# DATABASE THEORY 

## Lecture 2: First-Order Queries

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## What is a Query?

The relational queries considered so far produced a result table from a database.
Other query languages can be completely different, but they usually agree on this:

## Definition 2.1:

- Syntax: a query expression $q$ is a word from a query language (algebra expression, logical expression, etc.)
- Semantics: a query mapping $M[q]$ is a function that maps a database instance $I$ to a database table $M[q](\mathcal{I})$
$\leadsto$ for some semantics, query mappings are not defined on all database instances


## Generic Queries

We only consider queries that do not depend on the concrete names given to constants in the database:

Definition 2.2: A query $q$ is generic if, for every bijective renaming function $\mu:$ dom $\rightarrow$ dom and database instance $I$ :

$$
\mu(M[q](\mathcal{I}))=M[\mu(q)](\mu(\mathcal{I})) .
$$

In this case, $M[q]$ is closed under isomorphisms.

## Review: Example from Previous Lecture

Lines:

| Line | Type |
| :--- | :--- |
| 85 | bus |
| 3 | tram |
| F1 | ferry |
| $\ldots$ | $\ldots$ |

Stops:

| SID | Stop | Accessible |
| :--- | :--- | :--- |
| 17 | Hauptbahnhof | true |
| 42 | Helmholtzstr. | true |
| 57 | Stadtgutstr. | true |
| 123 | Gustav-Freytag-Str. | false |
| $\ldots$ | $\ldots$ | $\ldots$ |

Connect:

| From | To | Line |
| :--- | :--- | :--- |
| 57 | 42 | 85 |
| 17 | 789 | 3 |
| $\ldots$ | $\ldots$ | $\ldots$ |

Every table has a schema:

- Lines[Line:string, Type:string]
- Stops[SID:int, Stop:string, Accessible:bool]
- Connect[From:int, To:int, Line:string]


## First-order Logic as a Query Language

Idea: database instances are finite first-order interpretations
$\leadsto$ use first-order formulae as query language
$\leadsto$ use unnamed perspective (more natural here)
Examples (using schema as in previous lecture):

- Find all bus lines: Lines( $x$, "bus")
- Find all possible types of lines: $\exists y$.Lines $(y, x)$
- Find all lines that depart from an accessible stop:

$$
\exists y_{\text {SID }}, y_{\text {Stop }}, y_{\text {To }} .\left(\operatorname{Stops}\left(y_{\text {SID }}, y_{\text {Stop }}, " \text { true } "\right) \wedge \operatorname{Connect}\left(y_{\text {SID }}, y_{\text {To }}, x_{\text {Line }}\right)\right)
$$

## First-order Logic with Equality: Syntax

Basic building blocks:

- Predicate names with an arity $\geq 0: p, q$, Lines, Stops
- Variables: $x, y, z$
- Constants: $a, b, c$
- Terms are variables or constants: $s, t$

Formulae of first-order logic are defined as usual:

$$
\varphi::=p\left(t_{1}, \ldots, t_{n}\right)\left|t_{1} \approx t_{2}\right| \neg \varphi|\varphi \wedge \varphi| \varphi \vee \varphi|\exists x . \varphi| \forall x . \varphi
$$

where $p$ is an $n$-ary predicate, $t_{i}$ are terms, and $x$ is a variable.

- An atom is a formula of the form $p\left(t_{1}, \ldots, t_{n}\right)$
- A literal is an atom or a negated atom
- Occurrences of variables in the scope of a quantifier are bound; other occurrences of variables are free


## First-order Logic Syntax: Simplifications

We use the usual shortcuts and simplifications:

- flat conjunctions $\left(\varphi_{1} \wedge \varphi_{2} \wedge \varphi_{3}\right.$ instead of $\left.\left(\varphi_{1} \wedge\left(\varphi_{2} \wedge \varphi_{3}\right)\right)\right)$
- flat disjunctions (similar)
- flat quantifiers ( $\exists x, y, z . \varphi$ instead of $\exists x . \exists y . \exists z . \varphi$ )
- $\varphi \rightarrow \psi$ as shortcut for $\neg \varphi \vee \psi$
- $\varphi \leftrightarrow \psi$ as shortcut for $(\varphi \rightarrow \psi) \wedge(\psi \rightarrow \varphi)$
- $t_{1} \not \approx t_{2}$ as shortcut for $\neg\left(t_{1} \approx t_{2}\right)$

But we always use parentheses to clarify nesting of $\wedge$ and $\vee$ :
No " $\varphi_{1} \wedge \varphi_{2} \vee \varphi_{3}$ "!

## First-order Logic with Equality: Semantics

First-order formulae are evaluated over interpretations $\left\langle\Delta^{I},{ }^{I}\right\rangle$, where $\Delta^{I}$ is the domain. To interpret formulas with free variables, we need a variable assignment $\mathcal{Z}: \operatorname{Var} \rightarrow \Delta^{I}$.

- constants $a$ interpreted as $a^{I, Z}=a^{I} \in \Delta^{I}$
- variables $x$ interpreted as $x^{I, Z}=Z(x) \in \Delta^{I}$
- $n$-ary predicates $p$ interpreted as $p^{I} \subseteq\left(\Delta^{I}\right)^{n}$


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A formula $\varphi$ can be satisfied by $\mathcal{I}$ and $\mathcal{Z}$, written $\mathcal{I}, \mathcal{Z} \vDash \varphi$ :

- $I, \mathcal{Z} \vDash p\left(t_{1}, \ldots, t_{n}\right)$ if $\left\langle t_{1}^{I, Z}, \ldots, t_{n}^{I, Z}\right\rangle \in p^{I}$
- $I, \mathcal{Z} \vDash t_{1} \approx t_{2}$ if $t_{1}^{I, Z}=t_{2}^{I, Z}$
- $I, \mathcal{Z} \vDash \neg \varphi$ if $I, \mathcal{Z} \neq \varphi$
- $I, \mathcal{Z} \vDash \varphi \wedge \psi$ if $I, \mathcal{Z} \vDash \varphi$ and $I, \mathcal{Z} \vDash \psi$
- $I, \mathcal{Z} \vDash \varphi \vee \psi$ if $I, \mathcal{Z} \vDash \varphi$ or $I, \mathcal{Z} \vDash \psi$
- $\mathcal{I}, \mathcal{Z} \vDash \exists x . \varphi$ if there is $\delta \in \Delta^{I}$ with $\mathcal{I},\{x \mapsto \delta\}, \mathcal{Z} \vDash \varphi$
- $\mathcal{I}, \mathcal{Z} \vDash \forall x . \varphi$ if for all $\delta \in \Delta^{I}$ we have $\mathcal{I},\{x \mapsto \delta\}, \mathcal{Z} \vDash \varphi$


## First-order Logic Queries

Definition 2.3: An $n$-ary first-order query $q$ is an expression $\varphi\left[x_{1}, \ldots, x_{n}\right]$ where $x_{1}, \ldots, x_{n}$ are exactly the free variables of $\varphi$ (in a specific order).

Definition 2.4: An answer to $q=\varphi\left[x_{1}, \ldots, x_{n}\right]$ over an interpretation $I$ is a tuple $\left\langle a_{1}, \ldots, a_{n}\right\rangle$ of constants such that

$$
I \vDash \varphi\left[x_{1} / a_{1}, \ldots, x_{n} / a_{n}\right]
$$

where $\varphi\left[x_{1} / a_{1}, \ldots, x_{n} / a_{n}\right]$ is $\varphi$ with each free $x_{i}$ replaced by $a_{i}$.
The result of $q$ over $I$ is the set of all answers of $q$ over $I$.

## Boolean Queries

A Boolean query is a query of arity 0
$\leadsto$ we simply write $\varphi$ instead of $\varphi[]$
$\leadsto \varphi$ is a closed formula (a.k.a. sentence)
What does a Boolean query return?

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What does a Boolean query return?

Two possible cases:

- $I \not \vDash \varphi$, then the result of $\varphi$ over $I$ is $\emptyset$ (the empty table)
- $I \vDash \varphi$, then the result of $\varphi$ over $I$ is $\{\rangle\}$ (the unit table)

Interpreted as Boolean check with result true or false (match or no match)

## Domain Dependence

We have defined FO queries over interpretations
$\leadsto$ How exactly do we get from databases to interpretations?

- Constants are just interpreted as themselves: $a^{I}=a$
- Predicates are interpreted according to the table contents
- But what is the domain of the interpretation?


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Example 2.5: What should the following queries return?
(1) $\neg \operatorname{Lines}(x$, "bus")[x]
(2) $\left(\right.$ Connect $\left(x_{1}, " 42 ", ~ " 85 "\right) \vee \operatorname{Connect("57",~} x_{2}$, " $\left.\left.85 "\right)\right)\left[x_{1}, x_{2}\right]$
(3) $\forall y . p(x, y)[x]$

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(3) $\forall y . p(x, y)[x]$
$\leadsto$ Answers depend on the interpretation domain, not just on the database contents

## Natural Domain

First possible solution: the natural domain

Natural domain semantics (ND):

- fix the interpretation domain to dom (infinite)
- query answers might be infinite (not a valid result table)
$\leadsto$ query result undefined for such databases


## Natural Domain: Examples

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Undefined on all databases
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Undefined on databases with matching $x_{1}$ or $x_{2}$ in Connect, otherwise empty
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Empty on all databases

## Active Domain

Alternative: restrict to constants that are really used
$\leadsto$ active domain

- for a database instance $I$, adom( $\mathcal{I}$ ) is the set of constants used in relations of $I$
- for a query $q$, adom $(q)$ is the set of constants in $q$
- $\operatorname{adom}(I, q)=\operatorname{adom}(I) \cup \operatorname{adom}(q)$

Active domain semantics (AD):
consider database instance as interpretation over adom( $\mathcal{I}, q$ )

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The answer is $M\left[\varphi_{1}\right](I) \times \operatorname{adom}(I, q) \cup \operatorname{adom}(I, q) \times M\left[\varphi_{2}\right](I)$

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(3) $\forall y . p(x, y)[x] \leadsto$ see board

## Domain Independence

Observation: some queries do not depend on the domain

- $\operatorname{Stops}(x, y$, "true") $[x, y]$
- $(x \approx a)[x]$
- $p(x) \wedge \neg q(x)[x]$
- $r(x) \wedge \forall y .(q(x, y) \rightarrow p(x, y))[x] \quad$ (exercise: why?)

In contrast, all example queries on the previous few slides are not domain independent

Domain independent semantics (DI):
consider only domain independent queries
use any domain adom $(I, q) \subseteq \Delta^{I} \subseteq$ dom for interpretation

## How to Compare Query Languages

We have seen three ways of defining FO query semantics
$\leadsto$ how to compare them?

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Definition 2.6: The set of query mappings that can be described in a query language $L$ is denoted $\mathbf{Q M}(\mathrm{L})$.

- $L_{1}$ is subsumed by $L_{2}$, written $L_{1} \sqsubseteq L_{2}$, if $\mathbf{Q M}\left(L_{1}\right) \subseteq \mathbf{Q M}\left(L_{2}\right)$
- $L_{1}$ is equivalent to $L_{2}$, written $L_{1} \equiv L_{2}$, if $\mathbf{Q M}\left(L_{1}\right)=\mathbf{Q M}\left(L_{2}\right)$

We will also compare query languages under named perspective with query languages under unnamed perspective.
This is possible since there is an easy one-to-one correspondence between query mappings of either kind (see exercise).

## Equivalence of Relational Query Languages

Theorem 2.7: The following query languages are equivalent:

- Relational algebra RA
- FO queries under active domain semantics AD
- Domain independent FO queries DI

This holds under named and under unnamed perspective.

To prove it, we will show:

$$
\mathrm{RA}_{\text {named }} \sqsubseteq \mathrm{Dl}_{\text {unnamed }} \sqsubseteq \mathrm{AD}_{\text {unnamed }} \sqsubseteq \mathrm{RA}_{\text {named }}
$$

## $\mathrm{RA}_{\text {named }} \sqsubseteq \mathrm{Dl}_{\text {unnamed }}$

For a given RA query $q\left[a_{1}, \ldots, a_{n}\right]$,
we recursively construct a DI query $\varphi_{q}\left[x_{a_{1}}, \ldots, x_{a_{n}}\right]$ as follows:
We assume without loss of generality that all attribute lists in RA expressions respect the global order of attributes.

- if $q=R$ with signature $R\left[a_{1}, \ldots, a_{n}\right]$


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- if $n=1$ and $q=\left\{\left\{a_{1} \mapsto c\right\}\right\}$


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- if $n=1$ and $q=\left\{\left\{a_{1} \mapsto c\right\}\right\}$, then $\varphi_{q}=\left(x_{a_{1}} \approx c\right)$
- if $q=\sigma_{a_{i}=c}\left(q^{\prime}\right)$


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- if $q=\sigma_{a_{i}=c}\left(q^{\prime}\right)$, then $\varphi_{q}=\varphi_{q^{\prime}} \wedge\left(x_{a_{i}} \approx c\right)$
- if $q=\sigma_{a_{i}=a_{j}}\left(q^{\prime}\right)$


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- if $q=\delta_{b_{1}, \ldots, b_{n} \rightarrow a_{1}, \ldots, a_{n}} q^{\prime}$, then
$\varphi_{q}=\exists y_{b_{1}}, \ldots, y_{b_{n}} \cdot\left(x_{a_{1}} \approx y_{b_{1}}\right) \wedge \ldots \wedge\left(x_{a_{n}} \approx y_{b_{n}}\right) \wedge \varphi_{q^{\prime}}\left[y_{B_{1}}, \ldots, y_{B_{n}}\right]$
(Here we assume that the $a_{1}, \ldots, a_{n}$ in $\delta_{b_{1}, \ldots, b_{n} \rightarrow a_{1}, \ldots, a_{n}}$ are written in the order of attributes, while $b_{1}, \ldots, b_{n}$ might be in another order. We use $\left\{B_{1}, \ldots, B_{n}\right\}=\left\{b_{1}, \ldots, b_{n}\right\}$ to denote the ordered version of the $b_{i}$ attributes. $\varphi_{q^{\prime}}\left[y_{B_{1}}, \ldots, y_{B_{n}}\right]$ is like $\varphi_{q^{\prime}}$ but using variables $y_{B_{i}}$.)


## $R A_{\text {named }} \sqsubseteq D l_{\text {unnamed }}$ (cont'd)

## Remaining cases:

- if $q=\pi_{a_{1}, \ldots, a_{n}}\left(q^{\prime}\right)$ for a subquery $q^{\prime}\left[b_{1}, \ldots, b_{m}\right]$ with $\left\{b_{1}, \ldots, b_{m}\right\}=\left\{a_{1}, \ldots, a_{n}\right\} \cup\left\{c_{1}, \ldots, c_{k}\right\}$


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- if $q=q_{1} \bowtie q_{2}$


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- if $q=q_{1} \bowtie q_{2}$ then $\varphi_{q}=\varphi_{q_{1}} \wedge \varphi_{q_{2}}$
- if $q=q_{1} \cup q_{2}$


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- if $q=q_{1} \cup q_{2}$ then $\varphi_{q}=\varphi_{q_{1}} \vee \varphi_{q_{2}}$
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- if $q=q_{1} \bowtie q_{2}$ then $\varphi_{q}=\varphi_{q_{1}} \wedge \varphi_{q_{2}}$
- if $q=q_{1} \cup q_{2}$ then $\varphi_{q}=\varphi_{q_{1}} \vee \varphi_{q_{2}}$
- if $q=q_{1}-q_{2}$ then $\varphi_{q}=\varphi_{q_{1}} \wedge \neg \varphi_{q_{2}}$

One can show that $\varphi_{q}\left[x_{a_{1}}, \ldots, x_{a_{n}}\right]$ is domain independent and equivalent to $q$ $\sim$ exercise

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This is easy to see:

- Consider an FO query $q$ that is domain independent
- The semantics of $q$ is the same for any domain adom $\subseteq \Delta^{I} \subseteq$ dom
- In particular, the semantics of $q$ is the same under active domain semantics
- Hence, for every DI query, there is an equivalent AD query


## $\mathrm{AD}_{\text {unnamed }} \sqsubseteq \mathrm{RA}_{\text {named }}$

Consider an AD query $q=\varphi\left[x_{1}, \ldots, x_{n}\right]$.
For an arbitrary attribute name $a$, we can construct an RA expression $E_{a, \text { adom }}$ such that $E_{a, \text { adom }}(\mathcal{I})=\{\{a \mapsto c\} \mid c \in \operatorname{adom}(\mathcal{I}, q)\}$
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For every variable $x$, we use a distinct attribute name $a_{x}$

- if $\varphi=R\left(t_{1}, \ldots, t_{m}\right)$ with signature $R\left[a_{1}, \ldots, a_{m}\right]$ with variables $x_{1}=t_{v_{1}}, \ldots, x_{n}=t_{v_{n}}$ and constants $c_{1}=t_{w_{1}}, \ldots, c_{k}=t_{w_{k}}$,


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- if $\varphi=(x \approx c)$


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- if $\varphi=(x \approx y)$, then $E_{\varphi}=\sigma_{a_{x}=a_{y}}\left(E_{a_{x}, \text { adom }} \bowtie E_{a_{y}, \text { adom }}\right)$
- other forms of equality atoms are similar


## $A D_{\text {unnamed }} \sqsubseteq \mathrm{RA}_{\text {named }}($ cont'd $)$

## Remaining cases:

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The cases for $\vee$ and $\forall$ can be constructed from the above $\leadsto$ exercise


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The cases for $\vee$ and $\forall$ can be constructed from the above $\sim$ exercise

A note on order: The translation yields an expression $E_{\varphi}\left[a_{x_{1}}, \ldots, a_{x_{n}}\right]$. For this to be equivalent to the query $\varphi\left[x_{1}, \ldots, x_{n}\right]$, we must choose the attribute names such that their global order is $a_{x_{1}}, \ldots, a_{x_{n}}$. This is clearly possible, since the names are arbitrary and we have infinitely many names available.

## How to find DI queries?

Domain independent queries are arguably most intuitive, since their result does not depend on special assumptions.
$\sim$ How can we check if a query is in DI?

## How to find DI queries?

Domain independent queries are arguably most intuitive, since their result does not depend on special assumptions.
$\leadsto$ How can we check if a query is in DI? Unfortunately, we can't:
Theorem 2.8: Given a FO query $q$, it is undecidable if $q \in \operatorname{DI}$.
$\leadsto$ find decidable sufficient conditions for a query to be in DI

## A Normal Form for Queries

We first define a normal form for FO queries:
Safe-Range Normal Form (SRNF)

- Rename variables apart (distinct quantifiers bind distinct variables, bound variables distinct from free variables)
- Eliminate all universal quantifiers: $\forall y . \psi \mapsto \neg \exists y . \neg \psi$
- Push negations inwards:
$-\neg(\varphi \wedge \psi) \mapsto(\neg \varphi \vee \neg \psi)$
- $\neg(\varphi \vee \psi) \mapsto(\neg \varphi \wedge \neg \psi)$
- $\neg \neg \psi \mapsto \psi$


## Safe-Range Queries

Let $\varphi$ be a formula in SRNF. The set $\operatorname{rr}(\varphi)$ of range-restricted variables of $\varphi$ is defined recursively:

$$
\begin{aligned}
\operatorname{rr}\left(R\left(t_{1}, \ldots, t_{n}\right)\right) & =\left\{x \mid x \text { a variable among the } t_{1}, \ldots, t_{n}\right\} \\
\operatorname{rr}(x \approx a) & =\{x\} \\
\operatorname{rr}(x \approx y) & =\emptyset \\
\operatorname{rr}\left(\varphi_{1} \wedge \varphi_{2}\right) & =\left\{\begin{array}{l}
\operatorname{rr}\left(\varphi_{1}\right) \cup\{x, y\} \text { if } \varphi_{2}=(x \approx y) \text { and }\{x, y\} \cap \operatorname{rr}\left(\varphi_{1}\right) \neq \emptyset \\
\operatorname{rr}\left(\varphi_{1}\right) \cup \operatorname{rr}\left(\varphi_{2}\right) \text { otherwise }
\end{array}\right. \\
\operatorname{rr}\left(\varphi_{1} \vee \varphi_{2}\right) & =\operatorname{rr}\left(\varphi_{1}\right) \cap \operatorname{rr}\left(\varphi_{2}\right) \\
\operatorname{rr}(\exists y . \psi) & = \begin{cases}\operatorname{rr}(\psi) \backslash\{y\} \\
\text { throw new NotSafeException }() \text { if } y \notin \operatorname{rr}(\psi)\end{cases} \\
\operatorname{rr}(\neg \psi) & =\emptyset \quad \text { if } \operatorname{rr}(\psi) \text { is defined (no exception) }
\end{aligned}
$$

## Safe-Range Queries

Definition 2.9: An FO query $q=\varphi\left[x_{1}, \ldots, x_{n}\right]$ is a safe-range query if $\operatorname{rr}(\operatorname{SRNF}(\varphi))=\left\{x_{1}, \ldots, x_{n}\right\}$.

Safe-range queries are domain independent.

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$$

Safe-range queries are domain independent.
One can show a much stronger result:
Theorem 2.10: The following query languages are equivalent:

- Safe-range queries SR
- Relational algebra RA
- FO queries under active domain semantics $A D$
- Domain independent FO queries DI


## Tuple-Relational Calculus

There are more equivalent ways to define a relational query language
Example: Codd's tuple calculus

- Based on named perspective
- Use first-order logic, but variables range over sorted tuples (rows) instead of values
- Use expressions like $x$ : From,To,Line to declare sorts of variables in queries
- Use expressions like $x$.From to access a specific value of a tuple
- Example: Find all lines that depart from an accessible stop

$$
\begin{gathered}
\{x: \text { Line } \mid \exists y: \text { SID,Stop,Accessible. }(\text { Stops }(y) \wedge y . \text { Accessible } \approx \text { "true" } \\
\wedge \exists z: \text { From,To,Line.(Connect }(z) \wedge z \text {.From } \approx y . \text { SID } \\
\wedge z . \text { Line } \approx x \text {.Line })\}
\end{gathered}
$$

## Summary and Outlook

First-order logic gives rise to a relational query language
The problem of domain dependence can be solved in several ways
All common definitions lead to equivalent calculi
$\leadsto$ "relational calculus"

## Open questions:

- How hard is it to actually answer such queries? (next lecture)
- How can we study the expressiveness of query languages?
- Are there interesting query languages that are not equivalent to RA?

