



Norwegian University of
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Compiler Construction

Lecture 6: Top-down parsing and LL(1) parser construction

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**Includes material by
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Overview

- Ambiguity of grammars revisited
- Elimination of left recursion
- Top-down parsing
 - Recursive descent parsers: structure and implementation
 - Table-driven LL(1) parsers
 - Table generation

Ambiguity of grammars

- For the compiler, it is important that each sentence in the language defined by a context-free grammar has a **unique** rightmost (or leftmost) **derivation**
- A grammar in which multiple rightmost (or leftmost) derivations exist for a sentence is called an **ambiguous grammar**
 - it can produce multiple derivations and multiple parse trees
- Multiple parse trees imply **multiple possible meanings for a single program!** ⚡

Ambiguity of grammars: example

"*dangling else*"-
problem in
ALGOL-like
languages
(e.g. PASCAL)

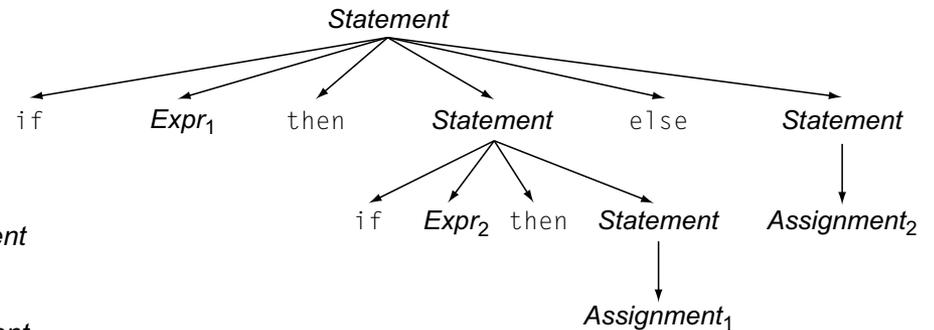
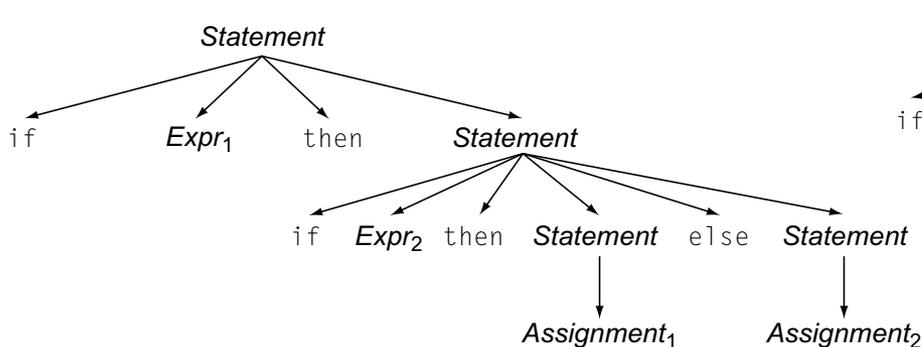
```
1 Statement → if Expr then Statement else Statement
2           | if Expr then Statement
3           | Assignment
4           | ...other statements...
```

"else" part is optional

This statement

```
if Expr1 then if Expr2 then Assignment1 else Assignment2
```

has two distinct rightmost derivations with different behaviors:



Removing ambiguity

We can modify the grammar to include a rule that determined which **if** controls an **else**:

```
1 Statement → if Expr then Statement
2           | if Expr then WithElse else Statement
3           | Assignment
4 WithElse  → if Expr then WithElse else WithElse
5           | Assignment
```

This solution restricts the set of statements that can occur in the **then** part of an **if-then-else** construct

- It **accepts the same set of sentences** as the original grammar
- but ensures that each else has an unambiguous match to a specific if

Removing ambiguity: example

The modified grammar has only one rightmost derivation for the example

```

1 Statement → if Expr then Statement
2           | if Expr then WithElse else Statement
3           | Assignment
4 WithElse → if Expr then WithElse else WithElse
5           | Assignment
    
```

`if Expr1 then if Expr2 then Assignment1 else Assignment2`

Rule	Sentential form
	<i>Statement</i>
1	<code>if Expr then Statement</code>
2	<code>if Expr then if Expr then WithElse else Statement</code>
3	<code>if Expr then if Expr then WithElse else Assignment</code>
5	<code>if Expr then if Expr then Assignment else Assignment</code>

Order of derivations

Rightmost:

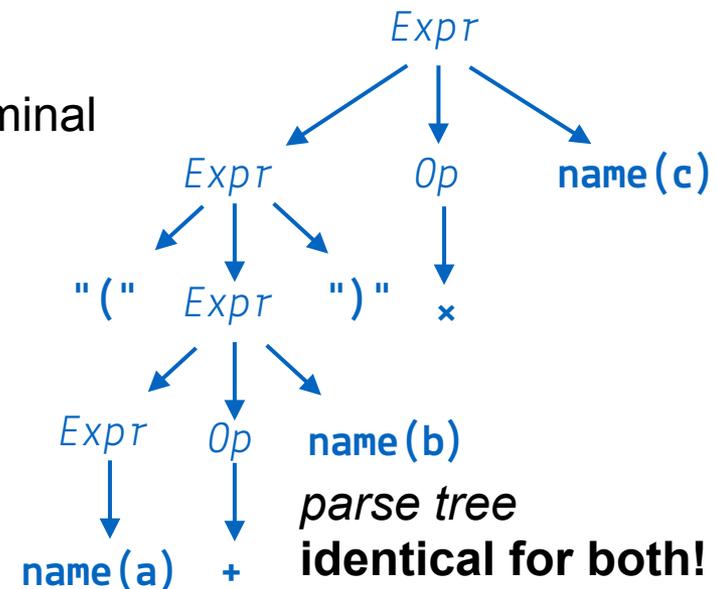
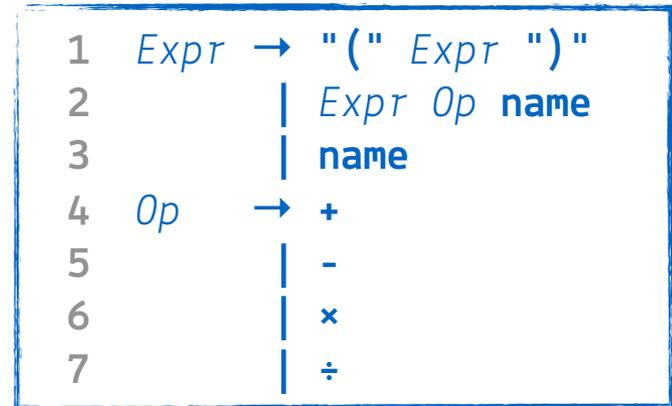
rewrite, at each step, the rightmost nonterminal

Rule	Sentential form
	<i>Expr</i>
2	<i>Expr Op name</i>
6	<i>Expr × name</i>
1	"(" <i>Expr</i> ")" × <i>name</i>
2	"(" <i>Expr Op name</i> ")" × <i>name</i>
4	"(" <i>Expr + name</i> ")" × <i>name</i>
3	"(" <i>name + name</i> ")" × <i>name</i>

Leftmost:

rewrite, at each step, the leftmost nonterminal

Rule	Sentential form
	<i>Expr</i>
2	<i>Expr Op name</i>
1	"(" <i>Expr</i> ")" <i>Op name</i>
2	"(" <i>Expr Op name</i> ")" <i>Op name</i>
3	"(" <i>name Op name</i> ")" <i>Op name</i>
4	"(" <i>name + name</i> ")" <i>Op name</i>
6	"(" <i>name + name</i> ")" × <i>name</i>



Left factoring

- Parsers (and scanners) only have a limited *lookahead* to upcoming tokens

- Example: given a production

$$A \rightarrow \mathbf{abcdef} X \mathbf{gh} \mid \mathbf{abcdef} Y \mathbf{gh}$$

the parser is unable to choose between the two productions if it can only look one character ahead

- As with NFA→DFA conversion, we can make this approach work if we can postpone the decision until it makes a difference
 - Rewriting the grammar as

$$A \rightarrow \mathbf{abcdef} A'$$

$$A' \rightarrow X \mathbf{gh} \mid Y \mathbf{gh}$$

preserves the language by adding one production to collect a common prefix shared by several other productions

Left recursion

- Let's consider this grammar for a list of 'a's:

$$A \rightarrow Aa \mid a$$

which derives the following words:

$$A \rightarrow a$$
$$A \rightarrow Aa \rightarrow aa$$
$$A \rightarrow Aa \rightarrow Aaa \rightarrow aaa$$

...

- The production $A \rightarrow Aa$ is **left recursive**, the head (nonterminal symbol) always appears on the left side of the production

An equivalent grammar

- The same sequences can be generated by this grammar:

$$A \rightarrow aA'$$

$$A' \rightarrow aA' \mid \epsilon$$

the empty string ϵ
returns from the
production

It derives the following words:

$$A \rightarrow a$$

$$A \rightarrow aA' \rightarrow aaA' \rightarrow aa$$

$$A \rightarrow aA' \rightarrow aaA' \rightarrow aaaA' \rightarrow aaa$$

...

Eliminating left recursion

- If a nonterminal has m productions that are left recursive and n productions that are not

$$A \rightarrow A\alpha_1 \mid A\alpha_2 \mid A\alpha_3 \mid \dots \mid A\alpha_m$$

$$A \rightarrow \beta_1 \mid \beta_2 \mid \beta_3 \mid \dots \mid \beta_n$$

greek letters (except ε) stand for arbitrary combinations of other (non-)terminals

we can introduce A' and rewrite the productions as (see [1]):

$$A \rightarrow \beta_1 A' \mid \beta_2 A' \mid \beta_3 A' \mid \dots \mid \beta_n A'$$

$$A' \rightarrow \alpha_1 A' \mid \alpha_2 A' \mid \alpha_3 A' \mid \dots \mid \alpha_m A' \mid \varepsilon$$

- This generates the same language and removes (immediate) left recursion
 - “Immediate” because left recursion can also happen in several steps (indirectly), e.g. in the following productions

$$A \rightarrow Bx \text{ and } B \rightarrow Ay \text{ result in } A \rightarrow Bx \rightarrow Ayx$$

Here, A again shows up on the left when derived from A

What can we do with CFGs now?

- So far, we have encountered (see also [2])
 - Context-Free Grammars, their derivations and syntax trees
 - Ambiguous grammars, and mentioned that there's no single, true way to disambiguate them (it depends on what we want them to stand for)
 - Left factoring, which always shortens the distance to the next nonterminal
 - Left recursion elimination, which always shifts a nonterminal to the right

Recursive descent parsing

- Example: grammar that models "if" and "while" statements:

$$\begin{aligned}
 P &\rightarrow \text{if } COND \text{ then } STATEMENT \text{ end} \\
 &\quad | \text{if } COND \text{ then } STATEMENT \text{ else } STATEMENT \text{ end} \\
 &\quad | \text{while } COND \text{ do } STATEMENT \text{ end}
 \end{aligned}$$

- Let's make it a bit simpler:

$$\begin{aligned}
 P &\rightarrow \text{ictSz} \mid \text{ictSeSz} \mid \text{wCdSz} \\
 C &\rightarrow \text{c} \\
 S &\rightarrow \text{s}
 \end{aligned}$$

- Let us parse the string "ictsesz"
- A top-down parser begins at the **start symbol** P and chooses a production:

$$\begin{array}{c}
 P \\
 \downarrow \\
 ???
 \end{array}$$

Recursive descent: what next?

- If we can only look ahead by one token and read an "i", we can choose between two productions:

$$P \rightarrow iCtSz$$

$$| iCtSeSz$$

- We cannot make this choice before seeing more of the token stream
- Left factoring makes this problem decidable with only one character of lookahead
- It generates the following grammar:

$$P \rightarrow iCtSP' \mid wCdSz$$

$$P' \rightarrow z \mid eSz$$

$$C \rightarrow c$$

$$S \rightarrow s$$

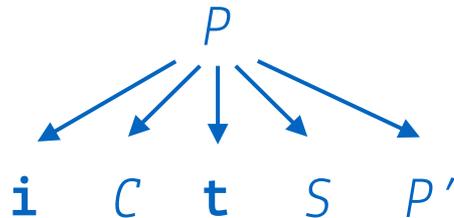
Recursive descent: what next?

- Now we only have one production to choose from when reading an "i":

$$P \rightarrow \mathbf{i}CtSP'$$

$$\begin{aligned} P &\rightarrow \mathbf{i}CtSP' \mid \mathbf{wCdSz} \\ P' &\rightarrow \mathbf{z} \mid \mathbf{eSz} \\ C &\rightarrow \mathbf{c} \\ S &\rightarrow \mathbf{s} \end{aligned}$$

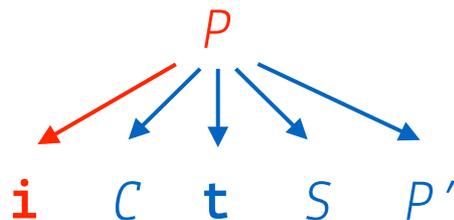
- and we can generate the *parse tree* equivalent to the derivation:



Recursive descent: going down...

- Recursive descent implies that we follow the children of the current parse tree node down to the leaves (which must be terminal symbols)
- So let's see if we can parse "ictsesz"
- We follow the tree from P to its first child:

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		



- we have an "i" as lookahead
 \Rightarrow *matches the first production for P !*
- Now, the remaining token stream is "ctsesz"

The input token sequence:

ictsesz

↑

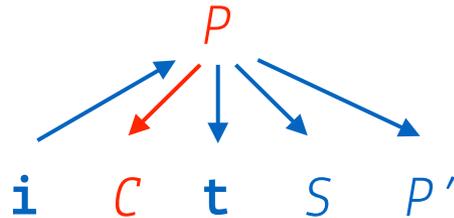


the arrow indicates the parser's position in the token stream

Backtrack and repeat

- we have an "i" as lookahead \Rightarrow **match!**
- Now, the remaining token stream is "ctsesz"
 - We return (backtrack) to P to continue parsing:

P	\rightarrow	i C t SP'		w C d S z
P'	\rightarrow	z		e S z
C	\rightarrow	c		
S	\rightarrow	s		



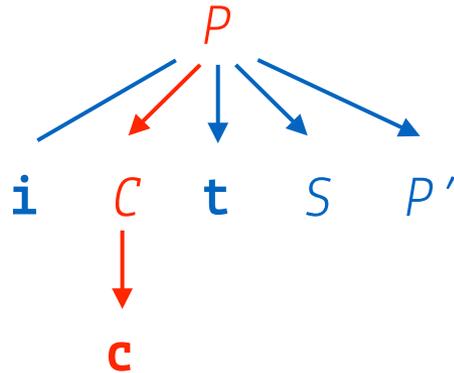
The input token sequence:
i c t s e z
 ↑

- This gives us the nonterminal C
- A nonterminal cannot match any token, so we need to pick another production

Pick the next production

- There is only one choice to expand C
 - When going from P to C in the previous step, we did not consume a token
- The lookahead is now c
 - Pick production $C \rightarrow c$ and expand the tree:

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		



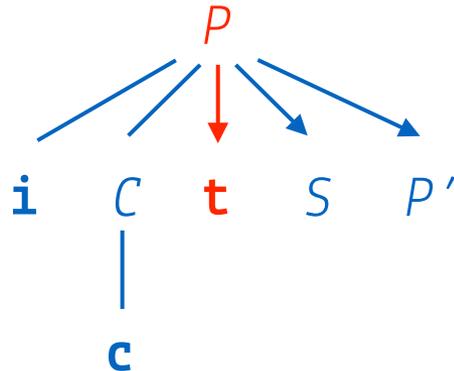
The input token sequence:
i c t s e s z
 ↑

- we have a "c" as lookahead \Rightarrow "tsez"

The next terminal symbol

- The next terminal symbol in P is t
- The lookahead is also t
 - Consume the token and expand the tree once more:

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		



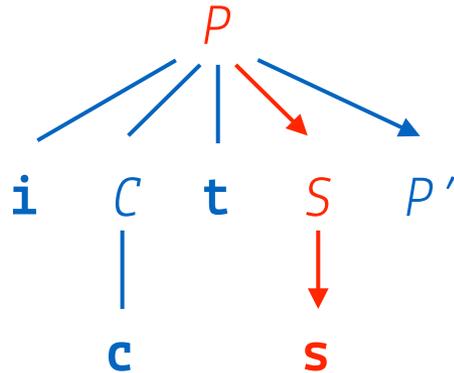
The input token sequence:
ic tsesz
 ↑

- remaining token stream: "**sesz**"

The next nonterminal symbol S

- The next nonterminal in the first production is S , so we apply its production
- The lookahead is now s
 - This matches the pattern derived from S , so we can expand the tree again:

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		



The input token sequence:
ict **esz**
 ↑

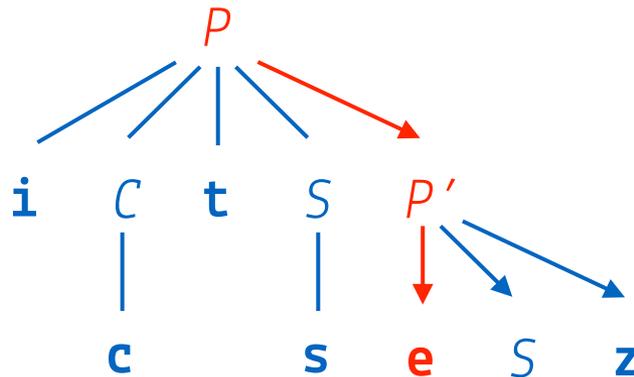
- remaining token stream: "**esz**"

The next nonterminal symbol S

- The final nonterminal in the first production is P'
- Now we have to choose between:
 $P' \rightarrow z$ and $P' \rightarrow eSz$

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		

We can now choose the right production using only one token of lookahead!



The input token sequence:
ictsesz
 ↑

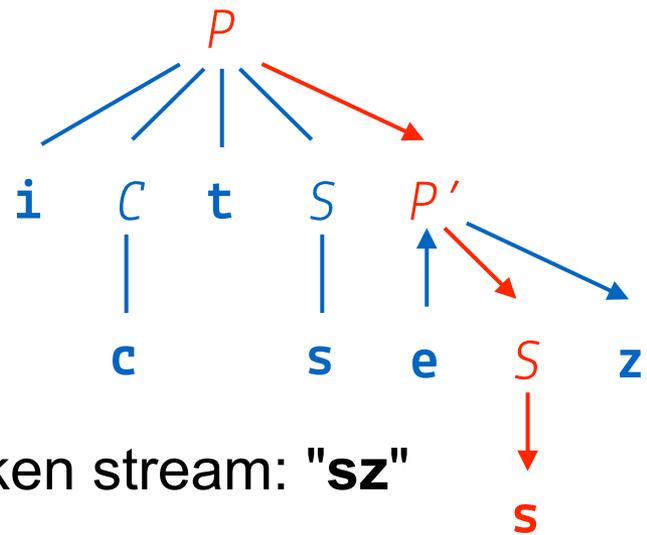
- remaining token stream: **"sz"**

The final steps

- The remaining steps are similar to ones we have already seen
- Take the next nonterminal symbol S and match the input to production $S \rightarrow s$

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		

We can again choose the right production using only one symbol of lookahead!



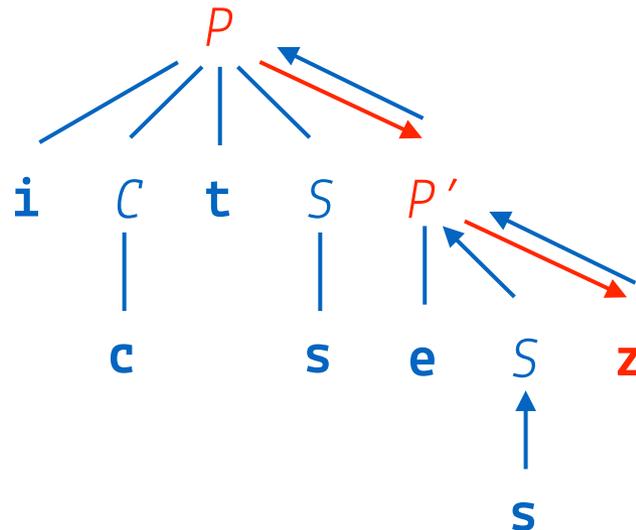
The input token sequence:
ictse sz
 ↑

- remaining token stream: "**sz**"

Validated!

- The remaining nonterminal in the production $P' \rightarrow eSz$ is z
- This matches the remaining input token
→ **we backtrack and find no further children**
→ **we are able to match all characters, thus the input matches our grammar**

P	\rightarrow	$iCtSP'$	$ $	$wCdSz$
P'	\rightarrow	z	$ $	eSz
C	\rightarrow	c		
S	\rightarrow	s		



The input token sequence:
ictses z \rightarrow **ictsesz**



Top-down parsing summarized

- Predictive parsing by recursive descent:
 - Start from the start symbol (top)
 - Verify terminals
 - Pick a unique production for nonterminals based on the lookahead
 - Expand the syntax tree by productions and recursively treat the new subtree in the same way
- This requires that the grammar is suitable, but we can adapt them somewhat
 - Left factor where a common lookahead prevents picking the right production
 - Eliminate left-recursive productions
 - We only saw left factoring in action so far, but let's do one other grammar

LL(1) parsing:

- scan from Left to right
- use Leftmost derivation
- 1 symbol lookahead

Implementing recursive descent

- Recursive descent parsers can easily be implemented by hand
- Example: parsing $A = aAc \mid b$
- We can naively try to implement the parser like this:

```
symbol sym;  
...  
sym = next();  
if (sym == 'a') {  
    sym = next();  
    if (sym == A) { sym = next(); } else { error(); }  
    if (sym == 'c') { sym = next(); } else { error(); }  
}  
else  
if (sym == 'b') { sym = next(); } else { error(); }
```

Wait... will
this work?

next() is the interface
to the scanner!

$A = aAc$
|
 b

Correct implementation

- Example: parsing $A = aAc \mid b$
- Whenever we encounter a *nonterminal* such as A we have to parse its *production*!
- Let us implement the parser as a function:

```

symbol sym;
...
void A(void) {
    if (sym == 'a') {
        sym = next();
        A();
        if (sym == 'c') { sym = next(); } else { error(); }
    }
    else
        if (sym == 'b') { sym = next(); } else { error(); }
}

```

Recursively calling the parser for A allows to parse arbitrarily nested inputs!

$A = aAc$
|
 b

Some more implementation hints (not in C) can be found in [3]

Table-driven parsing

- As with scanners, coding a recursive descent parser for a complex language is lots of work and error prone
- Idea: use tables to configure the parser
 - parser makes decisions based on indexing (nonterminal, terminal) pairs and finds a single production
- To make that table, it's a good idea to determine
 - What can the strings derived from a nonterminal begin with?
 - Which nonterminals can vanish, so that the lookahead symbol is actually part of the *next* production to choose?
 - What can come directly after a nonterminal that can vanish?
(where 'vanish' means that there is a production $X \rightarrow \epsilon$, so that nonterminal X disappears from the intermediate form in the derivation without consuming any characters from the input token stream)

Another example grammar

$$\begin{array}{l} S \rightarrow u B D z \\ B \rightarrow B v \mid w \\ D \rightarrow E F \\ E \rightarrow y \mid \varepsilon \\ F \rightarrow x \mid \varepsilon \end{array}$$

It doesn't model anything in particular, it's just a useful example

FIRST

- The set $\text{FIRST}(\alpha)$ is the set of terminals that can appear to the left in α
 - α is any combination of terminals and nonterminals
- If we tabulate FIRST for all the heads in the grammar, we obtain
 - $\text{FIRST}(S) = \{u\}$ – u begins the only production
 - $\text{FIRST}(B) = \{w\}$ – however many times $B \rightarrow Bv$ is taken, w appears on the left in the end
 - $\text{FIRST}(E) = \{y\}$ – only production that derives any terminal
 - $\text{FIRST}(F) = \{x\}$ – ditto
 - $\text{FIRST}(D) = \{y, x\}$
 - y because $D \rightarrow EF \rightarrow yF$
 - x because $D \rightarrow EF \rightarrow F \rightarrow x$ (E can disappear by $E \rightarrow \epsilon$)

S	\rightarrow	u	B	D	z
B	\rightarrow	B	v		w
D	\rightarrow	E	F		
E	\rightarrow	y		ϵ	
F	\rightarrow	x		ϵ	

FOLLOW

Syntax
analysis

- FOLLOW (N) for a nonterminal N is the set of terminals that can appear directly to its right
 - In order to find these, you have to examine all the places N appears in production bodies, and find the terminals directly to its right
 - If it has a nonterminal on its right, you have to follow all its productions too, and find out what can come up instead of it
 - That will be its FIRST set
 - If it has a nonterminal that can vanish to its right, you have to look at what comes afterwards...
 - ...and in general, collect all the terminals that can appear to the right in one way or another
- This is a little trickier than FIRST, but it can be done manually
 - See fig. 3.8, p. 106 in [4] for an algorithm to compute FOLLOW

S	\rightarrow	u	B	D	z
B	\rightarrow	B	v		w
D	\rightarrow	E	F		
E	\rightarrow	y			ϵ
F	\rightarrow	x			ϵ

FOLLOW for our grammar

Syntax
analysis

- $\text{FOLLOW}(S) = \{\$ \}$ (the end of input)
- $\text{FOLLOW}(B) = \{v, x, y, z\}$ taken from the derivations
 - $S \rightarrow uBDz \rightarrow uBvDz$
 - $S \rightarrow uBDz \rightarrow uBEFz \rightarrow uBFz \rightarrow uBxz$
 - $S \rightarrow uBDz \rightarrow uBEFz \rightarrow uByFz$
 - $S \rightarrow uBDz \rightarrow uBEFz \rightarrow uBFz \rightarrow uBz$
- $\text{FOLLOW}(D) = \{z\}$ (from $S \rightarrow uBDz$)
- $\text{FOLLOW}(E) = \{x, z\}$ taken from the derivations
 - $S \rightarrow uBDz \rightarrow uBEFz \rightarrow uBExz$
 - $S \rightarrow uBDz \rightarrow uBEFz \rightarrow uBEz$
- $\text{FOLLOW}(F) = \{z\}$ – from $S \rightarrow uBDz \rightarrow uBEFz$

S	\rightarrow	u	B	D	z
B	\rightarrow	B	v		w
D	\rightarrow	E	F		
E	\rightarrow	y		ϵ	
F	\rightarrow	x		ϵ	

Nullability

- A nonterminal is **nullable** if it can produce the empty string (in any number of steps)
 - Here, the notation might be different between various textbooks
 - E.g., the Aho/Ullman/Seti/Lam "Dragon book" [5] (one of the standard compiler textbooks) denotes this by putting ϵ in the FIRST set
 - We denote it by keeping a separate record
- To summarize,
 - nullable (S) = no – there are terminals in the only production
 - nullable (B) = no – there are terminals in both productions
 - nullable (E) = yes – it produces $E \rightarrow \epsilon$
 - nullable (F) = yes – it produces $F \rightarrow \epsilon$
 - nullable (D) = yes – $D \rightarrow EF \rightarrow F \rightarrow \epsilon$

S	\rightarrow	u	B	D	z
B	\rightarrow	B	v		w
D	\rightarrow	E	F		
E	\rightarrow	y		ϵ	
F	\rightarrow	x		ϵ	

Building the parsing table

- Obtain the FIRST and FOLLOW sets and nullable information for your grammar
- Consider every production $X \rightarrow \alpha$ in the grammar, and apply two rules
 - Enter the production $X \rightarrow \alpha$ at (X, t) where t is in $\text{FIRST}(\alpha)$
 - When $\alpha \rightarrow^* \epsilon$, enter the production $X \rightarrow \alpha$ at (X, t) where t is in $\text{FOLLOW}(X)$

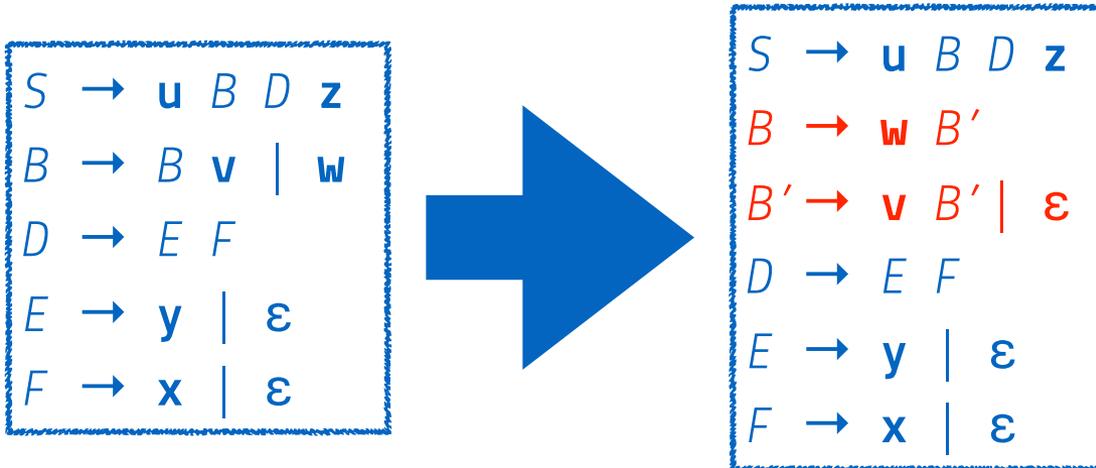
Oops, a left recursion!

This will not work, expanding B on lookahead 'w' requires a choice the parser cannot make

	u	w	v	x	y	z
S	$S \rightarrow uBDz$					
B		$B \rightarrow w$ $B \rightarrow Bv$				
D				$D \rightarrow EF$	$D \rightarrow EF$	
E					$E \rightarrow y$	
F				$F \rightarrow x$		

Fix the grammar

- Eliminating left recursion gives us



- Update the FIRST, FOLLOW, nullable sets after the change:
 - $\text{FIRST}(B) = \{w\}$, $\text{FOLLOW}(B) = \{x, y, z\}$, $\text{nullable}(B) = \text{no}$
 - $\text{FIRST}(B') = \{v\}$, $\text{FOLLOW}(B') = \{x, y, z\}$, $\text{nullable}(B') = \text{yes}$

This is better... after rule 1

	u	w	v	x	y	z
S	$S \rightarrow uBDz$					
B		$B \rightarrow wB'$				
B'			$B' \rightarrow vB'$			
D				$D \rightarrow EF$	$D \rightarrow EF$	
E					$E \rightarrow y$	
F				$F \rightarrow x$		

Now apply rule 2

Where nonterminal symbols are *nullable*, insert at FOLLOW

	u	w	v	x	y	z
S	$S \rightarrow uBDz$					
B		$B \rightarrow wB'$				
B'			$B' \rightarrow vB'$	$B' \rightarrow \epsilon$	$B' \rightarrow \epsilon$	$B' \rightarrow \epsilon$
D				$D \rightarrow EF$	$D \rightarrow EF$	$D \rightarrow EF$
E				$E \rightarrow \epsilon$	$E \rightarrow y$	$E \rightarrow \epsilon$
F				$F \rightarrow x$		$F \rightarrow \epsilon$

Result: a LL(1) parse table

- There is only one rule to choose from given a combination (NT, T) of a nonterminal and a terminal symbol
- Thus, the parse tree can be built deterministically by following the method from the first example
 - Pick productions for NTs by looking them up in the table
 - Encountering a combination without production \Rightarrow error
- The LL(1) parse table can, of course, also be constructed by an algorithm that processes (parses) the input grammar
 - See [4], fig. 3.12, p. 113
(note: the book adds the set FIRST⁺ to simplify notation)
- This is the first step to create a ***parser generator*** (also called ***compiler compiler***)

So far, so good...

- Most programming language constructs can be expressed in a backtrack-free grammar
- Predictive parsers for these are simple, compact, and efficient
 - They can be implemented in a number of ways, including hand-coded, recursive descent parsers and generated LL(1) parsers, either table driven or direct coded
- The primary drawback of top-down, predictive parsers lies in their inability to handle left recursion
 - Left-recursive grammars model the left-to-right associativity of expression operators in a more natural way than right-recursive grammars
- What lies ahead?
 - More parsing: bottom up – LR(1) parsers
 - These are the basis for many parser generators, e.g. yacc/bison

References

- [1] A.V. Aho, S.C. Johnson, J.D. Ullman:
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- [2] D.J. Rosenkrantz, R.E. Stearns:
Properties of Deterministic Top Down Grammars
Information and Control. 17 (3): 226–256, 1970. doi:10.1016/s0019-9958(70)90446-8
- [3] Niklaus Wirth:
Compiler Construction
Original version: Addison-Wesley 1996, ISBN 0-201-40353-6
Revised edition 2017 freely available at
<https://inf.ethz.ch/personal/wirth/CompilerConstruction/index.html>
– in this small book of a bit more than 100 pages, Wirth explains the design and implementation of a small compiler for a subset of the Oberon language. This book is rather implementation-oriented, so don't expect too much theoretical detail
- [4] Keith Cooper and Linda Torczon:
Engineering a Compiler (second Edition)
ISBN 9780120884780 (hardcover), 9780080916613 (ebook)
- [5] Alfred Aho, Monica S. Lam, Ravi Sethi, Jeffrey Ullman:
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