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# Chapter 11. Objects

We've already seen several tools that OCaml provides for organizing programs, particularly modules. In addition, OCaml also supports object-oriented programming. There are objects, classes, and their associated types. In this chapter, we'll introduce you to OCaml objects and subtyping. In the next chapter, Chapter 12, Classes, we'll introduce you to classes and inheritance.

## WHAT IS OBJECT-ORIENTED PROGRAMMING?

Object-oriented programming (often shorted to OOP) is a programming style that encapsulates computation and data within logical *objects*. Each object contains some data stored in *fields* and has *method* functions that can be invoked against the data within the object (also called "sending a message" to the object). The code definition behind an object is called a *class*, and objects are constructed from a class definition by calling a constructor with the data that the object will use to build itself.

There are five fundamental properties that differentiate OOP from other styles:

#### Abstraction

The details of the implementation are hidden in the object, and the external interface is just the set of publicly accessible methods.

#### Dynamic lookup

When a message is sent to an object, the method to be executed is determined by the implementation of the object, not by some static property of the program. In other words, different objects may react to the same message in different ways.

## Subtyping

If an object  ${\tt a}$  has all the functionality of an object  ${\tt b}$ , then we may use  ${\tt a}$  in any context where  ${\tt b}$  is expected

## Inheritance

The definition of one kind of object can be reused to produce a new kind of object. This new definition can override some behavior, but also share code with its parent.

## Open recursion

An object's methods can invoke another method in the same object using a special variable (often called self or this). When objects are created from classes, these calls use dynamic lookup, allowing a method defined in one class to invoke methods defined in another class that inherits from the first.

Almost every notable modern programming language has been influenced by OOP, and you'll have run across these terms if you've ever used C++, Java, C#, Ruby, Python, or JavaScript.

## OCAML OBJECTS

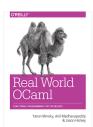
If you already know about object-oriented programming in a language like Java or C++, the OCaml object system may come as a surprise. Foremost is the complete separation of objects and their types from the class system. In a language like Java, a class name is also used as the type of objects created by instantiating it, and the relationships between these object types correspond to inheritance. For example, if we implement a class <code>Deque</code> in Java by inheriting from a class <code>Stack</code>, we would be allowed to pass a deque anywhere a stack is expected.

OCaml is entirely different. Classes are used to construct objects and support inheritance, but classes are not types. Instead, objects have *object types*, and if you want to use objects, you aren't required to use classes at all. Here's an example of a simple object:

```
# let s = object
    val mutable v = [0; 2]

method pop =
    match v with
    | hd :: t1 ->
        v <- t1;
        Some hd
    | [] -> None

method push hd =
```



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```
v <- hd :: v
end ;;
val s : < pop : int option; push : int -> unit > = <obj>
OCaml Utop * objects/stack.topscript , continued (part 1) * all code
```

The object has an integer list value v, a method pop that returns the head of v, and a method push that adds an integer to the head of v.

The object type is enclosed in angle brackets < . . . >, containing just the types of the methods. Fields, like v, are not part of the public interface of an object. All interaction with an object is through its methods. The syntax for a method invocation uses the # character:

```
# s#pop ;;
- : int option = Some 0
# s#push 4 ;;
- : unit = ()
# s#pop ;;
- : int option = Some 4
OCaml Utop * objects/stack.topscript , continued (part 2) * all code
```

Note that unlike functions, methods can have zero parameters, since the method call is routed to a concrete object instance. That's why the pop method doesn't have a unit argument, as the equivalent functional version would.

Objects can also be constructed by functions. If we want to specify the initial value of the object, we can define a function that takes the value and returns an object:

```
# let stack init = object
    val mutable v = init
    method pop =
      match v with
      | hd :: tl ->
        v <- tl;
        Some hd
      [] -> None
    method push hd =
  end ;;
val stack : 'a list -> < pop : 'a option; push : 'a -> unit > = <fun>
# let s = stack [3; 2; 1] ;;
val s : < pop : int option; push : int -> unit > = <obj>
# s#pop ;;
 - : int option = Some 3
OCaml Utop * objects/stack.topscript , continued (part 3) * all code
```

Note that the types of the function stack and the returned object now use the polymorphic type 'a. When stack is invoked on a concrete value [3; 2; 1], we get the same object type as before, with type int for the values on the stack.

## **OBJECT POLYMORPHISM**

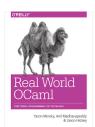
Like polymorphic variants, methods can be used without an explicit type declaration:

```
# let area sq = sq#width * sq#width ;;
val area : < width : int; .. > -> int = <fun>
# let minimize sq : unit = sq#resize 1 ;;
val minimize : < resize : int -> unit; .. > -> unit = <fun>
# let limit sq =
    if (area sq) > 100 then minimize sq ;;
val Limit : < resize : int -> unit; width : int; .. > -> unit = <fun>
OCaml Utop * objects/polymorphism.topscript , continued (part 1) * all code
```

As you can see, object types are inferred automatically from the methods that are invoked on

The type system will complain if it sees incompatible uses of the same method:

```
# let toggle sq b : unit =
   if b then sq#resize `Fullscreen
```



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```
else minimize sq ;;
Characters 80-82:
Error: This expression has type < resize : [> `Fullscreen ] -> unit; .. >
    but an expression was expected of type < resize : int -> unit; .. >
    Types for method resize are incompatible

OCaml Utop * objects/polymorphism.topscript, continued (part 2) * all code
```

The .. in the inferred object types are ellipses, standing for other unspecified methods that the object may have. The type < width : float; .. > specifies an object that must have at least a width method, and possibly some others as well. Such object types are said to be *open*.

We can manually *close* an object type using a type annotation:

## Elisions Are Polymorphic

The . . in an open object type is an elision, standing for "possibly more methods." It may not be apparent from the syntax, but an elided object type is actually polymorphic. For example, if we try to write a type definition, we get an "unbound type variable" error:

```
# type square = < width : int; ..> ;;
Characters 5-32:
Error: A type variable is unbound in this type declaration.
In type < width : int; .. > as 'a the variable 'a is unbound

OCaml Utop * objects/polymorphism.topscript , continued (part 4) * all code
```

This is because . . is really a special kind of type variable called a *row variable*.

This kind of typing scheme using row variables is called *row polymorphism*. Row polymorphism is also used in polymorphic variant types, and there is a close relationship between objects and polymorphic variants: objects are to records what polymorphic variants are to ordinary variants.

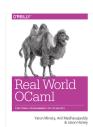
An object of type < pop: int option; ... > can be any object with a method pop: int option; it doesn't matter how it is implemented. When the method #pop is invoked, the actual method that is run is determined by the object:

```
# let print_pop st = Option.iter ~f:(printf "Popped: %d\n") st#pop ;;
val print_pop : < pop : int option; .. > -> unit = <fun>
# print_pop (stack [5;4;3;2;1]) ;;

Popped: 5
    - : unit = ()
# let t = object
    method pop = Some (Float.to_int (Time.to_float (Time.now ())))
end ;;
val t : < pop : int option > = <obj>
# print_pop t ;;

Popped: 1383659404
    - : unit = ()
OCaml Utop * objects/stack.topscript , continued (part 4) * all code
```

# IMMUTABLE OBJECTS



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Many people consider object-oriented programming to be intrinsically imperative, where an object is like a state machine. Sending a message to an object causes it to change state, possibly sending messages to other objects.

Indeed, in many programs this makes sense, but it is by no means required. Let's define a function that creates immutable stack objects:

```
# let imm_stack init = object
    val v = init

method pop =
    match v with
    | hd :: tl -> Some (hd, {< v = tl >})
    | [] -> None

method push hd =
    {< v = hd :: v >}
end ;;
val imm_stack :
    'a List -> (< pop : ('a * 'b) option; push : 'a -> 'b > as 'b) = <fun>
OCaml Utop * objects/immutable.topscript , continued (part 1) * all code
```

The key parts of this implementation are in the pop and push methods. The expression {< . . . >} produces a copy of the current object, with the same type, and the specified fields updated. In other words, the push hd method produces a copy of the object, with v replaced by hd :: v. The original object is not modified:

```
# let s = imm_stack [3; 2; 1] ;;
val s : < pop : (int * 'a) option; push : int -> 'a > as 'a = <obj>
# let t = s#push 4 ;;
val t : < pop : (int * 'a) option; push : int -> 'a > as 'a = <obj>
# s#pop ;;
- : (int * (< pop : 'a; push : int -> 'b > as 'b)) option as 'a =
Some (3, <obj>)
# t#pop ;;
- : (int * (< pop : 'a; push : int -> 'b > as 'b)) option as 'a =
Some (4, <obj>)
OCaml Utop * objects/immutable.topscript , continued (part 2) * all code
```

There are some restrictions on the use of the expression  $\{< \ldots >\}$ . It can be used only within a method body, and only the values of fields may be updated. Method implementations are fixed at the time the object is created; they cannot be changed dynamically.

## WHEN TO USE OBJECTS

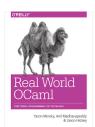
You might wonder when to use objects in OCaml, which has a multitude of alternative mechanisms to express the similar concepts. First-class modules are more expressive (a module can include types, while classes and objects cannot). Modules, functors, and data types also offer a wide range of ways to express program structure. In fact, many seasoned OCaml programmers rarely use classes and objects, if at all.

Objects have some advantages over records: they don't require type definitions, and their support for row polymorphism makes them more flexible. However, the heavy syntax and additional runtime cost means that objects are rarely used in place of records.

The real benefits of objects come from the class system. Classes support inheritance and open recursion. Open recursion allows interdependent parts of an object to be defined separately. This works because calls between the methods of an object are determined when the object is instantiated, a form of *late* binding. This makes it possible (and necessary) for one method to refer to other methods in the object without knowing statically how they will be implemented.

In contrast, modules use early binding. If you want to parameterize your module code so that some part of it can be implemented later, you would write a function or functor. This is more explicit, but often more verbose than overriding a method in a class.

In general, a rule of thumb is: use classes and objects in situations where open recursion is a big win. Two good examples are Xavier Leroy's Cryptokit, which provides a variety of cryptographic primitives that can be combined in building-block style; and the Camlimages library, which manipulates various graphical file formats. Camlimages also provides a module-based version of the same library, letting you choose between functional and object-oriented styles depending on your problem domain.



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We'll introduce you to classes, and examples using open recursion, in Chapter 12, Classes.

## **SUBTYPING**

Subtyping is a central concept in object-oriented programming. It governs when an object with one type A can be used in an expression that expects an object of another type B. When this is true, we say that A is a subtype of B. More concretely, subtyping restricts when the coercion operator e :> t can be applied. This coercion works only if the type of e is a subtype of t.

## Width Subtyping

To explore this, let's define some simple object types for geometric shapes. The generic type shape has a method to compute the area, and square and circle are specific kinds of shapes:

```
type shape = < area : float >

type square = < area : float; width : int >

let square w = object
  method area = Float.of_int (w * w)
  method width = w
end

type circle = < area : float; radius : int >

let circle r = object
  method area = 3.14 *. (Float.of_int r) ** 2.0
  method radius = r
end

OCaml * objects/subtyping.ml , continued (part 1) * all code
```

A square has a method area just like a shape, and an additional method width. Still, we expect a square to be a shape, and it is. The coercion :> must be explicit:

This form of object subtyping is called *width* subtyping. Width subtyping means that an object type A is a subtype of B, if A has all of the methods of B, and possibly more. A square is a subtype of shape because it implements all of the methods of shape (the area method).

# **Depth Subtyping**

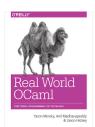
We can also use *depth* subtyping with objects. Depth subtyping allows us coerce an object if its individual methods could safely be coerced. So an object type < m: t1 > is a subtype of < m: t2 > if t1 is a subtype of t2.

For example, we can create two objects with a shape method:

```
# let coin = object
    method shape = circle 5
    method color = "silver"
end ;;
val coin : < color : string; shape : < area : float; radius : int > > = <obj>
# let map = object
    method shape = square 10
end ;;
val map : < shape : < area : float; width : int > > = <obj>
OCaml Utop * objects/subtyping.topscript , continued (part 2) * all code
```

Both these objects have a shape method whose type is a subtype of the shape type, so they can both be coerced into the object type < shape >:

```
# type item = < shape : shape > ;;
type item = < shape : shape >
# let items = [ (coin :> item) ; (map :> item) ] ;;
```



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```
val items : item list = [<obj>; <obj>]

OCaml Utop * objects/subtyping.topscript , continued (part 3) * all code
```

## Polymorphic Variant Subtyping

Subtyping can also be used to coerce a polymorphic variant into a larger polymorphic variant type. A polymorphic variant type A is a subtype of B, if the tags of A are a subset of the tags of B:

```
# type num = [ `Int of int | `Float of float ] ;;
type num = [ `Float of float | `Int of int ]
# type const = [ num | `String of string ] ;;
type const = [ `Float of float | `Int of int | `String of string ]
# let n : num = `Int 3 ;;
val n : num = `Int 3
# let c : const = (n :> const) ;;
val c : const = `Int 3
OCaml Utop * objects/subtyping.topscript , continued (part 4) * all code
```

## Variance

What about types built from object types? If a square is a shape, we expect a square list to be a shape list. OCaml does indeed allow such coercions:

```
# let squares: square list = [ square 10; square 20 ] ;;
vaL squares : square List = [<obj>; <obj>]
# let shapes: shape list = (squares :> shape list) ;;
vaL shapes : shape List = [<obj>; <obj>]

OCaml Utop * objects/subtyping.topscript , continued (part 5) * all code
```

Note that this relies on lists being immutable. It would not be safe to treat a square array as a shape array because it would allow you to store nonsquare shapes into what should be an array of squares. OCaml recognizes this and does not allow the coercion:

We say that 'a list is covariant (in 'a), while 'a array is invariant.

Subtyping function types requires a third class of variance. A function with type square -> string cannot be used with type shape -> string because it expects its argument to be a square and would not know what to do with a circle. However, a function with type shape -> string can safely be used with type square -> string:

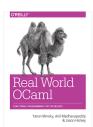
```
# let shape_to_string: shape -> string =
    fun s -> sprintf "Shape(%F)" s#area ;;
val shape_to_string : shape -> string = <fun>
# let square_to_string: square -> string =
    (shape_to_string :> square -> string) ;;
val square_to_string : square -> string = <fun>
OCaml Utop * objects/subtyping.topscript, continued (part 7) * all code
```

We say that 'a -> string is *contravariant* in 'a. In general, function types are contravariant in their arguments and covariant in their results.

## Variance Annotations

OCaml works out the variance of a type using that type's definition:

```
# module Either = struct
type ('a, 'b) t =
```



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```
| Left of 'a
| Right of 'b
let left x = Left x
let right x = Right x
end;;
module Either:
sig
  type ('a, 'b) t = Left of 'a | Right of 'b
  val Left: 'a -> ('a, 'b) t
  val right: 'a -> ('b, 'a) t
  end
# (Either.left (square 40):> (shape, shape) Either.t);;
-: (shape, shape) Either.t = Either.Left <obj>
OCaml Utop * objects/subtyping.topscript, continued (part 8) * all code
```

However, if the definition is hidden by a signature, then OCaml is forced to assume that the type is invariant:

```
# module AbstractEither : sig
     type ('a, 'b) t
val left: 'a -> ('a, 'b) t
     val right: 'b -> ('a, 'b) t
  end = Either ;;
 module AbstractEither :
   sig
      type ('a, 'b) t
      val left : 'a -> ('a, 'b) t
      val right : 'b -> ('a, 'b) t
# (AbstractEither.left (square 40) :> (shape, shape) AbstractEither.t) ;;
 Characters 1-32:
 Error: This expression cannot be coerced to type
            (shape, shape) AbstractEither.t;
          it has type (< area : float; width : int >, 'a) AbstractEither.t
         but is here used with type (shape, shape) AbstractEither.t
Type < area : float; width : int > is not compatible with type
            shape = < area : float >
          The second object type has no method width
OCaml Utop * objects/subtyping.topscript , continued (part 9) * all code
```

We can fix this by adding *variance annotations* to the type's parameters in the signature: + for covariance or - for contravariance:

```
# module VarEither : sig
    type (+'a, +'b) t
    val left: 'a -> ('a, 'b) t
    val right: 'b -> ('a, 'b) t
    end = Either ;;
module VarEither :
    sig
        type (+'a, +'b) t
        val left : 'a -> ('a, 'b) t
        val right : 'b -> ('a, 'b) t
    end
# (VarEither.left (square 40) :> (shape, shape) VarEither.t) ;;
    - : (shape, shape) VarEither.t = <abstr>
OCaml Utop * objects/subtyping.topscript, continued (part 10) * all code
```

For a more concrete example of variance, let's create some stacks containing shapes by applying our stack function to some squares and some circles:

```
type 'a stack = < pop: 'a option; push: 'a -> unit >
let square_stack: square stack = stack [square 30; square 10]
let circle_stack: circle stack = stack [circle 20; circle 40]
OCaml * objects/subtyping.ml , continued (part 2) * all code
```

If we wanted to write a function that took a list of such stacks and found the total area of their shapes, we might try:

```
# let total_area (shape_stacks: shape stack list) =
   let stack_area acc st =
    let rec loop acc =
      match st#pop with
```



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```
| Some s -> loop (acc +. s#area)
| None -> acc
in
loop acc
in
List.fold ~init:0.0 ~f:stack_area shape_stacks ;;
val total_area : shape stack list -> float = <fun>
OCaml Utop * objects/subtyping.topscript, continued (part 11) * all code
```

However, when we try to apply this function to our objects, we get an error:

```
# total_area [(square_stack :> shape stack); (circle_stack :> shape stack)] ;;
Characters 12-41:
Error: Type square stack = < pop : square option; push : square -> unit >
    is not a subtype of
        shape stack = < pop : shape option; push : shape -> unit >
        Type shape = < area : float > is not a subtype of
        square = < area : float; width : int >

OCaml Utop * objects/subtyping.topscript, continued (part 12) * all code
```

As you can see, square stack and circle stack are not subtypes of shape stack. The problem is with the push method. For shape stack, the push method takes an arbitrary shape. So if we could coerce a square stack to a shape stack, then it would be possible to push an arbitrary shape onto square stack, which would be an error.

Another way of looking at this is that < push: 'a -> unit; .. > is contravariant in 'a, so < push: square -> unit; pop: square option > cannot be a subtype of < push: shape -> unit; pop: shape option >.

Still, the total\_area function should be fine, in principle. It doesn't call push, so it isn't making that error. To make it work, we need to use a more precise type that indicates we are not going to be using the set method. We define a type readonly\_stack and confirm that we can coerce the list of stacks to it:

```
# type 'a readonly_stack = < pop : 'a option > ;;
 type 'a readonly_stack = < pop : 'a option >
# let total_area (shape_stacks: shape readonly_stack list) =
    let stack_area acc st =
      let rec loop acc =
        match st#pop with
         | Some s -> loop (acc +. s#area)
         None -> acc
      in
        loop acc
    in
      List.fold ~init:0.0 ~f:stack_area shape_stacks ;;
 val total_area : shape readonly_stack list -> float = <fun>
# total_area [(square_stack :> shape readonly_stack); (circle_stack :> shape readonly_stack);
 - : float = 7280.
OCaml Utop * objects/subtyping.topscript , continued (part 13) * all code
```

Aspects of this section may seem fairly complicated, but it should be pointed out that this typing *works*, and in the end, the type annotations are fairly minor. In most typed object-oriented languages, these coercions would simply not be possible. For example, in C++, a STL type <code>list<T></code> is invariant in <code>T</code>, so it is simply not possible to use <code>list<square></code> where <code>list<shape></code> is expected (at least safely). The situation is similar in Java, although Java has an escape hatch that allows the program to fall back to dynamic typing. The situation in OCaml is much better: it works, it is statically checked, and the annotations are pretty simple.

## **Narrowing**

Narrowing, also called *down casting*, is the ability to coerce an object to one of its subtypes. For example, if we have a list of shapes  $\mathtt{shape}$   $\mathtt{list}$ , we might know (for some reason) what the actual type of each shape is. Perhaps we know that all objects in the list have type  $\mathtt{square}$ . In this case, narrowing would allow the recasting of the object from type  $\mathtt{shape}$  to type  $\mathtt{square}$ . Many languages support narrowing through dynamic type checking. For example, in Java, a coercion ( $\mathtt{Square}$ )  $\times$  is allowed if the value  $\times$  has type  $\mathtt{Square}$  or one of its subtypes; otherwise the coercion throws an exception.

Narrowing is  $not\ permitted$  in OCaml. Period.



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Why? There are two reasonable explanations, one based on a design principle, and another technical (the technical reason is simple: it is hard to implement).

The design argument is this: narrowing violates abstraction. In fact, with a structural typing system like in OCaml, narrowing would essentially provide the ability to enumerate the methods in an object. To check whether an object obj has some method foo: int, one would attempt a coercion (obj:  $0.05 \pm 0.05$ ).

More pragmatically, narrowing leads to poor object-oriented style. Consider the following Java code, which returns the name of a shape object:

```
String GetShapeName(Shape s) {
  if (s instanceof Square) {
    return "Square";
  } else if (s instanceof Circle) {
    return "Circle";
  } else {
    return "Other";
  }
}
Java * objects/Shape.java * all code
```

Most programmers would consider this code to be "wrong." Instead of performing a case analysis on the type of object, it would be better to define a method to return the name of the shape. Instead of calling GetShapeName(s), we should call s.Name() instead.

However, the situation is not always so obvious. The following code checks whether an array of shapes looks like a "barbell," composed of two Circle objects separated by a Line, where the circles have the same radius:

```
boolean IsBarbell(Shape[] s) {
  return s.length == 3 && (s[0] instanceof Circle) &&
    (s[1] instanceof Line) && (s[2] instanceof Circle) &&
        ((Circle) s[0]).radius() == ((Circle) s[2]).radius();
}
Java * objects/IsBarbell.java * all code
```

In this case, it is much less clear how to augment the <code>Shape</code> class to support this kind of pattern analysis. It is also not obvious that object-oriented programming is well-suited for this situation. Pattern matching seems like a better fit:

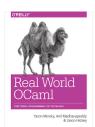
```
let is_barbell = function
| [Circle r1; Line _; Circle r2] when r1 = r2 -> true
| _ -> false
OCaml * objects/is_barbell.ml * all code
```

Regardless, there is a solution if you find yourself in this situation, which is to augment the classes with variants. You can define a method variant that injects the actual object into a variant type:

This pattern works, but it has drawbacks. In particular, the recursive type definition should make it clear that this pattern is essentially equivalent to using variants, and that objects do not provide much value here.

# Subtyping Versus Row Polymorphism

There is considerable overlap between subtyping and row polymorphism. Both mechanisms allow you to write functions that can be applied to objects of different types. In these cases, row



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polymorphism is usually preferred over subtyping because it does not require explicit coercions, and it preserves more type information, allowing functions like the following:

```
# let remove_large 1 =
    List.filter ~f:(fun s -> s#area <= 100.) 1 ;;
val remove_large : (< area : float; .. > as 'a) list -> 'a list = <fun>
OCaml Utop * objects/row_polymorphism.topscript , continued (part 1) * all code
```

The return type of this function is built from the open object type of its argument, preserving any additional methods that it may have:

```
# let squares : < area : float; width : int > list =
     [square 5; square 15; square 10] ;;
val squares : < area : float; width : int > list = [<obj>; <obj>; <obj>]
# remove_large squares ;;
- : < area : float; width : int > list = [<obj>; <obj>]
OCaml Utop * objects/row_polymorphism.topscript , continued (part 2) * all code
```

Writing a similar function with a closed type and applying it using subtyping does not preserve the methods of the argument: the returned object is only known to have an area method:

```
# let remove_large (1: < area : float > list) =
    List.filter ~f:(fun s -> s#area <= 100.) l ;;
val remove_large : < area : float > list -> < area : float > list = <fun>
# remove_large (squares :> < area : float > list ) ;;
- : < area : float > list = [<obj>; <obj>]
OCaml Utop * objects/row_polymorphism.topscript , continued (part 3) * all code
```

However, there are some situations where we cannot use row polymorphism. In particular, row polymorphism cannot be used to place different types of object in the same container. For example, lists of heterogeneous elements cannot be created using row polymorphism:

Similarly, we cannot use row polymorphism to store different types of object in the same reference:

In both these cases we must use subtyping:

```
# let hlist: shape list = [(square 10 :> shape); (circle 30 :> shape)] ;;
val hlist : shape list = [<obj>; <obj>]
# let shape_ref: shape ref = ref (square 40 :> shape) ;;
val shape_ref : shape ref = {contents = <obj>}
# shape_ref := (circle 20 :> shape) ;;
- : unit = ()
OCaml Utop * objects/row_polymorphism.topscript , continued (part 6) * all code
```

## **Production Note**

This chapter contains significant contributions from Leo White.

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