$\lambda \mu$ 計算の抽象機械 An abstract machine for type-free $\lambda \mu$ -calculus

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We provide a stack based machine for type-free $\lambda\mu$ -calculus. The machine is derived from a sound and complete CPS-translation for $\lambda\mu$ -calculus. The target calculus has let-expressions as a primitive notion, in order to handle substitution information elegantly and to simplify technical matters on the completeness. The technical improvement naturally leads to the abstract machine which handles environments explicitly. We show that the machine transitions are correct with respect to continuation semantics.

1 Introduction

We first provide a sound and complete CPStranslation for type-free $\lambda \mu$ -calculus. An analysis on the calculi without type restrictions reveals core properties of the CPS-translation. Continuations are handled as a list or a stack of denotations, and formalized as a pair consisting of a denotation and a continuation in this order. The study on the type free cases also makes clear the distinction between λ -abstraction and μ -abstraction, from the viewpoint of continuations: an λ -abstraction is viewed as a constructor for a function taking only the first component of such a pair, and on the other hands, an μ -abstraction is interpreted as a constructor for a function over continuations. Our target calculus has let-expressions as a primitive notion, in order to handle substitution information (environment) elegantly and to simplify extremely technical matters on the completeness. The technical improvement naturally leads to an abstract machine for $\lambda\mu$ -calculus, which handles explicitly environments. We show that the machine transitions are correct with respect to continuation semantics.

2 Type-free $\lambda\mu$ -calculus and target calculus λ^{let}

Definition 1 (λ -calculus with let Λ^{let})

$$\Lambda^{\texttt{let}} \ni M \quad ::= \quad x \mid \lambda x.M \mid MM \mid \langle M, M \rangle$$
$$\mid \texttt{let} \ \langle x, x \rangle = M \quad \texttt{in} \ M$$

$$(\beta) \ (\lambda x.M_1)M_2 \to M_1[x := M_2]$$

(
$$\eta$$
) $\lambda x.Mx \to M$ if $x \notin FV(M)$

(let) let
$$\langle x_1, x_2 \rangle = \langle M_1, M_2 \rangle$$
 in M
 $\rightarrow M[x_1 := M_1, x_2 := M_2]$

$$(\texttt{let}_{\eta}) \texttt{let} \langle x_1, x_2 \rangle = M_1 \texttt{ in } M[x := \langle x_1, x_2 \rangle]$$
$$\rightarrow M[x := M_1] \textit{ if } x_1, x_2 \notin FV(M)$$

Definition 2 ($\lambda\mu$ -calculus $\Lambda\mu$)

$$\Lambda \mu \ni M ::= x \mid \lambda x.M \mid MM \mid \mu \alpha.[\alpha]M$$

$$\begin{aligned} &(\beta) \ (\lambda x.M_1)M_2 \to M_1[x := M_2] \\ &(\eta) \ \lambda x.Mx \to M \quad if \ x \notin FV(M) \\ &(\mu) \ (\mu\alpha.N)M \to \mu\alpha.N[\alpha \ll M] \\ &(\mu_\beta) \ \mu\alpha.[\beta](\mu\gamma.N) \to \mu\alpha.N[\gamma := \beta] \\ &(\mu_\eta) \ \mu\alpha.[\alpha]M \to M \quad if \ \alpha \notin FN(M) \end{aligned}$$

3 Sound and complete CPStranslation

Definition 3 (CPS-Translation : $\Lambda \mu \rightarrow \Lambda^{\texttt{let}}$)

(i)
$$[\![x]\!] = x$$

(ii)
$$\llbracket \lambda x.M \rrbracket = \lambda k.(\texttt{let } \langle x,k' \rangle = k \text{ in } \llbracket M \rrbracket k')$$

(iii)
$$[\![M_1 M_2]\!] = \lambda k . [\![M_1]\!] \langle [\![M_2]\!], k \rangle$$

(iv) $\llbracket \mu \alpha . \llbracket \beta \rrbracket M \rrbracket = \lambda \alpha . \llbracket M \rrbracket \beta$

Remarked that term constructors are related between source and target calculi, as follows:

Sour	ce calculus: $\lambda \mu$	Target calculus: $\lambda^{\texttt{let}}$
λ -abs	straction	let-expression
appli	cation	pair
μ -abs	straction	λ -abstraction
name	e	continuation variable

Proposition 1 (Soundness) Let $M_1, M_2 \in \Lambda \mu$. If we have $M_1 =_{\lambda \mu} M_2$, then $[\![M_2]\!] =_{\lambda^{\text{let}}} [\![M_2]\!]$.

Proof. By induction on the derivation of $M_1 =_{\lambda\mu} M_2$.

We introduce a grammar \mathcal{R} that served as the domain of an inverse translation. Let $n, m \geq 0$. Then we write $\langle M_0, M_1, \ldots, M_n \rangle$ for $\langle M_0, \langle M_1, \ldots, M_n \rangle \rangle$, and $\langle M \rangle \equiv M$.

$$\begin{array}{lll} \mathcal{R} & ::= & x \\ & & \mid \lambda a. \mathcal{R} \langle \mathcal{R}_1, \dots, \mathcal{R}_n, a \rangle \\ & & \mid \lambda a. (\texttt{let } \langle x, a \rangle = \langle \mathcal{R}_1, \dots, \mathcal{R}_n, a \rangle \\ & & & \texttt{in } \mathcal{R} \langle \mathcal{R}_1, \dots, \mathcal{R}_m, a \rangle) \end{array}$$

- **Lemma 1** (1) The category \mathcal{R} is closed under the reduction rules of λ^{let} .
- (2) It is a well-defined equivalence relation that the binary relation $=_{\mathcal{R}}$ generated by $\rightarrow^*_{\lambda^{\text{let}}}$ with respect to \mathcal{R} .

Proof. Substitutions are closed with respect to \mathcal{R} , and hence \mathcal{R} is closed under the reduction rules. \Box

Proposition 2 (Soundness w.r.t. \mathcal{R}) Let $M_1, M_2 \in \Lambda \mu$. If we have $M_1 =_{\lambda \mu} M_2$, then $\llbracket M_2 \rrbracket =_{\mathcal{R}} \llbracket M_2 \rrbracket$. We introduce an inverse translation \natural from \mathcal{R} back to $\Lambda \mu$, see also the correspondence table in the above.

Definition 4 (Inverse Translation $\natural : \mathcal{R} \to \Lambda \mu$)

(i)
$$x^{\natural} = x$$

(ii)
$$(\lambda a.R\langle R_1,\ldots,R_n,b\rangle)^{\natural} = \mu a.[b](R^{\natural}R_1^{\natural}\ldots R_n^{\natural})$$

(iii)
$$(\lambda a.(\text{let } \langle x, b \rangle = \langle R_1, \dots, R_m, c \rangle$$

in $S \langle S_1, \dots, S_n, d \rangle))^{\natural}$
 $= \mu a.[c]((\lambda x.(\lambda b.S \langle S_1, \dots, S_n, d \rangle)^{\natural})R_1^{\natural} \dots R_m^{\natural})$

- **Lemma 2** (1) Let $M \in \Lambda \mu$. Then we have that $[M]^{\natural} \rightarrow^*_{\mu_{\eta}} M$.
- (2) Let $R \in \mathcal{R}$. Then we have $\llbracket R^{\natural} \rrbracket \to^*_{\beta} R$.

Proof. By induction on the structures of $M \in \Lambda \mu$ and $R \in \mathcal{R}$.

Lemma 3 Let $R, R_1, \ldots, R_n \in \mathcal{R}$. Then we have $(R[a := \langle R_1, \ldots, R_n, a \rangle])^{\natural} = R^{\natural}[a \leftarrow R_1^{\natural}, \ldots, R_n^{\natural}].$

Proof. By induction on the structure of $R \in \mathcal{R}$. \Box

Lemma 4 Let $P, Q \in \mathcal{R}$.

Proof. By induction on the derivation of $P \to Q$. \Box

Proposition 3 (Completeness) Let $P_1, P_2 \in \mathcal{R}$. If we have $P_1 =_{\mathcal{R}} P_2$, then $P_1^{\natural} =_{\lambda \mu} P_2^{\natural}$.

- **Theorem 1** (i) Let $M_1, M_2 \in \Lambda \mu$. $M_1 =_{\lambda \mu} M_2$ if and only if $[M_1] =_{\mathcal{R}} [M_2]$.
- (ii) Let $P_1, P_2 \in \mathcal{R}$. $P_1 =_{\mathcal{R}} P_2$ if and only if $P_1^{\natural} =_{\lambda \mu} P_2^{\natural}$.

4 Abstract machine with explicit environment

Finally we introduce a stack based machine for $\lambda\mu$ -calculus, which handles environments explicitly and is motivated by our target calculus with letexpressions that encapsulate environments consisting of denotations or continuations.

There exists a well-known connection between continuation passing style [Seli98, SR98, Fuji03a] and abstract machines [Plot75, Bier98, deGr98]. For instance, according to [SR98], we have relations between (denotation, continuation, environment) and (closure, stack, environment), as follows:

Continuation	denotation D	continuation K
Denotational	$[\![]\!]:\Lambda\times E\to D$	$D \times K$
Semantics	$D = [K \to R]$	
Abstract	closure Clos	stack S
Machine	$\Lambda \times E$	$Clos \times S$

Continuation	environment E
Denotational	$Var \rightarrow D$
Semantics	$Cvar \to K$
Abstract	environment E
Machine	$Var \rightarrow Clos$

where Λ is a set of terms, and R is a domain of responses.

The connection makes it possible to relate an abstract machine to its continuation denotational semantics as done in [SR98, Seli98]. Here, we are interested in compiler correctness, based on which $\lambda\mu$ -terms are compiled into codes of an abstract machine. Such a machine is the so-called Krivine's abstract machine, compared with Landin's SECD machine [Lan64] for call-by-value.

We introduce here an abstract machine with a modification, such that the environment explicitly handles substitution information. The machine has configurations of the form $\langle [M, E], K \rangle$, where [M, E] is the closure consisting of a term M (instruction) and the environment E, and K is the continuation consisting of a closure and a continuation. Environments are defined by a list of substitution information together with two kinds of distinguished indices denoted by x and α . We employ nil and :: for the empty list and cons, respectively.

Environment (list of continuations or closures)

$$E ::= \texttt{nil} \mid (x = cl) :: E \mid (\alpha = K) :: E$$

Continuation (stack of closures)

$$K ::= k \mid \langle cl, K \rangle \mid E(\alpha) \mid \texttt{snd}(K)$$

Closure

 $cl ::= [M, E] \mid E(x) \mid \texttt{fst}(K)$

The transition function \Rightarrow_i specifies how to execute the machine following terms (instructions code), in the sense that one step execution transforms the configuration $\langle [M, E], K \rangle$.

1.
$$\langle [x, E], K \rangle \Rightarrow_i \langle E(x), K \rangle$$

2. $\langle [\lambda x.M, E], \langle cl, K' \rangle \rangle$
 $\Rightarrow_i \langle [M, (x = cl) :: E], K' \rangle$

3. $\langle [\lambda x.M, E], K \rangle \Rightarrow_i$ $\langle [M, (x = fst(K)) :: E], snd(K) \rangle$ otherwise 4. $\langle [M_1M_2, E], K \rangle \Rightarrow_i \langle [M_1, E], \langle [M_2, E], K \rangle \rangle$ 5. $\langle [\mu \alpha.[\beta]M, E], K \rangle$ $\Rightarrow_i \langle [M, (\alpha = K) :: E], ((\alpha = K) :: E)(\beta) \rangle$

Moreover, environments are also handled by the transition function \Rightarrow_e .

1.
$$\langle ((x = cl) :: E)(x), K \rangle \Rightarrow_e \langle cl, K \rangle$$

2. $\langle ((x' = cl) :: E)(x), K \rangle \Rightarrow_e \langle E(x), K \rangle$
if $x \neq x$

3.
$$\langle ((k = K') :: E)(x), K \rangle \Rightarrow_e \langle E(x), K \rangle$$

4.
$$\langle cl, ((\alpha = K) :: E)(\alpha) \rangle \Rightarrow_e \langle cl, K \rangle$$

5.
$$\langle cl, ((\alpha' = K) :: E)(\alpha) \rangle \Rightarrow_e \langle cl, E(\alpha) \rangle$$

if $\alpha \neq \alpha'$

6.
$$\langle cl, ((x = cl') :: E)(\alpha) \rangle \Rightarrow_e \langle cl, E(\alpha) \rangle$$

For each $M \in \Lambda \mu$, the abstract machine is executed from $\operatorname{Comp}(M) \stackrel{\text{def}}{=} \langle [M, \operatorname{nil}], k \rangle$, denoted by $\operatorname{Comp}(M) \Rightarrow \langle cl_1, K_1 \rangle \Rightarrow \langle cl_2, K_2 \rangle \Rightarrow \dots$, as follows:

- 1. Following the instruction M, we apply \Rightarrow_i . Then apply \Rightarrow_e in the case of \Rightarrow_i (1) or (4) as follows:
 - (a) Case of $\langle E(x), K \rangle$

Apply repeatedly $\Rightarrow_e (1,2,3)$ until either $\langle \texttt{nil}(x), K \rangle$ or $\langle cl, K \rangle$ where $cl \neq E(x)$ is obtained.

(b) Case of

 $\langle [M, (\alpha = K) :: E], ((\alpha = K) :: E)(\beta) \rangle$ Apply repeatedly $\Rightarrow_e (4,5,6)$ until either $\langle cl, nil(\alpha) \rangle$ or $\langle cl, K \rangle$ where $K \neq E(\beta)$ is obtained.

2. Repeat the process above.

That is, a sequence of the machine transitions \Rightarrow^* consists of $(\Rightarrow_i \cdot \Rightarrow_e^*)^*$, where \Rightarrow^* is the reflexive and transitive closure of \Rightarrow .

At the application of \Rightarrow_i , the machine always has the following configuration $\langle [M, E], K_{nf} \rangle$:

$$K_{nf} ::= \operatorname{snd}^{n}(k) \mid \operatorname{snd}^{n}(\operatorname{nil}(\alpha)) \mid \langle [M', E'], K_{nf} \rangle$$

If the machine halts, then the state has the configuration $\langle cl_{nf}, K_{nf} \rangle$, as follows:

$$cl_{nf} ::= \texttt{fst}(\texttt{snd}^n(k)) \mid \texttt{fst}(\texttt{snd}^n(\texttt{nil}(\alpha))) \mid \texttt{nil}(x)$$

Now configurations can be assumed to be in the following form $\langle cl_{nf}, K_{nf} \rangle$:

$$\begin{array}{lll} cl_{nf} & ::= & \texttt{nil}(x) \mid \texttt{fst}(\texttt{snd}^n k) \\ & & \mid \texttt{fst}(\texttt{snd}^n(\texttt{nil}(\alpha))) \mid [M, E_{nf}] \end{array}$$

$$E_{nf} & ::= & \texttt{nil} \mid (x = cl_{nf}) :: E_{nf} \\ & & \mid (\alpha = K_{nf}) :: E_{nf} \end{array}$$

$$K_{nf} & ::= & \texttt{snd}^m(k) \mid \texttt{snd}^m(\texttt{nil}(\alpha)) \\ & & \mid \langle [M, E_{nf}], K_{nf} \rangle \end{array}$$

Let K_{nf} be $\langle cl_{nf_1}, \ldots, cl_{nf_p}, \operatorname{snd}^m(\operatorname{nil}^{\delta}(k)) \rangle$ where $m, n \geq 0$ and δ is either 0 or 1. Then we have n < m, since we have the second clause of \Rightarrow_i . Now, for $\langle \langle cl_{nf}, K_{nf} \rangle \rangle$, its CPS-code in terms of λ^{let} is defined as follows:

$$\begin{split} \llbracket \langle cl_{nf}, K_{nf} \rangle \rrbracket &= \\ \lambda k. \texttt{let} \langle x_1, \dots, x_m, k \rangle = k \texttt{ in } \llbracket cl_{nf} \rrbracket \llbracket K_{nf} \rrbracket \\ & \texttt{if } 0 \le n < m \\ \llbracket \langle cl_{nf}, K_{nf} \rangle \rrbracket = \lambda k. \llbracket cl_{nf} \rrbracket \llbracket K_{nf} \rrbracket \quad \texttt{if } m = 0 \end{split}$$

- 1. $[[M, E_{nf}]] = [[M]]_{E_{nf}}$
 - (a) $[\![x]\!]_{E_{nf}} = x \text{ if } E_{nf}(x) = \texttt{nil}(x)$ $[\![x]\!]_{E_{nf}} = [\![M']\!]_{E'_{nf}} \text{ if } E_{nf}(x) = [M', E'_{nf}]$ $[\![x]\!]_{E_{nf}} = x_{n+1}$ if $E_{nf}(x) = \texttt{fst}(\texttt{snd}^n(\texttt{nil}^{\delta}(k)))$
 - (b) $[\lambda x.M]_{E_{nf}} = \lambda k'.(\operatorname{let} \langle x,k \rangle = k' \operatorname{in} [M]_{E_{nf}}k)$ (c) $[M.M.]_{R_{nf}} = \lambda k [M.]_{R_{nf}} / [M.]_{R_{nf}}k)$

(c)
$$\llbracket M_1 M_2 \rrbracket E_{nf} = \lambda \kappa \cdot \llbracket M_1 \rrbracket E_{nf} \setminus \llbracket M_2 \rrbracket E_{nf}, \kappa \rangle$$

- (d) $\llbracket \mu \alpha . \llbracket \beta \rrbracket M \rrbracket_{E_{nf}} = \lambda \alpha . \llbracket M \rrbracket_{E_{nf}} \llbracket K'_{nf} \rrbracket$ where $K'_{nf} = E_{nf}(\beta)$
- 2. $\llbracket \texttt{fst}(\texttt{snd}^n(\texttt{nil}^\delta(k))) \rrbracket = x_{n+1}$
- 3. [[nil(x)]] = x
- 1. $\llbracket \langle [M', E'_{nf}], K'_{nf} \rangle \rrbracket = \langle \llbracket M' \rrbracket_{E'_{nf}}, \llbracket K'_{nf} \rrbracket \rangle$
- 2. $[[\operatorname{snd}^m(\operatorname{nil}^\delta(k))]] = k$
- Lemma 5 1. We have $\llbracket M \rrbracket_{(x=cl_{nf})::E_{nf}} = \llbracket M \rrbracket_{E_{nf}} [x := \llbracket cl_{nf} \rrbracket], provided that <math>x \notin Dom(E_{nf}).$
- 2. $\llbracket M \rrbracket_{(\alpha=K_{nf})::E} = \llbracket M \rrbracket_{E_{nf}} [\alpha := \llbracket K_{nf} \rrbracket], pro$ $vided that <math>\alpha \notin Dom(E_{nf}).$

Proof. By induction on the structure of $M \in \Lambda \mu$. \Box

Proposition 4 If we have $\langle cl_1, K_1 \rangle \Rightarrow \langle cl_2, K_2 \rangle$, then $[\langle cl_1, K_1 \rangle] \rightarrow^*_{\beta_{\text{let}}} [\langle cl_2, K_2 \rangle].$

Proof. By induction on the structure of $cl_{nf} = [M, E_{nf}]$.

Theorem 2 (Adequacy of the Machine)

- 1. $\llbracket \operatorname{Comp}(M) \rrbracket =_{\lambda^{\operatorname{let}}} \llbracket M \rrbracket$
- 2. If we have $\langle cl_1, K_1 \rangle \Rightarrow^* \langle cl_2, K_2 \rangle$, then $[\langle cl_1, K_1 \rangle] =_{\lambda^{1et}} [\langle cl_2, K_2 \rangle].$

Proof. We have $[\![Comp(M)]\!] \rightarrow^+_{\beta} [\![M]\!]$. From Proposition 4, we have the second clause. \Box

Corollary 1 For each machine transition $\langle cl_1, K_1 \rangle \Rightarrow \langle cl_2, K_2 \rangle$, there exist the corresponding $\lambda \mu$ -reductions $M_1 \rightarrow^*_{\lambda \mu} M_2$ for some M_1, M_2 . *Proof.* If we have $\langle cl_1, K_1 \rangle \Rightarrow \langle cl_2, K_2 \rangle$, then semantics only in terms of λ^{let} . This result can $[\langle cl_1, K_1 \rangle] \rightarrow_{\beta \text{let}}^* [\langle cl_2, K_2 \rangle]$ from Proposition 4. also be enlarged with respect to continuation de-Hence, we have $\lambda \mu$ -reductions $[\langle cl_1, K_1 \rangle]^{\natural} \rightarrow_{\beta \mu \mu \beta}^*$ notation semantics [SR98]. Our abstract machine $[\langle cl_2, K_2 \rangle]^{\natural}$ from Lemma 4. \Box on this version is deterministic and works not only

Lemma 6 We have $\llbracket M[x := M'] \rrbracket_{E_{nf}} = \llbracket M \rrbracket_{E_{nf}} [x := \llbracket M' \rrbracket_{E_{nf}}]$, provided that x can appear only in M.

Proof. By induction on $M \in \Lambda \mu$.

Lemma 7 We have $\llbracket M[\alpha \iff M'] \rrbracket_{E_{nf}} \to_{\beta}^{*}$ $\llbracket M \rrbracket_{(\alpha = \langle [M', E_{nf}], K' \rangle) :: E_{nf}}$ where $K' = E_{nf}(\alpha)$, provied that $\alpha \notin FN(M')$.

Proof. By induction on $M \in \Lambda \mu$.

Lemma 8 If we have $M \to_{\lambda\mu} M'$, then $\llbracket M \rrbracket_{E_{nf}} =_{\lambda^{\text{let}}} \llbracket M' \rrbracket_{E_{nf}}.$

Proof. By induction on the derivation of $M \rightarrow_{\lambda \mu} M'$.

We show that $\lambda \mu$ -reductions are executed by the abstract machine whose configurations are equal each other in the sense of the continuation semantics.

Proposition 5 If we have $M_1 \rightarrow_{\lambda\mu} M_2$, then $[\![\langle [M_1, E], K \rangle]\!] =_{\lambda^{\text{let}}} [\![\langle [M_2, E'], K' \rangle]\!]$ for some E' and K'.

Proof. It is enough to show that we have $\llbracket M_1 \rrbracket_{E_{nf}} \llbracket K_{nf} \rrbracket =_{\lambda^{\text{let}}} \llbracket M_2 \rrbracket_{E'_{nf}} \llbracket K'_{nf} \rrbracket$ for some E'_{nf} and K'_{nf} .

Theorem 3 (Correctness for $\lambda\mu$ -reductions)

If we have $M_1 \to_{\lambda\mu} M_2 \to_{\lambda\mu} M_3 \to_{\lambda\mu} \cdots$, then $[\operatorname{Comp}(M_1)] =_{\lambda^{\operatorname{let}}} [[\langle [M_2, E_2], K_2 \rangle]] =_{\lambda^{\operatorname{let}}} [[\langle [M_3, E_3], K_3 \rangle]] =_{\lambda^{\operatorname{let}}} \cdots$ for some E_i and K_i .

5 Concluding remarks

The CPS-translation into the target calculus with let-expressions as a primitive notion can be naturally carried over, for instance, to polymorphic λ -calculus, system F and 2nd order typed $\lambda\mu$ -calculus, as done in [Fuji05, Hasse05].

We have shown the adequacy and correctness of the abstract machine with respect to continuation semantics only in terms of λ^{let} . This result can also be enlarged with respect to continuation denotation semantics [SR98]. Our abstract machine on this version is deterministic and works not only for weak head reductions but also for head reductions. Moreover, for full $\lambda\mu$ -reductions, the machine is still correct with respect to continuation semantics, as shown in Theorem 3 for $\rightarrow_{\lambda\mu}$, although it cannot handle directly components in the environment. but can do only after \Rightarrow_i (1) or (4), i.e., the machine has neither a value closure nor a value environment because of call-by-name. The machine can also be modified as a lower level machine with nameless terms by the use of de Bruijn indices [deGr98].

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