

# **Theory of Computation 3**

## **Deterministic Finite Automata**

**Frank Stephan**

**Department of Computer Science**

**Department of Mathematics**

**National University of Singapore**

**[fstephan@comp.nus.edu.sg](mailto:fstephan@comp.nus.edu.sg)**

# Repetition 1

Grammar  $(\mathbf{N}, \Sigma, \mathbf{P}, \mathbf{S})$  describes how to generate the words in a language; the language  $\mathbf{L}$  of a grammar consists of all the words in  $\Sigma^*$  which can be generated.

$\mathbf{N}$ : Non-terminal alphabet, disjoint to  $\Sigma$ .

$\mathbf{S} \in \mathbf{N}$  is the start symbol.

$\mathbf{P}$  consists of rules  $\mathbf{l} \rightarrow \mathbf{r}$  with each rule having at least one symbol of  $\mathbf{N}$  in the word  $\mathbf{l}$ .

$\mathbf{v} \Rightarrow \mathbf{w}$  iff there are  $\mathbf{x}, \mathbf{y}$  and rule  $\mathbf{l} \rightarrow \mathbf{r}$  in  $\mathbf{P}$  with  $\mathbf{v} = \mathbf{xly}$  and  $\mathbf{w} = \mathbf{xry}$ .  $\mathbf{v} \Rightarrow^* \mathbf{w}$ : several such steps.

The grammar with  $\mathbf{N} = \{\mathbf{S}\}$ ,  $\Sigma = \{0, 1\}$  and  $\mathbf{P} = \{\mathbf{S} \rightarrow \mathbf{SS}, \mathbf{S} \rightarrow 0, \mathbf{S} \rightarrow 1\}$  permits to generate all nonempty binary strings.

$\mathbf{S} \Rightarrow \mathbf{SS} \Rightarrow \mathbf{SSS} \Rightarrow \mathbf{0SS} \Rightarrow \mathbf{01S} \Rightarrow \mathbf{011}$ .

# Repetition 2

Grammar  $(\mathbf{N}, \Sigma, \mathbf{P}, \mathbf{S})$  generating  $\mathbf{L}$ .

CH0: No restriction. Generates all recursively enumerable languages.

CH1 (context-sensitive): Every rule is of the form  $\mathbf{uAw} \rightarrow \mathbf{uvw}$  with  $\mathbf{A} \in \mathbf{N}$ ,  $\mathbf{u}, \mathbf{v}, \mathbf{w} \in (\mathbf{N} \cup \Sigma)^*$ .

Easier formalisation: If  $\mathbf{l} \rightarrow \mathbf{r}$  is a rule then  $|\mathbf{l}| \leq |\mathbf{r}|$ , that is,  $\mathbf{r}$  is at least as long as  $\mathbf{l}$ . Special rule for the case that  $\varepsilon \in \mathbf{L}$ .

CH2 (context-free): Every rule is of the form  $\mathbf{A} \rightarrow \mathbf{w}$  with  $\mathbf{A} \in \mathbf{N}$  and  $\mathbf{w} \in (\mathbf{N} \cup \Sigma)^*$ .

CH3 (regular): Every rule is of the form  $\mathbf{A} \rightarrow \mathbf{wB}$  or  $\mathbf{A} \rightarrow \mathbf{w}$  with  $\mathbf{A}, \mathbf{B} \in \mathbf{N}$  and  $\mathbf{w} \in \Sigma^*$ .

$\mathbf{L}$  is called context-sensitive / context-free / regular iff it can be generated by a grammar of respective type.

# Multiples of 3

Check whether decimal number  $a_1a_2 \dots a_n$  is a multiple of 3.

## Easy Algorithm

Scan through the word from  $a_1$  to  $a_n$ .

Maintain memory  $s$ .

Initialise  $s = 0$ .

For  $m = 1, 2, \dots, n$  Do

    Begin Let  $s = s + a_m$  modulo 3 End.

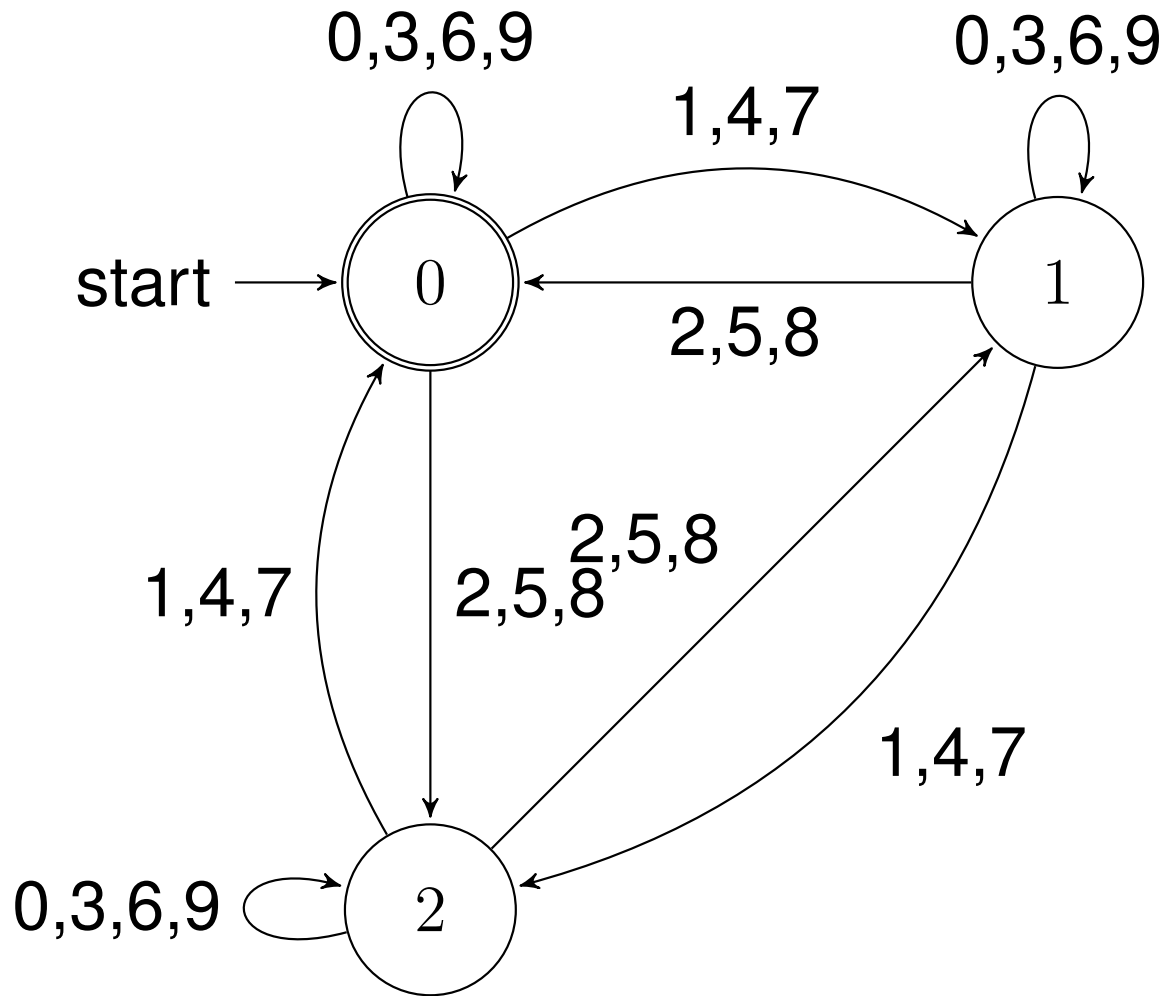
If  $s = 0$

    Then  $a_1a_2 \dots a_n$  is multiple of 3

    Else  $a_1a_2 \dots a_n$  is not a multiple of 3.

Test the algorithm on 1, 20, 304, 2913, 49121, 391213, 2342342, 123454321.

# Finite Automaton



# Automata Working Mod 7

Automaton  $(\{0, 1, 2, 3, 4, 5, 6\}, \{0, 1, \dots, 9\}, \delta, 0, \{0\})$  with  $\delta$  given as table.

$q$	type	$\delta(q, a)$ for $a = 0$	1	2	3	4	5	6	7	8	9
0	acc	0	1	2	3	4	5	6	0	1	2
1	rej	3	4	5	6	0	1	2	3	4	5
2	rej	6	0	1	2	3	4	5	6	0	1
3	rej	2	3	4	5	6	0	1	2	3	4
4	rej	5	6	0	1	2	3	4	5	6	0
5	rej	1	2	3	4	5	6	0	1	2	3
6	rej	4	5	6	0	1	2	3	4	5	6

$\delta(q, a)$  is the remainder of  $10 * q + a$  by 7.

$\delta(0, 568) = \delta(\delta(\delta(0, 5), 6), 8) = 1.$

# Automaton as Program

```
function div257 begin
  var a in {0,1,2,...,256};
  var b in {0,1,2,3,4,5,6,7,8,9};
  if exhausted(input) then reject;
  read(b,input); a = b;
  if b == 0 then
    begin if exhausted(input)
      then accept else reject end;
  while not exhausted(input) do
    begin read(b,input);
      a = (a*10+b) mod 257 end;
  if a == 0 then accept else reject end.
```

Automaton checks whether input is multiple of 257.

Automaton rejects leading 0s of decimal numbers.

Important: All variables can only store constantly many information during the run of the automaton.

# Finite Automaton - Formal

A deterministic finite automaton (dfa) is given by a set  $Q$  of states, the alphabet  $\Sigma$  used, the state-transition function  $\delta$  mapping  $Q \times \Sigma$  to  $Q$ , the starting state  $s \in Q$  and a set  $F \subseteq Q$  of final states.

On input  $a_1 a_2 \dots a_n$ , one can associate to this input a sequence  $q_0 q_1 q_2 \dots q_n$  of states of the finite automaton with  $q_0 = s$  and  $\delta(q_m, a_{m+1}) = q_{m+1}$  for all  $m < n$ . This sequence is called the *run of the dfa on this input*.

A dfa *accepts* a word  $w$  iff its run on the input  $w$  ends in an accepting state, that is, in a member of  $F$ . Otherwise the dfa *rejects* the word  $w$ .

One can inductively extend  $\delta$  to a function from  $Q \times \Sigma^*$  to  $Q$  by letting  $\delta(q, \varepsilon) = q$  and  $\delta(q, wa) = \delta(\delta(q, w), a)$ . So the dfa accepts  $w$  iff  $\delta(s, w) \in F$ .



# Exercise 3.6

Make a finite automaton for the program from the Slide 7.

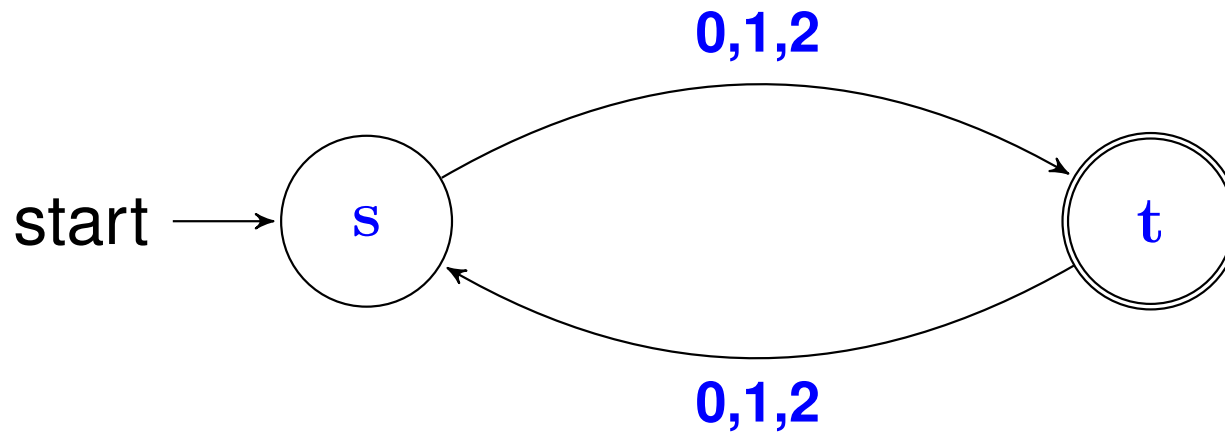
Use  $Q = \{s, z, r, q_0, q_1, \dots, q_{256}\}$ .

Here  $s$  is the starting state,  $r$  is an always rejecting state which is never left and  $z$  is the state which is reached after reading the first  $0$ . Furthermore, when the word is starting with  $1, 2, \dots, 9$ , then the automaton should cycle between the states  $q_0, q_1, \dots, q_{256}$ .

Describe when the automaton is in state  $q_a$  and how the states are updated on  $b$ . There is no need to write a table for  $\delta$ , it is sufficient to say how  $\delta$  works in each relevant case.

# Quiz 3.7

Let  $(\{s, t\}, \{0, 1, 2\}, \delta, s, \{t\})$  be a finite automaton with  $\delta(s, a) = t$  and  $\delta(t, a) = s$  for all  $a \in \{0, 1, 2\}$ . Determine the language of strings recognised by this automaton.



# Regular Sets

## Theorem 3.8

The following statements are equivalent for a language  $L$ .

- (a)  $L$  is recognised by a deterministic finite automaton;
- (b)  $L$  is generated by a regular expression;
- (c)  $L$  is generated by a regular grammar.

Equivalence of (b) and (c) was in Lecture 2. Now implication (a) to (c) is shown; the missing implication comes in Lecture 4.

# Implication (a) to (c)

Assume  $(Q, \Sigma, \delta, s, F)$  is a dfa recognising  $L$ .

Consider grammar  $(Q, \Sigma, P, s)$  with  $P$  having the following rules:

- $q \rightarrow ar$  whenever  $\delta(q, a) = r$ ;
- $q \rightarrow \varepsilon$  whenever  $q \in F$ .

Let  $w = a_1 a_2 \dots a_n$  be a word.

The dfa recognises  $w$  iff there is an accepting run starting in  $q_0 = s$  and transiting from  $q_{m-1}$  to  $q_m$  on symbol  $a_m$  with  $q_n \in F$  iff there is a derivation of  $w$  of the form

$$q_0 \Rightarrow a_1 q_1 \Rightarrow a_1 a_2 q_2 \Rightarrow \dots \Rightarrow a_1 a_2 \dots a_n q_n \Rightarrow a_1 a_2 \dots a_n$$

with  $q_0 = s$  for the given grammar iff the grammar generates  $w$ .

# Example

Language: Multiples of 3 (with leading zeroes).

Grammar

Set of Terminals:  $\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$ .

Set of Non-Terminals:  $\{q_0, q_1, q_2\}$ .

Rules:

$q_0 \rightarrow 0q_0 | 1q_1 | 2q_2 | 3q_0 | 4q_1 | 5q_2 | 6q_0 | 7q_1 | 8q_2 | 9q_0 | \varepsilon$ ;

$q_1 \rightarrow 0q_1 | 1q_2 | 2q_0 | 3q_1 | 4q_2 | 5q_0 | 6q_1 | 7q_2 | 8q_0 | 9q_1$ ;

$q_2 \rightarrow 0q_2 | 1q_0 | 2q_1 | 3q_2 | 4q_0 | 5q_1 | 6q_2 | 7q_0 | 8q_1 | 9q_2$ .

Start Symbol:  $q_0$ .

Sample Derivations

$q_0 \Rightarrow 2q_2 \Rightarrow 22q_1 \Rightarrow 222q_0 \Rightarrow 222$ ;

$q_0 \Rightarrow 2q_2 \Rightarrow 24q_0 \Rightarrow 243q_0 \Rightarrow 243$ ;

$q_0 \Rightarrow 7q_1 \Rightarrow 72q_0 \Rightarrow 729q_0 \Rightarrow 729$ ;

$q_0 \Rightarrow 2q_2 \Rightarrow 25q_1 \Rightarrow 256q_1 \not\Rightarrow 256$ .

# Block Pumping Lemma

**Theorem 3.9** [Ehrenfeucht, Parikh and Rozenberg 1981]

If  $L$  is a regular set then there is a constant  $k$  such that for all strings  $u_0, u_1, \dots, u_k$  with  $u_0u_1 \dots u_k \in L$  there are  $i, j$  with  $0 < i < j \leq k$  and

$$(u_0u_1 \dots u_{i-1}) \cdot (u_iu_{i+1} \dots u_{j-1})^* \cdot (u_ju_{j+1} \dots u_k) \subseteq L.$$

So if one splits a word in  $L$  into  $k + 1$  parts then one can select some neighbouring parts in the middle of the word which can be pumped.

If one  $u_i$  with  $0 < i < k$  is empty then  $u_i$  can be pumped; one can also require that  $u_1, u_2, \dots, u_{k-1}$  are nonempty.

# Example 3.10

$L = \{1, 2\}^* \cdot (0 \cdot \{1, 2\}^* \cdot 0 \cdot \{1, 2\}^*)^*$  satisfies the Block Pumping Lemma with  $k = 3$ :

Let  $u_0, u_1, u_2, u_3$  be given with  $u_0u_1u_2u_3 \in L$ .

If  $u_1$  contains an even number of  $0$  then  $u_0(u_1)^*u_2u_3 \subseteq L$ ;

If  $u_2$  contains an even number of  $0$  then  $u_0u_1(u_2)^*u_3 \subseteq L$ ;

If  $u_1, u_2$  both contain an odd number of  $0$  then  $u_0(u_1u_2)^*u_3 \subseteq L$ .

$H = \{u : u \text{ has a different number of } 0\text{s than } 1\text{s}\}$  does not satisfy the Block Pumping Lemma with any  $k$ :

If  $u = 0^k 1^{k+k!}$  then one takes  $u_0, u_1, \dots, u_{k-1} = 0$  and  $u_k = 1^{k+k!}$  and whatever pumping interval one chooses, the pump is of the form  $0^h$  for  $h < k$  and  $0^k \cdot (0^h)^{k!/h} 1^{k+k!}$  is not in  $H$ .

# Block Pumping

**Theorem 3.11** [Ehrenfeucht, Parikh and Rozenberg 1981]

If a language and its complement both satisfy the Block Pumping Lemma then the language is regular.

**Quiz 3.12** Which of the following languages over  $\Sigma = \{0, 1, 2, 3\}$  satisfies the pumping-condition of the Block Pumping Lemma:

- (a)  $\{00, 111, 22222\}^* \cap \{11, 222, 00000\}^* \cap \{22, 000, 11111\}^*$ ,
- (b)  $\{0^m 1^n 2^o : m + n + o = 5555\}$ ,
- (c)  $\{0^m 1^n 2^o : m + n = o + 5555\}$ ,
- (d)  $\{w : w \text{ contains more } 1 \text{ than } 0\}$ ?



# Blockpumping Constants

The optimal constant for a language  $L$  is the least  $n$  such that for all words  $u_0u_1u_2 \dots u_n \in L$  there are  $i, j$  with  $0 < i < j \leq n$  and  $u_0 \dots u_{i-1}(u_i \dots u_{j-1})^*u_j \dots u_n \subseteq L$ .

**Exercise 3.13** Find the optimal block pumping constants for the following languages:

- (a)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : \text{at least one nonzero digit } a \text{ occurs in } w \text{ at least three times}\}$ ;
- (b)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : |w| = 255\}$ ;
- (c)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : \text{the length } |w| \text{ is not a multiple of } 6\}$ .

**Exercise 3.14** Find the optimal block pumping constants for the following languages:

- (a)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is a multiple of } 25\}$ ;
- (b)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is not a multiple of } 3\}$ ;
- (c)  $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is a multiple of } 400\}$ .

# Exercises 3.15 and 3.16

## Exercise 3.15

Find a regular language  $L$  so that the constant of the Block Pumping Lemma for  $L$  is 4 and for the complement of  $L$  is 4096 or more. Note that you can use an alphabet  $\Sigma$  of sufficiently large size.

## Exercise 3.16

Give an example of a language  $L$  which satisfies the normal Pumping Lemma (where there is a  $k$  such that for all  $w$  with  $|w| \geq k$  there are  $x, y, z$  with  $xyz = w$ ,  $|y| > 0$ ,  $|xy| \leq k$  and  $xy^*z \subseteq L$ ) but not the Block Pumping Lemma.

# Derivatives

Given a language  $L$ , let  $L_x = \{y : x \cdot y \in L\}$  be the derivative of  $L$  at  $x$ .

**Theorem 3.17** [Myhill and Nerode].

A language  $L$  is regular iff  $L$  has only finitely many derivatives.

If  $L$  has  $k$  derivatives, one can make a dfa recognising  $L$ . The states are strings  $x_1, x_2, \dots, x_k$  representing the derivatives  $L_{x_1}, L_{x_2}, \dots, L_{x_k}$ .

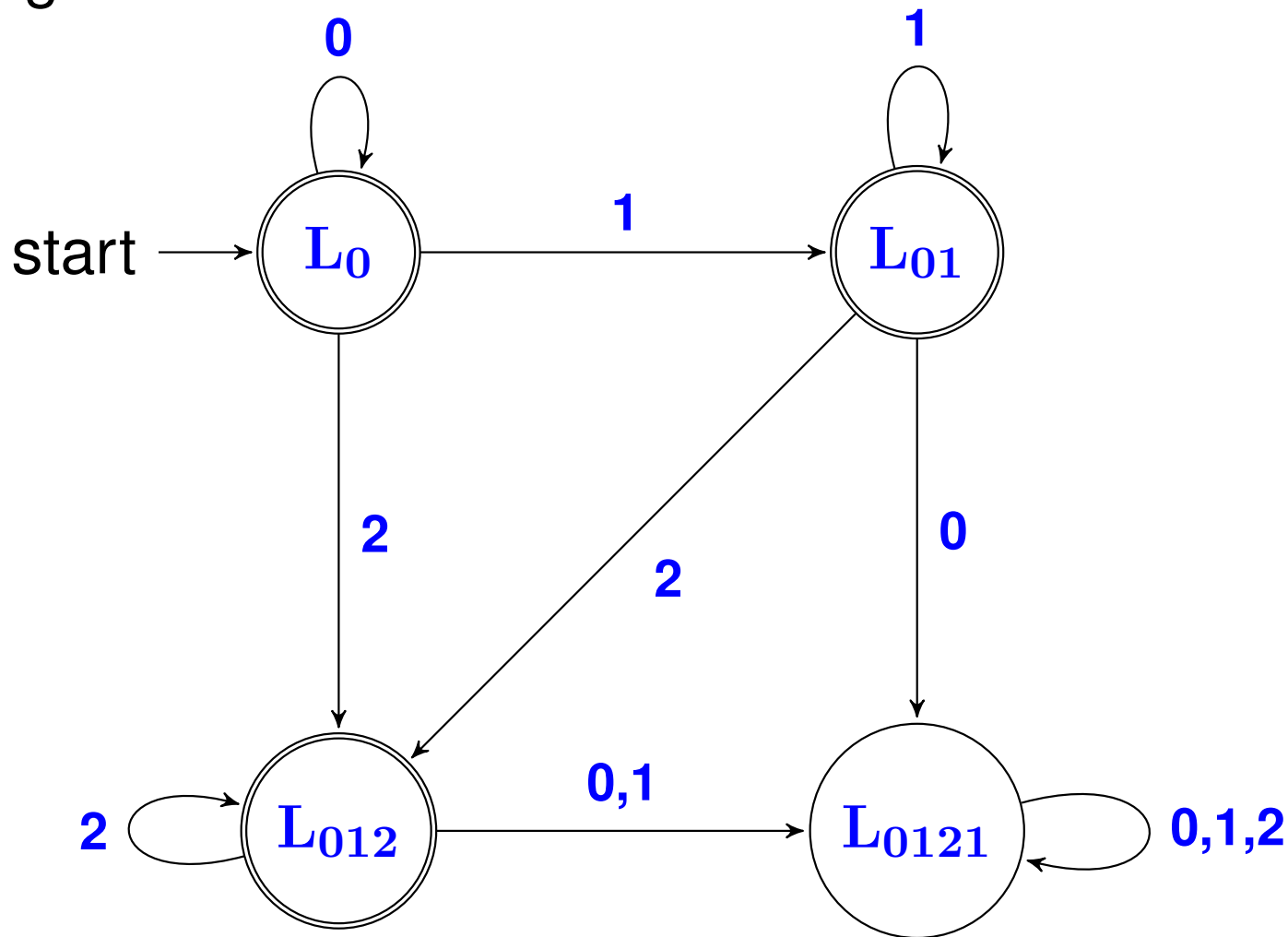
The transition rule  $\delta(x_i, a)$  is the unique  $x_j$  with  $L_{x_j} = L_{x_i a}$ .

The starting state is the unique state  $x_i$  with  $L_{x_i} = L$ .

A state  $x_i$  is accepting iff  $\varepsilon \in L_{x_i}$  iff  $x_i \in L$ .

# Example 3.19

Let  $L = 0^*1^*2^*$ . Now  $L_0 = 0^*1^*2^*$ ,  $L_{01} = 1^*2^*$ ,  $L_{012} = 2^*$  and  $L_{0121} = \emptyset$ . The corresponding automaton is the following.



# Other Direction

Assume that a dfa recognises a language  $L$  and that  $\delta$  is the transition function of the dfa. Now if  $\delta(s, v) = \delta(s, w)$  then  $L_v = L_w$ : Given a word  $u$ , then  $u \in L_v$  iff  $vu \in L$  iff  $\delta(\delta(s, v), u)$  is accepting iff  $\delta(\delta(s, w), u)$  is accepting iff  $wu \in L$  iff  $u \in L_w$ .

So one can pick for every reachable state  $q$  a word  $x_q$  with  $\delta(s, x_q) = q$  and it follows that for every word  $y$  there is a reachable state  $q$  with  $\delta(s, y) = q$  and thus  $L_y = L_{x_q}$ .

In summary, every derivative  $L_y$  is equal to one of the derivatives  $L_{x_q}$  with  $q$  being a reachable state and therefore there are only finitely many derivatives in a regular language.

# Example 3.20

Let  $L = \{0^n 1^n : n \in \mathbb{N}\}$ .

Then  $L_{0^n} = \{0^m 1^{n+m} : m \in \mathbb{N}\}$ .

The shortest string in  $L_{0^n}$  is  $1^n$ .

If  $n \neq n'$  then  $L_{0^n} \neq L_{0^{n'}}$ . Hence there are infinitely many different derivatives.

The language  $L$  cannot be regular.

# Jaffe's Pumping Lemma

Lemma 3.21 [Jaffe 1978]

A language  $L \subseteq \Sigma^*$  is regular iff there is a constant  $k$  such that for all  $x \in \Sigma^*$  and  $y \in \Sigma^k$  there are  $u, v, w$  with  $y = uvw$  and  $v \neq \varepsilon$  such that, for all  $h$ ,  $L_{xuv^h w} = L_{xy}$ .

Proof

If a dfa recognises with  $k$  states recognises  $L$  then there are for every  $x, y$  with  $|y| = k$  two distinct prefixes  $u, uv$  of  $y$  such that the dfa is in the same state after reading  $xu$  and  $xuv$ . Thus when splitting  $y$  into  $u \cdot v \cdot w$  for  $u, v$  from above then, for all  $z$ , the automaton is for all  $h$  on the words  $xuv^h w z$  in the same state; hence  $L_{xuv^h w} = L_{xy}$  for all  $h$ .

Conversely, for every  $z$  of length at least  $k$  there is a  $z'$  shorter than  $z$  with  $L_{z'} = L_z$ ; thus there are at most as many derivatives as there are words up to length  $k - 1$  and thus  $L$  is regular by the Theorem of Myhill and Nerode.

# Exercises

## Exercise 3.22

Assume that the alphabet  $\Sigma$  has 5000 elements. Define a language  $L \subseteq \Sigma^*$  such that Jaffe's Matching Pumping Lemma is satisfied with constant  $k = 3$  while every deterministic finite automaton recognising  $L$  has more than 5000 states. Prove your answer.

## Exercise 3.23

Find a language which needs for Jaffe's Matching Pumping Lemma at least constant  $k = 100$  and can be recognised by a deterministic finite automaton with 100 states. Prove your answer.



# Algorithm 3.29

Minimise dfa  $(Q, \Sigma, \delta, s, F)$

Construct Set R of Reacheable States:  $R = \{s\}$ ;

While  $\exists q \in R \exists a \in \Sigma [\delta(q, a) \notin R]$

Do Begin  $R = R \cup \{\delta(q, a)\}$  End.

Identify Distinguishable States  $\gamma$ :

Initialise  $\gamma = \{(q, p), (q, p) : p \in R \cap F, q \in R - F\}$ ;

While  $\exists (p, q) \in R \times R - \gamma \exists a \in \Sigma [(\delta(p, a), \delta(q, a)) \in \gamma]$

Do Begin  $\gamma = \gamma \cup \{(p, q), (q, p)\}$  End.

Minimal Automaton  $(Q', \Sigma, \delta', s', F')$ :

$Q' = \{q \in R : \forall p < q [(p, q) \in \gamma \text{ or } p \notin R]\}$ ;

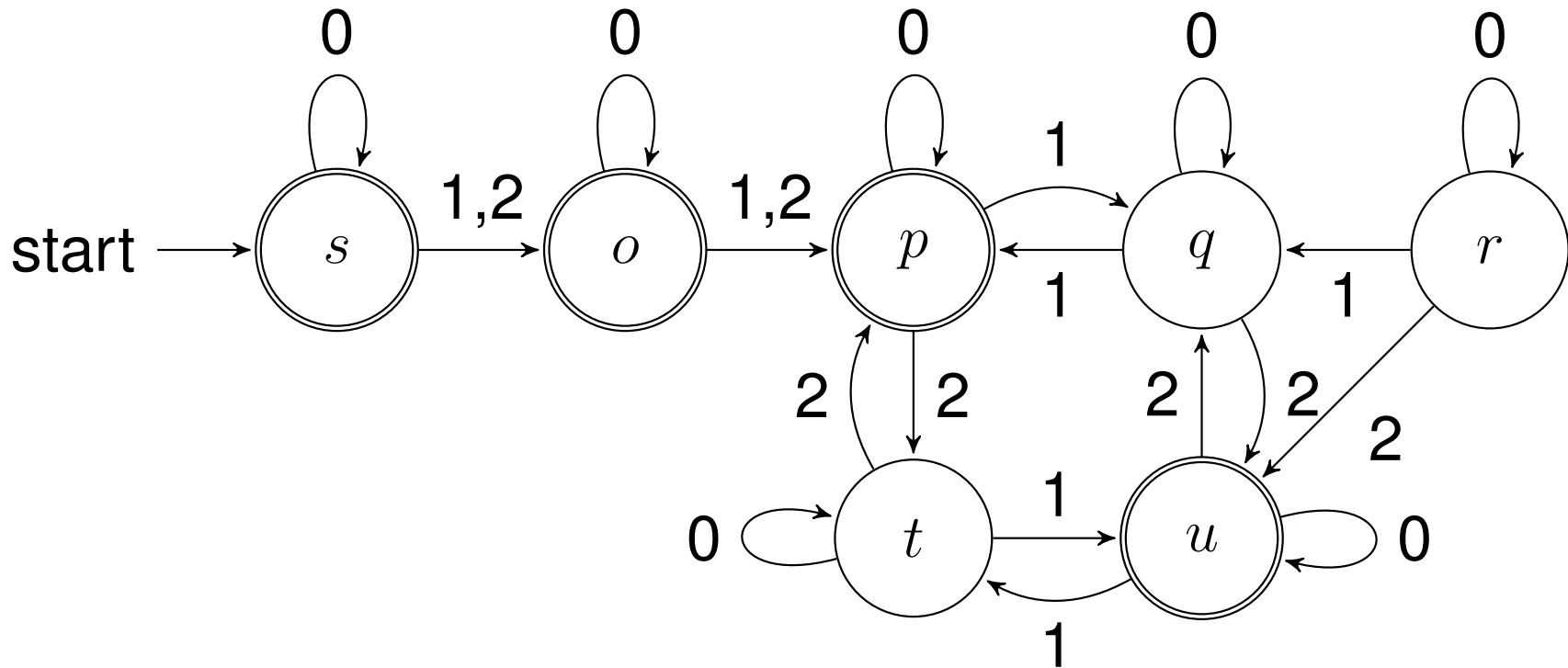
$\delta'(q, a)$  is the unique  $p \in Q'$  with  $(p, \delta(q, a)) \notin \gamma$ ;

$s'$  is the unique  $s' \in Q'$  with  $(s, s') \notin \gamma$ ;

$F' = F \cap Q'$ .

# Exercise 3.30

Make an equivalent minimal complete dfa for this one:



Follow the steps of the algorithm of Myhill and Nerode.

# Exercise 3.31

Assume that  $\Sigma = \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$  and  $Q = \{(a, b, c) : a, b, c \in \Sigma\}$  is the set of states. Furthermore assume that  $\delta((a, b, c), d) = (b, c, d)$  for all  $a, b, c, d \in \Sigma$ ,  $(0, 0, 0)$  is the start state and that  $F = \{(1, 1, 0), (3, 1, 0), (5, 1, 0), (7, 1, 0), (9, 1, 0)\}$  is the set of accepting states.

This dfa has **1000** states. Find a smaller dfa for this set and try to get the dfa as small as possible.

# Exercise 3.32

Assume that  $\Sigma = \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$  and  $Q = \{(a, b, c) : a, b, c \in \Sigma\}$  is the set of states. Furthermore assume that  $\delta((a, b, c), d) = (b, c, d)$  for all  $a, b, c, d \in \Sigma$ ,  $(0, 0, 0)$  is the start state and that  $F = \{(1, 2, 5), (3, 7, 5), (6, 2, 5), (8, 7, 5)\}$  is the set of accepting states.

This dfa has **1000** states. Find a smaller dfa for this set and try to get the dfa as small as possible.

# Exercises 3.33 to 3.36

These two exercises ask to provide a minimal dfa for a language  $L$ ; though  $L$  is given by a context-free grammar, it is in both cases regular. The dfas need not be complete.

**Exercise 3.33** – The grammar is given as

$(\{S, T, U\}, \{0, 1, 2, 3\}, P, S)$  with  $P =$   
 $\{S \rightarrow TTT|TTU|TUU|UUU, T \rightarrow 0T|T1|01,$   
 $U \rightarrow 2U|U3|23\}.$

**Exercise 3.34** – The grammar is given as

$(\{S, T, U\}, \{0, 1, 2, 3, 4, 5\}, P, S)$  with  $P =$   
 $\{S \rightarrow TS|SU|T23U, T \rightarrow 0T|T1|01,$   
 $U \rightarrow 4U|U5|45\}.$

**Exercises 3.35 and 3.36** – Provide regular expressions for the first and the second of the above grammars, respectively.

# Additional Exercises

Provide finite automata for the below sets of numbers; the dfas can be made in any of the styles of slides 5 to 7.

**Exercise 3.37.** All decimal numbers where between two occurrences of a digit  $d$  are at least three other digits.

**Exercise 3.38.** All decimal numbers which are not multiples of a one-digit prime number.

**Exercise 3.39.** All decimal numbers with at least five decimal digits which are divisible by 8.

**Exercise 3.40.** All decimal numbers which have in their decimal representation twenty consecutive odd digits.

**Exercise 3.41.** All octal numbers (digits 0, 1, 2, 3, 4, 5, 6, 7) without leading zeroes which are not multiples of 7.

# Automata to Regular Expressions

Consider the automaton  $(\{0, 1, 2, 3\}, \{0, 1, 2, 3\}, \delta, 0, \{1, 3\})$  with  $\delta$  given in this table.

$q$	type	$\delta(q, a)$ for $a = 0$	1	2	3
0	start, rej	0	1	2	3
1	acc	1	1	2	3
2	rej	2	2	2	3
3	acc	3	3	3	3

**Exercise 3.42.** Make a regular expression for the language  $\mathbf{L}$  recognised by the dfa.

**Exercise 3.43.** Let  $\mathbf{L}$  as in Exercise 3.42 and make a regular expression for the language of words of odd lengths in  $\mathbf{L}$ .

**Exercise 3.44.** Let  $\mathbf{L}$  as in Exercise 3.42 and make a regular expression for the language of words of length at least **5** in  $\mathbf{L}$ .