Lecture 18:

Fine-grained synchronization & lock-free programming

Parallel Computer Architecture and Programming CMU 15-418/15-618, Spring 2019

Today's Topics

- Fine-grained Synchronization
- Fine-grained Locking
- Lock-free Programming

Locking Problem

- Locks can be big and expensive
 - How many atomic operations does one lock require?
 - How much data requires one lock?

Recall CUDA 7 atomic operations

```
int
      atomicAdd(int* address, int val);
float atomicAdd(float* address, float val);
int
     atomicSub(int* address, int val);
int
    atomicExch(int* address, int val);
float atomicExch(float* address, float val);
int
     atomicMin(int* address, int val);
int
     atomicMax(int* address, int val);
unsigned int atomicInc(unsigned int* address, unsigned int val);
unsigned int atomicDec(unsigned int* address, unsigned int val);
int
     atomicCAS(int* address, int compare, int val);
int
     atomicAnd(int* address, int val); // bitwise
int
     atomicOr(int* address, int val); // bitwise
     atomicXor(int* address, int val); // bitwise
int
```

(omitting additional 64 bit and unsigned int versions)

GCC atomic built-in functions

```
type __sync_fetch_and_add (type *ptr, type value, ...)
type __sync_fetch_and_sub (type *ptr, type value, ...)
type __sync_fetch_and_or (type *ptr, type value, ...)
type __sync_fetch_and_and (type *ptr, type value, ...)
type __sync_fetch_and_xor (type *ptr, type value, ...)
type __sync_fetch_and_nand (type *ptr, type value, ...)
type sync add and fetch (type *ptr, type value, ...)
type __sync_sub_and_fetch (type *ptr, type value, ...)
type __sync_or_and_fetch (type *ptr, type value, ...)
type __sync_and_and_fetch (type *ptr, type value, ...)
type sync xor and fetch (type *ptr, type value, ...)
type __sync_nand_and_fetch (type *ptr, type value, ...)
type can be (unsigned) char, int, or long
```

Recall: Atomic Increment in GCC / x86

- Direct hardware implementation
- No need for a loop
- Fetch-and-subtract also implemented with xadd

Implementing atomic fetch-and-op

```
// atomicCAS:
// atomic compare and swap performs this logic atomically
int atomicCAS(int* addr, int compare, int val) {
   int old = *addr;
   if (old == compare)
       *addr = val;
   return old;
}
```

- Exercise: how can you build an atomic fetch+op out of atomicCAS()?
 - try: atomic_fetch_and_min()

```
int atomic_fetch_and_min(int* addr, int x) {
   int old, new;
   do {
      old = *addr;
      new = min(old, x);
   } while (atomicCAS(addr, old, new) != old);
   return old;
}
```

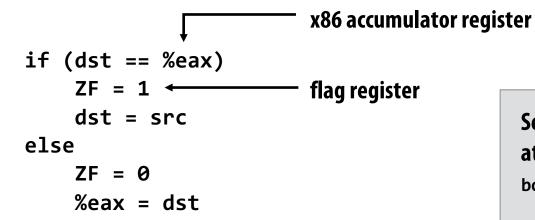
x86 cmpxchg

Compare and exchange (atomic when used with lock prefix)

lock cmpxchg src, dst

the state of the stat

lock prefix (makes operation atomic)



Self-check: Can you implement ASM for atomic compare-and-swap using cmpxchg?

```
bool compare_and_swap(int* x, a, b) {
   if (*x == a) {
        *x = b;
        return true;
    }
   return false;
}
```

Other Atomic Ops in GCC / x86

```
type __sync_fetch_and_xor (type *ptr, type value)
    type __sync_xor_and_fetch (type *ptr, type value)
  int fxor(int *addr, int x) {
      return sync fetch and xor(addr, x);
mov (%rdi),%eax
 20:
    8b 07
                                              # old = *addr
 22: 41 89 c0
                         mov %eax,%r8d
                                            # loop: t = old
 25: 89 c1
                         mov %eax,%ecx
                                              \# r = old
 27: 41 31 f0
                              %esi,%r8d # new = old^x
                         xor
                   # if *addr==t then *addr = new else old = *addr
                         lock cmpxchg %r8d,(%rdi)
 2a: f0 44 0f b1 07
 2f: 75 f1
                               22 <fxor+0x2>
                                              # Goto loop if failed
                         jne
 31: 89 c8
                              %ecx,%eax
                                              # Return r
                         mov
 33:
    с3
                         reta
```

- Uses atomicCAS
- Requires loop
- Other bit-level ops are similar

C++ 11 atomic<T>

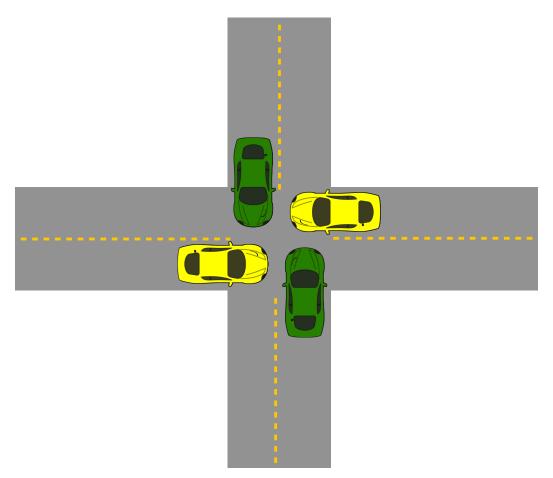
- Provides atomic read, write, read-modify-write of entire objects
 - Atomicity may be implemented by mutex or efficiently by processor-supported atomic instructions (if T is a basic type)
- Provides memory ordering semantics for operations before and after atomic operations
 - By default: sequential consistency
 - See std::memory order or more detail

Will be useful if implementing the lock-free programming ideas in C++

How are the operations atomic?

- x86 Lock prefix
 - If the memory location is cached, then the cache retains that location until the operation completes
 - If not:
 - With bus: the processor uses the lock signal and holds the bus until the operation completes
 - With directories: the processor (probably) NACKs any request for the cache line until the operation completes

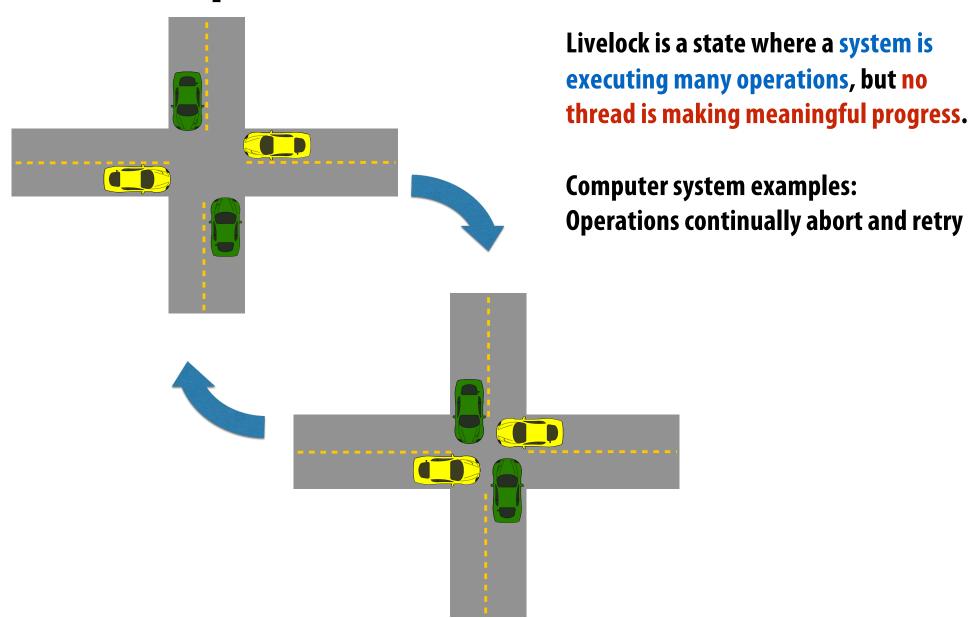
Atomic Operations: Deadlock?



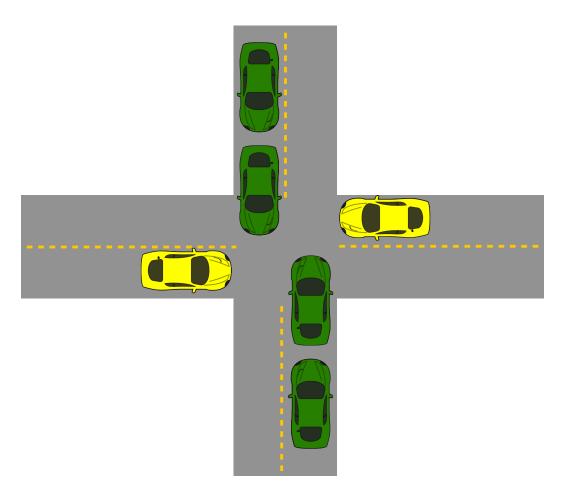
Deadlock is a state where a system has outstanding operations to complete, but no operation can make progress.

Can arise when each operation has acquired a <u>shared resource</u> that another operation needs.

Atomic Operations: Livelock?



Atomic Operations: Starvation/Unfairness



State where a system is making overall progress, but some processes make no progress.

(green cars make progress, but yellow cars are stopped)

In this example: assume traffic moving left/right (yellow cars) must yield to traffic moving up/down (green cars)

Locking more than one location

- Data structures are often larger than a single memory location
 - How can an entire data structure be protected?
 E.g. 15213 Proxylab cache

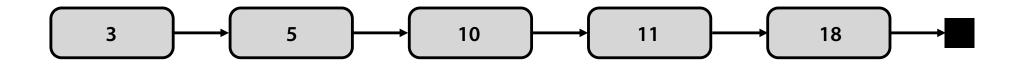
Example: a sorted linked list

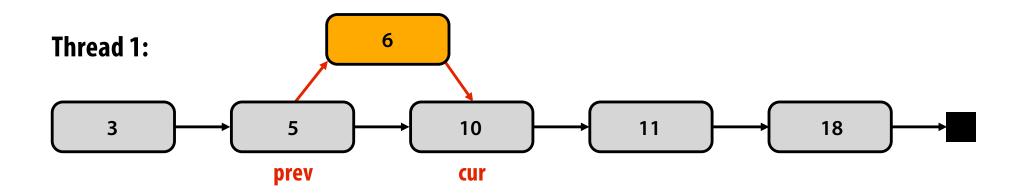
```
What can go wrong if multiple threads
struct Node {
                         struct List {
   int value;
                          Node* head;
                                                       operate on the linked list simultaneously?
   Node* next;
};
void insert(List* list, int value) {
                                                      void delete(List* list, int value) {
  Node* n = new Node;
                                                         // assume case of deleting first element is
                                                          // handled here (to keep slide simple)
   n->value = value;
  // assume case of inserting before head of
                                                          Node* prev = list->head;
                                                          Node* cur = list->head->next;
  // of list is handled here (to keep slide simple)
   Node* prev = list->head;
                                                          while (cur) {
                                                           if (cur->value == value) {
  Node* cur = list->head->next;
                                                              prev->next = cur->next; // Deletion
  while (cur) {
                                                             delete cur;
     if (cur->value > value)
                                                              return;
       break;
     prev = cur;
                                                           prev = cur;
     cur = cur->next;
                                                           cur = cur->next;
   n->next = cur;
   prev->next = n; // Insertion
}
```

Example: simultaneous insertion

Thread 1 attempts to insert 6

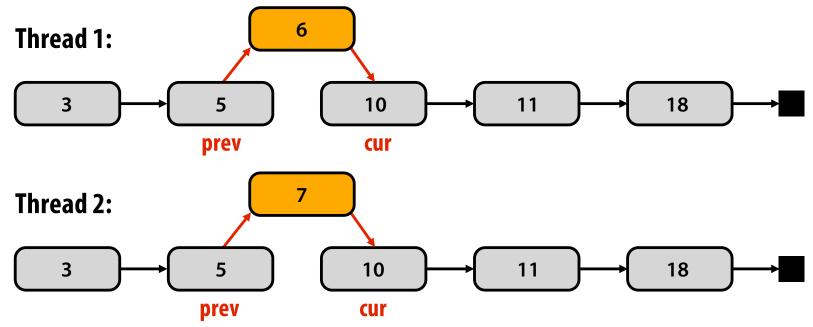
Thread 2 attempts to insert 7





Example: simultaneous insertion

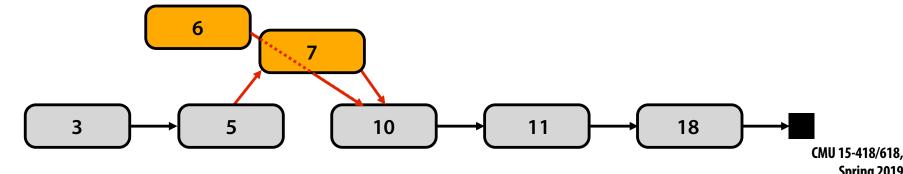
Thread 1 attempts to insert 6 Thread 2 attempts to insert 7



Thread 1 and thread 2 both compute same prev and cur. Result: one of the insertions gets lost!

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Result: (assuming thread 1 updates prev->next before thread 2)



Solution 1: protect the list with a single lock

```
struct List {
struct Node {
                            Node* head;
   int value;
                                                                          Per-list lock
   Node* next;
                            Lock lock;
};
                          };
void insert(List* list, int value) {
                                                        void delete(List* list, int value) {
                                                           lock(list->lock);
  Node* n = new Node;
  n->value = value;
                                                           // assume case of deleting first element is
  lock(list->lock);
                                                           // handled here (to keep slide simple)
                                                           Node* prev = list->head;
  // assume case of inserting before head of
                                                           Node* cur = list->head->next;
   // of list is handled here (to keep slide simple)
  Node* prev = list->head;
                                                           while (cur) {
                                                             if (cur->value == value) {
  Node* cur = list->head->next:
                                                               prev->next = cur->next;
                                                               delete cur;
  while (cur) {
                                                               unlock(list->lock);
    if (cur->value > value)
                                                               return;
       break;
     prev = cur;
     cur = cur->next;
                                                             prev = cur;
   }
                                                             cur = cur->next;
   n->next = cur;
                                                           unlock(list->lock);
  prev->next = n;
   unlock(list->lock);
```

Single global lock per data structure

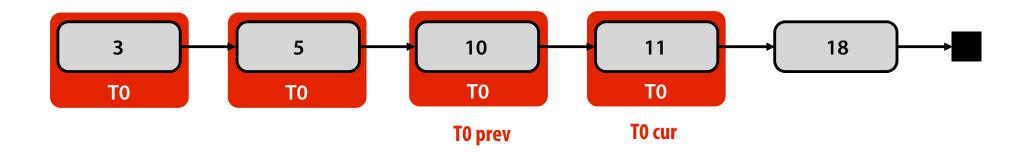
Good:

 It is relatively simple to implement correct mutual exclusion for data structure operations (we just did it!)

Bad:

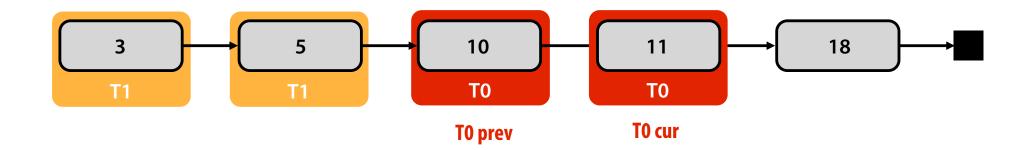
- Operations on the data structure are serialized
- May limit parallel application performance

Thread 0: delete(11)



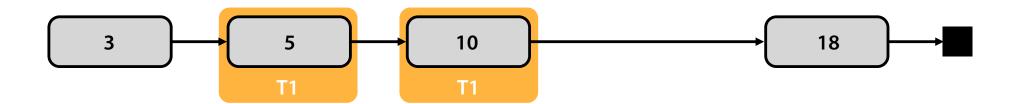
Thread 0: delete(11)

Thread 1: delete(10)



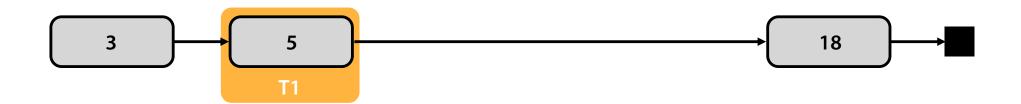
Thread 0: delete(11)

Thread 1: delete(10)

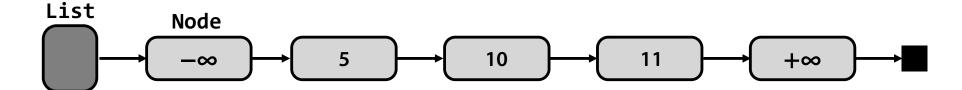


Thread 0: delete(11)

Thread 1: delete(10)



Version 2a: Padded List



Assume

- Only insert/delete finite values
- List starts with -∞
- List ends with $+\infty$
- Guaranteed to find insertion/deletion point within list

Solution 2a: Padded List HOH Locking

```
struct Node {
                                struct List {
   int value;
                                  Node* head;
   Node* next;
                                };
   Lock* lock:
};
void insert(List* list, int value) {
   Node* n = new Node;
   n->value = value;
   Node *prev, *cur, *old_prev;
   prev = list->head;
   lock(prev->lock);
   cur = prev->next;
   lock(cur->lock);
   while (value < cur->value) {
     // Holding locks on prev & cur
     old prev = prev;
     prev = cur;
     cur = cur->next;
     unlock(old_prev->lock);
     lock(cur->lock);
   n->next = cur;
   prev->next = n;
   unlock(prev->lock);
   unlock(cur->lock);
}
```

```
void delete(List* list, int value) {
  Node *prev, *cur, *old_prev;
  Node *del = NULL;
  prev = list->head;
  lock(prev->lock);
   cur = prev->next;
   lock(cur->lock);
   while (value < cur->value) {
    // Holding locks on prev & cur
    old prev = prev;
    prev = cur;
    cur = cur->next:
    unlock(old prev->lock);
    lock(cur->lock);
   if (value == cur->value) {
    // Found
    prev->next = cur->next;
    del = cur;
  unlock(prev->lock);
  unlock(cur->lock);
   if (del) delete del;
}
```

Solution 2b: Regular List HOH Locking

```
struct List {
struct Node {
   int value;
                                  Node* head:
                                  Lock* lock;
   Node* next;
   Lock* lock:
                                };
};
void insert(List* list, int value) {
                                                                    void delete(List* list, int value) {
   Node* n = new Node;
                                                                       // assume case of delete head handled here
   n->value = value;
                                                                       // (to keep slide simple)
   // assume case of insert before head handled
                                                                       Node* prev, *cur;
   // here (to keep slide simple)
                                                                        lock(list->lock);
   Node* prev, *cur;
                                                                        prev = list->head;
                                                                        lock(prev->lock);
   lock(list->lock): // Why do we need to lock entire list?
                                                                        cur = prev->next;
   prev = list->head;
   lock(prev->lock);
                                                                       unlock(list->lock):
   cur = prev->next;
                                                                        if (cur) lock(cur->lock)
   unlock(list->lock);
                                                                       while (cur) {// Holding locks on prev & cur
   if (cur) lock(cur->lock);
                                                                          if (cur->value == value) {
                                                                            prev->next = cur->next;
   while (cur) { // Holding locks on prev & cur
                                                                           unlock(prev->lock);
     if (cur->value > value)
                                                                           unlock(cur->lock);
        break:
                                                                           delete cur;
                                                                            return;
     Node* old prev = prev;
     prev = cur;
     cur = cur->next;
                                                                         Node* old prev = prev;
     unlock(old prev->lock);
                                                                         prev = cur;
     if (cur) lock(cur->lock);
                                                                          cur = cur->next:
                                                                         unlock(old prev->lock);
   }
                                                                         if (cur) lock(cur->lock);
   n->next = cur;
                                                                       unlock(prev->lock);
   prev->next = n;
   unlock(prev->lock);
   if (cur) unlock(cur->lock);
```

}

Fine-grained (HOH) Locking

Goal: enable parallelism in data structure operations

- Reduces contention for global data structure lock
- In previous linked-list example: a single monolithic lock is overly conservative (operations on different parts of the linked list can proceed in parallel)

Challenge: tricky to ensure correctness

- Determining when mutual exclusion is required
- Deadlock? (how do you immediately know the earlier linked-list code is deadlock free?)
- Livelock?

Costs?

- Overhead of taking a lock each traversal step (extra instructions + traversal now involves memory writes)
- Be sure to use spin locks!
- Extra storage cost (a lock per node)

Where Can HOH Locking (Possibly) Be Used?

- Acyclic data structures
 - Must be able to order lock acquistion/release
 - Singly linked list
 - E.g., hash table bucket chain
 - Binary search tree (very tricky)
 - Skip list
- Not for cyclic structures
 - E.g., doubly-linked list

Lock-free data structures

Blocking algorithms/data structures

 A blocking algorithm allows one thread to prevent other threads from completing operations on a shared data structure indefinitely

Example:

- Thread 0 takes a lock on a node in our linked list
- Thread 0 is swapped out by the OS, or crashes, or is just really slow (takes a page fault), etc.
- Now, no other threads can complete operations on the data structure (although thread 0 is not actively making progress modifying it)
- An algorithm that uses locks is blocking regardless of whether the lock <u>implementation</u> uses spinning or pre-emption

Lock-free algorithms

- Non-blocking algorithms are lock-free if <u>some</u> thread is guaranteed to make progress ("systemwide progress")
 - In lock-free case, it is not possible to preempt one of the threads at an inopportune time and prevent progress by rest of system
 - Note: this definition does not prevent starvation of any one thread

Single reader, single writer bounded queue *

```
// return false if queue is full
struct Queue {
                                         bool push(Queue* q, int value) {
  int data[N];
  unsigned head; // head of queue
                                            // queue is full if tail is element before head
  unsigned tail; // next free element
                                            if (q->head == MOD N(q->tail + 1))
};
                                              return false;
void init(Queue* q) {
                                            q.data[q->tail] = value;
                                            q->tail = MOD N(q->tail + 1);
   q->head = q->tail = 0;
                                            return true:
}
                                         }
                                         // returns false if queue is empty
                                         bool pop(Queue* q, int* value) {
                                            // if not empty
                                            if (q->head != q->tail) {
                                              *value = q->data[q->head];
                                              q->head = MOD N(q->head + 1);
                                              return true;
                                           return false;
```

- Only two threads (one producer, one consumer) accessing queue at the same time
- Threads never synchronize or wait on each other
 - When queue is empty (pop fails), when it is full (push fails)
 - What is special about operations on head & tail that avoids need for synchronization?

^{*} Assume a sequentially consistent memory system

Single reader, single writer unbounded queue *

Source: Dr. Dobbs Journal

```
struct Node {
  Node* next;
  int value;
};

struct Queue {
  Node* head;
  Node* tail;
  Node* reclaim;
};

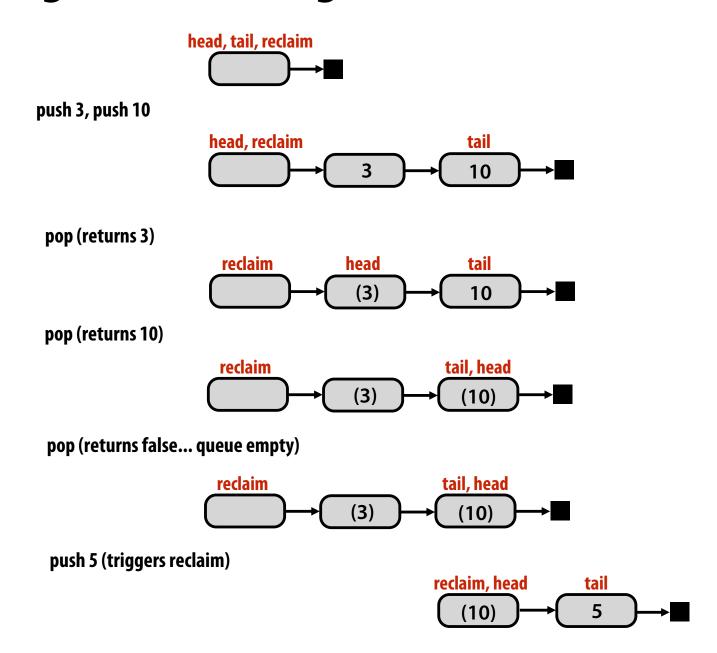
void init(Queue* q) {
  q->head = q->tail = q->reclaim = new Node;
}
```

```
void push(Queue* q, int value) {
   Node* n = new Node;
   n->next = NULL;
   n->value = value;
   q->tail->next = n;
   q->tail = q->tail->next;
   while (q->reclaim != q->head) {
      Node* tmp = q->reclaim;
      q->reclaim = q->reclaim->next;
      delete tmp;
}
// returns false if queue is empty
bool pop(Queue* q, int* value) {
   if (q->head != q->tail) {
     *value = q->head->next->value;
     q->head = q->head->next;
     return true;
   return false;
```

- Tail points to last element added
- Head points to element BEFORE head of queue
- Allocation and deletion performed by the same thread (producer)
 - Only push modifies tail & reclaim; only pop modifies head

^{*} Assume a sequentially consistent memory system

Single reader, single writer unbounded queue



Lock-free stack (first try)

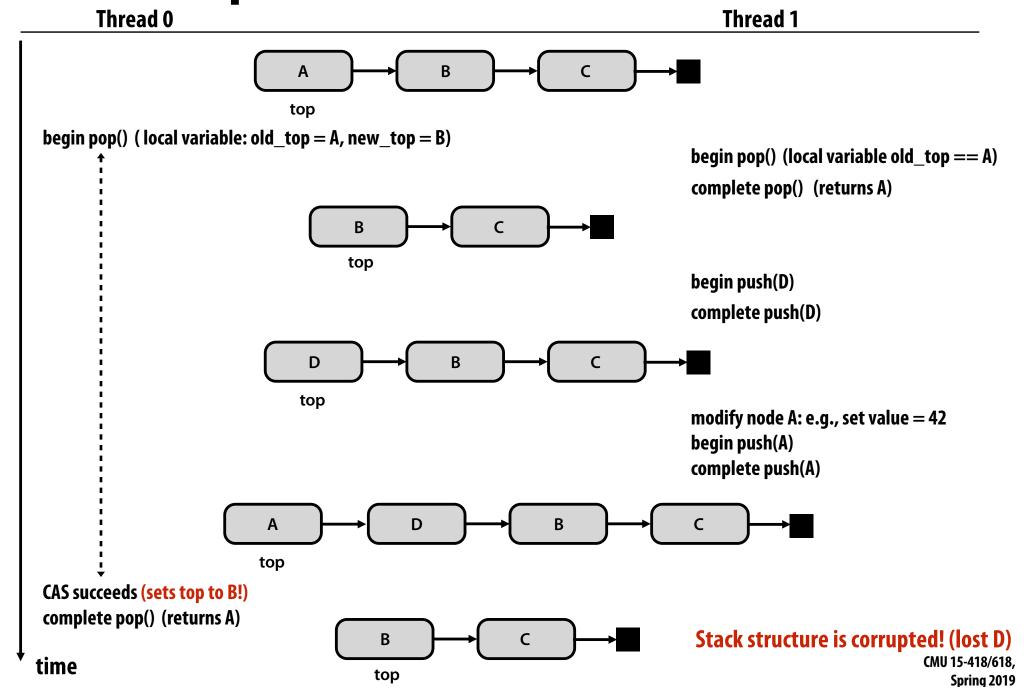
```
void init(Stack* s) {
struct Node {
  Node* next;
                                  s->top = NULL;
  int value;
};
                                void push(Stack* s, Node* n) {
                                  while (1) {
struct Stack {
                                    Node* old top = s->top;
  Node* top;
                                    n->next = old top;
};
                                    if (compare and swap(&s->top, old top, n) == old top)
                                      return;
                                Node* pop(Stack* s) {
                                  while (1) {
                                    Node* old top = s->top;
                                    if (old top == NULL)
                                      return NULL;
                                    Node* new top = old top->next;
                                    if (compare and swap(&s->top, old top, new top) == old top)
                                      return old top; // Assume that consumer then recycles old top
```

Main idea: as long as no other thread has modified the stack, a thread's modification can proceed. Note difference from fine-grained locks example earlier: before, implementation locked a part of a data-structure for fine-grained access. Here, threads do not hold lock on data-structure at all.

^{*} Assume a sequentially consistent memory system

The ABA problem

A, B, C, and D are stack node addresses.



Why Does ABA Problem Arise?

- Use node address as identifier
 - Assume that if atomic CAS gets matching address, list has not been modified
- But, what if node has been deleted and recycled?
 - Atomic CAS can get matching address, even though has been modified

Lock-free stack using counter for ABA soln

```
struct Node {
                       void init(Stack* s) {
  Node* next;
                         s->top = NULL;
  int value;
};
                       void push(Stack* s, Node* n) {
                         while (1) {
struct Stack {
  Node* top;
                           Node* old top = s->top;
  int pop_count;
                           n->next = old top;
};
                           if (compare and swap(&s->top, old top, n) == old top)
                             return;
                         }
                       Node* pop(Stack* s) {
                                                                        test to see if either have changed (in this
                         while (1) {
                                                                        example: return true if no changes)
                           int pop count = s->pop count;
                           Node* top = s->top;
                           if (top == NULL)
                             return NULL;
                           Node* new top = top->next;
                           if (double compare and swap(&s->top,
                                                                         top,
                                                                                    new top,
                                                         &s->pop count, pop count, pop count+1))
                             return top;
                         }
```

- Maintain counter of pop operations
- Requires machine to support "double compare and swap" (DCAS) or doubleword CAS
- Could also solve ABA problem with node allocation and/or element reuse policies

Compare and swap on x86

x86 supports a "wide" compare-and-swap instruction

- Not quite the "double compare-and-swap" used in the code on the previous slide
- But could simply ensure the stack's count and top fields are contiguous in memory to use the 64-bit wide single compare-and-swap instruction below.

cmpxchg8b

- "compare and exchange eight bytes"
- Can be used for compare-and-swap of two 32-bit values

cmpxchg16b

- "compare and exchange 16 bytes"
- Can be used for compare-and-swap of two 64-bit values

Another Concern: Referencing Freed Memory

```
struct Node {
  Node* next;
  int value;
};

struct Stack {
  Node* top;
  int pop_count;
};
```

T1 & T2 both popping

Case 1:

- 1. T1 completes pop and gets copy of top
- 2. T2 starts pop
- But will get different value for top

Case 2:

- 1. T1 has not yet done CAS
- 2. T2 starts pop
- Both have same copy of top
- Both have same value for pop count
- 3. T1 does CAS
- Then CAS by T2 will fail
- So, doesn't matter that T2 had stale data

```
void init(Stack* s) {
  s->top = NULL;
void push(Stack* s, Node* n) {
  while (1) {
    Node* old top = s->top;
    n->next = old top;
    if (compare and swap(&s->top, old top, n) == old top)
      return;
  }
                                                    What if top has been freed at this point
                                                    by another thread that popped it?
Node* pop(Stack* s) {
  while (1) {
    int pop count = s->pop count;
    Node* top = s->top;
    if (top == NULL)
      return NULL;
    Node* new top = top->next;
    if (double compare and swap(&s->top,
                                                 top,
                                                             new top,
                                 &s->pop count, pop count, pop count+1))
      return top;
```

Another ABA Solution: Hazard Pointers

```
void init(Stack* s) {
struct Node {
                                   s->top = NULL;
  Node* next;
  int value;
};
                                 void push(Stack* s, Node* n) {
                                   while (1) {
struct Stack {
                                     Node* old_top = s->top;
  Node* top;
                                     n->next = old_top;
};
                                     if (compare and swap(&s->top, old top, n) == old top)
                                       return;
Node *hazard[NUM_THREADS];
                                 Node* pop(Stack* s) {
                                   while (1) {
                                     hazard[t] = s->top;
                                     Node* top = hazard[t];
                                     if (top == NULL)
                                       return NULL;
                                     Node* new top = top->next;
                                     if (compare and swap(&s->top, top, new top))
                                       return top; // Caller must clear hazard[t] when it's done with top
```

Node cannot be recycled or reused if matches any hazard pointer

Lock-free linked list insertion *

```
struct Node {
                         struct List {
  int value;
                          Node* head;
  Node* next;
};
// insert new node after specified node
void insert_after(List* list, Node* after, int value) {
   Node* n = new Node;
   n->value = value;
   // assume case of insert into empty list handled
   // here (keep code on slide simple for class discussion)
   Node* prev = list->head;
   while (prev->next) {
     if (prev == after) {
       while (1) {
         Node* old_next = prev->next;
         n->next = old next;
         if (compare_and_swap(&prev->next, old_next, n) == old_next)
            return;
     }
     prev = prev->next;
}
```

Compared to fine-grained locking implementation:

No overhead of taking locks No per-node storage overhead

Lock-free linked list deletion

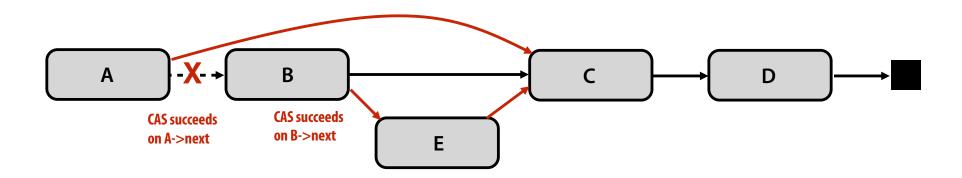
Supporting lock-free deletion significantly complicates data-structure

Consider case where B is deleted simultaneously with successful insertion of E after B.

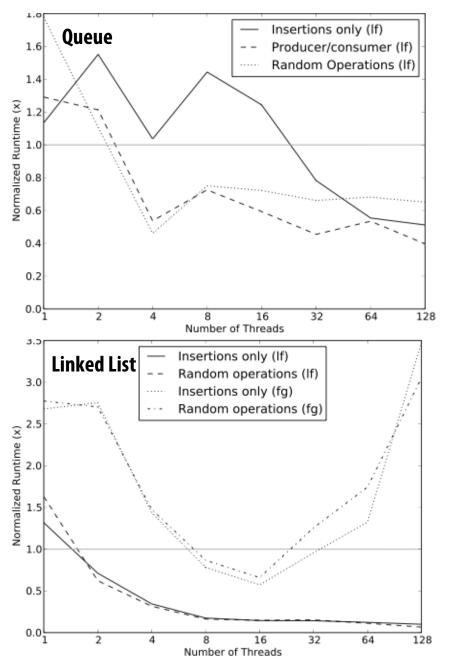
B now points to E, but B is not in the list!

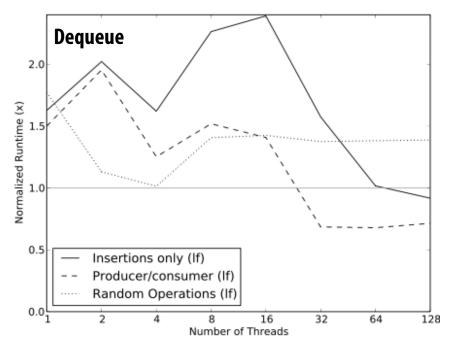
For the curious:

- Harris 2001. A Pragmatic Implementation of Non-blocking Linked-Lists
- Fomitchev 2004. Lock-free linked lists and skip lists



Lock-free vs. locks performance comparison Lock-free algorithm run time normalized to run time of using pthread mutex locks





If = "lock free" fg = "fine grained lock"

Source: Hunt 2011. Characterizing the Performance and Energy **Efficiency of Lock-Free Data Structures**

In practice: why lock free data-structures?

- When optimizing parallel programs in this class you often assume that only your program is using the machine
 - Because you care about performance
 - Typical assumption in scientific computing, graphics, data analytics, etc.
- In these cases, well written code with locks can be as fast (or faster)
 than lock-free code
- But there are situations where code with locks can suffer from tricky performance problems
 - Multi-programmed situations where page faults, pre-emption, etc. can occur while thread
 is in a critical section
 - Creates problems like priority inversion, convoying, crashing in critical section, etc. that are often discussed in OS classes

Summary

- Use fine-grained locking to reduce contention (maximize parallelism)
 in operations on shared data structures
 - But fine-granularity can increase code complexity (errors) and increase execution overhead
- Lock-free data structures: non-blocking solution to avoid overheads due to locks
 - But can be tricky to implement (ensuring correctness in a lock-free setting has its own overheads)
 - Still requires appropriate memory fences on modern relaxed consistency hardware
- Note: a lock-free design does not eliminate contention
 - Compare-and-swap can fail under heavy contention, requiring spins

More reading

- Michael and Scott 1996. Simple, Fast and Practical Non-Blocking and Blocking Concurrent Queue Algorithms
 - Multiple reader/writer lock-free queue
- Harris 2001. A Pragmatic Implementation of Non-Blocking Linked-Lists
- Many good blog posts and articles on the web:
 - http://www.drdobbs.com/cpp/lock-free-code-a-false-sense-of-security/210600279
 - http://developers.memsql.com/blog/common-pitfalls-in-writing-lock-free-algorithms/
- Often students like to implement lock-free data structures for projects
 - Linked list, skip-list based maps (Java's ConcurrentSkipListMap), list-based sets, etc.
 - Recommend using CMU Ph.D. student Michael Sullivan's RMC system to implement these projects.