

# Operating Systems

## Lecture 19: Locks

Nipun Batra

Oct 16, 2018

# Locks

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## Thread 1

```
cc7: mov  0x20135f,%eax  
ccd: add  $0x1,%eax  
cd0: mov  %eax,0x20135f
```

## Thread 2

```
cc7: mov  0x20135f,%eax  
ccd: add  $0x1,%eax  
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# Locks

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## Thread 1

- Thread 1 checks if lock is free

## Thread 2

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# Locks

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- Lock is free, Thread 1 acquires the lock

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cc7: mov 0x20135f,%eax
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## Thread 2

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ccd: add $0x1,%eax
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# Locks

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- Lock is free, Thread 1 acquires the lock
- Thread 2 checks if lock is free

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## Thread 2

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# Locks

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## Thread 1

- Thread 1 checks if lock is free
- Lock is free, Thread 1 acquires the lock
- Thread 2 checks if lock is free
- Is not free; does not execute till lock free

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cc7: mov 0x20135f,%eax
```

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ccd: add $0x1,%eax
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cd0: mov %eax,0x20135f
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## Thread 2

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- Thread 1 executes

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- Thread 1 Unlocks
- Thread 2 checks (keeps on doing so) for lock being free

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## Thread 2

```
cc7: mov 0x20135f,%eax
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ccd: add $0x1,%eax
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- Thread 1 executes
- Thread 1 Unlocks
- Thread 2 checks (keeps on doing so) for lock being free
- Thread 2 executes and unlocks

# Goals of a Lock

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# Goals of a Lock

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- Mutual exclusion: Only a single thread can run the critical section at a time

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    - Multiple threads, single CPU

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  - Performance overhead when:
    - Single thread, no contention
    - Multiple threads, single CPU
    - Multiple threads, multiple CPU

# Building a Lock - Disable Interrupts

---

```
Void lock()  
{ Disable Interrupts}
```

Critical Section

```
Void unlock()  
{ Enable Interrupts}
```

# Building a Lock - Disable Interrupts

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Pros

# Building a Lock - Disable Interrupts

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## Pros

1. Simple and works!

# Building a Lock - Disable Interrupts

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  1. Each processor will have own interrupts?!
3. Loss of interrupts

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1. Simple and works!

## Cons

1. Threads are given a lot of trust
  1. Call lock() at starting of program and run infinitely
2. Does not work on multiprocessors
  1. Each processor will have own interrupts?!
3. Loss of interrupts
4. Inefficient - Interrupt routines can be slow

# Building a Lock - Load/Store or Flag

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      - set flag, execute critical section

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- Thread calls lock before entering critical section
  - Is flag set? (some other thread has critical section control)
    - Yes - Spin waiting
    - No
      - set flag, execute critical section
      - After completion of critical section, unset flag

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```
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```
void init(lock_t *mutex)
{ // 0 -> lock is available, 1 -> held
  mutex->flag = 0; }
```



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```
void init(lock_t *mutex)
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void lock(lock_t *mutex) {
  while (mutex->flag == 1);
  // spin-wait (do nothing)
  mutex->flag = 1; // now SET it!
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  mutex->flag = 1; // now SET it!
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```
void unlock(lock_t *mutex) { mutex->flag = 0; }
```

# Building a Lock - Load/Store or Flag

---

Thread 1

Thread 2

---

# Building a Lock - Load/Store or Flag

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Thread 1

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Call Lock()

# Building a Lock - Load/Store or Flag

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Lock held by some other thread

# Building a Lock - Load/Store or Flag

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Thread 2

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Lock held by some other thread

while(flag == 1) // Busy spinning

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Other thread unlocks  $\rightarrow$  flag = 0

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**Context Switch**



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flag = 1

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# Goals of a Lock

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# Goals of a Lock

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- Mutual exclusion: **X**

# Goals of a Lock

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- Mutual exclusion: X
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# Goals of a Lock

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- Mutual exclusion: *X*
- Fairness: *X*
- Performance: **Spin Waiting is bad!**

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Need Hardware Support!

# Atomic Instructions - Test & Set

---

```
1 int TestAndSet(int *ptr, int new) {  
2   int old = *ptr; // fetch old value at ptr  
3   *ptr = new; // store 'new' into ptr  
4   return old; // return the old value  
5 }
```

# Atomic Instructions - Test & Set

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- Return old value pointed by ptr

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- Return old value pointed by ptr
- Simultaneously update to new

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- Return old value pointed by ptr
- Simultaneously update to new
- **Performed Atomically and by Hardware!**



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- Return old value pointed by ptr
- Simultaneously update to new
- Performed Atomically and by Hardware!
  - The above is just a software depiction

# Atomic Instructions - Test & Set

---

```
1 typedef struct __lock_t {
2   int flag;
3 } lock_t;
4
5 void init(lock_t *lock) {
6   // 0 indicates that lock is available,
7   // 1 that it is held
8   lock->flag = 0;
9 }
10 void lock(lock_t *lock) {
11   while (TestAndSet(&lock->flag, 1) == 1)
12     ; // spin-wait
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15 void unlock(lock_t *lock) {
16   lock->flag = 0;
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```

Define lock structure

# Atomic Instructions - Test & Set

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```

Init by setting flag  
to 0

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Case 1: Lock not held  
by any thread

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Case 1: Lock not held by any thread

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```

Case 1: Lock not held by any thread

- old value of flag = 0
- Set flag to 1 and return 0 from test and set → Current thread acquires lock

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Case 1: Lock not held by any thread

- old value of flag = 0
- Set flag to 1 and return 0 from test and set —> Current thread acquires lock
- No spin waiting for current thread

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Case 2: Lock held by  
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Case 2: Lock held by some other thread

- old value of flag = 1

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Case 2: Lock held by some other thread

- old value of flag = 1
- Set flag to 1 and return 1 from test and set

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```

Case 2: Lock held by some other thread

- old value of flag = 1
- Set flag to 1 and return 1 from test and set
- Spin waiting for current thread since it goes in while loop



# Atomic Instructions - Test & Set

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18 }
```

Once out of  
critical section,  
unset flag

# Test & Set Evaluation

---

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---

- Mutual exclusion: Yes

# Test & Set Evaluation

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- Mutual exclusion: Yes
- Fairness: X

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  - Multi core: If num threads  $\sim$  num cores
    - Each thread waiting to acquire lock can spin on its core, not eating up the time needed (quick) for the critical section to execute on other



# Atomic Instructions - Compare & Swap

---

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2   int actual = *ptr;  
3   if (actual == expected)  
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