

Theory of Types
and Programming Languages
Fall 2022

Week 3

Review (and more details)

Recall: Simple Arithmetic Expressions

The set \mathcal{T} of terms is defined by the following abstract grammar:

$t ::=$

`true`

`false`

`if t then t else t`

`0`

`succ t`

`pred t`

`iszero t`

terms

constant true

constant false

conditional

constant zero

successor

predecessor

zero test

Recall: Inference Rule Notation

More explicitly: \mathcal{T} is the *smallest set closed* under the rules:

$$\begin{array}{ccc} \text{true} \in \mathcal{T} & \text{false} \in \mathcal{T} & 0 \in \mathcal{T} \\ \frac{t_1 \in \mathcal{T}}{\text{succ } t_1 \in \mathcal{T}} & \frac{t_1 \in \mathcal{T}}{\text{pred } t_1 \in \mathcal{T}} & \frac{t_1 \in \mathcal{T}}{\text{iszero } t_1 \in \mathcal{T}} \\ \\ \frac{t_1 \in \mathcal{T} \quad t_2 \in \mathcal{T} \quad t_3 \in \mathcal{T}}{\text{if } t_1 \text{ then } t_2 \text{ else } t_3 \in \mathcal{T}} \end{array}$$

Generating Functions

Each rule can be thought of as a “generating function”

given some elements from \mathcal{T} ,

it generates some other element of \mathcal{T}

Saying \mathcal{T} is **closed under** these rules means that \mathcal{T} cannot be made any bigger using these generating functions.

$$\begin{array}{ccc} \text{true} \in \mathcal{T} & \text{false} \in \mathcal{T} & 0 \in \mathcal{T} \\ \frac{t_1 \in \mathcal{T}}{\text{succ } t_1 \in \mathcal{T}} & \frac{t_1 \in \mathcal{T}}{\text{pred } t_1 \in \mathcal{T}} & \frac{t_1 \in \mathcal{T}}{\text{iszero } t_1 \in \mathcal{T}} \\ \\ \frac{t_1 \in \mathcal{T} \quad t_2 \in \mathcal{T} \quad t_3 \in \mathcal{T}}{\text{if } t_1 \text{ then } t_2 \text{ else } t_3 \in \mathcal{T}} \end{array}$$

Let's write these generating functions explicitly.

$$F_1(U) = \{\text{true}\}$$

$$F_2(U) = \{\text{false}\}$$

$$F_3(U) = \{0\}$$

$$F_4(U) = \{\text{succ } t_1 \mid t_1 \in U\}$$

$$F_5(U) = \{\text{pred } t_1 \mid t_1 \in U\}$$

$$F_6(U) = \{\text{iszero } t_1 \mid t_1 \in U\}$$

$$F_7(U) = \{\text{if } t_1 \text{ then } t_2 \text{ else } t_3 \mid t_1, t_2, t_3 \in U\}$$

Each one takes a set of terms U as input and produces a set of “terms justified by U ” as output.

We can define a generating function for the whole set of inference rules (by combining generating functions of individual rules):

$$F(U) = F_1(U) \cup F_2(U) \cup F_3(U) \cup F_4(U) \cup F_5(U) \cup F_6(U) \cup F_7(U)$$

then restate the previous definition of the set of terms \mathcal{T} as:

Definition:

- ▶ A set U is said to be “closed under F ” (or “F-closed”) if $F(U) \subseteq U$.
- ▶ The set of terms \mathcal{T} is the smallest F -closed set. (I.e., if \mathcal{O} is another set such that $F(\mathcal{O}) \subseteq \mathcal{O}$, then $\mathcal{T} \subseteq \mathcal{O}$.)

Our alternate definition of the set of terms can also be stated using the generating function F :

$$\begin{aligned}\mathcal{S}_0 &= \emptyset \\ \mathcal{S}_{i+1} &= F(\mathcal{S}_i) \\ \mathcal{S} &= \bigcup_i \mathcal{S}_i\end{aligned}$$

Compare this definition of \mathcal{S} with the one we saw last time:

$$\begin{aligned}\mathcal{S}_0 &= \emptyset \\ \mathcal{S}_{i+1} &= \{ \text{true, false, 0} \} \\ &\quad \cup \{ \text{succ } t_1, \text{pred } t_1, \text{iszero } t_1 \mid t_1 \in \mathcal{S}_i \} \\ &\quad \cup \{ \text{if } t_1 \text{ then } t_2 \text{ else } t_3 \mid t_1, t_2, t_3 \in \mathcal{S}_i \}\end{aligned}$$

$$\mathcal{S} = \bigcup_i \mathcal{S}_i$$

We have “pulled” F out and given it a name.

Our two definitions characterize the same set from different directions:

- ▶ “from above,” as the intersection of all F -closed sets;
- ▶ “from below,” as the limit (union) of a series of sets that start from \emptyset and get “closer and closer to being F -closed.”

Proposition 3.2.6 in the book shows that these two definitions actually define the same set.

Structural Induction

The principle of structural induction on terms can also be re-stated using generating functions:

Suppose T is the smallest F -closed set.

If, for each set U ,

from the assumption “ $P(u)$ holds for every $u \in U$ ”

we can show “ $P(v)$ holds for any $v \in F(U)$,”

then $P(t)$ holds for all $t \in T$.

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then $P(t)$ holds for all $t \in T$.

Why?

Structural Induction

Why? Because:

▶ We assumed that T was the *smallest* F -closed set, i.e., that $T \subseteq O$ for any other F -closed set O .

▶ But showing

for each set U ,

given $P(u)$ for all $u \in U$

we can show $P(v)$ for all $v \in F(U)$

amounts to showing that “the set of all terms satisfying P ” (call it O_P) is itself an F -closed set.

▶ Since $T \subseteq O_P$, every element of T satisfies P .

Structural Induction

Compare this with the structural induction principle for terms from last lecture:

*If, for each term s ,
given $P(r)$ for all immediate subterms r of s
we can show $P(s)$,
then $P(t)$ holds for all t .*

Operational Semantics and Reasoning

Recall: Abstract Machines

An *abstract machine* consists of:

- ▶ a set of *states*
- ▶ a *transition relation* on states, written \longrightarrow

For the simple languages we are considering at the moment, the term being evaluated is the whole state of the abstract machine.

Recall: Operational Semantics for Booleans

The evaluation relation $t \longrightarrow t'$ is the smallest relation closed under the following rules:

$\text{if true then } t_2 \text{ else } t_3 \longrightarrow t_2$ (E-IFTRUE)

$\text{if false then } t_2 \text{ else } t_3 \longrightarrow t_3$ (E-IFFALSE)

$$\frac{t_1 \longrightarrow t'_1}{\text{if } t_1 \text{ then } t_2 \text{ else } t_3 \longrightarrow \text{if } t'_1 \text{ then } t_2 \text{ else } t_3} \text{ (E-IF)}$$

Digression

Suppose we wanted to change our evaluation strategy so that the `then` and `else` branches of an `if` get evaluated (in that order) before the guard. How would we need to change the rules?

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Of the rules we just invented, which are computation rules and which are congruence rules?

Recall: Evaluation, more explicitly

\longrightarrow is the smallest two-place relation closed under the rules:

$$((\text{if true then } t_2 \text{ else } t_3), t_2) \in \longrightarrow$$

$$((\text{if false then } t_2 \text{ else } t_3), t_3) \in \longrightarrow$$

$$(t_1, t'_1) \in \longrightarrow$$

$$((\text{if } t_1 \text{ then } t_2 \text{ else } t_3), (\text{if } t'_1 \text{ then } t_2 \text{ else } t_3)) \in \longrightarrow$$

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Exercise: write the generating function corresponding to these rules

Recall: Numbers

Boolean and numeric values:

`v ::=`

`true`

`false`

`nv`

values

constant true

constant false

numeric value

`nv ::=`

`0`

`succ nv`

numeric values

zero value

successor value

Evaluation rules for numbers

$$\boxed{t \longrightarrow t'}$$

$$\frac{t_1 \longrightarrow t'_1}{\text{succ } t_1 \longrightarrow \text{succ } t'_1} \quad (\text{E-SUCC})$$

$$\text{pred } 0 \longrightarrow 0 \quad (\text{E-PREDZERO})$$

$$\text{pred } (\text{succ } nv_1) \longrightarrow nv_1 \quad (\text{E-PREDSUCC})$$

$$\frac{t_1 \longrightarrow t'_1}{\text{pred } t_1 \longrightarrow \text{pred } t'_1} \quad (\text{E-PRED})$$

$$\text{iszero } 0 \longrightarrow \text{true} \quad (\text{E-ISZEROZERO})$$

$$\text{iszero } (\text{succ } nv_1) \longrightarrow \text{false} \quad (\text{E-ISZEROSUCC})$$

$$\frac{t_1 \longrightarrow t'_1}{\text{iszero } t_1 \longrightarrow \text{iszero } t'_1} \quad (\text{E-ISZERO})$$

Recall: Derivations

We can record the “justification” for a particular pair of terms that are in the evaluation relation in the form of a tree.

$$\frac{\frac{\frac{}{\text{pred } 0 \rightarrow 0} \text{E-PREDZERO}}{\text{succ (pred } 0) \rightarrow \text{succ } 0} \text{E-SUCC}}{\text{pred (succ (pred } 0)) \rightarrow \text{pred (succ } 0)} \text{E-PRED}$$

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Terminology:

- ▶ These trees are called **derivation trees** (or just *derivations*).
- ▶ The final statement in a derivation is its *conclusion*.
- ▶ We say that the derivation is a *witness* for its conclusion (or a *proof* of its conclusion) — it records all the reasoning steps that justify the conclusion.

Recall: Induction on Derivations

We can now write proofs about evaluation “by induction on derivation trees.”

Given an arbitrary derivation \mathcal{D} with conclusion $t \rightarrow t'$, assume the desired result for its immediate sub-derivation (if any) and proceed by a case analysis (using the previous lemma) of the final evaluation rule used in constructing the derivation tree.

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Example

Theorem: If $t \rightarrow t'$, i.e., if $(t, t') \in \rightarrow$, then $size(t) > size(t')$.

Proof: By induction on a derivation \mathcal{D} of $t \rightarrow t'$.

*Consider one by one each possible final rule used in \mathcal{D} :
E-IFTRUE, E-IFFALSE, E-IF, etc.*

Recall: Normal forms

A *normal form* is a term that cannot be evaluated any further
— i.e., a term t is a normal form (or “is in normal form”)
if there is no t' such that $t \rightarrow t'$.

I.e., a state where the abstract machine is halted. It can be regarded as a “result” of evaluation.

Recall: Values are normal forms

All values are normal forms in our language of booleans and numbers.

Is the converse true? I.e., is every normal form a value?

Recall: Values are normal forms, but we have stuck terms

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Formally, a “stuck term” is one that is a normal form but not a value.

Stuck terms model run-time errors.

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Stuck terms model run-time errors.

What are some examples?

Recall: Multi-step evaluation.

The *multi-step evaluation* relation, \longrightarrow^* , is the reflexive, transitive closure of single-step evaluation.

I.e., it is the smallest relation closed under the following rules:

$$\frac{t \longrightarrow t'}{t \longrightarrow^* t'}$$

$$t \longrightarrow^* t$$

$$\frac{t \longrightarrow^* t' \quad t' \longrightarrow^* t''}{t \longrightarrow^* t''}$$

Recall: Termination of evaluation

Theorem: For every t there is some normal form t' such that $t \longrightarrow^* t'$.

Proof sketch: By an argument on the strictly reducing size of terms at each evaluation step.

The Lambda Calculus

The lambda-calculus

- ▶ If our previous language of arithmetic expressions was the simplest nontrivial programming language, then the lambda-calculus is the simplest *interesting* programming language...
 - ▶ Turing complete
 - ▶ higher order (functions as data)
- ▶ Indeed, in the lambda-calculus, *all* computation happens by means of function abstraction and application.
- ▶ The *e. coli* of programming language research
- ▶ The foundation of many real-world programming language designs (including OCaml, Haskell, Scheme, Lisp, ...)

Intuitions

Suppose we want to describe a function that adds three to any number we pass it. We might write

```
plus3 x  =  succ (succ (succ x))
```

That is, “`plus3 x` is `succ (succ (succ x))`.”

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```
plus3 = λx. succ (succ (succ x))
```

This function exists independent of the name `plus3`.

`λx. t` is written “`fun x → t`” in OCaml and “`x ⇒ t`” in Scala.

So `plus3 (succ 0)` is just a convenient shorthand for:

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Reduction.

$$\begin{aligned} & \text{plus3 (succ 0)} \\ & = \\ & (\lambda x. \text{succ (succ (succ x))}) (\text{succ 0}) \end{aligned}$$

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Abstractions over Functions

Consider the λ -abstraction

$$g = \lambda f. f (f (\text{succ } 0))$$

Note that the parameter variable f is used in the *function* position in the body of g . Terms like g are called *higher-order* functions. If we apply g to an argument like plus3 , the “substitution rule” yields a nontrivial computation:

$$\begin{aligned} g \text{ plus3} &= (\lambda f. f (f (\text{succ } 0))) (\lambda x. \text{succ } (\text{succ } (\text{succ } x))) \\ &\text{i.e. } (\lambda x. \text{succ } (\text{succ } (\text{succ } x))) \\ &\quad ((\lambda x. \text{succ } (\text{succ } (\text{succ } x))) (\text{succ } 0)) \\ &\text{i.e. } (\lambda x. \text{succ } (\text{succ } (\text{succ } x))) \\ &\quad (\text{succ } (\text{succ } (\text{succ } (\text{succ } 0)))) \\ &\text{i.e. } \text{succ } (\text{succ } (\text{succ } (\text{succ } (\text{succ } (\text{succ } (\text{succ } 0)))))) \end{aligned}$$

Abstractions Returning Functions

Consider the following variant of `g`:

```
double = λf. λy. f (f y)
```

I.e., `double` is the function that, when applied to a function `f`, yields a *function* that, when applied to an argument `y`, yields `f (f y)`.

Example

```
double plus3 0
=  (λf. λy. f (f y))
   (λx. succ (succ (succ x)))
   0
i.e. (λy. (λx. succ (succ (succ x)))
       ((λx. succ (succ (succ x))) y))
      0
i.e. (λx. succ (succ (succ x)))
       ((λx. succ (succ (succ x))) 0)
i.e. (λx. succ (succ (succ x)))
       (succ (succ (succ 0)))
i.e. succ (succ (succ (succ (succ (succ 0)))))
```

The Pure Lambda-Calculus

As the preceding examples suggest, once we have λ -abstraction and application, we can throw away all the other language primitives and still have left a rich and powerful programming language.

In this language — the “pure lambda-calculus” — *everything* is a function.

- ▶ Variables always denote functions
- ▶ Functions always take other functions as parameters
- ▶ The result of a function is always a function

Formalities

Syntax

$t ::=$

x

$\lambda x. t$

$t t$

terms

variable

abstraction

application

Terminology:

- ▶ terms in the pure λ -calculus are often called *λ -terms*
- ▶ terms of the form $\lambda x. t$ are called *λ -abstractions* or just *abstractions*

Syntactic conventions

Since λ -calculus provides only one-argument functions, all multi-argument functions must be written in curried style.

The following conventions make the linear forms of terms easier to read and write:

- ▶ Application associates to the left

E.g., $t u v$ means $(t u) v$, not $t (u v)$

- ▶ Bodies of λ -abstractions extend as far to the right as possible

E.g., $\lambda x. \lambda y. x y$ means $\lambda x. (\lambda y. x y)$, not $\lambda x. (\lambda y. x) y$

Scope

The λ -abstraction term $\lambda x. t$ *binds* the variable x .

The *scope* of this binding is the *body* t .

Occurrences of x inside t are said to be *bound* by the abstraction.

Occurrences of x that are *not* within the scope of an abstraction binding x are said to be *free*.

Test:

$$\lambda x. \lambda y. x y z$$

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$$\lambda x. \lambda y. x y z$$
$$\lambda x. (\lambda y. z y) y$$

Values

$v ::=$
 $\lambda x. t$

values
abstraction value

Operational Semantics

Computation rule:

$$(\lambda x. t_{12}) v_2 \longrightarrow [x \mapsto v_2]t_{12} \quad (\text{E-APPABS})$$

Notation: $[x \mapsto v_2]t_{12}$ is “the term that results from substituting free occurrences of x in t_{12} with v_2 .”

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Congruence rules:

$$\frac{t_1 \longrightarrow t'_1}{t_1 t_2 \longrightarrow t'_1 t_2} \quad (\text{E-APP1})$$

$$\frac{t_2 \longrightarrow t'_2}{v_1 t_2 \longrightarrow v_1 t'_2} \quad (\text{E-APP2})$$

Terminology

A term of the form $(\lambda x. t) v$ — that is, a λ -abstraction applied to a *value* — is called a *redex* (short for “reducible expression”).

Alternative evaluation strategies

Strictly speaking, the language we have defined is called the *pure, call-by-value lambda-calculus*.

The evaluation strategy we have chosen — *call by value* — reflects standard conventions found in most mainstream languages.

Some other common ones:

- ▶ Call by name (cf. Haskell)
- ▶ Normal order (leftmost/outermost)
- ▶ Full (non-deterministic) beta-reduction

Classical Lambda Calculus

Full beta reduction

The classical lambda calculus allows full beta reduction.

- ▶ The argument of a β -reduction to be an arbitrary term, not just a value.
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Congruence rules:

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$$\frac{t_2 \longrightarrow t'_2}{t_1 t_2 \longrightarrow t_1 t'_2} \quad (\text{E-APP2})$$

$$\frac{t \longrightarrow t'}{\lambda x. t \longrightarrow \lambda x. t'} \quad (\text{E-ABS})$$

Substitution revisited

Remember: $[x \mapsto v_2]t_{12}$ is “the term that results from substituting free occurrences of x in t_{12} with v_2 .”

This is trickier than it looks!

For example:

$$\begin{aligned} & (\lambda x. (\lambda y. x)) y \\ \longrightarrow & [x \mapsto y]\lambda y. x \\ = & ??? \end{aligned}$$

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Solution:

need to rename bound variables before performing the substitution.

$$\begin{aligned} & (\lambda x. (\lambda y. x)) y \\ = & (\lambda x. (\lambda z. x)) y \\ \longrightarrow & [x \mapsto y]\lambda z. x \\ = & \lambda z. y \end{aligned}$$

Alpha conversion

Renaming bound variables is formalized as α -conversion.

Conversion rule:

$$\frac{y \notin \text{fv}(t)}{\lambda x. t =_{\alpha} \lambda y. [x \mapsto y]t} \quad (\alpha)$$

Equivalence rules:

$$\frac{t_1 =_{\alpha} t_2}{t_2 =_{\alpha} t_1} \quad (\alpha\text{-SYMM})$$

$$\frac{t_1 =_{\alpha} t_2 \quad t_2 =_{\alpha} t_3}{t_1 =_{\alpha} t_3} \quad (\alpha\text{-TRANS})$$

Congruence rules: the usual ones.

Confluence

Full β -reduction makes it possible to have different reduction paths.

Q: Can a term evaluate to more than one normal form?

Confluence

Full β -reduction makes it possible to have different reduction paths.

Q: Can a term evaluate to more than one normal form?

The answer is no; this is a consequence of the following

Theorem [Church-Rosser]

Let t , t_1 , t_2 be terms such that $t \longrightarrow^* t_1$ and $t \longrightarrow^* t_2$. Then there exists a term t_3 such that $t_1 \longrightarrow^* t_3$ and $t_2 \longrightarrow^* t_3$.

Programming in the Lambda-Calculus

Multiple arguments

Consider the function `double`, which returns a function as an argument.

$$\text{double} = \lambda f. \lambda y. f (f y)$$

This idiom — a λ -abstraction that does nothing but immediately yield another abstraction — is very common in the λ -calculus.

In general, $\lambda x. \lambda y. t$ is a function that, given a value v for x , yields a function that, given a value u for y , yields t with v in place of x and u in place of y .

That is, $\lambda x. \lambda y. t$ is a two-argument function.

(Recall the discussion of *currying* in OCaml.)

The “Church Booleans”

`tru` = $\lambda t. \lambda f. t$

`fls` = $\lambda t. \lambda f. f$

`tru` `v` `w`
= $\frac{(\lambda t. \lambda f. t) \ v \ w}{\lambda f. v} \ w$ by definition
→ $\frac{(\lambda f. v) \ w}{v}$ reducing the underlined redex
→ `v` reducing the underlined redex

`fls` `v` `w`
= $\frac{(\lambda t. \lambda f. f) \ v \ w}{\lambda f. f} \ w$ by definition
→ $\frac{(\lambda f. f) \ w}{w}$ reducing the underlined redex
→ `w` reducing the underlined redex

Functions on Booleans

```
not = λb. b fls tru
```

That is, `not` is a function that, given a boolean value `v`, returns `fls` if `v` is `tru` and `tru` if `v` is `fls`.

Functions on Booleans

`and = λb. λc. b c fls`

That is, `and` is a function that, given two boolean values `v` and `w`, returns `w` if `v` is `tru` and `fls` if `v` is `fls`

Thus `and v w` yields `tru` if both `v` and `w` are `tru` and `fls` if either `v` or `w` is `fls`.

Pairs

```
pair = λf.λs.λb. b f s  
fst  = λp. p tru  
snd  = λp. p fls
```

That is, `pair v w` is a function that, when applied to a boolean value `b`, applies `b` to `v` and `w`.

By the definition of booleans, this application yields `v` if `b` is `tru` and `w` if `b` is `fls`, so the first and second projection functions `fst` and `snd` can be implemented simply by supplying the appropriate boolean.

Example

$\text{fst } (\text{pair } v \ w)$
 $= \text{fst } ((\lambda f. \lambda s. \lambda b. b \ f \ s) \ v \ w)$ by definition
 $\longrightarrow \text{fst } ((\lambda s. \lambda b. b \ v \ s) \ w)$ reducing
 $\longrightarrow \text{fst } (\lambda b. b \ v \ w)$ reducing
 $= \underline{(\lambda p. p \ \text{tru})} \ (\lambda b. b \ v \ w)$ by definition
 $\longrightarrow \underline{(\lambda b. b \ v \ w) \ \text{tru}}$ reducing
 $\longrightarrow \text{tru } v \ w$ reducing
 $\longrightarrow^* v$ as before.

Church numerals

Idea: represent the number n by a function that “repeats some action n times.”

$$c_0 = \lambda s. \lambda z. z$$

$$c_1 = \lambda s. \lambda z. s z$$

$$c_2 = \lambda s. \lambda z. s (s z)$$

$$c_3 = \lambda s. \lambda z. s (s (s z))$$

That is, each number n is represented by a term c_n that takes two arguments, s and z (for “successor” and “zero”), and applies s , n times, to z .

Functions on Church Numerals

Successor:

Functions on Church Numerals

Successor:

$$\text{scc} = \lambda n. \lambda s. \lambda z. s (n s z)$$

Functions on Church Numerals

Successor:

$$\text{succ} = \lambda n. \lambda s. \lambda z. s (n s z)$$

Addition:

Functions on Church Numerals

Successor:

$$\text{scc} = \lambda n. \lambda s. \lambda z. s (n s z)$$

Addition:

$$\text{plus} = \lambda m. \lambda n. \lambda s. \lambda z. m s (n s z)$$

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Multiplication:

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Multiplication:

$$\text{times} = \lambda m. \lambda n. m (\text{plus } n) c_0$$

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Zero test:

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```

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times = λm. λn. m (plus n) c0
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Zero test:

```
iszro = λm. m (λx. fls) tru
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Zero test:

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What about predecessor?

Predecessor

```
zz = pair c0 c0
```

```
ss = λp. pair (snd p) (scc (snd p))
```

```
prd = λm. fst (m ss zz)
```