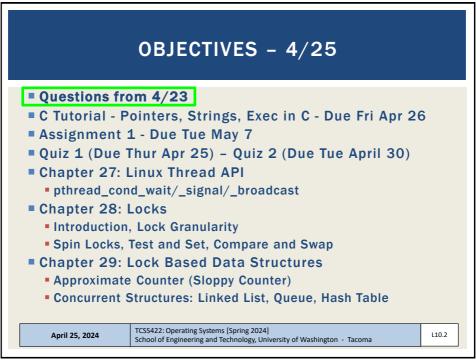
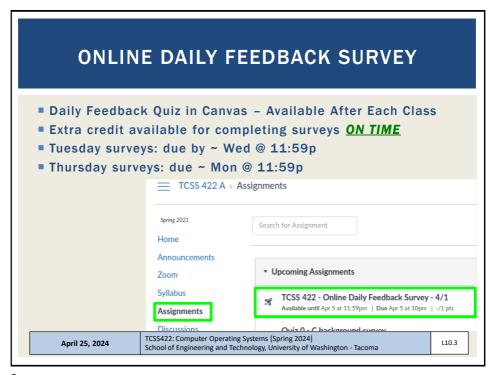
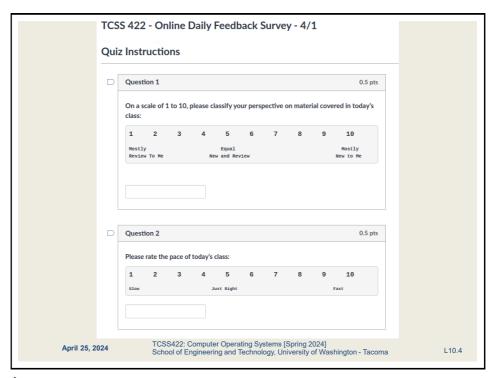


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### MATERIAL / PACE

- Please classify your perspective on material covered in today's class (31 respondents):
- 1-mostly review, 5-equal new/review, 10-mostly new
- Average -6.45 ( $\downarrow$  previous 6.58)
- Please rate the pace of today's class:
- 1-slow, 5-just right, 10-fast
- Average  $5.06 (\downarrow \text{ previous } 5.10)$

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### FEEDBACK FROM 4/23

Why does pthread\_mutex\_lock() function call return an integer which is assigned to variable rc?

```
int rc = pthread mutex init(&lock, NULL);
assert(rc == 0); // always check success!
```

- We capture the function's return code into int rc
- Why does rc have to be asserted that it is equal to 0 right after the initialization?
  - The assert function throws an error (and stops the program) when rc
  - Receiving a non-zero return indicates a critical error, and the program should likely not continue to run
  - Calling assert() is optional and not required

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### **OBJECTIVES - 4/25** • Questions from 4/23 C Tutorial - Pointers, Strings, Exec in C - Due Fri Apr 26 Assignment 1 - Due Tue May 7 Quiz 1 (Due Thur Apr 25) - Quiz 2 (Due Tue April 30) ■ Chapter 27: Linux Thread API pthread\_cond\_wait/\_signal/\_broadcast ■ Chapter 28: Locks Introduction, Lock Granularity Spin Locks, Test and Set, Compare and Swap Chapter 29: Lock Based Data Structures Approximate Counter (Sloppy Counter) Concurrent Structures: Linked List, Queue, Hash Table TCSS422: Operating Systems [Spring 2024] April 25, 2024 School of Engineering and Technology, University of Washington - Tacoma

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### QUIZ 1

- Active reading on Chapter 9 Proportional Share Schedulers
- Posted in Canvas
- Due Thursday April 25th at 11:59pm
- Link:
- https://faculty.washington.edu/wiloyd/courses/tcss422/ quiz/TCSS422\_s2024\_quiz\_1.pdf

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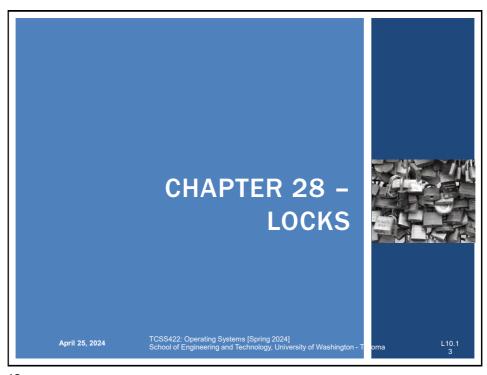
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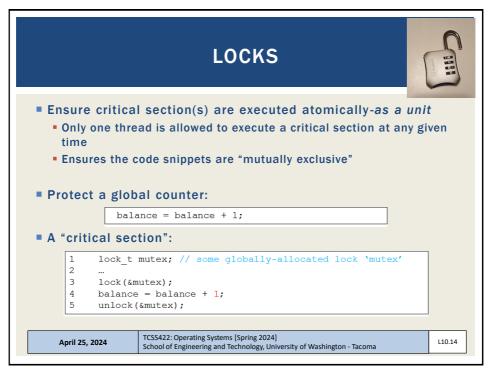
L10.10

# QUIZ 2 Canvas Quiz - Practice CPU Scheduling Problems Posted in Canvas Unlimited attempts permitted Provides CPU scheduling practice problems FIFO, SJF, STCF, RR, MLFQ (Ch. 7 & 8) Multiple choice and fill-in the blank Quiz automatically scored by Canvas Please report any grading problems Due Tuesday April 30<sup>th</sup> at 11:59pm Link: https://canvas.uw.edu/courses/1728244/quizzes/2030525 April 25, 2024 TCSS422: Operating Systems [Spring 2024] School of Engineering and Technology, University of Washington - Tacoma

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### **OBJECTIVES - 4/25** Questions from 4/23 C Tutorial - Pointers, Strings, Exec in C - Due Fri Apr 26 Assignment 1 - Due Tue May 7 Quiz 1 (Due Thur Apr 25) - Quiz 2 (Due Tue April 30) ■ Chapter 27: Linux Thread API pthread\_cond\_wait/\_signal/\_broadcast ■ Chapter 28: Locks Introduction, Lock Granularity Spin Locks, Test and Set, Compare and Swap ■ Chapter 29: Lock Based Data Structures Approximate Counter (Sloppy Counter) Concurrent Structures: Linked List, Queue, Hash Table TCSS422: Operating Systems [Spring 2024] April 25, 2024 11012 School of Engineering and Technology, University of Washington - Tacoma





# LOCKS - 2 Lock variables are called "MUTEX" Short for mutual exclusion (that's what they guarantee) Lock variables store the state of the lock States Locked (acquired or held) Unlocked (available or free) Only 1 thread can hold a lock TCSS42: Operating Systems [Spring 2024] School of Engineering and Technology, University of Washington - Tacoma

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# LOCKS - 3 | pthread\_mutex\_lock(&lock) | Try to acquire lock | If lock is free, calling thread will acquire the lock | Thread with lock enters critical section | Thread "owns" the lock | No other thread can acquire the lock before the owner releases it. | April 25, 2024 | TCSS422: Operating Systems [Spring 2024] | School of Engineering and Technology, University of Washington - Tacoma | L10.16

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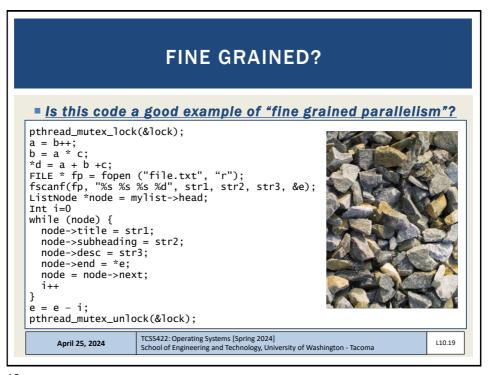
### LOCKS - 4 Program can have many mutex (lock) variables to "serialize" many critical sections Locks are also used to protect data structures Prevent multiple threads from changing the same data simultaneously Programmer can make sections of code "granular" • Fine grained - means just one grain of sand at a time through an hour glass Similar to relational database transactions DB transactions prevent multiple users from modifying a table, row, field TCSS422: Operating Systems [Spring 2024] April 25, 2024 110 18 School of Engineering and Technology, University of Washington - Tacoma

Approximate Counter (Sloppy Counter)

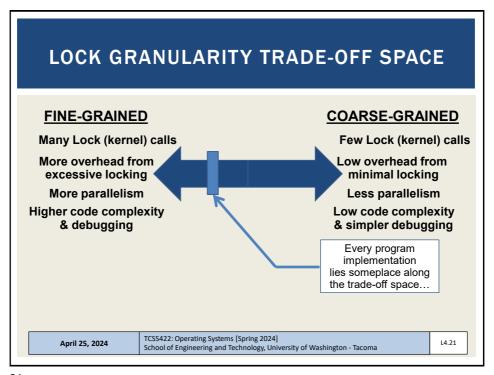
Concurrent Structures: Linked List, Queue, Hash Table

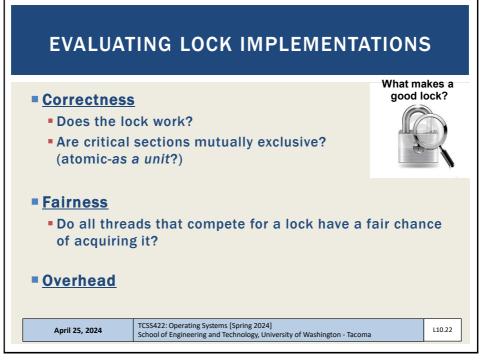
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### FINE GRAINED PARALLELISM pthread\_mutex\_lock(&lock\_a); pthread\_mutex\_lock(&lock\_b); a = b++;pthread\_mutex\_unlock(&lock\_b); pthread\_mutex\_unlock(&lock\_a); pthread\_mutex\_lock(&lock\_b); b = a \* c;pthread\_mutex\_unlock(&lock\_b); pthread\_mutex\_lock(&lock\_d); \*d = a + b + c;pthread\_mutex\_unlock(&lock\_d); FILE \* fp = fopen ("file.txt", "r"); pthread\_mutex\_lock(&lock\_e); fscanf(fp, "%s %s %s %d", str1, str2, str3, &e); pthread\_mutex\_unlock(&lock\_e); ListNode \*node = mylist->head; int i=0 . . . TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.20 School of Engineering and Technology, University of Washington - Tacoma





### **BUILDING LOCKS**

- Locks require hardware support
  - To minimize overhead, ensure fairness and correctness
  - Special "atomic-as a unit" instructions to support lock implementation
  - Atomic-as a unit exchange instruction
    - XCHG
  - Compare and exchange instruction
    - CMPXCHG
    - CMPXCHG8B
    - CMPXCHG16B

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### HISTORICAL IMPLEMENTATION

- To implement mutual exclusion
  - Disable interrupts upon entering critical sections

```
void lock() {
       DisableInterrupts();
3
  void unlock() {
5
       EnableInterrupts();
```

- Any thread could disable system-wide interrupt
  - What if lock is never released?
- On a multiprocessor processor each CPU has its own interrupts
  - Do we disable interrupts for all cores simultaneously?
- While interrupts are disabled, they could be lost
  - If not queued...

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### BASIC SPIN LOCK IMPLEMENTATION

- Demonstration of lock implementation using C code
- C code is compiled to assembly, instructions are not atomic
- Idea is to imagine "what if" the lock code were atomic



Is this lock implementation: (1)Correct? (2)Fair?

(3)Performant?

```
typedef struct __lock_t { int flag; } lock t;
3 void init(lock_t *mutex) {
     // 0 \rightarrow lock is available, 1 \rightarrow held
         mutex->flag = 0;
8 void lock(lock t *mutex) {
9 while (mutex->flag == 1) // TEST the flag
10 ; // enin-woit (4)
                 ; // spin-wait (do nothing)
11 12 }
        mutex->flag = 1; // now SET it !
13
14 void unlock(lock_t *mutex) {
1.5
         mutex->flag = 0;
16 }
```

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### **BASIC SPIN LOCK: CORRECT?**

• If both threads can run at the same time, then correctness requires luck... (e.g. basic spin lock is incorrect)

```
Thread1 Thread2

call lock()
while (flag == 1)
interrupt: switch to Thread 2

call lock()
while (flag == 1)
flag = 1;
interrupt: switch to Thread 1

flag = 1; // set flag to 1 (too!)
```

Here both threads have "acquired" the lock simultaneously

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### **BASIC SPIN LOCK: PERFORMANCE?**

- What is wrong with while(<cond>); ?
- Spin-waiting wastes time actively waiting for another thread
- while (1); will "peg" a CPU core at 100%
  - Continuously loops, and evaluates mutex->flag value...
  - If multiple threads wait for the CPU, more CPU capacity is wasted
  - Generates heat...

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### **TEST-AND-SET INSTRUCTION**

- Hardware support required for working locks
- Book presents pseudo code of C implementation for TEST-AND-SET instruction that needs to be atomic
  - TEST-and-SET checks old value improving on basic spin lock
  - TEST-and-SET returns the old value so it can be checked
  - Comparison is made in the caller
  - Assumption is the TEST-AND-SET routine runs atomically on the CPU
  - Here is the C-pseudo code:

```
int TestAndSet(int *ptr, int new) {
int old = *ptr; // fetch old value at ptr
    *ptr = new; // store 'new' into ptr
    return old; // return the old value
}
```

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### TEST-AND-SET - 2 lock() method checks that TestAndSet doesn't return 1 If TestAndSet returns 1: This indicates someone else has the lock typedef struct \_\_lock\_t { int flag; } lock t; void init(lock t \*lock) { // 0 indicates that lock is available, // 1 that it is held lock->flag = 0; } 10 11 void lock(lock\_t \*lock) { while (TestAndSet(&lock->flag, 1) == 1) 13 ; // spin-wait 14 } 15 16 void unlock(lock\_t \*lock) { 17 $lock \rightarrow flag = 0;$ 18 } TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.31 School of Engineering and Technology, University of Washington - Tacoma

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### SPIN LOCK EVALUATION Correctness: Spin locks with atomic Test-and-Set: Critical sections won't be executed simultaneously by (2) threads **■** Fairness: No fairness guarantee. Once a thread has a lock, nothing forces it to relinquish it... lock distribution is random Performance: Spin locks perform "busy waiting" Spin locks are best for short periods of waiting (< 1 time quantum)</li> Performance is slow when multiple threads share a CPU Especially if "spinning" for long periods TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.32 School of Engineering and Technology, University of Washington - Tacoma

### **OBJECTIVES - 4/25**

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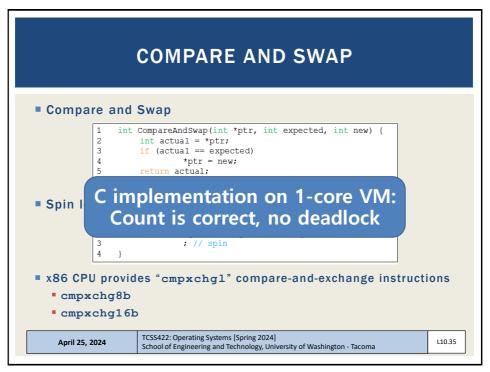
### **COMPARE AND SWAP**

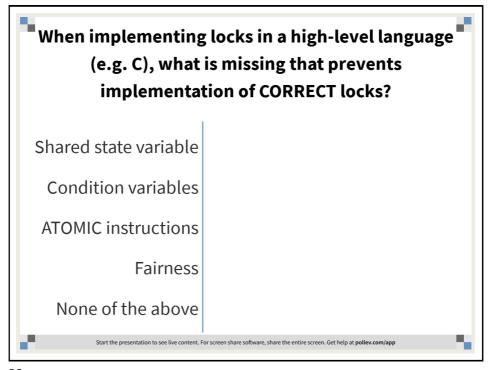
- Checks that the lock variable has the expected value FIRST, before changing its value
  - If so, make assignment
  - Return value at location
- Adds a comparison to TestAndSet method
  - Textbook presents C pseudo code
  - Assumption is that the compare-and-swap method runs atomically
- Useful for wait-free synchronization
  - Supports implementation of shared data structures which can be updated atomically (as a unit) using Hardware support: x86 CompareAndSwap instructions
  - Shared data structure updates become "wait-free"
  - Upcoming in Chapter 32

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### "LOCK BUILDING" CPU INSTRUCTIONS **ON ARM PROCESSORS**

- Cooperative instructions used together to support synchronization on RISC systems
- No support on x86 processors
  - Supported by RISC: Alpha, PowerPC, ARM
- Load-linked (LL)
  - Loads value into register
  - Same as typical load
  - Used as a mechanism to track competition
- Store-conditional (SC)
  - Performs "mutually exclusive" store
  - Allows only one thread to store value

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### LL/SC LOCK

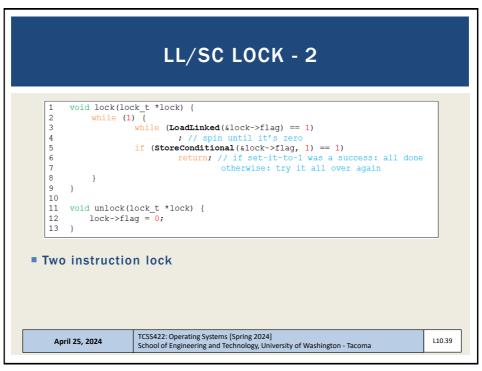
```
int LoadLinked(int *ptr) {
        return *ptr;
3
  int StoreConditional(int *ptr, int value) {
       if (no one has updated *ptr since the LoadLinked to this address) {
               *ptr = value;
return 1; // success!
        } else {
                 return 0; // failed to update
10
11
12 }
```

- LL instruction loads pointer value (ptr)
- SC only stores if the load link pointer has not changed
- Requires HW support
  - C code is psuedo code

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## OBJECTIVES - 4/25

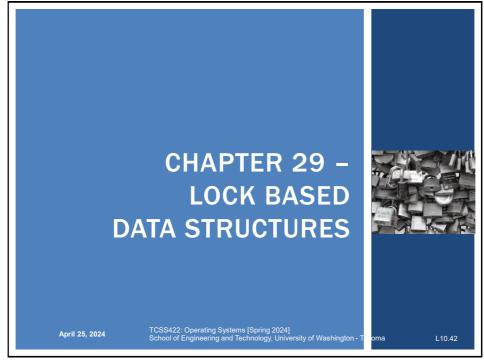
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## LOCK-BASED CONCURRENT DATA STRUCTURES

- Adding locks to data structures make them thread safe.
- Considerations:
  - Correctness
  - Performance
  - Lock granularity

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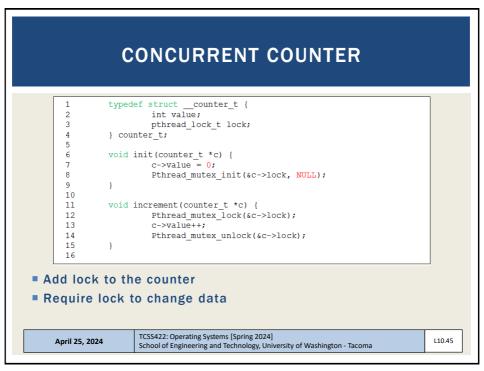
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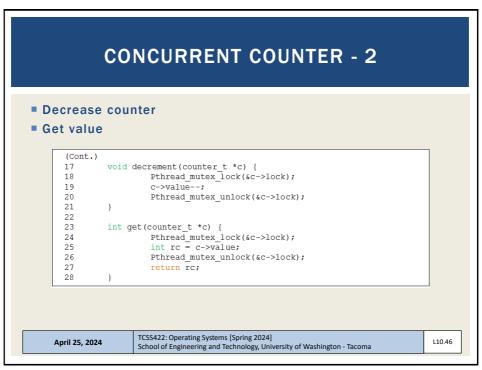
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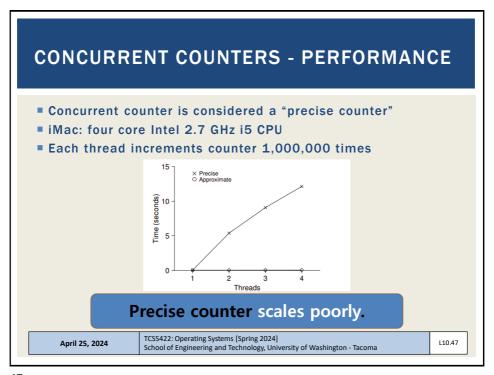
### COUNTER STRUCTURE W/O LOCK

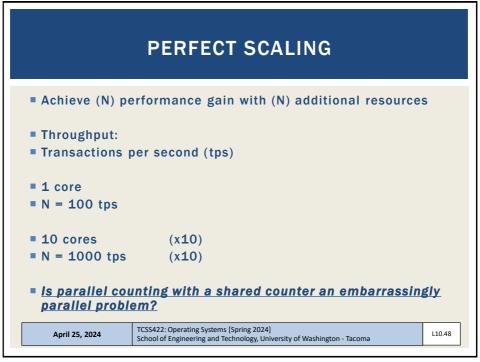
Synchronization weary --- not thread safe

```
typedef struct __counter_t {
                     int value;
            } counter_t;
            void init(counter_t *c) {
                     c->value = 0;
          void increment(counter t *c) {
  10
                     c->value++;
  11
  12
          void decrement(counter_t *c) {
  13
  14
                     c->value--;
  15
           }
  16
  17
           int get(counter_t *c) {
  18
                     return c->value;
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                                                                                         L10.44
```









### **OBJECTIVES - 4/25**

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### **APPROXIMATE (SLOPPY) COUNTER**

- Provides single logical shared counter
  - Implemented using local counters for each ~CPU core
    - 4 CPU cores = 4 local counters & 1 global counter
    - Local counters are synchronized via local locks
  - Global counter is updated periodically
    - Global counter has lock to protect global counter value
    - Update threshold (S) referred to as sloppiness threshold: How often to push local values to global counter
    - Small (S): more updates, more overhead
    - Large (S): fewer updates, more performant, less synchronized
- Why this implementation?

Why do we want counters local to each CPU Core?

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### APPROXIMATE COUNTER - MAIN POINTS

- Idea of the Approximate Counter is to **RELAX** the synchronization requirement for counting
  - Instead of synchronizing global count variable each time: counter=counter+1
  - Synchronization occurs only every so often: e.g. every 1000 counts
- Relaxing the synchronization requirement **drastically** reduces locking API overhead by trading-off split-second accuracy of the counter
- Approximate counter: trade-off accuracy for speed
  - It's approximate because it's not so accurate (until the end)

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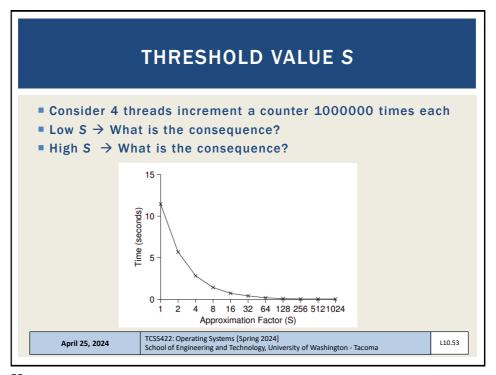
### **APPROXIMATE COUNTER - 2**

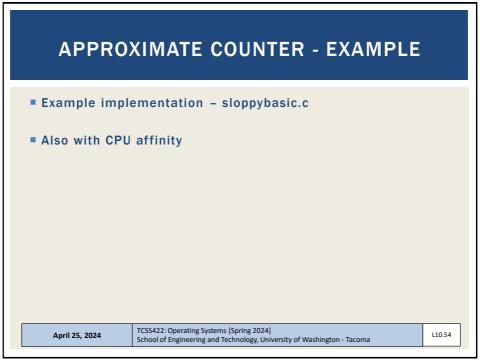
- Update threshold (S) = 5
- Synchronized across four CPU cores
- Threads update local CPU counters

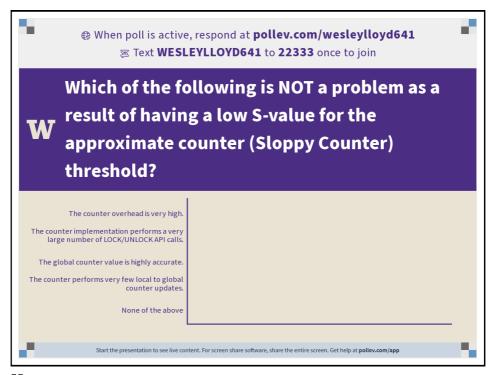
Time	L <sub>1</sub>	L <sub>2</sub>	L <sub>3</sub>	L <sub>4</sub>	G
0	0	0	0	0	0
1	0	0	1	1	0
2	1	0	2	1	0
3	2	0	3	1	0
4	3	0	3	2	0
5	4	1	3	3	0
6	5 <del>→</del> 0	1	3	4	5 (from $L_1$ )
7	0	2	4	5 → 0	10 (from $L_4$ )

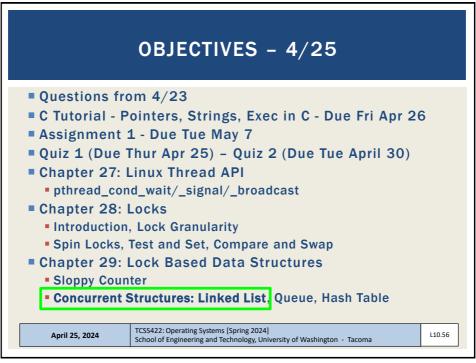
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### **CONCURRENT LINKED LIST - 1** Simplification - only basic list operations shown Structs and initialization: // basic node structure typedef struct \_\_node\_t { 3 int key; struct \_\_node\_t \*next; } node\_t; // basic list structure (one used per list) typedef struct \_\_list\_t { node t \*head; 8 pthread\_mutex\_t lock; 10 } list\_t; 11 12 13 void List\_Init(list\_t \*L) { 14 L->head = NULL; pthread mutex init(&L->lock, NULL); 17 (Cont.) TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.57 School of Engineering and Technology, University of Washington - Tacoma

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### **CONCURRENT LINKED LIST - 2** ■ Insert - adds item to list Everything is critical! There are two unlocks (Cont.) 18 int List\_Insert(list\_t \*L, int key) { 19 pthread\_mutex\_lock(&L->lock); 20 node\_t \*new = malloc(sizeof(node\_t)); 21 if (new == NULL) { perror("malloc"); pthread mutex unlock(&L->lock); return -1; // fail } 24 26 new->key = key; 27 new->next = L->head; 28 L->head = new;29 pthread\_mutex\_unlock(&L->lock); 30 return 0; // success 31 (Cont.) TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.58 School of Engineering and Technology, University of Washington - Tacoma

### **CONCURRENT LINKED LIST - 3**

- Lookup checks list for existence of item with key
- Once again everything is critical
  - Note there are also two unlocks

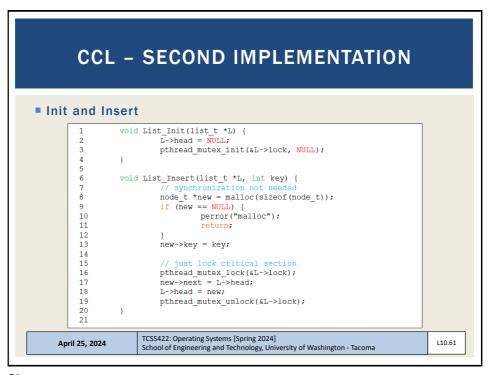
```
(Cont.)
            int List_Lookup(list_t *L, int key) {
  32
  33
                     pthread_mutex_lock(&L->lock);
                     node_t *curr = L->head;
  34
                     while (curr) {
  35
                               if (curr->key == key) {
  36
                                         pthread_mutex_unlock(&L->lock);
  37
  38
                                         return 0; // success
  39
  40
                               curr = curr->next;
  41
  42
                     pthread mutex unlock(&L->lock);
                     return -1; // failure
  43
  44
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```

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### **CONCURRENT LINKED LIST**

- First Implementation:
  - Lock everything inside Insert() and Lookup()
  - If malloc() fails lock must be released
    - Research has shown "exception-based control flow" to be error prone
    - 40% of Linux OS bugs occur in rarely taken code paths
    - Unlocking in an exception handler is considered a poor coding practice
    - There is nothing specifically wrong with this example however
- Second Implementation ...

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```
CCL - SECOND IMPLEMENTATION - 2
Lookup
       (Cont.)
               int List_Lookup(list_t *L, int key) {
      22
      23
                       int rv = -1;
      24
                       pthread_mutex_lock(&L->lock);
      25
                       node_t *curr = L->head;
      26
                       while (curr) {
                                if (curr->key == key) {
      28
                                         rv = 0;
      29
                                         break:
      30
                                curr = curr->next;
      31
      32
      33
                       pthread_mutex_unlock(&L->lock);
      34
                       return rv; // now both success and failure
      35
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```

### **CONCURRENT LINKED LIST PERFORMANCE**

- Using a single lock for entire list is not very performant
- Users must "wait" in line for a single lock to access/modify any item
- Hand-over-hand-locking (lock coupling)
  - Introduce a lock for each node of a list
  - Traversal involves handing over previous node's lock, acquiring the next node's lock...
  - Improves lock granularity
  - Degrades traversal performance
- Consider hybrid approach
  - Fewer locks, but more than 1
  - Best lock-to-node distribution?

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### **OBJECTIVES - 4/25**

- Questions from 4/23
- C Tutorial Pointers, Strings, Exec in C Due Fri Apr 26
- Assignment 1 Due Tue May 7
- Quiz 1 (Due Thur Apr 25) Quiz 2 (Due Tue April 30)
- Chapter 27: Linux Thread API
  - pthread\_cond\_wait/\_signal/\_broadcast
- Chapter 28: Locks
  - Introduction, Lock Granularity
  - Spin Locks, Test and Set, Compare and Swap
- Chapter 29: Lock Based Data Structures
  - Sloppy Counter
  - Concurrent Structures: Linked List, Queue Hash Table

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### MICHAEL AND SCOTT CONCURRENT QUEUES

- Improvement beyond a single master lock for a queue (FIFO)
- Two locks:
  - One for the head of the queue
  - One for the tail
- Synchronize enqueue and dequeue operations
- Add a dummy node
  - Allocated in the queue initialization routine
  - Supports separation of head and tail operations
- Items can be added and removed by separate threads at the same time

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### **CONCURRENT QUEUE** ■ Remove from queue typedef struct \_\_node\_t { int value; struct \_\_node\_t \*next; } node\_t; typedef struct \_\_queue node\_t \*head; queue t { node\_t \*tail; pthread\_mutex\_t headLock; pthread\_mutex\_t tailLock; 10 } queue\_t; 11 12 void Queue Init(queue t \*q) { node\_t \*tmp = malloc(sizeof(node\_t)); tmp->next = NULL; 15 q->head = q->tail = tmp; 16 pthread\_mutex\_init(&q->headLock, NULL); pthread\_mutex\_init(&q->tailLock, NULL); 17 18 19 (Cont.)

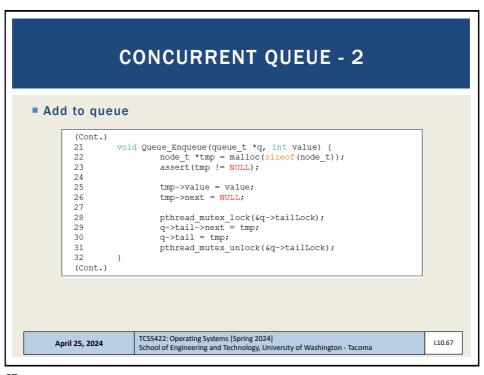
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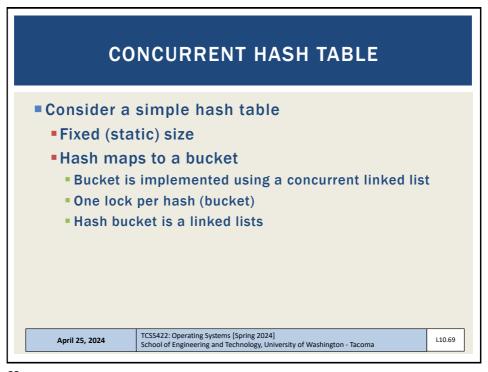
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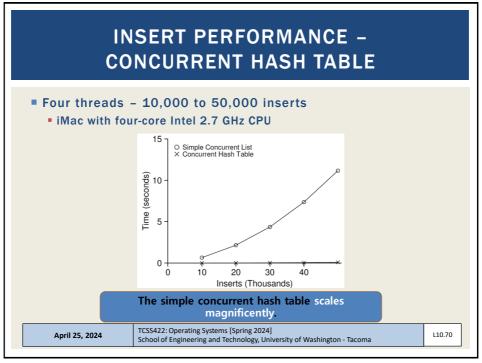
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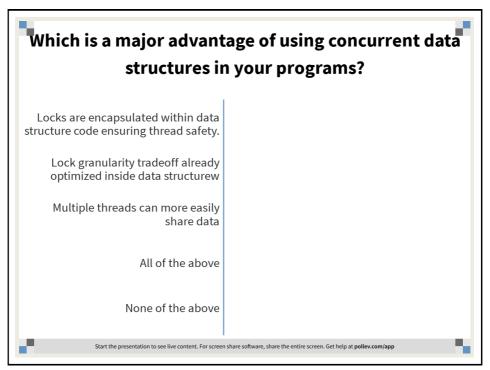


### **OBJECTIVES - 4/25** Questions from 4/23 C Tutorial - Pointers, Strings, Exec in C - Due Fri Apr 26 Assignment 1 - Due Tue May 7 Quiz 1 (Due Thur Apr 25) - Quiz 2 (Due Tue April 30) ■ Chapter 27: Linux Thread API pthread\_cond\_wait/\_signal/\_broadcast Chapter 28: Locks Introduction, Lock Granularity Spin Locks, Test and Set, Compare and Swap ■ Chapter 29: Lock Based Data Structures Sloppy Counter Concurrent Structures: Linked List, Queue, Hash Table TCSS422: Operating Systems [Spring 2024] April 25, 2024 L10.68 School of Engineering and Technology, University of Washington - Tacoma





```
CONCURRENT HASH TABLE
               #define BUCKETS (101)
               typedef struct __hash_t {
    list_t lists[BUCKETS];
               void Hash_Init(hash_t *H) {
                         int i;
                         for (i = 0; i < BUCKETS; i++) {</pre>
                                    List_Init(&H->lists[i]);
    10
    11
    12
    13
               int Hash Insert(hash t *H, int key) {
    15
                         int bucket = key % BUCKETS;
    16
                         return List_Insert(&H->lists[bucket], key);
    17
    18
              int Hash_Lookup(hash_t *H, int key) {
    int bucket = key % BUCKETS;
    return List_Lookup(&H->lists[bucket], key);
    19
    20
    21
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```



## LOCK-FREE DATA STRUCTURES

- Lock-free data structures in Java
- Java.util.concurrent.atomic package
- Classes:
  - AtomicBoolean
  - AtomicInteger
  - AtomicIntegerArray
  - AtomicIntegerFieldUpdater
  - AtomicLong
  - AtomicLongArray
  - AtomicLongFieldUpdater
  - AtomicReference
- See: <a href="https://docs.oracle.com/en/java/javase/11/docs/api/java.base/java/util/concurrent/atomic/package-summary.html">https://docs.oracle.com/en/java/javase/11/docs/api/java.base/java/util/concurrent/atomic/package-summary.html</a>

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