

# Patterns and Finite Automata

A *pattern* is a set of objects with a recognizable property.

- ▶ In computer science, we're typically interested in patterns that are sequences of character strings
  - ▶ I think "Halpern" a very interesting pattern
  - ▶ I may want to find all occurrences of that pattern in a paper
- ▶ Other patterns:
  - ▶ **if** followed by any string of characters followed by **then**
  - ▶ all filenames ending with ".doc"

Pattern matching comes up all the time in text search.

A *finite automaton* is a particularly simple computing device that can recognize certain types of patterns, called *regular languages*

- ▶ The text does not cover finite automata; there is a separate handout on CMS.

# Finite Automata

A *finite automaton* is a machine that is always in one of a finite number of states.

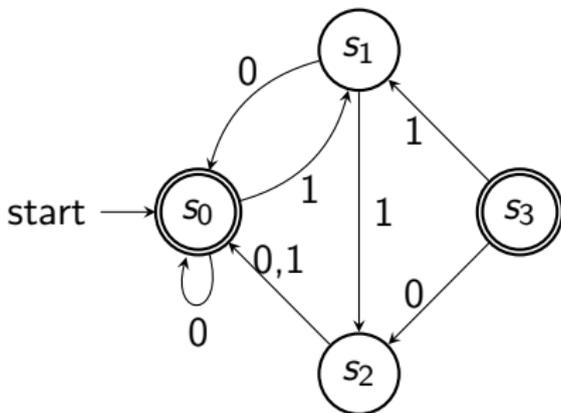
- ▶ When it gets some input, it moves from one state to another
  - ▶ If I'm in a "sad" state and someone hugs me, I move to a "happy" state
  - ▶ If I'm in a "happy" state and someone yells at me, I move to a "sad" state
- ▶ **Example:** A digital watch with "buttons" on the side for changing the time and date, or switching it to "stopwatch" mode, is an automaton
  - ▶ What are the states and inputs of this automaton?
- ▶ A certain state is denoted the *start* state
  - ▶ That's how the automaton starts life
- ▶ Other states are denoted *final* state
  - ▶ The automaton stops when it reaches a final state
  - ▶ (A digital watch has no final state, unless we count running out of battery power.)

# Representing Finite Automata Graphically

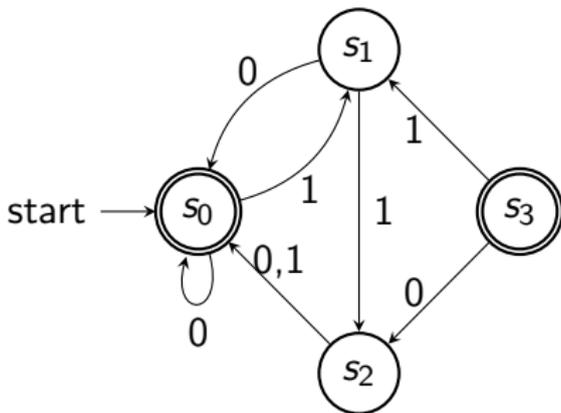
A finite automaton can be represented by a labeled directed graph.

- ▶ The nodes represent the states of the machine
- ▶ The edges are labeled by inputs, and describe how the machine transitions from one state to another

## Example:



- ▶ There are four states:  $s_0, s_1, s_2, s_3$ 
  - ▶  $s_0$  is the start state (denote by “start  $\rightarrow$ ”, by convention)
  - ▶  $s_0$  and  $s_3$  are the final states (denoted by double circles, by convention)
- ▶ The labeled edges describe the transitions for each input
  - ▶ The inputs are either 0 or 1
    - ▶ in state  $s_0$  and reads 0, it stays in  $s_0$
    - ▶ If the machine is in state  $s_0$  and reads 1, it moves to  $s_1$
    - ▶ If the machine is in state  $s_1$  and reads 0, it moves to  $s_0$
    - ▶ If the machine is in state  $s_1$  and reads 1, it moves to  $s_2$



What happens on input 00000? 0101010? 010101? 11?

- ▶ Some strings move the automaton to a final state; some don't.
- ▶ The strings that take it to a final state are *accepted*.

## A Parity-Checking Automaton

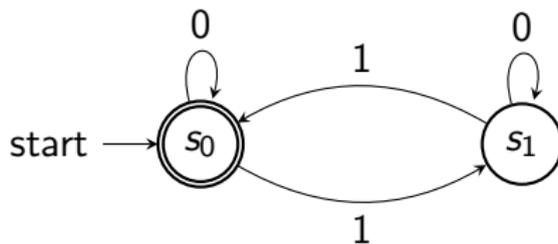
Here's an automaton that accepts strings of 0s and 1s that have even parity (an even number of 1s).

We need two states:

- ▶  $s_0$ : we've seen an even number of 1s so far
- ▶  $s_1$ : we've seen an odd number of 1s so far

The transition function is easy:

- ▶ If you see a 0, stay where you are; the number of 1s hasn't changed
- ▶ If you see a 1, move from  $s_0$  to  $s_1$ , and from  $s_1$  to  $s_0$

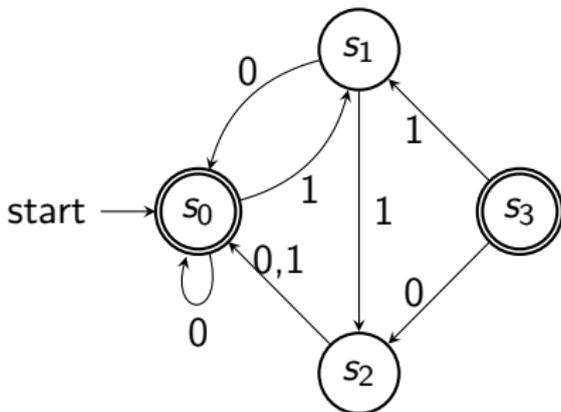


## Finite Automata: Formal Definition

A (*deterministic*) *finite automaton* is a tuple  $M = (S, I, f, s_0, F)$ :

- ▶  $S$  is a finite set of states;
- ▶  $I$  is a finite input alphabet (e.g.  $\{0, 1\}$ ,  $\{a, \dots, z\}$ )
- ▶  $f$  is a transition function;  $f : S \times I \rightarrow S$ 
  - ▶  $f$  describes what the next state is if the machine is in state  $s$  and sees input  $i \in I$ .
- ▶  $s_0 \in S$  is the initial state;
- ▶  $F \subseteq S$  is the set of final states.

## Example:



- ▶  $S = \{s_0, s_1, s_2, s_3\}$
- ▶  $I = \{0, 1\}$
- ▶  $F = \{s_0, s_3\}$
- ▶ The transition function  $f$  is described by the graph;
  - ▶  $f(s_0, 0) = s_0$ ;  $f(s_0, 1) = s_1$ ;  $f(s_1, 0) = s_0$ ; ...

You should be able to translate back and forth between finite automata and the graphs that describe them.

## Describing Languages

The *language* accepted (or *recognized*) by an automaton is the set of strings that it accepts.

- ▶ A *language* is a set of strings

We need tools for describing languages.

- ▶ If  $A$  and  $B$  are sets of strings, then  $AB$ , the *concatenation* of  $A$  and  $B$ , is the set of all strings  $ab$  such that  $a \in A$  and  $b \in B$ .

- ▶ **Example:** If  $A = \{0, 11\}$ ,  $B = \{111, 00\}$ , then

- ▶  $AB = \{0111, 000, 11111, 1100\}$

- ▶  $BA = \{1110, 11111, 000, 0011\}$

- ▶ Define  $A^{n+1}$  inductively:
  - ▶  $A^0 = \{\lambda\}$ :  $\lambda$  is the empty string
  - ▶  $A^1 = A$
  - ▶  $A^{n+1} = AA^n$
- ▶  $A^* = \bigcup_{n=0}^{\infty} A^n$ .

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- ▶ What's  $\{0, 1\}^n$ ?  $\{0, 1\}^*$ ?  $\{11\}^*$ ?

## Regular Expressions

A *regular expression* is an algebraic way of defining a pattern

**Definition:** The set of *regular expressions over  $I$*  (where  $I$  is an input set) is the smallest set  $S$  of expressions such that:

- ▶ the symbol **emptyset**  $\in S$  (that should be a boldface  $\emptyset$ )
- ▶ the symbol  $\lambda \in S$  (that should be a boldface  $\lambda$ )
- ▶ the symbol  $x \in S$  is a regular expression if  $x \in I$ ;
- ▶ if  $E_1$  and  $E_2$  are in  $S$ , then so are  $E_1E_2$ ,  $E_1 \cup E_2$  and  $A^*$ .

That is, we start with the empty set,  $\lambda$ , and elements of  $I$ , then close off under union, concatenation, and  $*$ .

- ▶ Note that a regular set is a *syntactic* object: a sequence of symbols.
- ▶ There is an equivalent inductive definition (see homework).

Those of you familiar with the programming language Perl or Unix searches should recognize the syntax ...

Each regular expression  $\mathbf{E}$  over  $I$  defines a subset of  $I^*$ , denoted  $L(E)$  (the *language* of  $E$ ) in the obvious way:

- ▶  $L(\emptyset) = \emptyset$ ;
- ▶  $L(\lambda) = \{\lambda\}$ ;
- ▶  $L(\mathbf{x}) = \{\mathbf{x}\}$ ;
- ▶  $L(\mathbf{E}_1\mathbf{E}_2) = L(\mathbf{E}_1)L(\mathbf{E}_2)$ ;
- ▶  $L(\mathbf{E}_1 \cup \mathbf{E}_2) = L(\mathbf{E}_1) \cup L(\mathbf{E}_2)$ ;
- ▶  $L(\mathbf{E}^*) = L(E_1)^*$ .

### Examples:

- ▶ What's  $L(\mathbf{0}^*\mathbf{10}^*\mathbf{10}^*)$ ?
- ▶ What's  $L((\mathbf{0}^*\mathbf{10}^*\mathbf{10}^*)^n)$ ?  $L(\mathbf{0}^*(\mathbf{0}^*\mathbf{10}^*\mathbf{10}^*)^*)$ ?
- ▶  $L(\mathbf{0}^*(\mathbf{0}^*\mathbf{10}^*\mathbf{10}^*)^*)$  is the language accepted by the parity automaton!
- ▶ If  $\Sigma = \{a, \dots, z, A, \dots, Z, 0, \dots, 9\} \cup \textit{Punctuation}$ , what is  $\Sigma^* \textit{Halpern} \Sigma^*$ ?
  - ▶ *Punctuation* consists of the punctuation symbols (comma, period, etc.)
  - ▶  $\Sigma$  is an abbreviation of  $a \cup b \cup \dots$  (the union of the symbols in  $\Sigma$ )

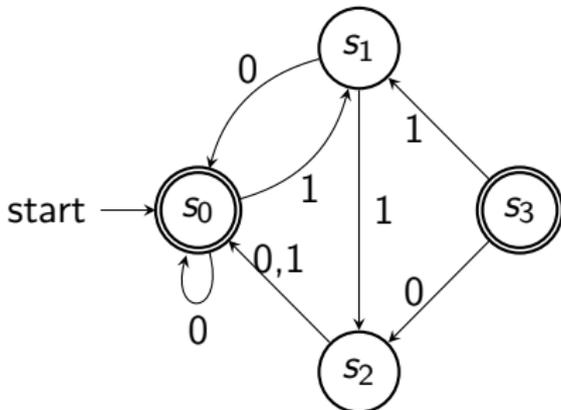
Can you define an automaton that accepts exactly the strings in  $\Sigma^* Halpern \Sigma^*$ ?

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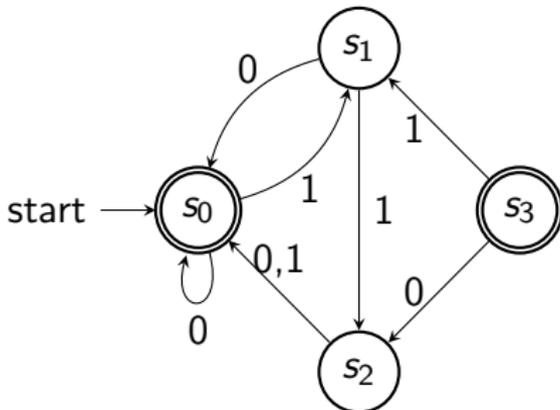
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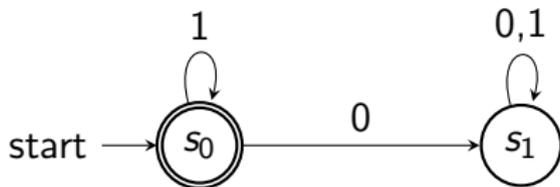
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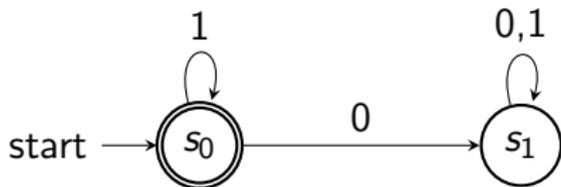


- ▶  $((10)^*0^*((110) \cup (111))^*)^*$
- ▶ Perhaps clearer:  $((0 \cup 1)^*0 \cup 111)^*$
- ▶ It's not easy to prove this formally!

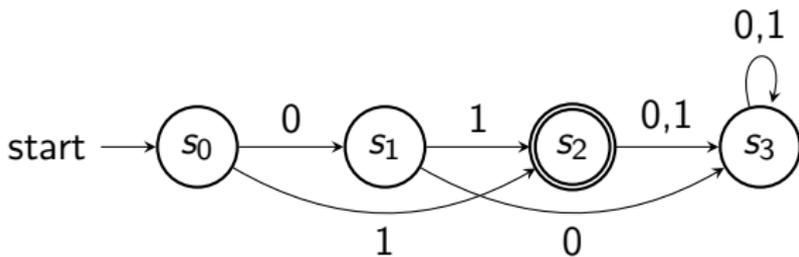
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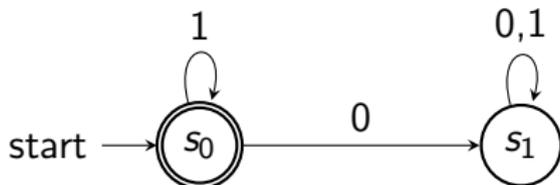
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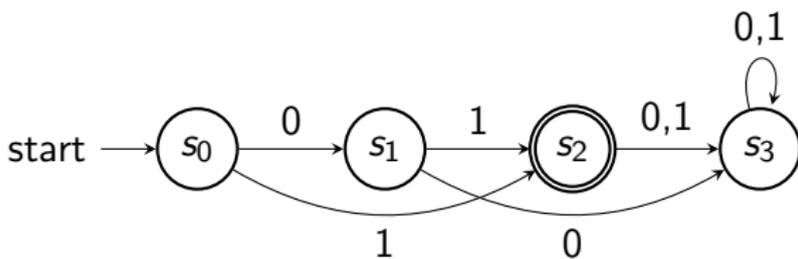
$L(\mathbf{1}^*)$



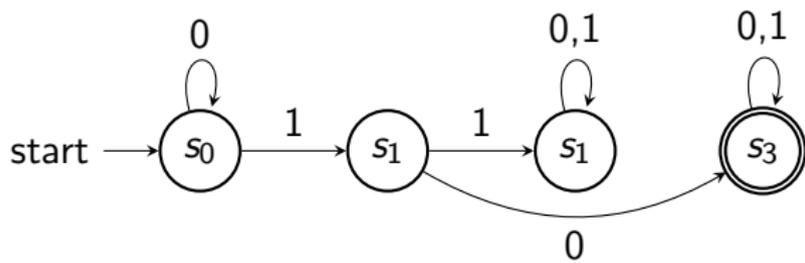
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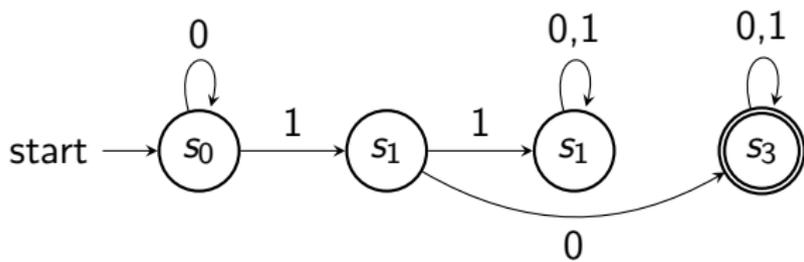


$L(1^*)$



$L(1 \cup 01)$





$L(0^*10(0 \cup 1)^*)$

# Nondeterministic Finite Automata

So far we've considered *deterministic* finite automata (DFA)

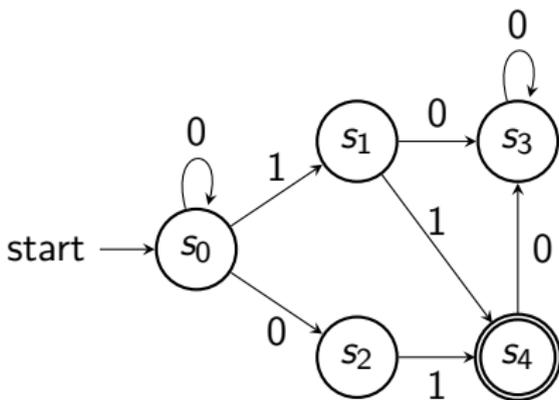
- ▶ what happens in a state is completely determined by the input symbol read

*Nondeterministic* finite automata allow several possible next states when an input is read.

Formally, a nondeterministic finite automaton is a tuple  $M = (S, I, f, s_0, F)$ . All the components are just like a DFA, except now  $f : S \times I \rightarrow 2^S$  (before,  $f : S \times I \rightarrow S$ ).

- ▶ if  $s' \in f(s, i)$ , then  $s'$  is a possible next state if the machine is in state  $s$  and sees input  $i$ .

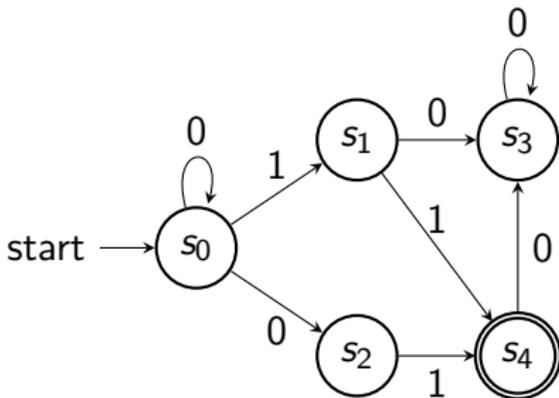
We can still use a graph to represent an NFA. There might be several edges coming out of a state labeled by  $i \in I$ , or none. In the example below, there are two edges coming out of  $s_0$  labeled 0, and none coming out of  $s_4$  labeled 1.



- ▶ Can either stay in  $s_0$  or move to  $s_2$
- ▶ On input 111, get stuck in  $s_4$  after 11, so 111 not accepted.

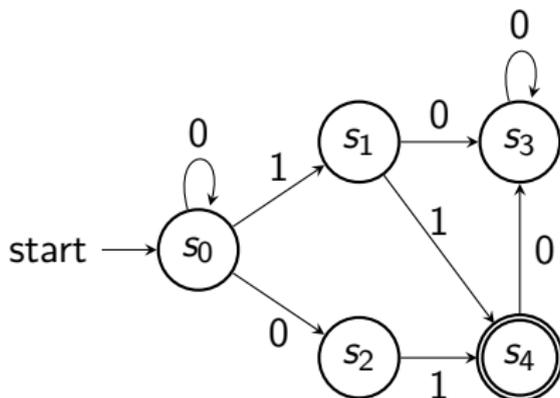
- ▶ An NFA  $M$  *accepts* (or *recognizes*) a string  $x$  if it is possible to get to a final state from the start state with input  $x$ .
- ▶ The language  $L$  is accepted by an NFA  $M$  consists of all strings accepted by  $M$ .

What language is accepted by this NFA:



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What language is accepted by this NFA:



$$L(\mathbf{0^*01} \cup \mathbf{0^*11})$$

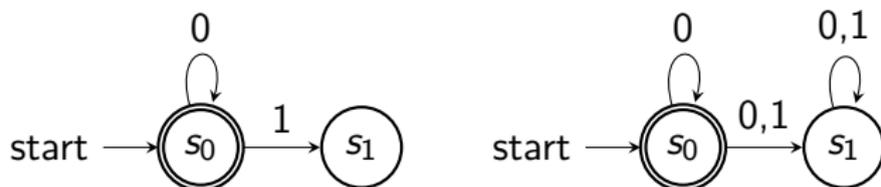
# Equivalence of Automata

Every DFA is an NFA, but not every NFA is a DFA.

- ▶ Do we gain extra power from nondeterminism?
  - ▶ Are there languages that are accepted by an NFA that can't be accepted by a DFA?
  - ▶ Somewhat surprising answer: NO!

Define two automata to be *equivalent* if they accept the same language.

Example:



**Theorem:** Every nondeterministic finite automaton is equivalent to some deterministic finite automaton.

**Proof:** Given an NFA  $M = (S, I, f, s_0, F)$ , let  $M' = (2^S, I, f', \{s_0\}, F')$ , where

- ▶  $f'(A, i) = \{t : t \in f(s, i) \text{ for some } s \in A\} \in 2^S$ 
  - ▶  $f : 2^S \times I \rightarrow 2^S$
- ▶  $F' = \{A : A \cap F \neq \emptyset\}$

Thus,

- ▶ the states in  $M'$  are subsets of states in  $M$ ;
- ▶ the final states in  $M'$  are the sets which contain a final state in  $M$ ;
- ▶ in state  $A$ , given input  $i$ , the next state consists of all possible next states from an element in  $A$ .

$M'$  is *deterministic*.

- ▶ This is called the *subset* construction.
- ▶ The states in  $M'$  are subsets of states in  $M$ .

We want to show that  $M$  accepts  $x$  iff  $M'$  accepts  $x$ .

- ▶ Let  $x = x_1 \dots x_k$ .
- ▶ If  $M$  accepts  $x$ , then there is a sequence of states  $s_0, \dots, s_k$  such that  $s_k \in F$  and  $s_{i+1} \in f(s_i, x_i)$ .
  - ▶ That's what it means for an NFA  $M$  to accept  $x$
  - ▶  $s_0, \dots, s_k$  is a possible sequence of states that  $M$  goes through on input  $x$ 
    - ▶ It's only one possible sequence:  $M$  is an NFA
- ▶ Define  $A_0, \dots, A_k$  inductively:  
 $A_0 = \{s_0\}$  and  $A_{i+1} = f'(A_i, x_i)$ .
  - ▶  $A_0, \dots, A_k$  is the sequence of states that  $M'$  goes through on input  $x$ .
    - ▶ Remember: a state in  $M'$  is a set of states in  $M$ .
    - ▶  $M'$  is deterministic: this sequence is unique.
  - ▶ An easy induction shows that  $s_i \in A_i$ .
  - ▶ Therefore  $s_k \in A_k$ , so  $A_k \cap F \neq \emptyset$ .
  - ▶ Conclusion:  $A_k \in F'$ , so  $M'$  accepts  $x$ .

For the converse, suppose that  $M'$  accepts  $x$

- ▶ Let  $A_0, \dots, A_k$  be the sequence of states that  $M'$  goes through on input  $x$ .
- ▶ Since  $A_k \cap F \neq \emptyset$ , there is some  $t_k \in A_k \cap F$ .
- ▶ By induction, if  $1 \leq j \leq k$ , can find  $t_{k-j} \in A_{k-j}$  such that  $t_{k-j+1} \in f(t_{k-j}, x_{k-j})$ .
- ▶ Since  $A_0 = \{s_0\}$ , we must have  $s_0 = t_0$ .
- ▶ Thus,  $t_0 \dots t_k$  is an “accepting path” for  $x$  in  $M$
- ▶ Conclusion:  $M$  accepts  $x$

## Notes:

- ▶ Michael Rabin and Dana Scott won a Turing award for defining NFAs and showing they are equivalent to DFAs
- ▶ This construction blows up the number of states:
  - ▶  $|S'| = 2^{|S|}$
  - ▶ Sometimes you can do better; in general, you can't

# Regular Languages and Finite Automata

**Theorem:** A language is accepted by a finite automaton iff it is regular.

First we'll show that every regular language is accepted by some finite automaton:

**Proof:** We proceed by induction on the (length of/structure of) the description of the regular language. We need to show that

- ▶  $\emptyset$  is accepted by a finite automaton
  - ▶ Easy: build an automaton where no input ever reaches a final state
- ▶  $\lambda$  is accepted by a finite automaton
  - ▶ Easy: an automaton where the initial state accepts
- ▶ each  $x \in I$  is accepted by a finite automaton
  - ▶ Easy: an automaton with two states, where only  $x$  leads from  $s_0$  to an accepting state.

- ▶ if  $A$  and  $B$  are accepted, so is  $AB$

**Proof:** Suppose that  $M_A = (S_A, I, f_A, s_A, F_A)$  accepts  $A$  and  $M_B = (S_B, I, f_B, s_B, F_B)$  accepts  $B$ . Suppose that  $M_A$  and  $M_B$  are NFAs, and  $S_A$  and  $S_B$  are disjoint (without loss of generality).

Idea: We hook  $M_A$  and  $M_B$  together. Let NFA

$M_{AB} = (S_A \cup S_B, I, f_{AB}, s_A, F_{AB})$ , where

- ▶  $F_{AB} = \begin{cases} F_B \cup F_A & \text{if } \lambda \in B; \\ F_B & \text{otherwise} \end{cases}$
- ▶  $t \in f_{AB}(s, i)$  if either
  - ▶  $s \in S_A$  and  $t \in f_A(s, i)$ , or
  - ▶  $s \in S_B$  and  $t \in f_B(s, i)$ , or
  - ▶  $s \in S_A$  and  $t \in f_B(s_B, i)$ .

Idea: given input  $xy \in AB$ , the machine “guesses” when to switch from running  $M_A$  to running  $M_B$ .

- ▶  $M_{AB}$  accepts  $AB$ .

**Proof:** There are two parts to this proof:

1. Showing that if  $x \in AB$ , then  $x$  is accepted by  $M_{AB}$ .
2. Show that if  $x$  is accepted by  $M_{AB}$ , then  $x \in AB$ .

For part 1, suppose that  $x = ab \in AB$ , where  $a = a_1 \dots a_k$  and  $b = b_1 \dots b_m$ . Then there exists a sequence of states  $s_0, \dots, s_k \in S_A$  and a sequence of states  $t_0, \dots, t_m \in S_B$  such that

- ▶  $s_0 = s_A$  and  $t = s_B$ ;
- ▶  $s_{i+1} \in f_A(s_i, a_{i+1})$  and  $t_{i+1} \in f_B(t_i, b_{i+1})$
- ▶  $s_k \in F_A$  and  $t_m \in F_B$ .

That means that after reading  $a$ ,  $M_{AB}$  could be in state  $s_k$ . If  $b = \lambda$ ,  $M_{AB}$  accepts  $a$  (since  $s_k \in F_A \subseteq F_{AB}$  if  $\lambda \in B$ ). Otherwise,  $M_{AB}$  can continue to  $t_1, \dots, t_m$  when reading  $b$ , so it accepts  $ab$  (since  $t_m \in F_B \subseteq F_{AB}$ ).

For part 2, suppose that  $x = c_1 \dots c_n$  is accepted by  $M_{AB}$ . That means that there is a sequence of states  $s_0, \dots, s_n \in S_A \cup S_B$  such that

- ▶  $s_0 = s_A$
- ▶  $s_{i+1} \in f_{AB}(s_i, c_{i+1})$
- ▶  $s_n \in F_{AB}$

If  $s_n \in F_A$ , then  $\lambda \in B$ ,  $s_0, \dots, s_n \subseteq S_A$  (since once  $M_{AB}$  moves to a state in  $S_B$ , it never moves to a state in  $S_A$ ), so  $x$  is accepted by  $M_A$ . Thus,  $x \in A \subseteq AB$ .

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If  $s_n \in F_B$ , let  $s_j$  be the first state in the sequence in  $S_B$ . Then  $s_0, \dots, s_{j-1} \subseteq S_A$ ,  $s_{j-1} \in F_A$ , so  $c_1 \dots c_{j-1}$  is accepted by  $M_A$ , and hence is in  $A$ . Moreover,  $s_B, s_j, \dots, s_n \subseteq S_B$  (once  $M_{AB}$  is in a state of  $S_B$ , it never moves to a state of  $S_A$ ), so  $c_j \dots c_n$  is accepted by  $M_B$ , and hence is in  $B$ . Thus,  $x = (c_1 \dots c_{j-1})(c_j \dots c_n) \in AB$ .

- ▶ if  $A$  and  $B$  are accepted, so is  $A \cup B$ .

**Proof:** Suppose that  $M_A = (S_A, I, f_A, s_A, F_A)$  accepts  $A$  and  $M_B = (S_B, I, f_B, s_B, F_B)$  accepts  $B$ . Suppose that  $M_A$  and  $M_B$  are NFAs, and  $S_A$  and  $S_B$  are disjoint.

Idea: given input  $x \in A \cup B$ , the machine “guesses” whether to run  $M_A$  or  $M_B$ .

- ▶  $M_{A \cup B} = (S_A \cup S_B \cup \{s_0\}, I, f_{A \cup B}, s_0, F_{A \cup B})$ , where
  - ▶  $s_0$  is a new state, not in  $S_A \cup S_B$
  - ▶  $f_{A \cup B}(s, i) = \begin{cases} f_A(s, i) & \text{if } s \in S_A \\ f_B(s, i) & \text{if } s \in S_B \\ f_A(s_A, i) \cup f_B(s_B, i) & \text{if } s = s_0 \end{cases}$
  - ▶  $F_{A \cup B} = \begin{cases} F_A \cup F_B \cup \{s_0\} & \text{if } \lambda \in A \cup B \\ F_A \cup F_B & \text{otherwise.} \end{cases}$
- ▶  $M_{A \cup B}$  accepts  $A \cup B$ .

- ▶ if  $A$  is accepted, so is  $A^*$ .
  - ▶  $M_{A^*} = (S_A \cup \{s_0\}, I, f_{A^*}, s_0, F_A \cup \{s_0\})$ , where
    - ▶  $s_0$  is a new state, not in  $S_A$ ;
    - ▶  $f_{A^*}(s, i) = \begin{cases} f_A(s, i) & \text{if } s \in S_A - F_A; \\ f_A(s, i) \cup f_A(s_A, i) & \text{if } s \in F_A; \\ f_A(s_A, i) & \text{if } s = s_0 \end{cases}$
  - ▶  $M_{A^*}$  accepts  $A^*$ .
    - ▶ Homework!

Next we'll show that every language accepted by a finite automaton is regular:

**Proof:** Fix an automaton  $M$  with states  $\{s_0, \dots, s_n\}$ . Can assume wlog (without loss of generality) that  $M$  is deterministic.

- ▶ a language is accepted by a DFA iff it is accepted by a NFA.

Let  $S(s_i, s_j, k)$  be the set of strings that force  $M$  from state  $s_i$  to  $s_j$  on a path such that every intermediate state is  $\{s_0, \dots, s_k\}$ .

- ▶ E.g.,  $S(s_4, s_5, 2)$  consists of all strings that force  $M$  from  $s_4$  to  $s_5$  on a path that goes through only  $s_0, s_1, \text{ and } s_2$  (in any order, perhaps with repeats).

Note that a string  $x$  is accepted by  $M$  iff  $x \in S(s_0, s, n)$  for some final state  $s$ . Thus,  $L(M)$  is the union over all final states  $s$  of  $S(s_0, s, n)$ .

We will prove by induction on  $k$  that  $S(s_i, s_j, k)$  is regular.

- ▶ Why not just take  $s_i = s_0$ ?
  - ▶ We need a stronger induction hypothesis

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Base case:

**Lemma 1:**  $S(s_i, s_j, -1)$  is regular.

**Proof:** For a string  $\sigma$  to be in  $S(s_i, s_j, -1)$ , it must go directly from  $s_i$  to  $s_j$ , without going through any intermediate strings. Thus,  $\sigma$  must be some subset of  $I$  (possibly empty) together with  $\lambda$  if  $s_i = s_j$ . Either way,  $S(s_i, s_j, -1)$  is regular.

**Lemma 2:** If  $s_j \neq s_{k+1}$ , then  $S(s_i, s_j, k + 1) =$   
 $S(s_i, s_j, k) \cup S(s_i, s_{k+1}, k)(S(s_{k+1}, s_{k+1}, k))^* S(s_{k+1}, s_j, k)$ .

**Lemma 2:** If  $s_j \neq s_{k+1}$ , then  $S(s_i, s_j, k+1) = S(s_i, s_j, k) \cup S(s_i, s_{k+1}, k)(S(s_{k+1}, s_{k+1}, k))^*S(s_{k+1}, s_j, k)$ .

**Proof:** If a string  $\sigma$  forces  $M$  from  $s_i$  to  $s_j$  on a path with intermediates states all in  $\{s_0, \dots, s_{k+1}\}$ , then the path either does not go through  $s_{k+1}$  at all, so is in  $S(s_i, s_j, k)$ , or goes through  $s_{k+1}$  some finite number of times, say  $m$ . That is, the path looks like this:

$$s_i \dots s_{k+1} \dots s_{k+1} \dots s_{k+1} \dots s_j$$

where all the states in the  $\dots$  part are in  $\{s_0, \dots, s_k\}$ . Thus, we can split up the string  $\sigma$  into  $m+1$  corresponding pieces:

- ▶  $\sigma_0$  that takes  $M$  from  $s_0$  to  $s_{k+1}$ ,
- ▶ each of  $\sigma_1, \dots, \sigma_m$  take  $M$  from  $s_{k+1}$  back to  $s_{k+1}$
- ▶  $\sigma_{m+1}$  takes  $M$  from  $s_{k+1}$  to  $s_j$ .

Thus,

- ▶  $\sigma_0 \in S(s_i, s_{k+1}, k)$
- ▶  $\sigma_1, \dots, \sigma_m$  are all in  $S(s_{k+1}, s_{k+1}, k)$
- ▶  $\sigma_{m+1} \in S(s_{k+1}, s_j, k)$
- ▶ So  $\sigma = \sigma_0 \sigma_1 \dots \sigma_{m+1} \in S(s_i, s_j, k) \cup S(s_i, s_{k+1}, k)(S(s_{k+1}, s_{k+1}, k))^*S(s_{k+1}, s_j, k)$

**Lemma 3:** If  $s_j = s_{k+1}$ , then

$$S(s_i, s_j, k + 1) = S(s_i, s_j, k) \cup S(s_i, s_j, k)(S(s_j, s_j, k))^*.$$

**Proof:** Same idea as previous proof.

**Lemma 3:** If  $s_j = s_{k+1}$ , then

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**Proof:** Same idea as previous proof.

**Lemma 4:**  $S(s_i, s_j, N)$  is regular for all  $N$  with  $-1 \leq N \leq n$ .

**Proof:** An easy induction. Lemma 1 gives the base case; Lemmas 2 and 3 give the inductive step.

**Lemma 3:** If  $s_j = s_{k+1}$ , then

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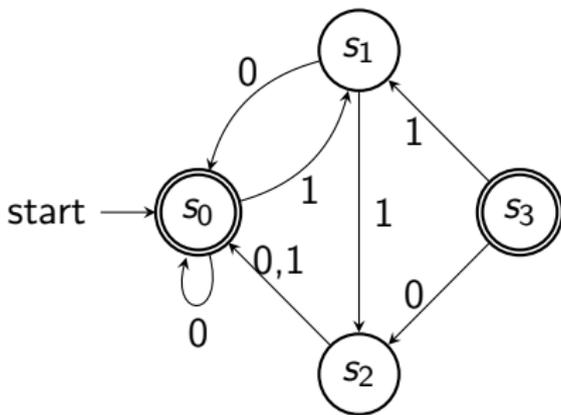
**Proof:** Same idea as previous proof.

**Lemma 4:**  $S(s_i, s_j, N)$  is regular for all  $N$  with  $-1 \leq N \leq n$ .

**Proof:** An easy induction. Lemma 1 gives the base case; Lemmas 2 and 3 give the inductive step.

The language accepted by  $M$  is the union of the sets  $S(s_0, s', n)$  such that  $s'$  is a final state. Since regular languages are closed under union, the result follows.

We can use the ideas of this proof to compute the regular language accepted by an automaton.



- ▶  $S(s_0, s_0, -1) = \{\lambda, 0\}$ ;  $S(s_0, s_1, -1) = \{1\}$ ; ...
- ▶  $S(s_0, s_0, 0) = 0^*$ ;  $S(s_1, s_0, 0) = 00^*$ ;  $S(s_0, s_1, 0) = 0^*1$ ;  
 $S(s_1, s_1, 0) = 00^*1$ ; ...
- ▶  $S(s_0, s_0, 1) = (0^*(10)^*)^*$ ; ...
- ▶ ...

We can methodically build up  $S(s_0, s_0, 2)$ , which is what we want (since  $s_3$  is unreachable).

## A Non-Regular Language

Not every language is regular (which means that not every language can be accepted by a finite automaton).

**Theorem:**  $L = \{0^n1^n : n = 0, 1, 2, \dots\}$  is not regular.

**Proof:** Suppose, by way of contradiction, that  $L$  is regular. Then there is a DFA  $M = (S, \{0, 1\}, f, s_0, F)$  that accepts  $L$ . Suppose that  $M$  has  $N$  states. Let  $s_0, \dots, s_{2N}$  be the set of states that  $M$  goes through on input  $0^N1^N$

► Thus  $f(s_i, 0) = s_{i+1}$  for  $i = 0, \dots, N$ .

Since  $M$  has  $N$  states, by the pigeonhole principle (remember that?), at least two of  $s_0, \dots, s_N$  must be the same. Suppose it's  $s_i$  and  $s_j$ , where  $i < j$ , and  $j - i = t$ .

**Claim:**  $M$  accepts  $0^N0^t1^N$ , and  $0^N0^{2t}1^N$ ,  $0^N0^{3t}1^N$ .

**Proof:** Starting in  $s_0$ ,  $0^i$  brings the machine to  $s_i$ ; another  $0^t$  bring the machine back to  $s_i$  (since  $s_j = s_{i+t} = s_i$ ); another  $0^t$  bring machine back to  $s_i$  again. After going around the loop for a while, the can continue to  $s_N$  and accept.

## The Pumping Lemma

The techniques of the previous proof generalize. If  $M$  is a DFA and  $x$  is a string accepted by  $M$  such that  $|x| \geq |S|$

- ▶  $|S|$  is the number of states;  $|x|$  is the length of  $x$

then there are strings  $u, v, w$  such that

- ▶  $x = uvw$ ,
- ▶  $|uv| \leq |S|$ ,
- ▶  $|v| \geq 1$ ,
- ▶  $uv^i w$  is accepted by  $M$ , for  $i = 0, 1, 2, \dots$

The proof is the same as on the previous slide.

- ▶  $x$  was  $0^n 1^n$ ,  $u = 0^i$ ,  $v = 0^t$ ,  $w = 0^{N-t-i} 1^N$ .

We can use the Pumping Lemma to show that many languages are *not* regular

- ▶  $\{1^{n^2} : n = 0, 1, 2, \dots\}$ : homework
- ▶  $\{0^{2n} 1^n : n = 0, 1, 2, \dots\}$ : homework
- ▶  $\{1^n : n \text{ is prime}\}$
- ▶ ...

## More Powerful Machines

Finite automata are very simple machines.

- ▶ They have no memory
- ▶ Roughly speaking, they can't count beyond the number of states they have.

*Pushdown automata* have states and a *stack* which provides unlimited memory.

- ▶ They can recognize all languages generated by *context-free grammars* (CFGs)
  - ▶ CFGs are typically used to characterize the syntax of programming languages
- ▶ They can recognize the language  $\{0^n 1^n : n = 0, 1, 2, \dots\}$ , but not the language  $L' = \{0^n 1^n 2^n : n = 0, 1, 2, \dots\}$

*Linear bounded automata* can recognize  $L'$ .

- ▶ More generally, they can recognize *context-sensitive grammars* (CSGs)
- ▶ CSGs are (almost) good enough to characterize the grammar of real languages (like English)

Most general of all: Turing machine (TM)

- ▶ Given a *computable* language, there is a TM that accepts it.
- ▶ This is essentially how we define computability.

If you're interested in these issues, take CS 4810!