

Outline

- 1 Cache coherence – the hardware view
- 2 Synchronization and memory consistency review
- 3 C11 Atomics
- 4 Avoiding locks

Important memory system properties

- **Coherence – concerns accesses to a single memory location**
 - Must obey program order if access from only one CPU
 - There is a total order on all updates
 - There is bounded latency before everyone sees a write
- **Consistency – concerns ordering across memory locations**
 - Even with coherence, different CPUs can see the same write happen at different times
 - Sequential consistency is what matches our intuition (As if operations from all CPUs interleaved on one CPU)
 - Many architectures offer weaker consistency
 - Yet well-defined weaker consistency can still be sufficient to implement [thread API contract from concurrency lecture](#)

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Multicore cache coherence

- **Performance requires caches**
 - Divided into chunks of bytes called lines (e.g., 64 bytes)
 - Caches create an opportunity for cores to disagree about memory
- **Bus-based approaches**
 - “Snoopy” protocols, each CPU listens to memory bus
 - Use write-through and invalidate when you see a write bits
 - Bus-based schemes limit scalability
- **Modern CPUs use networks (e.g., hypertransport, infinity fabric, QPI, UPI)**
 - CPUs pass each other messages about cache lines

MESI coherence protocol

- **Modified**
 - Exactly one cache has a valid copy
 - That copy is dirty (needs to be written back to memory)
 - Must invalidate all copies in other caches before entering this state
- **Exclusive**
 - Same as Modified except the cache copy is clean
- **Shared**
 - One or more caches and memory have a valid copy
- **Invalid**
 - Doesn't contain any data
- **Owned (for enhanced “MOESI” protocol)**
 - Memory may contain stale value of data (like Modified state)
 - But have to broadcast modifications (sort of like Shared state)
 - Can have one owned + multiple shared copies of cache line

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Core and Bus Actions

- **Actions performed by CPU core**
 - Read
 - Write
 - Evict (modified? must write back)
- **Transactions on bus (or interconnect)**
 - Read: without intent to modify, data can come from memory or another cache
 - Read-exclusive: with intent to modify, must invalidate all other cache copies
 - Writeback: contents put on bus and memory is updated

cc-NUMA

- **Old machines used *dance hall* architectures**
 - Any CPU can “dance with” any memory equally
- **An alternative: Non-Uniform Memory Access (NUMA)**
 - Each CPU has fast access to some “close” memory
 - Slower to access memory that is farther away
 - Use a directory to keep track of who is caching what
- **Originally for esoteric machines with many CPUs**
 - But AMD and then intel integrated memory controller into CPU
 - Faster to access memory controlled by the local socket (or even local die in a multi-chip module)
- **cc-NUMA = cache-coherent NUMA**
 - Rarely see non-cache-coherent NUMA (BBN Butterfly 1, Cray T3D)

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Real World Coherence Costs

- See [David] for a great reference. Xeon results:
 - 3 cycle L1, 11 cycle L2, 44 cycle LLC, 355 cycle local RAM
- If another core in same socket holds line in modified state:
 - load: 109 cycles (LLC + 65)
 - store: 115 cycles (LLC + 71)
 - atomic CAS: 120 cycles (LLC + 76)
- If a core in a different socket holds line in modified state:
 - NUMA load: 289 cycles
 - NUMA store: 320 cycles
 - NUMA atomic CAS: 324 cycles
- But only a partial picture
 - Could be faster because of out-of-order execution
 - Could be slower if interconnect contention or multiple hops

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NUMA and spinlocks

- Test-and-set spinlock has several advantages
 - Simple to implement and understand
 - One memory location for arbitrarily many CPUs
- But also has disadvantages
 - Lots of traffic over memory interconnect (especially w. > 1 spinner)
 - Not necessarily fair (lacks bounded waiting)
 - Even less fair on a NUMA machine
- Idea 1: Avoid spinlocks altogether (today)
- Idea 2: Reduce interconnect traffic with better spinlocks (next lecture)
 - Design lock that spins only on local memory
 - Also gives better fairness

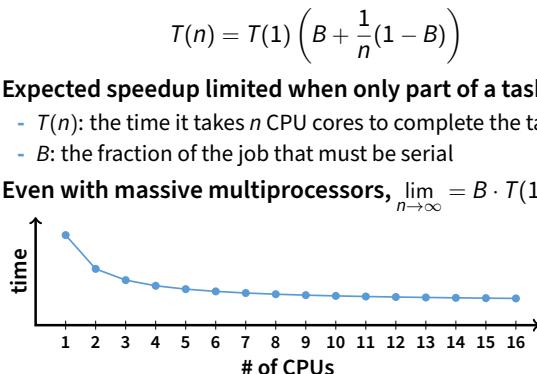
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Amdahl's law



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Locking basics

```
mutex_t m;
lock(&m);
cnt = cnt + 1; /* critical section */
unlock(&m);
```

- Only one thread can hold a mutex at a time
 - Makes critical section atomic
- Recall thread API contract
 - All access to global data must be protected by a mutex
 - Global = two or more threads touch data and at least one writes
- Means must map each piece of global data to one mutex
 - Never touch the data unless you locked that mutex
- But many ways to map data to mutexes

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Locking granularity

- Consider two lookup implementations for global hash table:


```
struct list *hash_tbl[1021];
```
- coarse-grained locking


```
mutex_t m;
:
mutex_lock(&m);
struct list_elem *pos = list_begin (hash_tbl[hash(key)]);
/* ... walk list and find entry ... */
mutex_unlock(&m);
```
- fine-grained locking


```
mutex_t bucket_lock[1021];
:
int index = hash(key);
mutex_lock(&bucket_lock[index]);
struct list_elem *pos = list_begin (hash_tbl[index]);
/* ... walk list and find entry ... */
mutex_unlock(&bucket_lock[index]);
```
- Which implementation is better?

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Locking granularity (continued)

- **Fine-grained locking admits more parallelism**
 - E.g., imagine network server looking up values in hash table
 - Parallel requests will usually map to different hash buckets
 - So fine-grained locking should allow better speedup
- **When might coarse-grained locking be better?**

Locking granularity (continued)

- **Fine-grained locking admits more parallelism**
 - E.g., imagine network server looking up values in hash table
 - Parallel requests will usually map to different hash buckets
 - So fine-grained locking should allow better speedup
- **When might coarse-grained locking be better?**
 - Suppose you have global data that applies to whole hash table

```
struct hash_table {
    size_t num_elements;      /* num items in hash table */
    size_t num_buckets;       /* size of buckets array */
    struct list *buckets;    /* array of buckets */
};
```

 - Read `num_buckets` each time you insert
 - Check `num_elements` on insert, possibly expand buckets & rehash
 - Single global mutex would protect these fields
- **Can you avoid serializing lookups to growable hash table?**

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Readers-writers problem

- **Recall a mutex allows access in only one thread**
- **But a data race occurs only if**
 - Multiple threads access the same data, **and**
 - At least one of the accesses is a write
- **How to allow multiple readers or one single writer?**
 - Need lock that can be *shared* amongst concurrent readers
- **Can implement using other primitives (next slides)**
 - Keep integer `i` – # of readers or -1 if held by writer
 - Protect `i` with mutex
 - Sleep on condition variable when can't get lock

Implementing shared locks

```
struct sharedlk {
    int i;      /* # shared lockers, or -1 if exclusively locked */
    mutex_t m;
    cond_t c;
};

void AcquireExclusive (sharedlk *sl) {
    lock (&sl->m);
    while (sl->i) { wait (&sl->m, &sl->c); }
    sl->i = -1;
    unlock (&sl->m);
}

void AcquireShared (sharedlk *sl) {
    lock (&sl->m);
    while (&sl->i < 0) { wait (&sl->m, &sl->c); }
    sl->i++;
    unlock (&sl->m);
}
```

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Implementing shared locks (continued)

```
void ReleaseShared (sharedlk *sl) {
    lock (&sl->m);
    if (!--sl->i)
        signal (&sl->c);
    unlock (&sl->m);
}

void ReleaseExclusive (sharedlk *sl) {
    lock (&sl->m);
    sl->i = 0;
    broadcast (&sl->c);
    unlock (&sl->m);
}
```

- **Any issues with this implementation?**

Implementing shared locks (continued)

```
void ReleaseShared (sharedlk *sl) {
    lock (&sl->m);
    if (!--sl->i)
        signal (&sl->c);
    unlock (&sl->m);
}

void ReleaseExclusive (sharedlk *sl) {
    lock (&sl->m);
    sl->i = 0;
    broadcast (&sl->c);
    unlock (&sl->m);
}
```

- **Any issues with this implementation?**

- Prone to starvation of writer (no bounded waiting)
- How might you fix?

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Review: Test-and-set spinlock

```

struct var {
    int lock;
    int val;
};

void atomic_inc (var *v) {
    while (test_and_set (&v->lock))
        ;
    v->val++;
    v->lock = 0;
}

void atomic_dec (var *v) {
    while (test_and_set (&v->lock))
        ;
    v->val--;
    v->lock = 0;
}

```

- Is this code correct without sequential consistency?

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Memory reordering danger

- Suppose no sequential consistency (& don't compensate)
- Hardware could violate program order

Program order on CPU #1 View on CPU #2

```

v->lock = 1;
register = v->val;
v->val = register + 1;
v->lock = 0;
v->lock = 0;
/* danger */;
v->val = register + 1;

```

- If atomic_inc called at /* danger */, bad val ensues!

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Ordering requirements

```

void atomic_inc (var *v) {
    while (test_and_set (&v->lock))
        ;
    v->val++;
    /* danger */
    v->lock = 0;
}

```

- Must ensure all CPUs see the following:
 - v->lock = 1 ran before v->val was read and written
 - v->lock = 0 ran after v->val was written
- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax, (%edx)
- How to ensure #2 on x86?

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Ordering requirements

```

void atomic_inc (var *v) {
    while (test_and_set (&v->lock))
        ;
    v->val++;
    /* danger */
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}

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- Must ensure all CPUs see the following:
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- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax, (%edx)
 - xchgl instruction always “locked,” ensuring barrier
- How to ensure #2 on x86?

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Ordering requirements

```

void atomic_inc (var *v) {
    while (test_and_set (&v->lock))
        ;
    v->val++;
    asm volatile ("sfence" ::: "memory");
    v->lock = 0;
}

```

- Must ensure all CPUs see the following:
 - v->lock = 1 ran before v->val was read and written
 - v->lock = 0 ran after v->val was written
- How does #1 get assured on x86?
 - Recall test_and_set uses xchgl %eax, (%edx)
 - xchgl instruction always “locked,” ensuring barrier
- How to ensure #2 on x86?
 - Might need fence instruction after, e.g., non-temporal stores
 - Definitely need compiler barrier

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Gcc extended asm syntax [gnu]

```
asm volatile (template-string : outputs : inputs : clobbers);
```

- Puts template-string in assembly language compiler output
 - Expands %0, %1, ... (a bit like printf conversion specifiers)
 - Use "%%" for a literal % (e.g., "%%cr3" to specify %cr3 register)
- inputs/outputs specify parameters as "constraint" (value)


```
int outvar, invar = 3;
asm ("movl %1, %0" : "=r" (outvar) : "r" (invar));
/* now outvar == 3 */
```
- clobbers lists other state that get used/overwritten
 - Special value "memory" prevents reordering with loads & stores
 - Serves as compiler barrier, as important as hardware barrier
- volatile indicates side effects other than result
 - Otherwise, gcc might optimize away if you don't use result

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Correct spinlock on alpha

- Recall implementation of `test_and_set` on alpha (with much weaker memory consistency than x86):

```
_test_and_set:  
    ldq_1    v0, 0(a0)          # v0 = *lockp (LOCKED)  
    bne     v0, 1f              # if (v0) return  
    addq    zero, 1, v0          # v0 = 1  
    stq_c   v0, 0(a0)          # *lockp = v0 (CONDITIONAL)  
    beq     v0, _test_and_set # if (failed) try again  
    mb  
    addq    zero, zero, v0     # return 0  
1:    ret     zero, (ra), 1
```

- Memory barrier instruction `mb` (like `mfence`)

- All processors will see that everything before `mb` in program order happened before everything after `mb` in program order

- Need barrier before releasing spinlock as well:

```
asm volatile ("mb" ::: "memory");  
v->lock = 0;
```

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Memory barriers/fences

- Fortunately, consistency need not overly complicate code
 - If you do locking right, only need a few fences within locking code
 - Code will be easily portable to new CPUs
- Most programmers should stick to mutexes
- But advanced techniques may require lower-level code
 - Later this lecture will see some wait-free algorithms
 - Also important for optimizing special-case locks (E.g., linux kernel `rw_semaphore`, ...)
- Algorithms often explained assuming sequential consistency
 - Must know how to use memory fences to implement correctly
 - E.g., see [\[Howells\]](#) for how Linux deals with memory consistency
 - And another plug for [Why Memory Barriers](#)
- Next: How C11 allows portable low-level code

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Atomics and portability

- Lots of variation in atomic instructions, consistency models, compiler behavior
 - Changing the compiler or optimization level can invalidate code
- Different CPUs today: Your (non-M1) laptop is x86, while your cell phone uses ARM
 - x86: Total Store Order Consistency Model, CISC
 - arm: Relaxed Consistency Model, RISC
- Could make it impossible to write portable kernels and applications
- Fortunately, the C11 standard has builtin support for atomics
 - Enable in GCC with the `-std=gnu11` flag (now the default)
- Also available in C++11, but won't discuss today

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Background: C memory model [C11]

- Within a thread, many evaluations are sequenced
 - E.g., in `f1(); f2();`, evaluation of `f1` is sequenced before `f2`
- Across threads, some operations synchronize with others
 - E.g., releasing mutex `m` synchronizes with a subsequent acquire `m`
- Evaluation A happens before B, which we'll write $A \rightarrow B$, when:
 - A is sequenced before B (in the same thread),
 - A synchronizes with B,
 - A is dependency-ordered before B (ignore for now—means A has release semantics and B consume semantics for same value), or
 - There is another operation X such that $A \rightarrow X \rightarrow B$.¹

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C11 Atomics: Big picture

- C11 says behavior of a data race is undefined
 - A write conflicts with a read or write of same memory location
 - Two conflicting operations race if not ordered by happens before
 - Undefined can be anything (e.g., delete all your files, ...)
- Spinlocks (and hence mutexes that internally use spinlocks) synchronize across threads
 - Synchronization adds happens before arrows, avoiding data races
- Yet hardware supports other means of synchronization
- C11 atomics provide direct access to synchronized lower-level operations
 - E.g., can get compiler to issue `lock` prefix in some cases

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¹Except chain of “ \rightarrow ” cannot end: ..., dependency-ordered, sequenced before

C11 Atomics: Basics

- Include new `<stdatomic.h>` header
- New `_Atomic` type qualifier: e.g., `_Atomic int foo;`
 - Convenient aliases: `atomic_bool`, `atomic_int`, `atomic_ulong`, ...
 - Must initialize specially:

```
#include <stdatomic.h>
_Atomic_ int global_int = ATOMIC_VAR_INIT(140);
:
Atomic_(int) *dyn = malloc(sizeof(*dyn));
atomic_init(dyn, 140);
```
- Compiler emits read-modify-write instructions for atomics
 - E.g., `+=`, `-=`, `l=`, `&=`, `^=`, `++`, `--` do what you would hope
 - Act atomically and synchronize with one another
- Also functions including `atomic_fetch_add`, `atomic_compare_exchange_strong`, ...

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Locking and atomic flags

- Implementations might use spinlocks internally for most atomics
 - Could interact badly with interrupt/signal handlers
 - Can check if `ATOMIC_INT_LOCK_FREE`, etc., macros defined
 - Fortunately modern CPUs don't require this
- `atomic_flag` is a special type guaranteed lock-free
 - Boolean value without support for loads and stores
 - Initialize with: `atomic_flag mylock = ATOMIC_FLAG_INIT;`
 - Only two kinds of operation possible:
 - `_Bool atomic_flag_test_and_set(volatile atomic_flag *obj);`
 - `void atomic_flag_clear(volatile atomic_flag *obj);`
 - Above functions guarantee sequential consistency (atomic operation serves as memory fence, too)

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Exposing weaker consistency

```
enum memory_order { /*...*/ };

_Bool atomic_flag_test_and_set_explicit(
    volatile atomic_flag *obj, memory_order order);
void atomic_flag_clear_explicit(
    volatile atomic_flag *obj, memory_order order);

C atomic_load_explicit(
    const volatile A *obj, memory_order order);
void atomic_store_explicit(
    volatile A *obj, C desired, memory_order order);

bool atomic_compare_exchange_weak_explicit(
    A *obj, C *expected, C desired,
    memory_order succ, memory_order fail);
```

- Atomic functions have `_explicit` variants
 - These guarantee coherence but *not* sequential consistency
 - May allow compiler to generate faster code

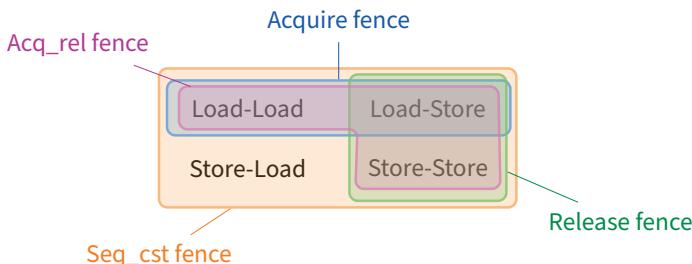
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Memory ordering

- Six possible `memory_order` values:
 - `memory_order_relaxed`: no memory ordering
 - `memory_order_consume`: super tricky, see [Preshing] for discussion
 - `memory_order_acquire`: for start of critical section
 - `memory_order_release`: for end of critical section
 - `memory_order_acq_rel`: combines previous two
 - `memory_order_seq_cst`: full sequential consistency
- Also have fence operation not tied to particular atomic:
`void atomic_thread_fence(memory_order order);`
- Suppose thread 1 releases and thread 2 acquires
 - Thread 1's preceding accesses can't move past `release` store
 - Thread 2's subsequent accesses can't move before `acquire` load
 - Warning: other threads might see a completely different order

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Types of memory fence²



- X-Y fence = operations of type X sequenced before the fence happen before operations of type Y sequenced after the fence

²Credit to [Preshing] for explaining it this way

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Example: Atomic counters

```
_Atomic(int) packet_count;

void
recv_packet(...)
{
    :
    atomic_fetch_add_explicit(&packet_count, 1,
                               memory_order_relaxed);
    :
}
```

- Need to count packets accurately
- Don't need to order other memory accesses across threads
- Relaxed memory order can avoid unnecessary overhead
 - Depending on hardware, of course (not x86)

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Example: Producer, consumer 1

```

struct message msg_buf;
_Atomic(_Bool) msg_ready;

void send(struct message *m) {
    msg_buf = *m;
    atomic_thread_fence(memory_order_release);
    /* Prior loads+stores happen before subsequent stores */
    atomic_store_explicit(&msg_ready, 1,
                          memory_order_relaxed);
}

struct message *recv(void) {
    _Bool ready = atomic_load_explicit(&msg_ready,
                                       memory_order_relaxed);
    if (!ready)
        return NULL;
    atomic_thread_fence(memory_order_acquire);
    /* Prior loads happen before subsequent loads+stores */
    return &msg_buf;
}

```

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Example: Producer, consumer 2

```

struct message msg_buf;
_Atomic(_Bool) msg_ready;

void send(struct message *m) {
    msg_buf = *m;
    atomic_store_explicit(&msg_ready, 1,
                          memory_order_release);
}

struct message *recv(void) {
    _Bool ready = atomic_load_explicit(&msg_ready,
                                       memory_order_acquire);
    if (!ready)
        return NULL;
    return &msg_buf;
}



- This is potentially faster than previous example



- E.g., other stores after send can be moved before msg_buf


```

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Example: Test-and-set spinlock

```

void
spin_lock(atomic_flag *lock)
{
    while(atomic_flag_test_and_set_explicit(lock,
                                             memory_order_acquire))
        ;
}

void
spin_unlock(atomic_flag *lock)
{
    atomic_flag_clear_explicit(lock, memory_order_release);
}

```

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Example: Better test-and-set spinlock

```

void
spin_lock(atomic_bool *lock)
{
    while(atomic_exchange_explicit(lock, 1,
                                   memory_order_acquire)) {
        while(atomic_load_explicit(lock, memory_order_relaxed))
            __builtin_ia32_pause(); /* x86-specific */
    }
}

void
spin_unlock(atomic_bool *lock)
{
    atomic_store_explicit(lock, 0, memory_order_release);
}



- See \[Rigtorp\] for a good discussion

```

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Recall producer/consumer (lecture 3)

```

/* PRODUCER */
for (;;) {
    item *nextProduced
        = produce_item();
    mutex_lock (&mutex);
    while (count == BUF_SIZE)
        cond_wait (&nonfull,
                   &mutex);
    buffer[in] = nextProduced;
    in = (in + 1) % BUF_SIZE;
    count++;
    cond_signal (&nonempty);
    mutex_unlock (&mutex);
}

/* CONSUMER */
for (;;) {
    mutex_lock (&mutex);
    while (count == 0)
        cond_wait (&nonempty,
                   &mutex);
    nextConsumed = buffer[out];
    out = (out + 1) % BUF_SIZE;
    count--;
    cond_signal (&nonfull);
    mutex_unlock (&mutex);
    consume_item (nextConsumed);
}

```

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Eliminating locks

- One use of locks is to coordinate multiple updates of single piece of state
- How to remove locks here?
 - Factor state so that each variable only has a single writer
- Producer/consumer example revisited
 - Assume one producer, one consumer
 - Why do we need count variable, written by both?
To detect buffer full/empty
 - Have producer write in, consumer write out (both `_Atomic`)
 - Use in/out to detect buffer state
 - But note next example busy-waits, which is less good

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Lock-free producer/consumer

```
atomic_int in, out;

void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        while (((in + 1) % BUF_SIZE) == out) thread_yield ();
        buffer[in] = nextProduced;
        in = (in + 1) % BUF_SIZE;
    }
}

void consumer (void *ignored) {
    for (;;) {
        while (in == out) thread_yield ();
        nextConsumed = buffer[out];
        out = (out + 1) % BUF_SIZE;
        consume_item (nextConsumed);
    }
}
```

[Note fences not needed because no relaxed atomics]

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Version with relaxed atomics

```
void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        int myin = atomic_load_explicit(&in, memory_order_relaxed);
        for (;;) {
            if ((myin + 1) % BUF_SIZE !=
                atomic_load_explicit(&out, memory_order_acquire))
                // Could you get away with relaxed here?~~~~~
                break;
            thread_yield ();
        }
        buffer[myin] = nextProduced;
        atomic_store_explicit(&in, (myin+1) % BUF_SIZE,
                             memory_order_release);
    }
}

void consumer (void *ignored) {
    // Use memory_order_acquire to load in (for latest buffer[myin])
    // Use memory_order_release to store out
}
```

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Example: non-blocking stack

```
struct item {
    /* data */
    _Atomic (struct item *) next;
};

typedef _Atomic (struct item *) stack_t;

void atomic_push (stack_t *stack, item *i) {
    do {
        i->next = *stack;
    } while (!CAS (stack, i->next, i));
}

item *atomic_pop (stack_t *stack) {
    item *i;
    do {
        i = *stack;
        if (!CAS (stack, i, i->next))
            return i;
    } while (!CAS (stack, i, i->next));
}
```

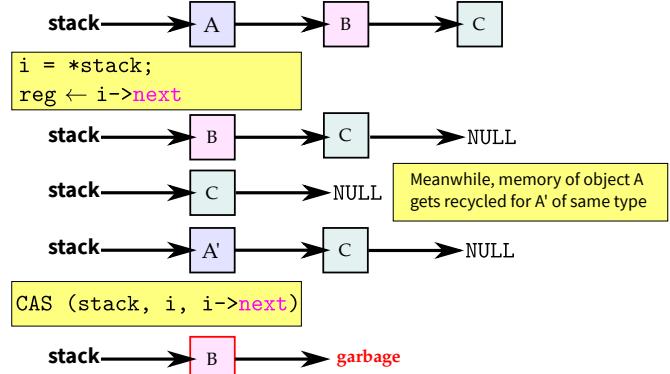
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Non-blocking synchronization

- Design algorithm to *avoid critical sections*
 - Any threads can make progress if other threads are preempted
 - Which wouldn't be the case if preempted thread held a lock
- Requires that hardware provide the right kind of atomics
 - Simple test-and-set is insufficient
 - Atomic compare and swap is good: CAS (mem, old, new)
If `*mem == old`, then swap `*mem` \rightarrow `new` and return true, else false
- Can implement many common data structures
 - Stacks, queues, even hash tables
- Can implement any algorithm on right hardware
 - Need operation such as atomic compare and swap
(has property called *consensus number* = ∞ [Herlihy])
 - Entire kernels have been written without locks [Greenwald]

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Wait-free stack issues



- “ABA” race in pop if other thread pops, re-pushes i

- Can be solved by `counters` or `hazard pointers` to delay re-use

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“Benign” races

- Could also eliminate locks by having race conditions
- Maybe you think you care more about speed than correctness

```
++hits; /* each time someone accesses web site */
```

- Maybe you think you can get away with the race

```
if (!initialized) {  
    lock (m);  
    if (!initialized) {  
        initialize ();  
        atomic_thread_fence (memory_order_release); /* why? */  
        initialized = 1;  
    }  
    unlock (m);  
}
```

- But don't do this [Vyukov], [Boehm]! Not benign at all

- Get undefined behavior—akin to out-of-bounds array access in C11
- If needed for efficiency, use relaxed-memory-order atomics

Read-copy update [McKenney]

- Some data is read way more often than written

- Routing tables consulted for each forwarded packet
- Data maps in system with 100+ disks (updated on disk failure)

- Optimize for the common case of reading without lock

- E.g., global variable: `routing_table *rt;`
- Call `lookup (rt, route);` with no lock

- Update by making copy, swapping pointer

```
routing_table *newrt = copy_routing_table (rt);  
update_routing_table (newrt);  
atomic_thread_fence (memory_order_release);  
rt = newrt;
```

- Is RCU really safe? Stay tuned next lecture...

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Next class

- The exciting conclusion of RCU
 - Spoiler: safe on all architectures except on alpha
- Building a better spinlock
- What interface should kernel provide for sleeping locks?
- Deadlock
- Scalable interface design

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