## CS 240 - Data Structures and Data Management

## Module 9: String Matching

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#### Outline

- String Matching
  - Introduction
  - Karp-Rabin Algorithm
  - String Matching with Finite Automata
  - Knuth-Morris-Pratt algorithm
  - Boyer-Moore Algorithm
  - Suffix Trees
  - Suffix Arrays
  - Conclusion

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# Pattern Matching Definition [1]

- Search for a string (pattern) in a large body of text
- T[0..n-1] The **text** (or **haystack**) being searched within
- P[0..m-1] The **pattern** (or **needle**) being searched for
- ullet Strings over **alphabet**  $\Sigma$
- Return smallest i such that

$$P[j] = T[i+j]$$
 for  $0 \le j \le m-1$ 

- This is the first **occurrence** of *P* in *T*
- If P does not **occur** in T, return FAIL
- Applications:
  - ► Information Retrieval (text editors, search engines)
  - Bioinformatics
  - ► Data Mining

# Pattern Matching Definition [2]

#### Example:

- T = "Where is he?"
- $P_1 =$  "he"
- $P_2 = \text{``who''}$

#### Definitions:

- **Substring** T[i..j]  $0 \le i \le j < n$ : a string of length j i + 1 which consists of characters  $T[i], \ldots T[j]$  in order
- A **prefix** of T: a substring T[0..i] of T for some  $0 \le i < n$
- A **suffix** of T: a substring T[i..n-1] of T for some  $0 \le i \le n-1$

## General Idea of Algorithms

Pattern matching algorithms consist of guesses and checks:

- A **guess** or **shift** is a position i such that P might start at T[i]. Valid guesses (initially) are  $0 \le i \le n m$ .
- A **check** of a guess is a single position j with  $0 \le j < m$  where we compare T[i+j] to P[j]. We must perform m checks of a single **correct** guess, but may make (many) fewer checks of an **incorrect** guess.

We will diagram a single run of any pattern matching algorithm by a matrix of checks, where each row represents a single guess.

### Brute-force Algorithm

**Idea**: Check every possible guess.

```
Bruteforce::patternMatching(T[0..n-1], P[0..m-1])

T: String of length n (text), P: String of length m (pattern)

1. for i \leftarrow 0 to n-m do

2. if strcmp(T[i..i+m-1], P) = 0

3. return "found at guess i"

4. return FAIL
```

Note: strcmp takes  $\Theta(m)$  time.

```
strcmp(T[i..i+m-1], P[0..m-1])

1. for j \leftarrow 0 to m-1 do

2. if T[i+j] is before P[j] in \Sigma then return -1

3. if T[i+j] is after P[j] in \Sigma then return 1

4. return 0
```

## Brute-Force Example

• Example: T = abbbababbab, P = abba

a	b	b	b	a	b	a	b	b	a	b
а	b	b	a							
	a									
		a								
			a							
				а	b	b				
					a					
						a	b	b	a	

- What is the worst possible input?
  - $P = a^{m-1}b$ ,  $T = a^n$
- Worst case performance  $\Theta((n-m+1)m)$
- This is  $\Theta(mn)$  e.g. if m = n/2.

### How to improve?

#### More sophisticated algorithms

- Do extra **preprocessing** on the pattern P
  - ► Karp-Rabin
  - ▶ Boyer-Moore
  - ► Deterministic finite automata (DFA), KMP
  - ▶ We **eliminate guesses** based on completed matches and mismatches.
- Do extra preprocessing on the text T
  - Suffix-trees
  - We create a data structure to find matches easily.

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## Karp-Rabin Fingerprint Algorithm – Idea

Idea: use hashing to eliminate guesses

- Compute hash function for each guess, compare with pattern hash
- If values are unequal, then the guess cannot be an occurrence
- Example: P = 59265, T = 31415926535
  - ▶ Use standard hash-function: flattening + modular (radix R = 10):

$$h(x_0...x_4) = (x_0x_1x_2x_3x_4)_{10} \mod 97$$

►  $h(P) = 59265 \mod 97 = 95$ .

3	1	4	1	5	9	2	6	5	3	5
ŀ	nash	-val	ue 8	34						
	I	nash	-val	ue S	)4					
		ŀ	nash	-val	ue 7	6				
			ŀ	nash	-val	ue 1	8			
					hash	-val	ue 9	5		

## Karp-Rabin Fingerprint Algorithm – First Attempt

```
Karp-Rabin-Simple::patternMatching(T, P)

1. h_P \leftarrow h(P[0..m-1)]

2. for i \leftarrow 0 to n-m

3. h_T \leftarrow h(T[i..i+m-1])

4. if h_T = h_P

5. if strcmp(T[i..i+m-1], P) = 0

6. return "found at guess i"

7. return FAIL
```

- Never misses a match:  $h(T[i..i+m-1]) \neq h(P) \Rightarrow \text{guess } i \text{ is not } P$
- h(T[i..i+m-1]) depends on m characters, so naive computation takes  $\Theta(m)$  time per guess
- Running time is  $\Theta(mn)$  if P not in T (how can we improve this?)

## Karp-Rabin Fingerprint Algorithm - Fast Update

The initial hashes are called **fingerprints**.

Crucial insight: We can update these fingerprints in constant time.

- Use previous hash to compute next hash
- $\circ$  O(1) time per hash, except first one

#### **Example:**

- $\bullet$  Pre-compute: 10000 mod 97 = 9
- Previous hash: **4**1592 mod 97 = 76
- Next hash: 15926 mod 97 = ??

**Observe:** 
$$15926 = (41592 - 4 \cdot 10000) \cdot 10 + 6$$

$$15926 \bmod 97 = \left(\underbrace{(\underbrace{41592 \bmod 97}_{76 \ (\text{previous hash})} - 4 \cdot \underbrace{10000 \bmod 97}_{9 \ (\text{pre-computed})}}\right) \cdot 10 + 6) \bmod 97$$

$$= \left((76 - 4 \cdot 9) \cdot 10 + 6\right) \bmod 97 = 18$$

## Karp-Rabin Fingerprint Algorithm – Conclusion

```
Karp-Rabin-RollingHash::patternMatching(T, P)
       M \leftarrow suitable prime number
2. h_P \leftarrow h(P[0..m-1)])
3. h_T \leftarrow h(T[0..m-1)])
4. s \leftarrow 10^{m-1} \mod M
5. for i \leftarrow 0 to n-m
6
            if h_T = h_P
                 if strcmp(T[i..i+m-1], P) = 0
7.
                       return "found at guess i"
8
            if i < n - m // compute hash-value for next guess
9
10.
                 h_T \leftarrow ((h_T - T[i] \cdot s) \cdot 10 + T[i+m]) \mod M
       return "FAII"
11.
```

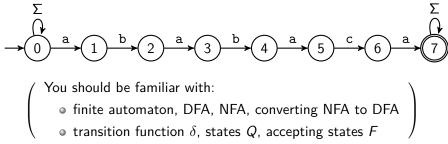
- Choose "table size" *M* at **random** to be huge prime
- Expected running time is O(m+n)
- $\bullet$   $\Theta(mn)$  worst-case, but this is (unbelievably) unlikely

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## String Matching with Finite Automata

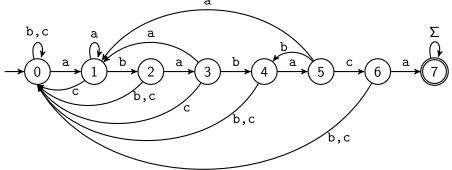
**Example:** Automaton for the pattern P = ababaca



- The above finite automation is an NFA
- State q expresses "we have seen P[0..q-1]"
  - ▶ NFA accepts *T* if and only if *T* contains ababaca
  - But evaluating NFAs is very slow.

## String matching with DFA

Can show: There exists an equivalent small DFA.



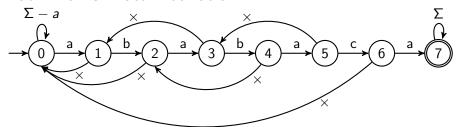
- Easy to test whether P is in T.
- But how do we find the arcs?
- We will not give the details of this since there is an even better automaton.

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#### Knuth-Morris-Pratt Motivation



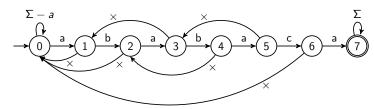
- Use a new type of transition  $\times$  ("failure"):
  - Use this transition only if no other fits.
  - ▶ Does **not** consume a character.
  - ► With these rules, computations of the automaton are deterministic. (But it is formally not a valid DFA.)
- Can store **failure-function** in an array F[0..m-1]
  - ▶ The failure arc from state j leads to F[j-1]
- Given the failure-array, we can easily test whether P is in T:
  Automaton accepts T if and only if T contains ababaca

### Knuth-Morris-Pratt Algorithm

```
KMP::patternMatching(T, P)
1. F \leftarrow failureArray(P)
2. i \leftarrow 0 // current character of T to parse
3. j \leftarrow 0 // current state: we have seen P[0..j-1]
4. while i < n do
5.
            if P[i] = T[i]
                  if j = m - 1
6.
                        return "found at guess i - m + 1"
7.
                  else
8.
9.
                        i \leftarrow i + 1
10.
                       i \leftarrow i + 1
            else // i. e. P[j] \neq T[i]
11.
12.
                  if i > 0
                       i \leftarrow F[i-1]
13.
                  else
14.
15.
                        i \leftarrow i + 1
 16.
       return FAIL
```

## String matching with KMP – Example

Example: T = abababaca, P = ababaca



b b b b b b a а а а а С а a b a b a X (a) (b) (a) b X (b) (a) X X X

*q*: 1 2 3 4 5 3,4 2,0 0 1 2 3 4 5 6 7

(after reading this character)

## String matching with KMP – Failure-function

Assume we reach state j+1 and now have mismatch.



shift by 1?	P[0j-1]	
shift by 2?	P[0j-2]	

- Can eliminate "shift by 1" if  $P[1..j] \neq P[0..j-1]$ .
- Can eliminate "shift by 2" if P[1..j] does not end with P[0..j-2].
- ullet Generally eliminate guess if that prefix of P is not a suffix of P[1..j].
- So want longest prefix  $P[0..\ell-1]$  that is a suffix of P[1..j].
- ullet The  $\ell$  characters of this prefix are matched, so go to state  $\ell.$

F[j] = head of failure-arc from state j+1

= length of the longest prefix of P that is a suffix of P[1..j].

## KMP Failure Array – Example

F[j] is the length of the longest prefix of P that is a suffix of P[1..j].

#### Consider P = ababaca

j	P[1j]	Prefixes of P	longest	F[j]
0	٨	$\Lambda$ , a, ab, aba, abab, ababa,	٨	0
1	b	$\Lambda$ , a, ab, aba, abab, ababa,	٨	0
2	ba	$\Lambda$ , a, ab, aba, abab, ababa,	a	1
3	bab	$\Lambda$ , a, ab, aba, abab, ababa,	ab	2
4	baba	$\Lambda$ , a, ab, aba, abab, ababa,	aba	3
5	babac	$\Lambda$ , a, ab, aba, abab, ababa,	٨	0
6	babaca	$\Lambda$ , a, ab, aba, abab, ababa,	a	1

This can clearly be computed in  $O(m^3)$  time, but we can do better!

## Computing the Failure Array

```
KMP::failureArray(P)
P: String of length m (pattern)
1. F[0] \leftarrow 0
2. j \leftarrow 1 // index within parsed text
3. \ell \leftarrow 0 // reached state
4. while j < m do
5.
             if P[j] = P[\ell]
                  \ell \leftarrow \ell + 1
6
                   F[i] \leftarrow \ell
7.
                  i \leftarrow i + 1
8.
             else if \ell > 0
9.
                   \ell \leftarrow F[\ell-1]
10.
             else
11.
                   F[i] \leftarrow 0
12.
                   i \leftarrow j + 1
13.
```

**Correctness-idea:** F[j] is defined via pattern matching of P in P[1..j]. So KMP uses itself! Already-built parts of  $F[\cdot]$  are used to expand it.

#### KMP - Runtime

#### failureArray

- Consider how  $2j \ell$  changes in each iteration of the while loop
  - ▶ *j* and  $\ell$  both increase by  $1 \Rightarrow 2j \ell$  increases -OR-
  - $\ell$  decreases  $(F[\ell-1] < \ell) \Rightarrow 2j \ell$  increases  $-\mathsf{OR}$ -
  - ▶ j increases  $\Rightarrow 2j \ell$  increases
- Initially  $2j \ell \ge 0$ , at the end  $2j \ell \le 2m$
- So no more than 2m iterations of the while loop.
- Running time:  $\Theta(m)$

#### KMP main function

- failureArray can be computed in  $\Theta(m)$  time
- Same analysis gives at most 2n iterations of the while loop since  $2i j \le 2n$ .
- Running time KMP altogether:  $\Theta(n+m)$

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### Boyer-Moore Algorithm

Fastest pattern matching on English text.

Important components:

 Reverse-order searching: Compare P with a guess moving backwards

When a mismatch occurs, choose the better of the following two options:

- Bad character jumps: Eliminate guesses based on mismatched characters of T.
- Good suffix jumps: Eliminate guesses based on matched suffix of P.

# Forward-searching vs. reverse-searching

P: aldo

T: whereiswaldo

#### Forward-searching:

w	h	е	r	е	i	s	w	а	-1	d	0
a											
	а										
		a									

- w does not occur in P.
  - $\Rightarrow$  shift pattern past w.
- h does not occur in P.
  - $\Rightarrow$  shift pattern past h.

With forward-searching, no guesses are ruled out.

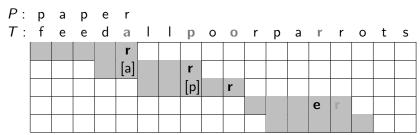
#### Reverse-searching:



- r does not occur in P.
  - $\Rightarrow$  shift pattern past r.
- w does not occur in P.
  - $\Rightarrow$  shift pattern past w.

This bad character heuristic works well with reverse-searching.

#### Bad character heuristic details



- Mismatched character in the text is a
- Shift the guess until a in P aligns with a in T
  - ▶ All skipped guessed are impossible since they do not match a
- Shift the guess until last p in P aligns with p in T
  - ▶ Use "last" since we cannot rule out this guess.
- As before, shift completely past  $\circ$  since  $\circ$  is not in P.
- Finding r does not help ⇒ shift by one unit.
  - ► Here the other strategy will do better.

### Last-Occurrence Array

- Build the **last-occurrence array** L mapping  $\Sigma$  to integers
- L[c] is the largest index i such that P[i] = c
- We will see soon: If c is not in P, then we should set L[c] = -1

Pattern: paper

char	р	а	е	r	all others
$L[\cdot]$	2	1	3	4	-1

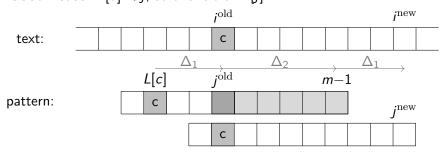
• We can build this in time  $O(m + |\Sigma|)$  with simple for-loop

BoyerMoore::lastOccurrenceArray(P[0..m-1])

- 1. initialize array L indexed by  $\Sigma$  with all -1
- 2. **for**  $j \leftarrow 0$  **to** m-1 **do**  $L[P[j]] \leftarrow j$
- 3. return L
- But how should we do the update?

#### Bad character heuristic formula

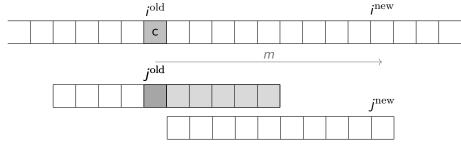
We will always compare T[i] and P[j]. How to update at a mismatch? "Good" case: L[c] < j, so c is left of P[j].



- $j^{\text{new}} = m-1$  (we re-start the search from the right end)
- $i^{\text{new}} = \text{corresponding index in } T$ . What is it?
  - $\Delta_1 =$  amount that we should shift  $= j^{\text{old}} L[c]$
  - $\Delta_2$  = how much we had compared =  $(m-1) j^{\text{old}}$
  - $lacksquare i^{
    m new}=i^{
    m old}+\Delta_2+\Delta_1=i^{
    m old}+(m-1)-L[c]$

#### Bad character heuristic formula

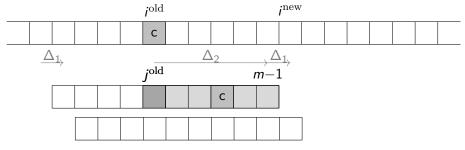
#### **Bad case 1:** *c* does not occur in *P*.



- ullet We want to shift past  $T[i^{\mathrm{old}}]$ , so need  $i^{\mathrm{new}}=i^{\mathrm{old}}+m$
- What value of L[c] would achieve this automatically?
  - ▶ formula was  $i^{\text{new}} = i^{\text{old}} + (m-1) L[c]$
  - $\Rightarrow$  set L[c] := -1

#### Bad character heuristic formula

**Bad case 2:** L[c] > j, so c is right of P[j].



- Bad character heuristic not helpful in this case.
- $\bullet \ \ \text{We want to shift by } \Delta_1 := 1 \ \text{units}$

$$i^{\text{new}} = i^{\text{old}} + \Delta_2 + \Delta_1 = i^{\text{old}} + 1 + (m-1) - i^{\text{old}}$$

Unified formula for all cases:

$$i^{\text{new}} = i^{\text{old}} + (m-1) - \min\{L[c], j^{\text{old}} - 1\}$$

### Boyer-Moore Algorithm

```
Boyer-Moore::patternMatching(T,P)
1. L \leftarrow lastOccurrenceArray(P)
2. S \leftarrow \text{good suffix array computed from } P
3. i \leftarrow m-1, j \leftarrow m-1
4. while i < n and j > 0 do
5.
            if T[i] = P[i]
            i \leftarrow i - 1
6.
               i \leftarrow i - 1
7.
            else
8.
                 i \leftarrow i + m - 1 - \min\{L[T[i]], j - 1\}
9.
10.
                 i \leftarrow m-1
       if j = -1 return "found at T[i+1..i+m]"
11.
12.
       else return FATI.
```

If good suffix heuristic is used, then 9 should be

$$i \leftarrow i + m - 1 - \min\{L[T[i]], S[j]\}$$

where S will be explained below.

#### Good Suffix Heuristic

#### S[j] expresses

"since P[j+1..m-1] was matched, how much should we shift?"

- Doing examples is easy, but the formula is complicated (no details)
- $S[\cdot]$  computable (similar to KMP failure function) in  $\Theta(m)$  time.

#### Summary:

- Boyer-Moore performs very well (even without good suffix heuristic).
- ullet On typical *English text* Boyer-Moore looks at only pprox 25% of T
- Worst-case run-time for is O(mn), but in practice much faster. [There are ways to ensure O(n) run-time. No details.]

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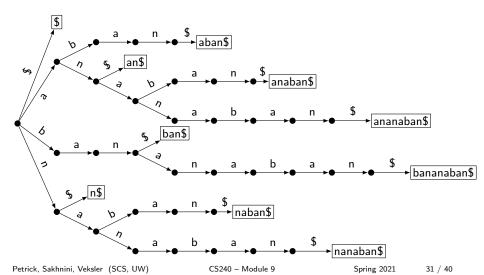
#### Tries of Suffixes and Suffix Trees

- What if we want to search for many patterns P within the same fixed text T?
- Idea: Preprocess the text T rather than the pattern P
- Observation: P is a substring of T if and only if P is a prefix of some suffix of T.
- So want to store all suffixes of T in a trie.
- To save space:
  - ► Use a compressed trie.
  - Store suffixes implicitly via indices into T.
- This is called a suffix tree.

# Trie of suffixes: Example

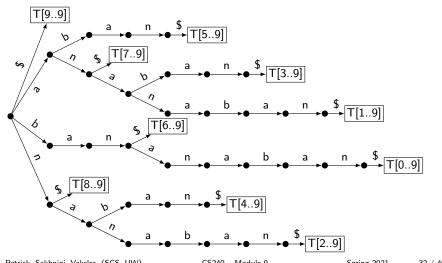
T =bananaban has suffixes

 $\{\texttt{bananaban},\, \texttt{ananaban},\, \texttt{nanaban},\, \texttt{anaban},\, \texttt{naban},\, \texttt{aban},\, \texttt{ban},\, \texttt{an},\, \texttt{n},\, \Lambda\}$ 



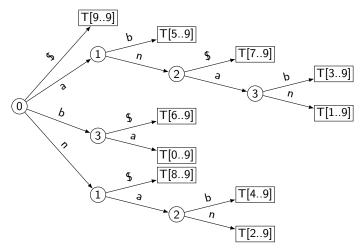
#### Tries of suffixes

Store suffixes via indices:



### Suffix tree

Suffix tree: Compressed trie of suffixes



## More on Suffix Trees

#### **Building:**

- Text T has n characters and n+1 suffixes
- We can build the suffix tree by inserting each suffix of T into a compressed trie. This takes time  $\Theta(n^2|\Sigma|)$ .
- There is a way to build a suffix tree of T in  $\Theta(n|\Sigma|)$  time. This is quite complicated and beyond the scope of the course.

### Pattern Matching:

- Essentially search for P in compressed trie.
   Some changes are needed, since P may only be prefix of stored word.
- Run-time:  $O(|\Sigma|m)$ .

**Summary:** Theoretically good, but construction is slow or complicated, and lots of space-overhead → rarely used.

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## Suffix Arrays

- Relatively recent development (popularized in the 1990s)
- Sacrifice some performence for simplicity:
  - ► Slightly slower (by a log-factor) than suffix trees.
  - ► Much easier to build.
  - ▶ Much simpler pattern matching.
  - ► Very little space; only one array.

#### Idea:

- Store suffixes implicitly (by storing start-indices)
- Store sorting permutation of the suffixes of T.

# Suffix Array Example

Text T: b a n a n a b a n \$

i	suffix $T[in-1]$
0	bananaban\$
1	ananaban\$
2	nanaban\$
3	anaban\$
4	naban\$
5	aban\$
6	ban\$
7	an\$
8	n\$
9	\$

sort lexicographically

j	$A^s[j]$				
0	9	\$			
1	5	aban\$			
2	7	an\$			
3	3	anaban\$			
4	1	ananaban\$			
5	6	ban\$			
6	0	bananaban\$			
7	8	n\$			
8	4	naban\$			
9	2	nanaban\$			

Suffix array:

				4					
9	5	7	3	1	6	0	8	4	2

# Suffix Array Construction

- Easy to construct using MSD-Radix-Sort.
  - ► Fast in practice; suffixes are unlikely to share many leading characters.
  - ▶ But worst-case run-time is  $\Theta(n^2)$ 
    - ★ *n* rounds of recursions (have *n* chars)
    - ★ Each round takes  $\Theta(n)$  time (bucket-sort)
- Idea: We do not need n rounds!

  - Consider sub-array after one round.
     These have same leading char. Ties are broken by rest of words.
     But rest of words are also suffixes → sorted elsewhere
     We can double length of sorted part every round.
  - ►  $O(\log n)$  rounds enough  $\Rightarrow O(n \log n)$  run-time
- Construction-algorithm: MSD-radix-sort plus some bookkeeping
  - needs only one extra array
  - easy to implement
- You do not need to know details.

# Pattern matching in suffix arrays

- Suffix array stores suffixes (implicitly) in sorted order.
- Idea: apply binary search!

- $O(\log n)$  comparisons.
- Each comparison is  $strcmp(P, T[A^s[\nu]..A^s[\nu+m-1]])$
- O(m) time per comparison  $\Rightarrow$  run-time  $O(m \log n)$

# Pattern matching in suffix arrays

```
SuffixArray::patternMatching(T, P, A^s[0...n-1]
A^s: suffix array of T
    \ell \leftarrow 0. r \leftarrow n-1
2. while (\ell < r)
             \nu \leftarrow \lfloor \frac{\ell+r}{2} \rfloor
3
             i \leftarrow A^s[\nu]
                                                             // Suffix is T[i..n-1]
4.
             s \leftarrow strcmp(P, T[i..i+m-1])
5.
                    // Assuming strcmp handles "out of bounds" suitably
6
              if (s < 0) do \ell \leftarrow \nu + 1
7
              else if (s > 0) do r \leftarrow \nu - 1
8.
9
              else return "found at guess T[i..i+m-1]"
        if strcmp(P, T[A^{s}[\ell]..A^{s}[\ell]+m-1]) = 0
10.
              return "found at guess T[A^s[\ell]..A^s[\ell]+m-1]"
11.
12.
        return FATI.
```

## Outline

# String Matching

- Introduction
- Karp-Rabin Algorithm
- String Matching with Finite Automata
- Knuth-Morris-Pratt algorithm
- Boyer-Moore Algorithm
- Suffix Trees
- Suffix Arrays
- Conclusion

# String Matching Conclusion

	Brute- Force	Karp- Rabin	DFA	Knuth- Morris- Pratt	Boyer- Moore	Suffix Tree	Suffix Array
Preproc.	_	O(m)	$O(m \Sigma )$	O(m)	$O(m+ \Sigma )$	$O(n^2 \Sigma )$ $[O(n) \Sigma ]$	$O(n\log n)$ $[O(n)]$
Search time	O(nm)	O(n+m) expected	<i>O</i> ( <i>n</i> )	<i>O</i> ( <i>n</i> )	O(n) or better	<i>O</i> ( <i>m</i> )	$O(m \log n)$
Extra space	_	O(1)	$O(m \Sigma )$	<i>O</i> ( <i>m</i> )	$O(m+ \Sigma )$	O(n)	O(n)

- Our algorithms stopped once they have found one occurrence.
- Most of them can be adapted to find all occurrences within the same worst-case run-time.