

# Partial Derivative Automaton for Regular Expressions with Shuffle

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# Shuffle Operation

$x, y \in \Sigma^*$  and  $a, b \in \Sigma$

$$x \sqcup \varepsilon = \varepsilon \sqcup x = \{x\}$$

$$ax \sqcup by = \{az \mid z \in x \sqcup by\} \cup \{bz \mid z \in ax \sqcup y\}.$$

$L \subseteq \Sigma^*$

$$L_1 \sqcup L_2 = \bigcup_{x \in L_1, y \in L_2} x \sqcup y$$

If two languages  $L_1, L_2 \subseteq \Sigma^*$  are **regular** then  $L_1 \sqcup L_2$  is **regular**.

# Regular Expressions with Shuffle (RE( $\sqcup$ ))

$$\tau \rightarrow \emptyset \mid \alpha$$

$$\alpha \rightarrow \varepsilon \mid \mathbf{a} \mid (\alpha + \alpha) \mid (\alpha \cdot \alpha) \mid (\alpha \sqcup \alpha) \mid \alpha^* \quad (\mathbf{a} \in \Sigma).$$

$$\mathcal{L}(\emptyset) = \emptyset$$

$$\mathcal{L}(\varepsilon) = \{\varepsilon\}$$

$$\mathcal{L}(\mathbf{a}) = \{\mathbf{a}\}$$

$$\mathcal{L}(\alpha^*) = \mathcal{L}(\alpha)^*$$

$$\mathcal{L}(\alpha + \beta) = \mathcal{L}(\alpha) \cup \mathcal{L}(\beta)$$

$$\mathcal{L}(\alpha\beta) = \mathcal{L}(\alpha)\mathcal{L}(\beta)$$

$$\mathcal{L}(\alpha \sqcup \beta) = \mathcal{L}(\alpha) \sqcup \mathcal{L}(\beta).$$

$$\varepsilon(L) = \begin{cases} \varepsilon & \text{if } \varepsilon \in L \\ \emptyset & \text{otherwise} \end{cases}$$

$$\varepsilon(\tau) = \varepsilon(\mathcal{L}(\tau))$$

## Example I

$$P_3 = a_1 \sqcup a_2 \sqcup a_3$$

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Equivalent to

$$a_1 a_2 a_3 + a_1 a_3 a_2 + a_2 a_1 a_3 + a_2 a_3 a_1 + a_3 a_1 a_2 + a_3 a_2 a_1$$

## Example I

$$P_n = a_1 \sqcup \cdots \sqcup a_n$$

where  $n \geq 1$ ,  $a_i \neq a_j$  for  $1 \leq i \neq j \leq n$

$$\mathcal{L}(P_n) = \{ a_{i_1} \cdots a_{i_n} \mid i_1, \dots, i_n \text{ is a permutation of } 1, \dots, n \}.$$

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- ▶  $RE(\sqcup) \implies DFA$  double exponential trade-off [Gel10]  
(exponential for RE)

# Automata and System of Equations

*n*-state NFA

$$\mathcal{A} = \langle [1, n], \{a_1, \dots, a_k\}, S_0, \delta, F \rangle$$

right language of state *i*

$$\mathcal{L}_i = \{w \mid \delta(i, w) \cap F \neq \emptyset\}$$

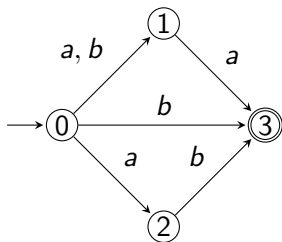
$\mathcal{L}_1, \dots, \mathcal{L}_n$  satisfy the system of equations

$$\mathcal{L}_i = a_1 \mathcal{L}_{1i} \cup \dots \cup a_k \mathcal{L}_{ki} \cup \varepsilon(\mathcal{L}_i), \quad i \in [1, n]$$

where each  $\mathcal{L}_{ij}$  is a (possibly empty) union of  $\mathcal{L}_m$ ,  $m \in [1, n]$

$$\mathcal{L}(\mathcal{A}) = \bigcup_{i \in S_0} \mathcal{L}_i$$

# NFA and System of Equations



$$\mathcal{L}_0 = a(\mathcal{L}_1 \cup \mathcal{L}_2) \cup b(\mathcal{L}_1 \cup \mathcal{L}_3)$$

$$\mathcal{L}_1 = a \mathcal{L}_3$$

$$\mathcal{L}_2 = b \mathcal{L}_3$$

$$\mathcal{L}_3 = \{\varepsilon\}$$

$$\mathcal{L}_0 = \{b, aa, ab, ba\}$$

## Regular Expressions $RE(\sqcup)$ and System of Equations

Given  $\alpha_0 \in RE(\sqcup)$ , a **support** is set  $\{\alpha_1, \dots, \alpha_n\}$  that satisfies a system of equations

$$\alpha_i = a_1\alpha_{1i} + \dots + a_k\alpha_{ki} + \varepsilon(\alpha_i), \quad i \in [0, n]$$

where  $\alpha_{li}$ ,  $l \in [1, k]$ , is a (possibly empty) sum of elements in  $\{\alpha_1, \dots, \alpha_n\}$ .

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The existence of a support of  $\alpha$  implies the existence of an NFA that accepts  $\mathcal{L}(\alpha)$ .



## Proposition 1

Given  $\tau \in \text{RE}(\sqcup)$ , the set  $\pi(\tau)$  is a support:

$$\begin{array}{lcl} \pi(\emptyset) & = & \pi(\varepsilon) = \emptyset \\ \pi(\mathbf{a}) & = & \{\varepsilon\} \\ \pi(\alpha^*) & = & \pi(\alpha)\alpha^* \end{array} \quad \begin{array}{lcl} \pi(\alpha + \beta) & = & \pi(\alpha) \cup \pi(\beta) \\ \pi(\alpha\beta) & = & \pi(\alpha)\beta \cup \pi(\beta) \\ \pi(\alpha \sqcup \beta) & = & \pi(\alpha) \sqcup \pi(\beta) \\ & \cup & \pi(\alpha) \sqcup \{\beta\} \cup \{\alpha\} \sqcup \pi(\beta) \end{array}$$

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where, for  $S, T \subseteq \text{RE}(\sqcup)$  and  $\beta \in \text{RE}(\sqcup) \setminus \{\emptyset, \varepsilon\}$ ,

$$\begin{aligned} S\beta &= \{ \alpha\beta \mid \alpha \in S \} \\ S \sqcup T &= \{ \alpha \sqcup \beta \mid \alpha \in S, \beta \in T \} \\ S\varepsilon &= \{\varepsilon\} \sqcup S = S \sqcup \{\varepsilon\} = S \\ S\emptyset &= \emptyset S = \emptyset. \end{aligned}$$

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## Proposition 2

$|\pi(\tau)| \leq 2^{|\tau|_{\Sigma}} - 1$ , where  $|\tau|_{\Sigma}$  denotes the number of alphabet symbols in  $\tau$  (= alphabetic length).

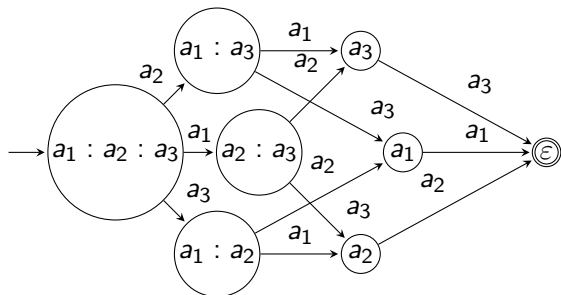
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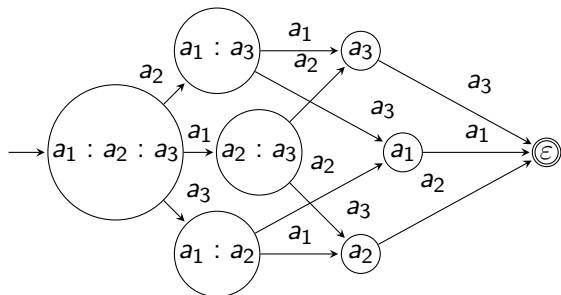
$$\pi(P_3) = \{\varepsilon, a_1, a_2, a_3, a_1 \sqcup a_2, a_1 \sqcup a_3, a_2 \sqcup a_3\}$$



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## Proposition 3

$$|\pi(P_n)| = 2^n - 1 \text{ and } |P_n|_{\Sigma} = n$$

# Partial Derivatives

$\tau \in \text{RE}(\sqcup), a \in \Sigma$

$$\partial_a(\emptyset) = \partial_a(\varepsilon) = \emptyset$$

$$\partial_a(b) = \begin{cases} \{\varepsilon\} & \text{if } b = a \\ \emptyset & \text{otherwise} \end{cases}$$

$$\partial_a(\alpha^*) = \partial_a(\alpha)\alpha^*$$

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$$\mathcal{L}(\partial_a(\tau)) = \{w \mid aw \in \mathcal{L}(\tau)\} = a^{-1}\mathcal{L}(\tau)$$



# Partial Derivatives

$$\tau \in \text{RE}(\mathbb{W}), \mathbf{a} \in \Sigma, \mathbf{x} \in \Sigma^*, S \subseteq \text{RE}(\mathbb{W})$$

$$\partial_{\varepsilon}(\tau) = \{\tau\}$$

$$\partial_{\mathbf{x}\mathbf{a}}(\tau) = \partial_{\mathbf{a}}(\partial_{\mathbf{x}}(\tau))$$

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$$\partial_{\mathbf{x}\mathbf{a}}(\tau) = \partial_{\mathbf{a}}(\partial_{\mathbf{x}}(\tau))$$

$$\partial(\tau) = \bigcup_{\mathbf{x} \in \Sigma^*} \partial_{\mathbf{x}}(\tau)$$

$$\partial^+(\tau) = \bigcup_{\mathbf{x} \in \Sigma^+} \partial_{\mathbf{x}}(\tau)$$

# Partial Derivatives

$$\tau \in \text{RE}(\omega), a \in \Sigma, x \in \Sigma^*, S \subseteq \text{RE}(\omega)$$

$$\begin{aligned}\partial_\varepsilon(\tau) &= \{\tau\} \\ \partial_{xa}(\tau) &= \partial_a(\partial_x(\tau))\end{aligned}$$

$$\begin{aligned}\partial(\tau) &= \bigcup_{x \in \Sigma^*} \partial_x(\tau) \\ \partial^+(\tau) &= \bigcup_{x \in \Sigma^+} \partial_x(\tau)\end{aligned}$$

## Proposition 4

$$\forall \tau \in \text{RE}(\omega), \partial^+(\tau) = \pi(\tau)$$

# Partial Derivative Automaton

$$\tau \in \text{RE}(\Sigma)$$

$$\mathcal{A}_{pd}(\tau) = \langle \partial(\tau), \Sigma, \{\tau\}, \delta_\tau, F_\tau \rangle$$

where

$$\delta_\tau(\gamma, a) = \partial_a(\gamma)$$

$$F_\tau = \{ \gamma \in \partial(\tau) \mid \varepsilon(\gamma) = \varepsilon \}$$

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Proposition 5

$$\mathcal{L}(\mathcal{A}_{pd}(\tau)) = \mathcal{L}(\tau)$$

# Example I

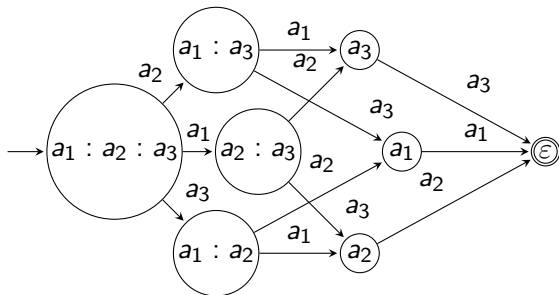
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$\partial_{a_1}(P_3)$	$=$	$\{a_2 \sqcup a_3\}$	$\partial_{a_1}(a_1 \sqcup a_2)$	$=$	$\{a_2\}$
$\partial_{a_2}(P_3)$	$=$	$\{a_1 \sqcup a_3\}$	$\partial_{a_2}(a_1 \sqcup a_2)$	$=$	$\{a_1\}$
$\partial_{a_3}(P_3)$	$=$	$\{a_1 \sqcup a_2\}$	$\partial_{a_2}(a_2 \sqcup a_3)$	$=$	$\{a_3\}$
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$\partial_{a_3}(a_1 \sqcup a_3)$	$=$	$\{a_1\}$	$\partial_{a_i}(a_i)$	$=$	$\{\varepsilon\}$

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$\partial_{a_3}(a_1 \sqcup a_3)$	$= \{a_1\}$	$\partial_{a_i}(a_i)$	$= \{\varepsilon\}$





$RE(\sqcup) \Rightarrow NFA$

$$\tau \Rightarrow \mathcal{A}_{pd}(\tau)$$

$$\alpha \rightarrow \varepsilon \mid \mathbf{a} \mid \alpha + \alpha \mid \alpha \cdot \alpha \mid \alpha^* \quad (\mathbf{a} \in \Sigma)$$

$$|\alpha| = n \quad |\alpha|_{\Sigma} = m$$

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- ▶  $\mathcal{A}_{pos}(\alpha)$  - Position Automaton [Glu61]

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- ▶  $\mathcal{A}_{pd}(\alpha)$  - Partial Derivative Automaton [Mir66, Ant96]

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- ▶  $\mathcal{A}_{pd}$  is a quotient of  $\mathcal{A}_{pos}$  [CZ02]

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- ▶  $\mathcal{A}_{pd}$  is a quotient of  $\mathcal{A}_{pos}$  [CZ02]
- ▶  $|\mathcal{A}_{pd}(\alpha)|_Q \leq m + 1$  and  $|\mathcal{A}_{pd}(\alpha)|_{\delta} = \Theta(n^2)$



## Average Complexity $RE \Rightarrow NFA$

For the uniform distribution of  $\alpha \in RE$  and asymptotically [Nic09, BMMR11, BMMR12]:



$$|\alpha|_{\Sigma} \sim \frac{|\alpha|}{2}$$



$$|\mathcal{A}_{pos}(\alpha)|_{\delta} = \Theta(|\alpha|)$$



$$|\mathcal{A}_{pd}(\alpha)|_Q \sim \frac{|\mathcal{A}_{pos}(\alpha)|_Q}{2}$$



$$|\mathcal{A}_{pd}(\alpha)|_{\delta} \sim \frac{|\mathcal{A}_{pos}(\alpha)|_{\delta}}{2}$$

How to obtain an estimate of the average complexity

$$\tau \Rightarrow \mathcal{A}_{pd}(\tau)$$

?

# The Analytic Combinatorics Way

# Generating Functions

$C$  combinatorial class

$$C(z) = \sum z^{|c|} = \sum_n c_n z^n$$

$c_n$ : number of objects of size  $n$

# Symbolic Method

$$\{\bullet\} \implies U(z) = z$$

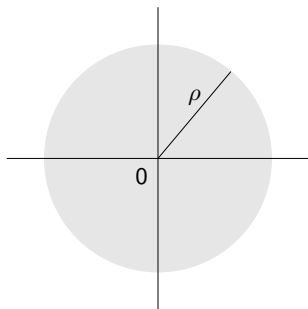
$$A \cup B \implies A(z) + B(z)$$

$$A \times B \implies A(z)B(z)$$

$$A^* \implies \frac{1}{1 - A(z)}$$

# Asymptotic Analysis

$$f(z) = \sum_n f_n z^n$$



$$c_n \sim \theta_n \rho^{-n}$$

where  $\theta_n$  is a sub-exponential factor

## Generating Function for $\text{RE}(\sqcup)$ (without $\emptyset$ )

$$\alpha \rightarrow \varepsilon \mid \mathbf{a} \mid (\alpha + \alpha) \mid (\alpha \cdot \alpha) \mid (\alpha \sqcup \alpha) \mid \alpha^*$$

$$\begin{aligned} R_k(z) &= (k+1)U(z) + \mathcal{G}(\mathcal{R}_k \times \{+\} \times \mathcal{R}_k) + \mathcal{G}(\mathcal{R}_k \times \{\cdot\} \times \mathcal{R}_k) \\ &\quad + \mathcal{G}(\mathcal{R}_k \times \{\sqcup\} \times \mathcal{R}_k) + \mathcal{G}(\mathcal{R}_k \times \{^*\}) \\ &= (k+1)U(z) + 3U(z)R_k(z)^2 + U(z)R_k(z) \\ &= (k+1)z + 3zR_k(z)^2 + zR_k(z). \end{aligned}$$

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$$R_k(z) = \frac{(1-z) - \sqrt{\Delta_k(z)}}{6z}, \text{ where } \Delta_k(z) = 1 - 2z - (11 + 12k)z^2$$

The radius of convergence of  $R_k(z)$  is  $\rho_k = \frac{-1+2\sqrt{3+3k}}{11+12k}$



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The radius of convergence of  $R_k(z)$  is  $\rho_k = \frac{-1+2\sqrt{3+3k}}{11+12k}$

$$[z^n]R_k(z) \sim \frac{(3+3k)^{\frac{1}{4}}}{6\sqrt{\pi}} \rho_k^{-n-\frac{1}{2}} (n+1)^{-\frac{3}{2}}$$

# Cumulative Generating Function for Number of Letters

$$\alpha \rightarrow \varepsilon \mid \mathbf{a} \mid (\alpha + \alpha) \mid (\alpha \cdot \alpha) \mid (\alpha \sqcup \alpha) \mid \alpha^*$$

$$l(\varepsilon) = 0 \qquad l(\alpha + \beta) = l(\alpha) + l(\beta)$$

$$l(\mathbf{a}) = 1 \qquad l(\alpha \cdot \beta) = l(\alpha) + l(\beta)$$

$$l(\alpha^*) = l(\alpha) \qquad l(\alpha \sqcup \beta) = l(\alpha) + l(\beta)$$

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$$L_k(z) = kz + 3zL_k(z)R_k(z) + zL_k(z)$$

$$L_k(z) = \frac{kz}{\sqrt{\Delta_k(z)}}$$

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$$\alpha \rightarrow \varepsilon \mid a \mid (\alpha + \alpha) \mid (\alpha \cdot \alpha) \mid (\alpha \sqcup \alpha) \mid \alpha^*$$

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$$l(a) = 1 \quad l(\alpha \cdot \beta) = l(\alpha) + l(\beta)$$

$$l(\alpha^*) = l(\alpha) \quad l(\alpha \sqcup \beta) = l(\alpha) + l(\beta)$$

$$L_k(z) = kz + 3zL_k(z)R_k(z) + zL_k(z)$$

$$L_k(z) = \frac{kz}{\sqrt{\Delta_k(z)}}$$

$$[z^n]L_k(z) \sim \frac{k}{2\sqrt{\pi}(3+3k)^{\frac{1}{4}}} \rho_k^{-n+\frac{1}{2}} n^{-\frac{1}{2}}$$

# Cumulative Generating Function for **an Upper Bound** of the Size of $\pi$

$$\begin{aligned}\pi(\varepsilon) &= \emptyset & \pi(\alpha + \beta) &= \pi(\alpha) \cup \pi(\beta) \\ \pi(\mathbf{a}) &= \{\varepsilon\} & \pi(\alpha\beta) &= \pi(\alpha)\beta \cup \pi(\beta) \\ \pi(\alpha^*) &= \pi(\alpha)\alpha^* & \pi(\alpha \sqcup \beta) &= \pi(\alpha) \sqcup \pi(\beta) \\ & & & \cup \pi(\alpha) \sqcup \{\beta\} \cup \{\alpha\} \sqcup \pi(\beta)\end{aligned}$$

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$$P_k(z) = kz + 6zP_k(z)R_k(z) + zP_k(z) + zP_k(z)^2$$

$$P_k(z) = \frac{\sqrt{\Delta_k(z)}}{2z} + \frac{\sqrt{\Delta'_k(z)}}{2z}$$

where  $\Delta'_k(z) = 1 - 2z - (11 + 16k)z^2$  with zero  $\rho'_k = \frac{-1+2\sqrt{3+4k}}{11+16k}$

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$$[z^n]P_k(z) \sim \frac{-(3+3k)^{\frac{1}{4}}\rho_k^{-n-\frac{1}{2}} + (3+4k)^{\frac{1}{4}}(\rho'_k)^{-n-\frac{1}{2}}}{2\sqrt{\pi}}(n+1)^{-\frac{3}{2}}$$



## Average Size

$$avL = \frac{[z^n]L_k(z)}{[z^n]R_k(z)} = \frac{3k\rho_k}{\sqrt{3+3k}} \frac{(n+1)^{\frac{3}{2}}}{n^{\frac{1}{2}}}$$

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$$\lim_{n,k \rightarrow \infty} \frac{\log_2 avP}{avL} = \log_2 \frac{4}{3} \sim 0.415$$

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### Proposition 6

For large values of  $k$  and  $n$  an upper bound for the average number of states of  $\mathcal{A}_{pd}$  is  $(\frac{4}{3} + o(1))^{|a|_{\Sigma}}$ .

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- ▶ Similar analysis for regular expressions with intersection or complement

Thank you for your attention!





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