Concurrent Systems

Nebenläufige Systeme

XII. Guarded Sections

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Agenda

Preface

Hardware Events
Fundamentals
Sequencing
Implementation

Process Events
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Summary



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Subject Matter

- discussion on abstract concepts as to **structural measures** suited in paving the way for non-blocking synchronisation
 - guarded sections synchronise process-originated events¹
 pre-/postlude sections synchronise hardware-originated events
- both approaches common is the fact that processes of whichever kind will never be blocked at entrance to a critical section
 - however their requests to enter and pass through may be delayed
 - an alternating sequencer takes care of retroactive request processing
 - this constrains overlapping and, thus, eases non-blocking request queues
 - per sample of interrupt-transparent synchronisation [14], for instance
- similar to an explicit ("eventual values" [9, 10]) or implicit **future** [2], it is shown how to deal with "direct-result critical sections"
 - using concepts such as the promise [7] or promise pipelining [12]
 - functional programming meets distributed computing for synchronisation
- one learns that guarded sections largely resemble conventional critical sections, but with a much more relaxed execution model



¹Not to be confused with "guarded commands" [4].

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Interrupt Handling

Definition (Interrupt)

Mechanism of a (soft- or hardware) processor to prompt software to draw attention to an external process asynchronously, unpredictable, and unreproducible.

- a **sudden upcall** (acc. [3]) performed by a processor in the middle of or between actions, depending on the processor model
 - start of a simultaneous process on this very processor in **stacking** mode
 - most notably, this process is characteristic of a run-to-completion flow
- as to operating systems, usually a **trinity** of problem-specific routines is to be considered—and assumed in the following:
 - guardian interrupt-handler dispatcher running at CPU priority
 - prelude first-level interrupt handler (FLIH) running at CPU/OS priority
 - postlude second-level interrupt handler (SLIH) running at OS priority
- what all have in common is the **asynchronism** to the current process that was interrupted and will be delayed by their particular actions



Hint (Interrupt Latency)

In order to make **loss of interrupts** improbable, CPU priority ^a must be cancelled and OS priority ^b must be taken in minimum time.

- conceptually, prelude and postlude together constitute the interrupt handler to be dispatched due to an **interrupt request** (IRQ):
 - guardian identifies and activates the prelude for the given IRQ
 - \hookrightarrow in case of an edge-triggered IRQ, takes OS priority $\underline{\text{before}}$ it
 - → in case of a **level-triggered** IRQ, takes OS priority <u>afterwards</u>

 → energies and "unleads" the device to satisfy the IRQ source.
 - prelude operates and "unloads" the device to satisfy the IRQ source
 - starts immediately if enabled by the CPU priority
 - as the case may be, releases its postlude for post-processing
 postlude
 operates the device, if still required, and particularly the system
 - starts when no more preludes are stacked and, thus, pending
 - as the case may be, interacts with a process instance



^aInterrupt requests of the same and lower priority are disabled.

^bAll interrupt requests are enabled.

Relevance of Postlude

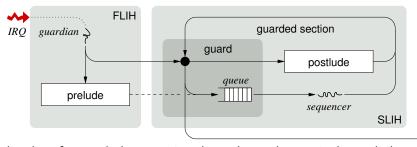
Hint (Asynchronous System Trap, AST [11, p. 414])

On the VAX, a software-initiated interrupt to a service routine. ASTs enable a process to be notified of the occurrence of a specific event asynchronously with respect to its execution. In 4.3 BSD, ASTs are used to initiate process rescheduling.

- essentially, the interrupt handler postlude equates to such an AST
- a mechanism that forces an interrupted process back into system mode: i when no interrupt handler prelude is pending (i.e., stacked) and
 - ii in the moment when the interrupt handler guardian terminates (i.e., returns)
 - as if this very process performs a system call to the interrupt postlude
- caution is advised when an interrupt-handler control flow expands
 - guardian not applicable, controls prelude and postlude (i.e., an AST) (3)
 - prelude risk of race conditions and system-stack overflow
 - postlude risk of race conditions ~> synchronisation or reentrancy
- purpose of the postlude is to safely allow such control-flow expansions
 - its activation is controlled similar to the control of guarded sections



Execution Sequencing of Postludes



- heading for postlude execution depends on the particular prelude
 - a prelude is a **function**, its return value indicates the postlude to be run
 - lacksquare a return value of NULL indicates that this prelude asks for no postlude
- according to the model, an interrupt indeed causes a new process but not a new process instance
 - the guardian is such a process, it operates in the name of the interrupted process instance and commands no own context
 - same applies for the sequencer, it is an optional guardian continuation and takes care for safe postlude processing



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Overlapping Pattern

- not unlike the guarded section as to process events described below (cf. p. 20), but with the following fundamental differences:
 - \blacksquare simultaneous requests to run through a guarded section occur ${\bf stack\text{-}wise}$
 - processing start as to delayed (i.e., pending) passage requests is AST-like
 - postludes are still carried out **asynchronously** to the interrupted process
- notably is the implication in terms of the constructive restriction of overlappings as to simultaneous pre- and postludes
 - i higher priority preludes may overlap lower priority preludes
 - ii preludes may overlap postludes, but never reverse
 - iii postludes may overlap other postludes and process instances
- regarding the whole processing chain and the involvement of guardian and sequencer process one may realise:
 - the guardian (incl. prelude) enqueues postludes possibly simultaneously, but never dequeues them
 - the sequencer dequeues postludes possibly overlapped by enqueues, but these dequeues will never overlap enqueues performed by the guardian
- this multiple-enqueue/single-dequeue mode of operation eases the design of a non-blocking synchronised postlude queue



```
__attribute__ ((fastcall)) void guardian(long irq) {
       static usher t tube = { 0, {0, &tube.load.head} }:
3
4
5
6
7
       extern remit t *(*flih[])(usher t *):
       remit_t *task;
   #ifdef FAME INTERRUPT EDGE TRIGGERED
       pivot(&tube.busy, +1); admit(IRQ); /* take OS priority */
8
    #endif
9
10
       task = (*flih[irq])(&tube); /* activate prelude & satisfy IRQ source */
11
12
   #ifdef FAME INTERRUPT LEVEL TRIGGERED
13
       pivot(&tube.busy. +1): admit(IRQ): /* take OS priority */
14
    #endif
15
                                        /* sequencer is already on duty */
16
       if (tube.busv > 1) {
17
           if (task != 0) deter(&tube, task); /* enqueue postlude & */
18
                                             /* leave with CPU priority */
           avert(IRQ);
       } else {
                                         /* bring sequencer into service */
19
20
           21
22
           avert(IRQ):
                                             /* prevent lost unload */
23
           while (tube.load.head.link != 0) {
24
               admit(IRQ);
                                             /* take OS priority, again */
25
                                             /* forward pending postludes */
               flush(&tube):
26
                                             /* leave with CPU priority */
               avert(IRQ):
27
28
29
       pivot(&tube.busv. -1):
                                        /* leave critical section */
30
```



assuming that simultaneous enqueues can happen only in a stacking arrangement, then the following is "thread safe":

```
void enqueue_lfs_ms(queue_t *this, chain_t *item) {
       chain_t *last;
       item -> link = 0:
                                 /* terminate chain: FIFO */
4
5
       last = this->tail:
                                /* settle insertion point */
6
       this->tail = item;
                                 /* create new partial list */
7
8
       while (last->link != 0) /* overlapping enqueue! */
9
                                /* find end of orig. list */
           last = last->link;
10
11
                                 /* insert & combine lists */
       last->link = item:
12
   }
13
```

- idea is to create a new partial list using an **atomic store** and, thus, isolate the original list for later safe manipulation
 - but simultaneous enqueues then may shift the actual insertion point



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```
chain_t *dequeue_lfs_ms(queue_t *this) {
      chain_t *item;
4
      if ((item = this->head.link) /* next item fetched */
      & &
         !(this->head.link = item->link)) {
5
         this->tail = &this->head; /* is last one, reset */
6
         chain_t *help, *lost = item->link;
8
                                      /* recover latecomers */
            do ₹
               help = lost->link; /* remember next & */
10
               enqueue_lfs_ms(this, lost); /* rearrange */
11
            } while ((lost = help) != 0);
12
                            Hint (Lock Freedom)
13
14
                            Some process will complete an operation in a
15
                            finite number of steps, regardless of the relative
      return item;
16
                            execution speeds of the processes. [8, p. 142]
17
   critical is dequeuing as to the last element and overlapped by one or
П
   more enqueues, thus, filling up the queue again
```

• one moment the fetched item was last, now latecomers must be recovered



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```
1
   void enqueue_wfs_ms(queue_t *this, chain_t *item) {
       chain t *last;
       item->link = 0;  /* terminate chain: FIFO */
3
       last = FAS(&this->tail, item);
4
       last->link = item; /* eventually append item */
5
   }
6
7
   chain_t *dequeue_wfs_ms(queue_t *this) {
8
       chain_t *item = this->head.link;
       if (item) {
                        /* check for last item */
10
           if (item->link) /* is not, non-critical */
11
               this->head.link = item->link;
12
           else if (CAS(&this->tail, item, &this->head))
13
14
                    CAS(&this->head.link, item, 0);
       }
15
       return item;
16
17
   with the following mapping to GCC atomic intrinsic functions:
П
1
   #define FAS(ref,val) __sync_lock_test_and_set(ref, val)
   #define CAS
                         __sync_bool_compare_and_swap
```

Recapitulation

- in the pre-/postlude model, sequencer becomes that process in the context of which interrupt handling is carried out
 - $\hfill\blacksquare$ more precisely, the process at the bottom of an interrupt-handler stack
 - lacktriangledown put differently, the interrupted process that "activated" the guard (p. 9)

Hint (Pro-/Epilogue [15, 14])

At first glance, interrupt handler pre-/postludes seemingly resemble the pro-/epilogue model. While this is quite true for preludes, it does not hold for postludes. Epilogue execution is a **synchronous event** as to the interrupted kernel-level process, in contrast to postludes — which are more comparable to AST handlers.

- postlude guide through is not unlike **procedure chaining** [13, p. 10], a technique to serialise execution of conflicting threads
 - differences are due to the constrained pre-/postlude overlapping pattern
 - unless stack-based scheduling [1], any process overlapping is assumed
- this similarity gives reason to think about a **generalisation** of the pre-/postlude model to synchronise **process-***instance* events



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assuming a **stack** represented as LIFO (*last in, first out*) single-linked list, whose *push*- and *pop*-operations need to be critical sections

```
void push(lifo_t *list, chain_t *item) {
       acquire(&list->lock); /* enter critical section */
       item->link = list->link:
       list->link = item;
       release(&list->lock):
                                    /* leave critical section */
5
   }
   processes proceed successively, neither depends on the computation result
7
   chain t *pull(lifo t *list) {
8
       chain t *item:
       acquire(&list->lock); /* enter critical section */
10
11
       if ((item = list->link) != 0)
           list->link = item->link:
12
13
       release(&list->lock):
                                    /* leave critical section */
14
15
       return item;
```

processes proceed successively, <u>each</u> depends on the computation result



16

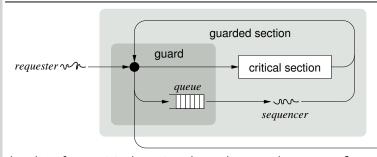
- processes heading for passing through a critical section will proceed unstopped, though simultaneous passage requests are serialised
 - at the end of a critical section, these requests will be processed one a time accordingly, the exit protocol does not have to take care of blocked
- processes but rather intermediately incurred passage requests
 - the particular leaving process attends to handle accumulated entry calls
 - \blacksquare thus, critical-section execution is asynchronous to its requesting process
- in case of data dependencies as to the computation within a critical section, synchronisation on result delivery becomes necessary
 - thereto, computation results need to be returned and accepted by proxy
 - to this end, the following measures have to be provided:
 - i as additional element of the corresponding passage request, a placeholder for the computation result (consumable resource) and
 - ii a signalling mechanism to indicate result delivery (logical synchronisation)
- in the final analysis, critical sections are **twofold**, namely one that is *procedure* and another one that is *function*-like
 - with the former delivering no direct result, in contrast to the latter



- fall back on known linguistic concepts in order to pattern a solution for the above-mentioned problem:
 - future the *promise* to deliver a value at some later point in time [2]
 - read-only placeholder object created for a not yet existing result
 - the result is computed concurrently and can be later collected
 - promise traced back to [7], a writeable, single-assignment container²
 - can be used to successfully complete a future with a value
- each future instance has a dedicated resolver taking care of (a) value assignment and (b) promise states:
 - kept value computed, assignment took place
 - broken computation aborted, assignment ceases to take place pending process in progress, assignment did not just yet take place
 - based on these states, a process is able to synchronise on the **event** that the promise to deliver a value was either kept or broken
 - the resolver (process inside the critical section) acts as producer
 - the future using process acts as consumer ~ signalling semaphore



Execution Sequencing of Critical Sections



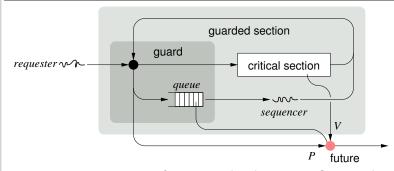
- heading for a critical section depending on the **state of occupancy**:

 - unoccupied guard grants requester access to the critical section

 - the critical section becomes occupied by the requester occupied • guard denies requester access to the critical section
 - the request gets queued and the requester bypasses
- leaving a critical section depending on the **request-queue state**:
 - empty critical section becomes unoccupied, the process continues
 - the actual leaving process becomes sequencer and re-enters the critical section for each queued request



Synchronisation of Direct-Result Critical Sections



- a passage request may refer to a multi-elementary **future object**:
 - i a promise indicator (kept, broken, pending)
 - ii a placeholder of problem-specific type as to the critical section
 - iii a binary semaphore that is used in producer/consumer mode
 - i.e., a signalling semaphore applicable by different processes
- in case of a direct-result critical section, the sequencer takes the part of a **resolver** that also have to signal the "kept" or "broken" state
 - V does the signalling and by means of P the signal can be consumed



Execution Characteristics of the Critical Section

critical sections controlled by processes in a **run-to-completion style** can be handled straightforwardly

Definition (Run to Completion (Process))

A potentially preemptive process free from self-induced wait states as to the possible non-availability of reusable or consumable resources.

- processes will not await external events from inside the critical section control of a run-to-stopover style of execution of a critical section
- depends on the locality of peer processes

Definition (Run to Stopover (Process))

- i processes waiting on events caused by an **external process** (e.g., I/O) ii processes interacting with an **internal process** due to *resource sharing* both styles of execution concern the period of a critical section, only
- but at large, a process may be classified run to completion and stopover



Run-to-Stopover for Peer Processes

- critical sections controlled by processes waiting on events caused by external processes can be handled straightforwardly
 - as the external process, in order to making progress, does not depend on any internal process or state of any critical section
 - thus, interaction between external and internal processes is **non-critical**³
- unlike **internal processes**, provided that they have to interact with their peers using **shared resources** inside a critical section
 - relevant at this point is the producer/consumer style of interaction, only
 - if the consumer needs to wait on the producer <u>inside</u> a critical section
 - then the critical section must be unoccupied by the consumer while waiting
 - other "critical interaction" is implicit subject matter of any critical section as a consequence, **precautions** must be taken for interacting internal processes—similar to signalling inside monitors [16, p. 9]
 - without clearing the guarded section, a stopover process may deadlock

³Have peripherals (i.e., I/O devices) in mind to understand external processes. Production of input data using a keyboard, mouse, network card, disk, or sensor, for example, is not caused by an OS-controlled **producer-process instance**.



Overlapping Pattern

- notably is the implication in terms of the constructive restriction of overlappings as to simultaneous requester and sequencer processes i requesters of any guarded section may overlap each other ii self-overlapping of a sequencer is impossible
- iii only sequencers of different guarded sections may overlap each other
 regarding the whole request processing chain and the involvement of requester and sequencer process one may realise:
 - multiple requester may enqueue passage requests possibly simultaneously, but they will never dequeue these
 - a single sequencer only dequeues passage requests, but this may happen simultaneously to enqueues of one or more requesters
- this multiple-enqueue/single-dequeue mode of operation eases the design of a non-blocking synchronised passage-request queue
 - furthermore, synchronisation then happens to be even **wait-free** [6, 5]

Hint (Wait Freedom)

Any process can complete any operation in a finite number of steps, regardless of the execution speeds of the other processes. [8, p. 124]



- invariably, a chain-like queue of registered "passage requests"
 - mandatory, sufficient for elementary guarded sections
 - with a twofold meaning of the *book* attribute depending on its value
 - i the actual number of passage requests pending for processing
 - ii the state of occupancy (cf. p. 20): occupied if book > 0, unoccupied else
- variably, additional stuff for advanced control of guarded sections:
 - some timeout that ensures progress for the actual major sequencer
 - a minor sequencer to replace the major sequencer at timeout
 - any management data to prevent priority inversion, if applicable



. . . .

vouch for sequential execution of a guarded critical section:

```
inline order_t *vouch(guard_t *this, order_t *work) {
    enqueue(&this->load, work);
    if (FAA(&this->book, 1) == 0)
        return dequeue(&this->load);
    return 0;
}

return o;

check state of occupancy and book passage request
    was unoccupied, became sequencer, accept first passage request
```

- could be a request different from the one that was just remembered
- could be a request different from the one that was just remembered
- clear the next passage request, if any, pending for processing:

```
7 inline order_t *clear(guard_t *this) {
8    if (FAA(&this->book, -1) > 1)
9        return dequeue(&this->load);
10    return 0;
11 }
```

- 8 count completion and check for further pending requests
- 9 remove next passage request, if any available



layout of an argument vector for passage-request parameters:

```
typedef union item {
long (*lump)[];  /* argument vector (N > 1) */
long sole;  /* single argument (N = 1) */
item_t;
```

- depending on the number of parameters, the structure describes a multior uni-element argument vector
- in the multi-element case, the argument vector is placed adjacent to its item or order, resp., instance (cf. p. 41)
- in addition, this vector also serves as placeholder for a *future value*



Piece the Puzzle Together

fore **editing** of passage-request parameters, optional:

```
order_t *task = order(2);
                                  /* two parameters */
(*task->post.lump)[0] = (long)index;
(*task->post.lump)[1] = value;
```

entry protocol, agreement on the sequencer process:

```
extern guard_t gate;
if (vouch(&gate, task)) do
                                      /* enter section */
```

midsection (i.e., actual critical section), **solo attempt**:

```
/* Several Species of Small Furry Animals
 * Gathered Together in a Cave and
 * Grooving with a Pict */
```

exit protocol, processing of pending passage requests:

```
while ((task = clear(&gate)));  /* leave section */
```

besides logical synchronisation in the midsection, any other programming statements are doable as well—like in conventional critical sections



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- guarding of critical sections at operating-system as well as instruction set architecture level and in a non-blocking manner
 - processes are never delayed at entrance of an already occupied critical section, however their requests to pass through
 - not unlike **procedure chaining**, but also supporting in-line functions
- at both levels, overlappings as to simultaneous processes result in a multiple-enqueue/single-dequeue model of request handling
 - the sequencer will be the only process being in charge of dequeuing
 - that is, the continuation of a **requester** (lev. 3) or the **guardian** (lev. 2)⁴
 - whereby this continuation is **commander-in-chief** of a critical section when a requester process requires a direct result from the sequencer
- process, interaction in a consumer/producer-style takes place
 - in such a case, the respective request is associated with a **future object**
 - it carries the promise of the sequencer to deliver a result to the requester
 - a future-specific signalling semaphore then indicates result availability
 - besides supporting conventional critical sections, this approach eases design of non-blocking synchronised non-sequential programs

 ⁴Operating-system machine or instruction set architecture level, respectively.



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Guardian Insulating and Invoking

```
_joint:
1
      pushl %ecx
                      # save volatile register
      movl $0, %ecx
                      # pass IRQ number
4
   _jointN:
                      # come here for IRQ number N > 0
                      # save another volatile register
      pushl %edx
      pushl %eax
                   # d.i.t.t.o
6
      call _guardian
                     # fastcall to quardian
      popl %eax
                   # restore volatile register
8
      popl %edx # ditto
      popl %ecx
                    # ditto
10
11
      iret
                      # resume interrupted process
```

each IRQ entry in the CPU exception vector is associated with a joint

```
1  _joint42:
2    pushl %ecx  # save volatile register
3    movl $42, %ecx # pass IRQ number
4    jmp  _jointN # switch to common joint section...
```



S{a,i}mple Interrupt Handler

first-level interrupt handler (FLIH), at CPU/OS priority (p. 11, l. 7)

```
remit_t *prelude(/*optional*/usher_t *tube) {
    static remit_t task = { {}}, postlude};
    /* Come here for device pre-processing &
     * device-related IRQ acknowledgement. */
    deter(tube, &task); /* force postlude to queue */
    return 0; /* don't request shortcut */
}
```

- without I.5, postlude shortcut (p. 11, I. 20) goes with return &task
- second-level interrupt handler (SLIH), at OS priority (p. 11, l. 7/13)

```
void postlude(/*optional*/order_t *todo) {
    /* Come here for device post-processing &
        * any asynchronous system interaction. */
        V((semaphore_t *)todo->post.sole);
}
```

system interaction means: to vouch for guarded sections (cf. p. 28)



1

4

6

1

Interrupt-Handler Guard

a **doorman** (Ger. *Pförtner*) for guarded sections at the low level of handling asynchronous program interrupts, a **specialised guard**:

```
typedef guard_t usher_t;
1
2
   inline void deter(usher_t *tube, remit_t *task) {
3
       enqueue(&tube->load, &task->data.next);
4
   }
5
6
7
   inline remit_t *untie(usher_t *tube) {
       return (remit_t *)dequeue(&tube->load);
8
   }
10
   inline void flush(usher_t * tube) {
11
12
       remit_t *next;
       do if ((next = untie(tube))) remit(next);
13
       while (next != 0);
14
   }
15
   with queue synchronisation style: #define __FAME_SYNC_ITS__
```



⁻ resulting in "{en,de}queue_ms_lfs" or -"_wfs", resp.

Job Definition and Start

- a SLIH or an interrupt-handler postlude, resp., is a **passage request** (cf. p. 27) attended by a procedure address
 - that is to say, a request object with implicit processing method

- at process-event level, this structure specifies different **parameterised critical sections** associated with the same guarded section
 - it allows for **procedure chaining** similar to that of Synthesis [13, p. 10]



straightforward is the use of a **signalling semaphore**⁵:

```
typedef semaphore_t indicator_t;
inline void enroll(indicator_t *hint) { }
inline void repose(indicator_t *hint) { P(hint); }
inline void arouse(indicator_t *hint) { V(hint); }
```

- note that a semaphore has **memory semantics** with regard to signals
- thus, awaiting a signal by means of P once a sequencer process released the guarded section is free of the lost-wakeup problem
- a V saves the signalling event in the semaphore, causing P to continue
- another option is falling back on the **event queue** [16, p. 17]:
 - just if one wants to implement P and V as a guarded section, for example

```
typedef event_t indicator_t;
  inline void enroll(indicator_t *hint) { catch(hint); }
2
  inline void repose(indicator_t *hint) { coast(); }
  inline void arouse(indicator_t *hint) { cause(hint); }
```



⁵A **binary semaphore** used in a producer/consumer style of interaction.

Order Allocation/Deallocation

```
inline order_t *order(unsigned long n) {
1
       order_t *item;
2
       if (n < 2)
            item = (order_t *)malloc(sizeof(order_t));
4
       else {
5
            item = (order_t *)
6
                 malloc(sizeof(order_t) + n * sizeof(long));
7
            if (item)
8
                 item->post.lump = (void *)
9
                     ((long)item + sizeof(*item));
10
       }
11
       return item;
12
   }
13
14
   inline void ditch(order_t *item) {
15
       free(item);
16
17
   in oder to decrease latency and lower overhead, specialisation towards
   the use of an order pool is recommended
```

a future object is the promise—of a guarded section, here—to deliver a result at some later point in time:

whereby the promise is a result placeholder, on the one hand, and keeps track of the status of result delivery, on the other hand



S{a,i}mple Future Implementation

```
inline status_t probe(future_t *this) {
1
       return this->data.bond;
3
4
5
   inline void trust(future_t *this) { enroll(&this->gate); }
6
   inline item_t *exact(future_t *this) {
7
       repose(&this->gate);
8
       return probe(this) == KEPT ? &this->data.item : 0;
9
10
11
   inline void bring(future_t *this, status_t bond) {
12
       this->data.bond = bond;
13
       arouse(&this->gate);
14
15
   }
16
   inline void prove(future_t *this, item_t *item) {
17
       this->data.item = *item;
18
       bring(this, KEPT);
19
   }
20
21
   inline void abort(future_t *this) { bring(this, BROKEN); }
22
```

