

# Part III

## Chapter 15: Subtyping

Subsumption

Subtype relation

Properties of subtyping and typing

Subtyping and other features

Intersection and union types



# Subtyping



# Motivation

With the usual typing rule for applications

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

the term

$$(\lambda r : \{x : \text{Nat}\}. r.x) \{x=0, y=1\}$$

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the term

$$(\lambda r : \{x : \text{Nat}\}. r.x) \{x=0, y=1\}$$

is *not* well typed.

This is *silly*: all we're doing is passing the function  
a *better argument* than it needs.



# Subsumption

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We can formalize this intuition by introducing:

1. a *subtyping* relation between types, written  $S <: T$
2. a rule of *subsumption* stating that, if  $S <: T$ , then any value of type  $S$  can also be regarded as having type  $T$

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$



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*Principle of safe substitution*





# Subtyping

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“An element of  $S$  may safely be used wherever an element of  $T$  is expected.” (Official.)

- $S$  is “better than”  $T$
- $S$  is a subset of  $T$
- $S$  is more informative / richer than  $T$ .



# Example

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We will define subtyping between record types so that, for example

$$\{x: \text{Nat}, y: \text{Nat}\} <: \{x: \text{Nat}\}$$

So, by subsumption,

$$\vdash \{x = 0, y = 1\} : \{x: \text{Nat}\}$$



# Example

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$$\{x: \text{Nat}, y: \text{Nat}\} <: \{x: \text{Nat}\}$$

So, by subsumption,

$$\vdash \{x = 0, y = 1\} : \{x: \text{Nat}\}$$

and hence

$$(\lambda r: \{x: \text{Nat}\}. r.x) \{x = 0, y = 1\}$$

is *well* typed.



# The Subtype Relation: Records

“Width subtyping” (forgetting fields on the right):

$$\{l_i: T_i^{i \in 1..n+k}\} <: \{l_i: T_i^{i \in 1..n}\} \quad (\text{S-RcdWidth})$$

Intuition:  $\{x: \text{Nat}\}$  is the type of all records with *at least* a numeric  $x$  field.



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Intuition:  $\{x: \text{Nat}\}$  is the type of all records with *at least* a numeric  $x$  field.

Note that the record type with *more* fields is a *subtype* of the record type with fewer fields.

Reason: the type with more fields places a *stronger constraint* on values, so it describes *fewer values*.



# The Subtype Relation: Records

Permutation of fields:

$$\frac{\{k_j : S_j \mid j \in 1..n\} \text{ is a permutation of } \{l_i : T_i \mid i \in 1..n\}}{\{k_j : S_j \mid j \in 1..n\} <: \{l_i : T_i \mid i \in 1..n\}} \quad (\text{S-RCDPERM})$$



# Order of fields in Records

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The order of fields in a record does *not make any difference* to *how we can safely use it*, since the only thing that we can do with records (projecting their fields) is *insensitive* to the order of fields.





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S-RcdPerm tells us that

$$\{c:\text{Top}, b:\text{Bool}, a:\text{Nat}\} <: \{a:\text{Nat}, b:\text{Bool}, c:\text{Top}\}$$

and

$$\{a:\text{Nat}, b:\text{Bool}, c:\text{Top}\} <: \{c:\text{Top}, b:\text{Bool}, a:\text{Nat}\}$$


# The Subtype Relation: Records

Permutation of fields:

$$\frac{\{k_j : S_j^{j \in 1..n}\} \text{ is a permutation of } \{l_i : T_i^{i \in 1..n}\}}{\{k_j : S_j^{j \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDPERM})$$

By using S-RcdPerm together with S-RcdWidth and S-Trans allows us to *drop arbitrary fields* within records.



# The Subtype Relation: Records

“Depth subtyping” within fields:

$$\frac{\text{for each } i \quad S_i <: T_i}{\{l_i : S_i \mid i \in 1..n\} <: \{l_i : T_i \mid i \in 1..n\}} \quad (\text{S-RCDDEPTH})$$

The types of individual fields may change, as long as the type of each corresponding field in the two records are in the subtype relation.



# Example

$$\frac{}{\{a:\text{Nat}, b:\text{Nat}\} <: \{a:\text{Nat}\}} \text{S-RcdWIDTH} \qquad \frac{}{\{m:\text{Nat}\} <: \{\}} \text{S-RcdWIDTH}$$

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$$\frac{}{\{x:\{a:\text{Nat}, b:\text{Nat}\}, y:\{m:\text{Nat}\}\} <: \{x:\{a:\text{Nat}\}, y:\{\}} \text{S-RcdDEPTH}}$$



# Example

We can also use `S-RcdDepth` to refine the type of just a single record field (instead of refining every field), by using `S-RefL` to obtain trivial subtyping derivations for other fields.

$$\frac{\frac{}{\{a: \text{Nat}, b: \text{Nat}\} <: \{a: \text{Nat}\}} \text{S-RCDWIDTH} \quad \frac{}{\{m: \text{Nat}\} <: \{m: \text{Nat}\}} \text{S-REFL}}{\{x: \{a: \text{Nat}, b: \text{Nat}\}, y: \{m: \text{Nat}\}\} <: \{x: \{a: \text{Nat}\}, y: \{m: \text{Nat}\}\}} \text{S-RcdDepth}$$



# Variations

Real languages often choose not to adopt *all of these record subtyping rules*. For example, in Java,

- ▶ A subclass may not change the argument or result types of a method of its superclass (i.e., *no depth subtyping*)
- ▶ Each class has just one superclass (“*single inheritance*” of classes)

*each class member (field or method) can be assigned a single index, adding new indices “on the right” as more members are added in subclasses (i.e., no permutation for classes)*

- ▶ A class may implement multiple interfaces (“*multiple inheritance*” of interfaces)

I.e., permutation is allowed for interfaces.



# The Subtype Relation: Arrow types

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$



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Note the *order* of  $T_1$  and  $S_1$  in the first premise. The subtype relation is *contravariant* in the left-hand sides of arrows and *covariant* in the right-hand sides.





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Intuition: if we have a function  $f$  of type  $S_1 \rightarrow S_2$ , then we know that  $f$  accepts elements of type  $S_1$ ; clearly,  $f$  will also accept elements of any subtype  $T_1$  of  $S_1$ . The type of  $f$  also tells us that it returns elements of type  $S_2$ ; we can also view these results belonging to any supertype  $T_2$  of  $S_2$ . That is, any function  $f$  of type  $S_1 \rightarrow S_2$  can also be viewed as having type  $T_1 \rightarrow T_2$ .



# The Subtype Relation: Top

It is *convenient* to have a type that is a *supertype of every type*. We introduce a new type constant **Top**, plus a rule that makes **Top** a maximum element of the subtype relation.

$$S <: \text{Top}$$
$$(\text{S-TOP})$$


# The Subtype Relation: Top

It is *convenient* to have a type that is a *supertype of every type*. We introduce a new type constant **Top**, plus a rule that makes **Top** a maximum element of the subtype relation.

$$S <: \text{Top}$$
$$(\text{S-TOP})$$

Cf. **Object** in Java.



# Subtype Relation: General rules

$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$



# Subtype Relation

$$S <: S \quad (\text{S-REFL})$$

$$\frac{S <: U \quad U <: T}{S <: T} \quad (\text{S-TRANS})$$

$$\{l_i : T_i^{i \in 1..n+k}\} <: \{l_i : T_i^{i \in 1..n}\} \quad (\text{S-RCDWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\{l_i : S_i^{i \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDDEPTH})$$

$$\frac{\{k_j : S_j^{j \in 1..n}\} \text{ is a permutation of } \{l_i : T_i^{i \in 1..n}\}}{\{k_j : S_j^{j \in 1..n}\} <: \{l_i : T_i^{i \in 1..n}\}} \quad (\text{S-RCDPERM})$$

$$\frac{T_1 <: S_1 \quad S_2 <: T_2}{S_1 \rightarrow S_2 <: T_1 \rightarrow T_2} \quad (\text{S-ARROW})$$

$$S <: \text{Top} \quad (\text{S-TOP})$$



# Properties of Subtyping



# Safety

*Statements* of **progress** and **preservation** theorems are unchanged from  $\lambda_{\rightarrow}$ .



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Statements of **progress** and **preservation** theorems are unchanged from  $\lambda_{\rightarrow}$ .

Proofs become a bit more involved, because the typing relation is no longer *syntax directed*.

Given a derivation, we don't always know what rule was used in the last step. The rule T-SUB could appear anywhere.

$$\frac{\Gamma \vdash t : S \quad S <: T}{\Gamma \vdash t : T} \quad (\text{T-SUB})$$





# Syntax-directed rules

When we say a set of rules is syntax-directed we mean two things:

1. There is exactly one rule in the set that applies to each syntactic form. (We can tell by the syntax of a term which rule to use.)
  - In order to derive a type for  $t_1 t_2$ , we must use T-App.
2. We don't have to “guess” an input (or output) for any rule.
  - To derive a type for  $t_1 t_2$ , we need to derive a type for  $t_1$  and a type for  $t_2$ .



# Preservation

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*Theorem: If  $\Gamma \vdash t : T$  and  $t \rightarrow t'$ , then  $\Gamma \vdash t' : T$ .*

*Proof: By induction on **typing derivations**.*

Which cases are likely to be hard?



# Subsumption case

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Case T-Sub:  $t : S \quad S <: T$

By the induction hypothesis,  $\Gamma \vdash t' : S$ . By T-Sub,  $\Gamma \vdash t$ .

Not hard!



# Application case

Case T-APP :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

By the inversion lemma for evaluation, there are three rules by which  $t \rightarrow t'$  can be derived: E-APP1, E-APP2, and E-APPABS . Proceed by cases.



# Application case

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Subcase E-APP1:  $t_1 \rightarrow t'_1 \quad t' = t'_1 t_2$

The result follows from the induction hypothesis and T-APP .

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$



# Application case

Case T-APP :

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-APP2 :  $t_1 = v_1 \quad t_2 \rightarrow t'_2 \quad t' = v_1 t'_2$

Similar.

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

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



# Application case

Case T-APP:

$$t = t_1 t_2 \quad \Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11} \quad T = T_{12}$$

Subcase E-APPABS :

$$t_1 = \lambda x : S_{11}. t_{12} \quad t_2 = v_2 \quad t' = [x \mapsto v_2] t_{12}$$

By the inversion lemma for the typing relation...

$$T_{11} <: S_{11} \quad \text{and} \quad \Gamma, x : S_{11} \vdash t_{12} : T_{12} .$$

By T-Sub,  $\Gamma \vdash t_2 : S_{11}$ .

By the substitution lemma,  $\Gamma \vdash t' : T_{12}$ .

$$\frac{\Gamma \vdash t_1 : T_{11} \rightarrow T_{12} \quad \Gamma \vdash t_2 : T_{11}}{\Gamma \vdash t_1 t_2 : T_{12}} \quad (\text{T-APP})$$

$$(\lambda x : T_{11}. t_{12}) v_2 \longrightarrow [x \mapsto v_2] t_{12} \quad (\text{E-APPABS})$$



# Inversion Lemma for Typing

*Lemma:* If  $\Gamma \vdash \lambda x: S_1. s_2: T_1 \rightarrow T_2$ , then  $T_1 <: S_1$  and  $\Gamma, x: S_1 \vdash s_2: T_2$ .





# Inversion Lemma for Typing

*Lemma:* If  $\Gamma \vdash \lambda x: S_1. s_2: T_1 \rightarrow T_2$ , then  $T_1 <: S_1$  and  $\Gamma, x: S_1 \vdash s_2: T_2$ .

*Proof:* Induction on typing derivations.

*Case T-Sub:*  $\lambda x: S_1. s_2: U \quad U: T_1 \rightarrow T_2$

We want to say “By the induction hypothesis...”, but the IH does not apply (we do not know that  $U$  is an arrow type). Need another lemma...

*Lemma:* If  $U <: T_1 \rightarrow T_2$ , then  $U$  has the form:  $U_1 \rightarrow U_2$ , with  $T_1 <: U_1$  and  $U_2 <: T_2$ . (Proof: by induction on subtyping derivations.)



# Inversion Lemma for Typing

By this lemma, we know  $U = U_1 \rightarrow U_2$ , with  $T_1 <: U_1$  and  $U_2 <: T_2$ .

The IH now applies, yielding  $U_1 <: S_1$  and  $\Gamma, x: S_1 \vdash s_2: U_2$ .

From  $U_1 <: S_1$  and  $T_1 <: U_1$ , rule S-Trans gives  $T_1 <: S_1$ .

From  $\Gamma, x: S_1 \vdash s_2: U_2$  and  $U_2 <: T_2$ , rule T-Sub gives  $\Gamma, x: S_1 \vdash s_2: T_2$ , and we are done



# Subtyping with Other Features



# Ascription and Casting

Ordinary ascription:

$$\frac{\Gamma \vdash t_1 : T}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-ASCRIBE})$$

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIBE})$$



# Ascription and Casting

Ordinary ascription:

$$\frac{\Gamma \vdash t_1 : T}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-ASCRIBE})$$

$$v_1 \text{ as } T \longrightarrow v_1 \quad (\text{E-ASCRIBE})$$

Casting (cf. Java):

$$\frac{\Gamma \vdash t_1 : S}{\Gamma \vdash t_1 \text{ as } T : T} \quad (\text{T-CAST})$$

$$\frac{\vdash v_1 : T}{v_1 \text{ as } T \longrightarrow v_1} \quad (\text{E-CAST})$$



# Subtyping and Variants

$$\langle l_i : T_i \rangle_{i \in 1..n} <: \langle l_i : T_i \rangle_{i \in 1..n+k} \quad (\text{S-VARIANTWIDTH})$$

$$\frac{\text{for each } i \quad S_i <: T_i}{\langle l_i : S_i \rangle_{i \in 1..n} <: \langle l_i : T_i \rangle_{i \in 1..n}} \quad (\text{S-VARIANTDEPTH})$$

$$\frac{\langle k_j : S_j \rangle_{j \in 1..n} \text{ is a permutation of } \langle l_i : T_i \rangle_{i \in 1..n}}{\langle k_j : S_j \rangle_{j \in 1..n} <: \langle l_i : T_i \rangle_{i \in 1..n}} \quad (\text{S-VARIANTPERM})$$

$$\frac{\Gamma \vdash t_1 : T_1}{\Gamma \vdash \langle l_1 = t_1 \rangle : \langle l_1 : T_1 \rangle} \quad (\text{T-VARIANT})$$



# Subtyping and Lists

$$\frac{S_1 <: T_1}{\text{List } S_1 <: \text{List } T_1} \quad (\text{S-LIST})$$

i.e., List is a covariant type constructor.



# Subtyping and References

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$

i.e., **Ref** is not a *covariant* (nor a *contravariant*) type constructor.





# Subtyping and References

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i.e., **Ref** is not a *covariant* (nor a *contravariant*) type constructor.

Why?

- ▶ When a reference is *read*, the context expects a  $T_1$ , so if  $S_1 <: T_1$  then an  $S_1$  is ok.



# Subtyping and References

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Ref } S_1 <: \text{Ref } T_1} \quad (\text{S-REF})$$

i.e., **Ref** is not a *covariant* (nor a *contravariant*) type constructor.

Why?

- ▶ When a reference is *read*, the context expects a  $T_1$ , so if  $S_1 <: T_1$  then an  $S_1$  is ok.
- ▶ When a reference is *written*, the context provides a  $T_1$  and if the actual type of the reference is  $\text{Ref } S_1$ , someone else may use the  $T_1$  as an  $S_1$ . So we need  $T_1 <: S_1$ .



# Subtyping and Arrays

Similarly...

$$\frac{S_1 <: T_1 \quad T_1 <: S_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAY})$$

$$\frac{S_1 <: T_1}{\text{Array } S_1 <: \text{Array } T_1} \quad (\text{S-ARRAYJAVA})$$

This is regarded (even by the Java designers) as a mistake in the design.



# References again

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Observation: a value of type **Ref T** can be used in two different ways: as a *source* for values of type **T** and as a *sink* for values of type **T**.



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Observation: a value of type **Ref T** can be used in two different ways: as a *source* for values of type **T** and as a *sink* for values of type **T**.

Idea: Split **Ref T** into three parts:

- ▶ **Source T**: reference cell with “read capability”
- ▶ **Sink T**: reference cell with “write capability”
- ▶ **Ref T**: cell with both capabilities



# Modified Typing Rules

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Source } T_{11}}{\Gamma \mid \Sigma \vdash !t_1 : T_{11}} \quad (\text{T-DEREF})$$

$$\frac{\Gamma \mid \Sigma \vdash t_1 : \text{Sink } T_{11} \quad \Gamma \mid \Sigma \vdash t_2 : T_{11}}{\Gamma \mid \Sigma \vdash t_1 := t_2 : \text{Unit}} \quad (\text{T-ASSIGN})$$



# Subtyping rules

$$\frac{S_1 <: T_1}{\text{Source } S_1 <: \text{Source } T_1} \quad (\text{S-SOURCE})$$

$$\frac{T_1 <: S_1}{\text{Sink } S_1 <: \text{Sink } T_1} \quad (\text{S-SINK})$$

$$\text{Ref } T_1 <: \text{Source } T_1 \quad (\text{S-REFSOURCE})$$

$$\text{Ref } T_1 <: \text{Sink } T_1 \quad (\text{S-REFSINK})$$



# Capabilities

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Other kinds of capabilities (e.g., send and receive capabilities on communication channels, encrypt/decrypt capabilities of cryptographic keys, ...) can be treated similarly.





# Intersection and Union Types



# Intersection Types

The inhabitants of  $T_1 \wedge T_2$  are terms belonging to *both*  $S$  and  $T$  —i.e.,  $T_1 \wedge T_2$  is an order-theoretic meet (greatest lower bound) of  $T_1$  and  $T_2$ .

$$T_1 \wedge T_2 <: T_1 \quad (\text{S-INTER1})$$

$$T_1 \wedge T_2 <: T_2 \quad (\text{S-INTER2})$$

$$\frac{S <: T_1 \quad S <: T_2}{S <: T_1 \wedge T_2} \quad (\text{S-INTER3})$$

$$S \rightarrow T_1 \wedge S \rightarrow T_2 <: S \rightarrow (T_1 \wedge T_2) \quad (\text{S-INTER4})$$



# Intersection Types

Intersection types permit a very flexible form of **finitary overloading**.

$+ : (\text{Nat} \rightarrow \text{Nat} \rightarrow \text{Nat}) \wedge (\text{Float} \rightarrow \text{Float} \rightarrow \text{Float})$

This form of overloading is extremely powerful.

Every strongly normalizing untyped lambda-term can be typed in the simply typed lambda-calculus with intersection types.

type reconstruction problem is undecidable

Intersection types have not been used much in language designs (too powerful!), but are being intensively investigated as type systems for intermediate languages in highly optimizing compilers (cf. Church project).



# Union types

Union types are also useful.

$T_1 \vee T_2$  is an **untagged** (non-disjoint) union of  $T_1$  and  $T_2$ .

No tags : no *case* construct. The only operations we can safely perform on elements of  $T_1 \vee T_2$  are ones that make sense for both  $T_1$  and  $T_2$ .

N.b: untagged union types in C are a source of type safety violations precisely because they ignores this restriction, allowing any operation on an element of  $T_1 \vee T_2$  that makes sense for either  $T_1$  or  $T_2$ .

Union types are being used recently in type systems for XML processing languages (cf. Xduce, Xtatic).



# Varieties of Polymorphism

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- Parametric polymorphism (ML-style)
- Subtype polymorphism (OO-style)
- Ad-hoc polymorphism (overloading)



# Homework😊

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- Read chapter 14 & 15
- Read and chew over the codes of chap 17.
- HW: 14.3.1, 15.5.2

