Princeton University



Computer Science 217: Introduction to Programming Systems

Dynamic Memory Management

Agenda



The need for DMM

DMM using the heap section

DMMgr 1: Minimal implementation

DMMgr 2: Pad implementation

Fragmentation

DMMgr 3: List implementation

DMMgr 4: Doubly-linked list implementation

DMMgr 5: Bins implementation

DMM using virtual memory

DMMgr 6: VM implementation

Why Allocate Memory Dynamically?



Why allocate memory dynamically?

Problem

- Unknown object size
 - E.g. unknown element count in array
 - E.g. unknown node count in linked list or tree
- How much memory to allocate?

Solution 1

Guess (i.e., fixed size buffers. i.e., problems!)

Solution 2

Allocate memory dynamically

Why Free Memory Dynamically?



Why **free** memory dynamically?

Problem

- Pgm should use little memory, i.e.
- Pgm should map few pages of virtual memory
 - Mapping unnecessary VM pages bloats page tables, wastes memory/disk space

Solution

Free dynamically allocated memory that is no longer needed

Option A: Automatic Freeing



Run-time system frees unneeded memory

- Java, Python, ...
- Garbage collection

Pros:

Easy for programmer

Cons:

- Performed constantly => overhead
- Performed periodically => unexpected pauses

```
Car c;
Plane p;
...
c = new Car();
p = new Plane();
...
c = new Car();
```

Original Car object can't be accessed

Option B: Manual Freeing



Programmer frees unneeded memory

• C, C++, Objective-C, ...

Pros

- Less overhead
- No unexpected pauses

Cons

- More complex for programmer
- Opens possibility of memory-related bugs
 - Dereferences of dangling pointers, double frees, memory leaks

Option A vs. Option B



Implications...

If you can, use an automatic-freeing language

Such as Java or Python

If you must, use a manual-freeing language

- Such as C or C++
- For OS kernels, device drivers, garbage collectors, dynamic memory managers, real-time applications, ...

We'll focus on manual freeing

Standard C DMM Functions



Standard C DMM functions:

```
void *malloc(size_t size);
void free(void *ptr);
void *calloc(size_t nmemb, size_t size);
void *realloc(void *ptr, size_t size);
```

Collectively define a dynamic memory manager (DMMgr)

We'll focus on malloc() and free()

Goals for DMM



Goals for effective DMM:

- **Time** efficiency
 - Allocating and freeing memory should be fast
- Space efficiency
 - Pgm should use little memory

Note

- Easy to reduce time or space
- Hard to reduce time and space

Implementing malloc() and free()



Question:

- How to implement malloc() and free()?
- How to implement a DMMgr?

Answer 1:

Use the heap section of memory

Answer 2:

(Later in this lecture)

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The Heap Section of Memory





Supported by Unix/Linux, MS Windows, ...

Heap start is stable

Program break points to end

At process start-up, heap start == program break

Can grow dynamically

By moving program break to higher address

Thereby (indirectly) mapping pages of virtual mem

Can shrink dynamically

By moving program break to lower address

Thereby (indirectly) unmapping pages of virtual mem

Unix Heap Management



Unix system-level functions for heap mgmt:

```
int brk(void *p);
```

- Move the program break to address p
- Return 0 if successful and -1 otherwise

```
void *sbrk(intptr_t n);
```

- Increment the program break by n bytes
- If n is 0, then return the current location of the program break
- Return 0 if successful and (void*)(-1) otherwise
- Beware: should call only with argument 0 buggy implementation in the case of overflow

Note: minimal interface (good!)

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Minimal Impl



Data structures

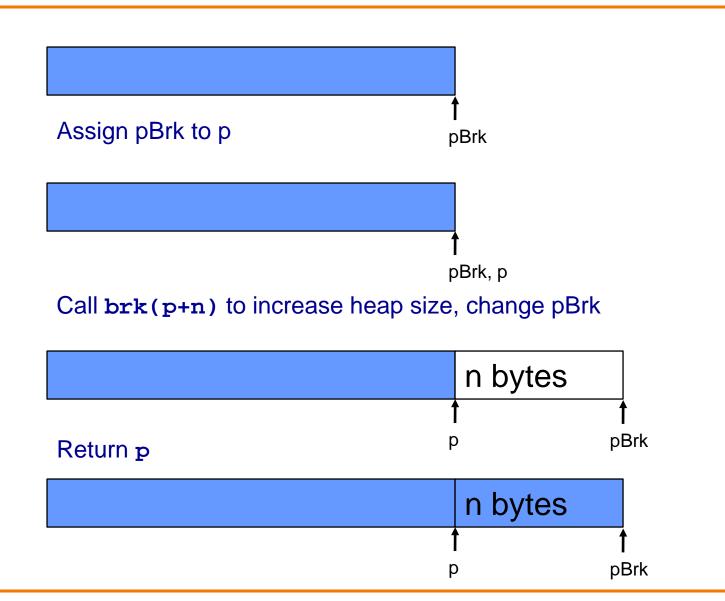
inuse pBrk

• pBrk: address of end of heap (i.e. the program break)

Algorithms (by examples)...

Minimal Impl malloc(n) Example





Minimal Impl free(p) Example



Do nothing!

Minimal Impl



Algorithms

```
void *malloc(size_t n)
  static char *pBrk;
  char *p = pBrk;
   if (p == NULL)
      pBrk = sbrk(0);
   if (brk(p + n) == -1)
      return NULL;
   pBrk = p + n;
   return p;
```

```
void free(void *p)
{
}
```

Minimal Impl Performance



Performance (general case)

- **Time**: bad
 - One system call per malloc()
- Space: bad
 - Each call of malloc() extends heap size
 - No reuse of freed chunks

What's Wrong?



Problem

• malloc() executes a system call each time

Solution

- Redesign malloc() so it does fewer system calls
- Maintain a pad at the end of the heap...

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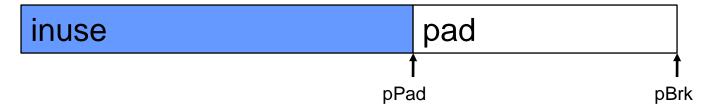
DMM using virtual memory

DMMgr 6: VM implementation

Pad Impl



Data structures

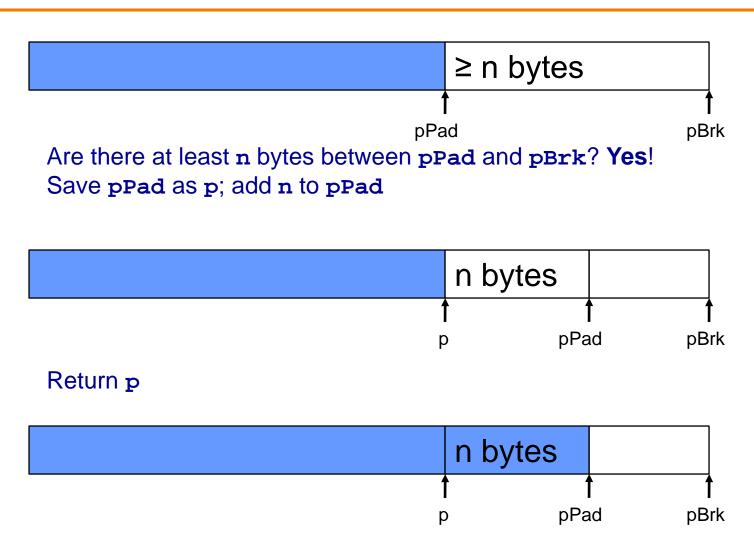


- pBrk: address of end of heap (i.e. the program break)
- pPad: address of beginning of pad

Algorithms (by examples)...

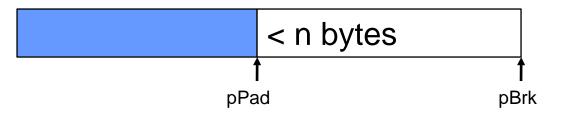
Pad Impl malloc(n) Example 1





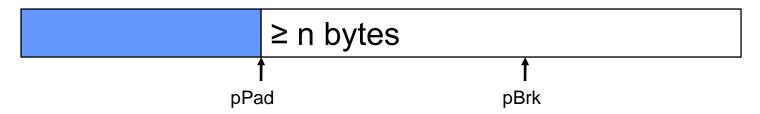
Pad Impl malloc(n) Example 2



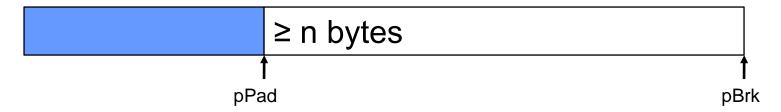


Are there at least n bytes between pPad and pBrk? No!

Call brk() to allocate (more than) enough additional memory



Set pBrk to new program break



Proceed as previously!

Pad Impl free(p) Example



Do nothing!

Pad Impl



inuse pad pBrk

Algorithms

```
void *malloc(size_t n)
{ static char *pPad = NULL;
   static char *pBrk = NULL;
   enum {MIN_ALLOC = 8192};
                                if (pPad + n > pBrk) /* move pBrk */
   char *p;
                                   pNewBrk =
   char *pNewBrk;
                                      max(pPad + n, pBrk + MIN_ALLOC);
   if (pBrk == NULL)
                                   if (brk(pNewBrk) == -1) return NULL;
   { pBrk = sbrk(0);
                                   pBrk = pNewBrk;
     pPad = pBrk;
                                p = pPad;
                                pPad += n;
void free(void *p)
                                return p;
```

Pad Impl Performance



Performance (general case)

- Time: good
 - malloc() calls sbrk() initially
 - malloc() calls brk() infrequently thereafter
- Space: bad
 - No reuse of freed chunks

What's Wrong?



Problem

• malloc() doesn't reuse freed chunks

Solution

- free() marks freed chunks as "free"
- malloc() uses marked chunks whenever possible
- malloc() extends size of heap only when necessary

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DMMgr 6: VM implementation

Fragmentation



At any given time, some heap memory chunks are in use, some are marked "free"

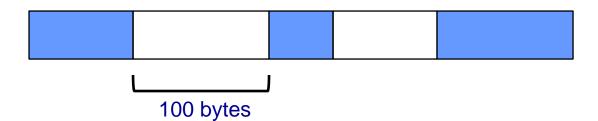


DMMgr must be concerned about **fragmentation**...

Internal Fragmentation



Internal fragmentation: waste within chunks



Client asks for 90 bytes DMMgr provides chunk of size 100 bytes 10 bytes wasted

Generally

Program asks for n bytes

DMMgr provides chunk of size n+Δ bytes

Δ bytes wasted

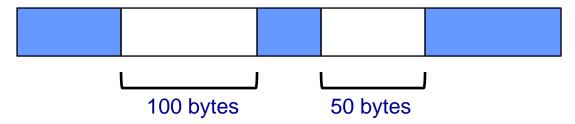
Space efficiency =>

DMMgr should reduce internal fragmentation

External Fragmentation



External fragmentation: waste because of **non-contiguous** chunks



Client asks for 150 bytes 150 bytes are available, but not contiguously DMMgr must extend size of heap

Generally

Program asks for n bytes

n bytes are available, but not contiguously

DMMgr must extend size of heap to satisfy request

Space efficiency =>

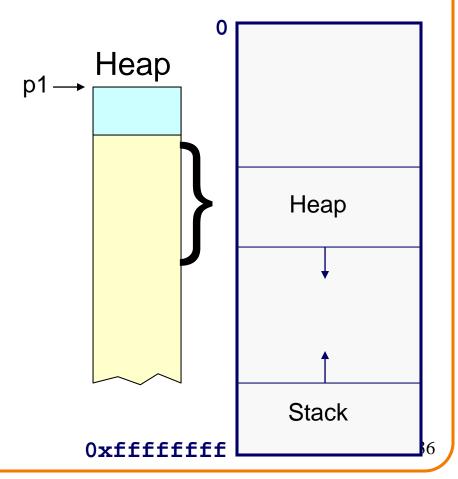
DMMgr should reduce external fragmentation



```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```

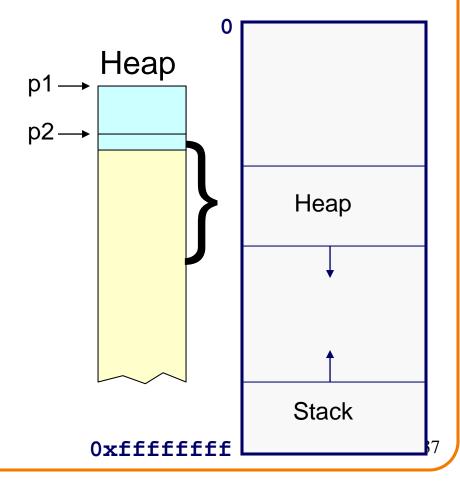


```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```



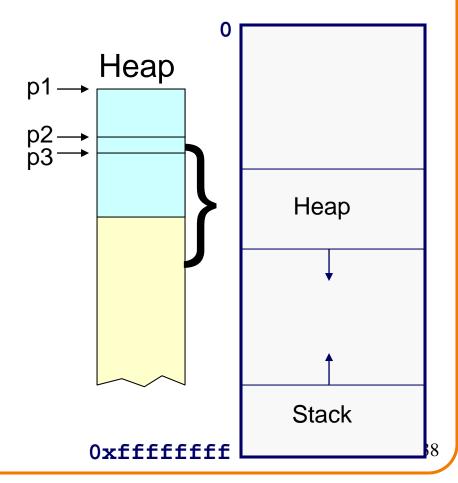


```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```

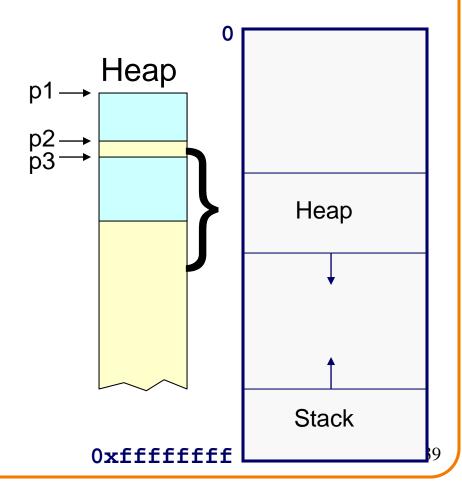




External fragmentation occurred

```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);

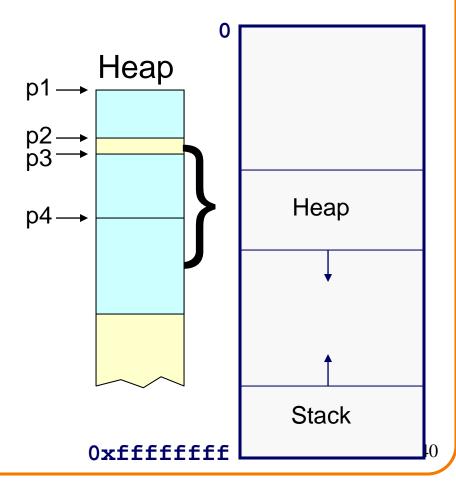
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);

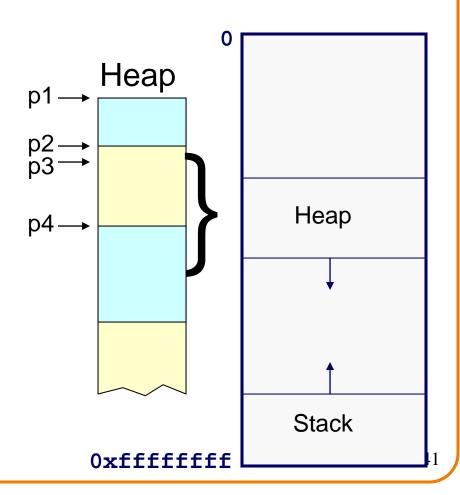
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





DMMgr coalesced two free chunks

```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```

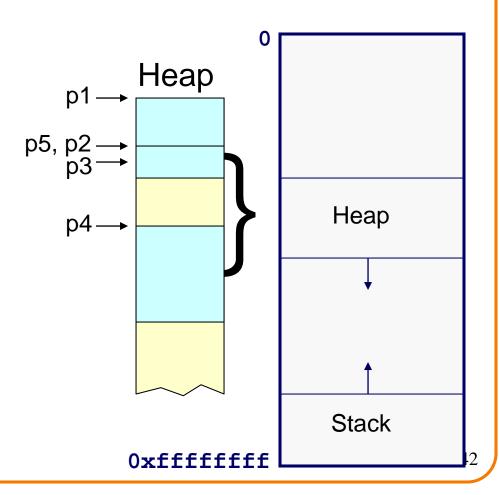




DMMgr reused previously freed chunk

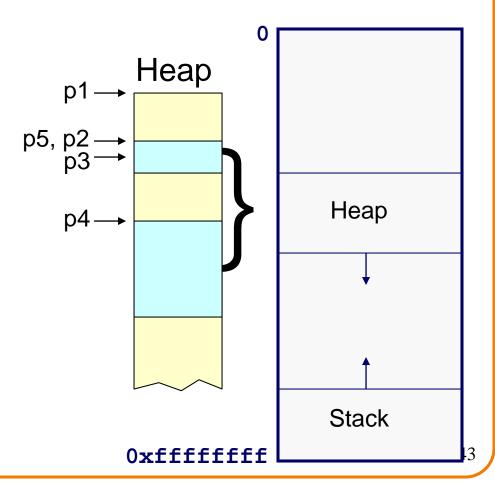
```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);

char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```



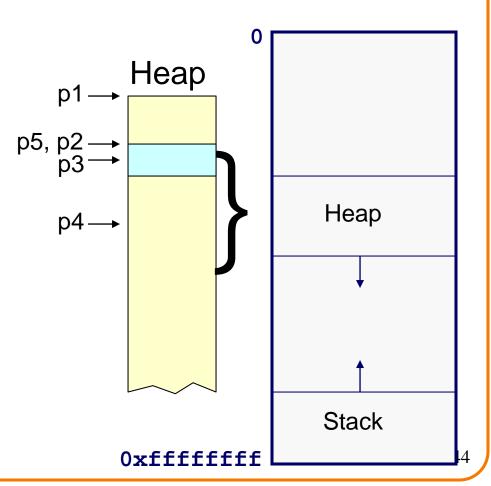


```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```



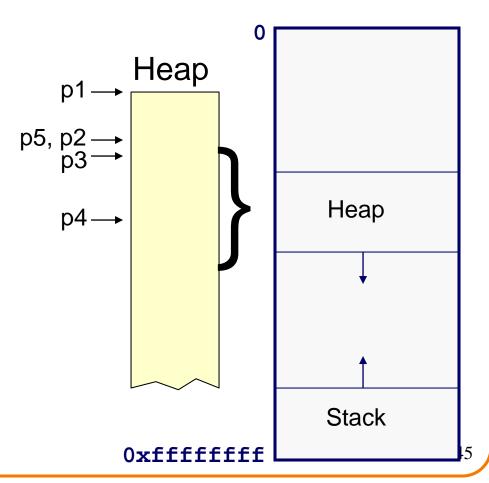


```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





```
char *p1 = malloc(3);
char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
char *p4 = malloc(6);
free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





DMMgr cannot:

- Reorder requests
 - Client may allocate & free in arbitrary order
 - Any allocation may request arbitrary number of bytes
- Move memory chunks to improve performance
 - Client stores addresses
 - Moving a memory chunk would invalidate client pointer!

Some external fragmentation is unavoidable

Agenda



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DMMgr 5: Bins implementation

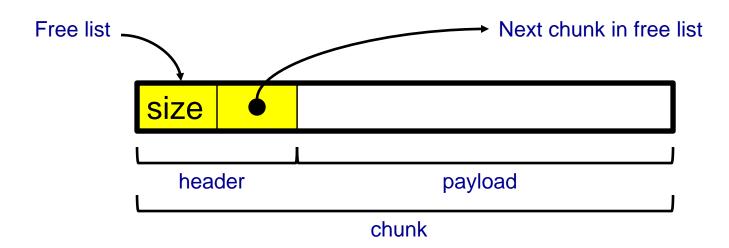
DMM using virtual memory

DMMgr 6: VM implementation

List Impl



Data structures

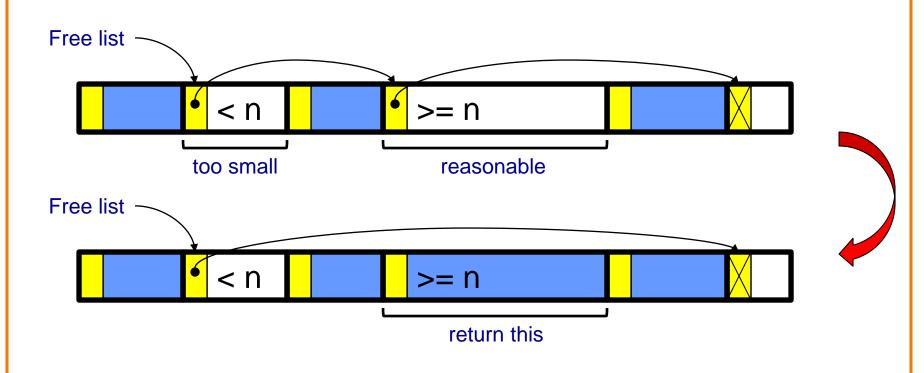


Free list contains all free chunks
In order by mem addr
Each chunk contains header & payload
Payload is used by client
Header contains chunk size & (if free) addr of next chunk in free list

Algorithms (by examples)...

List Impl: malloc(n) Example 1

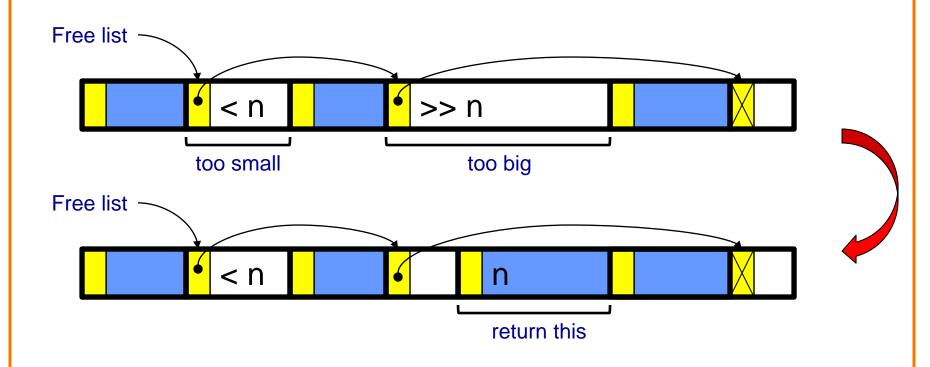




Search list for big-enough chunk
Note: first-fit (not best-fit) strategy
Found & reasonable size =>
Remove from list and return payload

List Impl: malloc(n) Example 2

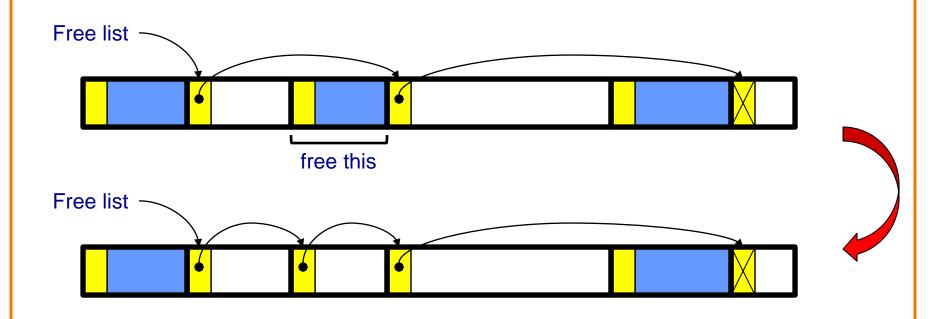




Search list for big-enough chunk
Found & too big =>
Split chunk, return payload of tail end
Note: Need not change links

List Impl: free(p) Example

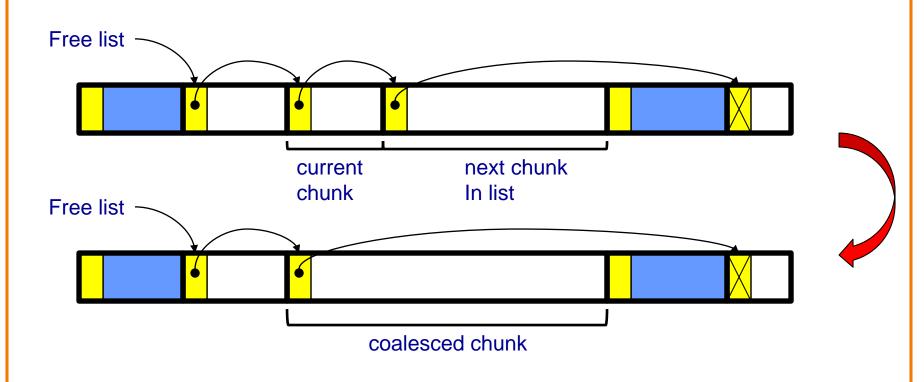




Search list for proper insertion spot Insert chunk into list (Not finished yet!)

List Impl: free(p) Example (cont.)





Look at current chunk

Next chunk in memory == next chunk in list =>

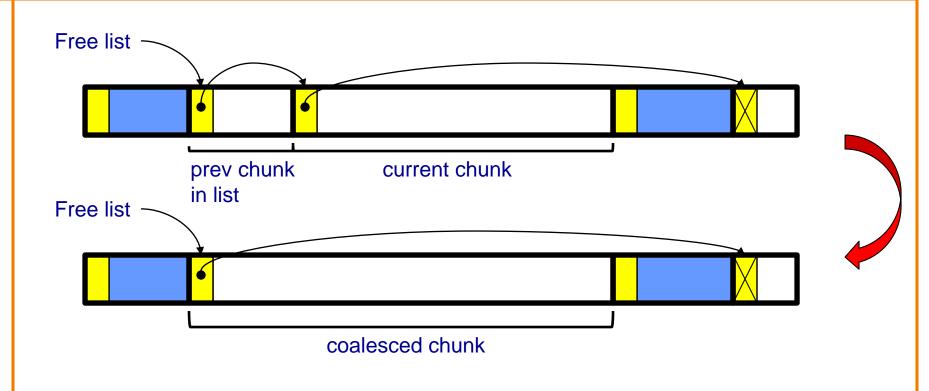
Remove both chunks from list

Coalesce
Insert chunk into list

(Not finished yet!)

List Impl: free(p) Example (cont.)





Look at prev chunk in list

Next in memory == next in list =>

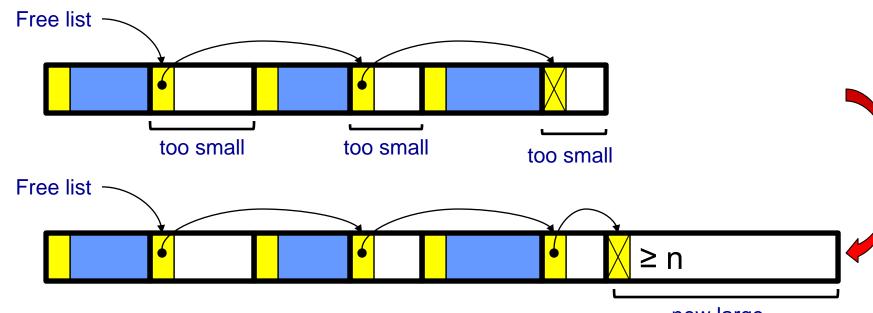
Remove both chunks from list

Coalesce
Insert chunk into list

(Finished!)

List Impl: malloc(n) Example 3



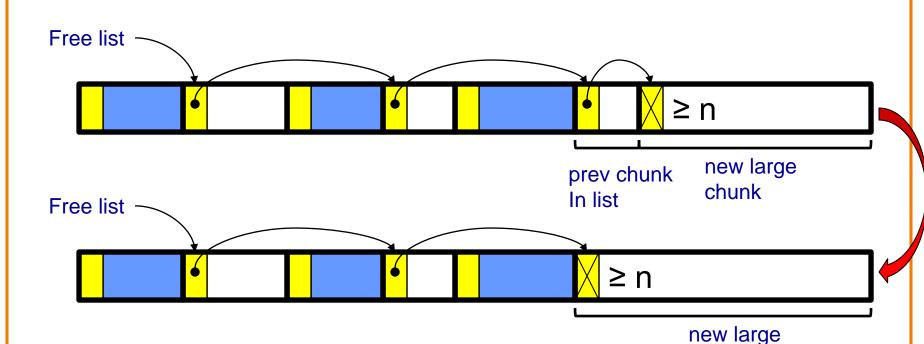


Search list for big-enough chunk
None found =>
 Call brk() to increase heap size
 Insert new chunk at end of list
(Not finished yet!)

new large chunk

List Impl: malloc(n) Example 3 (cont.)





Look at prev chunk in list

Next chunk memory == next chunk in list =>

Remove both chunks from list

Coalesce

Insert chunk into list

Then proceed to use the new chunk, as before (Finished!)

chunk

List Impl



Algorithms (see precepts for more precision)

malloc(n)

- Search free list for big-enough chunk
- Chunk found & reasonable size => remove, use
- Chunk found & too big => split, use tail end
- Chunk not found => increase heap size, create new chunk
- New chunk reasonable size => remove, use
- New chunk too big => split, use tail end

free(p)

- Search free list for proper insertion spot
- Insert chunk into free list
- Next chunk in memory also free => remove both, coalesce, insert
- Prev chunk in memory free => remove both, coalesce, insert

List Impl Performance



Space

- Some internal & external fragmentation is unavoidable
- Headers are overhead
- Overall: good

Time: malloc()

- Must search free list for big-enough chunk
- Bad: O(n)
- But often acceptable

Time: free()

• ???

iClicker Question

Q: How fast is **free()** in the List implementation?

- A. Fast: O(1)
- B. Slow: O(1) but often acceptable
- C. Slow: O(1) and often very bad
- D. Even worse than that...

List Impl Performance



Space

- Some internal & external fragmentation is unavoidable
- Headers are overhead
- Overall: good

Time: malloc()

- Must search free list for big-enough chunk
- Bad: O(n)
- But often acceptable

Time: free()

- Must search free list for insertion spot
- Bad: O(n)
- Often very bad

What's Wrong?



Problem

• free() must traverse (long) free list, so can be (very) slow

Solution

• Use a doubly-linked list...

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DMMgr 4: Doubly-linked list implementation

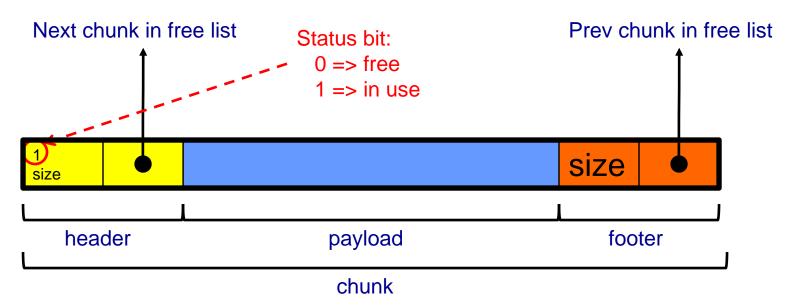
DMMgr 5: Bins implementation

DMM using virtual memory

DMMgr 6: VM implementation



Data structures



Free list is doubly-linked

Each chunk contains header, payload, footer

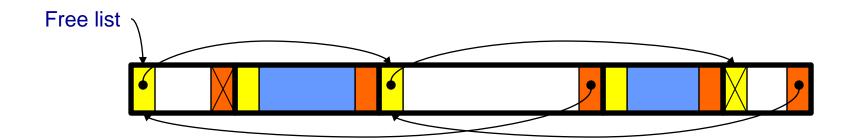
Payload is used by client

Header contains status bit, chunk size, & (if free) addr of next chunk in list **Footer** contains redundant chunk size & (if free) addr of prev chunk in list

Free list is unordered



Typical heap during program execution:





Algorithms (see precepts for more precision)

malloc(n)

- Search free list for big-enough chunk
- Chunk found & reasonable size => remove, set status, use
- Chunk found & too big => remove, split, insert tail, set status, use front
- Chunk not found => increase heap size, create new chunk, insert
- New chunk reasonable size => remove, set status, use
- New chunk too big => remove, split, insert tail, set status, use front



Algorithms (see precepts for more precision)

free(p)

- Set status
- Search free list for proper insertion spot
- Insert chunk into free list
- Next chunk in memory also free => remove both, coalesce, insert
- Prev chunk in memory free => remove both, coalesce, insert



Consider sub-algorithms of free()...

Insert chunk into free list

- Linked list version: slow
 - Traverse list to find proper spot
- Doubly-linked list version: fast
 - Insert at front!

Remove chunk from free list

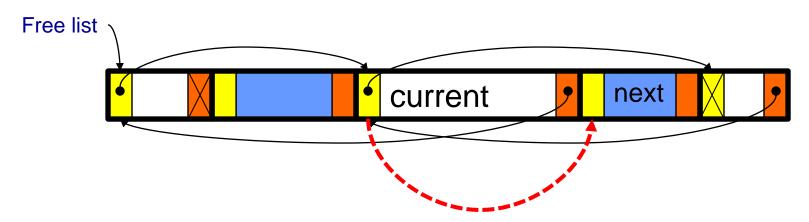
- Linked list version: slow
 - Traverse list to find prev chunk in list
- Doubly-linked list version: fast
 - Use backward pointer of current chunk to find prev chunk in list



Consider sub-algorithms of free()...

Determine if next chunk in memory is free

- Linked list version: slow
 - Traverse free list to see if next chunk in memory is in list
- Doubly-linked list version: fast



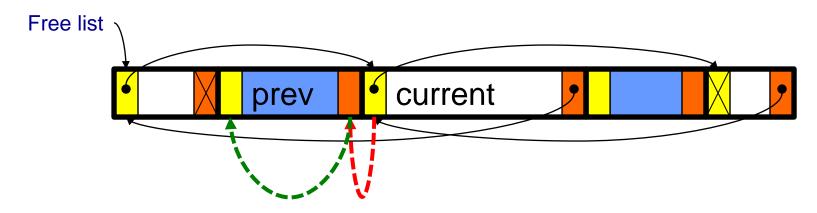
Use current chunk's size to find next chunk Examine status bit in next chunk's header



Consider sub-algorithms of free()...

Determine if prev chunk in memory is free

- Linked list version: slow
 - Traverse free list to see if prev chunk in memory is in list
- Doubly-linked list version: fast



Fetch prev chunk's size from its footer
Do ptr arith to find prev chunk's header
Examine status bit in prev chunk's header



Observation:

- All sub-algorithms of free() are fast
- free() is fast!



Space

- Some internal & external fragmentation is unavoidable
- Headers & footers are overhead
- Overall: Good

Time: free()

- All steps are fast
- Good: O(1)

Time: malloc()

- Must search free list for big-enough chunk
- Bad: O(n)
- Often acceptable
- Subject to bad worst-case behavior
 - E.g. long free list with big chunks at end

What's Wrong?



Problem

• malloc() must traverse doubly-linked list, so can be slow

Solution

Use multiple doubly-linked lists (bins)...

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Bins Impl



Data structures



Use an array; each element is a **bin**Each bin is a doubly-linked list of free chunks

As in previous implementation

bin[i] contains free chunks of size i

Exception: Final bin contains chunks of size MAX_BIN **or larger**

(More elaborate binning schemes are common)

Bins Impl



Algorithms (see precepts for more precision)

malloc(n)

- Search free list proper bin(s) for big-enough chunk
- Chunk found & reasonable size => remove, set status, use
- Chunk found & too big => remove, split, insert tail, set status, use front
- Chunk not found => increase heap size, create new chunk
- New chunk reasonable size => remove, set status, use
- New chunk too big => remove, split, insert tail, set status, use front

free(p)

- Set status
- Insert chunk into free list proper bin
- Next chunk in memory also free => remove both, coalesce, insert
- Prev chunk in memory free => remove both, coalesce, insert

Bins Impl Performance



Space

- Pro: For small chunks, uses best-fit (not first-fit) strategy
 - Could decrease internal fragmentation and splitting
- Con: Some internal & external fragmentation is unavoidable
- Con: Headers, footers, bin array are overhead
- Overall: good

Time: malloc()

- Pro: Binning limits list searching
 - Search for chunk of size i begins at bin i and proceeds downward
- Con: Could be bad for large chunks (i.e. those in final bin)
 - Performance degrades to that of list version
- Overall: good O(1)

Time: free()

• ???

iClicker Question

Q: How fast is **free()** in the Bins implementation?

- A. Fast: O(1)
- B. Slow: O(1) but often acceptable
- C. Slow: O(1) and often very bad
- D. Even worse than that...

Bins Impl Performance



Space

- Pro: For small chunks, uses best-fit (not first-fit) strategy
 - Could decrease internal fragmentation and splitting
- Con: Some internal & external fragmentation is unavoidable
- Con: Headers, footers, bin array are overhead
- Overall: good

Time: malloc()

- Pro: Binning limits list searching
 - Search for chunk of size i begins at bin i and proceeds downward
- Con: Could be bad for large chunks (i.e. those in final bin)
 - Performance degrades to that of list version
- **Overall**: good O(1)

Time: free()

• Good: O(1)

DMMgr Impl Summary (so far)



Implementation	Space	Time
(1) Minimal	Bad	Malloc: Bad Free: Good
(2) Pad	Bad	Malloc: Good Free: Good
(3) List	Good	Malloc: Bad (but could be OK) Free: Bad
(4) Doubly-Linked List	Good	Malloc: Bad (but could be OK) Free: Good
(5) Bins	Good	Malloc: Good Free: Good

Assignment 6: Given (3), compose (4) and (5)

What's Wrong?



Observations

- Heap mgr might want to free memory chunks by unmapping them rather than marking them
 - Minimizes virtual page count
- Heap mgr can call brk(pBrk-n) to decrease heap size
 - And thereby unmap heap memory
- But often memory to be unmapped is not at high end of heap!

Problem

How can heap mgr unmap memory effectively?

Solution

Don't use the heap!

What's Wrong?



Reprising a previous slide...

Question:

- How to implement malloc() and free()?
- How to implement a DMMgr?

Answer 1:

Use the heap section of memory

Answer 2:

Make use of virtual memory concept...

Agenda



The need for DMM

DMM using the heap section

DMMgr 1: Minimal implementation

DMMgr 2: Pad implementation

Fragmentation

DMMgr 3: List implementation

DMMgr 4: Doubly-linked list implementation

DMMgr 5: Bins implementation

DMM using virtual memory

DMMgr 6: VM implementation

Unix VM Mapping Functions



Unix allows application programs to map/unmap VM explicitly

```
void *mmap(void *p, size_t n, int prot, int flags,
  int fd, off_t offset);
```

- Creates a new mapping in the virtual address space of the calling process
- p: the starting address for the new mapping
- n: the length of the mapping
- If p is NULL, then the kernel chooses the address at which to create the mapping; this is the most portable method of creating a new mapping
- On success, returns address of the mapped area

```
int munmap(void *p, size_t n);
```

Deletes the mappings for the specified address range

Unix VM Mapping Functions



Typical call of mmap() for allocating memory

- Asks OS to map a new read/write area of virtual memory containing
 n bytes
- Returns the virtual address of the new area on success, (void*)-1
 on failure

Typical call of munmap()

```
status = munmap(p, n);
```

- Unmaps the area of virtual memory at virtual address p consisting of n bytes
- Returns 0 on success, -1 on failure

See Bryant & O' Hallaron book and man pages for details

Agenda



The need for DMM

DMM using the heap section

DMMgr 1: Minimal implementation

DMMgr 2: Pad implementation

Fragmentation

DMMgr 3: List implementation

DMMgr 4: Doubly-linked list implementation

DMMgr 5: Bins implementation

DMM using virtual memory

DMMgr 6: VM implementation

VM Mapping Impl



Data structures

size	
L L	
header	payload
	chunk

Each chunk consists of a header and payload Each header contains size

VM Mapping Impl



Algorithms

```
void free(void *p)
{    size_t ps = (size_t*)p;
    if (ps == NULL) return;
    ps--; /* Move backward from payload to header */
    munmap(ps, *ps);
}
```

VM Mapping Impl Performance



Space

- Fragmentation problem is delegated to OS
- Overall: Depends on OS

Time

- For small chunks
 - One system call (mmap()) per call of malloc()
 - One system call (munmap()) per call of free()
 - Overall: poor
- For large chunks
 - free() unmaps (large) chunks of memory, and so shrinks page table
 - Overall: maybe good!

The GNU Implementation



Observation

 malloc() and free() on CourseLab are from the GNU (the GNU Software Foundation)

Question

• How are GNU malloc() and free() implemented?

Answer

- For small chunks
 - Use heap (sbrk() and brk())
 - Use bins implementation
- For large chunks
 - Use VM directly (mmap() and munmap())

Summary



The need for DMM

Unknown object size

DMM using the heap section

- On Unix: sbrk() and brk()
- Complicated data structures and algorithms
- Good for managing small memory chunks

DMM using virtual memory

- On Unix: mmap() and munmap()
- Good for managing large memory chunks

See Appendix for additional approaches/refinements

Appendix: Additional Approaches



Some additional approaches to dynamic memory mgmt...

Selective Splitting



Observation

• In previous implementations, malloc() splits whenever chosen chunk is too big

Alternative: selective splitting

Split only when remainder is above some threshold

Pro

Reduces external fragmentation

Con

Increases internal fragmentation

Deferred Coalescing



Observation

Previous implementations do coalescing whenever possible

Alternative: deferred coalescing

Wait, and coalesce many chunks at a later time

Pro

Handles malloc(n); free(); malloc(n) sequences well

Con

Complicates algorithms

Segregated Data



Observation

Splitting and coalescing consume lots of overhead

Problem

How to eliminate that overhead?

Solution: segregated data

- Make use of the virtual memory concept...
- Use bins
- Store each bin's chunks in a distinct (segregated) virtual memory page
- Elaboration...

Segregated Data



Segregated data

- Each bin contains chunks of fixed sizes
 - E.g. 32, 64, 128, ...
- All chunks within a bin are from same virtual memory page
- malloc() never splits! Examples:
 - malloc(32) => provide 32
 - malloc(5) => provide 32
 - malloc(100) => provide 128
- free() never coalesces!
 - Free block => examine address, infer virtual memory page, infer bin, insert into that bin

Segregated Data



Pros

- Eliminates splitting and coalescing overhead
- Eliminates most meta-data; only forward links required
 - No backward links, sizes, status bits, footers

Con

- Some usage patterns cause excessive external fragmentation
 - E.g. Only one malloc(32) wastes all but 32 bytes of one virtual page

Segregated Meta-Data



Observations

- Meta-data (chunk sizes, status flags, links, etc.) are scattered across the heap, interspersed with user data
- Heap mgr often must traverse meta-data

Problem 1

User error easily can corrupt meta-data

Problem 2

 Frequent traversal of meta-data can cause excessive page faults (poor locality)

Solution: segregated meta-data

- Make use of the virtual memory concept...
- Store meta-data in a distinct (segregated) virtual memory page from user data