3.1 Symbol Tables



- **API**
- sequential search
- binary search
- ordered operations

Symbol tables

Key-value pair abstraction.

- Insert a value with specified key.
- Given a key, search for the corresponding value.

Ex. DNS lookup.

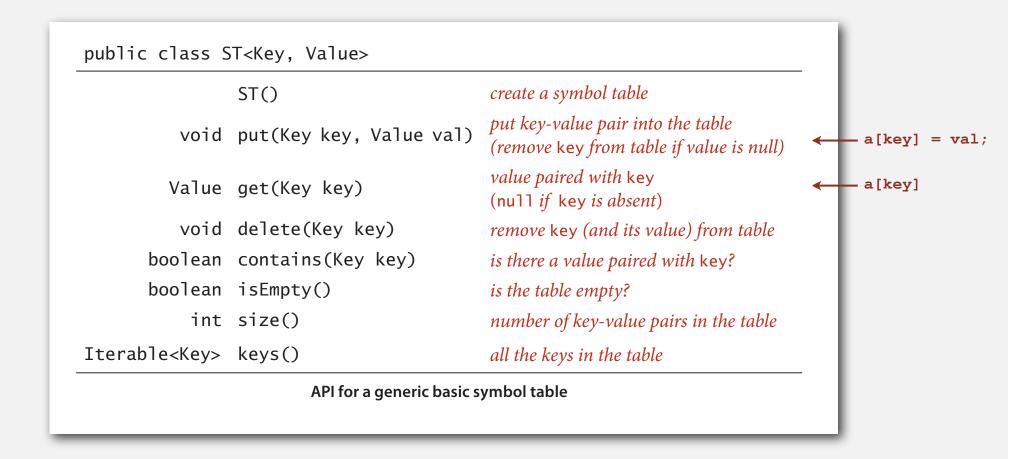
- Insert URL with specified IP address.
- Given URL, find corresponding IP address.

Symbol table applications

application	purpose of search	key	value
dictionary	find definition	word	definition
book index	find relevant pages	term	list of page numbers
file share	find song to download	name of song	computer ID
financial account	process transactions	account number	transaction details
web search	find relevant web pages	keyword	list of page names
compiler	find properties of variables	variable name	type and value
routing table	route Internet packets	destination	best route
DNS	find IP address given URL	URL	IP address
reverse DNS	find URL given IP address	IP address	URL
genomics	find markers	DNA string	known positions
file system	file system find file on disk		location on disk

Symbol table API

Associative array abstraction. Associate one value with each key.



Conventions

- Values are not null.
- Method get() returns null if key not present.
- Method put () overwrites old value with new value.

Intended consequences.

• Easy to implement contains ().

```
public boolean contains(Key key)
{ return get(key) != null; }
```

• Can implement lazy version of delete().

```
public void delete(Key key)
{  put(key, null); }
```

Keys and values

Value type. Any generic type.

Key type: several natural assumptions.

- Assume keys are Comparable, USE compareTo().
- Assume keys are any generic type, use equals() to test equality.
- Assume keys are any generic type, use equals() to test equality and hashcode() to scramble key.

built-in to Java (stay tuned)

specify Comparable in API.

Best practices. Use immutable types for symbol table keys.

- Immutable in Java: String, Integer, Double, File, ...
- Mutable in Java: Date, StringBuilder, Url, ...

Equality test

All Java classes inherit a method equals ().

Java requirements. For any references x, y and z:

```
    Reflexive: x.equals(x) is true.
    Symmetric: x.equals(y) iff y.equals(x).
    Transitive: if x.equals(y) and y.equals(z), then x.equals(z).
```

• Non-null: x.equals(null) iS false.

```
do \mathbf{x} and \mathbf{y} refer to the same object?
```

Default implementation. (x == y)

Customized implementations. Integer, Double, String, File, URL, Date, ... User-defined implementations. Some care needed.

Implementing equals for user-defined types

Seems easy

```
class Record
public
   private final String name;
   private final long val;
   private final int id;
   public boolean equals(Record y)
      Record that =
                              у;
                                                           check that all significant
      return (this.val == that.val) &&
                                                           fields are the same
              (this.id == that.id)
              (this.name.equals(that.name));
```

Implementing equals for user-defined types

Seems easy, but requires some care. typically unsafe to use equals () with inheritance (would violate symmetry) public final class Record private final String name; private final long val; must be Object. private final int id; Why? Experts still debate. public boolean equals(Object y) optimize for true object equality if (y == this) return true; check for null if (y == null) return false; if (y.getClass() != this.getClass()) objects must be in the same class return false; (religion: getClass() VS. instanceof) Record that = (Record) y; check that all significant return (this.val == that.val) && fields are the same (this.id == that.id) (this.name.equals(that.name));

Equals design

"Standard" recipe for user-defined types.

- Optimization for reference equality.
- Check against null.
- Check that two objects are of the same type and cast.
- Compare each significant field:
 - if field is a primitive type, use ==

 if field is an object, use equals()

 or use Arrays.deepEquals()
 - if field is a primitive array, apply to each element

Best practices.

- Compare fields mostly likely to differ first.
- No need to use calculated fields that depend on other fields.

ST test client for traces

Build ST by associating value i with i^{th} string from standard input.

```
public static void main(String[] args)
{
   ST<String, Integer> st = new ST<String, Integer>();
   String[] a = StdIn.readAll().split("\\s+");
   for (int i = 0; i < a.length; i++)
      st.put(a[i], i);
   for (String s : st.keys())
      StdOut.println(s + " " + st.get(s));
}</pre>
```

```
        keys
        S
        E
        A
        R
        C
        H
        E
        X
        A
        M
        P
        L
        E

        values
        0
        1
        2
        3
        4
        5
        6
        7
        8
        9
        10
        11
        12
```

output

```
A 8
C 4
E 12
H 5
L 9
M 11
P 10
R 3
S 0
X 7
```

ST test client for analysis

Frequency counter. Read a sequence of strings from standard input and print out one that occurs with highest frequency.

```
% more tinyTale.txt
it was the best of times
it was the worst of times
it was the age of wisdom
it was the age of foolishness
it was the epoch of belief
it was the epoch of incredulity
it was the season of light
it was the season of darkness
it was the spring of hope
it was the winter of despair
                                                        tiny example
% java FrequencyCounter 1 < tinyTale.txt</pre>
                                                        (60 words, 20 distinct)
it 10
                                                        real example
% java FrequencyCounter 8 < tale.txt</pre>
                                                        (135,635 words, 10,769 distinct)
business 122
                                                        real example
% java FrequencyCounter 10 < leipzig1M.txt 	</pre>
                                                        (21,191,455 words, 534,580 distinct)
government 24763
```

Frequency counter implementation

```
public class FrequencyCounter
   public static void main(String[] args)
      int minlen = Integer.parseInt(args[0]);
                                                                            create ST
      ST<String, Integer> st = new ST<String, Integer>();
      while (!StdIn.isEmpty())
                                                     ignore short strings
         String word = StdIn.readString();
                                                                            read string and
          if (word.length() < minlen) continue;</pre>
                                                                            update frequency
          if (!st.contains(word)) st.put(word, 1);
         else
                                    st.put(word, st.get(word) + 1);
      String max = "";
      st.put(max, 0);
                                                                            print a string
                                                                            with max freq
      for (String word : st.keys())
          if (st.get(word) > st.get(max))
             max = word;
      StdOut.println(max + " " + st.get(max));
```

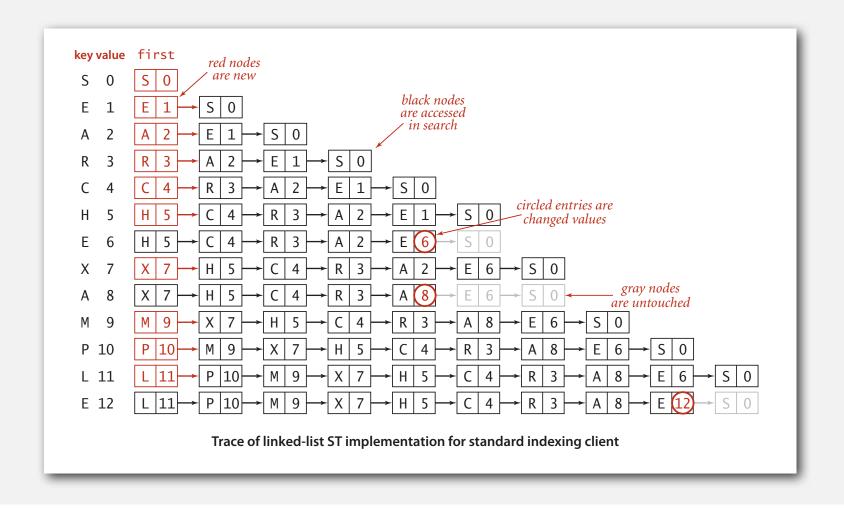
- sequential searchbinary search

Sequential search in a linked list

Data structure. Maintain an (unordered) linked list of key-value pairs.

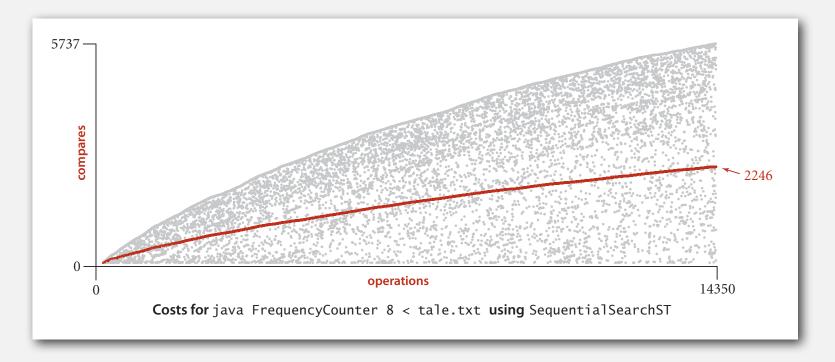
Search. Scan through all keys until find a match.

Insert. Scan through all keys until find a match; if no match add to front.



Elementary ST implementations: summary

ST implementation	worst	case	average	e case	ordered	operations		
31 implementation	search	insert	search hit	insert	iteration?	on keys		
sequential search (unordered list)	N	N	N / 2	N	no	equals()		



Challenge. Efficient implementations of both search and insert.

- > sequential search
- binary searchordered symbol table ops

Binary search

Data structure. Maintain an ordered array of key-value pairs.

Rank helper function. How many keys < k?

```
keys[]
successful search for P
        lo hi m
                                                                          entries in black
                                                                          are a [lo..hi]
                                                                   entry in red is a [m]
                                    H L M
                                                        loop exits with keys[m] = P: return 6
unsuccessful search for 0
        lo hi m
                   loop exits with lo > hi: return 7
                     Trace of binary search for rank in an ordered array
```

Binary search: Java implementation

```
public Value get(Key key)
   if (isEmpty()) return null;
   int i = rank(key);
   if (i < N && keys[i].compareTo(key) == 0) return vals[i];</pre>
   else return null;
                                                number of keys < key
private int rank(Key key)
{
   int lo = 0, hi = N-1;
   while (lo <= hi)
       int mid = lo + (hi - lo) / 2;
       int cmp = key.compareTo(keys[mid]);
              (cmp < 0) hi = mid - 1;
       if
       else if (cmp > 0) lo = mid + 1;
       else if (cmp == 0) return mid;
  return lo;
```

Binary search: mathematical analysis

Proposition. Binary search uses $\sim \lg N$ compares to search any array of size N.

Pf.
$$T(N)$$
 = number of compares to binary search in a sorted array of size N .
 $\leq T(\lfloor N/2 \rfloor) + 1$
left or right half

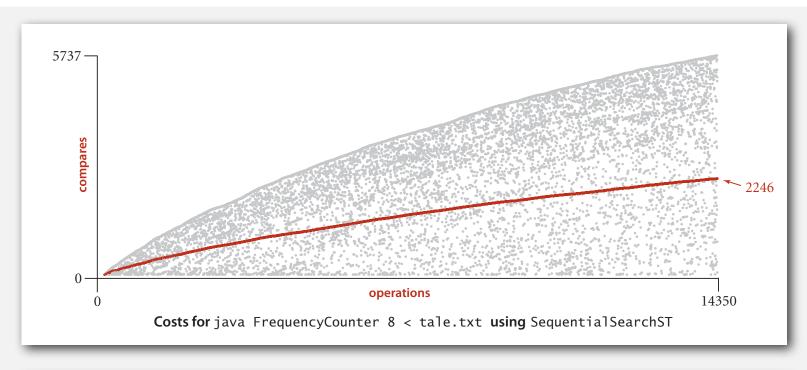
Recall lecture 2.

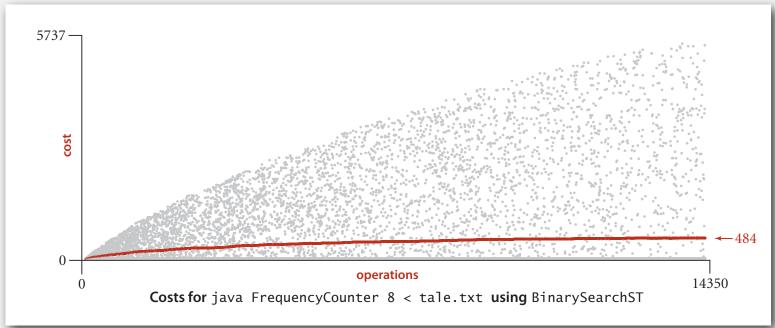
Binary search: trace of standard indexing client

Problem. To insert, need to shift all greater keys over.

		keys[]												va ⁻	ls[1						
kov	value	0	1	2	3	4	5	6	7	8	9	N	0	1	2	3	4	5	6	7	8	9
S	value 0	S										1	0									
E	1	E	S						,			2	1	0					ıtries			
Α	2	Α	Ε	S			ntrie vere i					3	2	1	0			, mo	ved to	o the	right	
R	3	Α	Ε	R	S							4	2	1	3	0						
C	4	Α	C	Ε	R	S			en	tries	in gra	_v 5	2	4	1	3	0					
Н	5	Α	C	Е	Н	R	S				ot mov		2	4	1	5	3	0			ntrie d val	s are
Ε	6	Α	C	Е	Н	R	S					6	2	4	6	5	3	0	CI	unge	u vui	ues
Χ	7	Α	C	Е	Н	R	S	X				7	2	4	6	5	3	0	7			
Α	8	Α	C	Е	Н	R	S	X				7	(8)	4	6	5	3	0	7			
M	9	A	C	Е	Н	M	R	S	X			8	8	4	6	5	9	3	0	7		
Р	10	Α	C	Е	Н	\mathbb{N}	P	R	S	X		9	8	4	6	5	9	10	3	0	7	
L	11	Α	C	Е	Н	L	М	Р	R	S	Χ	10	8	4	6	5	11	9	10	3	0	7
Ε	12	Α	C	Е	Н	L	M	Р	R	S	X	10	8	4	12)	5	11	9	10	3	0	7
		Α	C	Ε	Н	L	М	Р	R	S	Χ		8	4	12	5	11	9	10	3	0	7

Elementary ST implementations: frequency counter





Elementary ST implementations: summary

ST implementation	worst	case	average	e case	ordered	operations		
31 implementation	search	insert	search hit	insert	iteration?	on keys		
sequential search (unordered list)	N	N	N / 2	N	no	equals()		
binary search (ordered array)	log N	N	log N	N / 2	yes	compareTo()		

Challenge. Efficient implementations of both search and insert.

- ▶ API
- sequential search
- binary search
- ordered operations

Ordered symbol table API

```
values
                                 keys
                    min() \longrightarrow 09:00:00
                                          Chicago
                              09:00:03
                                          Phoenix
                              09:00:13 Houston
            get(09:00:13)—
                              09:00:59
                                          Chicago
                              09:01:10
                                          Houston
          floor(09:05:00) \longrightarrow 09:03:13
                                          Chicago
                              09:10:11
                                          Seattle
                select(7) \rightarrow 09:10:25
                                          Seattle
                              09:14:25
                                        Phoenix
                              09:19:32
                                          Chicago
                              09:19:46
                                          Chicago
                                          Chicago
keys(09:15:00, 09:25:00) \longrightarrow
                             09:21:05
                                          Seattle
                              09:22:43
                              09:22:54 Seattle
                              09:25:52 Chicago
       ceiling(09:30:00) \rightarrow 09:35:21 Chicago
                              09:36:14 Seattle
                    max() \longrightarrow 09:37:44
                                          Phoenix
size(09:15:00, 09:25:00) is 5
     rank(09:10:25) is 7
     Examples of ordered symbol-table operations
```

Ordered symbol table API

	ST()	create an ordered symbol table			
void	<pre>put(Key key, Value val)</pre>	put key-value pair into the table (remove key from table if value is null)			
Value	get(Key key)	value paired with key (null if key is absent)			
void	<pre>delete(Key key)</pre>	remove key (and its value) from table			
boolean	contains(Key key)	is there a value paired with key?			
boolean	isEmpty()	is the table empty?			
int	size()	number of key-value pairs			
Key	min()	smallest key			
Key	max()	largest key			
Key	floor(Key key)	largest key less than or equal to key			
Key	<pre>ceiling(Key key)</pre>	smallest key greater than or equal to key			
int	rank(Key key)	number of keys less than key			
Key	<pre>select(int k)</pre>	key of rank k			
void	<pre>deleteMin()</pre>	delete smallest key			
void	<pre>deleteMax()</pre>	delete largest key			
int	size(Key lo, Key hi)	number of keys in [lohi]			
Iterable <key></key>	keys(Key lo, Key hi)	keys in [lohi], in sorted order			
Iterable <key></key>	keys()	all keys in the table, in sorted order			

Binary search: ordered symbol table operations summary

	sequential search	binary search
search	N	lg N
insert	1	N
min / max	N	1
floor / ceiling	N	lg N
rank	N	lg N
select	N	1
ordered iteration	N log N	N

worst-case running time of ordered symbol table operations

3.2 Binary Search Trees



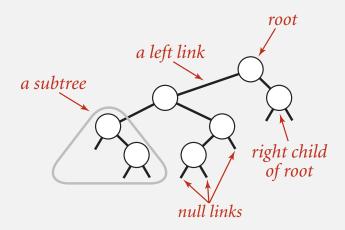
- **BSTs**
- ordered operations
- ▶ deletion

Binary search trees

Definition. A BST is a binary tree in symmetric order.

A binary tree is either:

- Empty.
- Two disjoint binary trees (left and right).

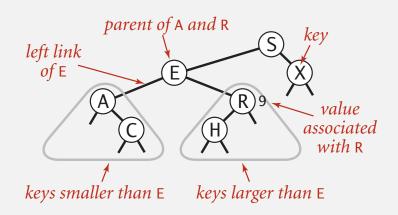


Anatomy of a binary tree

Symmetric order.

Each node has a key, and every node's key is:

- Larger than all keys in its left subtree.
- Smaller than all keys in its right subtree.



Anatomy of a binary search tree

BST representation in Java

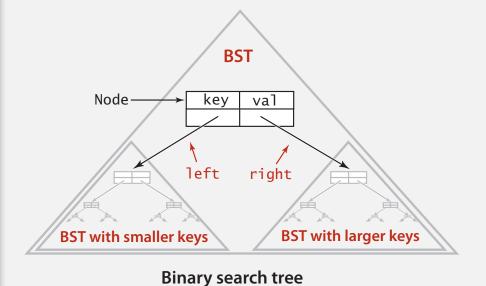
Java definition. A BST is a reference to a root Node.

A Node is comprised of four fields:

- A key and a value.
- A reference to the left and right subtree.

```
smaller keys larger keys
```

```
private class Node
{
   private Key key;
   private Value val;
   private Node left, right;
   public Node(Key key, Value val)
   {
      this.key = key;
      this.val = val;
   }
}
```



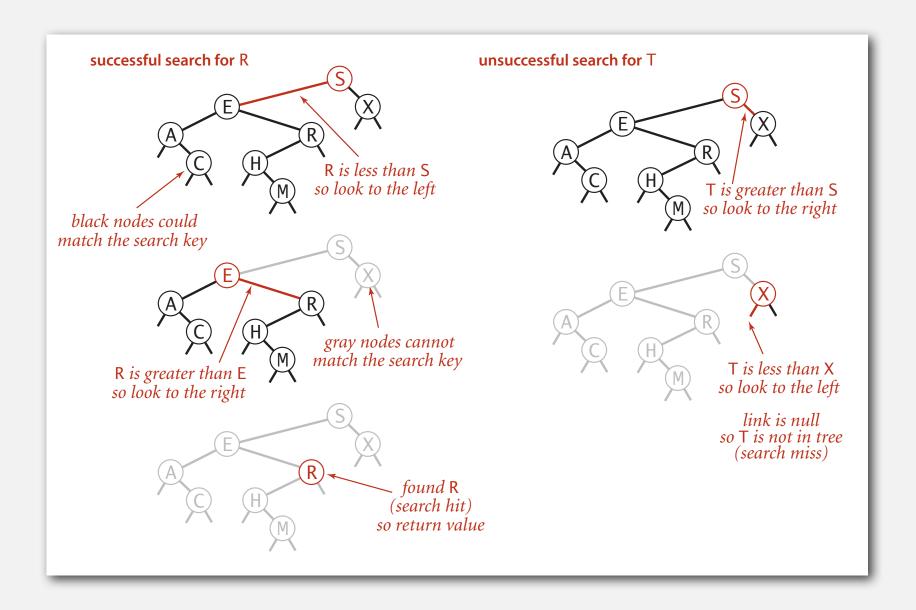
Key and Value are generic types; Key is Comparable

BST implementation (skeleton)

```
public class BST<Key extends Comparable<Key>, Value>
                                                            root of BST
    private Node root;
  private class Node
   { /* see previous slide */ }
   public void put(Key key, Value val)
   { /* see next slides */ }
   public Value get(Key key)
   { /* see next slides */ }
   public void delete(Key key)
   { /* see next slides */ }
   public Iterable<Key> iterator()
   { /* see next slides */ }
```

BST search

Get. Return value corresponding to given key, or null if no such key.



BST search: Java implementation

Get. Return value corresponding to given key, or null if no such key.

```
public Value get(Key key)
{
   Node x = root;
   while (x != null)
   {
      int cmp = key.compareTo(x.key);
      if (cmp < 0) x = x.left;
      else if (cmp > 0) x = x.right;
      else if (cmp == 0) return x.val;
   }
   return null;
}
```

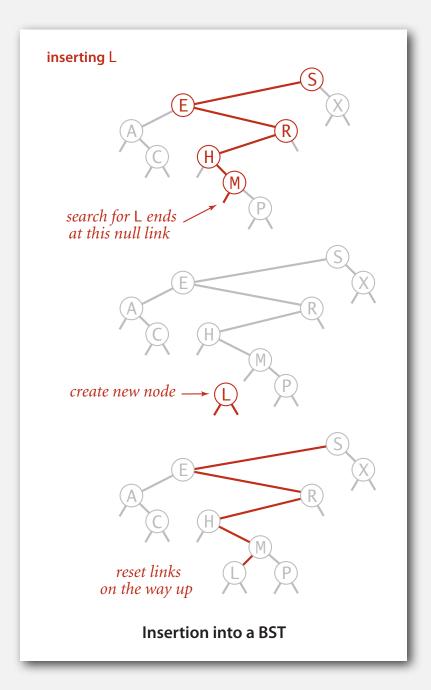
Cost. Number of compares is equal to depth of node.

BST insert

Put. Associate value with key.

Search for key, then two cases:

- Key in tree \Rightarrow reset value.
- Key not in tree \Rightarrow add new node.



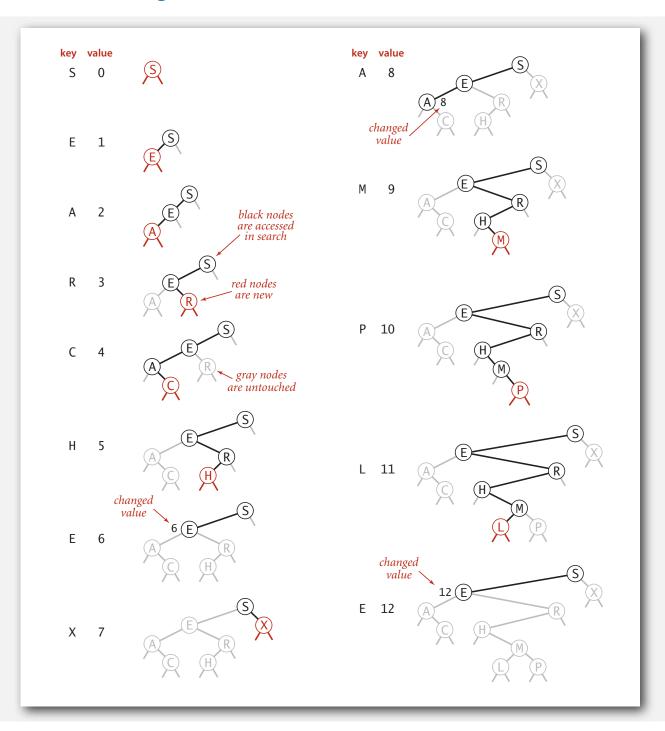
BST insert: Java implementation

Put. Associate value with key.

```
concise, but tricky,
                                            recursive code;
public void put(Key key, Value val)
                                             read carefully!
{ root = put(root, key, val); }
private Node put(Node x, Key key, Value val)
   if (x == null) return new Node(key, val);
   int cmp = key.compareTo(x.key);
   if
           (cmp < 0)
      x.left = put(x.left, key, val);
   else if (cmp > 0)
      x.right = put(x.right, key, val);
   else if (cmp == 0)
      x.val = val;
   return x;
```

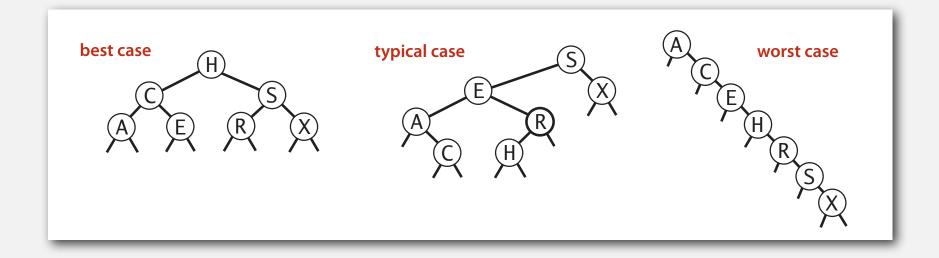
Cost. Number of compares is equal to depth of node.

BST trace: standard indexing client



Tree shape

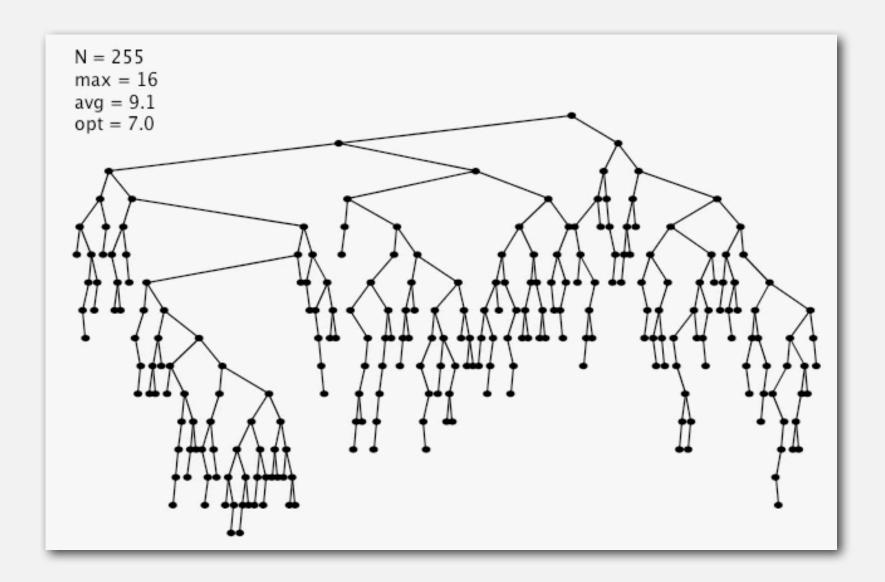
- Many BSTs correspond to same set of keys.
- Number of compares for search/insert is equal to depth of node.



Remark. Tree shape depends on order of insertion.

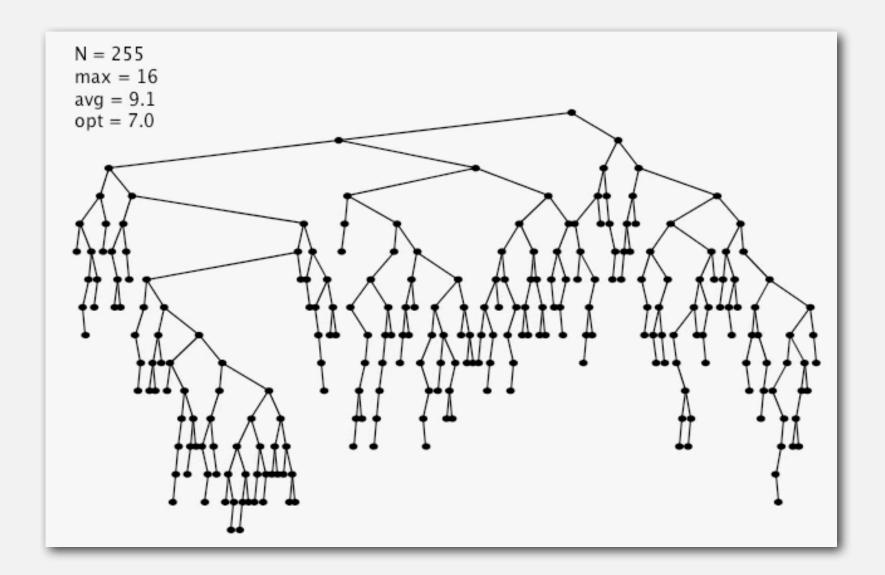
BST insertion: random order

Observation. If keys inserted in random order, tree stays relatively flat.

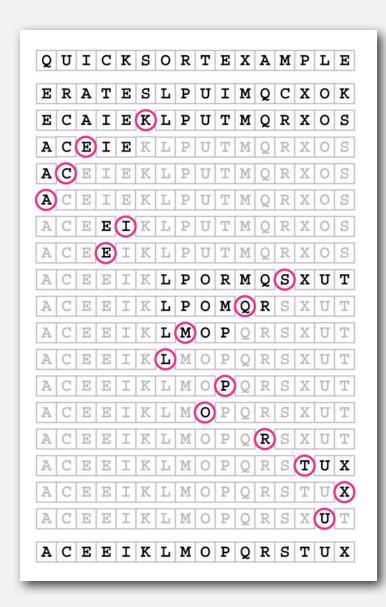


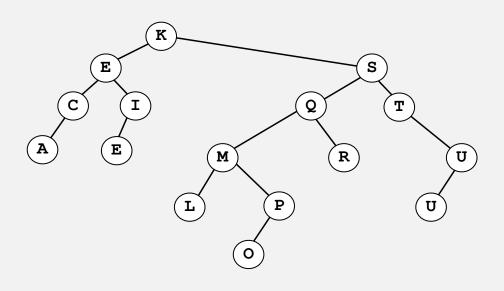
BST insertion: random order visualization

Ex. Insert keys in random order.



Correspondence between BSTs and quicksort partitioning





Remark. Correspondence is 1-1 if array has no duplicate keys.

BSTs: mathematical analysis

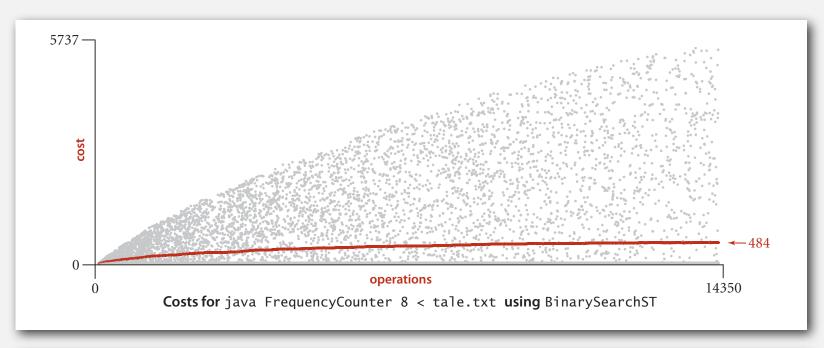
Proposition. If keys are inserted in random order, the expected number of compares for a search/insert is $\sim 2 \ln N$.

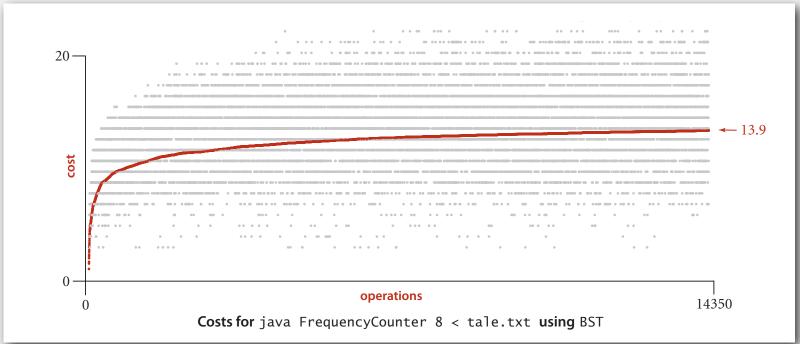
Pf. 1-1 correspondence with quicksort partitioning.

Proposition. [Reed, 2003] If keys are inserted in random order, expected height of tree is $\sim 4.311 \ln N$.

But... Worst-case height is N. (exponentially small chance when keys are inserted in random order)

ST implementations: frequency counter





ST implementations: summary

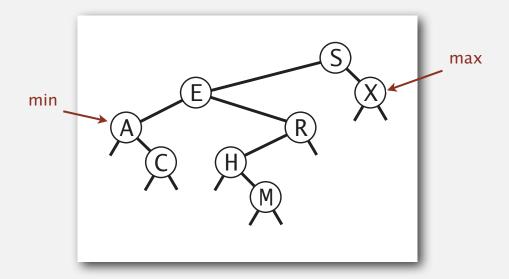
implementation	guarantee		average case		ordered	operations
	search	insert	search hit	insert	ops?	on keys
sequential search (unordered list)	N	N	N/2	N	no	equals()
binary search (ordered array)	lg N	N	lg N	N/2	yes	compareTo()
BST	N	N	1.39 lg N	1.39 lg N	?	compareTo()

- ordered operationsdeletion

Minimum and maximum

Minimum. Smallest key in table.

Maximum. Largest key in table.

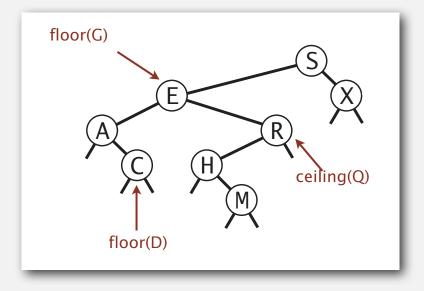


Q. How to find the min / max?

Floor and ceiling

Floor. Largest key \leq to a given key.

Ceiling. Smallest key \geq to a given key.



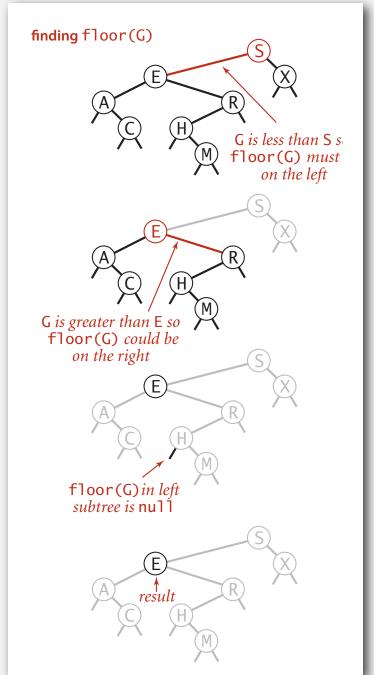
Q. How to find the floor /ceiling?

Computing the floor

Case 1. [k equals the key at root]The floor of k is k.

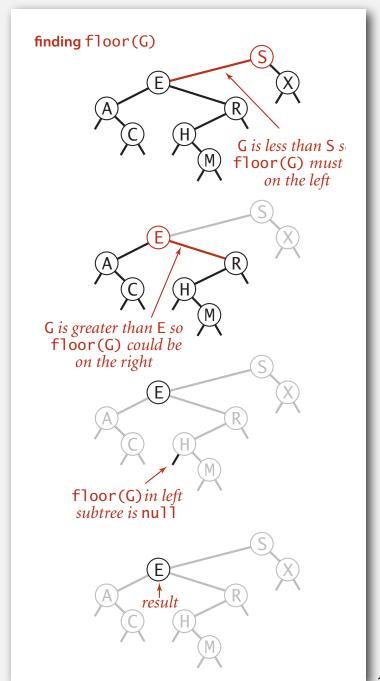
Case 2. [k is less than the key at root]The floor of k is in the left subtree.

Case 3. [k is greater than the key at root] The floor of k is in the right subtree (if there is any key $\leq k$ in right subtree); otherwise it is the key in the root.



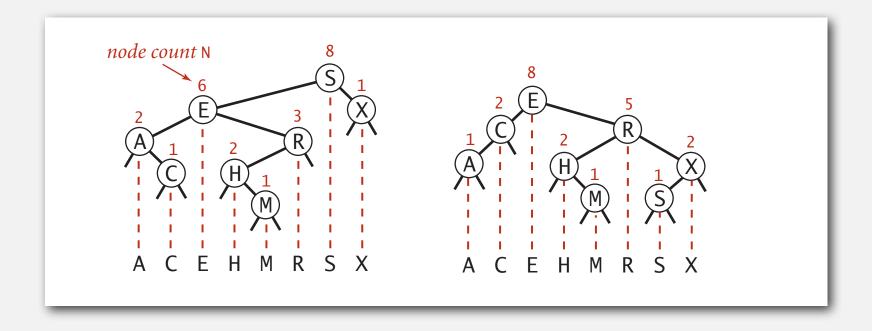
Computing the floor

```
public Key floor(Key key)
   Node x = floor(root, key);
   if (x == null) return null;
   return x.key;
private Node floor(Node x, Key key)
   if (x == null) return null;
   int cmp = key.compareTo(x.key);
   if (cmp == 0) return x;
   if (cmp < 0) return floor(x.left, key);</pre>
   Node t = floor(x.right, key);
   if (t != null) return t;
   else
                  return x;
```



Subtree counts

In each node, we store the number of nodes in the subtree rooted at that node. To implement size(), return the count at the root.



Remark. This facilitates efficient implementation of rank () and select ().

BST implementation: subtree counts

```
private class Node
{
    private Key key;
    private Value val;
    private Node left;
    private Node right;
    private int N;
}
```

```
public int size()
{ return size(root); }

private int size(Node x)
{
  if (x == null) return 0;
  return x.N;
}
```

```
private Node put(Node x, Key key, Value val)
{
   if (x == null) return new Node(key, val);
   int cmp = key.compareTo(x.key);
   if (cmp < 0) x.left = put(x.left, key, val);
   else if (cmp > 0) x.right = put(x.right, key, val);
   else if (cmp == 0) x.val = val;
   x.N = 1 + size(x.left) + size(x.right);
   return x;
}
```

Rank

Rank. How many keys < k?

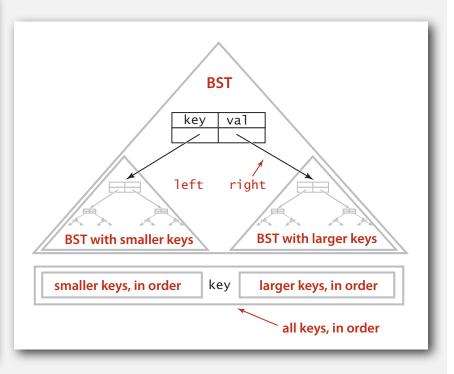
Easy recursive algorithm (4 cases!)

Inorder traversal

- Traverse left subtree.
- Enqueue key.
- Traverse right subtree.

```
public Iterable<Key> keys()
{
    Queue<Key> q = new Queue<Key>();
    inorder(root, queue);
    return q;
}

private void inorder(Node x, Queue<Key> q)
{
    if (x == null) return;
    inorder(x.left, q);
    q.enqueue(x.key);
    inorder(x.right, q);
}
```



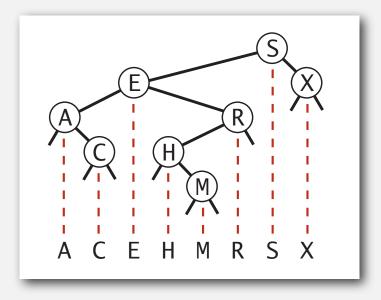
Property. Inorder traversal of a BST yields keys in ascending order.

Inorder traversal

- Traverse left subtree.
- Enqueue key.
- Traverse right subtree.

```
inorder(S)
  inorder(E)
    inorder(A)
      enqueue A
      inorder(C)
        enqueue C
    enqueue E
    inorder(R)
      inorder(H)
        enqueue H
        inorder (M)
          enqueue M
      print R
  enqueue S
  inorder(X)
    enqueue X
```

A C E H M R S S
S
E
S
E
A
C
S
E
R
S
E
R
H
S
E
R
H
M



recursive calls

queue

function call stack

BST: ordered symbol table operations summary

	sequential search	binary search	BST	
search	N	lg N	h	
insert	1	N	h	h = height of BST
min / max	N	1	h 👉	(proportional to log N if keys inserted in random order)
floor / ceiling	N	lg N	h 🖊	
rank	N	lg N	h	
select	N	1	h	
ordered iteration	N log N	N	N	

worst-case running time of ordered symbol table operations

- **BSTs**
- ▶ ordered operations
- deletion

ST implementations: summary

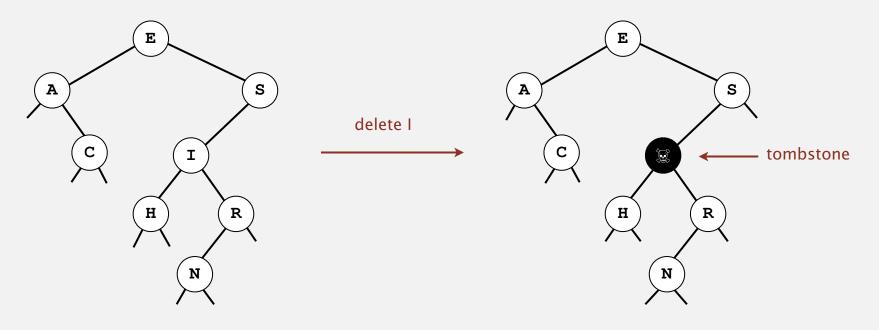
implementation	guarantee			average case			ordered	operations
	search	insert	delete	search hit	insert	delete	iteration?	on keys
sequential search (linked list)	N	N	N	N/2	N	N/2	no	equals()
binary search (ordered array)	lg N	N	N	lg N	N/2	N/2	yes	compareTo()
BST	N	N	N	1.39 lg N	1.39 lg N	???	yes	compareTo()

Next. Deletion in BSTs.

BST deletion: lazy approach

To remove a node with a given key:

- Set its value to null.
- Leave key in tree to guide searches (but don't consider it equal to search key).



Cost. $2 \ln N'$ per insert, search, and delete (if keys in random order), where N' is the number of key-value pairs ever inserted in the BST.

Unsatisfactory solution. Tombstone overload.

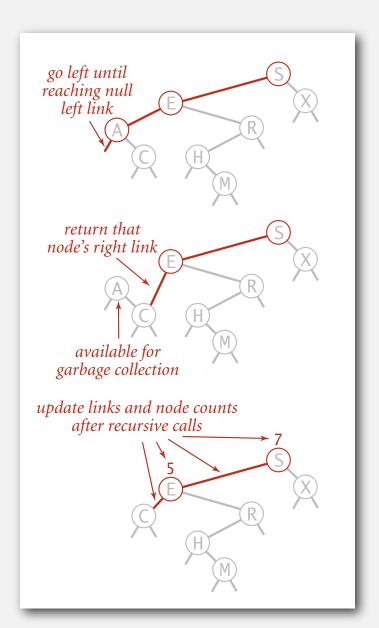
Deleting the minimum

To delete the minimum key:

- Go left until finding a node with a null left link.
- Replace that node by its right link.
- Update subtree counts.

```
public void deleteMin()
{    root = deleteMin(root); }

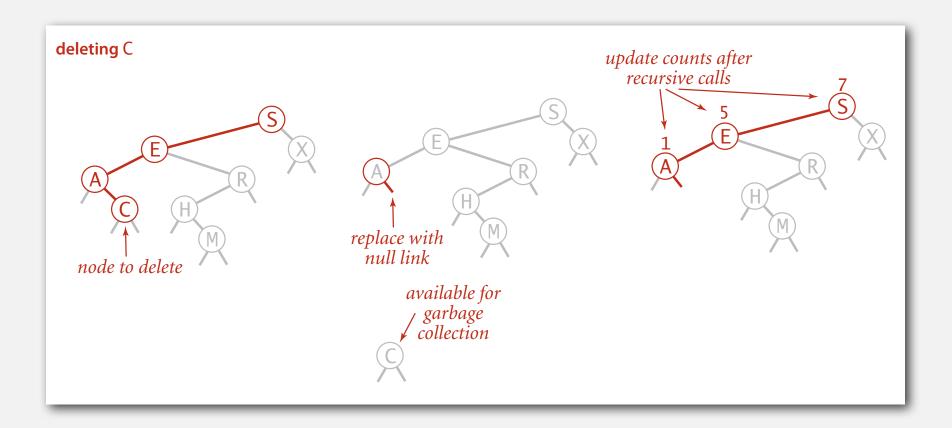
private Node deleteMin(Node x)
{
    if (x.left == null) return x.right;
    x.left = deleteMin(x.left);
    x.N = 1 + size(x.left) + size(x.right);
    return x;
}
```



Hibbard deletion

To delete a node with key k: search for node t containing key k.

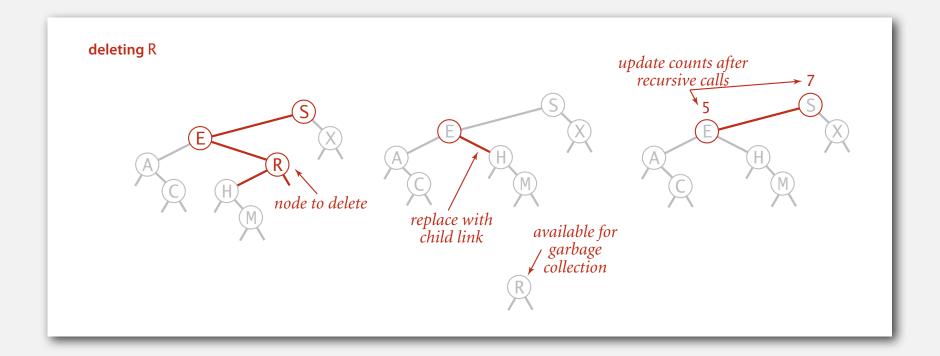
Case 0. [O children] Delete t by setting parent link to null.



Hibbard deletion

To delete a node with key k: search for node t containing key k.

Case 1. [1 child] Delete t by replacing parent link.



Hibbard deletion

To delete a node with key k: search for node t containing key k.

Case 2. [2 children]

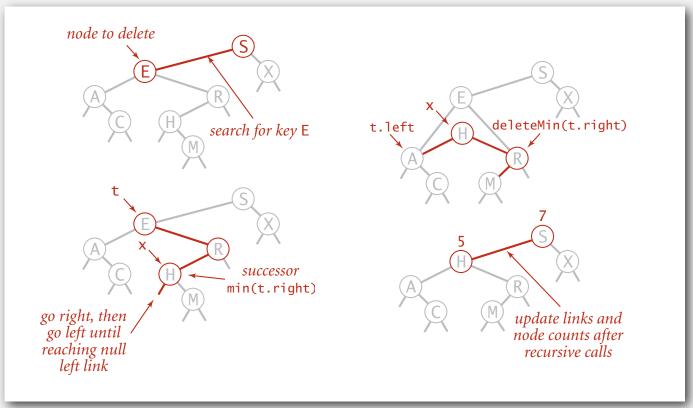
• Find successor *x* of *t*.

• Delete the minimum in t's right subtree.

• Put *x* in *t*'s spot.

x has no left child
but don't garbage collect x

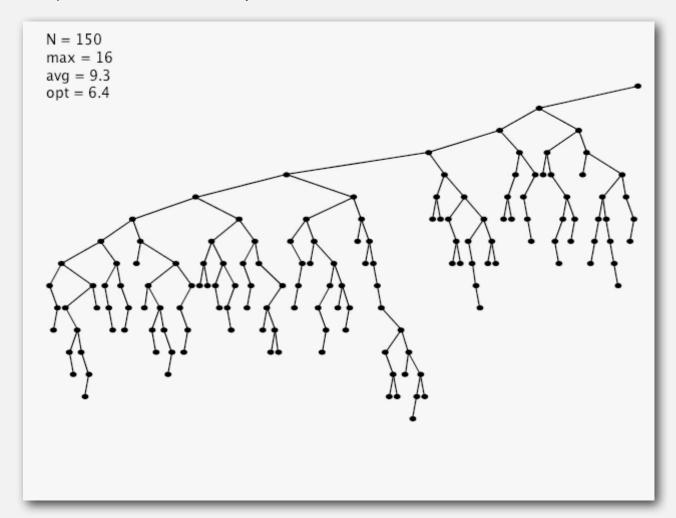
← still a BST



```
public void delete(Key key)
{ root = delete(root, key); }
private Node delete(Node x, Key key) {
   if (x == null) return null;
   int cmp = key.compareTo(x.key);
   if
            (cmp < 0) x.left = delete(x.left, key);</pre>
                                                                  search for key
   else if (cmp > 0) x.right = delete(x.right, key);
   else {
                                                                  no right child
      if (x.right == null) return x.left;
      Node t = x;
      x = min(t.right);
                                                                  replace with
      x.right = deleteMin(t.right);
                                                                  successor
      x.left = t.left;
                                                                 update subtree
   x.N = size(x.left) + size(x.right) + 1;
                                                                    counts
   return x;
```

Hibbard deletion: analysis

Unsatisfactory solution. Not symmetric.



Surprising consequence. Trees not random (!) \Rightarrow sqrt (N) per op. Longstanding open problem. Simple and efficient delete for BSTs.

ST implementations: summary

implementation	guarantee			average case			ordered	operations
	search	insert	delete	search hit	insert	delete	iteration?	on keys
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binary search (ordered array)	lg N	N	N	lg N	N/2	N/2	yes	compareTo()
BST	N	N	N	1.39 lg N	1.39 lg N	√N	yes	compareTo()

other operations also become \sqrt{N} if deletions allowed

Next lecture. Guarantee logarithmic performance for all operations.