of synchronizing concurrent processes and threads.
  - critical sections and the need for mutual exclusion.
  - how to implement mutual exclusion primitives in software.
  - hardware mutual exclusion primitives.
  - semaphore usage and implementation.



## 5.1 Introduction

- Concurrent execution
  - More than one thread exists in system at once
  - Can execute independently or in cooperation
  - Asynchronous execution
    - Threads generally independent
    - Must occasionally communicate or synchronize
    - Complex and difficult to manage such interactions



## 5.2 Mutual Exclusion

- Problem of two threads accessing data simultaneously
  - Data can be put in inconsistent state
    - Context switch can occur at anytime, such as before a thread finishes modifying value
  - Such data must be accessed in mutually exclusive way
    - Only one thread allowed access at one time
    - Others must wait until resource is unlocked
    - Serialized access
    - Must be managed such that wait time not unreasonable

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### 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

- Producer/Consumer relationship
  - One thread creates data to store in shared object
  - Second thread reads data from that object
    - Large potential for data corruption if unsynchronized



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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.1** Buffer interface used in producer/consumer examples.



```
1 // Fig. 5.1: Buffer.java
2 // Buffer interface specifies methods to access buffer data.
3
4 public interface Buffer
5 {
6     public void set( int value ); // place value into Buffer
7     public int get();             // return value from Buffer
8 }
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.2** Producer class represents the producer thread in a producer/consumer relationship. (1 of 3)



```
1 // Fig. 5.2: Producer.java
2 // Producer's run method controls a producer thread that
3 // stores values from 1 to 4 in Buffer sharedLocation.
4
5 public class Producer extends Thread
6 {
7     private Buffer sharedLocation; // reference to shared object
8
9     // Producer constructor
10    public Producer( Buffer shared )
11    {
12        super( "Producer" ); // create thread named "Producer"
13        sharedLocation = shared; // initialize sharedLocation
14    } // end Producer constructor
15
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.2** Producer class represents the producer thread in a producer/consumer relationship. (2 of 3)



```
16 // Producer method run stores values from
17 // 1 to 4 in Buffer sharedLocation
18 public void run()
19 {
20     for ( int count = 1; count <= 4; count++ )
21     {
22         // sleep 0 to 3 seconds, then place value in Buffer
23         try
24         {
25             Thread.sleep( ( int ) ( Math.random() * 3001 ) );
26             sharedLocation.set( count ); // write to the buffer
27         } // end try
28
29         // if sleeping thread interrupted, print stack trace
30         catch ( InterruptedException exception )
31         {
32             exception.printStackTrace();
33         } // end catch
34
35     } // end for
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.2** Producer class represents the producer thread in a producer/consumer relationship. (3 of 3)



```
36
37     System.err.println( getName() + " done producing." +
38         "\nTerminating " + getName() + "." );
39
40 } // end method run
41
42 } // end class Producer
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.3** Consumer class represents the consumer thread in a producer/consumer relationship. (1 of 3)



```
1 // Fig. 5.3: Consumer.java
2 // Consumer's run method controls a thread that loops four
3 // times and reads a value from sharedLocation each time.
4
5 public class Consumer extends Thread
6 {
7     private Buffer sharedLocation; // reference to shared object
8
9     // Consumer constructor
10    public Consumer( Buffer shared )
11    {
12        super( "Consumer" ); // create thread named "Consumer"
13        sharedLocation = shared; // initialize sharedLocation
14    } // end Consumer constructor
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.3** Consumer class represents the consumer thread in a producer/consumer relationship. (2 of 3)

```
15
16 // read sharedLocation's value four times and sum the values
17 public void run()
18 {
19     int sum = 0;
20
21     // alternate between sleeping and getting Buffer value
22     for ( int count = 1; count <= 4; ++count )
23     {
24         // sleep 0-3 seconds, read Buffer value and add to sum
25         try
26         {
27             Thread.sleep( ( int ) ( Math.random() * 3001 ) );
28             sum += sharedLocation.get();
29         }
30     }
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.3** Consumer class represents the consumer thread in a producer/consumer relationship. (3 of 3)

```
31         // if sleeping thread interrupted, print stack trace
32         catch ( InterruptedException exception )
33         {
34             exception.printStackTrace();
35         }
36     } // end for
37
38     System.err.println( getName() + " read values totaling: "
39         + sum + ".\nTerminating " + getName() + " );
40
41 } // end method run
42
43 } // end class Consumer
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.4** UnsyncronizedBuffer class maintains the shared integer that is accessed by a producer thread and a consumer thread via methods set and get. (1 of 2)

```
1 // Fig. 5.4: UnsyncronizedBuffer.java
2 // UnsyncronizedBuffer represents a single shared integer.
3
4 public class UnsyncronizedBuffer implements Buffer
5 {
6     private int buffer = -1; // shared by Producer and Consumer
7
8     // place value into buffer
9     public void set( int value )
10    {
11        System.err.println( Thread.currentThread().getName() +
12            " writes " + value );
13
14        buffer = value;
15    } // end method set
16
```



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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.4** UnsynchronizedBuffer class maintains the shared integer that is accessed by a producer thread and a consumer thread via methods set and get. (2 of 2)



```
17 // return value from buffer
18 public int get()
19 {
20     System.err.println( Thread.currentThread().getName() +
21         " reads " + buffer );
22
23     return buffer;
24 } // end method get
25
26 } // end class UnsynchronizedBuffer
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.5** SharedBuffer class enables threads to modify a shared object without synchronization. (1 of 4)

```
1 // Fig. 5.5: SharedBufferTest.java
2 // SharedBufferTest creates producer and consumer threads.
3
4 public class SharedBufferTest
5 {
6     public static void main( String [] args )
7     {
8         // create shared object used by threads
9         Buffer sharedLocation = new UnsynchronizedBuffer();
10
11         // create producer and consumer objects
12         Producer producer = new Producer( sharedLocation );
13         Consumer consumer = new Consumer( sharedLocation );
14
15         producer.start(); // start producer thread
16         consumer.start(); // start consumer thread
17
18     } // end main
19
20 } // end class SharedCell
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.5** SharedBuffer class enables threads to modify a shared object without synchronization. (2 of 4)

*Sample Output 1:*

```
Consumer reads -1
Producer writes 1
Consumer reads 1
Consumer reads 1
Consumer reads 1
Consumer read values totaling: 2.
Terminating Consumer.
Producer writes 2
Producer writes 3
Producer writes 4
Producer done producing.
Terminating Producer.
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.5** SharedBuffer class enables threads to modify a shared object without synchronization. (3 of 4)

*Sample Output 2:*

```
Producer writes 1
Producer writes 2
Consumer reads 2
Producer writes 3
Consumer reads 3
Producer writes 4
Producer done producing.
Terminating Producer.
Consumer reads 4
Consumer reads 4
Consumer read values totaling: 13.
Terminating Consumer.
```

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## 5.2.1 Java Multithreading Case Study, Part II: A Producer/Consumer Relationship in Java

**Figure 5.5** SharedBuffer class enables threads to modify a shared object without synchronization. (4 of 4)

*Sample Output 3:*

```
Producer writes 1
Consumer reads 1
Producer writes 2
Consumer reads 2
Producer writes 3
Consumer reads 3
Producer writes 4
Producer done producing.
Terminating Producer.
Consumer reads 4
Consumer read values totaling: 10.
Terminating Consumer.
```

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## 5.2.2 Critical Sections

- Most code is safe to run concurrently
- Sections where shared data is modified must be protected
  - Known as critical sections
  - Only one thread can be in its critical section at once
    - Must be careful to avoid infinite loops and blocking inside a critical section

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### 5.2.3 Mutual Exclusion Primitives

- Indicate when critical data is about to be accessed
  - Mechanisms are normally provided by programming language or libraries
  - Delimit beginning and end of critical section
    - `enterMutualExclusion`
    - `exitMutualExclusion`

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### 5.3 Implementing Mutual Exclusion Primitives

- Common properties of mutual exclusion primitives
  - Each mutual exclusion machine language instruction is executed indivisibly
  - Cannot make assumptions about relative speed of thread execution
  - Thread not in its critical section cannot block other threads from entering their critical sections
  - Thread may not be indefinitely postponed from entering its critical section

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## 5.4.1 Dekker's Algorithm

- First version of Dekker's algorithm
  - Succeeds in enforcing mutual exclusion
  - Uses variable to control which thread can execute
  - Constantly tests whether critical section is available
    - Busy waiting
    - Wastes significant processor time
  - Problem known as lockstep synchronization
    - Each thread can execute only in strict alternation

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## 5.4.1 Dekker's Algorithm

**Figure 5.6** Mutual exclusion implementation – version 1 (1 of 2).

```
1  System:
2
3  int threadNumber = 1;
4
5  startThreads(); // initialize and launch both threads
6
7  Thread T1:
8
9  void main() {
10
11     while ( !done )
12     {
13         while ( threadNumber == 2 ); // enterMutualExclusion
14
15         // critical section code
16
17         threadNumber = 2; // exitMutualExclusion
18
19         // code outside critical section
20
21     } // end outer while
```



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## 5.4.1 Dekker's Algorithm

Figure 5.6 Mutual exclusion implementation – version 1 (2 of 2).

```
22 } // end Thread T1
23
24
25 Thread T2:
26
27 void main() {
28
29     while ( !done )
30     {
31         while ( threadNumber == 1 ); // enterMutualExclusion
32
33         // critical section code
34
35         threadNumber = 1; // exitMutualExclusion
36
37         // code outside critical section
38
39     } // end outer while
40
41 } // end Thread T2
```

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## 5.4.1 Dekker's Algorithm



- Second version
  - Removes lockstep synchronization
  - Violates mutual exclusion
    - Thread could be preempted while updating flag variable
  - Not an appropriate solution

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## 5.4.1 Dekker's Algorithm

Figure 5.7 Mutual exclusion implementation – version 2 (1 of 3).

```
1  System:
2
3  boolean t1Inside = false;
4  boolean t2Inside = false;
5
6  startThreads(); // initialize and launch both threads
7
8  Thread T1:
9
10 void main() {
11
12     while ( !done )
13     {
14         while ( t2Inside ); // enterMutualExclusion
15
16         t1Inside = true; // enterMutualExclusion
17
18         // critical section code
19
20         t1Inside = false; // exitMutualExclusion
21
```

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## 5.4.1 Dekker's Algorithm

Figure 5.7 Mutual exclusion implementation – version 2 (2 of 3).

```
22     // code outside critical section
23
24 } // end outer while
25
26 } // end Thread T1
27
28 Thread T2:
29
30 void main() {
31
32     while ( !done )
33     {
34         while ( t1Inside ); // enterMutualExclusion
35
36         t2Inside = true; // enterMutualExclusion
37
38         // critical section code
```

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## 5.4.1 Dekker's Algorithm

**Figure 5.7** Mutual exclusion implementation – version 2 (3 of 3).

```
39
40     t2Inside = false; // exitMutualExclusion
41
42     // code outside critical section
43
44     } // end outer while
45
46 } // end Thread T2
```

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## 5.4.1 Dekker's Algorithm

- Third version
  - Set critical section flag before entering critical section test
    - Once again guarantees mutual exclusion
  - Introduces possibility of deadlock
    - Both threads could set flag simultaneously
    - Neither would ever be able to break out of loop
  - Not a solution to the mutual exclusion problem

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## 5.4.1 Dekker's Algorithm

Figure 5.8 Mutual exclusion implementation – version 3 (1 of 2).

```
1  System:
2
3  boolean t1WantsToEnter = false;
4  boolean t2WantsToEnter = false;
5
6  startThreads(); // initialize and launch both threads
7
8  Thread T1:
9
10 void main()
11 {
12     while ( !done )
13     {
14         t1WantsToEnter = true; // enterMutualExclusion
15
16         while ( t2WantsToEnter ); // enterMutualExclusion
17
18         // critical section code
19
20         t1WantsToEnter = false; // exitMutualExclusion
21
22         // code outside critical section
23
```

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## 5.4.1 Dekker's Algorithm

Figure 5.8 Mutual exclusion implementation – version 3 (2 of 2).

```
24     } // end outer while
25
26 } // end Thread T1
27
28 Thread T2:
29
30 void main()
31 {
32     while ( !done )
33     {
34         t2WantsToEnter = true; // enterMutualExclusion
35
36         while ( t1WantsToEnter ); // enterMutualExclusion
37
38         // critical section code
39
40         t2WantsToEnter = false; // exitMutualExclusion
41
42         // code outside critical section
43
44     } // end outer while
45
46 } // end Thread T2
```

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## 5.4.1 Dekker's Algorithm

- Fourth version
  - Sets flag to false for small periods of time to yield control
  - Solves previous problems, introduces indefinite postponement
    - Both threads could set flags to same values at same time
    - Would require both threads to execute in tandem (unlikely but possible)
  - Unacceptable in mission- or business-critical systems

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## 5.4.1 Dekker's Algorithm

**Figure 5.9** Mutual exclusion implementation – version 4 (1 of 4).

```
1  System:
2
3  boolean t1WantsToEnter = false;
4  boolean t2WantsToEnter = false;
5
6  startThreads(); // initialize and launch both threads
7
8  Thread T1:
9
10 void main()
11 {
12     while ( !done )
13     {
14         t1WantsToEnter = true; // enterMutualExclusion
15     }
```

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## 5.4.1 Dekker's Algorithm

Figure 5.9 Mutual exclusion implementation – version 4 (2 of 4).

```
16     while ( t2WantsToEnter ) // enterMutualExclusion
17     {
18         t1WantsToEnter = false; // enterMutualExclusion
19
20         // wait for small, random amount of time
21
22         t1WantsToEnter = true;
23     } // end while
24
25     // critical section code
26
27     t1WantsToEnter = false; // exitMutualExclusion
28
29     // code outside critical section
30
31 } // end outer while
32
```

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## 5.4.1 Dekker's Algorithm

Figure 5.9 Mutual exclusion implementation – version 4 (3 of 4).

```
33 } // end Thread T1
34
35 Thread T2:
36
37 void main()
38 {
39     while ( !done )
40     {
41         t2WantsToEnter = true; // enterMutualExclusion
42
43         while ( t1WantsToEnter ) // enterMutualExclusion
44         {
45             t2WantsToEnter = false; // enterMutualExclusion
46
47             // wait for small, random amount of time
48
49             t2WantsToEnter = true;
50         } // end while
51     }

```

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## 5.4.1 Dekker's Algorithm

**Figure 5.9** Mutual exclusion implementation – version 4 (4 of 4).

```
52      // critical section code
53
54      t2WantsToEnter = false; // exitMutualExclusion
55
56      // code outside critical section
57
58  } // end outer while
59
60 } // end Thread T2
```

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## 5.4.1 Dekker's Algorithm

- Dekker's Algorithm
  - Proper solution
  - Uses notion of favored threads to determine entry into critical sections
    - Resolves conflict over which thread should execute first
    - Each thread temporarily unsets critical section request flag
    - Favored status alternates between threads
  - Guarantees mutual exclusion
  - Avoids previous problems of deadlock, indefinite postponement



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## 5.4.1 Dekker's Algorithm

Figure 5.10 Dekker's Algorithm for mutual exclusion. (1 of 4)



```
1  System:
2
3  int favoredThread = 1;
4  boolean t1WantsToEnter = false;
5  boolean t2WantsToEnter = false;
6
7  startThreads(); // initialize and launch both threads
8
9  Thread T1:
10
11 void main()
12 {
13     while ( !done )
14     {
15         t1WantsToEnter = true;
16
```

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## 5.4.1 Dekker's Algorithm

Figure 5.10 Dekker's Algorithm for mutual exclusion. (2 of 4)



```
17     while ( t2WantsToEnter )
18     {
19         if ( favoredThread == 2 )
20         {
21             t1WantsToEnter = false;
22             while ( favoredThread == 2 ); // busy wait
23             t1WantsToEnter = true;
24         } // end if
25     } // end while
26
27     // critical section code
28
29     favoredThread = 2;
30     t1WantsToEnter = false;
31
32     // code outside critical section
33
34 } // end outer while
35
36 } // end Thread T1
37
```

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## 5.4.1 Dekker's Algorithm

Figure 5.10 Dekker's Algorithm for mutual exclusion. (3 of 4)


```
38
39 Thread T2:
40
41 void main()
42 {
43     while ( !done )
44     {
45         t2WantsToEnter = true;
46
47         while ( t1WantsToEnter )
48         {
49             if ( favoredThread == 1 )
50             {
51                 t2WantsToEnter = false;
52                 while ( favoredThread == 1 ); // busy wait
53                 t2WantsToEnter = true;
54             } // end if
55         } // end while
56     }
```

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## 5.4.1 Dekker's Algorithm

Figure 5.10 Dekker's Algorithm for mutual exclusion. (4 of 4)

```
57
58     // critical section code
59
60     favoredThread = 1;
61     t2WantsToEnter = false;
62
63     // code outside critical section
64
65 } // end outer while
66
67 } // end Thread T2
```

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## 5.4.2 Peterson's Algorithm

- Less complicated than Dekker's Algorithm
  - Still uses busy waiting, favored threads
  - Requires fewer steps to perform mutual exclusion primitives
  - Easier to demonstrate its correctness
  - Does not exhibit indefinite postponement or deadlock

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## 5.4.2 Peterson's Algorithm

**Figure 5.11** Peterson's Algorithm for mutual exclusion. (1 of 3)

```
1  System:
2
3  int favoredThread = 1;
4  boolean t1WantsToEnter = false;
5  boolean t2WantsToEnter = false;
6
7  startThreads(); // initialize and launch both threads
```



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## 5.4.2 Peterson's Algorithm

Figure 5.11 Peterson's Algorithm for mutual exclusion. (2 of 3)

```
8
9  Thread T1:
10
11 void main()
12 {
13     while ( !done )
14     {
15         t1WantsToEnter = true;
16         favoredThread = 2;
17
18         while ( t2WantsToEnter && favoredThread == 2 );
19
20         // critical section code
21
22         t1WantsToEnter = false;
23
24         // code outside critical section
25
26     } // end while
27
28 } // end Thread T1
29
```

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## 5.4.2 Peterson's Algorithm

Figure 5.11 Peterson's Algorithm for mutual exclusion. (3 of 3)

```
30 Thread T2:
31
32 void main()
33 {
34     while ( !done )
35     {
36         t2WantsToEnter = true;
37         favoredThread = 1;
38
39         while ( t1WantsToEnter && favoredThread == 1 );
40
41         // critical section code
42
43         t2WantsToEnter = false;
44
45         // code outside critical section
46
47     } // end while
48
49 } // end Thread T2
```

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### 5.4.3 N-Thread Mutual Exclusion: Lamport's Bakery Algorithm

- Applicable to any number of threads
  - Creates a queue of waiting threads by distributing numbered “tickets”
  - Each thread executes when its ticket's number is the lowest of all threads
  - Unlike Dekker's and Peterson's Algorithms, the Bakery Algorithm works in multiprocessor systems and for  $n$  threads
  - Relatively simple to understand due to its real-world analog

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### 5.4.3 N-Thread Mutual Exclusion: Lamport's Bakery Algorithm

**Figure 5.12** Lamport's Bakery Algorithm. (1 of 3)

```
1  System:
2
3  // array that records which threads are taking a ticket
4  boolean choosing[n];
5
6  // value of the ticket for each thread initialized to 0
7  int ticket[n];
8
9  startThreads(); // initialize and launch all threads
10
```

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### 5.4.3 N-Thread Mutual Exclusion: Lamport's Bakery Algorithm

Figure 5.12 Lamport's Bakery Algorithm. (2 of 3)



```
11 Thread Tx:
12
13 void main()
14 {
15     x = threadNumber(); // store current thread number
16
17     while ( !done )
18     {
19         // take a ticket
20         choosing[x] = true; // begin ticket selection process
21         ticket[x] = maxVal( ticket ) + 1;
22         choosing[x] = false; // end ticket selection process
23
24         // wait for number to be called by comparing current
25         // ticket value to other thread's ticket value
26         for ( int i = 0; i < n; i++)
27         {
28             if ( i == x )
29             {
30                 continue; // no need to check own ticket
31             } // end if
32         }
```

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### 5.4.3 N-Thread Mutual Exclusion: Lamport's Bakery Algorithm

Figure 5.12 Lamport's Bakery Algorithm. (3 of 3)

```
33         // busy wait while thread[i] is choosing
34         while ( choosing[i] != false );
35
36         // busy wait until current ticket value is lowest
37         while ( ticket[i] != 0 && ticket[i] < ticket[x] );
38
39         // tie-breaker code favors smaller thread number
40         if ( ticket[i] == ticket[x] && i < x )
41
42             // loop until thread[i] leaves its critical section
43             while ( ticket[i] != 0 ); // busy wait
44     } // end for
45
46     // critical section code
47
48     ticket[x] = 0; // exitMutualExclusion
49
50     // code outside critical section
51
52     } // end while
53
54 } // end Thread TX
```

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## 5.5 Hardware Solutions to the Mutual Exclusion Problem

- Implementing mutual exclusion in hardware
  - Can improve performance
  - Can decreased development time
    - No need to implement complex software mutual exclusion solutions like Lamport's Algorithm

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### 5.5.1 Disabling Interrupts



- Disabling interrupts
  - Works only on uniprocessor systems
  - Prevents the currently executing thread from being preempted
  - Could result in deadlock
    - For example, thread waiting for I/O event in critical section
  - Technique is used rarely

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## 5.5.2 Test-and-Set Instruction



- Use a machine-language instruction to ensure that mutual exclusion primitives are performed indivisibly
  - Such instructions are called atomic
  - Machine-language instructions do not ensure mutual exclusion alone—the software must properly use them
    - For example, programmers must incorporate favored threads to avoid indefinite postponement
  - Used to simplify software algorithms rather than replace them
- Test-and-set instruction
  - `testAndSet(a, b)` copies the value of `b` to `a`, then sets `b` to `true`
  - Example of an atomic read-modify-write (RMW) cycle

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## 5.5.2 Test-and-Set Instruction

**Figure 5.13** `testAndSet` instruction for mutual exclusion. (1 of 3)

```
1  System:
2
3  boolean occupied = false;
4
5  startThreads(); // initialize and launch both threads
6
7  Thread Tj:
8
9  void main()
10 {
11     boolean p1MustWait = true;
12
13     while ( !done )
14     {
15         while ( p1MustWait )
16         {
17             testAndSet( p1MustWait, occupied );
18         }
19     }
```

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## 5.5.2 Test-and-Set Instruction

Figure 5.13 testAndSet instruction for mutual exclusion. (2 of 3)

```
20      // critical section code
21
22      p1MustWait = true;
23      occupied = false;
24
25      // code outside critical section
26
27  } // end while
28
29 } // end Thread T1
30
31 Thread T2:
32
```

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## 5.5.2 Test-and-Set Instruction

Figure 5.13 testAndSet instruction for mutual exclusion. (3 of 3)

```
33 void main()
34 {
35     boolean p2MustWait = true;
36
37     while ( !done )
38     {
39         while ( p2MustWait )
40         {
41             testAndSet( p2MustWait, occupied );
42         }
43
44         // critical section code
45
46         p2MustWait = true;
47         occupied = false;
48
49         // code outside critical section
50
51     } // end while
52
53 } // end Thread T2
```

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### 5.5.3 Swap Instruction

- `swap(a, b)` exchanges the values of `a` and `b` atomically
- Similar in functionality to test-and-set
  - swap is more commonly implemented on multiple architectures

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### 5.5.3 Swap Instruction

**Figure 5.14** swap instruction for mutual exclusion. (1 of 3)

```
1  System:
2
3  boolean occupied = false;
4
5  startThreads(); // initialize and launch both threads
6
7  Thread T1:
8
9  void main()
10 {
11     boolean p1MustWait = true;
12
```

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## 5.5.3 Swap Instruction

Figure 5.14 swap instruction for mutual exclusion. (2 of 3)

```
13  while ( !done )
14  {
15      do
16      {
17          swap( p1MustWait, occupied );
18      } while ( p1MustWait );
19
20      // critical section code
21
22      p1MustWait = true;
23      occupied = false;
24
25      // code outside critical section
26
27  } // end while
28
29 } // end Thread T1
30
```

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## 5.5.3 Swap Instruction

Figure 5.14 swap instruction for mutual exclusion. (3 of 3)

```
31  Thread T2:
32
33  void main()
34  {
35      boolean p2MustWait = true;
36
37      while ( !done )
38      {
39          do
40          {
41              swap( p2MustWait, occupied );
42          } while ( p2MustWait );
43
44          // critical section code
45
46          p2MustWait = true;
47          occupied = false;
48
49          // code outside critical section
50
51      } // end while
52
53  } // end Thread T2
```

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## 5.6 Semaphores

- Semaphores
  - Software construct that can be used to enforce mutual exclusion
  - Contains a protected variable
    - Can be accessed only via wait and signal commands
    - Also called  $P$  and  $V$  operations, respectively

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### 5.6.1 Mutual Exclusion with Semaphores

- Binary semaphore: allow only one thread in its critical section at once
  - Wait operation
    - If no threads are waiting, allow thread into its critical section
    - Decrement protected variable (to 0 in this case)
    - Otherwise place in waiting queue
  - Signal operation
    - Indicate that thread is outside its critical section
    - Increment protected variable (from 0 to 1)
    - A waiting thread (if there is one) may now enter

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## 5.6.1 Mutual Exclusion with Semaphores

Figure 5.15 Mutual exclusion with semaphores.

```
1  System:
2
3  // create semaphore and initialize value to 1
4  Semaphore occupied = new Semaphore(1);
5
6  startThreads(); // initialize and launch both threads
7
8  Thread Tx:
9
10 void main()
11 {
12     while ( !done )
13     {
14         P( occupied ); // wait
15
16         // critical section code
17
18         V( occupied ); // signal
19
20         // code outside critical section
21     } // end while
22 } // Thread TX
```

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## 5.6.2 Thread Synchronization with Semaphores

- Semaphores can be used to notify other threads that events have occurred
  - Producer-consumer relationship
    - Producer enters its critical section to produce value
    - Consumer is blocked until producer finishes
    - Consumer enters its critical section to read value
    - Producer cannot update value until it is consumed
  - Semaphores offer a clear, easy-to-implement solution to this problem

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## 5.6.2 Thread Synchronization with Semaphores

Figure 5.16 Producer/consumer relationship implemented with semaphores. (1 of 2)

```
1  System:
2  // semaphores that synchronize access to sharedValue
3  Semaphore valueProduced = new Semaphore(0);
4  Semaphore valueConsumed = new Semaphore(1);
5  int sharedValue; // variable shared by producer and consumer
6
7  startThreads(); // initialize and launch both threads
8
9  Producer Thread:
10
11 void main()
12 {
13     int nextValueProduced; // variable to store value produced
14
15     while ( !done )
16     {
17         nextValueProduced = generateTheValue(); // produce value
18         P( valueConsumed ); // wait until value is consumed
19         sharedValue = nextValueProduced; // critical section
20         V( valueProduced ); // signal that value has been produced
21     } // end while
22 } // end producer thread
```

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## 5.6.2 Thread Synchronization with Semaphores

Figure 5.16 Producer/consumer relationship implemented with semaphores. (2 of 2)

```
25
26 Consumer Thread:
27
28 void main()
29 {
30     int nextValue; // variable to store value consumed
31
32     while ( !done )
33     {
34         P( valueProduced ); // wait until value is produced
35         nextValueConsumed = sharedValue; // critical section
36         V( valueConsumed ); // signal that value has been consumed
37         processTheValue( nextValueConsumed ); // process the value
38     } // end while
39 } // end consumer thread
```

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### 5.6.3 Counting Semaphores

- Counting semaphores
  - Initialized with values greater than one
  - Can be used to control access to a pool of identical resources
    - Decrement the semaphore's counter when taking resource from pool
    - Increment the semaphore's counter when returning it to pool
    - If no resources are available, thread is blocked until a resource becomes available

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### 5.6.4 Implementing Semaphores

- Semaphores can be implemented at application or kernel level
  - Application level: typically implemented by busy waiting
    - Inefficient
  - Kernel implementations can avoid busy waiting
    - Block waiting threads until they are ready
  - Kernel implementations can disable interrupts
    - Guarantee exclusive semaphore access
    - Must be careful to avoid poor performance and deadlock
    - Implementations for multiprocessor systems must use a more sophisticated approach

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