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# Basic Concepts of Abstract Interpretation\*

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\*Work of P. Cousot and R. Cousot



P. Cousot and R. Cousot.

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In *Building the Information Society*, R. Jacquard (Ed.), pages  
359–366. Kluwer Academic Publishers 2004.

# Goal

To Understand basic concepts of abstract interpretation.

# Contents

- Overview
- Introduction
- Transition Systems
- Partial Trace Semantics
- The Reflexive Transitive Closure Semantics
- The Reachability Semantics
- The Interval Semantics
- Convergence Acceleration
- Conclusion

# Introduction

Abstract Interpretation:

a theory of approximation of mathematical structures, in particular those involved in the semantic models of computer systems.

# Transition Systems

Programs are formalized as transition systems  $\tau$ :

$$\tau = \langle \Sigma, \Sigma_i, t \rangle$$

- ▶  $\Sigma$  : a set of states
- ▶  $\Sigma_i \subseteq \Sigma$  : the set of initial states
- ▶  $t \subseteq \Sigma \times \Sigma$  : a transition relation between a state and its possible successors.

Example, the transition system

$$\langle \mathbb{Z}, \{0\}, \{\langle x, x' \rangle \mid x' = x + 1\} \rangle$$

of program `x := 0; while true do x := x + 1.`

## Partial Trace Semantics

A finite partial execution trace :  $\sigma = s_0 s_1 \dots s_n$

- ▶  $s_0 \in \Sigma$
- ▶ For all  $i < n$ ,  $\langle s_i, s_{i+1} \rangle \in \mathfrak{t}$

Partial traces of length 0 :  $\phi$

Partial traces of length 1 :  $\Sigma_\tau^1 = \{s \mid s \in \Sigma\}$

Partial traces of length  $n + 1$  :

$$\Sigma_\tau^{n+1} = \{\sigma s s' \mid \sigma s \in \Sigma_\tau^n \wedge \langle s, s' \rangle \in \mathfrak{t}\}$$

Collecting semantics of  $\tau$  : all partial traces of all finite lengths

$$\Sigma_\tau^{\vec{*}} = \bigcup_{n \geq 0} \Sigma_\tau^n$$

# Partial Trace Semantics in Fixpoint Form

For the function  $\mathcal{F}_\tau^{\vec{*}}$

$$\mathcal{F}_\tau^{\vec{*}}(X) = \{s \mid s \in \Sigma\} \cup \{\sigma s s' \mid \sigma s \in X \wedge \langle s, s' \rangle \in \mathbf{t}\}$$

$\Sigma_\tau^{\vec{*}}$  is the least fixpoint of  $\mathcal{F}_\tau^{\vec{*}}$ , that is

- ▶  $\mathcal{F}_\tau^{\vec{*}}(\Sigma_\tau^{\vec{*}}) = \Sigma_\tau^{\vec{*}}$
- ▶ For all  $X$  such that  $\mathcal{F}_\tau^{\vec{*}}(X) = X$ ,  $\Sigma_\tau^{\vec{*}} \subseteq X$

Therefore,

$$\Sigma_\tau^{\vec{*}} = \mathbf{lfp} \mathcal{F}_\tau^{\vec{*}} = \bigcup_{n \geq 0} \mathcal{F}_\tau^{\vec{*}n}(\phi)$$



# Partial Trace Semantics in Fixpoint Form - Proof I

$$\mathcal{F}_\tau^{\vec{*}}(\Sigma_\tau^{\vec{*}}) = \Sigma_\tau^{\vec{*}}$$

The proof is as follows:

$$\mathcal{F}_\tau^{\vec{*}}(\Sigma_\tau^{\vec{*}}) = \mathcal{F}_\tau^{\vec{*}}\left(\bigcup_{n \geq 0} \Sigma_\tau^n\right) \quad \text{def. } \Sigma_\tau^{\vec{*}}$$

$$= \{s \mid s \in \Sigma\} \cup \{\sigma s s' \mid \sigma s \in \left(\bigcup_{n \geq 0} \Sigma_\tau^n\right) \wedge \langle s, s' \rangle \in \mathbf{t}\} \quad \text{def. } \mathcal{F}_\tau^{\vec{*}}$$

$$= \{s \mid s \in \Sigma\} \cup \bigcup_{n \geq 0} \{\sigma s s' \mid \sigma s \in (\Sigma_\tau^n) \wedge \langle s, s' \rangle \in \mathbf{t}\} \quad \text{set theory}$$

$$= \Sigma_\tau^1 \cup \bigcup_{n \geq 0} \Sigma_\tau^{n+1} \quad \text{def. } \Sigma_\tau^1 \text{ and } \Sigma_\tau^{n+1}$$

$$= \bigcup_{n' \geq 1} \Sigma_\tau^{n'} = \bigcup_{n \geq 0} \Sigma_\tau^n$$

by letting  $n' = n + 1$  and since  $\Sigma_\tau^n = \phi$

## Partial Trace Semantics in Fixpoint Form - Proof II

For all  $X$  such that  $\mathcal{F}_\tau^{\vec{*}}(X) = X$ ,  $\Sigma_\tau^{\vec{*}} \subseteq X$

We prove by induction that  $\forall n \geq 0 : \Sigma_\tau^n \subseteq X$

1. Base Case :  $\Sigma_\tau^0 = \phi \subseteq X$
2. Inductive Hypothesis :  $\Sigma_\tau^n \subseteq X$

Since  $\sigma s \in \Sigma_\tau^n \rightarrow \sigma s \in X$ ,

$\{\sigma s s' \mid \sigma s \in \Sigma_\tau^n \wedge \langle s, s' \rangle \in \mathbf{t}\} \subseteq \{\sigma s s' \mid \sigma s \in X \wedge \langle s, s' \rangle \in \mathbf{t}\}$

Therefore,

$$\Sigma_\tau^{n+1} \subseteq \mathcal{F}_\tau^{\vec{*}}(\Sigma_\tau^n) \subseteq \mathcal{F}_\tau^{\vec{*}}(X) = X$$

# The Reflexive Transitive Closure Semantics as an Abstraction

- ▶ Abstraction of the partial trace semantics

$$\alpha^*(X) = \{\vec{\alpha}(\sigma) \mid \sigma \in X\} \quad \text{where } \vec{\alpha}(s_0s_1 \dots s_n) = \langle s_0, s_n \rangle$$

$\alpha^*(\Sigma_{\tau}^*)$  is the reflexive transitive closure  $t^*$  of the transition relation  $t$ .

- ▶ Concretization

$$\gamma^*(Y) = \{\sigma \mid \vec{\alpha}(\sigma) \in Y\} = \{s_0s_1 \dots s_n \mid \langle s_0, s_n \rangle \in Y\}$$

- ▶  $X \subseteq \gamma^*(\alpha^*(X))$

## Answering Concrete Questions in the Abstract

Answering concrete question about  $X$  using a simpler abstract question on  $\alpha^*(X)$ .

Example :  $s \dots s' \dots s'' \in X? \rightarrow \langle s, s'' \rangle \in \alpha^*(X)?$

## Galois Connections

Given any set  $X$  of partial traces and  $Y$  of pair of states,

$$\alpha^*(X) \subseteq Y \iff X \subseteq \gamma^*(Y)$$

which is a characteristic property of Galois connections.

Proof.

$$\begin{aligned}
 \alpha^*(X) \subseteq Y &\iff \{\vec{\alpha}^*(\sigma) \mid \sigma \in X\} \subseteq Y && \text{def. } \alpha^* \\
 &\iff \forall \sigma \in X : \vec{\alpha}(\sigma) \in Y \\
 &\iff X \subseteq \{\sigma \mid \vec{\alpha}(\sigma) \in Y\} && \text{def. } \subseteq \\
 &\iff X \subseteq \gamma^*(Y) && \text{def. } \gamma^*
 \end{aligned}$$

## Galois Connections

Galois connections preserve joins.

$$\alpha^*\left(\bigcup_{i \in I} X_i\right) = \bigcup_{i \in I} \alpha^*(X_i)$$

Proof.

$$\begin{aligned} \alpha^*\left(\bigcup_{i \in I} X_i\right) &= \{\vec{\alpha}^*(\sigma) \mid \sigma \in \bigcup_{i \in I} X_i\} \\ &= \bigcup_{i \in I} \{\vec{\alpha}^*(\sigma) \mid \sigma \in X_i\} \\ &= \bigcup_{i \in I} \alpha^*(X_i) \end{aligned}$$

# The Reflexive Transitive Closure Semantics in Fixpoint Form

\* General Principle in Abstract Interpretation.

1. The concrete(partial trace) semantics is expressed in fixpoint form.

$$\Sigma_{\tau}^{\rightarrow*} = \mathbf{lfp} \mathcal{F}_{\tau}^*$$

2. The abstract(reflexive transitive closure) semantics is an abstraction of the concrete semantics by a Galois connections and it can be expressed in fixpoint form, too.

$$\alpha^*(\Sigma_{\tau}^{\rightarrow*}) = \mathbf{lfp} \mathcal{F}_{\tau}^*$$

3. 2 can be generalized to order theory, and is known as the fixpoint transfer theorem.

# The Reflexive Transitive Closure Semantics in Fixpoint Form - Propositions & Definitions

1. Proposition 1.  $\alpha^*(\phi) = \phi$   
 $\phi \subseteq \gamma^*(\phi) \iff \alpha^*(\phi) \subseteq \phi$ . Therefore  $\alpha^*(\phi) = \phi$ .
2. Proposition 2.

Commutation Property:  $\alpha^*(\mathcal{F}_\tau^{\rightarrow}(X)) = \mathcal{F}_\tau^*(\alpha^*(X))$

2.1 Definition 1.  $\mathbb{I}_\Sigma = \{\langle s, s \rangle \mid s \in \Sigma\}$

2.2 Definition 2.  $\mathcal{F}_\tau^*(Y) = \mathbb{I}_\Sigma \cup Y \circ t$

$\alpha^*(\mathcal{F}_\tau^{\rightarrow}(X))$

$= \alpha^* (\{s \mid s \in \Sigma\} \cup \{\sigma s s' \mid \sigma s \in X \wedge \langle s, s' \rangle \in t\})$

def.  $\mathcal{F}_\tau^{\rightarrow}$

$= \{\vec{\alpha}(s) \mid s \in \Sigma\} \cup \{\vec{\alpha}(\sigma s s') \mid \sigma s \in X \wedge \langle s, s' \rangle \in t\}$

def.  $\alpha^*$

$= \{\langle s, s \rangle \mid s \in \Sigma\} \cup \{\langle \sigma_0, s' \rangle \mid \exists s : \sigma s \in X \wedge \langle s, s' \rangle \in t\}$

def.  $\vec{\alpha}$

$= \mathbb{I}_\Sigma \cup \{\langle \sigma_0, s' \rangle \mid \exists s : \langle \sigma_0, s \rangle \in \alpha^*(X) \wedge \langle s, s' \rangle \in t\}$

def.  $\mathbb{I}_\Sigma, \alpha^*$

$= \mathbb{I}_\Sigma \cup \alpha^*(X) \circ t$

$= \mathcal{F}_\tau^*(\alpha^*(X))$



# The Reflexive Transitive Closure Semantics in Fixpoint Form - Proof

Showing

$$\alpha^*(\Sigma_{\tau}^{\rightarrow*}) = \text{lfp } \mathcal{F}_{\tau}^*$$

is equivalent to prove that

$$\alpha^*\left(\bigcup_{n \geq 0} \mathcal{F}_{\tau}^{\rightarrow* n}(\phi)\right) = \bigcup_{n \geq 0} \mathcal{F}_{\tau}^{* n}(\phi)$$

Using induction on

$$\forall n : \alpha^*(\mathcal{F}_{\tau}^{\rightarrow* n}(\phi)) = \mathcal{F}_{\tau}^{* n}(\phi)$$

# The Reflexive Transitive Closure Semantics in Fixpoint Form - Proof

$$\forall n : \alpha^*(\mathcal{F}_\tau^{\rightarrow n}(\phi)) = \mathcal{F}_\tau^{*n}(\phi)$$

1. Base Case:

$$\alpha^*(\mathcal{F}_\tau^{\rightarrow 0}(\phi)) = \phi = \mathcal{F}_\tau^{*0}(\phi)$$

2. Inductive Hypothesis:  $\alpha^*(\mathcal{F}_\tau^{\rightarrow n}(\phi)) = \mathcal{F}_\tau^{*n}(\phi)$

$$\begin{aligned}
 \alpha^*(\mathcal{F}_\tau^{\rightarrow n+1}(\phi)) &= \alpha^*(\mathcal{F}_\tau^{\rightarrow}(\mathcal{F}_\tau^{\rightarrow n}(\phi))) \\
 &= \mathcal{F}_\tau^*(\alpha^*(\mathcal{F}_\tau^{\rightarrow n}(\phi))) && \text{commutative} \\
 &= \mathcal{F}_\tau^* \mathcal{F}_\tau^{*n}(\phi) && \text{inductive hypothesis} \\
 &= \mathcal{F}_\tau^{*n+1}(\phi)
 \end{aligned}$$

## The Reachability Semantics as an Abstraction

The reachability semantics of the transition system  $\tau = \langle \Sigma, \Sigma_i, t \rangle$

$$\{s' \mid \exists s \in \Sigma_i : \langle s, s' \rangle \in t^*\}$$

is the set of states that are reachable from the initial states  $\Sigma_i$ .

## The Reachability Semantics as an Abstraction

Definition  $\text{post}[r]Z$ : The right-image of the set  $Z$  by relation  $r$

$$\text{post}[r]Z = \{s' \mid \exists s \in Z : \langle s, s' \rangle \in r\}$$

## The Reachability Semantics as an Abstraction

Abstraction of the reflexive transitive closure semantics  $Y$  is defined as

$$\begin{aligned}\alpha^\bullet(Y) &= \{s' \mid \exists s \in \Sigma_i : \langle s, s' \rangle \in Y\} \\ &= \text{post}[Y]\Sigma_i\end{aligned}$$

Concretization of the reachability semantics  $Z$  is defined as

$$\gamma^\bullet(Z) = \{\langle s, s' \rangle \mid s \in \Sigma_i \implies s' \in Z\}$$

# Galois Connection

We have the Galois Connection:

$$\alpha^\bullet(Y) \subseteq Z \iff Y \subseteq \gamma^\bullet(Z)$$

Proof.

$$\begin{aligned}
 \alpha^\bullet(Y) \subseteq Z &\iff \{s' \mid \exists s \in \Sigma_i : \langle s, s' \rangle \in Y\} \subseteq Z && \text{def. } \alpha^\bullet \\
 &\iff \forall s' : \forall s \in \Sigma_i : \langle s, s' \rangle \in Y \implies s' \in Z && \text{def. } \subseteq \\
 &\iff \forall \langle s, s' \rangle \in Y : s \in \Sigma_i \implies s' \in Z && \text{def. } \implies \\
 &\iff Y \subseteq \{\langle s, s' \rangle \mid s \in \Sigma_i \implies s' \in Z\} && \text{def. } \subseteq \\
 &\iff Y \subseteq \gamma^\bullet(Z) && \text{def. } \gamma^\bullet
 \end{aligned}$$

## The Reachability Semantics in fixpoint form

1. Define  $\mathcal{F}_\tau^\bullet(Z) = \Sigma_i \cup \text{post}[t]Z$ .
2. Establish commutation property  $\alpha^\bullet(\mathcal{F}_\tau^*(Y)) = \alpha^\bullet(\mathcal{F}_\tau^\bullet(Y))$

$$\begin{aligned}
 & \alpha^\bullet(\mathcal{F}_\tau^*(Y)) \\
 = & \{s' \mid \exists s \in \Sigma_i : \langle s, s' \rangle \in (\mathbb{I}_\Sigma \cup Y \circ t)\} && \text{def. } \alpha^\bullet \& \mathcal{F}_\tau^* \\
 = & \{s' \mid \exists s \in \Sigma_i : s' = s\} \cup \\
 & \{s' \mid \exists s \in \Sigma_i : \exists s'' : \langle s, s'' \rangle \in Y \wedge \langle s'', s' \rangle \in t\} && \text{def. } \mathbb{I}_\Sigma \& \circ \\
 = & \Sigma_i \cup \{s' \mid \exists s'' \in \alpha^\bullet(Y) \wedge \langle s'', s' \rangle \in t\} && \text{def. } \alpha^\bullet \\
 = & \alpha^\bullet(\mathcal{F}_\tau^\bullet(Y)) && \text{def } \mathcal{F}_\tau^\bullet(Z)
 \end{aligned}$$

3. By the fixpoint transfer theorem,

$$\alpha^\bullet(t^*) = \alpha^\bullet(\text{lfp } \mathcal{F}_\tau^*) = \text{lfp } \mathcal{F}_\tau^\bullet$$

## The Interval Semantics as an Abstraction

The set of states of a transition system  $\tau = \langle \Sigma, \Sigma_i, t \rangle$  is totally ordered  $\langle \Sigma, < \rangle$  with extrema  $-\infty$  and  $+\infty$ , the interval semantics  $\alpha^H(\alpha^\bullet(t^*))$  of  $\tau$  provides bounds on its reachable states  $\alpha^\bullet(t^*)$ :

$$\alpha^H(Z) = [\min Z, \max Z]$$

$$\min(\phi) = \infty \quad \max(\phi) = -\infty$$

Concretization:

$$\gamma^H([l, h]) = \{s \in \Sigma \mid l \leq s \leq h\}$$

Abstract implication:

$$[l, h] \sqsubseteq [l', h'] \iff (l' \leq l \wedge h \leq h')$$



## Galois Connection

- ▶ We have the Galois Connection:

$$\alpha^H(Z) \sqsubseteq [l, h] \iff Z \subseteq \gamma^H([l, h])$$

Proof.

$$\begin{aligned} \alpha^H(Z) \sqsubseteq [l, h] &\iff [\min Z, \max Z] \sqsubseteq [l, h] && \text{def. } \alpha^H \\ &\iff l \leq \min Z \wedge \max Z \leq h && \text{def. } \sqsubseteq \\ &\iff Z \subseteq \{s \in \Sigma \mid l \leq s \leq h\} && \text{def. min\&max} \\ &\iff Z \subseteq \gamma^H([l, h]) && \text{def. } \gamma^H \end{aligned}$$

- ▶ By defining

$$\bigsqcup_{i \in I} [l_i, h_i] = [\min_{i \in I} l_i, \max_{i \in I} h_i]$$

, Galois connection preserves least upper bounds

$$\alpha^H\left(\bigsqcup_{i \in I} Z_i\right) = \bigsqcup_{i \in I} \alpha^H(Z_i)$$

## The Interval Semantics in Fixpoint Form

1. Define  $[\min \Sigma_i, \max \Sigma_i] \cup \alpha^H \circ \text{post}[t] \circ \gamma^H(I) \sqsubseteq \mathcal{F}_\tau^H(I)$
2. Establish semi-commutation property

$$\alpha^H(\mathcal{F}_\tau^\bullet(Z)) \sqsubseteq \mathcal{F}_\tau^H(\alpha^H(Z))$$

$$\begin{aligned}
 \alpha^H(\mathcal{F}_\tau^\bullet(Z)) &= \alpha^H(\Sigma_i \cup \text{post}[t]Z) && \text{def } \mathcal{F}_\tau^\bullet \\
 &= \alpha^H(\Sigma_i) \cup \alpha^H(\text{post}[t][Z]) && \text{Galois Connection} \\
 &\sqsubseteq [\min \Sigma_i, \max \Sigma_i] \cup \alpha^H(\text{post}[t](\gamma^H(\alpha^H(Z)))) \\
 &\sqsubseteq \mathcal{F}_\tau^H(\alpha^H(Z))
 \end{aligned}$$

3. By the fixpoint approximation:

$$\alpha^H(\mathcal{F}_\tau^\bullet(t^*)) = \alpha^H(\text{lfp } \mathcal{F}_\tau^\bullet) \sqsubseteq \text{lfp } \mathcal{F}_\tau^H$$

# Convergence Acceleration

In general,  $\text{lfp } \mathcal{F}_\tau^H = \bigsqcup_{n \geq 0} \mathcal{F}_\tau^H(\phi = [+ \infty, - \infty])$  diverge.

Example, the transition system

$$\langle \mathbb{Z}, \{0\}, \{\langle x, x' \rangle \mid x' = x + 1\} \rangle$$

of program `x := 0; while true do x := x + 1.`

$$\mathcal{F}_\tau^H([l, h]) = [0, 0] \cup [l + 1, h + 1]$$

It diverges:  $[+ \infty, - \infty], [0, 0], [0, 1], [0, 2], \dots$

## Widening

To accelerate convergence, introduce a widening  $\nabla$  such that,

$$(X \sqsubseteq X \nabla Y) \wedge (Y \sqsubseteq X \nabla Y)$$

$$\begin{aligned}
 I^0 &= \phi = [+∞, -∞] \\
 I^{n+1} &= I^n && \text{if } \mathcal{F}_\tau^H(I^n) \sqsubseteq I^n \\
 &= I^n \nabla \mathcal{F}_\tau^H(I^n) && \text{otherwise.}
 \end{aligned}$$

limit  $I^\lambda$  is finite ( $\lambda \in \mathbb{N}$ ) and is a fixpoint overapproximation

$$\text{lfp } \mathcal{F}_\tau^H \sqsubseteq I^\lambda$$

## Example of Widening

An example of interval widening

1. choosing finite sequence

$$-\infty = r_0 < r_1 < \dots < r_k = +\infty$$

- 2.

$$[+\infty, -\infty] \nabla [l, h] = [l, h]$$

$$[l, h] \nabla [l', h'] = [\text{if } l > l' \text{ then } \max\{r_i \mid r_i \leq l'\} \text{ else } l, \\ \text{if } h < h' \text{ then } \min\{r_i \mid h' \leq r_i\} \text{ else } h]$$

## Example of Widening

Example, the transition system

$$\langle \mathbb{Z}, \{0\}, \{\langle x, x' \rangle \mid x' = x + 1\} \rangle$$

of program  $x := 0; \text{while } x < 100 \text{ do } x := x + 1.$

$$\mathcal{F}_\tau^H([l, h]) = [0, 0] \sqcup [l + 1, \min(99, h) + 1]$$

1. Sequence  $r = -\infty < -1 < 0 < 1 < \infty$
- 2.

$$I^0 = [+\infty, -\infty]$$

$$I^1 = [0, 0] \sqcup [1, 1] = [0, 1]$$

$$I^2 = [0, 1] \sqcup [0, 2] = [0, +\infty]$$

$$I^3 = [0, +\infty]$$

## Narrowing

The limit of an iteration with widening can be improved by a narrowing  $\Delta$ , such that

$$X \sqsubseteq Y \implies X \sqsubseteq (X \Delta Y) \sqsubseteq Y$$

All terms in the iterates with narrowing

$$\begin{aligned} J^0 &= I^\lambda \\ J^{n+1} &= J^n \Delta \mathcal{F}_\tau^H(J^0) \end{aligned}$$

improve the result obtained by widening.

$$\text{lfp } \mathcal{F}_\tau^H \sqsubseteq J^n \sqsubseteq I^\lambda$$

## Example of Narrowing

$$[l, h] \triangleq [l', h'] = [\text{if } \exists i : l = r_i \text{ then } l' \text{ else } l, \text{ if } \exists j : h = r_j \text{ then } h' \text{ else } h]$$

Example, the transition system

$$\langle \mathbb{Z}, \{0\}, \{\langle x, x' \rangle \mid x' = x + 1\} \rangle$$

of program  $x := 0; \text{ while } x < 100 \text{ do } x := x + 1.$

$$J^0 = [0, +\infty]$$

$$J^1 = [0, +\infty] \triangleq [0, 100] = [0, 100]$$

$$J^2 = [0, 100] \triangleq [0, 100] = [0, 100]$$



## Composition of Abstractions

The design of three abstractions of the partial trace semantics  $\Sigma_{\tau}^*$  of a transition system  $\tau$  was compositional. Composition of Galois connections is a Galois connection so the successive arguments on sound approximation do compose nicely.

$$\alpha^H \circ \alpha^\bullet \circ \alpha^*, \gamma^* \circ \gamma^\bullet \circ \gamma^H$$

## Hierarchy of Semantics

The four semantics of a transition system  $\tau = \langle \Sigma, \Sigma_i, t \rangle$  form a hierarchy

1. Partial traces  $\Sigma_{\tau}^{\vec{*}}$
2. Reflexive transitive closure  $\alpha^*(\Sigma_{\tau}^{\vec{*}})$
3. Reachability  $\alpha^{\bullet} \circ \alpha^*(\Sigma_{\tau}^{\vec{*}})$
4. Interval semantics  $\alpha^H \circ \alpha^{\bullet} \circ \alpha^*(\Sigma_{\tau}^{\vec{*}})$

# Thanks

Thank you for listening.