

15-819M: Data, Code, Decisions

08: First-Order Logic

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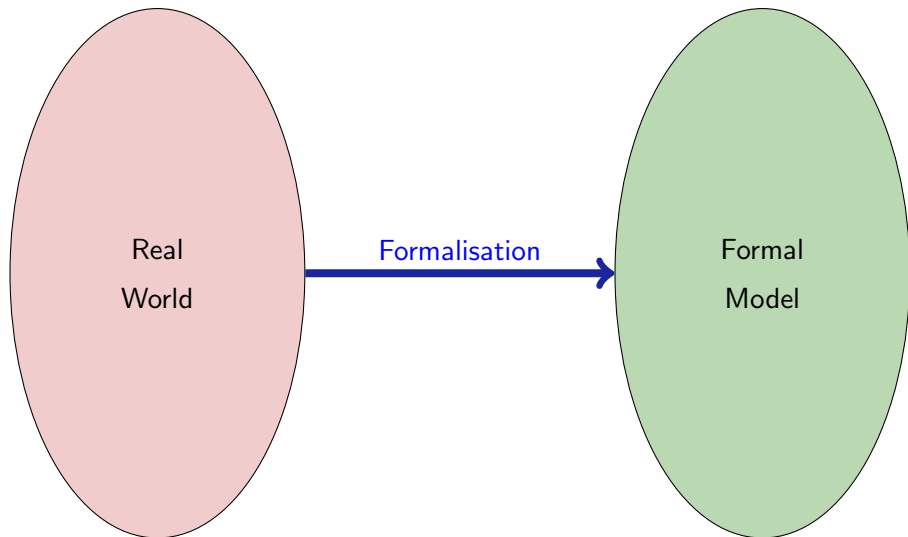
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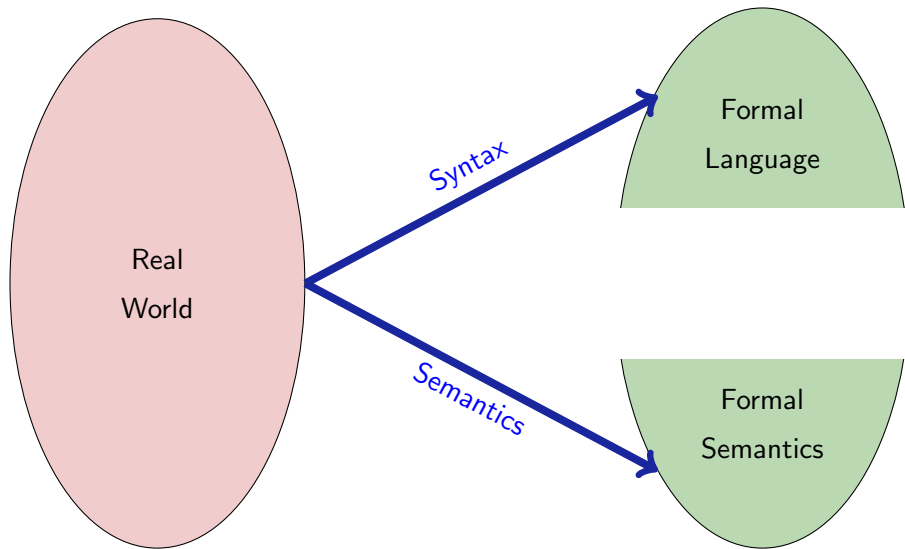
```
public class JavaProgram {  
    public Integer next() {  
        for (int i = p.length - 1; i >= 0;  
            i--)  
            if (p[i] > n)  
                return Integer.parseInt(p[i]);  
        else  
            return p[i];  
    }  
    throw new NoSuchElementException();  
}
```

- 1 Formal Modeling
- 2 First-Order Logic
 - Signature
 - Terms
 - Formulas
- 3 Semantics
 - Domain
 - Model
 - Variable Assignment
 - Term Valuation
 - Formula Valuation
 - Semantic Notions
- 4 Untyped Logic
- 5 Modeling with FOL
- 6 Summary

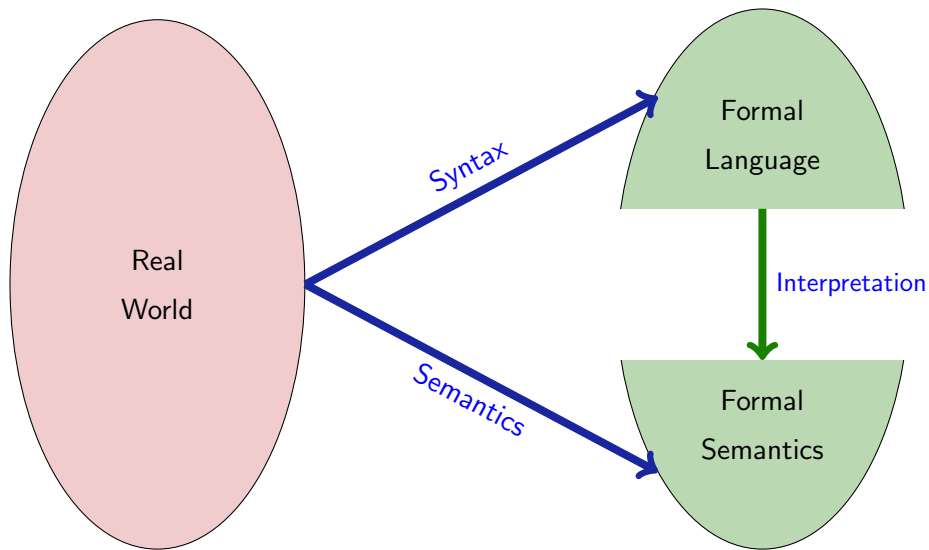
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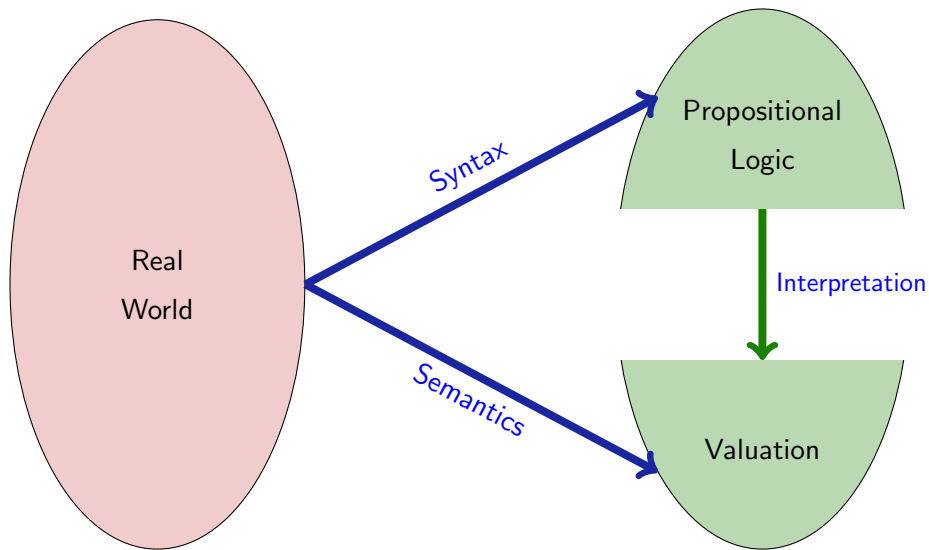
Formalisation: Syntax, Semantics



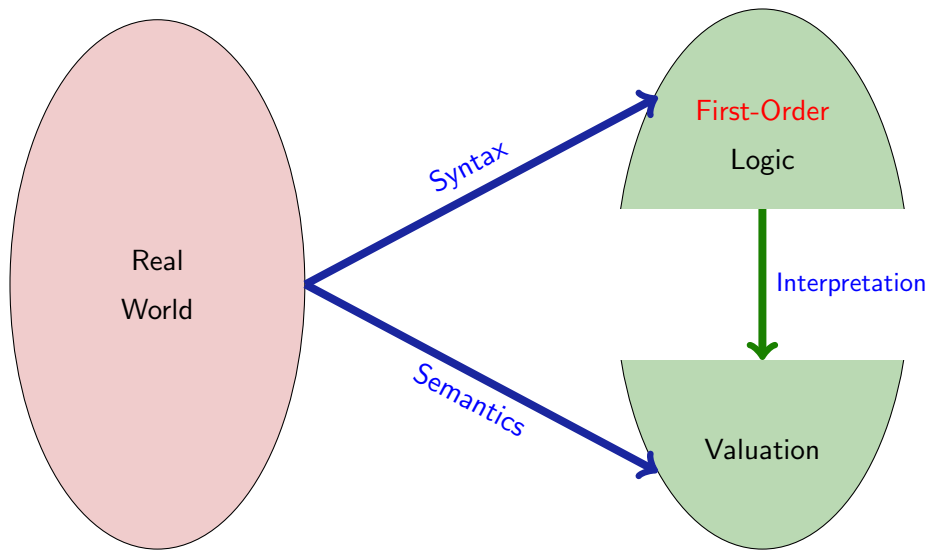
Formalisation: Syntax, Semantics



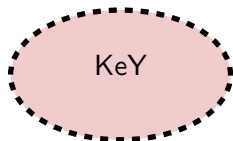
Formalisation: Syntax, Semantics



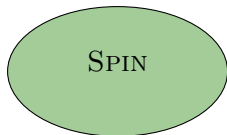
Formalisation: Syntax, Semantics



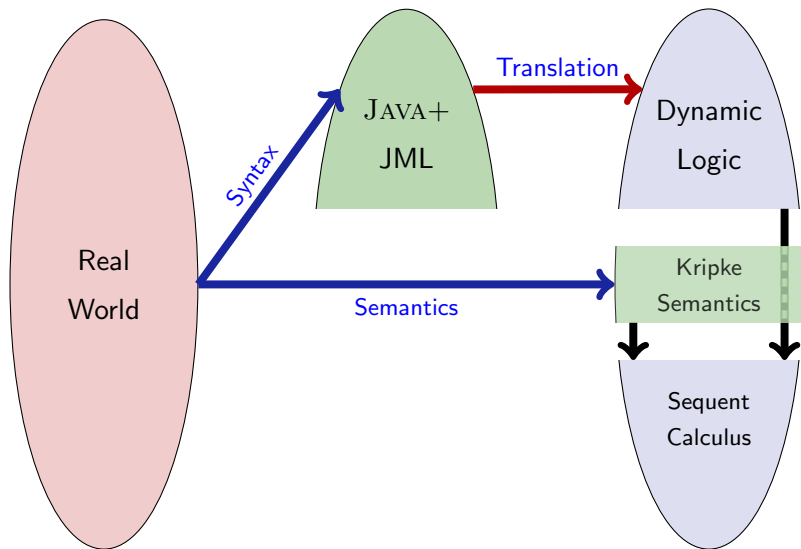
Approaches to Formal Software Verification



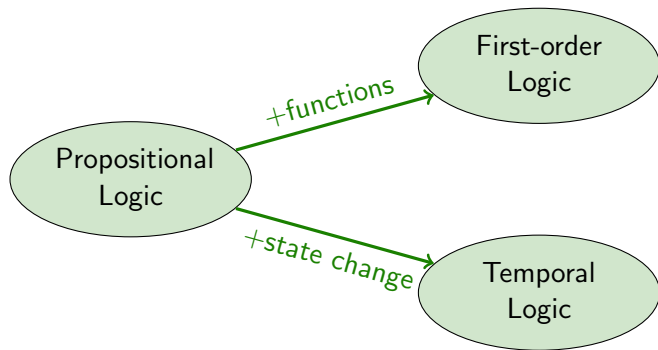
Concrete programs, Complex properties	Concrete programs, Simple properties
Abstract programs, Complex properties	Abstract programs, Simple properties



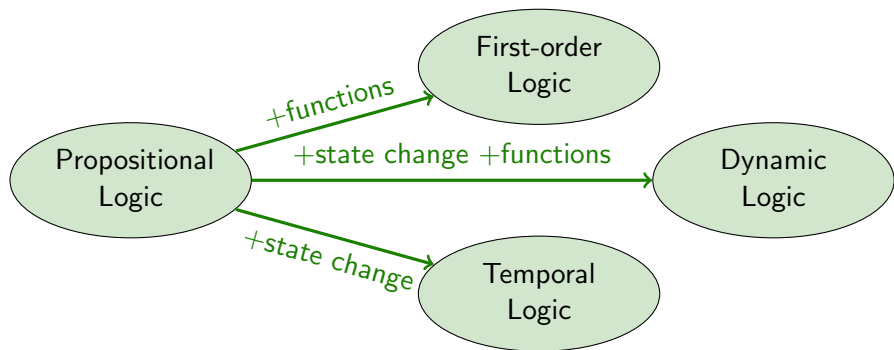
Formal Verification: Deduction



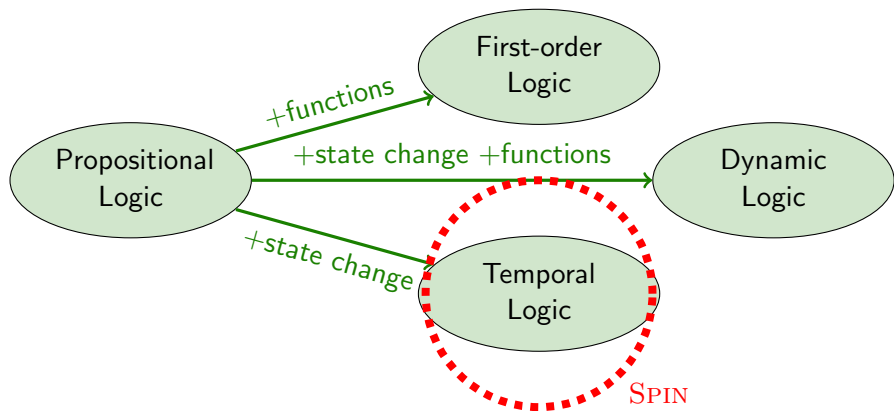
Beyond Propositional Logic



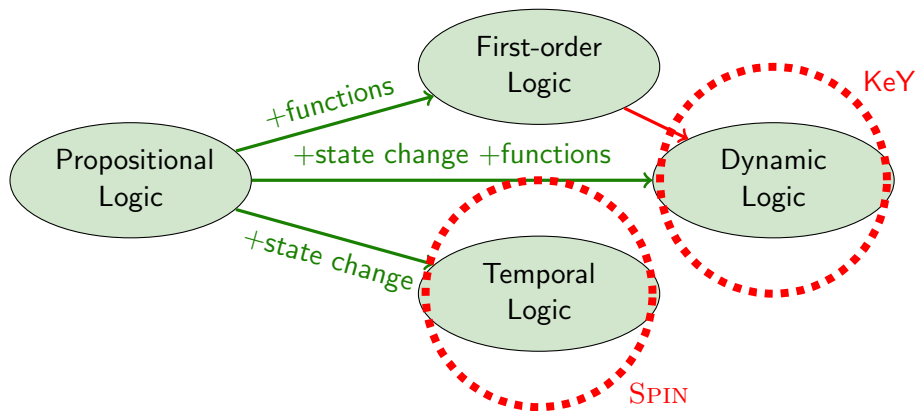
Beyond Propositional Logic



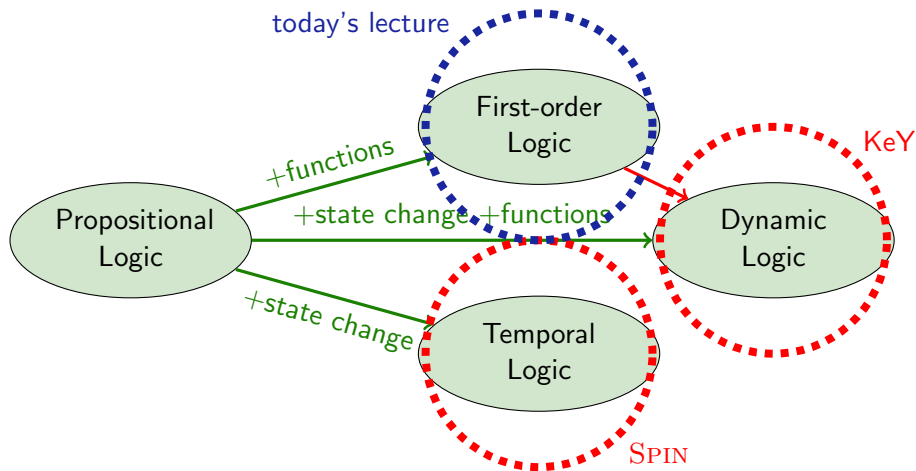
Beyond Propositional Logic



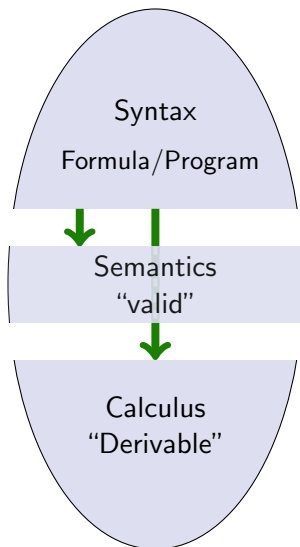
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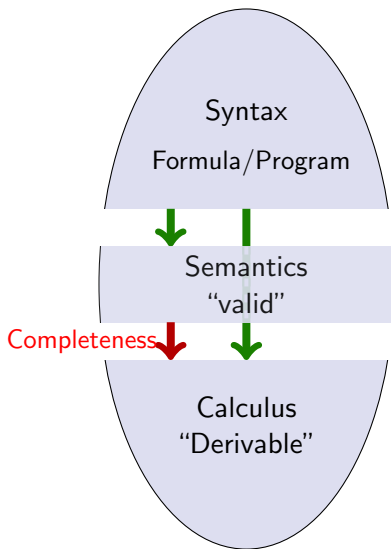
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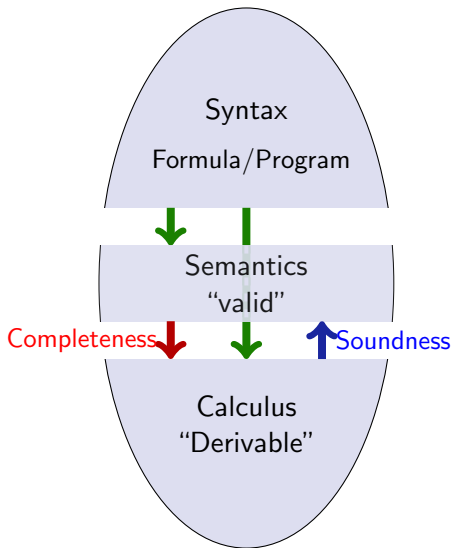
Syntax, Semantics, Calculus



Syntax, Semantics, Calculus



Syntax, Semantics, Calculus



Limitations of Propositional Logic

Fixed, finite number of objects

Cannot express: let G be group with arbitrary number of elements

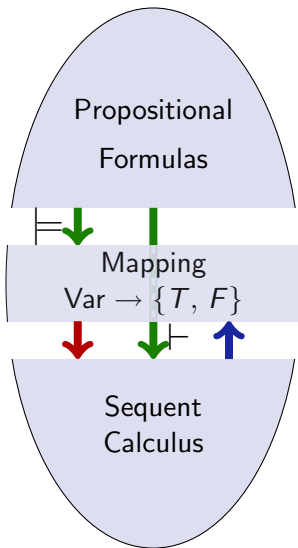
No functions or relations with arguments

- ✓ Can express: finite function/relation table with indexed variables p_{ij}
- ✗ Cannot express:
properties of function/relation on **all** arguments: “+” associative

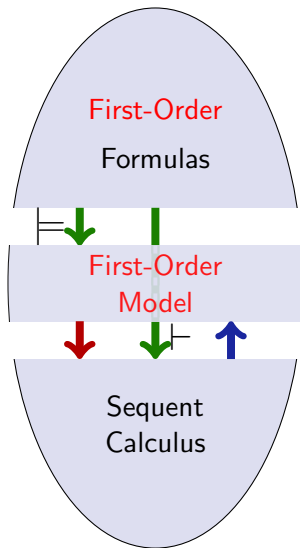
Static interpretation

Programs change value of their variables, e.g., via assignment, call, etc.
Propositional formulas look at one **single** interpretation at a time

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First-Order Logic



Syntax of First-Order Logic: Signature

Definition (First-Order Signature)

First-order signature $\Sigma = (\text{PSym}, \text{FSym}, \alpha)$

Predicate or Relation Symbols $\text{PSym} = \{p_i \mid i \in \mathbb{N}\}$

Function Symbols $\text{FSym} = \{f_i \mid i \in \mathbb{N}\}$

Typing function α , set of types \mathcal{T}

- $\alpha(p) \in \mathcal{T}^*$ for all $p \in \text{PSym}$
- $\alpha(f) \in \mathcal{T}^* \times \mathcal{T}$ for all $f \in \text{FSym}$

Definition (Variables)

$\text{VSym} = \{x_i \mid i \in \mathbb{N}\}$ set of typed variables

- In contrast to “standard” FOL, our symbols are typed
Necessary to model a typed programming language such as JAVA!
- Allow any non-reserved name for symbols, not merely p_3, f_{17}, \dots

Declaration of signature symbols

- Write $T x$; to declare variable x of type T
- Write $p(T_1, \dots, T_r)$; for $\alpha(p) = (T_1, \dots, T_r)$
- Write $T f(T_1, \dots, T_r)$; for $\alpha(f) = ((T_1, \dots, T_r), T)$

Similar convention as in JAVA, no overloading of symbols
Case $r = 0$ is allowed, then write p instead of $p()$, etc.

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Example

Variables `boolean b; int i;`

Predicates `isEmpty(List); alertOn;`

Functions `int arrayLookup(int); java.lang.Object o;`

We want to model the behavior of JAVA programs
Admissible types \mathcal{T} form object-oriented type hierarchy

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Admissible types \mathcal{T} form object-oriented type hierarchy

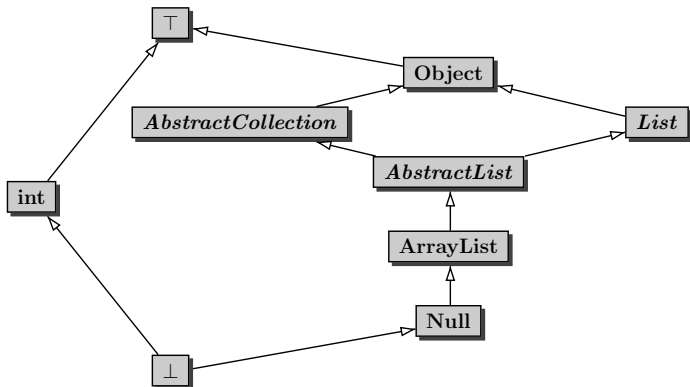
Definition (OO Type Hierarchy)

- \mathcal{T} is finite set of **types** (not parameterized)
- Given **subtype** relation \sqsubseteq , assume \mathcal{T} has all supertypes, i.e., \mathcal{T} is \sqsupseteq -closed
- **Dynamic types** $\mathcal{T}_d \subseteq \mathcal{T}$, where $\top \in \mathcal{T}_d$
- **Abstract types** $\mathcal{T}_a \subseteq \mathcal{T}$, where $\perp \in \mathcal{T}_a$
- $\mathcal{T}_d \cap \mathcal{T}_a = \emptyset$
- $\mathcal{T}_d \cup \mathcal{T}_a = \mathcal{T}$
- $\perp \sqsubseteq T \sqsubseteq \top$ for all $T \in \mathcal{T}$

OO Type Hierarchy

Example

Using UML notation



OO Type Hierarchy

- Dynamic types are those with direct elements
- Abstract types for abstract classes and interfaces
- JAVA 1.5+ is \sqcap -closed
- In JAVA primitive (value) and object types incomparable
- \perp is abstract and hence no object ever can have this type
 \perp cannot occur in declaration of signature symbols
- Each abstract type except \perp has a non-empty dynamic subtype
- In JAVA \top is chosen to have no direct elements
- JAVA has infinitely many types: `int []`, `int [] []`, ...
Restrict \mathcal{T} to the finitely many types that occur in a given program

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Example (The Minimal Type Hierarchy)

$$\mathcal{T} = \{\perp, \top\}$$

All signature symbols have same type \top : drop type, **untyped logic**

Reserved Signature Symbols

Reserved signature symbols

- **Equality** symbol $\doteq \in \text{PSym}$ declared as $\doteq (T, T)$
Written infix: $x \doteq 0$
- **Type predicate** symbol $\in T \in \text{PSym}$ for each $T \in \mathcal{T}$
Declared as $\in T(T)$
Written prefix: $i \in \text{int}$ — read “instance of”
- **Type cast** symbol $(T) \in \text{FSym}$ for each $T \in \mathcal{T}$
Declared as $T (T)(T)$
Written prefix: $(\text{String})o$ — read “cast o to String”

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So far, we have a type system and a signature — where is the logic?

First-order terms, informally

- Think of first-order terms as **expressions** in a programming language
Built up from **variables, constants, function symbols**
- First-order terms have **no side effects** (like PROMELA, unlike JAVA)
- First-order terms have a **type** and must respect type hierarchy
 - type of $f(g(x))$ is result type in declaration of function f
 - in $f(g(x))$ the result type of g is subtype of argument type of f , etc.

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Definition (First-Order Terms $\{\text{Term}_T\}_{T \in \mathcal{T}}$ with type $T \in \mathcal{T}$)

- x is term of type T for variable declared as $T \ x$;
- $f(t_1, \dots, t_r)$ is term of type T for
 - function symbol declared as $T \ f(T_1, \dots, T_r)$; and
 - terms t_i of type $T'_i \sqsubseteq T_i$ for $1 \leq i \leq r$
- There are no other terms (inductive definition)

Example

Signature: `int i; short j; List l; int f(int);`

- `f(i)` has result type `int` and is contained in `Termint`
- `f(j)` has result type `int` (when `short ⊆ int`)
- `f(l)` is ill-typed (when `int`, `List` incomparable)
- `f(i, i)` is not a term (doesn't match declaration)
- `(int)j` is term of type `int`
- even `(int)l` is term of type `int` (type cast always well-formed)

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- If f is **constant** ($r = 0$) write f instead of $f()$
- Use infix notation liberally, where appropriate:
declare `int +(int, int)`; then write `i+j`, etc.
- Use brackets to disambiguate parsing:
`(i+j)*i`

Definition (Atomic First-Order Formulas)

$p(t_1, \dots, t_r)$ is **atomic first-order formula** for

- predicate symbol declared as $p(T_1, \dots, T_r)$; and
- terms t_i of type $T'_i \sqsubseteq T_i$ for $1 \leq i \leq r$

First-Order Atomic Formulas

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Example

Signature: `int i; short j; List l; <(int, int);`

- `i < i` is an atomic first-order formula
- `i < j` is an atomic first-order formula (when `short` \sqsubseteq `int`)
- `i < l` is ill-typed (when `int`, `List` incomparable)
- `i \doteq j` and even `i \doteq l` are atomic first-order formulas
- `i \in short` is an atomic first-order formula

Definition (Set of First-Order Formulas *For*)

- Truth constants true, false and all first-order atomic formulas are first-order formulas
- If ϕ and ψ are first-order formulas then
$$! \phi, (\phi \ \& \ \psi), (\phi \ | \ \psi), (\phi \ \rightarrow \ \psi), (\phi \ \leftrightarrow \ \psi)$$
are also first-order formulas
- If $T \ x$ is a variable declaration, ϕ a first-order formula, then $\forall T \ x; \ \phi$ and $\exists T \ x; \ \phi$ are first-order formulas
Any occurrence of x in ϕ must be well-typed

- $\forall T \ x; \ \phi$ called **universally quantified formula**
- $\exists T \ x; \ \phi$ called **existentially quantified formula**

First-Order Formulas

- In $\forall T x; \phi$ and $\exists T x; \phi$ call ϕ the **scope** of x **bound** by \forall/\exists
- Variables bound in quantified formulas similar to program locations declared as local variables/formal parameters

Example

- $\forall \text{int } i; \exists \text{int } j; i < j$ is a first-order formula
- $\forall \text{int } i; \exists \text{List } l; i < l$ is ill-typed
- $\forall \text{int } i; i < j$ is a first-order formula
if j is a constant compatible with **int**
- $(\forall \text{int } i; \forall \text{int } j; i < j) \mid (\forall \text{int } i; \forall \text{int } j; i > j)$
is a first-order formula

Remark on Concrete Syntax

	Text book	SPIN	KeY	JAVA
Negation	\neg	!	!	!
Conjunction	\wedge	&&	&	&&
Disjunction	\vee			
Implication	\rightarrow, \supset	\rightarrow	\rightarrow	n/a
Equivalence	\leftrightarrow	\leftrightarrow	\leftrightarrow	n/a
Universal Quantifier	$\forall x; \phi$	n/a	<code>\forall x; ϕ</code>	n/a
Existential Quantifier	$\exists x; \phi$	n/a	<code>\exists x; ϕ</code>	n/a
Value equality	\doteq	==	=	==

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Value equality	\doteq	==	=	==

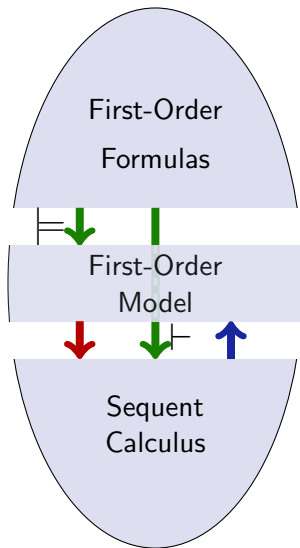
For quantifiers we normally use textbook syntax and suppress type information to ease readability

For propositional connectives we use KeY syntax

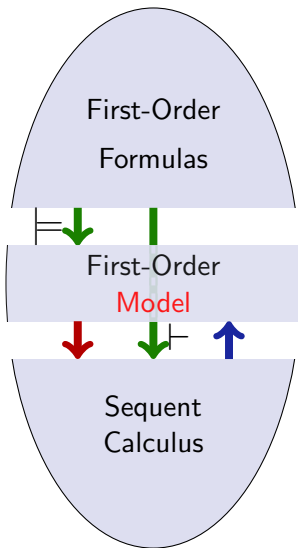
Outline

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First-Order Semantics



First-Order Semantics



First-Order Semantics

From propositional to first-order semantics

- In prop. logic, interpretation of variables with $\{T, F\}$
- In first-order logic we must assign meaning to:
 - variables bound in quantifiers
 - constant and function symbols
 - predicate symbols
- Each variable or function value may denote a different object
- Respect typing: `int i`, `List l` **must** denote different objects

What we need (to interpret a first-order formula)

- 1 A collection of **typed universes** of objects (akin to **heap** objects)
- 2 A mapping from **variables** to objects
- 3 A mapping from **function** arguments to function values
- 4 The set of argument tuples where a **predicate** is true

- 1 A collection of **typed universes** of objects

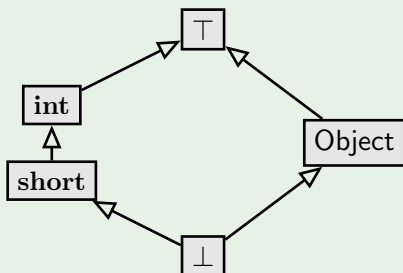
Definition (Universe/Domain)

A non-empty set \mathcal{D} of objects is a **universe** or **domain**

Each element of \mathcal{D} has a fixed type given by $\delta : \mathcal{D} \rightarrow \mathcal{T}_d$

- Like heap objects and values in JAVA
- Notation for the domain elements type-compatible with $T \in \mathcal{T}$:
 $\mathcal{D}^T = \{d \in \mathcal{D} \mid \delta(d) \sqsubseteq T\}$
- For each dynamic type $T \in \mathcal{T}_d$ there must be at least one domain element type-compatible with it: $\mathcal{D}^T \neq \emptyset$

Example



- $\mathcal{D} = \{17, o\}$
- $\delta(17) = \text{short}, \delta(o) = \text{Object}$
- Then $\mathcal{D}^{\text{short}} = \mathcal{D}^{\text{int}} = \{17\}, \mathcal{D}^{\text{Object}} = \{o\},$
 $\mathcal{D}^{\top} = \mathcal{D} = \{17, o\},$ and $\mathcal{D}^{\perp} = \{\}$

- ③ A mapping from function arguments to function values
- ④ The set of argument tuples where a predicate is true

Definition (First-Order Model)

Let \mathcal{D} be a domain with typing function δ

Let f be declared as $T f(T_1, \dots, T_r)$;

Let p be declared as $p(T_1, \dots, T_r)$;

Let $\mathcal{I}(f) : \mathcal{D}^{T_1} \times \dots \times \mathcal{D}^{T_r} \rightarrow \mathcal{D}^T$

Let $\mathcal{I}(p) \subseteq \mathcal{D}^{T_1} \times \dots \times \mathcal{D}^{T_r}$

Then $\mathcal{M} = (\mathcal{D}, \delta, \mathcal{I})$ is a **first-order model**

Example

Signature: `int i; short j; int f(int); Object obj; <(int,int);`
 $\mathcal{D} = \{17, 2, o\}$ where all numbers are short

$$\mathcal{I}(i) = 17$$

$$\mathcal{I}(j) = 17$$

$$\mathcal{I}(\text{obj}) = o$$

\mathcal{D}^{int}	$\mathcal{I}(f)$
2	2
17	2

$\mathcal{D}^{\text{int}} \times \mathcal{D}^{\text{int}}$	in $\mathcal{I}(<)$?
(2, 2)	<i>F</i>
(2, 17)	<i>T</i>
(17, 2)	<i>F</i>
(17, 17)	<i>F</i>

One of uncountably many possible first-order models!

Semantics of Reserved Signature Symbols

Definition

- **Equality** symbol \doteq declared as $\doteq (\top, \top)$

Model is fixed as $\mathcal{I}(\doteq) = \{(d, d) \mid d \in \mathcal{D}\}$

“Referential Equality” (holds if arguments refer to identical object)

Exercise: write down the predicate table for example domain

- **Type predicate** symbol $\in T$ for any T , declared as $\in T(\top)$

$$\mathcal{I}(\in T) = \mathcal{D}^T$$

Exercise: what is $\mathcal{I}(\in \text{Object})$?

- **Type cast** symbol (T) for each T , declared as $T (T)(\top)$

$$\mathcal{I}((T))(x) = \begin{cases} x & \text{if cast succeeds } (\delta(x) \in T) \\ d & \text{otherwise, for an arbitrary fixed } d \in \mathcal{D}^T \end{cases}$$

Exercise: what is $\mathcal{I}((\text{int}))(17)$?

Signature Symbols vs. Domain Elements

- Domain elements are not just the terms representing them
- First-order formulas and terms have **no access** to domain
- As in `JAVA`: identity and memory layout of values/objects hidden
- Think of a first-order model as a “heap” of first-order logic

Example

Signature: `Object obj1, obj2;`

Domain: $\mathcal{D} = \{o\}$

In this model, necessarily $\mathcal{I}(\text{obj1}) = \mathcal{I}(\text{obj2}) = o$

Effect similar to aliasing in `JAVA` with reference types

Variable Assignments

- 2 A mapping from variables to objects

Think of variable assignment as environment for storage of local variables

Definition (Variable Assignment)

A **variable assignment** β maps variables to domain elements

It respects the variable type, i.e., if x has type T then $\beta(x) \in \mathcal{D}^T$

Definition (Modified Variable Assignment)

Let y be variable of type T , β variable assignment, $d \in \mathcal{D}^T$:

$$\beta_y^d(x) := \begin{cases} \beta(x) & \text{if } x \neq y \\ d & \text{if } x = y \end{cases}$$

Semantic Evaluation of Terms

Given a first-order model \mathcal{M} and a variable assignment β it is possible to evaluate first-order terms under \mathcal{M} and β

Analogy

Evaluating an expression in a programming language with respect to a given heap (\mathcal{M}) and binding of local variables (β)

Definition (Valuation of Terms)

$val_{\mathcal{M},\beta} : \text{Term} \rightarrow \mathcal{D}$ such that $val_{\mathcal{M},\beta}(t) \in \mathcal{D}^T$ for $t \in \text{Term}_{\mathcal{T}}$:

- $val_{\mathcal{M},\beta}(x) = \beta(x)$ (recall that β respects typing)
- $val_{\mathcal{M},\beta}(f(t_1, \dots, t_r)) = \mathcal{I}(f)(val_{\mathcal{M},\beta}(t_1), \dots, val_{\mathcal{M},\beta}(t_r))$

Semantic Evaluation of Terms

Example

Signature: `int i; short j; int f(int);`

$\mathcal{D} = \{17, 2, o\}$ where all numbers are short

Variables: `Object obj; int x;`

$$\mathcal{I}(i) = 17$$

$$\mathcal{I}(j) = 17$$

\mathcal{D}^{int}	$\mathcal{I}(f)$
2	17
17	2

Var	β
obj	<i>o</i>
x	17

- $val_{\mathcal{M},\beta}(f(f(i)))$?
- $val_{\mathcal{M},\beta}(x)$?
- $val_{\mathcal{M},\beta}((\text{int})obj)$?

Semantic Evaluation of Terms

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$$\mathcal{I}(i) = 17$$

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\mathcal{D}^{int}	$\mathcal{I}(f)$
2	17
17	2

Var	β
obj	<i>o</i>
x	17

- $val_{\mathcal{M},\beta}(f(f(i))) ? = 17$
- $val_{\mathcal{M},\beta}(x) ?$
- $val_{\mathcal{M},\beta}((\text{int})obj) ?$

Semantic Evaluation of Terms

Example

Signature: `int i; short j; int f(int);`

$\mathcal{D} = \{17, 2, o\}$ where all numbers are short

Variables: `Object obj; int x;`

$$\mathcal{I}(i) = 17$$

$$\mathcal{I}(j) = 17$$

\mathcal{D}^{int}	$\mathcal{I}(f)$
2	17
17	2

Var	β
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- $val_{\mathcal{M},\beta}(x) ? = 17$
- $val_{\mathcal{M},\beta}((\text{int})obj) ? = 2$, say

Formulas are true or false

A validity **relation** is more convenient than a function

Definition (Validity Relation for Formulas)

$\mathcal{M}, \beta \models \phi$ for $\phi \in \text{For}$ “ \mathcal{M}, β models ϕ ”

- $\mathcal{M}, \beta \models p(t_1, \dots, t_r)$ iff $(\text{val}_{\mathcal{M}, \beta}(t_1), \dots, \text{val}_{\mathcal{M}, \beta}(t_r)) \in \mathcal{I}(p)$
- $\mathcal{M}, \beta \models \phi \ \& \ \psi$ iff $\mathcal{M}, \beta \models \phi$ and $\mathcal{M}, \beta \models \psi$
- ... as in propositional logic
- $\mathcal{M}, \beta \models \forall T x; \phi$ iff $\mathcal{M}, \beta_x^d \models \phi$ for all $d \in \mathcal{D}^T$
- $\mathcal{M}, \beta \models \exists T x; \phi$ iff $\mathcal{M}, \beta_x^d \models \phi$ for at least one $d \in \mathcal{D}^T$

Example

Signature: `short j`; `int f(int)`; `Object obj`; `<(int,int)`;

$\mathcal{D} = \{17, 2, o\}$ where all numbers are short

$$\begin{aligned} \mathcal{I}(j) &= 17 \\ \mathcal{I}(obj) &= o \end{aligned}$$

\mathcal{D}^{int}	$\mathcal{I}(f)$
2	2
17	2

$\mathcal{D}^{\text{int}} \times \mathcal{D}^{\text{int}}$	in $\mathcal{I}(<)$?
(2, 2)	F
(2, 17)	T
(17, 2)	F
(17, 17)	F

- $\mathcal{M}, \beta \models f(j) < j$?
- $\mathcal{M}, \beta \models \exists \text{int } x; f(x) \doteq x$?
- $\mathcal{M}, \beta \models \forall \text{Object } o1; \forall \text{Object } o2; o1 \doteq o2$?

Definition (Satisfiability, Truth, Validity)

$\mathcal{M}, \beta \models \phi$ (ϕ is **satisfiable**)
 $\mathcal{M} \models \phi$ iff for all β : $\mathcal{M}, \beta \models \phi$ (ϕ is **true** in \mathcal{M})
 $\models \phi$ iff for all \mathcal{M} : $\mathcal{M} \models \phi$ (ϕ is **valid**)

Closed formulas that are satisfiable are also true: one top-level notion

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Closed formulas that are satisfiable are also true: one top-level notion

Example

- $f(j) < j$ is true in \mathcal{M}
- $\exists \text{int } x; i \doteq x$ is valid
- $\exists \text{int } x; !(x \doteq x)$ is not satisfiable

Outline

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Most logic textbooks introduce untyped logic

How to obtain untyped logic as a special case

- Minimal Type Hierarchy: $\mathcal{T} = \{\perp, \top\}$
- $\mathcal{D} = \mathcal{D}^\top \neq \emptyset$: only one populated type \top , drop all typing info
- Signature merely specifies **arity** of functions and predicates:
Write $f/1$, $</2$, $i/0$, etc.
- Untyped logic is suitable whenever we model a **uniform domain**
- Typical applications: pure mathematics such as algebra

Example (Axiomatization of a group in first-order logic)

Signature Σ_G : FSym = $\{\circ/2, \mathbf{e}/0\}$, PSym = $\{\doteq/2\}$

Let G be the following formulas:

Left identity $\forall x; \mathbf{e} \circ x \doteq x$

Left inverse $\forall x; \exists y; y \circ x \doteq \mathbf{e}$

Associativity $\forall x; \forall y; \forall z; (x \circ y) \circ z \doteq x \circ (y \circ z)$

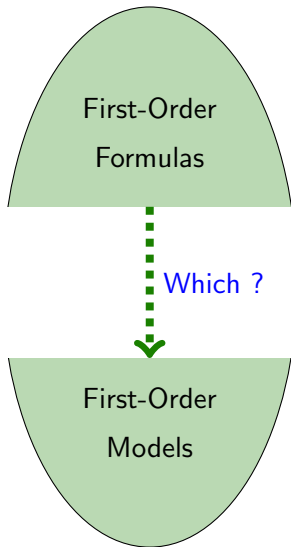
Let ϕ be Σ_G -formula.

Whenever $\models G \rightarrow \phi$, then ϕ is a theorem of group theory

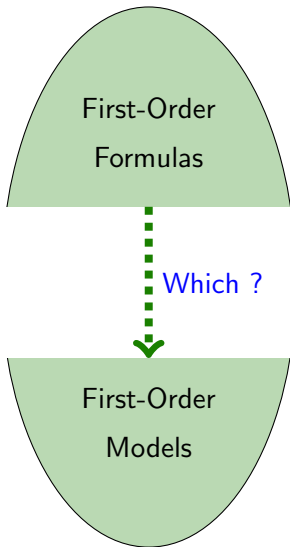
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Modeling with First-Order Logic

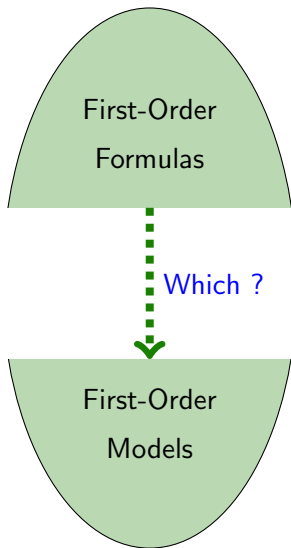


Modeling with First-Order Logic



Example (At least two elements)

Modeling with First-Order Logic

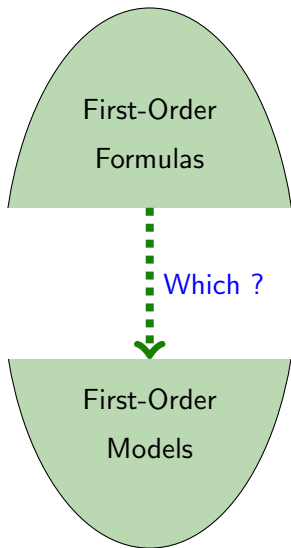


Example (At least two elements)

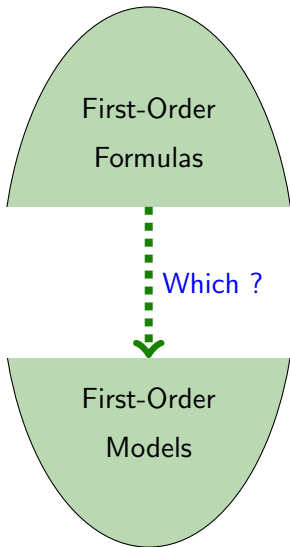
$\exists x; \exists y; !(x \doteq y)$

How to do this without built-in equality?

Modeling with First-Order Logic



Example (Strict partial order)



Example (Strict partial order)

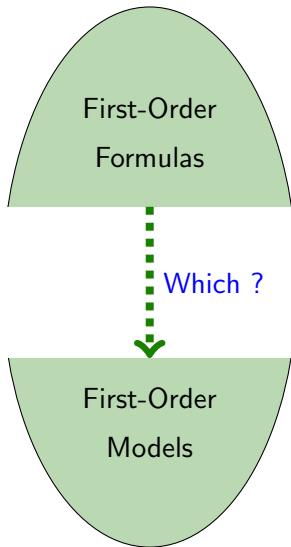
$\text{PSym} = \{< /2\}$

Irreflexivity $\forall x; !(x < x)$

Asymmetry $\forall x; \forall y; (x < y \rightarrow !(y < x))$

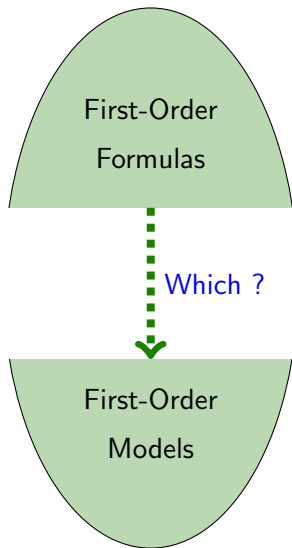
Transitivity $\forall x; \forall y; \forall z;$
 $(x < y \ \& \ y < z \rightarrow x < z)$

Modeling with First-Order Logic



Example (All models have infinite domain)

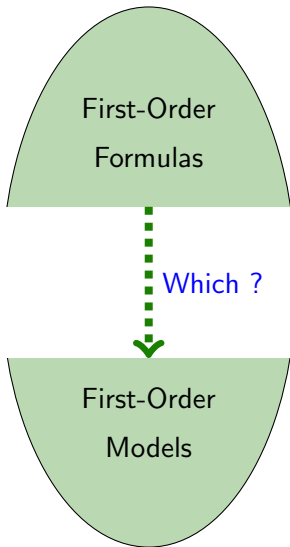
Modeling with First-Order Logic



Example (All models have infinite domain)

Signature and axioms of irreflexive order **plus**

Existence Successor $\forall x; \exists y; x < y$



Example (Abstract data types)

```
FSym = { Stack push(int, Stack);  
        int pop(Stack);  
        Stack nil; }
```

```
 $\forall \text{int } i; \forall \text{Stack } s; \text{pop}(\text{push}(i, s)) \doteq s$   
...
```

Why such a Complicated First-Order Semantics?

Why not take terms and properties at their “face value”?

Definition (Herbrand Model (untyped logic))

A first-order model where

- Domain \mathcal{D} are all variable-free (i.e., ground) terms
- Each domain element is represented as a term
- Interpretation of function symbols is **identity**:

$$\mathcal{I}(f)(d_1, \dots, d_r) = f(d_1, \dots, d_r)$$

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Major limitations of Herbrand models

- Too many different domain elements: $1 + 2, 2 + 1$
- Natural to represent program locations as terms and domain elements as their values whose exact representation we don't know
- There are theoretical limitations as well

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Summary

- First-order formulas defined over a **signature** of **typed** symbols
- Hierarchical **OO type system** with abstract and dynamic types
- **Quantification** over variables, no “free” variables in formulas
- Semantic domain like objects in a **JAVA heap**
- **First-order model** assigns semantic value to terms and formulas
- Semantic notions **satisfiability** and **validity**

Summary and Outlook

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Semantic evaluation is not feasible in practice

- Infinite (uncountable) number of first-order models
- Evaluation of quantified formula may involve infinitely many cases
- **Next goal:** a syntactic calculus allowing mechanical validity checking

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