# **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

- Program should use little memory, i.e.
- Program 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

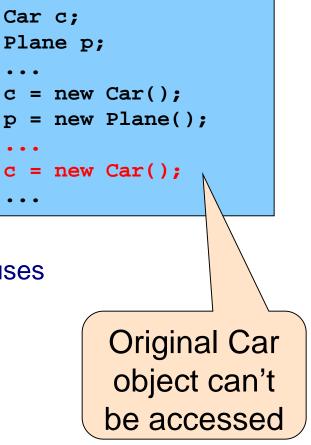
- Java, Python, ...
- Garbage collection

Pros:

• Easy for programmer

#### Cons:

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



## **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)

## 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** 

#### The Heap Section of Memory Low High memory memory **Program break** Heap start 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 14

# **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!)

## Agenda



The need for DMM

DMM using the heap section

**DMMgr 1: Minimal implementation** 

**DMMgr 2: Pad implementation** 

Fragmentation

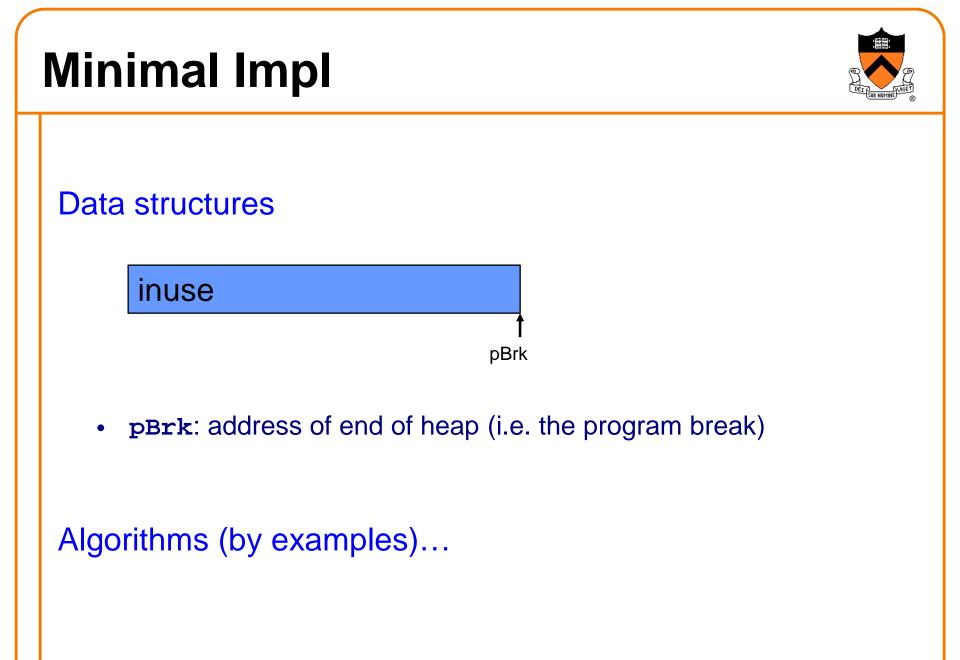
**DMMgr 3: List implementation** 

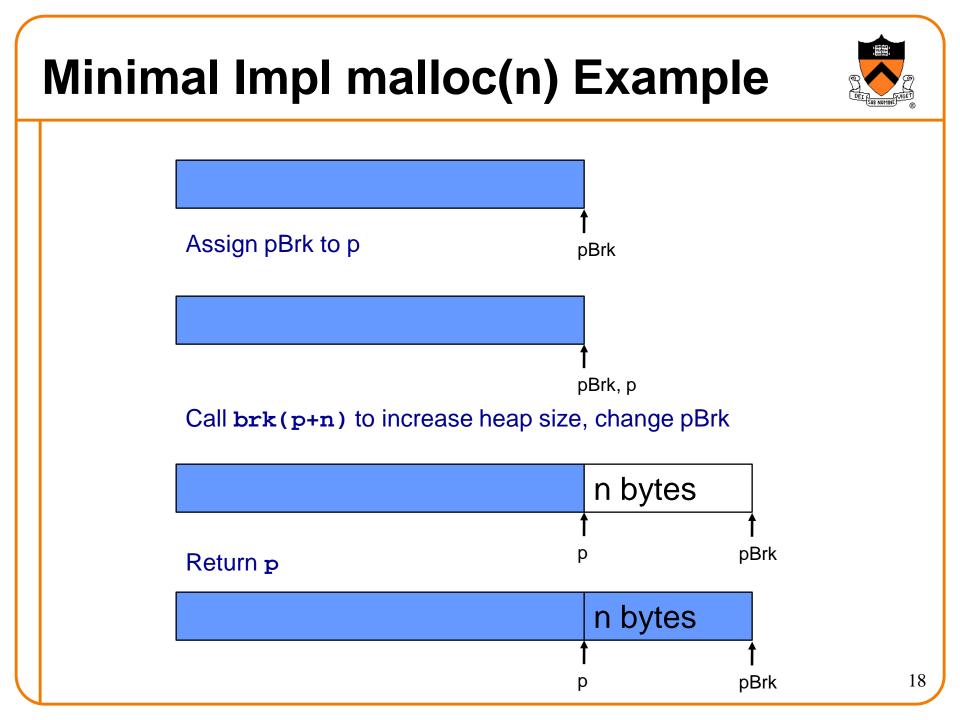
**DMMgr 4: Doubly-linked list implementation** 

**DMMgr 5: Bins implementation** 

DMM using virtual memory

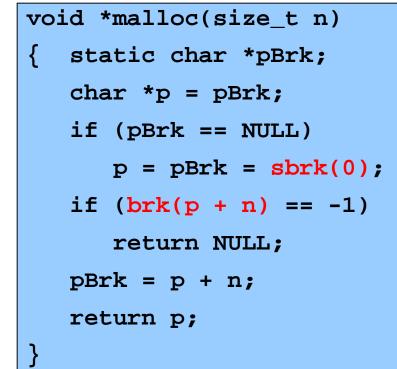
**DMMgr 6: VM implementation** 





# Minimal Impl free(p) Example

```
Minimal Impl
```



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



# **Minimal Impl Performance**

PLET FOR NUTINE

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...

## Agenda



The need for DMM

DMM using the heap section

**DMMgr 1: Minimal implementation** 

**DMMgr 2: Pad implementation** 

Fragmentation

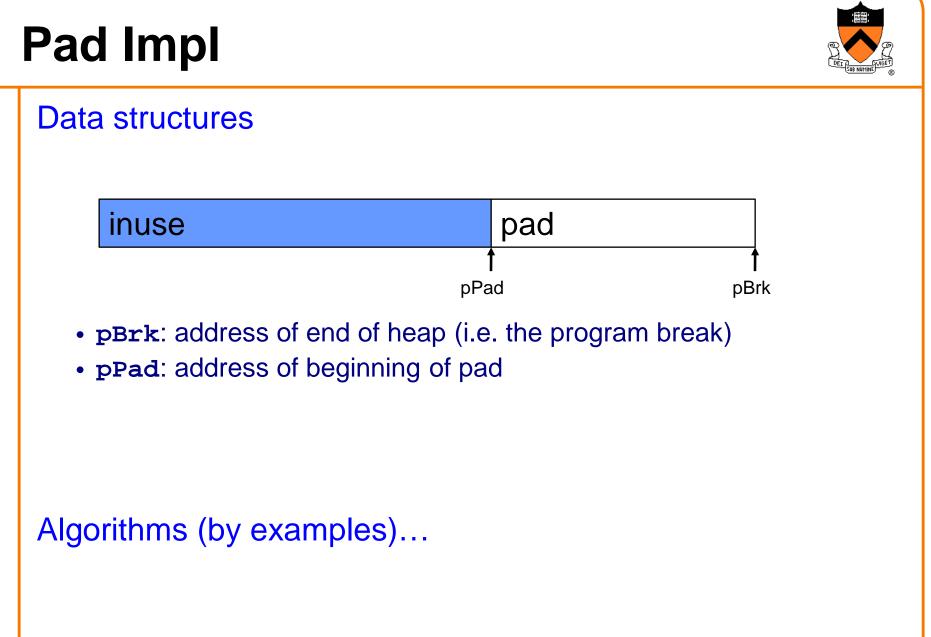
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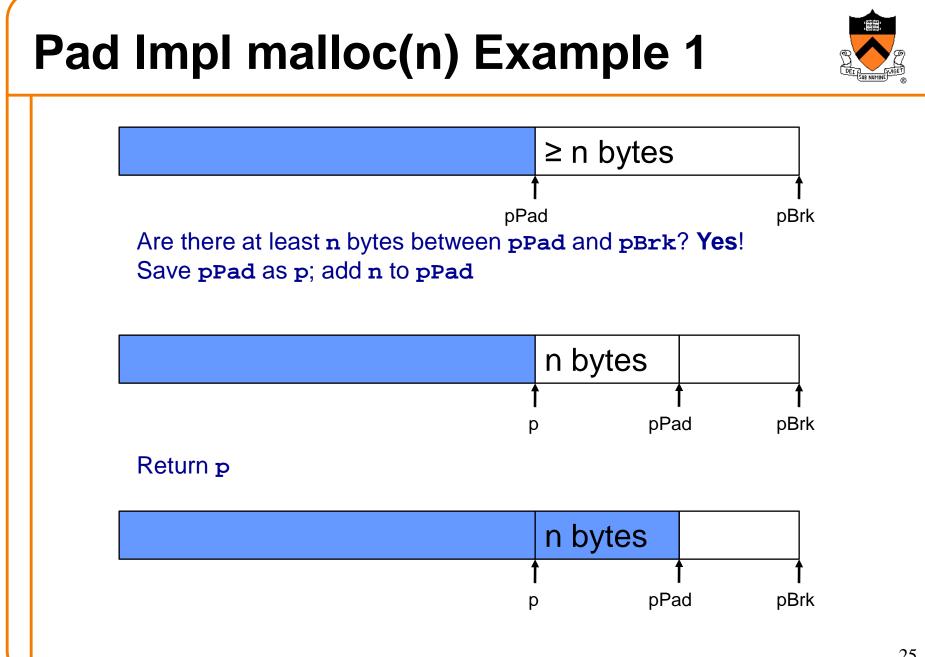
DMMgr 4: Doubly-linked list implementation

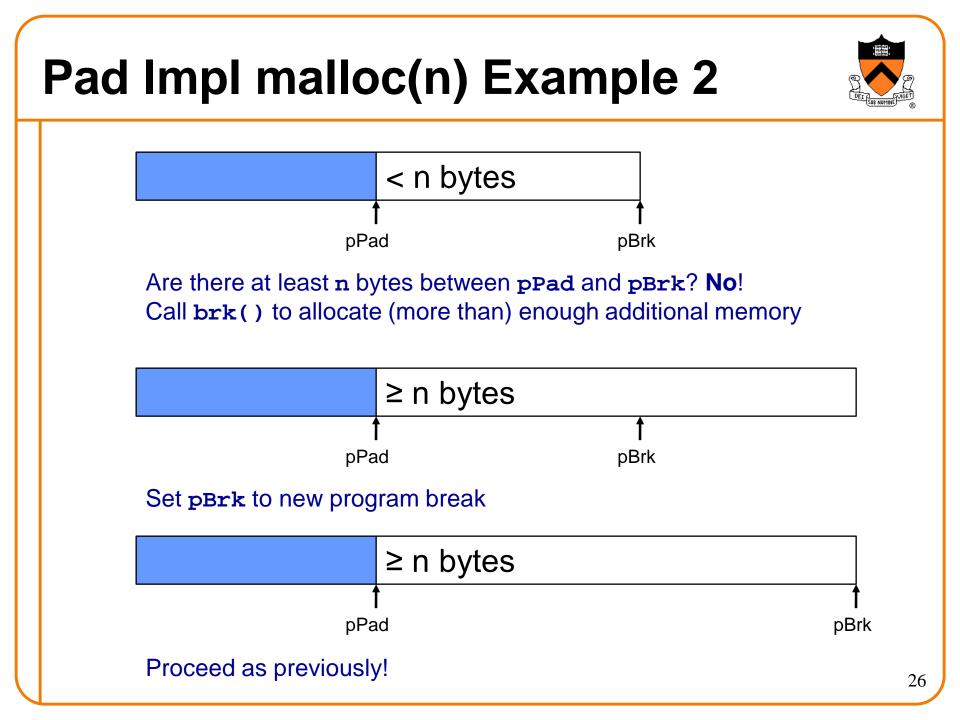
**DMMgr 5: Bins implementation** 

DMM using virtual memory

**DMMgr 6: VM implementation** 







# Pad Impl free(p) Example

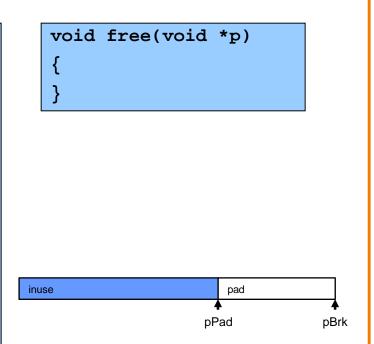


Do nothing!

## Pad Impl



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

## Agenda



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**DMMgr 1: Minimal implementation** 

**DMMgr 2: Pad implementation** 

**Fragmentation** 

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## **Fragmentation**



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

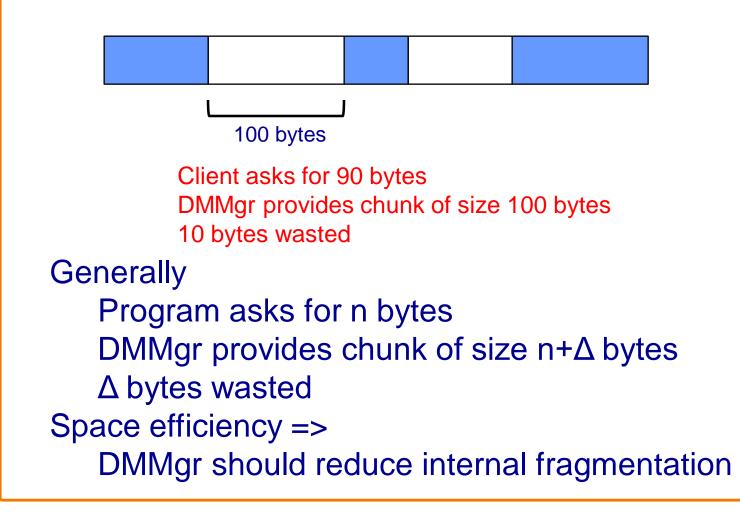


DMMgr must be concerned about fragmentation...

## **Internal Fragmentation**



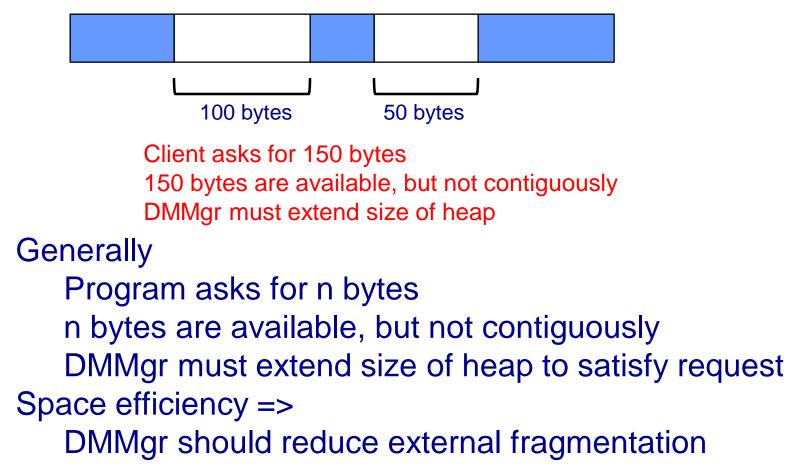
Internal fragmentation: waste within chunks



# **External Fragmentation**

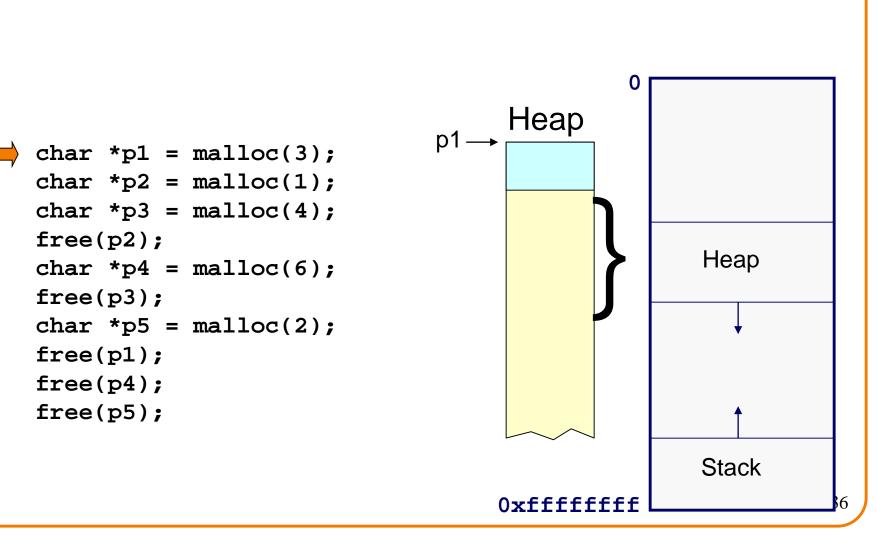


External fragmentation: waste because of non-contiguous chunks

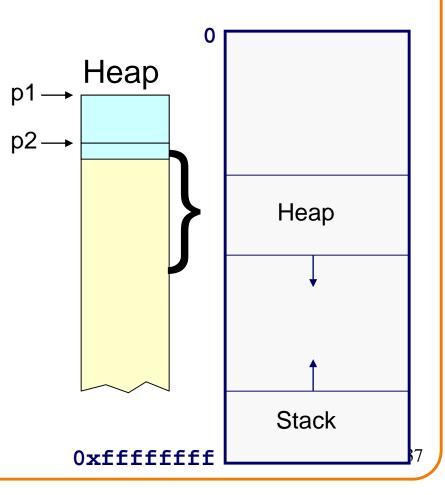




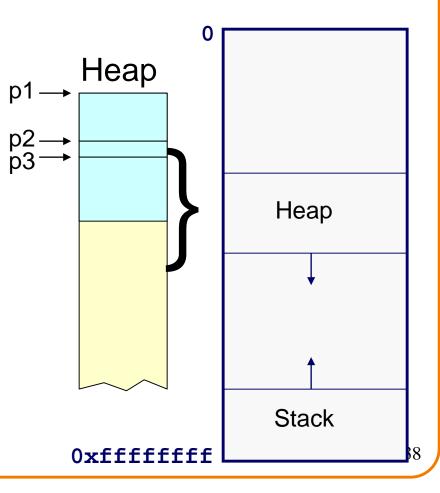
<pre>char *p1 = malloc(3);</pre>
<pre>char *p2 = malloc(1);</pre>
char $*p3 = malloc(4);$
<pre>free(p2);</pre>
char $*p4 = malloc(6);$
<pre>free(p3);</pre>
char $*p5 = malloc(2);$
<pre>free(p1);</pre>
<pre>free(p4);</pre>
<pre>free(p5);</pre>



```
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);
```



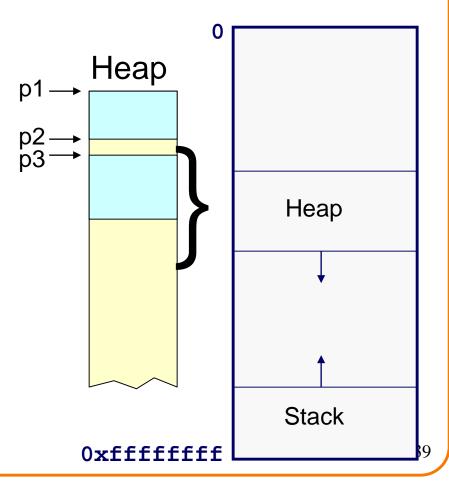
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char *p2 = malloc(1);
char *p3 = malloc(4);
free(p2);
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free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```



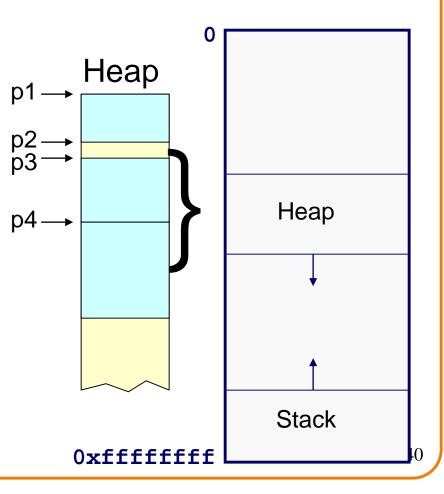


#### External fragmentation occurred

```
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);
```



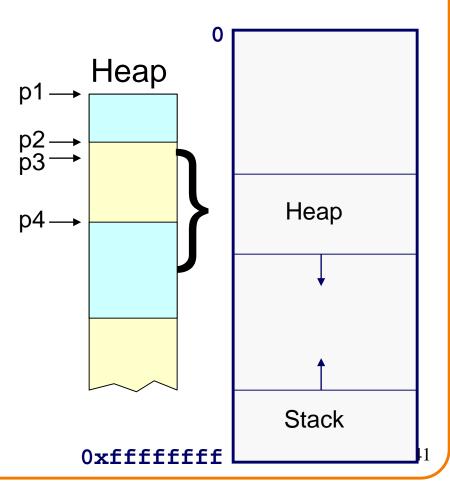
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free(p2);
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free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```





DMMgr coalesced two free chunks

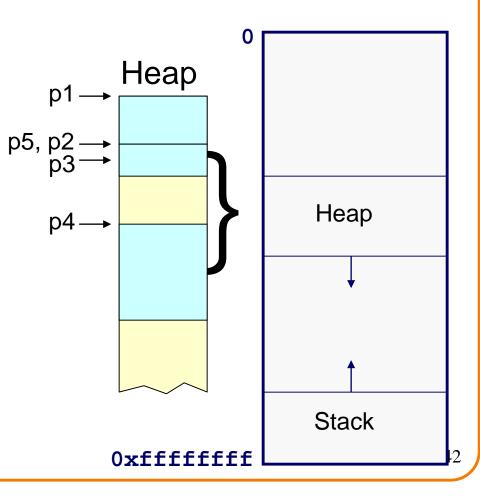
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free(p3);
char *p5 = malloc(2);
free(p1);
free(p4);
free(p5);
```

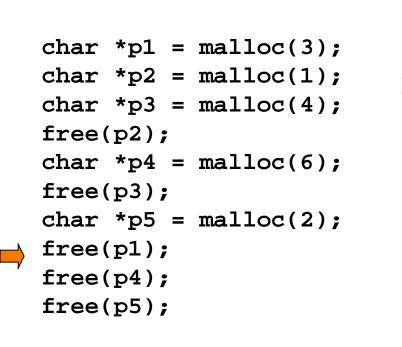


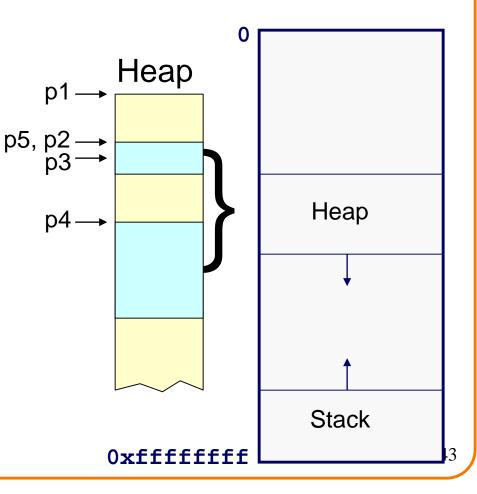


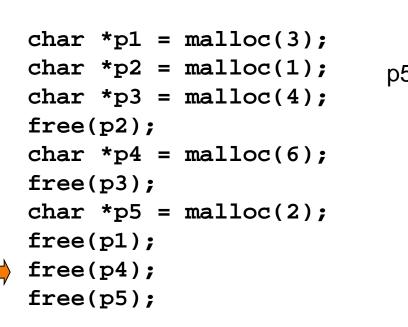
DMMgr reused previously freed chunk

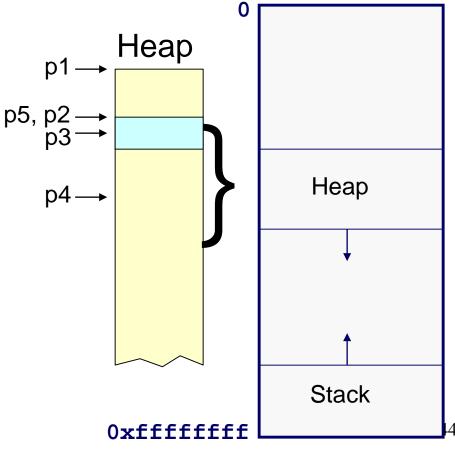
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free(p1);
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free(p5);
```



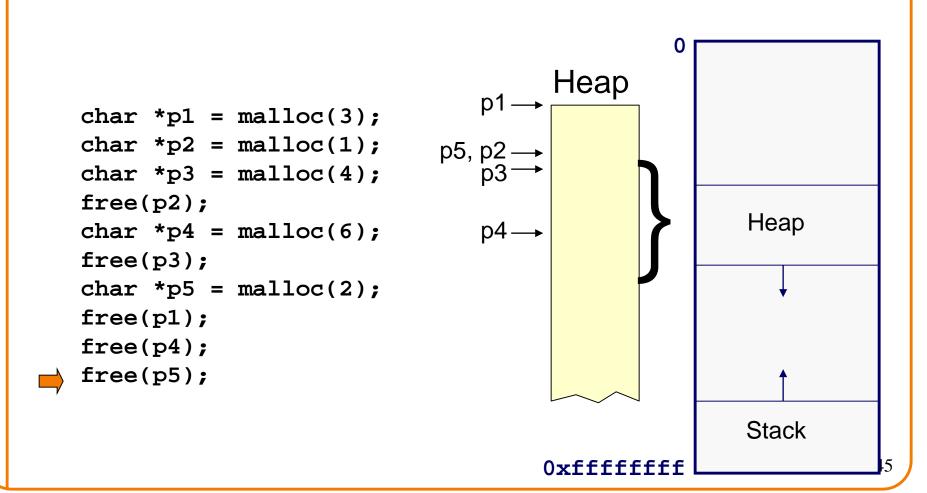














#### DMMgr cannot:

- 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 6: VM implementation** 

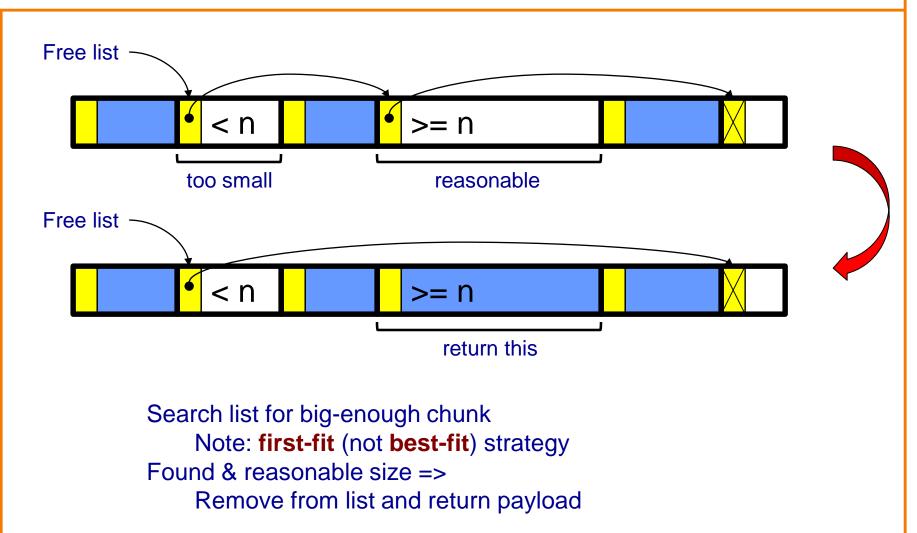
### **List Impl**



### Data structures Free list Next chunk in free list size header payload chunk 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

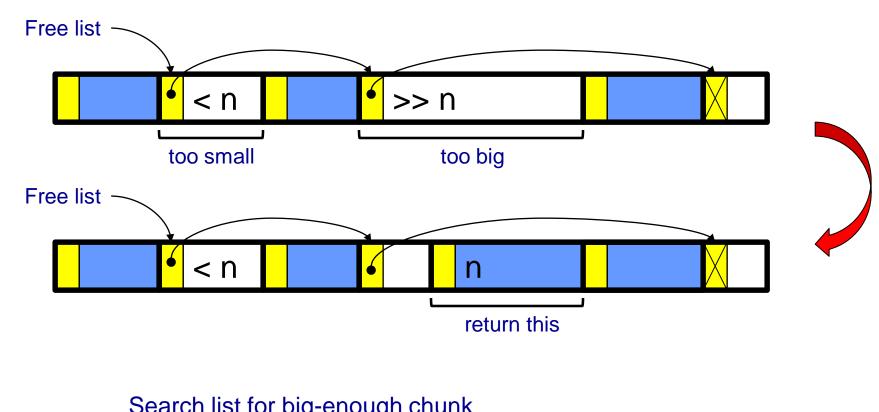
Algorithms (by examples)...

### List Impl: malloc(n) Example 1



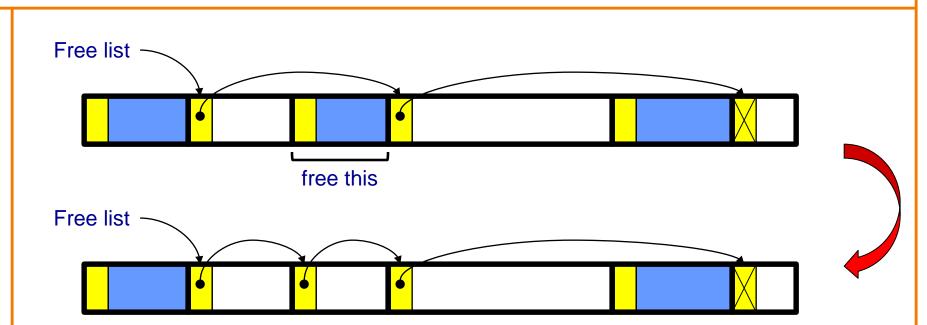


## List Impl: malloc(n) Example 2



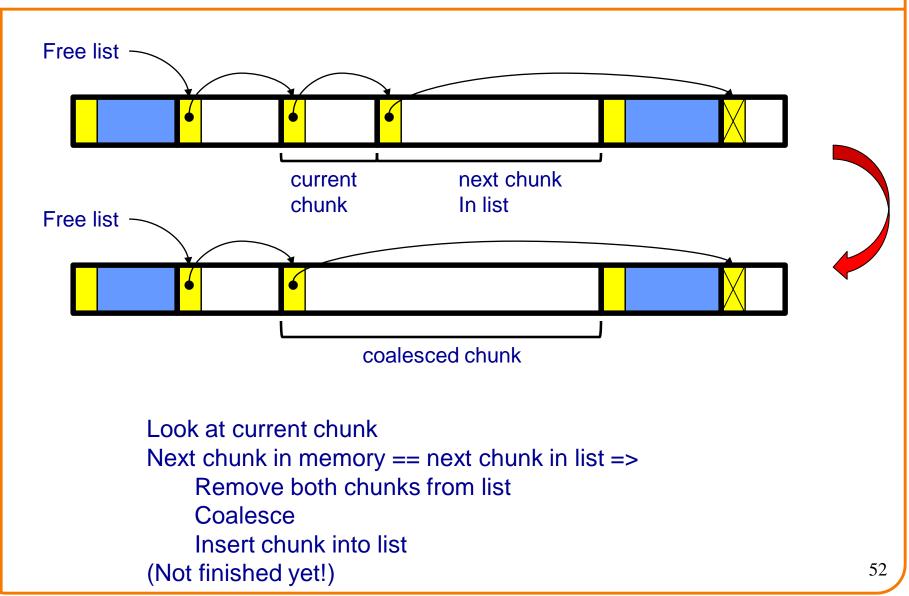
Search list for big-enough chunk Found & too big => Split chunk, return payload of tail end Note: Need not change links

### List Impl: free(p) Example

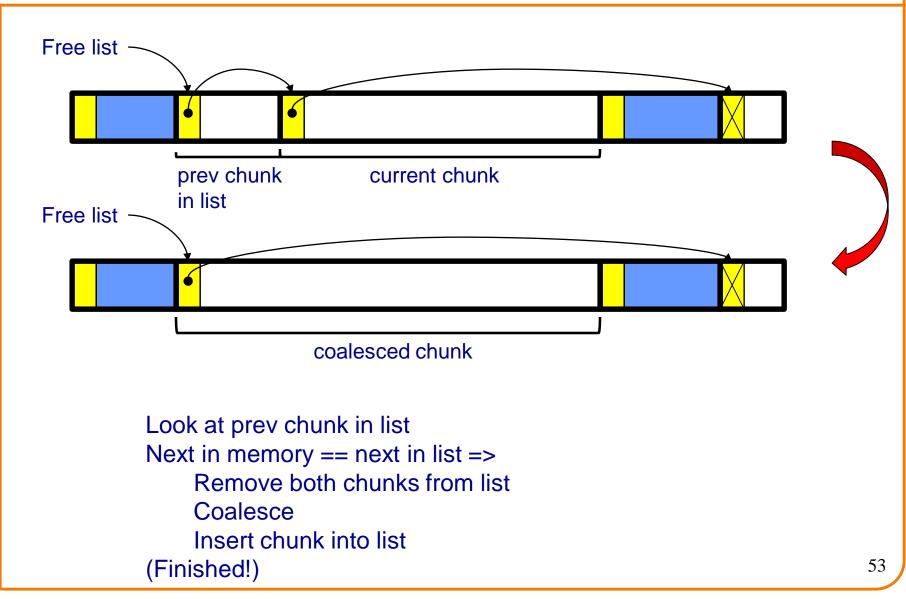


Search list for proper insertion spot Insert chunk into list (Not finished yet!)

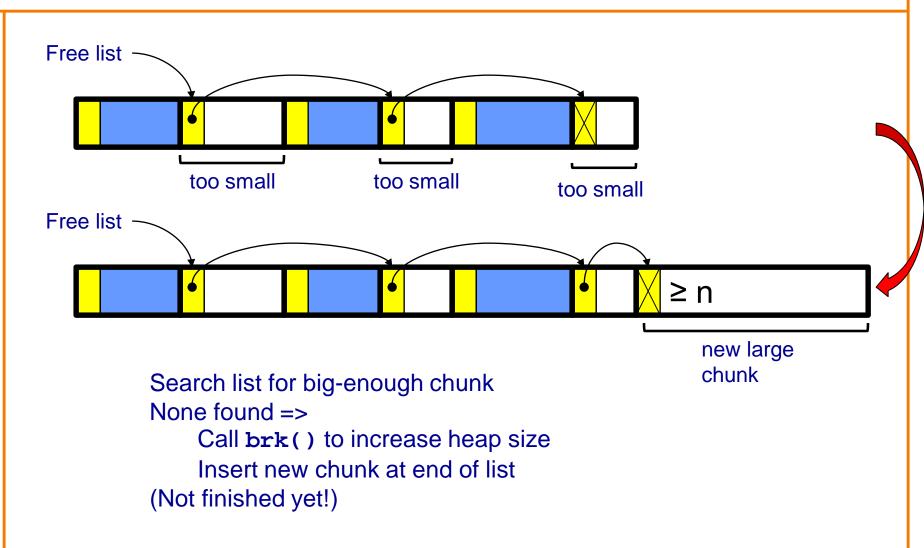
# List Impl: free(p) Example (cont.)



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

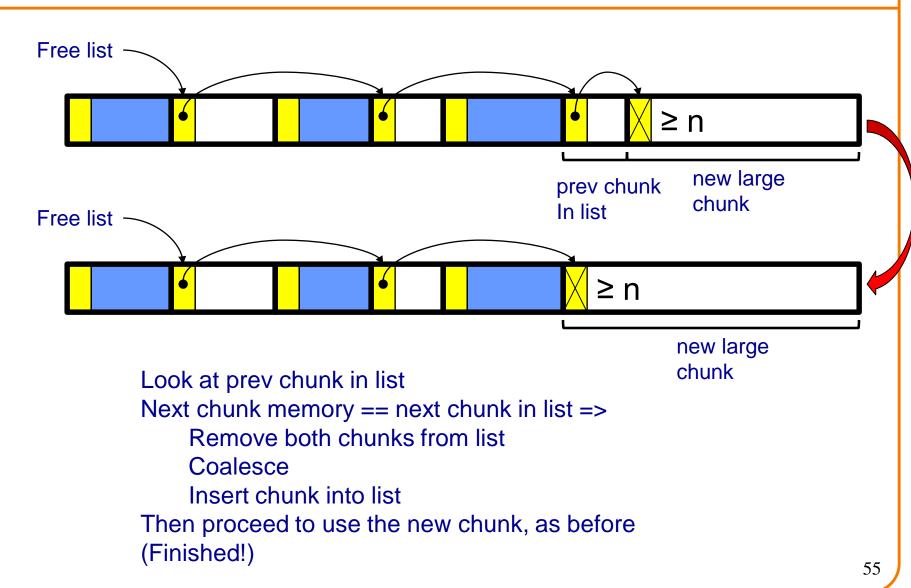


## List Impl: malloc(n) Example 3



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





### 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 coming up . . .

### iClicker Question

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

- A. O(1), always with a small constant
- B. O(1), usually but not always with a small constant
- C. O(1), often with a large constant
- 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...

### Agenda



The need for DMM

DMM using the heap section

**DMMgr 1: Minimal implementation** 

**DMMgr 2: Pad implementation** 

Fragmentation

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**DMMgr 4: Doubly-linked list implementation** 

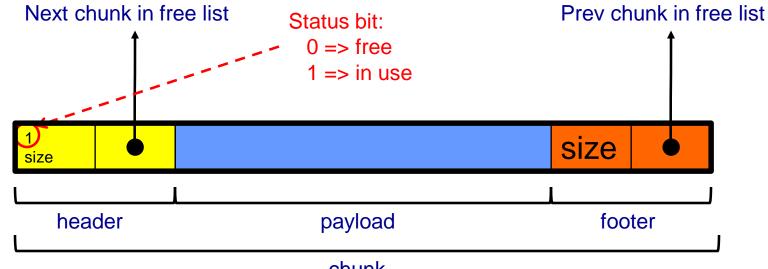
**DMMgr 5: Bins implementation** 

DMM using virtual memory

**DMMgr 6: VM implementation** 



#### Data structures



chunk

Free list is doubly-linked

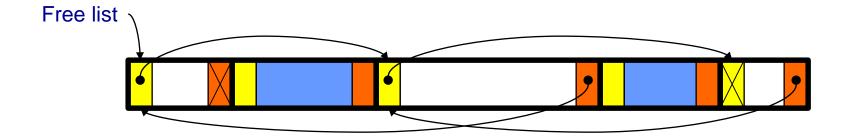
Each chunk contains header, payload, footer

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

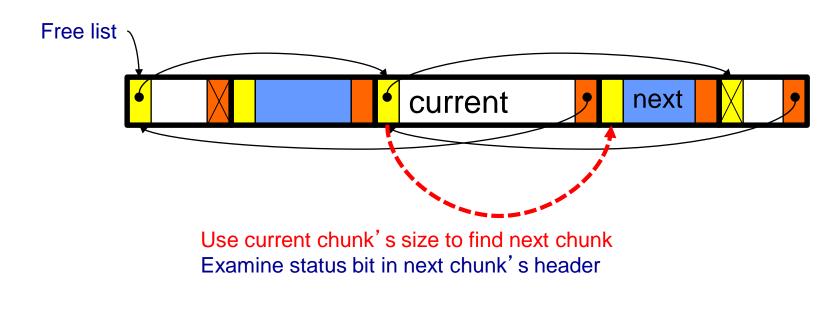
- Linked list version: slow
  - Traverse list to find prev chunk in list
- Doubly-linked list version: fast
  - Use backward pointer of current chunk to find prev chunk in list



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

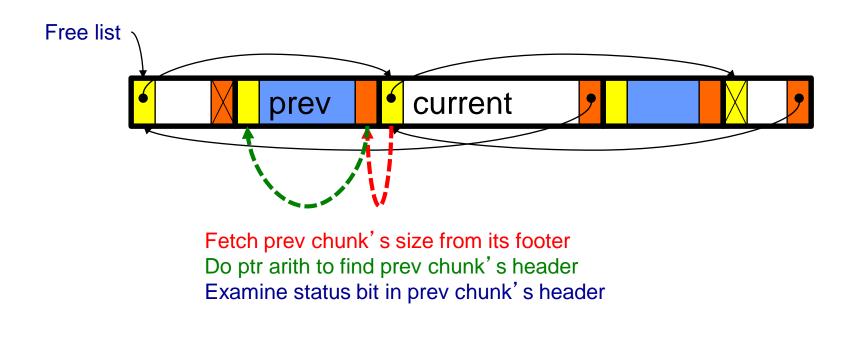




Consider sub-algorithms of free()...

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





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)...

### Agenda



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**DMMgr 5: Bins implementation** 

DMM using virtual memory

**DMMgr 6: VM implementation** 

### **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 external 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. O(1), always with a small constant
- B. O(1), usually but not always with a small constant
- C. O(1), often with a large constant
- D. Even worse than that...

## **Bins Impl Performance**



#### Space

- Pro: For small chunks, uses best-fit (not first-fit) strategy
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- 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) with a small constant

# 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

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**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

p = mmap(NULL, n, PROT\_READ | PROT\_WRITE,

```
MAP_PRIVATE MAP_ANON, 0, 0);
```

- 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		
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 ArmLab 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

## iClicker Question

Q: When is coalescing most useful?

- A. Always
- B. When most of the program's objects are the same size
- C. When the program simultaneously uses objects of different sizes
- D. When the program allocates many objects of size A, then frees most of them, then allocates many objects of size B
- E. Never

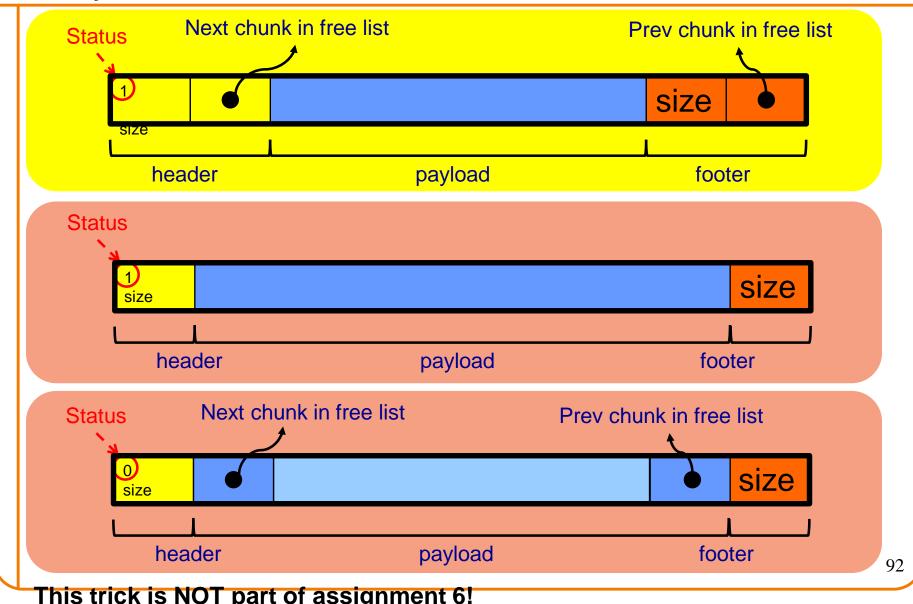
# **Appendix: Additional Approaches**



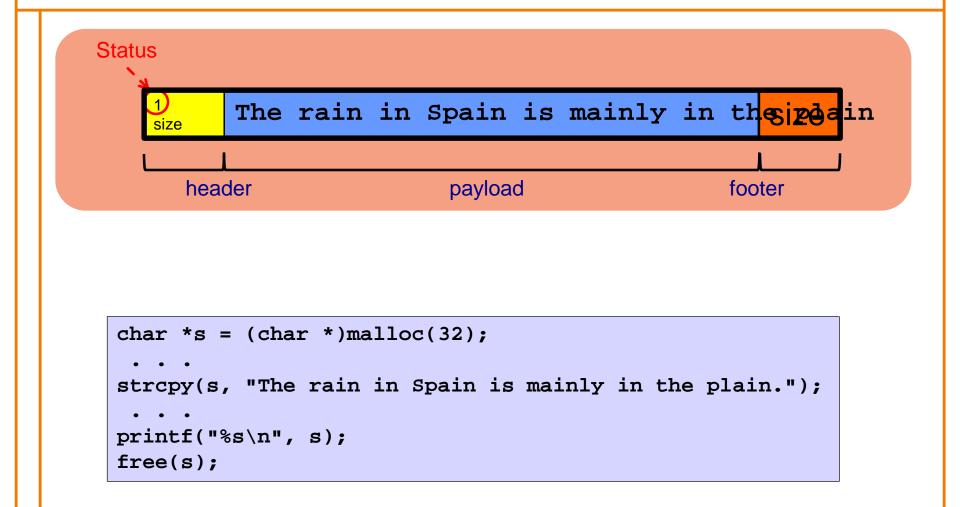
Some additional approaches to dynamic memory mgmt...

## Using payload space for management

or, only free chunks need to be in the free-list



## Another use for the extra size field: error checking



# **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

# Segregated metadata

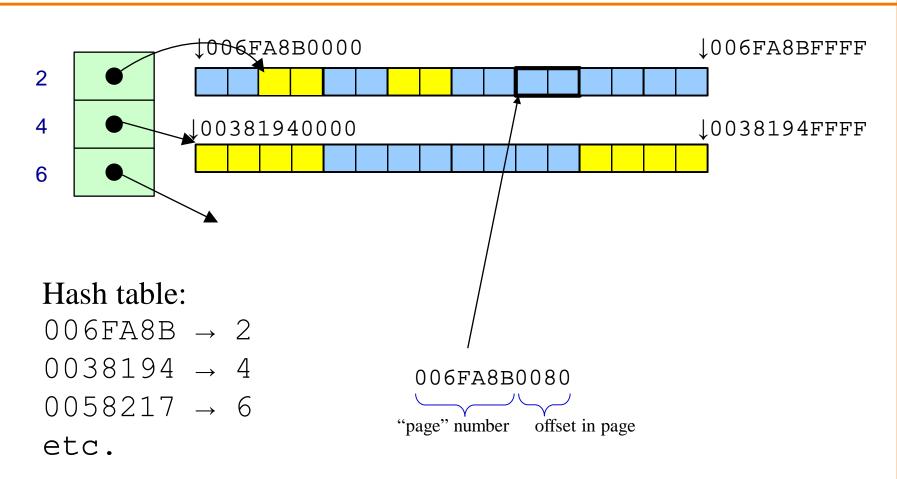
Data layout: no "size" field, no header at all!

Malloc: look up in bins array, use first element of linked list

Free: find size (somehow), put back at head of that bin's list

# How free() finds the size





## Segregated metadata performance



#### Space

- No overhead for header: very very good,
- No coalescing, fragmentation may occur, possibly bad

#### Time

- malloc: very very good, O(1)
- free: hash-table lookup, good, O(1)

## **Trade-off**



## Bins+DLL+coalescing

TIME:

☺ fast malloc

☺ fast free

SPACE: 16, if payload overlapped with header 32 bytes overhead per object

© coalescing, *might* reduce fragmentation

Segregated metadataTIME:③ very fast malloc③ fast freeSPACE:③ 0 bytes overhead per object⑧ no coalescing

There's no "one best memory allocator"