Automates et Langages



http://homepages.laas.fr/dalzilio/courses/ag/

2019-2020

la semaine prochaine un problème line > blague intuition desmaths "necette"

méta-blague

Automata

quick refresher + an application to string searching

String searching

Problem: find the occurrences of a given word (the needle) inside a, usually much larger, text (the haystack)

- a simple problem (linear complexity)
- an important problem, with many applications: log analysis ; security ; DNA and protein sequences, string mining

An instance of a more general problem \Rightarrow pattern matching

String searching: O(n)



```
func simple(word, text []byte) int {
    for i = 0; i < len(text); i++ {
        for j = 0; j < len(word); j++ {
            if i+j == len(text) { return -1 }
            if text[i+j] != pattern[j] { break }
        }
    }
    return i }</pre>
```

String searching: $k \times n$



 $\Sigma = \{A, C, G, T\}$

We are in a case where the constants are important; two O(n) algorithms are not equivalent.

Can we do it in time n ?

Idea: use a DFA

- Imagine we want to match the string *a b a b*
- We want to match every possible occurrences



here [^] means \Im (i.e. $\Sigma \setminus \emptyset$)

Idea: use a DFA

- Imagine we want to match the string *a b a b*
- We want to match every possible occurrences



Drawbacks:

- are we sure to match all occurrences? Imagine the haystack a b a b a b (that has 2 occurrences)
- non-deterministic ⇒ we need to use "4 registers" (not optimal !?) or to use backtracking (not practical)

here [^] means Σ (i.e. $\Sigma \setminus \emptyset$)

Déterminization



det(\mathcal{A}) est un tuple (Q', Σ , δ' , q'_I , F') où :

- $Q' = 2^Q = \mathcal{P}(Q)$ (powerset)
- $\Sigma = m \hat{e} m \hat{e} a l p habet que A$
- $q'_I = \epsilon F(I)$
- $F' = \{ S \mid S \cap F \neq \emptyset \}$
- $\delta' \in (Q' \times \Sigma) \rightarrow Q'$: fonction de transition

Idea: determinization



preprocessing time in k. $|\Sigma|$

when we "fail" to match the next symbol, we do not always need to start over



 When matching fails at position j, it is enough to remember the longest prefix of word that is a suffix of word[0..j]

prefix



 When matching fails at position j, it is enough to remember the longest prefix of word that is a suffix of word[0..j]



 When matching fails at position j, it is enough to remember the longest prefix of word that is a suffix of word[0..j]

word a b a b a b a b c a π 0012345601

if we have already matched a b a b a b a b and fail at matching the next a (when j==6), the next "possibly useful" shift is j==4

 When matching fails at position j, it is enough to remember the longest prefix of word that is a suffix of word[0..j]

word a b a b a b a b c a π 0012345601

a b a b a b d a b a b a b a a b a b a a a b a a a a $\pi(6) = 4$ $\pi(4) = 2$ a a a a a a $\pi(2) = 0$

String matching

- This approach \equiv *Knuth-Morris-Pratt* algorithm (1970)
- Other algorithms use hashing \Rightarrow Karp
 - good solution for approx./randomized pattern matching
- A state of the art algorithm is Boyer-Moore (1977)
 - scans the needle from right \rightarrow left
 - part of the C++ STL, still used in grep, ...
- Aho–Corasick algorithm
 - search multiple strings: grep -F
 - "[...] constructs a finite-state machine that resembles a trie with additional links between internal nodes."

Regular Expressions and Rational Languages



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Languages

quick refresher on words and languages

Monoid Σ^*

- a word w is a sequence of symbols in Σ
- we can concatenate two words w_1 . w_2
- |w| is the length of w
- ϵ is the empty sequence, $|\epsilon| = 0$ ϵ is the identity element, $w \cdot \epsilon = \epsilon \cdot w = w$
- $(\Sigma^{\star}, .., \epsilon)$ is the *free monoid* of Σ
- * is often referred to as the Kleene star

Properties of Σ^* (ex.)

When we have a total order between elements of Σ , (say $a \leq b \leq \dots$), we obtain a (lexicographic) total order on Σ^* , e.g. $\epsilon \leq a \ a \ b \leq a \ b$

u is a *prefix of w* if there is *v* such that u v = wLikewise, *v* is said to be a *suffix of w* We can denote^{*} the prefix order $u \sqsubseteq w$

Lemma (ex.): if $u \sqsubseteq w$ and $v \sqsubseteq w$ (u et v are both prefixes of w), then $u \sqsubseteq v$ iff $|u| \le |v|$.

[*]: no need to order Σ

Languages over Σ

Languages are subsets of Σ^{\star}

Some examples of languages:

| Ø | also denoted 0 |
|------------------|-----------------------------------|
| $\set{\epsilon}$ | also denoted Λ or ${f 1}$ |
| { <i>a</i> } | also denoted a |

Natural operations between languages

union: concatenation: exponentiation:

Kleene star:

$$\begin{split} \mathcal{L}_{1} + \mathcal{L}_{2} \\ \mathcal{L}_{1} \cdot \mathcal{L}_{2} &= \{ u_{1} u_{2} \mid u_{1} \in \mathcal{L}_{1}, u_{2} \in \mathcal{L}_{2} \} \\ \mathcal{L}^{n} &= \{ u_{1} \dots u_{n} \mid u_{i} \in \mathcal{L} \} \\ \mathcal{L}^{0} &= \mathbf{1} \\ \mathcal{L}^{\star} &= \bigcup_{n \geq 0} \mathcal{L}^{n} \end{split}$$

Languages over Σ : algebraic laws

$$\mathcal{L} + \mathbf{0} = \mathbf{0} + \mathcal{L} = \mathcal{L}$$
$$\mathcal{L} \cdot \mathbf{1} = \mathbf{1} \cdot \mathcal{L} = \mathcal{L}$$
$$\mathcal{L} \cdot \mathbf{0} = \mathbf{0} \cdot \mathcal{L} = \mathbf{0}$$
$$a^* = \mathbf{1} + a \cdot a^* = \{\epsilon\} + \{a\} + \{aa\} + \dots$$
$$(1 + \mathcal{L})^* = \mathcal{L}^*$$

Languages over Σ : algebraic laws

$\mathcal{L} + \mathcal{L} = \mathcal{L}$

 $(\mathcal{L}_1 + \mathcal{L}_2) \cdot \mathcal{L}_3 = (\mathcal{L}_1 \cdot \mathcal{L}_3) + (\mathcal{L}_2 \cdot \mathcal{L}_3)$ $\mathcal{L}^{\star^{\star}} a = \mathcal{L}^{\star}$

...

Languages: other operations

intersection: complement: mirror image:

$$\mathcal{L}_{1} \cap \mathcal{L}_{2}$$
$$\overline{\mathcal{L}} = \Sigma \setminus \mathcal{L}$$
$$\widetilde{\mathcal{L}} = \{ \tilde{u} \mid u \in \mathcal{L} \}$$

residual:

$$u^{-1}\mathcal{L} = \{ v \mid u.v \in \mathcal{L} \}$$

The notion of residuals is very important to understand the power of DFA.

 $(con)^{-1}$. \mathcal{L}

computing concept concern concurrency concurrent conference confuses connectivity consistent consortium constraint constructed context continues contradicting contrast contribution control conventional cooperates

What are we proving today ?



Some people, when confronted with a problem, think "I know, I'll use regular expressions." Now they have two problems.

alt.religion.emacs

Regular Expressions Regex 101

Regular Expression

A *regular expression* (regex) is either:

- the constant Ø (matching nothing)
- the constant Λ (matching the empty word)
- a symbol a in Σ
- a sequential composition: $R_1 R_2$
- a union: $R_1 + R_2$
- a repetition: R^{\star}

 R_1, R_2 two regexes

Regular Expression

It is an expression built from the syntax:

$$R, R_{1}, R_{2}, \dots := 0$$

$$| 1$$

$$| a$$

$$| R_{1} \cdot R_{2}$$

$$| R_{1} + R_{2}$$

$$| R_{1}^{*}$$

Example: $a^*b + b a$

Regular Expression: notations

- we use indifferently + and | for choice
- we simply write R_1R_2 instead of R_1 . R_2
- [abc] means a + b + c
- [a-zA-Z] for range of symbols
- [^ab] every symbol but a or b
- [^] every symbol in Σ
- R^+ stands for $R.R^*$ (at least one R)
- $R^{?}$ stands for $\epsilon + R$ (zero or one occ.)

"syntactic sugar"

Regex Crosswords

You should all know about regular expression by now, but this is a good opportunity for a refresher



Regex Golf



XKCD #1313



the expression:

/bu|[rn]t|[coy]e|[mtg]a|j|iso|n[hl]|
[ae]d|lev|sh|[lnd]i|[po]o|ls/

matches the last names of elected US presidents but not their opponents

Regex Golf



XKCD #1313

The Motion Picture The Wrath of Khan The Search For Spock The Voyage Home The Final Frontier The Undiscovered Country The Phanto<u>m</u> Menace Attack of <u>t</u>he Clones Revenge of <u>t</u>he Sith A <u>N</u>ew Hope The Empire Strikes <u>B</u>ack Return of <u>t</u>he Jedi

/m / /_t/ /_t/ /_n/ /b/ /_t/

Regex /m_ [_ [tn] | b/ separates these two lists

Regular Expression: semantics

A regex *e* defines a language $\mathcal{L}(e)$ over Σ^* with the following interpretation:

 $\mathcal{L}(\mathbf{0}) = \emptyset$ $\mathcal{L}(\mathbf{1}) = \Lambda$ $\mathcal{L}(a) = \{a\}$

$$\begin{aligned} \mathcal{L}(R_1 R_2) &= \mathcal{L}(R_1) \,. \, \mathcal{L}(R_2) \\ \mathcal{L}(R_1 + R_2) &= \mathcal{L}(R_1) \cup \, \mathcal{L}(R_2) \\ \mathcal{L}(R^*) &= \mathcal{L}(R)^* \end{aligned}$$

What are we proving next?



$NFA \Rightarrow Regex$

sémantique

Intuition

- Call $\mathcal{A}(i, j)$ the language of words recognized by \mathcal{A} when starting in state i and ending in j
- Call $\mathcal{A}(i)$ the language of words recognized by \mathcal{A} if i was the initial state

$$\mathcal{A}(i) = \bigcup_{q_f \in F} \mathcal{A}(i, q_f)$$

• Then: $\mathcal{L}(\mathcal{A}) = \mathcal{A}(q_i)$
Intuition: matrix format

| | \$ | 0 | 1 | 2 | 3 |
|----|----|---|------|-----|-----|
| \$ | ε | Т | - | - | - |
| 0 | - | E | a, b | - | - |
| 1 | Т | - | ε | b | - |
| 2 | Т | - | a, b | ε,b | b |
| 3 | - | - | - | - | е,а |

 \times is concatenation

+ is set union (U)

***** is transitive closure



Intuition: matrix format

 $\mathcal{A}[i,j] = \begin{cases} \text{words "accepted" starting from state } i, \\ \text{ending in } j, \text{ in one step } (|w| = 1) \end{cases}$

| | \$ | 0 | 1 | 2 | 3 |
|----|----|---|------|-----|-----|
| \$ | ε | Т | - | - | - |
| 0 | - | ε | a, b | - | - |
| 1 | Т | - | E | b | - |
| 2 | Т | - | a, b | €,b | b |
| 3 | - | - | - | - | е,а |

Intuition: "linear algebra"

solution to
$$X = \mathbf{1}_F + \mathcal{A}.X$$

 $\Rightarrow the X_i's are the words "accepted" starting from state$ *i*.

the result in X_i is the set $\mathcal{A}(i)$ defined before.

we have ϵ in X_i iff state *i* is final.

| | \$ | 0 | 1 | 2 | 3 |
|----|----|---|------------|-----|-----|
| \$ | E | Т | - | - | - |
| 0 | - | e | a, b | - | - |
| 1 | Т | - | ϵ | b | - |
| 2 | Т | - | a, b | €,b | b |
| 3 | _ | - | - | - | е,а |

Arden's rule

Theorem: the language A^* . *B* is the smallest language that is a solution for *X* in the (linear) equation:

$$X = A \cdot X + B$$

The solution is unique as soon as $\epsilon \notin A$

This can be extended to sets of equations of the form $X_i = A_{i,1}.X_1 + ... + A_{i,n}.X_n + B$

- Use one variable X_i for every state $i \in Q$
- For every transition $\delta(i, a) = j$ add the constraint $X_i = a \cdot X_j + X_i$
- For every state $i \in F$ add the constraint

$$X_i = X_i + \Lambda$$

• Solve for *X*

we can make use of simplifications in order to have one occurrence of each X_i as a *lhs, e.g.* X = X + X, or R.X + R'.X = (R + R').X, etc.



$$X_0 = a.X_0 + b.X_1$$

 $X_1 = b.X_1 + aX_2 + \Lambda$
 $X_2 = (a + b).X_1$

$$X_0 = a. X_0 + b. X_1$$

 $X_1 = b. X_1 + a X_2 + \Lambda$
 $X_2 = (a + b). X_1$



 \Downarrow substitution + factorization

$$X_{0} = a.X_{0} + b.X_{1}$$

$$X_{1} = b.X_{1} + a(a + b).X_{1} + \Lambda = R.X_{1} + \Lambda$$

$$X_{2} = (a + b).X_{1}$$





↓ Arden's rule

 $X_0 = a.X_0 + b.X_1$ $X_1 = R^*$ $X_2 = (a + b).X_1$



 $X_0 = a. X_0 + b. R^*$ $X_1 = R^*$ $X_2 = (a + b). R^*$



↓ Arden's rule

 $X_0 = a^* . b. (b + a(a + b))^*$ $X_1 = R^*$ $X_2 = (a + b). R^*$

From NFA to Regex: remarks

- This construction can be used on automata that are not deterministic and/or not complete
- The size of the resulting regex depends on the order in which we "eliminates" variables
- The resulting regex can be exponentially larger than the size of ${\mathcal A}$

but there are DFA with "small" regex: $(a|b)^* . a . (a|b)^n$

Theorem: we have NFA = DFA \subseteq Regex

no real applications in practice ?

What are we proving next?



Automata & Closure properties

Product of automata

Given two NFA \mathcal{A}_1 and \mathcal{A}_2 , we define the product NFA $\mathcal{A}_1 \times \mathcal{A}_2$ such that

- set of states $Q_1 \times Q_2$
- initial state is (q_I^1, q_I^2)
- final states $F_1 \times F_2$
- $\delta((q_1, q_2), a) = (q'_1, q'_2)$ whenever both $\delta_1(q_1, a) = q'_1$ and $\delta_2(q_2, a) = q'_2$

$$\mathcal{A}_i = (Q_i, \Sigma, \delta_i, q_I^i, F_i), i \in 1..2$$

Product of automata

We can prove that a word u is in $\mathcal{L}(\mathcal{A}_1 \times \mathcal{A}_2)$ iff both $u \in \mathcal{L}(\mathcal{A}_1)$ and $u \in \mathcal{L}(\mathcal{A}_2)$



This gives a simple construction for computing the "intersection" of two languages The definition still works when $\Sigma_1 \neq \Sigma_2$ (\Rightarrow synchronous product)

Product of automata

Theorem: DFA are closed by intersection.

Therefore Regex are also closed by intersection.

not obvious by direct means !

Complement of an automata

Given a complete + deterministic FSA \mathcal{A} , we can define its complement \mathcal{A}^c such that

- set of states Q
- initial states is q_I
- final states $Q \setminus F$
- same δ

 $\mathcal{A} = (Q, \Sigma, \delta, q_I, F)$

Complement of an automata

We can prove that a word u is in $\mathcal{L}(\mathcal{A})$ iff $u \notin \mathcal{L}(\mathcal{A}^c)$



This construction entails \mathcal{A} complete (easy) AND deterministic (costly) The result is also complete and deterministic

Complement of an automata

Theorem: DFA are closed by complement.

Therefore Regex are also closed by negation.

even less obvious by direct means !

Mirror image of automata

Given a complete DFA \mathcal{A} , we can define its mirror image $\tilde{\mathcal{A}}$ such that

- set of states Q
- initial states is ...
- final states ...
- transition function is $\tilde{\delta}$ such that ...

 $\mathcal{A} = (Q, \Sigma, \delta, q_I, F)$

left has an exercise !

Shuffle of two automata

- The shuffle of two words, u # v, is the set of words obtained by interlacing u and v
 ≈ concatenation for concurrent activities
- The shuffle of two languages $\mathcal{L}_1 \# \mathcal{L}_2$ is the set of words $u_1 \# u_2$ with $u_i \in \mathcal{L}_i$, $i \in 1..2$
- "DFA" are closed by shuffle

left has an exercise !

Union of automata

Given two NFA \mathcal{A}_1 and \mathcal{A}_2 , we define the union NFA $\mathcal{A}_1 \cup \mathcal{A}_2$ such that

- set of states $Q_1 \cup Q_2 \cup \{q_I\}$
- initial state is q_I
- final states $F_1 \cup F_2$
- $\delta(q, a) = q'$ if $\delta_i(q, a) = q'$ for some $i \in 1..2$
- $\delta(q_I, \epsilon) = q_I^1$ and $\delta(q_I, \epsilon) = q_I^2$

$$\mathcal{A}_i = \left(Q_i, \Sigma, \delta_i, q_I^i, F_i\right), i \in 1..2$$

Standard form

- We can always assume a unique initial state
- no incoming transition on the initial state
- a single final state and no back transitions from it



Union of automata



Union of automata

Theorem: DFA are closed by +.

Concatenation of automata



Concatenation of automata

Theorem: DFA are closed by concatenation.

Iteration of automata



Iteration of automata

Theorem: DFA are closed by *****.

Closure properties

 \Rightarrow we prove that Regex \subseteq DFA

DFA are closed by . , +, and \star

There is a DFA for **0**

There is a DFA for 1

There is a DFA for a



What we have proved so far



$Regex \Rightarrow NFA$

Regex \Rightarrow NFA: compositionally

- The previous results give a simple and compositional method for computing a NFA equivalent to a regex ⇒ Thompson's method
- The result is in standard form
- If regex *e* has *c* concatenation and *s* symbols then the resulting NFA has 2 s c states
- Hence we can do pattern matching of e on a word u with "*linear*" complexity $O(|e|^2, |u|)$

Regex \Rightarrow NFA: compositionally

- The resulting NFA has a lot of ϵ -transitions \Rightarrow we can do better (see Glushkov's construction)
- The result is non-det. \Rightarrow we can do better



Thompson's construction for $(a + b)^*$. a

$\mathsf{Regex} \Rightarrow \mathsf{DFA}$

Brzozowski derivative
Residuals and derivative

Residual:
$$u^{-1}\mathcal{L} = \{ v \mid u. v \in \mathcal{L} \}$$

we have
$$(a.u)^{-1}\mathcal{L} = u^{-1}(a^{-1}\mathcal{L})$$

the language $a^{-1}\mathcal{L}$ is called a *derivative*

computing concept concern concurrency concurrent conference confuses connectivity consistent consortium constraint constructed context continues contradicting contrast contribution control conventional cooperates

 $(con)^{-1}$. \mathcal{L}

think
$$(f \circ g)^{-1} = g^{-1} \circ f^{-1}$$

Intuition

- Take a complete DFA ${\mathcal A}$ with n states
- Each word u leads to one state, say q_u , meaning that $(q_I, u) \Rightarrow q_u$
- The set of words accepted by \mathcal{A} when starting from q_u , denoted $\mathcal{A}(q_u)$ before, is exactly $u^{-1}\mathcal{L}(\mathcal{A})$

There is a mapping (surjection) from Q \mapsto the set of residuals of \mathcal{A}

Intuition (2)

- The set of words accepted by \mathcal{A} when starting from q_u , denoted $\mathcal{A}(q_u)$ before, is exactly $u^{-1}\mathcal{L}(\mathcal{A})$
- If $\delta(q, a) = q'$ then: $\mathcal{A}(q) = a.\mathcal{A}(q')$ and $\mathcal{A}(q') = a^{-1}\mathcal{A}(q)$

There is a mapping (bijection) between the transitions in $\mathcal{A} \mapsto$ and the set of residuals of \mathcal{A}

the relation is \propto in the case of a NFA

Derivates of a Regex

- We can define the notion of residuals/derivates directly at the level of Regex
- $D_a(e) = \text{regex matching the words in } a^{-1}\mathcal{L}(e)$
- $D_a(e) =$ "what we match in e after reading an a"

Derivatives of a Regex

- $D_a(0) = 0$
- $D_a(1) = 0$
- $D_a(a) = 1$
- $D_a(b) = 0$
- $D_a(e_1 + e_2) = D_a(e_1) + D_a(e_2)$
- $D_a(e_1, e_2) = D_a(e_1) \cdot e_2 + \epsilon^?(e_1) \cdot D_a(e_2)$
- $D_a(e^*) = D_a(e).e^*$

where $\epsilon^{?}(e) = \mathbf{1}$ if $\epsilon \in e$, otherwise **0**

Derivatives \approx Differentials

•
$$f$$
 constant $\frac{dc}{dx} = \mathbf{0}$

- f linear $\frac{df}{dx} = \mathbf{1} \text{ or } \mathbf{0}$ (think of f(x, y) = y)
- addition: $\frac{d(f+g)}{dx} = \frac{df}{dx} + \frac{dg}{dx}$
- product: $\frac{d(f.g)}{dx} = \frac{df}{dx} \cdot g + f \cdot \frac{dg}{dx}$
- iteration: $f^* = \mathbf{1} + f \cdot f^*$

Derivatives: rule for .

- What are the words, matched by $e_1 \cdot e_2$, starting with an a (this is $D_a(e_1 \cdot e_2)$).
- These are words of the form $u = a v_1 v_2$

(1) e_1 matches a (and the start of u)

$$\begin{array}{c|cc} a & v_1 & v_2 \\ a & D_a(e_1) & e_2 \end{array}$$

(2) e_1 can match ϵ , then we can also match u with e_2

$$\begin{array}{c|c} a & v_1 & v_2 \\ \epsilon & a & D_a(e_2) \end{array}$$

Derivatives: examples

- $D_a((a+b)^n) = (a+b)^{n-1}$ with $n \ge 1$
- $D_a((a+b)^*) = (a+b)^*$
- De Bruijn expression: $J_n = (a + b)^* a(a + b)^n$

•
$$D_a(J_n) = J_n + \mathbf{1} \cdot D_a(a(a+b)^n)$$

= $J_n + (a+b)^n$

• $D_b(J_n) = J_n + \mathbf{1} \cdot D_b(a(a+b)^n)$ = $J_n + \mathbf{0}$

Regex ⇒ DFA: Brzozowski

- We can build an DFA from e_0 using derivatives
- We have an initial state $\equiv e_0$
- We have one state for each residuals of e_0
 - there are finitely many (TBD)
- We have a transition from e_i to e_j , labeled a, whenever $D_a(e_i) = e_j$
 - ensure both deterministic + complete
- Final states are regex matching ϵ (i.e. $\epsilon^{?}(e_{i}) = 1$)
 - because we can stop there !

drawback: two derivatives may correspond to = languages

Example communication protocol: $b t^* e + (b + b t^+)(t t c)^* es$

Rational Languages

petit rappel sur le cours précédent

Language: \equiv modulo \mathcal{L}

residual:
$$u^{-1}\mathcal{L} = \{ v \mid u.v \in \mathcal{L} \}$$

Definition: We say that $u \equiv_L v$ if u and v have the same residuals in \mathcal{L} .

$$u \equiv_L v$$
 iff $u^{-1}\mathcal{L} = v^{-1}\mathcal{L}$

Rational Languages

Definition: a language \mathcal{L} is said to be *rational*, $\mathcal{L} \in Rat$, if $\exists \mathcal{A}$ such that $\mathcal{L} = \mathcal{L}(\mathcal{A})$

or equivalently

Definition: a language \mathcal{L} is said to be *rational*, $\mathcal{L} \in Rat$, if $\exists e$ such that $\mathcal{L} = \mathcal{L}(e)$

Rational Languages

Definition: a language \mathcal{L} is said to be *rational*, $\mathcal{L} \in Rat$, if $\exists \mathcal{A}$ such that $\mathcal{L} = \mathcal{L}(\mathcal{A})$

Theorem (Myhill-Nerode): a language \mathcal{L} is *rational* iff the relation \equiv_L has a finite number of equivalent classes.

moreover each class \mapsto (bijectively) the states of the *minimal DFA* accepting \mathcal{L} .

Why is it called rational

