

### Outline

# **4** String Matching

- 4.1 Introduction
- 4.2 Brute Force
- 4.3 String Matching with Finite Automata
- 4.4 The Knuth-Morris-Pratt algorithm
- 4.5 Beyond Optimal? The Boyer-Moore Algorithm
- 4.6 The Rabin-Karp Algorithm

# 4.1 Introduction

# **Ubiquitous strings**

- *string* = sequence of characters
  - universal data type for ... everything!
    - natural language texts
    - programs (source code)
    - websites
    - XML documents
    - DNA sequences
    - bitstrings
    - ... a computer's memory ~> ultimately any data is a string
  - $\rightsquigarrow\,$  many different tasks and algorithms
  - ► This unit: finding (exact) occurrences of a pattern text.
    - Ctrl+F
    - grep
    - computer forensics (e.g. find signature of file on disk)
    - virus scanner
  - basis for many advanced applications

### **Notations**

- alphabet  $\Sigma$ : finite set of allowed characters;  $\sigma = |\Sigma|$  "a string over alphabet  $\Sigma$ "
  - letters (Latin, Greek, Arabic, Cyrillic, Asian scripts, ...)
  - "what you can type on a keyboard", Unicode characters
  - $\{0,1\}$ ; nucleotides  $\{A, C, G, T\}$ ;...

\comprehensive standard character set including emoji and all known symbols

zero-based (like arrays)!

- $\Sigma^n = \Sigma \times \cdots \times \Sigma$ : strings of length  $n \in \mathbb{N}_0$  (*n*-tuples)
- $\Sigma^* = \bigcup_{n \ge 0} \Sigma^n$ : set of **all** (finite) strings over  $\Sigma$
- $\Sigma^+ = \bigcup_{n \ge 1} \Sigma^n$ : set of **all** (finite) **nonempty** strings over  $\Sigma$
- $\varepsilon \in \Sigma^0$ : the *empty* string (same for all alphabets)
- ▶ for  $S \in \Sigma^n$ , write S[i] (other sources:  $S_i$ ) for *i*th character  $(0 \le i < n)$
- for  $S, T \in \Sigma^*$ , write  $ST = S \cdot T$  for concatenation of S and T
- for S ∈ Σ<sup>n</sup>, write S[i..j] or S<sub>i,j</sub> for the substring S[i] · S[i + 1] · · · S[j] (0 ≤ i ≤ j < n)</li>
   S[0..j] is a prefix of S; S[i..n − 1] is a suffix of S
  - S[i..j) = S[i..j-1] (endpoint exclusive)  $\rightsquigarrow S = S[0..n)$

# **String matching – Definition**

Search for a string (pattern) in a large body of text

► Input:

- $T \in \Sigma^n$ : The *text* (haystack) being searched within
- ▶  $P \in \Sigma^m$ : The *pattern* (needle) being searched for; typically  $n \gg m$

Output:

- the first occurrence (match) of P in T:  $\min\{i \in [0..n m) : T[i..i + m] = P\}$
- or NO\_MATCH if there is no such i ("P does not occur in T")

▶ Variant: Find **all** occurrences of *P* in *T*.

 $\rightsquigarrow$  Can do that iteratively (update *T* to T[i + 1..n) after match at *i*)

#### Example:

- ▶ T = "Where is he?"
- $\blacktriangleright P_1 = \text{``he''} \iff i = 1$
- ▶  $P_2 =$ "who"  $\rightsquigarrow$  NO\_MATCH

string matching is implemented in Java in String.indexOf

# 4.2 Brute Force

# Abstract idea of algorithms

Pattern matching algorithms consist of guesses and checks:

- A guess is a position *i* such that *P* might start at T[i]. Possible guesses (initially) are  $0 \le i \le n - m$ .
- A check of a guess is a pair (i, j) where we compare T[i + j] to P[j].
- Note: need all *m* checks to verify a single correct guess *i*, but it may take (many) fewer checks to recognize an incorrect guess.
- Cost measure: #character comparisons = #checks

 $\rightsquigarrow$  cost  $\leq n \cdot m$  (number of possible checks)

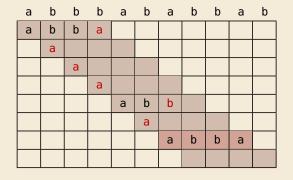
### **Brute-force method**

1 procedure bruteForceSM(T[0..n), P[0..m)) 2 for i := 0, ..., n - m - 1 do 3 for j := 0, ..., m - 1 do 4 if  $T[i + j] \neq P[j]$  then break inner loop 5 if j == m then return i6 return NO MATCH

- try all guesses i
- check each guess (left to right); stop early on mismatch
- essentially the implementation in Java!

Example: T = abbbababbab P = abba

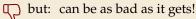
#### $\rightarrow$ 15 char cmps (vs $n \cdot m = 44$ ) not too bad!



# **Brute-force method – Discussion**

Brute-force method can be good enough

- typically works well for natural language text
- also for random strings



а	а	а	а	а	а	а	а	а	а	а
а	а	а	b							
	а	а	а	b						
		а	а	а	b					
			а	а	а	b				
				а	а	а	b			
					а	а	а	b		
						а	а	а	b	
							а	а	а	b

- Worst possible input:  $P = a^{m-1}b$ ,  $T = a^n$
- Worst-case performance:  $(n m + 1) \cdot m$
- $\rightsquigarrow$  for  $m \le n/2$  that is  $\Theta(mn)$

- ▶ Bad input: lots of self-similarity in  $T! \rightarrow$  can we exploit that?
- ▶ brute force does 'obviously' stupid repetitive comparisons → can we avoid that?

# Roadmap

- Approach 1 (this week): Use *preprocessing* on the pattern P to eliminate guesses (avoid 'obvious' redundant work)
  - Deterministic finite automata (DFA)
  - Knuth-Morris-Pratt algorithm
  - **Boyer-Moore** algorithm
  - Rabin-Karp algorithm
- ► Approach 2 (~→ Unit 6): Do preprocessing on the text T Can find matches in time independent of text size(!)
  - inverted indices
  - Suffix trees
  - Suffix arrays

# 4.3 String Matching with Finite Automata

# **Theoretical Computer Science to the rescue!**

- string matching = deciding whether  $T \in \Sigma^* \cdot P \cdot \Sigma^*$
- $\Sigma^* \cdot P \cdot \Sigma^*$  is *regular* formal language
- $\rightsquigarrow \exists$  deterministic finite automaton (DFA) to recognize  $\Sigma^{\star} \cdot P \cdot \Sigma^{\star}$
- $\rightsquigarrow$  can check for occurrence of *P* in |T| = n steps!





We are not quite done yet.

- ▶ (Problem 0: programmer might not know automata and formal languages ...)
- Problem 1: existence alone does not give an algorithm!
- Problem 2: automaton could be very big!

# String matching with DFA

- Assume first, we already have a deterministic automaton
- How does string matching work?

#### Example:

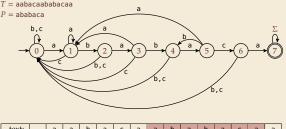
text:		а	а	b	а	С	а	а	b	а	b	а	с	а	а
state:	0	1	1	2	3	0	1	1	2	3	4	5	6	7	7

# **String matching DFA – Intuition**

Why does this work?

Main insight:

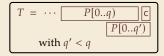
State *q* means: "we have seen *P*[0..*q*) until here (but not any longer prefix of *P*)"



text:		а	а	b	а	с	а	а	b	а	b	а	с	а	а
state:	0	1	1	2	3	0	1	1	2	3	4	5	6	7	7

▶ If the next text character *c* does not match, we know:

- (i) text seen so far ends with  $P[0...q) \cdot c$
- (ii)  $P[0...q) \cdot c$  is not a prefix of P
- (iii) without reading c, P[0..q) was the *longest* prefix of P that ends here.



- $\rightsquigarrow$  New longest matched prefix will be (weakly) shorter than q
- $\rightarrow$  All information about the text needed to determine it is contained in  $P[0...a) \cdot c!$

### NFA instead of DFA?

It remains to *construct* the DFA.

$$\blacktriangleright \text{ trivial part:} \rightarrow 0 \xrightarrow{\Sigma} (1 \xrightarrow{b} 2 \xrightarrow{a} 3 \xrightarrow{b} 4 \xrightarrow{a} 5 \xrightarrow{c} 6 \xrightarrow{a} 7$$

• that actually is a *nondeterministic finite automaton* (NFA) for  $\Sigma^* P \Sigma^*$ 

→ We *could* use the NFA directly for string matching:

- at any point in time, we are in a *set* of states
- accept when one of them is final state

#### Example:

text:		а	а	b	а	с	а	а	b	а	b	а	с	а	а
state:	0	0,1	0,1	0,2	0,1,3	0	0,1	0,1	0,2	0,1,3	0,2,4	0,1,3,5	0,6	0,1,7	0,1,7

But maintaining a whole set makes this slow ....

# **Computing DFA directly**



You have an NFA and want a DFA? Simply apply the power-set construction (and maybe DFA minimization)!

The powerset method has exponential state blow up! I guess I might as well use brute force ...



**C**- Ingenious algorithm by Knuth, Morris, and Pratt: construct DFA *inductively*:

Suppose we add character P[j] to automaton  $A_{j-1}$  for P[0..j - 1]

▶ add new state and matching transition ~→ easy

• for each  $c \neq P[j]$ , we need  $\delta(j, c)$  (transition from j) when reading c)

•  $\delta(j, c) =$  length of the longest prefix of P[0..j)c that is a suffix of P[1..j)c

- = state of automaton after reading P[1..j)c
- $\leq j \rightsquigarrow$  can use known automaton  $A_{j-1}$  for that!

 $\rightsquigarrow$  can directly compute  $A_j$  from  $A_{j-1}$ !

) seems to require simulating automata  $m \cdot \sigma$  times

State *q* means: "we have seen *P*[0..*q*) until here (but not any longer prefix of *P*)"

# **Computing DFA efficiently**

- **KMP's second insight:** simulations in one step differ only in last symbol
- → simply maintain state *x*, the state after reading P[1..j 1].
  - copy its transitions
  - update x by following transitions for P[j]
- Demo: Algorithms videos of Sedgewick and Wayne

Knuth-Morris-Prott construction demo (in line Mismatch transition. For each state j and char dfa[c][j] = dfa[c][X]; then update X = dfa[pat.	c !=	pat	.cha		i), s	et
				× -	simu	lation of B A B
				*		5
	A	В	A	В	A	c
А						1
dfa[][j] B						4
C				0		6
Constructing the DFA for KMP substring search for A B A C	- 	B - A	3		*(	6

https://cuvids.io/app/video/194/watch

# String matching with DFA – Discussion

#### Time:

- Matching: *n* table lookups for DFA transitions
- ▶ building DFA:  $\Theta(m\sigma)$  time (constant time per transition edge).
- $\rightsquigarrow \Theta(m\sigma + n)$  time for string matching.

#### Space:

•  $\Theta(m\sigma)$  space for transition matrix.

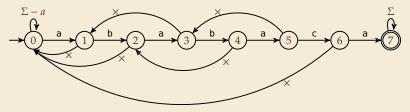
**fast matching** time actually: hard to beat! **total time asymptotically optimal for small alphabet** (for  $\sigma = O(n/m)$ )

💭 substantial **space overhead**, in particular for large alphabets

# 4.4 The Knuth-Morris-Pratt algorithm

### **Failure Links**

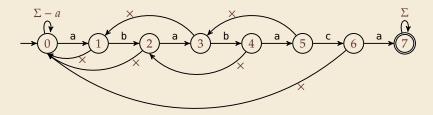
- Recall: String matching with is DFA fast, but needs table of  $m \times \sigma$  transitions.
- ▶ in fast DFA construction, we used that all simulations differ only by *last* symbol
- ✓ KMP's third insight: do this last step of simulation from state *x* during *matching*! . . . but how?
- Answer: Use a new type of transition, the *failure links* 
  - Use this transition (only) if no other one fits.
  - ► × *does not consume a character.* → might follow several failure links

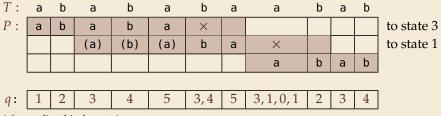


~> Computations are deterministic (but automaton is not a real DFA.)

### **Failure link automaton – Example**

**Example:** T = abababaaaca, P = ababaca





(after reading this character)

# The Knuth-Morris-Pratt Algorithm

<sup>1</sup> procedure KMP(T[0..n-1], P[0..m-1]) fail[0..m] := failureLinks(P)2 i := 0 // current position in T3 q := 0 // current state of KMP automaton4 while i < n do 5 if T[i] == P[q] then 6 i := i + 1; q := q + 17 if q == m then 8 **return** i - q // occurrence found 9 else // *i.e.*  $T[i] \neq P[q]$ 10 if  $q \ge 1$  then 11  $q := fail[q] // follow one \times$ 12 else 13 i := i + 114 end while 15 return NO MATCH 16

- only need single array *fail* for failure links
- (procedure failureLinks later)

Analysis: (matching part)

- always have fail[j] < j for  $j \ge 1$
- $\rightsquigarrow$  in each iteration
  - either advance position in text
     (i := i + 1)
  - or shift pattern forward (guess *i* - *q*)
- each can happen at most n times
- $\rightsquigarrow \leq 2n$  symbol comparisons!

# **Computing failure links**

▶ failure links point to error state *x* (from DFA construction)

 $\rightsquigarrow$  run same algorithm, but store *fail*[*j*] := *x* instead of copying all transitions

```
<sup>1</sup> procedure failureLinks(P[0..m-1])
      fail[0] := 0
2
      x := 0
3
      for j := 1, ..., m - 1 do
4
          fail[i] := x
5
           // update failure state using failure links:
6
           while P[x] \neq P[j]
7
                if x == 0 then
8
                    x := -1; break
9
                else
10
                    x := fail[x]
           end while
12
           x := x + 1
13
       end for
14
```

#### Analysis:

- ▶ *m* iterations of for loop
- while loop always decrements x
- x is incremented only once per iteration of for loop
- $\rightsquigarrow \leq m$  iterations of while loop *in total*
- $\rightsquigarrow \leq 2m$  symbol comparisons

### Knuth-Morris-Pratt – Discussion

#### Time:

- $\leq 2n + 2m = O(n + m)$  character comparisons
- clearly must at least read both T and P
- → KMP has optimal worst-case complexity!

#### Space:

•  $\Theta(m)$  space for failure links

total time asymptotically optimal (for any alphabet size)
reasonable extra space

# The KMP prefix function

- ▶ It turns out that the failure links are useful beyond KMP
- ▶ a slight variation is more widely used: (for historic reasons) the (KMP) *prefix function*  $F : [1..m 1] \rightarrow [0..m 1]$ :

F[j] is the length of the longest prefix of P[0..j] that is a suffix of P[1..j].

• Can show: fail[j] = F[j-1] for  $j \ge 1$ , and hence

fail[j] = length of thelongest prefix of P[0..j)that is a suffix of P[1..j). 4.5 Beyond Optimal? The Boyer-Moore Algorithm

### Motivation

- ▶ KMP is an optimal algorithm, isn't it? What else could we hope for?
- ► KMP is "only" optimal in the worst-case (and up to constant factors)
- how many comparisons do we need for the following instance? T = aaaaaaaaaaaaaaaaaa, P = xxxxx
  - there are no matches
  - we can *certify* the correctness of that output with only 4 comparisons:

Т	а	а	а	а	а	а	а	а	а	а	а	а	а	а	а	а
					х											
										х						
															х	
																х

→ We did *not* even read most text characters!

# **Boyer-Moore Algorithm**

- Let's check guesses from right to left!
- If we are lucky, we can eliminate several shifts in one shot!

must avoid (excessive) redundant checks, e.g., for  $T = a^n$ ,  $P = ba^{m-1}$ 

#### $\rightsquigarrow$ New rules:

- **• Bad character jumps**: Upon mismatch at T[i] = c:
  - ▶ If *P* does not contain *c*, shift *P* entirely past *i*!
  - ▶ Otherwise, shift *P* to align the *last occurrence* of *c* in *P* with *T*[*i*].

#### Good suffix jumps:

Upon a mismatch, shift so that the already matched *suffix* of *P* aligns with a previous occurrence of that suffix (or part of it) in *P*. (Details follow; ideas similar to KMP failure links)

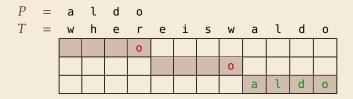
 $\rightsquigarrow\,$  two possible shifts (next guesses); use larger jump.

### **Boyer-Moore Algorithm – Code**

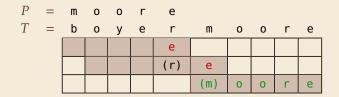
```
<sup>1</sup> procedure boyerMoore(T[0..n-1], P[0..m-1])
       \lambda := \text{computeLastOccurrences}(P)
2
       \gamma := \text{computeGoodSuffixes}(P)
3
      i := 0 // current guess
4
      while i \leq n - m
5
           j := m - 1 // next position in P to check
6
           while j \ge 0 \land P[j] == T[i+j] do
7
                i := i - 1
8
           if i = -1 then
9
                return i
10
            else
11
                i := i + \max\{j - \lambda[T[i+j]], \gamma[j]\}
12
       return NO MATCH
13
```

- $\lambda$  and  $\gamma$  explained below
- shift forward is larger of two heuristics
- shift is always positive (see below)

### **Bad character examples**



→ 6 characters not looked at



→ 4 characters not looked at

### **Last-Occurrence Function**

- Preprocess pattern P and alphabet  $\Sigma$
- *last-occurrence function*  $\lambda[c]$  defined as
  - the largest index *i* such that P[i] = c or
  - ▶ −1 if no such index exists
- **Example:** *P* = moore

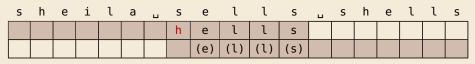
С	m	0	r	е	all others
$\lambda[c]$	0	2	3	4	-1

Р	=	m	0	0	r	е					
Т	=	b	0	у	е	r	m	0	0	r	е
						е					
						(r)	е				
		4	T[;			ر ۱[س]	2				

- $i = 0, j = 4, T[i+j] = r, \lambda[r] = 3$  $\rightsquigarrow$  shift by  $j - \lambda[T[i+j]] = 1$
- $\lambda$  easily computed in  $O(m + |\Sigma|)$  time.
- store as array  $\lambda[0..\sigma 1]$ .

# Good suffix examples

**1.**  $P = sells_{i}shells$ 



**2.** P = odetofood

i	ι	i	k	е	f	0	0	d	f	r	0	m	m	е	х	i	С	0
				0	f	0	0	d										
							(0)	(d)										

#### matched suffix

- **Crucial ingredient:** longest suffix of P[j+1..m-1] that occurs earlier in *P*.
- 2 cases (as illustrated above)
  - **1.** complete suffix occurs in  $P \rightarrow$  characters left of suffix are *not* known to match
  - 2. part of suffix occurs at beginning of *P*

# Good suffix jumps

- Precompute good suffix jumps  $\gamma[0..m-1]$ :
  - For  $0 \le j < m$ ,  $\gamma[j]$  stores shift if search failed at P[j]
  - At this point, had T[i+j+1..i+m-1] = P[j+1..m-1], but  $T[i] \neq P[j]$
  - $\rightsquigarrow \gamma[j]$  is the shift  $m 1 \ell$  for the *largest*  $\ell$  such that
    - ▶ P[j+1...m-1] is a suffix of  $P[0...\ell]$  and  $P[j] \neq P[\ell-m+j+1]$

			h	е	ι	ι	S				
			×	(e)	(l)	(l)	(s)				

-OR-

•  $P[0...\ell]$  is a suffix of P[j+1,...,m-1]

		0	f	0	0	d					
					(0)	(d)					

- Computable (similar to KMP failure function) in  $\Theta(m)$  time.
- Note: You do not need to know how to find the values γ[j] for the exam, but you should be able to find the next guess on examples.

### **Boyer-Moore algorithm – Discussion**

Worst-case running time  $\in O(n + m + |\Sigma|)$  if *P* does *not* occur in *T*. (follows from not at all obvious analysis!)

 $\bigcirc$  As given, worst-case running time  $\Theta(nm)$  if we want to report all occurrences

- To avoid that, have to keep track of implied matches. (tricky because they can be in the "middle" of P)
- Note: KMP reports all matches in O(n + m) without modifications!

On typical *English text*, Boyer Moore probes only approx. 25% of the characters in *T*!

 $\rightsquigarrow~$  Faster than KMP on English text.

requires moderate extra space  $\Theta(m + \sigma)$ 

# 4.6 The Rabin-Karp Algorithm

# **Space – The final frontier**

- Knuth-Morris-Pratt has great worst case and real-time guarantees
- Boyer-Moore has great typical behavior
- ▶ What else to hope for?
- All require Ω(m) extra space; can be substantial for large patterns!
- Can we avoid that?

# **Rabin-Karp Fingerprint Algorithm – Idea**

**Idea:** use *hashing* (but without explicit hash tables)

- Precompute & store only hash of pattern
- Compute hash for each guess
- ▶ If hashes agree, check characterwise

**Example:** (treat (sub)strings as decimal numbers) P = 59265 T = 3141592653589793238Hash function:  $h(x) = x \mod 97$  $\rightsquigarrow h(P) = 95.$ 

### **Rabin-Karp Fingerprint Algorithm – First Attempt**

<sup>1</sup> **procedure** rabinKarpSimplistic(T[0..n-1], P[0..m-1]) M := suitable prime number 2  $h_P := \text{computeHash}(P[0..m-1)], M)$ 3 **for** i := 0, ..., n - m **do** 4  $h_T := \text{computeHash}(T[i..i + m - 1], M)$ 5 if  $h_T == h_P$  then 6 if T[i..i + m - 1] == P // m comparisons 7 then return *i* 8 return NO MATCH 9

• never misses a match since  $h(S_1) \neq h(S_2)$  implies  $S_1 \neq S_2$ 

▶ h(T[k..k+m-1]) depends on *m* characters  $\rightsquigarrow$  naive computation takes  $\Theta(m)$  time

 $\rightsquigarrow$  Running time is  $\Theta(mn)$  for search miss . . . can we improve this?

# **Rabin-Karp Fingerprint Algorithm – Fast Rehash**

- **Crucial insight:** We can update hashes in constant time.
  - Use previous hash to compute next hash
  - ► *O*(1) time per hash, except first one

#### Example:

- Pre-compute: 10000 mod 97 = 9
- Previous hash: 41592 mod 97 = 76
- ▶ Next hash: 15926 mod 97 = ??

#### **Observation:**

$$15926 \mod 97 = (41592 - (4 \cdot 10000)) \cdot 10 + 6 \mod 97$$
  
= (76 - (4 \cdot 9 )) \cdot 10 + 6 \cdot 6 \cdot 97  
= 406 \cdot 6 \cdot 97 = 18

for above hash function!

# **Rabin-Karp Fingerprint Algorithm – Code**

- use a convenient radix  $R \ge \sigma$  (R = 10 in our examples;  $R = 2^k$  is faster)
- Choose modulus *M* at *random* to be huge prime (randomization against worst-case inputs)
- ▶ all numbers remain  $\leq 2R^2 \iff O(1)$  time arithmetic on word-RAM

<sup>1</sup> procedure rabinKarp(T[0..n-1], P[0..m-1], R) M := suitable prime number 2  $h_P := \text{computeHash}(P[0..m-1)], M)$ 3  $h_T := \text{computeHash}(T[0..m-1], M)$ 4  $s := R^{m-1} \mod M$ 5 **for** i := 0, ..., n - m **do** 6 if  $h_T == h_P$  then 7 **if** T[i...i + m - 1] = P8 return *i* 9 if i < n - m then 10  $h_T := ((h_T - T[i] \cdot s) \cdot R + T[i + m]) \mod M$ 11 return NO MATCH 12

# **Rabin-Karp – Discussion**

- $\square$  Expected running time is O(m + n)
- $\bigoplus_{\substack{\Theta(mn) \text{ worst-case;}} } \Theta(mn) \text{ worst-case;}$  but this is very unlikely
- Extends to 2D patterns and other generalizations
- Only constant extra space!

# **String Matching Conclusion**

	Brute- Force	DFA	KMP	BM	RK	Suffix trees*
Preproc. time	_	$O(m \Sigma )$	O(m)	$O(m + \sigma)$	O(m)	O(n)
Search time	O(nm)	O(n)	O(n)	O(n) (often better)	O(n + m) (expected)	O(m)
Extra space	—	$O(m \Sigma )$	O(m)	$O(m + \sigma)$	<i>O</i> (1)	O(n)

\* (see Unit 6)