

Nominal Syntax and Semantics

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Mathematics of syntax

How best to reconcile

syntactical issues to do with name-binding and α -conversion

with a **structural** approach to semantics?

Specifically: improved forms of **structural recursion** and **structural induction** for syntactical structures.

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Lectures provide a taster of the **nominal sets** model of names and name-binding. (Simplified version of [Gabbay-Pitts, 2002].)

Lecture 1

- Introduction: from structural to α -structural recursion.
- Nominal sets—first look.

Lecture 2

- Nominal sets, continued.
- α -Structural recursion—proof sketch.
- Nominal signatures.

Lecture 3

- Extended example: NBE.
- Mechanization [extra].

Lecture materials available at:

www.cl.cam.ac.uk/users/amp12/talks/appsem2005

Lecture 1

Structural recursion and induction

Structural recursion and induction

position

Structural recursion and induction

positionality

Structural recursion and induction

Compositionality

Structural recursion and induction

Compositionality

is crucial in [programming language] semantics

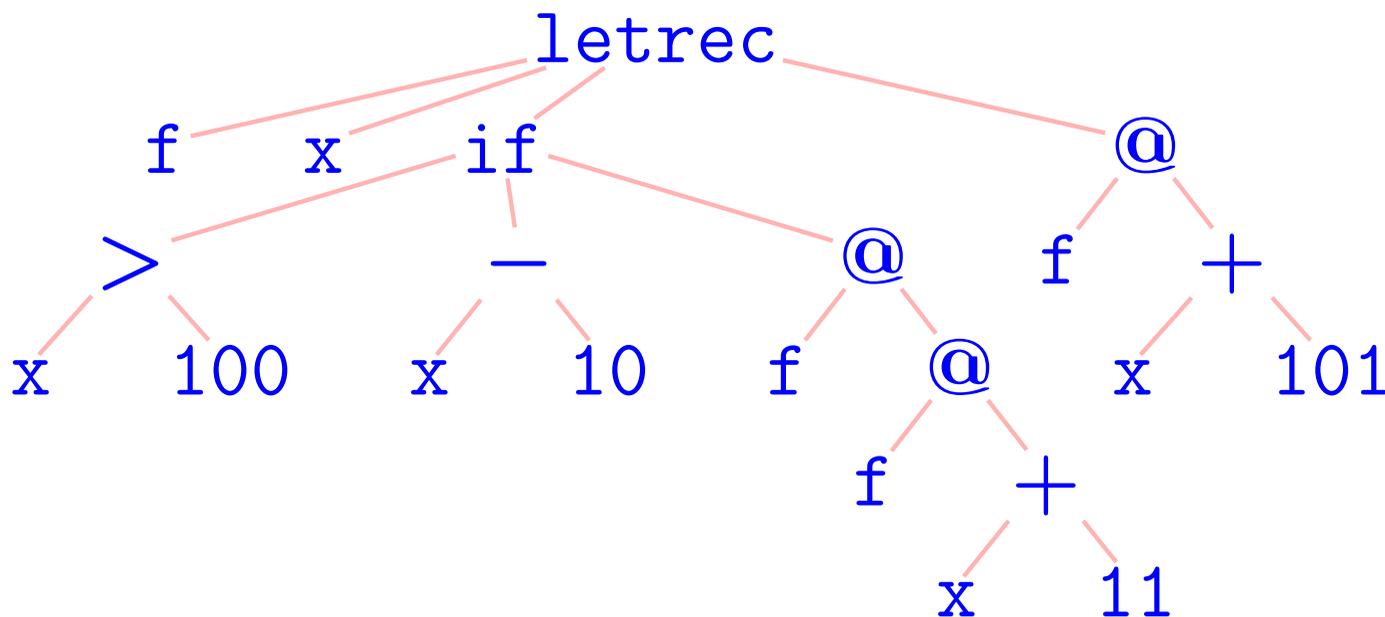
—it's preferable to give meaning to program constructions rather than just to whole programs.

Structural recursion and induction

In particular, as far as semantics is concerned,
concrete syntax

```
letrec f x = if x > 100 then x - 10  
else f ( f ( x + 11 ) ) in f ( x + 100 )
```

is unimportant compared to **abstract syntax** (ASTs):



Structural recursion and induction

ASTs enable two fundamental (and inter-linked) tools in programming language semantics:

- Definition of functions on syntax by **recursion on its structure**.
- Proof of properties of syntax by **induction on its structure**.

Running example

Concrete syntax:

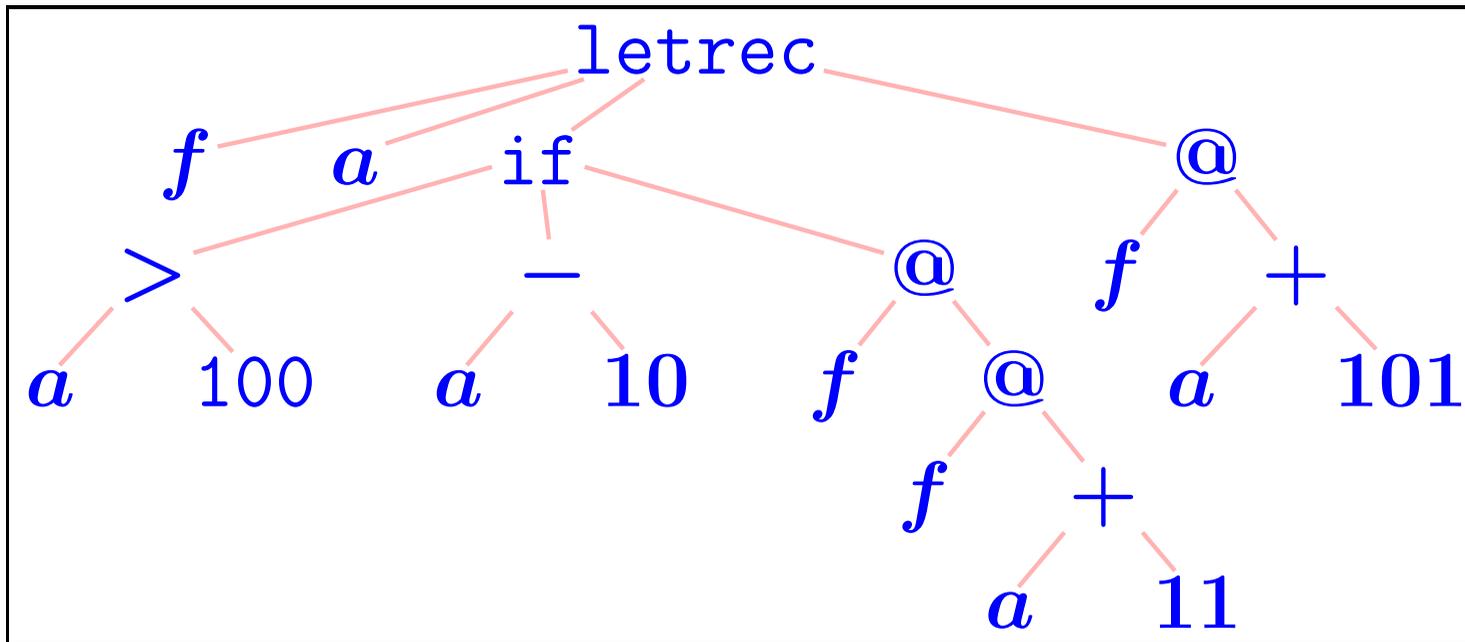
$$t ::= a \mid t t \mid \lambda a.t \mid \text{letrec } a a = t \text{ in } t$$

ASTs:

$$\Lambda \triangleq \mu S.(\mathbb{V} + (S \times S) + (\mathbb{V} \times S) + (\mathbb{V} \times \mathbb{V} \times S \times S))$$

where \mathbb{V} is some fixed, countably infinite set (of names a of variables).

$\text{letrec } f \ a = \text{ if } a > 100 \text{ then } a - 10$
 $\qquad \qquad \qquad \text{else } f(f(a + 11))$
 $\text{in } f(a + 101)$



Structural recursion for Λ

Given a set S

and functions

$$\left\{ \begin{array}{l} f_V : \mathbb{V} \rightarrow S \\ f_A : S \times S \rightarrow S \\ f_L : \mathbb{V} \times S \rightarrow S \\ f_F : \mathbb{V} \times \mathbb{V} \times S \times S \rightarrow S, \end{array} \right.$$

there is a unique function $\hat{f} : \Lambda \rightarrow S$ satisfying

$$\begin{aligned} \hat{f} a_1 &= f_V a_1 \\ \hat{f}(t_1 t_2) &= f_A(\hat{f} t_1, \hat{f} t_2) \\ \hat{f}(\lambda a_1. t_1) &= f_L(a_1, \hat{f} t_1) \\ \hat{f}(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) &= f_F(a_1, a_2, \hat{f} t_1, \hat{f} t_2) \end{aligned}$$

for all $a_1, a_2 \in \mathbb{V}$ and $t_1, t_2 \in \Lambda$.

Structural recursion for Λ

A more complicated version (“primitive recursion” instead of “iteration”) is derivable:

$$\begin{aligned} \hat{g} a_1 &= g_V a_1 \\ \hat{g}(t_1 t_2) &= g_A(t_1, t_2, \hat{g} t_1, \hat{g} t_2) \\ \hat{g}(\lambda a_1. t_1) &= g_L(a_1, t_1, \hat{g} t_1) \\ \hat{g}(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) &= g_F(a_1, a_2, t_1, t_2, \hat{g} t_1, \hat{g} t_2) \end{aligned}$$

$$\begin{aligned} \hat{f} a_1 &= f_V a_1 \\ \hat{f}(t_1 t_2) &= f_A(\hat{f} t_1, \hat{f} t_2) \\ \hat{f}(\lambda a_1. t_1) &= f_L(a_1, \hat{f} t_1) \\ \hat{f}(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) &= f_F(a_1, a_2, \hat{f} t_1, \hat{f} t_2) \end{aligned}$$

for all $a_1, a_2 \in \mathbb{V}$ and $t_1, t_2 \in \Lambda$.

Finite set of free variables $fv\ t$ of an AST t :

$$fv\ a_1 \triangleq \{a_1\}$$

$$fv(t_1\ t_2) \triangleq (fv\ t_1) \cup (fv\ t_2)$$

$$fv(\lambda a_1.t_1) \triangleq (fv\ t_1) - \{a_1\}$$

$$fv(\text{letrec } a_1\ a_2 = t_1\ \text{in } t_2) \triangleq (fv\ t_1) - \{a_1, a_2\} \\ \cup (fv\ t_2) - \{a_1\}$$

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defined by structural recursion using

- $S \triangleq P_{\text{fin}}(\mathbb{V})$ (finite sets of variables),
- $f_V\ a_1 \triangleq \{a_1\}$,
- $f_A(A_1, A_2) \triangleq A_1 \cup A_2$,
- $f_L(a_1, A_1) \triangleq A_1 - \{a_1\}$,
- $f_F(a_1, a_2, A_1, A_2) \triangleq (A_1 - \{a_1, a_2\}) \cup (A_2 - \{a_1\})$.

Finite set of all variables $\text{var } t$ of an AST t :

$$\text{var } a_1 \triangleq \{a_1\}$$

$$\text{var}(t_1 t_2) \triangleq (\text{var } t_1) \cup (\text{var } t_2)$$

$$\text{var}(\lambda a_1.t_1) \triangleq (\text{var } t_1) \cup \{a_1\}$$

$$\text{var}(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) \triangleq \{a_1, a_2\} \cup (\text{var } t_1) \\ \cup (\text{var } t_2)$$

$t\{b/a\} \triangleq$ replace all occurrences of a with b in an AST t :

- $a_1\{b/a\} \triangleq$ if $a_1 = a$ then b else a_1
- $(t_1 t_2)\{b/a\} \triangleq (t_1\{b/a\}) (t_2\{b/a\})$
- $(\lambda a_1. t_1)\{b/a\} \triangleq \lambda a_1\{b/a\}. t_1\{b/a\}$
- $(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) \triangleq$
 $\text{letrec } (a_1\{b/a\})(a_2\{b/a\}) = t_1\{b/a\} \text{ in } t_2\{b/a\}$

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there is a unique function $\hat{f} : \Lambda \rightarrow S$ satisfying

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for all $a_1, a_2 \in \mathbb{V}$ and $t_1, t_2 \in \Lambda$.

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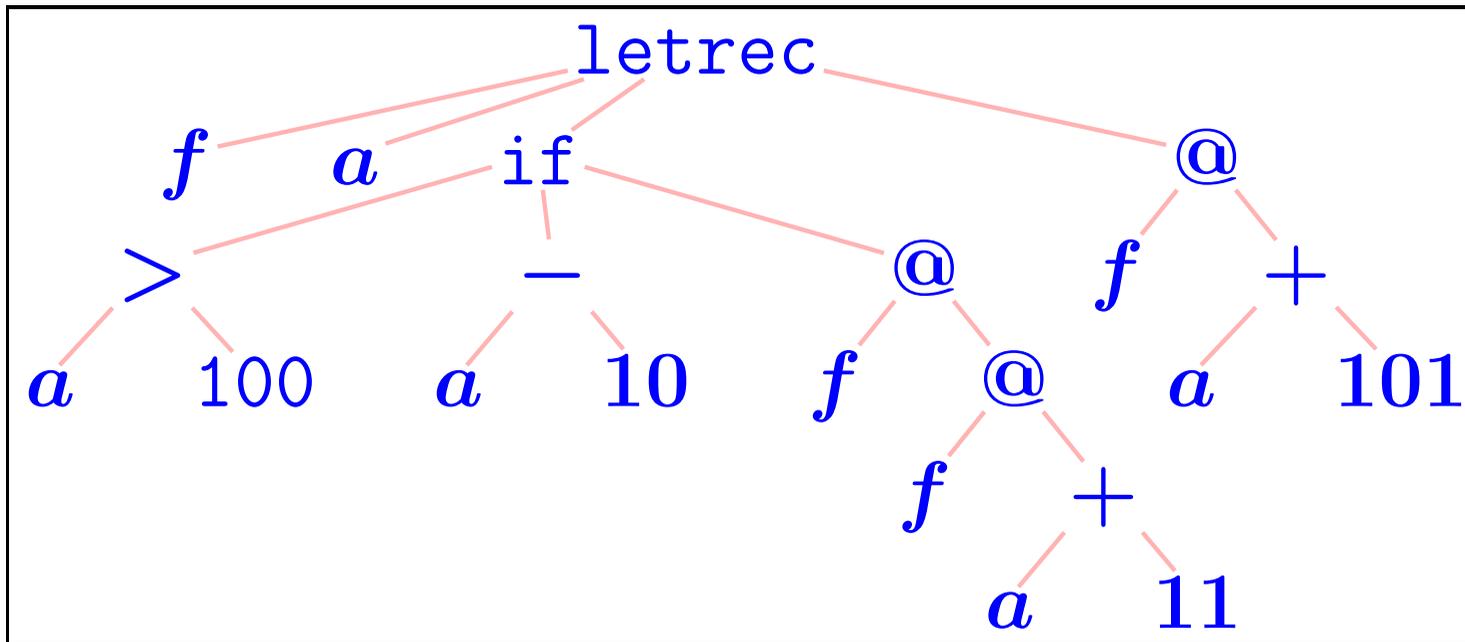
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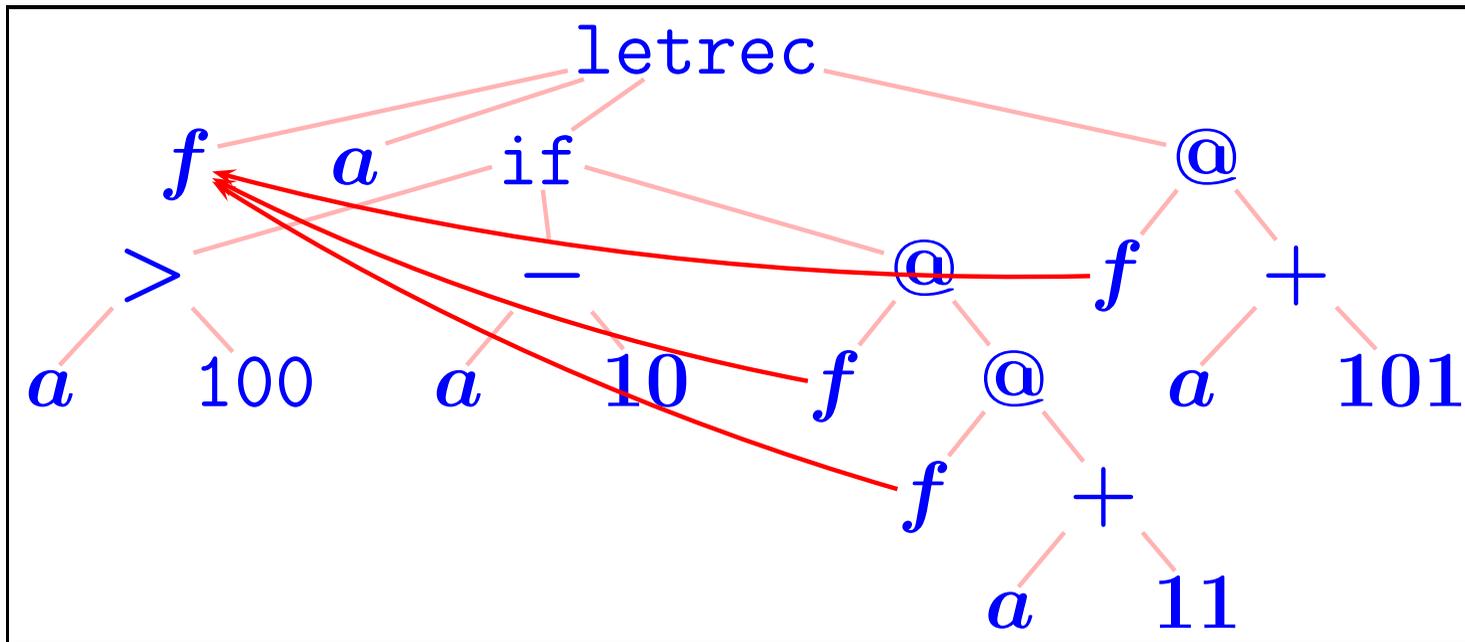
$a_1, a_2 \in \mathbb{V}$ and $t_1, t_2 \in \Lambda$.

Doesn't take binding into account!

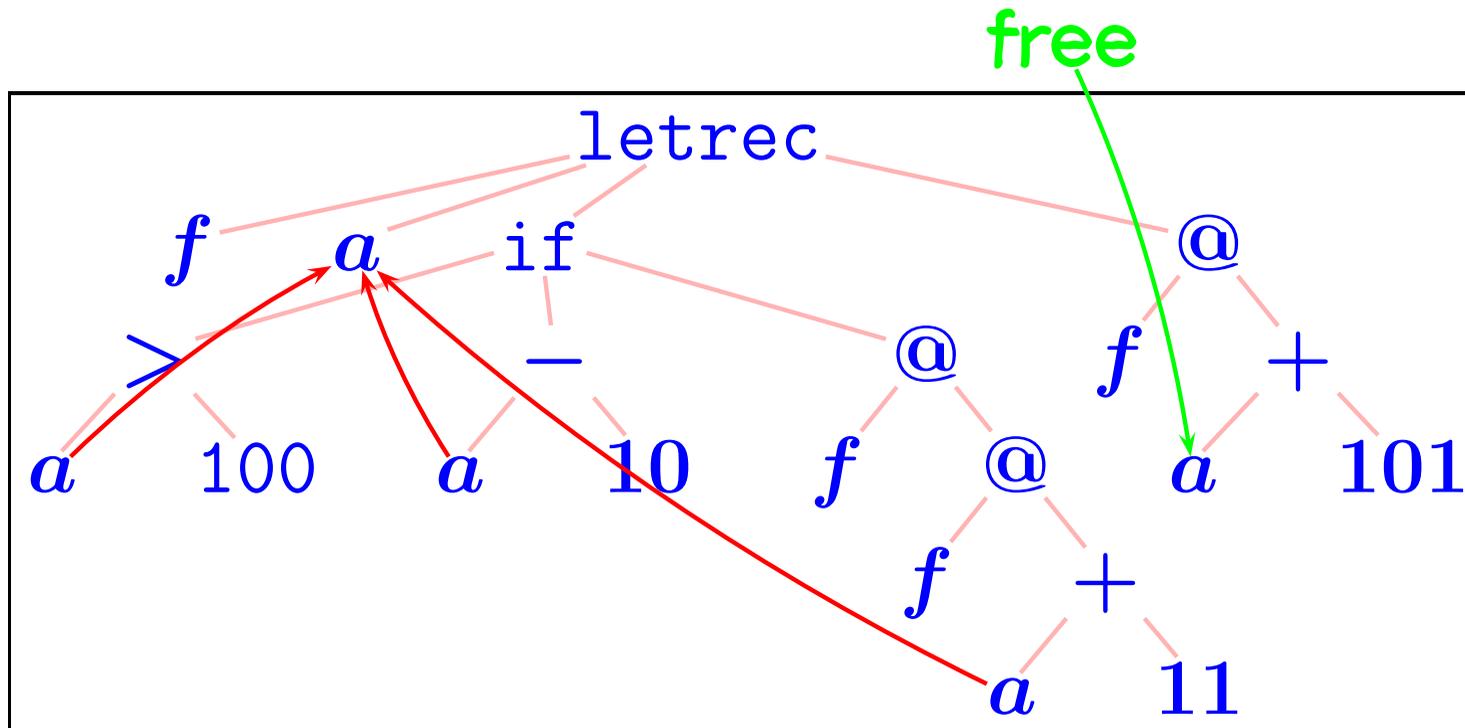
$\text{letrec } f \ a = \text{ if } a > 100 \text{ then } a - 10$
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 $\text{in } f(a + 101)$



letrec *f* *a* = if *a* > 100 then *a* - 10
 else *f*(*f*(*a* + 11))
 in *f*(*a* + 101)



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α -Equivalence

Smallest binary relation $=_\alpha$ on Λ closed under the rules:

$$\frac{a \in \mathbb{V}}{a =_\alpha a}$$

$$\frac{t_1 =_\alpha t'_1 \quad t_2 =_\alpha t'_2}{t_1 t_2 =_\alpha t'_1 t'_2}$$

$$\frac{t_1 \{a''_1/a_1\} =_\alpha t'_1 \{a''_1/a'_1\} \quad a''_1 \notin \text{var}(a_1, t_1, a'_1, t'_1)}{\lambda a_1. t_1 =_\alpha \lambda a'_1. t'_1}$$

$$\frac{\begin{array}{l} t_1 \{a''_1, a''_2/a_1, a_2\} =_\alpha t'_1 \{a''_1, a''_2/a'_1, a'_2\} \\ t_2 \{a''_1/a_1\} =_\alpha t'_2 \{a''_1/a'_1\} \\ a''_1 \neq a''_2 \quad a''_1, a''_2 \notin \text{var}(a_1, a_2, t_1, t_2, a'_1, a'_2, t'_1, t'_2) \end{array}}{\text{letrec } a_1 a_2 = t_1 \text{ in } t_2 =_\alpha \text{letrec } a'_1 a'_2 = t'_1 \text{ in } t'_2}$$

Exercise: prove that $=_\alpha$ is transitive (and reflexive and symmetric).

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Abstract syntax / α

Dealing with issues to do with **binders** and **α -conversion** is

- irritating (want to get on with more interesting aspects of semantics!)
- pervasive (very many languages involve binding operations; cf. POPLMark Challenge [TPHOLs '05])
- difficult to formalise/mechanise without losing sight of common informal practice:

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“We identify expressions up to α -equivalence”...

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“We identify expressions up to α -equivalence”...
... and then forget about it, referring to α -equivalence classes $e = [t]_\alpha$ only via representatives, t .

For example...

E.g. – capture-avoiding substitution

$(a := e)e_1$ = substitute $e \in \Lambda / =_\alpha$ for all free occurrences of a in $e_1 \in \Lambda / =_\alpha$, **avoiding capture** of free variables in e by binders in e_1 .

E.g. – capture-avoiding substitution

- $(a := e)a_1 \triangleq$ if $a_1 = a$ then e else a_1
- $(a := e)(e_1 e_2) \triangleq ((a := e)e_1)((a := e)e_2)$
- $(a := e)(\lambda a_1.e_1) \triangleq$
if $a_1 \notin fv(a, e)$ then $\lambda a_1.(a := e)e_1$
else don't care!
- $(a := e)(\text{letrec } a_1 a_2 = e_1 \text{ in } e_2) \triangleq ?$

E.g. – capture-avoiding substitution

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- $(a := e)(\text{letrec } a_1 a_2 = e_1 \text{ in } e_2) \triangleq$
if $a_1, a_2 \notin fv(a, e) \ \& \ a_2 \notin fv(a_1, e_2)$
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then $\text{letrec } a_1 a_2 = (a := e)e_1 \text{ in } (a := e)e_2$
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Does uniquely specify a well-defined function on α -equivalence classes,
 $(a := e)(-) : \Lambda/\alpha \rightarrow \Lambda/\alpha$, but not via an obvious, structurally recursive definition
of a function $\hat{f} : \Lambda \rightarrow \Lambda$ respecting α -equivalence.

E.g. – denotational semantics

of Λ/α in some suitable domain D :

- $\llbracket a_1 \rrbracket \rho \triangleq \rho(a_1)$
- $\llbracket e_1 e_2 \rrbracket \rho \triangleq app(\llbracket e_1 \rrbracket \rho, \llbracket e_2 \rrbracket \rho)$
- $\llbracket \lambda a_1. e_1 \rrbracket \rho \triangleq fun(\lambda d \in D. \llbracket e_1 \rrbracket (\rho[a_1 \mapsto d]))$
- $\llbracket letrec\ a_1\ a_2 = e_1\ in\ e_2 \rrbracket \rho \triangleq \dots$

where

- ρ ranges over environments mapping variables to elements of D
- D comes equipped with continuous functions $app : D \times D \rightarrow D$ and $fun : (D \rightarrow D) \rightarrow D$.

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- $\llbracket \text{letrec } a_1 a_2 = e_1 \text{ in } e_2 \rrbracket \rho \triangleq \dots$

Why is this (very standard) definition independent of the choice of bound variable a_1 ?

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In this case we can use ordinary structural recursion to first define denotations of ASTs and then prove that they respect α -equivalence.

But is there a quicker way, working directly with ASTs/ α ?

α -Structural recursion

Is there a recursion principle for Λ/α that legitimises these “definitions” of $(a := e)(-): \Lambda/\alpha \rightarrow \Lambda/\alpha$ and $[-]: \Lambda/\alpha \rightarrow D$ (and many other e.g.s)?

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Yes! — α -structural recursion
(and induction too—see lecture notes).

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Yes! — available for any **nominal signature**.

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Great. What’s the catch?

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Yes! — α -structural recursion
(and induction too—see lecture notes).

What about other languages with binders?

Yes! — available for any **nominal signature**.

Great. What’s the catch?

Need to learn a bit of possibly unfamiliar math, to do with **permutations** and **support**.

Pause

Running example (reminder)

Concrete syntax:

$$t ::= a \mid t t \mid \lambda a.t \mid \text{letrec } a a = t \text{ in } t$$

ASTs:

$$\Lambda \triangleq \mu S.(\mathbb{V} + (S \times S) + (\mathbb{V} \times S) + (\mathbb{V} \times \mathbb{V} \times S \times S))$$

where \mathbb{V} is some fixed, countably infinite set (of names a of variables).

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there is a unique function $\hat{f} : \Lambda \rightarrow S$ satisfying

$$\begin{aligned} \hat{f} a_1 &= f_V a_1 \\ \hat{f}(t_1 t_2) &= f_A(\hat{f} t_1, \hat{f} t_2) \\ \hat{f}(\lambda a_1. t_1) &= f_L(a_1, \hat{f} t_1) \\ \hat{f}(\text{letrec } a_1 a_2 = t_1 \text{ in } t_2) &= f_F(a_1, a_2, \hat{f} t_1, \hat{f} t_2) \end{aligned}$$

for all $a_1, a_2 \in \mathbb{V}$ and $t_1, t_2 \in \Lambda$.

α -Structural recursion for Λ/α

Given a **nominal** set X

and functions

$$\left\{ \begin{array}{l} f_V : \mathbb{V} \rightarrow X \\ f_A : X \times X \rightarrow X \\ f_L : \mathbb{V} \times X \rightarrow X \\ f_F : \mathbb{V} \times \mathbb{V} \times X \times X \rightarrow X, \end{array} \right.$$

all **supported** by a finite subset $A \subseteq \mathbb{V}$,

there is a unique function $\hat{f} : \Lambda/\alpha \rightarrow X$
such that...

α -Structural recursion for Λ/α

... $\exists!$ function $\hat{f} : \Lambda/\alpha \rightarrow X$ such that:

$$\hat{f} a_1 = f_V a_1$$

$$\hat{f}(e_1 e_2) = f_A(\hat{f} e_1, \hat{f} e_2)$$

$$a_1 \notin A \Rightarrow \hat{f}(\lambda a_1. e_1) = f_L(a_1, \hat{f} e_1)$$

$$a_1, a_2 \notin A \ \& \ a_1 \neq a_2 \ \& \ a_2 \notin fv(e_2) \Rightarrow$$

$$\hat{f}(\text{letrec } a_1 \ a_2 = e_1 \ \text{in } e_2) = f_F(a_1, a_2, \hat{f} e_1, \hat{f} e_2)$$

for all $a_1, a_2 \in \mathbb{V}$ & $e_1, e_2 \in \Lambda/\alpha$,

α -Structural recursion for Λ/α

... $\exists!$ function $\hat{f} : \Lambda/\alpha \rightarrow X$ such that:

$$\hat{f} a_1 = f_V a_1$$

$$\hat{f}(e_1 e_2) = f_A(\hat{f} e_1, \hat{f} e_2)$$

$$a_1 \notin A \Rightarrow \hat{f}(\lambda a_1. e_1) = f_L(a_1, \hat{f} e_1)$$

$$a_1, a_2 \notin A \ \& \ a_1 \neq a_2 \ \& \ a_2 \notin fv(e_2) \Rightarrow$$

$$\hat{f}(\text{letrec } a_1 a_2 = e_1 \text{ in } e_2) = f_F(a_1, a_2, \hat{f} e_1, \hat{f} e_2)$$

provided **freshness condition for binders (FCB)** holds

for f_L : $(\exists a_1 \notin A)(\forall x \in X) a_1 \# f_L(a_1, x)$

for f_F : $(\exists a_1, a_2 \notin A) a_1 \neq a_2 \ \&$

$(\forall x_1, x_2 \in X) a_2 \# x_1 \Rightarrow$

$a_1, a_2 \# f_F(a_1, a_2, x_1, x_2)$

α -Structural recursion for Λ/α

The **freshness** relation $(-) \# (-)$ between names and elements of nominal sets generalises the $(-) \notin fv(-)$ relation between variables and ASTs.

E.g. for the capture-avoiding substitution example, $f_L(a_1, e) \triangleq \lambda a_1. e$ and (FCB) holds trivially because $a_1 \notin fv(\lambda a_1. e)$ (and similarly for f_F).

provided freshness condition for binders (FCB) holds

for f_L : $(\exists a_1 \notin A)(\forall x \in X) a_1 \# f_L(a_1, x)$

for f_F : $(\exists a_1, a_2 \notin A) a_1 \neq a_2 \ \&$
 $(\forall x_1, x_2 \in X) a_2 \# x_1 \Rightarrow$
 $a_1, a_2 \# f_F(a_1, a_2, x_1, x_2)$

To be explained:

- Nominal sets, support and the freshness relation, $(-) \# (-)$.
- How is α -structural recursion proved?
- How to generalise α -structural recursion from the example language Λ to general languages with binders?
- What's involved with applying α -structural recursion in any particular case?
- Example: normalisation by evaluation.
- Machine-assisted support?

Atoms

From now on assume bindable names in ASTs are drawn from a fixed, countably infinite set \mathbb{A} (elements called **atoms**)

Need different flavours of names (variables, references, channels, nonces, ...), so assume

- \mathbb{A} is partitioned into countably infinite number of **sorts**.

Write $\text{sort}(a)$ for the sort of $a \in \mathbb{A}$.

- There are infinitely many atoms of each sort.

Atoms

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The mathematical model of bindable names we use is very abstract: in the world of nominal sets, the only attributes of an atom are **identity** and **sort**.

Probably interesting & pragmatically useful to consider more structured atoms (!), e.g. linearly ordered ones, but we don't do that here.

Permutations

Set \boxed{Perm} of **atom-permutations** consists of all bijections $\pi : \mathbb{A} \leftrightarrow \mathbb{A}$ such that

- $\{a \in \mathbb{A} \mid \pi(a) \neq a\}$ is finite
- $sort(\pi(a)) = sort(a)$ (all $a \in \mathbb{A}$).

$Perm$ is a group:

- multiplication $\pi \pi' =$ function composition $\pi \circ \pi'$:
 $\pi \circ \pi'(a) \triangleq \pi(\pi'(a))$
- identity element $\iota =$ identity function on \mathbb{A}
- inverse π^{-1} of $\pi \in Perm$ is inverse qua function.

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Given $a_1, a_2 \in \mathbb{A}$ with $sort(a_1) = sort(a_2)$, **transposition** $\boxed{(a_1 a_2)}$ is the $\pi \in Perm$ given by

$$\pi(a) \triangleq \begin{cases} a_2 & \text{if } a = a_1 \\ a_1 & \text{if } a = a_2 \\ a & \text{otherwise} \end{cases}$$

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Exercise: prove that every $\pi \in Perm$ can be expressed as a composition of (finitely many) transpositions.

Actions of permutations

An **action** of $Perm$ on a set S is a function

$$Perm \times S \rightarrow S \quad \text{written} \quad (\pi, s) \mapsto \pi \cdot s$$

satisfying $\iota \cdot s = s$ and $\pi \cdot (\pi' \cdot s) = (\pi\pi') \cdot s$

A **$Perm$ -set** is a set S equipped with an action of $Perm$ on S .

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Three simple examples of $Perm$ -sets:

- Natural numbers \mathbb{N} with **trivial** action: $\pi \cdot n = n$.
- \mathbb{A} with action: $\pi \cdot a = \pi(a)$.
- $Perm$ itself with **conjugation** action:
 $\pi \cdot \pi' = \pi \circ \pi' \circ \pi^{-1}$.

More examples in a mo.

Finite support

Definition. A finite subset $A \subseteq \mathbb{A}$ **supports** an element $s \in S$ of a *Perm*-set S if

$$(a a') \cdot s = s$$

holds for all $a, a' \in \mathbb{A}$ (of same sort) not in A

A **nominal set** is a *Perm*-set all of whose elements have a finite support.

Lemma. If $s \in S$ has a finite support, then it has a smallest one, written $\text{supp}(s)$.

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Pick any a'' (of same sort) in the infinite set $\mathbb{A} - (A_1 \cup A_2 \cup \{a, a'\})$. Then

$$(a a') = (a a'') \circ (a' a'') \circ (a a'')$$

is a composition of transpositions each of which fixes s . □

Freshness relation

Given nominal sets X and Y and elements $x \in X$
and $y \in Y$,

write $x \# y$ to mean $\text{supp}(x) \cap \text{supp}(y) = \emptyset$.

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Hence

Key fact for atoms a and a' of the same sort:

$$(a, a') \# x \Rightarrow (a a') \cdot x = x$$

Languages/ α form nominal sets

For example, there's a *Perm*-action on Λ/α satisfying:

$$\pi \cdot a = \pi(a)$$

$$\pi \cdot (e_1 e_2) = (\pi \cdot e_1)(\pi \cdot e_2)$$

$$\pi \cdot (\lambda a.e) = \lambda \pi(a).(\pi \cdot e)$$

$$\begin{aligned} \pi \cdot (\text{letrec } a_1 a_2 = e_1 \text{ in } e_2) = \\ \text{letrec } \pi(a_1) \pi(a_2) = \pi \cdot e_1 \text{ in } \pi \cdot e_2 \end{aligned}$$

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N.B. binding and non-binding constructs are treated just the same

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Proof (exercise) First define $\pi \cdot (-) : \Lambda \rightarrow \Lambda$ by structural recursion, and then prove that $t =_\alpha t' \Rightarrow (\forall \pi \in \text{Perm}) \pi \cdot t =_\alpha \pi \cdot t'$.

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For this action, it is not hard to see (exercise) that $e \in \Lambda/\alpha$ is supported by any finite set of variables containing all those occurring free in e and hence

$$a \# e \text{ iff } a \notin \text{fv}(e).$$

End of lecture 1