

# On Lambda Binding Constraints and Context Unification

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**Abstract.** Lambda binding and parallelism constraints are the main ingredients of the constraint language for lambda structures. Parallelism constraints alone are known to have the same expressive power as the language of context unification. Lambda binding constraints however were never investigated in that framework. We show that lambda binding plus parallelism constraints can be expressed in context unification with tree regular constraints.

## 1 Introduction

The *constraint language for lambda structures* (CLLS) is a first-order language by which to talk about lambda terms [6, 7]. These are modeled as lambda structures, i.e. trees with additional lambda binding edges. CLLS can talk about the nodes of a lambda structure, children, ancestor, and lambda binding; it can also speak about the parallelism relation between segments of lambda structure, which relates those segments that have the same tree and lambda binding structure.

We have argued so far that parallelism and lambda binding constraints are the main ingredients of CLLS. Parallelism constraints [8] subsume dominance constraints [14, 2, 1] which by themselves have a wide range of applications in computational linguistics, in syntax, semantics, and discourse (see i.g. [20, 5]). The full language of CLLS was introduced and still serves as a uniform framework for modeling underspecification in natural language semantics.

Context unification (CU) [4] extends first-order unification by second-order variables that denote contexts. Contexts are trees with finitely many holes. The segments of CLLS can be seen as occurrences of contexts. CU treats contexts as functions that fill the holes of the context when applied to a sequence of trees. CU is closely related with linear second-order unification [9, 12]. Whether CU is decidable is open but was often conjectured (see e.g. [13]). This is because various restrictions [9, 17, 18, 4, 19] make it decidable, while the analogous restrictions applied to second-order unification don't [10, 11].

It was shown in [15] that parallelism constraints are equivalent in expressive power to the language of CU. Lambda binding constraints, however, were never taken into account in this framework, and this was for good reasons: On the one hand side, it would be quite surprising if lambda binding could be expressed by using only parallelism constraints and thus by CU. On the other hand side, it

seems unlikely that adding lambda binding to parallelism constraints could raise undecidability, so this extension seemed of low interest with respect to the open decidability question for CU.

In this paper, we show that lambda binding and parallelism constraints can be expressed by CU with tree regular constraints [12]. This result is far from obvious. Its proof requires several encoding steps, one of which is based on a general but recent relationship between dominance logic and tree automata [16]. Another step relies on a new special property of parallel lambda binder that this paper exhibits for a first time.

If one believes in the conjecture of [12] that adding tree regular constraints to CU does not raise undecidability, then our result shows that adding lambda binding to parallelism constraints does neither.

We proceed as follows: Section 2 recalls the notions of tree structures, segments, and parallelism. Section 3 continues with lambda structures, where parallelism is restricted to deal with parallel lambda binding. Section 4 defines the languages of dominance, parallelism, and lambda binding constraints. In Section 5 we present the special property of parallel lambda binding that our encodings will rely on. Sections 6 and 7 show how to eliminate lambda binding constraints through naming of lambda binder, but at the cost of adding first-order dominance formulas. Section 8 then explains why parallelism constraints plus first-order dominance formulas can be expressed by CU with tree regular constraints. The final section, section 9, discusses applications and limitations of our approach.

## 2 Tree Structures and Parallelism

We assume a finite *signature*  $\Sigma$  of function symbols ranged over by  $f, g$ . Each function symbol has an arity  $\text{ar}(f) \geq 0$ .

*Finite Trees.* A finite (rooted) tree  $\tau$  over  $\Sigma$  is a ground term over  $\Sigma$ , i.e.  $\tau ::= f(\tau_1, \dots, \tau_n)$  where  $n = \text{ar}(f) \geq 0$  and  $f \in \Sigma$ . We identify a node of a tree with the word of positive integers  $\pi$  that addresses this node from the root:

$$\text{nodes}_{f(\tau_1, \dots, \tau_n)} = \{\epsilon\} \cup \{i\pi \mid 1 \leq i \leq n, \pi \in \text{nodes}_{\tau_i}\}$$

The empty word  $\epsilon$  is called the *root* of the tree, i.e.  $\text{root}(\tau) = \epsilon$ , while a word  $i\pi$  addresses the  $\pi$  node of the  $i$ -th subtree of  $\tau$ . We freely identify a tree  $\tau$  with the function  $\tau : \text{nodes}_\tau \rightarrow \Sigma$  that maps nodes of  $\tau$  to their function symbol labeling. If  $\tau = f(\tau_1, \dots, \tau_n)$  then we set:

$$\tau(\pi) = f(\tau_1, \dots, \tau_n)(\pi) = \begin{cases} f & \text{if } \pi = \epsilon \\ \tau_i(\pi') & \text{if } \pi = i\pi' \end{cases}$$

If  $\tau$  is a tree with  $\pi \in \text{nodes}_\tau$  then we write  $\tau.\pi$  for the subtree of  $\tau$  rooted by  $\pi$ . Furthermore, we write  $\tau[\pi/\tau']$  for the tree that is obtained by replacing the subtree of  $\tau$  at node  $\pi$  by  $\tau'$ .

*Dominance and Parallelism.* Let  $\tau$  be a tree with  $\pi, \pi', \pi_1, \dots, \pi_n \in \mathbf{nodes}_\tau$ . The *children-labeling relation*  $\pi : f(\pi_1, \dots, \pi_n)$  holds for  $\tau$  if the node  $\pi$  is labeled by  $f$  in  $\tau$  and has the children  $\pi_1, \dots, \pi_n$  in that order from left to right. This is if  $\tau(\pi) = f$  and  $\pi_1 = \pi 1, \dots, \pi_n = \pi n$  where  $n = \mathbf{ar}(f)$ . The *dominance relation*  $\pi \triangleleft^* \pi'$  holds for  $\tau$  if  $\pi$  is an ancestor of  $\pi'$ , i.e. if  $\pi$  is above  $\pi'$  in  $\tau$ , i.e. if  $\pi$  is a prefix of  $\pi'$ . *Strict dominance*  $\pi \triangleleft^+ \pi'$  holds for  $\tau$  if  $\pi \triangleleft^* \pi'$  but not  $\pi = \pi'$  in  $\tau$ . The *disjointness relation*  $\pi \perp \pi'$  holds for  $\tau$  if neither  $\pi \triangleleft^* \pi'$  nor  $\pi' \triangleleft^* \pi$  hold for  $\tau$ .

**Definition 1.** A *segment*  $\sigma = \pi/\pi_1, \dots, \pi_n$  of a tree  $\tau$  is a tuple of nodes  $\pi, \pi_1, \dots, \pi_n$  of  $\tau$  such that  $\pi$  dominates all  $\pi_i$  and, all  $\pi_i$  with different index are pairwise disjoint. We call  $\pi$  the *root* of  $\sigma$  and  $\pi_1, \dots, \pi_n$  its *holes*.

The *nodes of a segment*  $\sigma$  of a tree  $\tau$  are those nodes of  $\tau$  that lie between the root of  $\sigma$  and its holes:

$$\mathbf{nodes}_\tau(\pi/\pi_1, \dots, \pi_n) = \{\pi' \in \mathbf{nodes}_\tau \mid \pi \triangleleft^* \pi' \text{ and not } \pi_i \triangleleft^+ \pi' \text{ for } 1 \leq i \leq n\}$$

Note that our notion of segment nodes generalize the notion of tree nodes properly:  $\mathbf{nodes}_{\tau, \pi} = \mathbf{nodes}_\tau(\pi/)$  holds for all trees  $\tau$  and nodes  $\pi \in \mathbf{nodes}(\tau)$ . The labels and children of holes do not belong anymore to the segment. We therefore define the *inner nodes of a segment* to be all those nodes that are not holes, i.e.:

$$\mathbf{nodes}_\tau^-(\sigma) = \mathbf{nodes}_\tau(\sigma) - \{\pi_1, \dots, \pi_n\} \quad \text{if } \sigma = \pi/\pi_1, \dots, \pi_n$$

**Definition 2.** A *correspondence function* between segments  $\sigma_1$  and  $\sigma_2$  with the same number of holes of a tree  $\tau$  is a function  $c : \mathbf{nodes}_\tau(\sigma_1) \rightarrow \mathbf{nodes}_\tau(\sigma_2)$  that is one-to-one and onto and satisfies the following homomorphism conditions:

1. The root of  $\sigma_1$  is mapped to the root of  $\sigma_2$  and the sequence of holes of  $\sigma_1$  is mapped to the sequence of holes of  $\sigma_2$  in the same order.
2. The labels of inner nodes  $\pi \in \mathbf{nodes}_\tau^-(\sigma_1)$  are preserved:  $\tau(\pi) = \tau(c(\pi))$ .
3. The children of inner nodes in  $\pi \in \mathbf{nodes}_\tau^-(\sigma_1)$  are mapped to corresponding children in  $\sigma_2$ : for all  $1 \leq i \leq \mathbf{ar}(\tau(\pi))$  it holds that  $c(\pi i) = c(\pi) i$ .

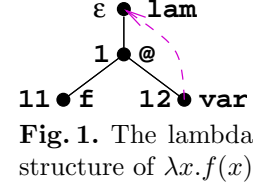
We call two segments  $\sigma_1$  and  $\sigma_2$  of a tree structure  $\tau$  (*tree*) *parallel* and write  $\sigma_1 \sim \sigma_2$  if and only if there exists a correspondence function between them. Tree parallelism can be characterized equivalently by saying that parallel segments are occurrences of the same context (see Proposition 13 below).

### 3 Lambda Structures and Parallel Lambda Binding

Lambda structures represent lambda terms uniquely modulo consistent renaming of bound variables. They can be seen as tree structures that are decorated with lambda binding edges.

The signature  $\Sigma$  of lambda structures contains the symbols **var** (arity 0, for variables), **lam** (arity 1, for abstraction), and **@** (arity 2, for application). The tree uses these symbols to reflect the structure of the lambda term and of first-order connectives. The binding function  $\lambda$  explicitly maps **var**-labeled to **lam**-labeled nodes.

For example, Fig. 1 shows a representation of the term  $\lambda x.f(x)$ . Here  $\lambda(12) = \epsilon$ .



**Definition 3.** A lambda structure  $(\tau, \lambda)$  is a pair of a tree  $\tau$  and a total binding function  $\lambda : \tau^{-1}(\mathbf{var}) \rightarrow \tau^{-1}(\mathbf{lam})$  such that  $\lambda(\pi) \triangleleft^* \pi$  holds for all  $\mathbf{var}$ -nodes  $\pi$  in  $\tau$ .

We freely consider lambda structures logical structures that beside of the relations of tree structures have relations for lambda binding and inverse lambda binding. The inverse lambda binding relation  $\lambda^{-1}(\pi_0) = \{\pi_1, \dots, \pi_n\}$  states that  $\pi_0$  binds  $\pi_1, \dots, \pi_n$ , and only those nodes are lambda-bound by  $\pi_0$ .

**Definition 4.** Two segments  $\sigma_1, \sigma_2$  of a lambda structure  $(\tau, \lambda)$  are (*binding*) parallel  $\sigma_1 \sim \sigma_2$  if they are tree parallel so that the correspondence function  $c$  between  $\sigma_1$  and  $\sigma_2$  satisfies the following axioms of parallel binding:

- Internal binder.** Internal lambda binder in parallel segments correspond: for all  $\pi \in \mathbf{nodes}_\tau^-(\sigma_1)$  if  $\lambda(\pi) \in \mathbf{nodes}_\tau^-(\sigma_1)$  then  $\lambda(c(\pi)) = c(\lambda(\pi))$ .
- External binder.** External lambda binder of corresponding  $\mathbf{var}$ -nodes are equal: for all  $\pi \in \mathbf{nodes}_\tau^-(\sigma_1)$  if  $\lambda(\pi) \notin \mathbf{nodes}_\tau^-(\sigma_1)$  then  $\lambda(c(\pi)) = \lambda(\pi)$ .
- No hanging binder.** A  $\mathbf{var}$ -node below a segment cannot be bound by a  $\mathbf{lam}$ -node within:  $\lambda^{-1}(\pi) \subseteq \mathbf{nodes}_\tau^-(\sigma_i)$  for all  $i \in 1, 2$  and  $\pi \in \mathbf{nodes}_\tau^-(\sigma_i)$ .

Note that this definition overloads the notion of parallelism  $\sigma_1 \sim \sigma_2$ . For tree structures it means tree parallelism and for lambda structures binding parallelism. Which of the two notions of parallelism is spoken about should always become clear from the respective context.

**Lemma 5.** Parallelism in lambda structures is symmetric: if  $\sigma_1 \sim \sigma_2$  holds in a lambda structure then  $\sigma_2 \sim \sigma_1$  holds as well.

*Proof.* Suppose that  $\sigma_1$  and  $\sigma_2$  are parallel segments of a lambda structure  $(\tau, \lambda)$  and that  $c$  is the correspondence function between them. By assumption,  $c$  satisfies the axioms of parallel binding. We have to show that the inverse correspondence function  $c^{-1}$  also satisfies these axioms.

**Internal binder.** Suppose that  $\pi, \lambda(\pi) \in \mathbf{nodes}_\tau^-(\sigma_2)$ . Let  $\pi' = c^{-1}(\pi)$  be a node in  $\mathbf{nodes}_\tau^-(\sigma_1)$ . Since  $\lambda(\pi')$  dominates  $\pi'$  there remain only two possibilities:

1. Case  $\lambda(\pi') \in \mathbf{nodes}_\tau^-(\sigma_1)$ . The **internal binder** axiom for  $c$  yields  $c(\lambda(\pi')) = \lambda(c(\pi')) = \lambda(\pi)$ . We can apply the inverse function  $c^{-1}$  on both sides and obtain  $\lambda(c^{-1}(\pi)) = c^{-1}(\lambda(\pi))$  as required.
2. Case  $\lambda(\pi') \notin \mathbf{nodes}_\tau^-(\sigma_1)$ . The **external binder** for  $c$  implies  $\lambda(\pi') = \lambda(c(\pi')) = \lambda(\pi)$ . If  $\pi'$  does not belong to the inner nodes of  $\sigma_2$  then  $\lambda(\pi')$  is a **hanging binder** which is not possible. In the same way, we can proof by induction that  $(c^{-1})^n(\pi)$  must belong to the inner nodes of  $\sigma_2$  for all  $n \geq 1$ . But this is also impossible as trees are assumed finite.

Lambda binding constraints:

$$\mu ::= \lambda(X)=Y \mid \lambda^{-1}(X) \subseteq \{X_1, \dots, X_m\} \mid \mu_1 \wedge \mu_2$$

First-order dominance formulas:

$$\nu ::= X:f(X_1, \dots, X_n) \mid X \triangleleft^* Y \mid \forall X. \nu \mid \neg \nu \mid \nu_1 \wedge \nu_2$$

Parallelism constraints:

$$\phi ::= X:f(X_1, \dots, X_n) \mid X \triangleleft^* Y \mid S_1 \sim S_2 \mid \phi_1 \wedge \phi_2$$

Segment terms:

$$S ::= X/X_1, \dots, X_m \quad (m \geq 0)$$

**Fig. 2.** Logical languages for tree and lambda structures

**External binder.** Suppose that  $\pi \in \text{nodes}_\tau^-(\sigma_2)$  while  $\lambda(\pi) \notin \text{nodes}_\tau^-(\sigma_2)$ . Let  $\pi' = c^{-1}(\pi) \in \text{nodes}_\tau^-(\sigma_1)$ . Again, there are two possibilities:

1. Case  $\lambda(\pi') \in \text{nodes}_\tau^-(\sigma_1)$ . The **internal binder** axiom for  $c$  yields  $c(\lambda(\pi')) = \lambda(c(\pi')) = \lambda(\pi)$  which is impossible since  $\lambda(\pi)$  does not belong to the image  $\text{nodes}_\tau^-(\sigma_2)$  of  $c$ .
2. Case  $\lambda(\pi') \notin \text{nodes}_\tau^-(\sigma_1)$ . The **external binder** for  $c$  implies  $\lambda(\pi') = \lambda(c(\pi')) = \lambda(\pi)$  as required.

**No hanging binder.** This axiom coincides for  $c$  and  $c^{-1}$ .

## 4 Constraint Languages

Given the model-theoretic notions of tree structures and lambda structures we can now define logical languages for their description in the usual Tarski'an manner.

We assume an infinite set  $X, Y, Z$  of *node variables* and define languages of tree descriptions in Figure 2. A *lambda binding constraint*  $\mu$  is a conjunction of lambda binding and inverse lambda binding literals:  $\lambda(X)=Y$  means that the value of  $X$  is a **var**-node that is lambda bound by the value of  $Y$ , while  $\lambda^{-1}(X) \subseteq \{X_1, \dots, X_m\}$  says that all **var**-nodes bound by the **lam**-node denoted by  $X$  are values of one of  $X_1$  to  $X_m$ .

A *dominance constraint* is a conjunction of dominance  $X \triangleleft^* Y$  and children-labeling literals  $X:f(X_1, \dots, X_n)$  that describe the respective relations in some tree structure. We will write  $X=Y$  to abbreviate  $X \triangleleft^* Y \wedge Y \triangleleft^* X$ . Note that dominance constraints are subsumed by parallelism constraints by definition. A *first-order dominance formula*  $\nu$  is built from dominance constraints and the usual first-order connectives: universal quantification, negation, and conjunction. These can also express existential quantification  $\exists X. \nu$  and disjunction  $\nu_1 \vee \nu_2$  that we will freely use. Furthermore, we will write  $X \neq Y$  instead of  $\neg X=Y$  and  $X \triangleleft^+ Y$  for  $X \triangleleft^* Y \wedge X \neq Y$ .

A *parallelism constraint*  $\phi$  is a conjunction of children-labeling, dominance, and parallelism literals  $S_1 \sim S_2$ . We use *segment terms*  $S$  of the form  $X/X_1, \dots, X_m$  to describe segments with  $m$  holes, given that the values of  $X$  and  $X_1, \dots, X_m$  satisfy the conditions imposed on the root and holes of segments (Definition 1). Note that a parallelism literal  $S_1 \sim S_2$  requires that the values of  $S_1$  and  $S_2$  are indeed segments.

To keep this section self contained let us quickly recall some model theoretic notions. We write  $\text{var}(\psi)$  for the set of free variables of a formula  $\psi$  of one of the above kinds. A *variable assignment* to the nodes of a tree  $\tau$  is a total function  $\alpha : V \rightarrow \text{nodes}(\tau)$  where  $V$  is a finite subset of node variables. A *solution* of a formula  $\psi$  thus consists of a tree structure  $\tau$  or a lambda structure  $(\tau, \lambda)$  and a variable assignment  $\alpha : V \rightarrow \text{nodes}(\tau)$  such that  $\text{var}(\psi) \subseteq V$ . Segment terms evaluate to tuples of nodes  $\alpha(X/X_1, \dots, X_n) = \alpha(X)/\alpha(X_1), \dots, \alpha(X_n)$  which may or may not be segments. Apart from this, we require as usual that a formula evaluates to true in all solution. We write  $\tau, \alpha \models \psi$  if  $\tau, \alpha$  is a solution of  $\psi$ , and in similarly  $(\tau, \lambda), \alpha \models \psi$ . A formula is *satisfiable* if it has a solution.

**Theorem 6.** *The satisfiability problem of parallelism plus lambda binding constraints  $\phi \wedge \mu$  can be reduced in polynomial time to the satisfiability problem of parallelism constraints plus first-order dominance formulas  $\phi' \wedge \nu$ .*

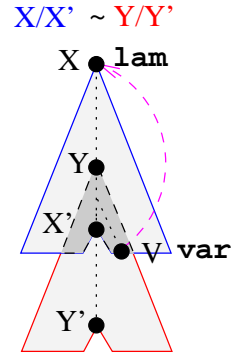
Note that the signature is part of the input of the respective satisfiability problems. This means that a formula  $\phi \wedge \mu$  over signature  $\Sigma$  can be translated to some formula  $\phi' \wedge \nu$  over some other signature  $\Sigma'$ . Sections 5-7 deals with proving this theorem. Section 8 links the result of Theorem 6 to context unification plus tree regular constraints.

## 5 Non-Interveneance Property

We now present a new property of parallelism in lambda structures that will be fundamental to our elimination of lambda binding constraints. It says that a corresponding lam-node cannot intervene between the lam-node and one of the var-nodes it binds. This statement is obvious for non-overlapping parallel segments but non obvious otherwise.

*Example 7.* The parallelism constraint drawn in Fig. 3 is unsatisfiable as will be proved by Lemma 8 below. The problem is that lam-node  $Y$  corresponds to  $X$  but must intervene between  $X$  and one of its bound var-nodes, i.e.  $V$ .

$$X \triangleleft^+ Y \triangleleft^+ X' \wedge X/X' \sim Y/Y' \wedge Y \triangleleft^+ V \wedge \lambda(V) = X$$



**Fig. 3.** Interveneance

**Lemma 8.** *Let  $(\tau, \lambda)$  be a lambda structure with parallel segments  $\sigma$  and  $\sigma'$  that correspond via the correspondence function  $c$ . For all  $\pi$  with  $\lambda(\pi) \in \text{nodes}_\tau^-(\sigma)$  it is not the case that  $\lambda(\pi) \triangleleft^+ c(\lambda(\pi)) \triangleleft^+ \pi$ .*

*Proof.* We suppose that  $\lambda(\pi) \in \text{nodes}_\tau^-(\sigma)$  and  $\lambda(\pi) \triangleleft^+ c(\lambda(\pi)) \triangleleft^+ \pi$  and derive a contradiction. The segments  $\sigma$  and  $\sigma'$  must overlap properly such that root of  $\sigma$  dominates that of  $\sigma'$ .

$$\text{root}(\sigma) \triangleleft^+ \text{root}(\sigma')$$

We can assume that  $\pi$  belongs to the inner nodes of both segments. Notice that  $\pi \in \text{nodes}_\tau^-(\sigma)$  holds since otherwise  $\lambda(\pi)$  would be a **hanging binder**. W.l.o.g.  $\pi$  also belongs to the inner nodes of the lower segment  $\pi \in \text{nodes}_\tau^-(\sigma')$  since otherwise  $\pi \perp \text{root}(\sigma')$  and the lemma would follow trivially.

We now prove the following property inductively and thus derive a contradiction: For all nodes  $\pi \in \text{nodes}_\tau^-(\sigma) \cap \text{nodes}_\tau^-(\sigma')$  it is impossible that:

$$\lambda(\pi) \triangleleft^+ c(\lambda(\pi)) \triangleleft^+ \pi.$$

The proof is by well-founded induction on the length of the word  $\pi$ .

1. Case  $\text{root}(\sigma') \triangleleft^* \lambda(\pi) \triangleleft^+ c(\lambda(\pi))$ . Let  $\pi' = c^{-1}(\pi)$  be an inner node of  $\sigma$ . The length of the word  $\pi'$  is properly smaller than the length of  $\pi$ . Since  $\pi$  belongs to the inner nodes of  $\sigma'$ , the axiom for **internal binder** can be applied to the correspondence function  $c$  yielding  $c(\lambda(\pi')) = \lambda(c(\pi'))$  and thus  $c(\lambda(\pi')) = \lambda(\pi)$ . The node  $\lambda(\pi')$  must properly dominate both  $c(\lambda(\pi'))$  and  $\pi'$ . The address (length) of  $c(\lambda(\pi'))$  is smaller than that of  $\pi'$ , so that:

$$\lambda(\pi') \triangleleft^+ c(\lambda(\pi')) \triangleleft^+ \pi'$$

This is impossible as stated by induction hypothesis applied to  $\pi'$ .

2. Case  $\lambda(\pi) \triangleleft^+ \text{root}(\sigma') \triangleleft^* c(\lambda(\pi))$ . Let  $\pi' = c^{-1}(\pi)$  be an inner node of  $\sigma$ . Since  $\pi$  is externally bound outside of  $\sigma'$ , the axiom for **external binder** applies to the inverse correspondence function  $c^{-1}$  by Lemma 5 and yields  $\lambda(\pi') = \lambda(\pi)$ . By now,  $\pi'$  is internally bound in  $\sigma$ . The axiom for **internal binder** applied to correspondence function  $c$  yields:  $c(\lambda(\pi')) = \lambda(c(\pi'))$  which is  $c(\lambda(\pi)) = \lambda(\pi)$ . This clearly contradicts  $\lambda(\pi) \triangleleft^+ c(\lambda(\pi))$ .

## 6 Elimination of Lambda Binding Constraints

We now give a translation that eliminates lambda binding literals in the presence of parallelism constraints while preserving satisfiability. The procedure is highly non-deterministic and will introduce first-order dominance formulas to express consistent binding.

### 6.1 Consistent Naming of Variable Binders

The idea behind our translation is to eliminate lambda binding by naming variable binder. This means that we want to use *named* labels  $\text{lam}_u$  and  $\text{var}_u$ , instead of *anonymous* labels  $\text{lam}$  and  $\text{var}$ .

In order to avoid variable capturing, we would like to introduce different names  $u, v, w$  for different binder  $\text{lam}_u, \text{lam}_v, \text{lam}_w$ . But unfortunately we cannot

$$\begin{aligned} \text{intervene}_{\text{lam}_u}(Y, X) &= \exists Z \exists Z'. Y \triangleleft^+ Z \triangleleft^+ X \wedge Z : \text{lam}_u(Z') \\ \text{bind}_u(X, Y) &= \exists Z (Y : \text{lam}_u(Z) \wedge Z \triangleleft^* X \wedge X : \text{var}_u) \wedge \neg \text{intervene}_{\text{lam}_u}(Y, X) \end{aligned}$$

**Fig. 4.** Non-intervenance and lambda binding

always do so in the presence of parallelism: corresponding `lam`-nodes have to carry same label `lamu` and corresponding `var`-nodes the same label `varu`.

Given that we cannot freely assign fresh names, we are faced with the danger of capturing and have to avoid it. The simplest idea were to forbid trees where some node with label `lamu` intervenes between any two other nodes with labels `lamu` and `varu`. This restriction can be easily expressed by a closed first-order dominance formula or could also be directly checked by a tree automaton in some tree regular constraint.

Unfortunately, the above restriction is too restrictive and thus not correct. The problem is that a corresponding `lam`-node can occur above of the `lam`-node it corresponds to. This can lead to the unwanted situation, as illustrated by the following example:

$$\text{lam}_u(@(\text{lam}_u(@(\text{a}, \text{var}_u)), \text{var}_u))$$

It can always happen that a corresponding `lamu` takes place above of a binding `lamu`-node, so that the binding `lamu` intervenes between the corresponding `lamu`-node and one of the `varu`-nodes bound by it.

Lemma 8 says that no corresponding `lam`-node can intervene between the `lam`-node it corresponds to and one of `var`-nodes it binds. This indicates a way out of that trouble: we have to require non-intervenance only when expressing lambda binding but not in general.

We define the binary predicate `intervenelamu(Y, X)` through the the first-order dominance formula in Fig. 4, which holds in a tree structure  $\tau$  if and only if some `lamu`-node intervenes between the values of  $X$  and  $Y$ .

We can now express  $\lambda(X)=Y$  with binder name  $u$  through the predicate `bindu(X, Y)` that is also given in Fig. 4. It requires  $X$  to be labeled with `varu`,  $Y$  with `lamu`, and no other `lamu`-node to intervene between  $X$  and  $Y$ .

## 6.2 Guessing Correspondence Classes

We have said so far that corresponding `lam` and `var` nodes have to carry the same node labels. But we have to be a little more careful since we may have several correspondence functions for several pairs of parallel segments.

We say that two nodes are in the same correspondence class for a set of correspondence function  $\{c_1, \dots, c_n\}$ , if they are in the symmetric, reflexive, transitive closure of these functions.

Given a parallelism and lambda binding constraint  $\phi \wedge \mu$  we will be interested in the set of correspondence functions for pair of segments that are required to be parallel in  $\phi$ . But how can we know whether two variables of  $\phi \wedge \mu$  will denote nodes in the same correspondence class? We cannot do it a priori, but we



simply guess it as there are only finitely many possibilities for the finitely many variables.

### 6.3 Translation

We want to guess one of the possible partitions into correspondence classes for variables of  $\phi$ . Instead, we simply guess an equivalence relation on the variables of  $\phi$ , and as our proofs will show, we don't have to express that equivalent variables denote values in the same correspondence class. Let

$$\text{equ}_\phi = \{e \mid e \subseteq \text{vars}(\phi) \times \text{vars}(\phi) \text{ equivalence relation}\}$$

be the set of possible equivalence relations on the variables of  $\phi$ . We write  $e(X)$  for the equivalence class of some variable  $X \in \text{vars}(\phi)$  with respect to  $e$ , but consider equivalence classes of distinct equivalence relations to be distinct. Let

$$\text{names}_e = \{e(X) \mid X \in \text{vars}(\phi)\}$$

be the set names of  $e$  which contains all equivalence classes of  $e$ . Note that  $\text{names}_e$  is finite for all  $e \in \text{equ}_\phi$ , and that  $\text{names}_e$  and  $\text{names}_{e'}$  are disjoint for distinct equivalence classes  $e$  and  $e'$ .

We now fix a constraint  $\Phi = \phi \wedge \mu$  and guess an equivalence relation  $e \in \text{equ}_\phi$  that determines the translation  $[\cdot]_e$  presented in Fig. 5. This translation maps to a parallelism constraint plus first order dominance formulas  $\phi' \wedge \nu$  over the following signature  $\Sigma_\phi$  which extends  $\Sigma$  with finitely many symbols:

$$\Sigma_\phi = \Sigma \uplus \{\text{lam}_u, \text{var}_u \mid u \in \text{names}_e, e \in \text{equ}(\phi)\}$$

The literal  $\lambda(X) = Y$  is translated to  $\text{bind}_{e(Y)}(X, Y)$  as explained before. This ensures that all corresponding nodes in  $e$  are translated with the same name  $e(Y)$ . The axioms about **external binding** and **no hanging binder** are stated by first-order dominance formulas in the translation of parallelism literals. The first-order formulas are defined in Fig. 6. Note that the axiom of **internal binding** will always be satisfied without extra requirements.

We have to ensure that all  $\text{var}_u$ -nodes in solutions of translated constraints will be bound by some  $\text{lam}_u$ -node. Let  $\text{no-free-var}_e$  be as defined in Fig. 6. We then define the complete translation  $[\Phi]$  by:

$$[\Phi] = \bigvee_{e \in \text{equ}_\phi} [\Phi]_e \wedge \text{no-free-var}_e$$

**Proposition 9.** *A parallelism and lambda binding constraint  $\phi \wedge \mu$  is satisfiable if and only if its translation  $[\phi \wedge \mu]$  is.*

## 7 Correctness and Completeness

We want to prove that our translation preserves satisfiability. We split the proof into Lemmas 10 and 11.

$$\begin{aligned}
[\lambda(X)=Y]_e &= \text{bind}_{e(Y)}(X, Y) \\
[\lambda^{-1}(Y) \subseteq \{X_1, \dots, X_n\}]_e &= \forall X. \text{bind}_{e(Y)}(X, Y) \rightarrow \bigvee_{i=1}^n X=X_i \\
[Y:\text{lam}(Z)]_e &= Y:\text{lam}_{e(Y)}(Z) \\
[X:\text{var}]_e &= \exists Y. [\lambda(X)=Y]_e \\
[Y:f(Y_1 \dots, Y_n)]_e &= Y:f(Y_1 \dots, Y_n) \quad \text{if } f \notin \{\text{lam}, \text{var}\} \\
[X \triangleleft^* Y]_e &= X \triangleleft^* Y \\
[S_1 \sim S_2]_e &= S_1 \sim S_2 \wedge \text{external-binder}_e(S_1, S_2) \wedge \\
&\quad \text{no-hang-binder}_e(S_1) \wedge \text{no-hang-binder}_e(S_2) \\
[\Phi_1 \wedge \Phi_2]_e &= [\Phi_1]_e \wedge [\Phi_2]_e
\end{aligned}$$

**Fig. 5.** Naming variable binder for correspondence classes  $e$

$$\begin{aligned}
\text{inside}(X, Y/Y_1, \dots, Y_n) &= Y \triangleleft^* X \wedge (\bigvee_{i \in \{1..n\}} X \triangleleft^+ Y_i) \\
\text{root}(X, Y/Y_1, \dots, Y_n) &= X=Y \\
\text{no-hang-binder}_e(S) &= \bigwedge_{u \in \text{names}_e} \text{no-hang-binder}_u(S) \\
\text{no-hang-binder}_u(S) &= \neg(\exists Y \exists Z. \text{bind}_u(Y, Z) \wedge \neg \text{inside}(Y, S) \wedge \text{inside}(Z, S)) \\
\text{external-binder}_e(S_1, S_2) &= \bigwedge_{u \in \text{names}_e} \text{external-binder}_u(S_1, S_2) \\
\text{external-binder}_u(S_1, S_2) &= \\
&\quad \forall Z_1 \forall Z_2 \forall Y. (\text{bind}_u(Z_1, Z_2) \wedge \text{inside}(Z_1, S_1) \wedge \neg \text{inside}(Z_2, S_1) \wedge \text{root}(Y, S_2)) \\
&\quad \rightarrow (Z_2 \triangleleft^* Y \wedge \neg \text{intervene-lam}_u(Z_2, Y)) \\
\text{no-free-var}_e &= \bigwedge_{u \in \text{names}_e} \forall X. X:\text{var}_u \rightarrow (\exists Y \exists Z. Y:\text{lam}_u(Z) \wedge Y' \triangleleft^* X)
\end{aligned}$$

**Fig. 6.** Auxiliary predicates

**Lemma 10.** *Let  $\Phi$  be a conjunction of a parallelism and lambda binding constraint and  $e \in \text{equ}(\Phi)$  an equivalence relation on  $\text{vars}(\Phi)$ . If  $[\Phi]_e \wedge \text{no-free-var}_e$  is satisfiable then  $\Phi$  is satisfiable.*

*Proof.* Let  $\tau$  be a tree structure and  $\alpha : \text{vars} \rightarrow \text{nodes}_\tau$  an assignment with

$$\tau, \alpha \models [\Phi]_e \wedge \text{no-free-var}_e$$

We now define a lambda structure  $(p(\tau), \lambda)$  of signature  $\Sigma$  by projecting labels away. The nodes of  $p(\tau)$  are the nodes of  $\tau$ . Let projection  $\text{proj} : \Sigma_\phi \rightarrow \Sigma$  be the identity function except that  $\text{proj}(\text{lam}_u) = \text{lam}$  and  $\text{proj}(\text{var}_u) = \text{var}$  for any  $u \in \text{names}_e$ . The labels of  $p(\tau)$  satisfy for all  $\pi \in \text{nodes}_\tau$ :

$$p(\tau)(\pi) = \text{proj}(\tau(\pi))$$

We define the lambda binding function  $\lambda : p(\tau)^{-1}(\text{var}) \rightarrow p(\tau)^{-1}(\text{lam})$  as follows: Let  $\pi$  be a node such that  $p(\tau)(\pi) = \text{var}$ . There exists a unique name  $u$  such that  $\tau(\pi) = \text{var}_u$ . We define  $\lambda(\pi)$  to be the lowest ancestor of  $\pi$  that is labeled by  $\text{lam}_u$ . This is the unique node in  $p(\tau)$  that satisfies  $\text{bind}_u(\pi, \lambda(\pi))$ . It exists since we required  $\tau, \alpha \models \text{no-free-var}_e$ .

It remains to prove that  $(p(\tau), \lambda, \alpha)$  is indeed a solution of  $\Phi$ , i.e. whether  $(p(\tau), \lambda, \alpha)$  satisfies all literals of  $\Phi$ . We distinguish all possible kinds of literals:

1.  $X \triangleleft^* Y$  in  $\Phi$ : The dominance relation of  $\tau$  coincides with that of  $p(\tau)$ . Since  $\tau, \alpha \models X \triangleleft^* Y$  it follows that  $(p(\tau), \lambda), \alpha \models X \triangleleft^* Y$ .
2.  $X: f(X_1, \dots, X_n)$  in  $\Phi$  where  $f \notin \{\text{lam}, \text{var}\}$ . The children relation of  $\tau$  coincides with that of  $p(\tau)$ , so there is no difference again.
3.  $X:\text{var}$  in  $\Phi$ : Note that  $X:\text{var}$  is equivalent to  $\exists Y. \lambda(X) = Y$ .
4.  $X:\text{lam}(Z)$  in  $\Phi$ : Now, the literal  $X:\text{lam}_{e(X)}(Z)$  belongs to  $[\Phi]_e$ . Thus,  $\tau, \alpha \models X:\text{lam}_{e(X)}(Z)$  which implies  $(p(\tau), \lambda), \alpha \models X:\text{lam}(Z)$  by the definition of **proj**.
5.  $\lambda(X)=Y$  in  $\Phi$ : Let  $\tau, \alpha \models [\lambda(X)=Y]_e$ . By definition of the translation  $[\lambda(X)=Y]_e$  this means that  $\tau, \alpha \models \text{bind}_{e(Y)}(X, Y)$ . In particular, it follows that  $\alpha(Y)$  is the lowest  $\text{lam}_{e(Y)}$ -labeled ancestor of the  $\text{var}_{e(Y)}$ -labeled node  $\alpha(X)$ . The definition of the lambda-binding relation of  $p(\tau)$  yields  $(p(\tau), \lambda), \alpha \models \lambda(X)=Y$  as required.
6.  $\lambda^{-1}(Y) \subseteq \{X_1, \dots, X_n\}$  in  $\Phi$ : similar arguments than in previous case can be argued.
7.  $S_1 \sim S_2$  in  $\Phi$ : This is the most complicated case. If  $\tau, \alpha$  satisfies this literal then clearly,  $(p(\tau), \lambda), \alpha$  satisfies the correspondence conditions for all labeling and children relations. We have to verify that  $(p(\tau), \lambda)$  also satisfies the conditions of parallel binding. Let  $c : \text{nodes}_{\tau}^-(\alpha(S_1)) \rightarrow \text{nodes}_{\tau}^-(\alpha(S_2))$  be the correspondence function between  $\alpha(S_1)$  and  $\alpha(S_2)$  which exists since  $\tau, \alpha \models [\Phi]_e$ .

**Internal binder.** Let  $\lambda(\pi_1)=\pi_2$  for some  $\pi_1, \pi_2 \in \text{nodes}_{\tau}^-(\alpha(S_1))$ . By definition of  $\lambda$ , there exists a name  $u$  such that  $\tau(\pi_1) = \text{var}_u$  and  $\pi_2$  is the lowest node above  $\pi_1$  with  $\tau(\pi_2) = \text{lam}_u$ . Since the labels of the nodes on the path between  $\pi_1$  and  $\pi_2$  are equal to the labels of the nodes of the corresponding path from  $c(\pi_1)$  to  $c(\pi_2)$  it follows that  $\tau(c(\pi_1)) = \text{var}_u$ ,  $\tau(c(\pi_2)) = \text{lam}_u$  and that no node in between is labeled with  $\text{lam}_u$ . Thus,  $\lambda(c(\pi_1)) = c(\pi_2)$ .

**External binder.** Suppose that  $\lambda(\pi_1)=\pi_2$  for two nodes  $\pi_1 \in \text{nodes}_{\tau}^-(\alpha(S_1))$  and  $\pi_2 \notin \text{nodes}_{\tau}^-(\alpha(S_1))$ . There exists a name  $u$  such that  $\tau(\pi_1) = \text{var}_u$  and  $\pi_2$  is the lowest ancestor of  $\pi_1$  with  $\tau(\pi_2) = \text{lam}_u$ . By correspondence, it follows that  $\tau(c(\pi_1)) = \text{var}_u$  and that no  $\text{lam}_u$ -node lies on the path from the root of segment  $\alpha(S_2)$  to  $c(\pi_1)$ . The predicate  $\text{external-binder}_u(S_1, S_2)$  requires that  $\pi_2$  dominates that root of  $\alpha(S_2)$  and that no  $\text{lam}_u$ -node intervenes on the path from  $\pi_2$  to that root. Thus,  $\pi_2$  is the lowest ancestor of  $c(\pi_1)$  that satisfies  $\tau(\pi_2) = \text{lam}_u$ , i.e.  $\lambda(c(\pi_1)) = \pi_2$ .

**No hanging binder.** Let  $S$  be either of the segment terms  $S_1$  or  $S_2$ . Suppose that  $\lambda(\pi_1)=\pi_2$  for some nodes  $\pi_1 \notin \text{nodes}_{\tau}^-(S)$  and  $\pi_2 \in \text{nodes}_{\tau}^-(S)$ . There exists a name  $u \in \text{names}_e$  such that  $\tau(\pi_1) = \text{var}_u$  and  $\pi_2$  is the lowest ancestor of  $\pi_1$  with  $\tau(\pi_2) = \text{lam}_u$ . This contradicts that  $\tau, \alpha$  solves  $\text{no-hang-binder}_u(S)$  as required by  $[S_1 \sim S_2]_e$ .

**Lemma 11.** *If  $\Phi$  has a solution whose correspondence classes induce the equivalence relation  $e$  then  $[\Phi]_e \wedge \text{no-free-var}_e$  is satisfiable.*

*Proof.* Let  $\Phi$  be a conjunction of a parallelism and lambda binding constraint over signature  $\Sigma$  and  $(\tau, \lambda), \alpha$  a solution of it. Let  $\{c_1, \dots, c_n\}$  be the correspondence functions for the parallel segments  $\alpha(S) \sim \alpha(S')$  where  $S \sim S'$  belongs to  $\phi$ . Let  $c \subseteq \text{nodes}_\tau \times \text{nodes}_\tau$  be the reflexive, symmetric, and transitive closure of  $\{c_1, \dots, c_n\}$ , and  $e \in \text{equ}(\Phi)$  be the relation  $\{(X, Y) \mid (\alpha(X), \alpha(Y)) \in c\}$ .

We define  $\text{tree}_e(\tau, \lambda)$  as a tree over the extended signature  $\Sigma_\phi$  whose nodes are those of  $\tau$  and whose labeling function satisfies for all  $\pi \in \text{nodes}_\tau$  that:

$$\text{tree}_e(\tau, \lambda)(\pi) = \begin{cases} \text{lam}_{e(X)} & \text{if } (\pi, \alpha(X)) \in c, \tau(\pi) = \text{lam}, X \in \text{vars}(\Phi) \\ \text{var}_{e(X)} & \text{if } (\lambda(\pi), \alpha(X)) \in c, X \in \text{vars}(\Phi) \\ \tau(\pi) & \text{otherwise} \end{cases}$$

We now prove that  $\text{tree}_e(\tau, \lambda), \alpha$  solves  $[\Phi]_e$ , i.e. all of its conjuncts. This can be easily verified for dominance, labeling, and parallelism literals in  $[\Phi]_e$ . Notice in particular that corresponding lam-nodes in  $\tau$  are assigned the same labels in  $\text{tree}_e(\tau, \lambda)$ . Next, we consider the first-order formulas introduced in the translation of lambda binding and parallelism literals.

1. Case  $\text{bind}_{e(Y)}(X, Y)$  in  $[\Phi]_e$ . This requires  $\lambda(X)=Y$  in  $\Phi$  (the corresponding translation of  $\lambda^{-1}(Y) \subseteq \{X_1, \dots, X_n\}$  in  $\Phi$ , is quite similar). It then clearly holds that  $\text{tree}_e(\tau, \lambda)(\alpha(X)) = \text{var}_{e(Y)}$  and  $\text{tree}_e(\tau, \lambda)(\alpha(Y)) = \text{lam}_{e(Y)}$ . Furthermore  $\alpha(Y) \triangleleft^+ \alpha(X)$ . It remains to show for  $\text{tree}_e(\tau, \lambda)$  that no lam<sub>e(Y)</sub>-node intervenes between  $\alpha(X)$  and  $\alpha(Y)$ . We do this by contradiction. Suppose there exists  $\pi$  such that  $\alpha(Y) \triangleleft^+ \pi \triangleleft^+ \alpha(X)$  and  $\text{tree}_e(\tau, \lambda)(\pi) = \text{lam}_{e(Y)}$ . By definition of  $\text{tree}_e(\tau, \lambda)$  there exists  $Z$  such that  $(\pi, \alpha(Z)) \in c$  and  $e(Y) = e(Z)$ . Hence  $(\alpha(Y), \alpha(Z)) \in c$  and thus  $(\pi, \alpha(Y)) \in c$ . But this is impossible by the non-intervenance property shown in Lemma 8: no lam-node such as  $\pi$  that corresponds to  $\alpha(Y)$  intervene between  $\alpha(Y)$  and the var-node  $\alpha(X)$  bound by it.
2. Case  $\text{external-binder}_u(S_1, S_2)$  in  $[\Phi]_e$  where  $S_1 \sim S_2$  in  $\Phi$  and  $u \in \text{names}_e$ . By contradiction. Suppose that there exist  $\pi_1 \in \text{nodes}_\tau(\alpha(S_1)), \pi_2 \notin \text{nodes}_\tau(\alpha(S_1))$  such that  $\text{tree}_e(\tau, \lambda)(\pi_1) = \text{var}_u$  and  $\pi_2$  is the lowest ancestor of  $\pi_1$  with  $\text{tree}_e(\tau, \lambda)(\pi_2) = \text{lam}_u$ . Furthermore, assume either not  $\pi_2 \triangleleft^* \text{root}(\alpha(S_2))$  or  $\text{intervene}_{\text{lam}_u}(\pi_2, \text{root}(\alpha(S_2)))$ . The first choice is impossible since the binding axioms were violated otherwise. (The correspondent of an externally bound node must be bound externally). Let  $\pi'_1$  be the correspondent of  $\pi_1$  with respect to the parallel segment  $\alpha(S_1) \sim \alpha(S_2)$ . By Lemma 8 we know that no lam-node corresponding to  $\pi_2$  can intervene between  $\pi_2$  and  $\pi'_1$  and thus between  $\pi_2$  and  $\text{root}(S_2)$ . This also contradicts the second choice:  $\text{intervene}_{\text{lam}_u}(\pi_2, \text{root}(\alpha(S_2)))$ .
3.  $\text{no-hang-binder}_e(S)$  in  $[\Phi]_e$  where  $S$  is either  $S_1$  or  $S_2$  and  $S_1 \sim S_2$  in  $\Phi$ . Let's proceed by contradiction, assume that it is not satisfied by  $\text{tree}_e(\tau, \lambda), \alpha$ , then there must exist a name  $u \in \text{names}_\phi$  and two nodes  $\pi_1, \pi_2$  such that  $\text{tree}_e(\tau, \lambda)(\pi_1) = \text{lam}_u$  and  $\text{tree}_e(\tau, \lambda)(\pi_2) = \text{var}_u$ , even more  $\pi_1 \in \text{nodes}_\tau(\alpha(S)), \pi_2 \notin \text{nodes}_\tau(\alpha(S))$  and there not exists a third node  $\pi_3$  between  $\pi_1$  and  $\pi_2$ . Then, by Lemma 8,  $\pi_1$  can not be a corresponding node of the lambda binding node of  $\pi_2$ , therefore, by definition of  $\text{tree}_e(\tau, \lambda)$   $\lambda(\pi_1) = \pi_2 \in \lambda$ , but

this is impossible because  $(\tau, \lambda), \alpha$  must satisfy the **no hanging binder** condition.

4. Finally, we prove that  $\text{tree}_e(\tau, \lambda), \alpha$  satisfies **no-free-var<sub>e</sub>**. This is simple.

## 8 Context Unification with Tree Regular Constraints

We have shown so far how to express lambda binding and parallelism constraints  $\phi \wedge \mu$  by parallelism constraints with first-order dominance formulas  $\phi \wedge \nu$ . We can now apply Theorem 11 of [16]: parallelism constraints plus first-order dominance formulas  $\phi \wedge \nu$  can be expressed in context unification plus tree regular constraints. The same result also holds with monadic second-order dominance formulas, but we don't need them here.

The encoding of dominance formulas through tree automata applies similar tricks as encoding the weak monadic logic WS2S into tree automata. This result can be lifted with another encoding trick to translate parallelism constraints plus dominance formulas to parallelism constraints with tree regular constraints of the form  $\text{tree}(X) \in \mathcal{L}(\mathcal{A})$  where  $\mathcal{L}(\mathcal{A})$  is the regular language of some tree automaton  $\mathcal{A}$  and  $\text{tree}(X)$  denotes the tree rooted by node  $X$ . Finally, one can translate parallelism plus tree regular constraints to context unification with tree regular constraints by extending on [15].

**Theorem 12.** *Every conjunction of parallelism and lambda binding constraints is satisfaction equivalent to some context unification problem with tree regular constraints, and this problem can be computed in polynomial time.*

As explained above, this theorem is a corollary to Theorem 6 of the present paper and Theorem 11 of [16]. But to apply the later, we have first to show that the definition of parallelism used there is equivalent to ours (Prop. 13 below).

Let  $\{\bullet_1, \dots, \bullet_n, \dots\}$  be an infinite set of *hole markers*. A *context*  $\gamma$  over  $\Sigma$  is a tree over  $\Sigma$  and the set of hole markers, but such that each hole occurs at most once in the context. For instance,  $f(\bullet_2, g(\bullet_1))$  is a context with two holes. A segment can be identified with an occurrence of a context: For every segment  $\sigma$  of a tree  $\tau$  with  $n$  holes we uniquely define a context  $\text{context}_\tau(\sigma)$  with hole markers  $\bullet_1, \dots, \bullet_n$  as follows:

$$\text{context}_\tau(\pi/\pi_1, \dots, \pi_n) = (\tau[\pi_1/\bullet_1] \dots [\pi_n/\bullet_n]).\pi$$

The order in which the substitutions are performed does not matter since all holes  $\pi_i$  of a segment are pairwise disjoint. Note also, that the root  $\pi$  is never removed from  $\tau$  while substituting, since it must dominate all holes  $\pi_i$ .

**Proposition 13.** *A tree parallelism relation  $\sigma_1 \sim \sigma_2$  holds between two segments of a tree  $\tau$  if and only if both segments are occurrences of the same context, i.e.  $\text{context}_\tau(\sigma_1) = \text{context}_\tau(\sigma_2)$ .*

## 9 Applications and Limitations

It is proposed in [3] to extend CLLS by group parallelism in order to deal with beta reduction constraints. The question is now whether beta reduction constraints can be expressed in context unification with tree regular constraints.

The simplest form of beta reduction constraints  $\text{beta}_n(X, Y)$  says that the lambda substructure rooted by node  $X$  beta reduces in a single step with a redex that binds at most  $n$  variables to the substructure rooted by node  $Y$ . This constraint is equivalent to say that the tree below  $X$  has the form  $S_1(@(\text{lam}(S_2(\text{var}, \dots, \text{var}), S_3))$  where at most  $n$  occurrences of  $\text{var}$ -nodes are bound by the  $\text{lam}$ -node, while the tree below  $Y$  is of the shape  $S_1(S_2(S_3, \dots, S_3))$ . As long as one ignores the precise rules of parallel binding, this can be easily expressed by lambda binding and parallelism constraints.

The problem is that  $\text{var}$ -nodes of the function body  $S_2$  might possibly be bound in the context  $S_1$ . But then,  $S_1$  would have hanging binders. The problem can be fixed by redefining hanging binder with respect to groups of segments instead with respect to individual segments, i.e. one introduces *group parallelism*  $(S_1, \dots, S_n) \sim (S'_1, \dots, S'_n)$  which is like a conjunction of parallelism literals  $\bigwedge_{i=1}^n S_i \sim S'_i$  but such that hanging binder are defined with respect to groups of segments  $(S_1, \dots, S_n)$  resp.  $(S'_1, \dots, S'_n)$ .

Unfortunately, we cannot extend the encodings of the present paper to also deal with group parallelism. The problem is that group parallelism does not satisfy the non-interveneance property as stated for ordinary parallelism in Lemma 8. This is illustrated in Fig. 7 where the group parallelism constraint:

$$(X_1/X_2, X_4/X_5) \sim (X_2/X_3, X_3/X_4)$$

holds. Even though the  $\text{lam}$ -node  $X_2$  corresponds to  $X_1$ , it intervenes between  $X_1$  and one of its bound  $\text{var}$ -nodes  $X_6$ .

Nevertheless we can still express restricted beta reduction constraints in context unification with tree regular constraints. We can describe a finite sequence of beta-reduction steps by group parallelism between disjoint groups – which satisfy the non-interveneance property – if we require that the terms in the sequence are all placed in disjoint positions of the surrounding lambda structure.

Another interesting question is, which binary relations on tree structures can be expressed by tree regular constraints in the way that we express the lambda binding relation. For instance, one might ask whether one can express the anaphoric binding relation of CLLS. This question is non-obvious so that we have to leave it open.

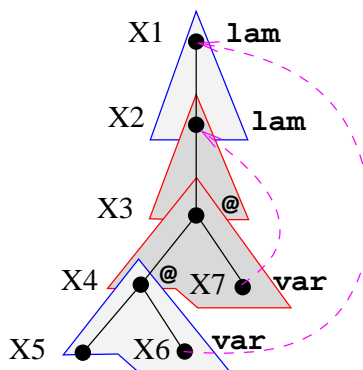


Fig. 7. Group Parallelism

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