# Formal Specification and Verification 

First-Order Logic

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Based on a lecture by Wolfgang Ahrendt and Reiner Hähnle at Chalmers University, Göteborg

## Formalisation



## Formalisation: Syntax, Semantics



## Formalisation: Syntax, Semantics



## Formalisation: Syntax, Semantics



## Formalisation: Syntax, Semantics



## Approaches to Formal Software Verification



## Formal Verification: Deduction



## Beyond Propositional Logic



## Beyond Propositional Logic



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## Beyond Propositional Logic



## Syntax, Semantics, Calculus



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## Syntax, Semantics, Calculus



## Limitations of Propositional Logic

Fixed, finite number of objects
Cannot express: let $g$ be group with arbitrary number of elements

No functions or relations with arguments
Can express: finite function/relation table with indexed variables $p_{i j}$ Cannot express:
properties of function/relation on all arguments, e.g., " + " is associative

## Static interpretation

Programs change value of their variables, e.g., via assignment, call, etc. Propositional formulas look at one single interpretation at a time

## Propositional Logic



## First-Order Logic



## Syntax of First-Order Logic: Signature

Definition (First-Order Signature)
First-order signature $\Sigma=($ PSym, FSym, $\alpha)$
Predicate or Relation Symbols PSym $=\left\{p_{i} \mid i \in \mathbb{N}\right\}$
Function Symbols $\quad$ FSym $=\left\{f_{i} \mid i \in \mathbb{N}\right\}$
Typing function $\alpha$, set of types $\mathcal{T}$

- $\alpha(p) \in \mathcal{T}^{*}$ for all $p \in$ PSym
- $\alpha(f) \in \mathcal{T}^{*} \times \mathcal{T}$ for all $f \in \mathrm{FSym}$


## Definition (Variables)

VSym $=\left\{x_{i} \mid i \in \mathbb{N}\right\}$ set of typed variables

- In contrast to "standard" FOL, our symbols are typed Necessary to model a typed programming language such as Java!
- Allow any non-reserved name for symbols, not merely $p_{3}, f_{17}, \ldots$


## Syntax of First-Order Logic: Signature Cont'd

Declaration of signature symbols

- Write $T x$; to declare variable $x$ of type $T$
- Write $p\left(T_{1}, \ldots, T_{r}\right)$; for $\alpha(p)=\left(T_{1}, \ldots, T_{r}\right)$
- Write $T f\left(T_{1}, \ldots, T_{r}\right)$; for $\alpha(f)=\left(\left(T_{1}, \ldots, T_{r}\right), T\right)$

Similar convention as in JAVA, no overloading of symbols Case $r=0$ is allowed, then write $p$ instead of $p()$, etc.

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## Example

Variables integerArray a; int i;
Predicates isEmpty(List); alertOn;
Functions int arrayLookup(int); java.lang.Object o;

## OO Type Hierarchy

We want to model the behaviour of Java programs Admissible types $\mathcal{T}$ form object-oriented type hierarchy

OO Type Hierarchy
We want to model the behaviour of Java programs Admissible types $\mathcal{T}$ form object-oriented type hierarchy

## Definition (00 Type Hierarchy)

- $\mathcal{T}$ is finite set of types (not parameterized)
- Given subtype relation $\sqsubseteq$, assume $\mathcal{T} \sqcap$-closed
- Dynamic types $\mathcal{T}_{d} \subseteq \mathcal{T}$, where $T \in \mathcal{T}_{d}$
- Abstract types $\mathcal{T}_{a} \subseteq \mathcal{T}$, where $\perp \in \mathcal{T}_{a}$
- $\mathcal{T}_{d} \cap \mathcal{T}_{a}=\emptyset$
- $\mathcal{T}_{d} \cup \mathcal{T}_{a}=\mathcal{T}$
- $\perp \sqsubseteq T \sqsubseteq T$ for all $T \in \mathcal{T}$


## OO Type Hierarchy Cont'd

## Example

## Using UML notation



OO Type Hierarchy Cont'd

- Dynamic types are those with direct elements
- Abstract types for abstract classes and interfaces
- In Java primitive (value) and object types incomparable
- $\perp$ is abstract and hence no object ever can have this type
$\perp$ cannot occur in declaration of signature symbols
- Each abstract type except $\perp$ has a non-empty dynamic subtype
- In Java T is chosen to have no direct elements
- Java has infinitely many types: int[], int [] [],...

Restrict $\mathcal{T}$ to the finitely many types that occur in a given program

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## Example (The Minimal Type Hierarchy)

$\mathcal{T}=\{\perp, \top\}$
All signature symbols have same type $T$ : drop type, untyped logic

## Reserved Signature Symbols

## Reserved signature symbols

- Equality symbol $\doteq \in$ PSym declared as $\doteq(T, T)$

Written infix: $x \doteq 0$

- Type predicate symbol $\in T \in \operatorname{PSym}$ for each $T \in \mathcal{T}$

Declared as $\in T(T)$
Written postfix: iEint - read "instance of"

- Type cast symbol $(T) \in$ FSym for each $T \in \mathcal{T}$

Declared as $T(T)(T)$

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Declared as $T(T)(T)$

So far, we have a type system and a signature - where is the logic?

## Terms

First-order terms, informally

- Think of first-order terms as expressions in a programming language Built up from variables, constants, function symbols
- First-order terms have no side effects (like Promela, unlike Java)
- First-order terms have a type and must respect type hierarchy
- type of $f(g(x))$ is result type in declaration of function $f$
- in $f(g(x))$ the result type of $g$ is subtype of argument type of $f$, etc.


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Definition (First-Order Terms $\left\{\operatorname{Term}_{T}\right\}_{T \in \mathcal{T}}$ with type $T \in \mathcal{T}$ )

- $x$ is term of type $T$ for variable declared as $T x$;
- $f\left(t_{1}, \ldots, t_{r}\right)$ is term of type $T$ for
- function symbol declared as $T f\left(T_{1}, \ldots, T_{r}\right)$; and
- terms $t_{i}$ of type $T_{i}^{\prime} \sqsubseteq T_{i}$ for $1 \leq i \leq r$
- There are no other terms (inductive definition)


## Terms, Cont'd

## Example

Signature: int i; short j; List l; int f(int);

- $f(i)$ has result type int and is contained in Term int
- $f(\mathrm{j})$ has result type int (when short $\sqsubseteq$ int)
- $f(1)$ is ill-typed (when int, List incomparable)
- $f(i, i)$ is not a term (doesn't match declaration)
- (int) j is term of type int
- even (int)l is term of type int (type cast always well-formed)


## Terms, Cont'd

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- $f(i, i)$ is not a term (doesn't match declaration)
- (int) j is term of type int
- even (int)l is term of type int (type cast always well-formed)
- If $f$ is constant $(r=0)$ write $f$ instead of $f()$
- Use infix notation liberally, where appropriate: declare int +(int, int) ; then write $i+j$, etc.
- Use brackets to disambiguiate parsing:

$$
(i+j) * i
$$

## First-Order Atomic Formulas

## Definition (Atomic First-Order Formulas)

$p\left(t_{1}, \ldots, t_{r}\right)$ is atomic first-order formula for

- predicate symbol declared as $p\left(T_{1}, \ldots, T_{r}\right)$; and
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## Example

Signature: int i; short j; List l; <(int, int);

- $i<i$ is an atomic first-order formula
- $\mathrm{i}<\mathrm{j}$ is an atomic first-order formula (when short $\sqsubseteq$ int)
- $\mathrm{i}<1$ is ill-typed (when int, List incomparable)
- $i \doteq j$ and even $i \doteq 1$ are atomic first-order formulas
- i $E$ short is an atomic first-order formula


## First-Order Formulas

## Definition (Set of First-Order Formulas For)

- Truth constants true, false and all first-order atomic formulas are first-order formulas
- If $\phi$ and $\psi$ are first-order formulas then

$$
!\phi, \quad(\phi \& \psi), \quad(\phi \mid \psi), \quad(\phi \rightarrow \psi), \quad(\phi \leftrightarrow \psi)
$$

are also first-order formulas

- If $T \times$ is a variable declaration, $\phi$ a first-order formula, then $\forall T x ; \phi$ and $\exists T x ; \phi$ are first-order formulas Any occurrence of $x$ in $\phi$ must be well-typed
- $\forall T x ; \phi$ called universally quantified formula
- $\exists T x ; \phi$ called existentially quantified formula


## First-Order Formulas Cont'd

- In $\forall T x ; \phi$ and $\exists T x ; \phi$ call $\phi$ the scope of $x$ bound by $\forall / \exists$
- Analogy between variables bound in quantified formulas and program locations declared as local variables/formal parameters

We require that all variables occur bound
$\Rightarrow$ All variable declarations are quantifier-local

## Example

- $\forall$ int $i ; \exists$ int $j ; i<j$ is a first-order formula
- $\forall$ int $i ; \exists$ List $l ; i<l$ is ill-typed
- $\forall$ int $i ; i<j$ is a first-order formula if $j$ is a constant compatible with int
- ( $\forall$ int $i ; \forall$ int $j ; i<j) \mid(\forall$ int $i ; \forall$ int $j ; i>j)$ is a first-order formula


## Remark on Concrete Syntax

|  | Text book | Spin | KeY | JaVA |
| :--- | :---: | :---: | :---: | :---: |
| Negation | $\neg$ | $!$ | $!$ | $!$ |
| Conjunction | $\wedge$ | $\& \&$ | $\&$ | $\& \&$ |
| Disjunction | $\vee$ | $\\|$ | $\mid$ | $\\|$ |
| Implication | $\rightarrow, \supset$ | $\rightarrow$ | $\rightarrow$ | $\mathrm{n} / \mathrm{a}$ |
| Equivalence | $\leftrightarrow$ | $\rightarrow$ | $\rightarrow$ | $\mathrm{n} / \mathrm{a}$ |
| Universal Quantifier | $\forall x ; \phi$ | $\mathrm{n} / \mathrm{a}$ | $\backslash$ forall $T x ; \phi$ | $\mathrm{n} / \mathrm{a}$ |
| Existential Quantifier | $\exists x ; \phi$ | $\mathrm{n} / \mathrm{a}$ | $\backslash$ exists $T x ; \phi$ | $\mathrm{n} / \mathrm{a}$ |
| Value equality | $\doteq$ | $==$ | $=$ | $==$ |

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| Universal Quantifier | $\forall x ; \phi$ | $\mathrm{n} / \mathrm{a}$ | $\backslash$ forall $T x ; \phi$ | $\mathrm{n} / \mathrm{a}$ |
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| Value equality | $\doteq$ | $==$ | $=$ | $==$ |

For quantifiers we normally use textbook syntax and suppress type information to ease readability

For propositional connectives we use KeY syntax

## First-Order Semantics



## First-Order Semantics

## From propositional to first-order semantics

- In prop. logic, an interpretation of variables with $\{T, F\}$ sufficed
- In first-order logic we must assign meaning to:
- variables bound in quantifiers
- constant and function symbols
- predicate symbols
- Each variable or function value may denote a different object
- Respect typing: int i, List 1 must denote different objects

What we need (to interpret a first-order formula)

1. A collection of typed universes of objects (akin to heap objects)
2. A mapping from variables to objects
3. A mapping from function arguments to function values
4. The set of argument tuples where a predicate is true

## First-Order Domains/Universes

1. A collection of typed universes of objects

## Definition (Universe/Domain)

A non-empty set $\mathcal{D}$ of objects is a universe or domain
Each element of $\mathcal{D}$ has a fixed type given by $\delta: \mathcal{D} \rightarrow \mathcal{T}_{d}$

- Like heap objects and values in Java
- Notation for the domain elements type-compatible with $T \in \mathcal{T}$ : $\mathcal{D}^{T}=\{d \in \mathcal{D} \mid \delta(d) \sqsubseteq T\}$
- For each dynamic type $T \in \mathcal{T}_{d}$ there must be at least one domain element type-compatible with it: $\mathcal{D}^{T} \neq \emptyset$


## First-Order Universes Cont'd

## Example



- $\mathcal{D}=\{17, o\}$
- $\delta(17)=$ short, $\delta(o)=$ Object
- Then $\mathcal{D}^{\text {short }}=\mathcal{D}^{\text {int }}=\{17\}, \mathcal{D}^{\text {Object }}=\{o\}$,

$$
\mathcal{D}^{\top}=\mathcal{D}=\{17, o\}, \text { and } \mathcal{D}^{\perp}=\{ \}
$$

## First-Order Models

3. A mapping from function arguments to function values
4. The set of argument tuples where a predicate is true

## Definition (First-Order Model)

Let $\mathcal{D}$ be a domain with typing function $\delta$
Let $f$ be declared as $T f\left(T_{1}, \ldots, T_{r}\right)$;
Let $p$ be declared as $p\left(T_{1}, \ldots, T_{r}\right)$;
Let $\mathcal{I}(f): \mathcal{D}^{T_{1}} \times \cdots \times \mathcal{D}^{T_{r}} \rightarrow \mathcal{D}^{T}$
Let $\mathcal{I}(p) \subseteq \mathcal{D}^{T_{1}} \times \cdots \times \mathcal{D}^{T_{r}}$
Then $\mathcal{M}=(\mathcal{D}, \delta, \mathcal{I})$ is a first-order model

## First-Order Models Cont'd

## Example

Signature: int i; short j; int f(int); Object obj; <(int,int); $\mathcal{D}=\{17,2, o\}$ where all numbers are short
$\mathcal{I}(i)=17$
$\mathcal{I}(j)=17$
$\mathcal{I}(\mathrm{obj})=0$

| $\mathcal{D}^{\text {int }}$ | $\mathcal{I}(f)$ |
| ---: | :---: |
| 2 | 2 |
| 17 | 2 |


| $\mathcal{D}^{\text {int }} \times \mathcal{D}^{\text {int }}$ | in $\mathcal{I}(<) ?$ |
| ---: | :---: |
| $(2,2)$ | $F$ |
| $(2,17)$ | $T$ |
| $(17,2)$ | $F$ |
| $(17,17)$ | $F$ |

One of uncountably many possible first-order models!

Semantics of Reserved Signature Symbols

## Definition

- Equality symbol $\doteq$ declared as $\doteq(T, T)$

Model is fixed as $\mathcal{I}(\doteq)=\{(d, d) \mid d \in \mathcal{D}\}$
"Referential Equality" (holds if arguments refer to identical object)
Exercise: write down the predicate table for example domain

- Type predicate symbol $\in T$ for any $T$, declared as $\in T(T)$
$\mathcal{I}(E T)=\mathcal{D}^{T}$
Exercise: what is $\mathcal{I}$ ( $(E$ Object)?
- Type cast symbol ( $T$ ) for each $T$, declared as $T(T)(T)$

Casts that succeed $(\delta(x) \sqsubseteq T): \quad \mathcal{I}((T))(x)=x$ identity
Casts that do not succeed: $\mathcal{I}((T))(x)=d \quad$ arb. fixed $d \in \mathcal{D}^{T}$
Exercise: what is $\mathcal{I}(($ int $))(17)$ ?

Signature Symbols vs. Domain Elements

- Domain elements different from the terms representing them
- First-order formulas and terms have no access to domain
- As in JAVA: identity and memory layout of values/objects hidden
- Think of a first-order model as a "heap" of first-order logic


## Example

Signature: Object obj1, obj2;
Domain: $\mathcal{D}=\{0\}$
In this model, necessarily $\mathcal{I}(o b j 1)=\mathcal{I}(o b j 2)=o$
Effect similar to aliasing in Java with reference types

## Variable Assignments

2. A mapping from variables to objects

Think of variable assignment as environment for storage of local variables

## Definition (Variable Assignment)

A variable assignment $\beta$ maps variables to domain elements It respects the variable type, i.e., if $x$ has type $T$ then $\beta(x) \in \mathcal{D}^{T}$

## Definition (Modified Variable Assignment)

Let $y$ be variable of type $T, \beta$ variable assignment, $d \in \mathcal{D}^{T}$ :

$$
\beta_{y}^{d}(x):= \begin{cases}\beta(x) & x \neq y \\ d & x=y\end{cases}
$$

Semantic Evaluation of Terms
Given a first-order model $\mathcal{M}$ and a variable assignment $\beta$ it is possible to evaluate first-order terms under $\mathcal{M}$ and $\beta$

## Analogy

Evaluating an expression in a programming language with respect to a given heap $(\mathcal{M})$ and binding of local variables $(\beta)$

## Definition (Valuation of Terms)

 val $_{\mathcal{M}, \beta}: \operatorname{Term} \rightarrow \mathcal{D}$ such that $\operatorname{val}_{\mathcal{M}, \beta}(t) \in \mathcal{D}^{T}$ for $t \in \operatorname{Term}_{T}$ :- $\operatorname{val}_{\mathcal{M}, \beta}(x)=\beta(x) \quad$ (recall that $\beta$ respects typing)
- $\operatorname{val}_{\mathcal{M}, \beta}\left(f\left(t_{1}, \ldots, t_{r}\right)\right)=\mathcal{I}(f)\left(\operatorname{val}_{\mathcal{M}, \beta}\left(t_{1}\right), \ldots\right.$, val $\left._{\mathcal{M}, \beta}\left(t_{r}\right)\right)$


## Semantic Evaluation of Terms Cont'd

## Example

Signature: int i; short j; int f(int);
$\mathcal{D}=\{17,2, o\}$ where all numbers are short
Variables: Object obj; int x;

$$
\begin{aligned}
& \mathcal{I}(i)=17 \\
& \mathcal{I}(j)=17
\end{aligned}
$$

| $\mathcal{D}^{\text {int }}$ | $\mathcal{I}(\mathrm{f})$ |
| ---: | :---: |
| 2 | 17 |
| 17 | 2 |


| Var | $\beta$ |
| ---: | :---: |
| obj | $o$ |
| x | 17 |

- $\operatorname{val}_{\mathcal{M}, \beta}(\mathrm{f}(\mathrm{f}(\mathrm{i})))$ ?
- val ${ }_{\mathcal{M}, \beta}(x)$ ?
- val ${ }_{\mathcal{M}, \beta}(($ int $) \mathrm{obj})$ ?


## Semantic Evaluation of Formulas

Formulas are true or false
A validity relation is more convenient than a function

## Definition (Validity Relation for Formulas)

$\mathcal{M}, \beta \models \phi$ for $\phi \in$ For " $\mathcal{M}, \beta$ models $\phi$ "
$-\mathcal{M}, \beta \equiv p\left(t_{1}, \ldots, t_{r}\right) \quad$ iff $\quad\left(v a l_{\mathcal{M}, \beta}\left(t_{1}\right), \ldots\right.$, val $\left._{\mathcal{M}, \beta}\left(t_{r}\right)\right) \in \mathcal{I}(p)$

- $\mathcal{M}, \beta \models \phi \& \psi \quad$ iff $\quad \mathcal{M}, \beta \models \phi$ and $\mathcal{M}, \beta \models \psi$
- .... as in propositional logic
- $\mathcal{M}, \beta \models \forall T x ; \phi \quad$ iff $\quad \mathcal{M}, \beta_{x}^{d} \models \phi$ for all $d \in \mathcal{D}^{T}$
- $\mathcal{M}, \beta \models \exists T x ; \phi \quad$ iff $\quad \mathcal{M}, \beta_{x}^{d} \models \phi$ for at least one $d \in \mathcal{D}^{T}$


## Semantic Evaluation of Formulas Cont'd

## Example

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| $(17,17)$ | $F$ |

- $\mathcal{M}, \beta=f(j)<j$ ?
- $\mathcal{M}, \beta \vDash \exists \operatorname{int} x ; f(x) \doteq x$ ?
$-\mathcal{M}, \beta \models \forall$ Object o1; $\forall$ Object o2; o1 $\doteq \mathrm{o} 2$ ?


## Semantic Notions

## Definition (Satisfiability, Truth, Validity)

$$
\begin{array}{lllll}
\mathcal{M}, \beta & =\phi & & & (\phi \text { is satisfiable }) \\
\mathcal{M} & \models \phi \text { iff for all } \beta: \quad \mathcal{M}, \beta \models \phi & (\phi \text { is true in } \mathcal{M}) \\
& \models \phi \quad \text { iff } \text { for all } \mathcal{M}: & \mathcal{M} \models \phi & (\phi \text { is valid })
\end{array}
$$

Closed formulas that are satisfiable are also true: one top-level notion

## Semantic Notions

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Closed formulas that are satisfiable are also true: one top-level notion

## Example

- $f(j)<j$ is true in $\mathcal{M}$
- $\exists$ int $x ; i \doteq x$ is valid
- $\exists$ int $x ;!(x \doteq x)$ is not satisfiable


## Untyped First-Order Logic

Most logic textbooks introduce untyped logic

How to obtain untyped logic as a special case

- Minimal Type Hierarchy: $\mathcal{T}=\{\perp, \top\}$
- $\mathcal{D}=\mathcal{D}^{\top} \neq \emptyset$ : only one populated type $\top$, drop all typing info
- Signature merely specifies arity of functions and predicates: Write $f / 1,</ 2, i / 0$, etc.
- Untyped logic is suitable whenever we model a uniform domain
- Typical applications: pure mathematics such as algebra


## Untyped First-Order Logic Cont'd

Example (Axiomatization of a group in first-order logic)
Signature $\Sigma_{G}: F S y m=\{\circ / 2, \mathbf{e} / 0\}, \operatorname{PSym}=\{\doteq / 2\}$
Let $G$ be the following formulas:
Left identity $\forall x ; \mathbf{e} \circ x \doteq x$
Left inverse $\forall x ; \exists y ; y \circ x \doteq \mathbf{e}$
Associativity $\forall x ; \forall y ; \forall z ;(x \circ y) \circ z \doteq x \circ(y \circ z)$
Let $\phi$ be $\Sigma_{G}$-formula.
Whenever $\models G \rightarrow \phi$, then $\phi$ is a theorem of group theory

## Modeling with First-Order Logic



## Modeling with First-Order Logic



Example (At least two elements)
Which ? $\quad \exists x ; \exists y ;!(x \doteq y)$
How to do this without built-in equality?

## Modeling with First-Order Logic



Example (Strict partial order)
PSym $=\{</ 2\}$
Which? Irreflexivity $\forall x ;!(x<x)$
Asymmetry $\forall x ; \forall y ;(x<y \rightarrow!(y<x))$
Transitivity $\forall x ; \forall y ; \forall z$;

$$
(x<y \& y<z \rightarrow x<z)
$$

## Modeling with First-Order Logic



## Modeling with First-Order Logic



Example (All models have infinite domain)
Which ?
Signature and axioms of irreflexive order plus
Existence Successor $\forall x ; \exists y ; x<y$


## Modeling with First-Order Logic



## Summary and Outlook

## Summary

- First-order formulas defined over a signature of typed symbols
- Hierarchical OO type system with abstract and dynamic types
- Quantification over variables, no "free" variables in formulas
- Semantic domain like objects in a Java heap
- First-order model assigns semantic value to terms and formulas
- Semantic notions satisfiability and validity


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## Semantic evaluation is not feasible in practice

- There is an $\infty$ (even: uncountable) number of first-order models
- Evaluation of quantified formula may involve $\infty$ number of cases
- Next goal: a syntactic calculus allowing mechanical validity checking


## Literature for this Lecture

KeY Book Verification of Object-Oriented Software (see course web page), Chapter 2: First-Order Logic
Fitting First-Order Logic and Automated Theorem Proving, 2nd edn., Springer 1996
Huth \& Ryan Logic in Computer Science, 2nd edn., Cambridge University Press, 2004

