

# Remarks on Inferring Integer Sequences

Jeffrey Shallit  
Department of Computer Science  
University of Waterloo  
Waterloo, Ontario N2L 3G1  
Canada  
shallit@graceland.uwaterloo.ca

The slides for this talk can be found on my home page:  
<http://math.uwaterloo.ca/~shallit/>

## Introduction

What are the rules behind the following integer sequences?

- 1, 2, 3, 4, 5, 6, 7, 8, . . .
- 2, 5, 10, 17, 26, 37, 50, 65, . . .
- 2, 3, 5, 7, 13, 17, 19, 31, 61, 89, 107, 127, 521, 607, . . .
- 0, 1, 1, 0, 1, 0, 0, 1, 1, 0, 0, 1, 0, 1, 1, 0, . . .
- 0, 1, 1, 2, 1, 2, 2, 3, 1, 2, 2, 3, 2, 3, 4, 5, . . .
- 0, 3, 5, 6, 9, 10, 12, 15, 17, 18, 20, 23, 24, 27, 29, 30, . . .

Given an integer sequence, how can we determine what it is?

The question is ill-posed: can only look at a finite number of terms, and any such sequence has an infinite number of potential extensions.

## Two Approaches to Sequence Recognition

- One can mathematically define a large class of sequences and then try to determine membership in that class
  - Dana Angluin (UC Berkeley Technical Report, 1974)
  - A. K. Dewdney (*Scientific American*, Mathematical Recreations, March 1986)
  - Bhansali and Skiena (*Computational Support for Discrete Mathematics*, 1994)
  - Sloane and Plouffe's SuperSeeker program (superseeker@research.att.com)
- One can collect sequences from the literature and then try to express the target sequence in terms of known sequences
  - Peter Liu (Master's Essay, University of Waterloo, 1994)
  - Sloane and Plouffe's SuperSeeker program

## Two Neglected Classes of Sequences

- The  $k$ -automatic sequences
  - form about 3% of the sequences in the Sloane-Plouffe table
- The  $k$ -regular sequences
  - form about 7% of the sequences in the Sloane-Plouffe table

## Basics of Finite Automata

- If  $\Sigma$  is a finite set of symbols, then by  $\Sigma^*$  we mean the free monoid over  $\Sigma$  (set of all finite strings of symbols chosen from  $\Sigma$ );
- A *language* is a subset of  $\Sigma^*$ .
- a *finite automaton* is a simple model of a computer
- formally it is a quintuple:  $M = (Q, \Sigma, \delta, q_0, F)$  where:
  - $Q$  is a finite set of *states*;
  - $\Sigma$  is a finite set of symbols, called the *input alphabet*;
  - $q_0 \in Q$  is the *start state*;
  - $F \subseteq Q$  is the set of *final states*;
  - $\delta : Q \times \Sigma \rightarrow Q$  is the *transition function*
- The *language accepted by  $M$*  is denoted by  $L(M)$  and is given by  $\{w \in \Sigma^* \mid \delta(q_0, w) \in F\}$ .

## Example of a Finite Automaton

## Automata as Computers of Sequences

- First, we can generalize our notion of automaton to provide an output, not simply accept/reject.
- Formally, we define a *deterministic finite automaton with output* (DFAO) as a sextuple:  $(Q, \Sigma, \delta, q_0, \Delta, \tau)$ , where  $\Delta$  is the finite *output alphabet* and  $\tau : Q \rightarrow \Delta$  is the *output mapping*.
- Next, we decide on an integer base  $k \geq 2$  and represent  $n$  as a string of symbols over the alphabet  $\Sigma = \{0, 1, 2, \dots, k - 1\}$ .
- To compute  $f_n$ , given an automaton  $M$ , express  $n$  in base- $k$ , say,  $a_r a_{r-1} \cdots a_1 a_0$ , and compute  $f_n = \tau(\delta(q_0, a_0 a_1 \cdots a_{r-1} a_r))$ .
- Any sequence that can be computed in this way is said to be  $k$ -automatic.

## $k$ -Automatic Sequences

A sequence  $(a_n)_{n \geq 0}$  is said to be  $k$ -automatic if,  $a_n$  is a finite-state (“automatic”) function of the base- $k$  representation of  $n$ .

Example. The following automaton generates the Rudin-Shapiro sequence:

To compute  $r_n$ , expand  $n$  in base-2, and then input the bits of  $n$  into the automaton, starting with the least significant bit, transiting from state to state. When last state is encountered, output is specified in the state.



## The Thue-Morse Sequence

- Introduced by Axel Thue (1863–1922).
- $t_n =$  sum of bits of  $n$  (base 2), taken modulo 2.
- First few terms: 0 1 1 0 1 0 0 1 1 0 0 1 0 ...

*Example 1.* An unusual infinite product. Define  $a_n = (-1)^{t_n}$  for  $n \geq 0$ . Then

$$\prod_{n \geq 0} \left( \frac{2n+1}{2n+2} \right)^{a_n} = \frac{1}{2} \cdot \frac{4}{3} \cdot \frac{6}{5} \cdot \frac{7}{8} \cdots = \frac{\sqrt{2}}{2}.$$

*Example 2.* A converse of sorts to Example 1. Define  $b_0 = 1$ , and

$$b_n = \begin{cases} 1, & \text{if } \prod_{0 \leq i < n} \left( \frac{2i+1}{2i+2} \right)^{b_i} > \sqrt{2}/2; \\ -1, & \text{if } \prod_{0 \leq i < n} \left( \frac{2i+1}{2i+2} \right)^{b_i} < \sqrt{2}/2. \end{cases}$$

Then  $a_n = b_n$ .

## The Thue-Morse sequence $(u_n)$ continued

*Example 3. Prouhet's result of 1851 on "multigrades".*  
Separate the integers in the set

$$S_n = \{0, 1, 2, \dots, 2^n - 1\}$$

into two subsets:

$$T_n = \{i \in S_n : t_i = 0\}$$

and

$$U_n = \{i \in S_n : t_i = 1\}.$$

Then

$$\sum_{k \in T_n} k^j = \sum_{\ell \in U_n} \ell^j$$

for  $j = 0, 1, \dots, n - 1$ .

**Example:**

$$0^i + 3^i + 5^i + 6^i + 9^i + 10^i + 12^i + 15^i =$$

$$1^i + 2^i + 4^i + 7^i + 8^i + 11^i + 13^i + 14^i$$

for  $i = 0, 1, 2, 3$ .

## The Rudin-Shapiro Sequence $(u_n)$

- Define  $u_n = (-1)^{r_n}$ , where  $r_n$  counts the number of (possibly overlapping) occurrences of the block '11' in the binary representation of  $n$ .
- This sequence was introduced by Rudin and Shapiro, independently.

*Example 1.* It is easy to prove that, for any sequence  $(a_n)_{n \geq 0}$  of  $+1$ 's and  $-1$ 's, we have

$$\sup_{\theta} \left| \sum_{0 \leq k < n} a_k e^{ik\theta} \right| \geq \sqrt{n}.$$

On the other hand, it can be shown that for “almost all” sequences  $(a_n)_{n \geq 0}$  we have

$$\sup_{\theta} \left| \sum_{0 \leq k < n} a_k e^{ik\theta} \right| = O(\sqrt{n \log n}).$$

Rudin and Shapiro (independently) proved in the 1950's that

$$\sup_{\theta} \left| \sum_{0 \leq k < n} u_k e^{ik\theta} \right| = O(\sqrt{n}).$$

## The Rudin-Shapiro Sequence, Continued

*Example 2.* Consider a path visiting lattice points in the plane. Start at the origin and make a first move to  $(0, 1)$ . At step  $n$ , turn “left” or “right”  $90^\circ$  according to the following rule:

- “left”, if  $r(n) - r(n - 1) + n \equiv 0 \pmod{2}$ ;
- “right”, if  $r(n) - r(n - 1) + n \equiv 1 \pmod{2}$ .

We get a spacefilling curve that visits every lattice point in  $1/8$  of the plane exactly once.

## Robustness of the Notion of Automatic Sequence

- the order in which the base- $k$  digits are fed into the automaton does not matter (provided it is fixed for all  $n$ );
- other representations also work (such as expansion in base- $(-k)$ );
- automatic sequences are closed under many operations, such as shift, periodic deletion,  $q$ -block compression, and  $q$ -block substitution.
- automatic sequences are also closed under uniform transduction.
  - a uniform finite-state transducer is like an automaton, but outputs  $s$  symbols at each transition

## Properties of Automatic Sequences

### **Definition.**

The *k*-kernel of a sequence  $(a_n)_{n \geq 0}$  is the set of subsequences

$$\{(a_{k^r n + c})_{n \geq 0} : r \geq 0, 0 \leq c < k^r\}.$$

**Cobham's 1st Theorem.** A sequence is *k*-automatic if and only if its *k*-kernel is finite.

### **Definition.**

A *homomorphism*  $\varphi : \Sigma^* \rightarrow \Sigma^*$  is a map satisfying  $\varphi(xy) = \varphi(x)\varphi(y)$  for all  $x, y \in \Sigma^*$ . If  $|\varphi(a)| = k$  for all  $a \in \Sigma$ , then we say  $\varphi$  is *k*-uniform. A *coding* is a 1-uniform homomorphism.

**Cobham's 2nd Theorem.** A sequence is *k*-automatic if and only if it is the image (under a coding) of a fixed point of a *k*-uniform homomorphism.

**Example.** The Thue-Morse sequence is the fixed point of the map  $0 \rightarrow 01, 1 \rightarrow 10$  that starts with 0.

## The Theorem of Christol-Kamae-Mendès France-Rauzy

**Theorem.** (Christol, Kamae, Mendès France, Rauzy, 1980). Let  $(u_n)_{n \geq 0}$  be a sequence over

$$\Sigma = \{0, 1, \dots, p - 1\},$$

where  $p$  is a prime. Then the formal power series  $U(X) = \sum_{n \geq 0} u_n X^n$  is algebraic over  $GF(p)[X]$  if and only if  $(u_n)_{n \geq 0}$  is  $p$ -automatic.

### Example.

Let, as before,  $(t_n)_{n \geq 0}$  denote the Thue-Morse sequence, i.e.,  $t_n =$  sum of the bits in the binary expansion of  $n$ , mod 2. Then  $t_{2n} \equiv t_n$  and  $t_{2n+1} \equiv t_n + 1$ . If we set  $A(X) = \sum_{n \geq 0} t_n X^n$ , then

$$\begin{aligned} A(X) &= \sum_{n \geq 0} t_{2n} X^{2n} + \sum_{n \geq 0} t_{2n+1} X^{2n+1} \\ &= \sum_{n \geq 0} t_n X^{2n} + X \sum_{n \geq 0} t_n X^{2n} + X \sum_{n \geq 0} X^{2n} \\ &= A(X^2) + X A(X^2) + X/(1 - X^2) \\ &= A(X)^2(1 + X) + X/(1 + X)^2. \end{aligned}$$

Hence  $(1 + X)^3 A^2 + (1 + X)^2 A + X = 0$ .

## Inferring Automatic Sequences

- Can one infer a  $k$ -automatic sequence, given the first few terms?
- If a sequence *is*  $k$ -automatic, and is generated by an automaton with  $\leq r$  states, then given the first  $k^{2r-2}$  terms, one can correctly and efficiently predict all future terms of the sequence.
- In practice  $k$  and  $r$  are usually small, and the correct automaton can often be guessed with far fewer terms.
- The automaton can be inferred purely mechanically, by examining the  $k$ -kernel, and declaring two members to be equal if they agree on the terms actually known.
- If a sequence is *not*  $k$ -automatic, then it is possible to have two genuinely different elements of the  $k$ -kernel agree on thousands or millions of terms before a distinguishing element is found.
- However, this rarely occurs in practice.



## An Amazing Non-Automatic Sequence

Take the Thue-Morse sequence

$$(t_n)_{n \geq 0} = 011010011001 \dots,$$

and create a new sequence

$$(u_n)_{n \geq 0} = 12112221121 \dots$$

that counts the lengths of blocks of identical symbols in  $(t_n)_{n \geq 0}$ .

Then it can be shown that  $(u_n)$  is not a 2-automatic sequence, (but the proof is not easy at all).

## An Amazing Non-Automatic Sequence

However, the sequence  $(u_n)$  comes very “close” to being 2-automatic, in that to distinguish two sequences in the kernel, one must look at very large values of  $n$ . For example,  $u_{8n} = u_{32n}$  for  $0 \leq n \leq 14562$ , but not for  $n = 14563$ . Similarly,  $u_{16n+1} = u_{64n+1}$  for  $0 \leq n \leq 1864134$ , but not for  $n = 1864135$ .

A complete understanding of the behaviour of this sequence is still not at hand, but it depends on the fact that the sequence is the fixed point of the map  $1 \rightarrow 121$ ;  $2 \rightarrow 12221$ , and the associated matrix of the map is

$$\begin{bmatrix} 2 & 1 \\ 2 & 3 \end{bmatrix}$$

whose characteristic polynomial is  $(X - 1)(X - 4)$ .

## Automaticity

- One can study how “close” a non-automatic sequence comes to being automatic.
- To do this, compute  $(a_i)_{0 \leq i \leq n}$  and then form the  $k$ -kernel.
- Then  $(a_i)$  is known to  $n + 1$  terms,  $(a_{2i})$  to  $\lfloor n/2 \rfloor + 1$  terms, etc. Call two elements of the (partially-computed)  $k$ -kernel the same if they coincide on the terms on which they are known. The size of the  $k$ -kernel, as a function of  $n$ , is called the “automaticity” of the sequence  $(a_n)$ .

**Theorem.** A sequence has automaticity  $O(1)$  if and only if it is automatic.

**Theorem.** If a sequence is not automatic, then its automaticity is  $\Omega_\infty(\log n)$ .

## Automaticity (continued)

**Question.** Is there a homomorphism whose fixed point is quasi-automatic, but not automatic?

**Answer.** Yes, the homomorphism that sends  $c \rightarrow cba$ ;  $a \rightarrow aa$ ; and  $b \rightarrow b$  has a fixed point

$$cbabaabaaaabaaaaaaab \dots$$

in which the  $b$ 's are in positions  $2^n + n$  for  $n \geq 0$ . This is not a 2-automatic sequence, but it is 2-quasiautomatic. An automaton with  $\leq 6 \log_2 n$  states suffices to compute the sequence correctly to  $n$  terms.

**Open Question.** Is the fixed point of the homomorphism  $1 \rightarrow 121$ ;  $2 \rightarrow 12221$  quasi-automatic?

## Automaticity (continued)

- Let  $0 < \alpha < 1$  be a real irrational number with bounded partial quotients in its continued fraction expansion.
- Then it can be shown (JOS, 1995) that the automaticity of the Sturmian sequence  $(s_n)_{n \geq 1}$  defined by

$$s_n = \lfloor (n+1)\alpha \rfloor - \lfloor n\alpha \rfloor$$

is  $\Omega(n^{1/5})$ .

- The proof uses basic techniques of Diophantine approximation.
- In particular, can show that for any integer  $r \geq 2$ , and all pairs  $(c, d)$  with  $c \neq d$  and  $0 \leq c, d < r$ , there exists an  $n = O(r^3)$  such that  $s_{rn+c} \neq s_{rn+d}$ .
- Open Question: is the  $O(r^3)$  bound best possible?

## Generalization of Automatic Sequences

- Automatic sequences must take their values in a finite set
- This is too restrictive; we would like to define “automatic sequences” over the integers.
- Need the correct definition to generalize.
- Recall the  $k$ -kernel of a sequence:

$$K_k(a) = \{(a_{k^i n + j})_{n \geq 0} : i \geq 0, 0 \leq j < k^i\}.$$

- What is the proper generalization of the finiteness property?

## $k$ -regular Sequences

- An integer sequence  $(a_n)_{n \geq 0}$  is said to be  $k$ -regular if the  $\mathbb{Z}$ -module generated by the sequences in the  $k$ -kernel is *finitely generated*.
- Example:  $a_n = s_2(n)$ , the total number of 1's in the binary expansion of  $n$ .
- Then  $a_{2n} = a_n$  and  $a_{2n+1} = a_n + 1$ . It follows that  $\langle K_2(a) \rangle$  is generated by  $(a_n)_{n \geq 0}$  and the constant sequence 1.
- $k$ -regular sequences appear in many different fields of mathematics: numerical analysis, topology, number theory, combinatorics, analysis of algorithms, and fractal geometry.

## Examples of $k$ -regular Sequences

### *Example 1. The Stern-Brocot Tree*

In the limit, the sequence  $(s(n))_{n \geq 0}$  of numerators one gets at level  $n$  is

$$1, 2, 3, 3, 4, 5, 5, 4, 5, 7, 8, 7, 7, 8, 7, 5, \dots$$

which satisfies the relations  $s(2n + 1) = 3a(n) - a(2n)$ ;  
 $s(4n) = 2a(2n) - a(n)$ ;  $s(4n + 2) = 4a(n) - a(2n)$ .



## Examples of $k$ -regular Sequences

*Example 2. Minimum cost of addition chains.* An addition chain to  $n$  is a sequence of pairs of positive integers

$$(a_1, b_1), (a_2, b_2), (a_3, b_3), \dots, (a_r, b_r)$$

where

- (i)  $a_r + b_r = n$ ;
- (ii) for all  $s$ , either  $a_s = 1$ , or  $a_s = a_i + b_i$  for some  $i < s$ , and the same requirement holds for  $b_s$ .

Example: here is an addition chain to 21:

$$(1, 1), (2, 2), (4, 1), (5, 5), (10, 10), (20, 1)$$

- The *cost* of the addition chain is  $\sum_{1 \leq i \leq r} a_i b_i$ .
- Denote the cost of the minimum addition chain to  $n$  as  $c(n)$ .
- Graham, Yao, and Yao showed that  $c(2n) = c(n) + n^2$  and  $c(2n + 1) = c(n) + n(n + 2)$  for  $n \geq 1$ .
- It follows that  $(c(n))_{n \geq 0}$  is 2-regular.

## Examples of $k$ -regular Sequences

*Example 3. Subword Complexity.* Let  $w = w_0w_1w_2 \dots$  be an infinite word over a finite alphabet, and let  $\rho_w(n)$  be the number of distinct subwords of length  $n$  in  $w$ . Then  $\rho_w(n)$  is frequently  $k$ -regular, especially when  $w$  is the fixed point of a  $k$ -uniform homomorphism. For example, when  $w$  is the Thue-Morse word  $01101001 \dots$ , then  $\rho_w(n)$  is 2-regular.

*Example 4. Mergesort.* To sort a list of  $n$  integers recursively, first sort the left half (recursively), then sort the right half, and then merge the two halves together. Then  $T(n)$ , the total number of comparisons used in the worst case, is given by the recurrence

$$T(n) = T(\lfloor n/2 \rfloor) + T(\lceil n/2 \rceil) + n - 1.$$

It follows that  $T(n)$  is 2-regular, and one can obtain the closed form

$$T(n) = n \lceil \log_2 n \rceil - 2^{\lceil \log_2 n \rceil} + 1.$$

## Properties of $k$ -regular Sequences

- Every  $k$ -automatic sequence is also  $k$ -regular.
- If a  $k$ -regular sequence is bounded, then it is  $k$ -automatic.
- The  $k$ -regular sequences are closed under shift, and periodic deletion.
- A sequence is  $k$ -regular iff it is  $k^r$ -regular for any  $r \geq 2$ .
- The  $k$ -regular sequences are closed under (termwise) sum and product.
- If  $f(X) = \sum_{n \geq 0} f_n X^n$  and  $g(X) = \sum_{n \geq 0} g_n X^n$  are formal power series with  $k$ -regular coefficients, then so is  $f(X)g(X)$ .
- *Conjecture:* if  $(f_i)_{i \geq 0}$  and  $(g_i)_{i \geq 0}$  are both  $k$ -regular sequences, and  $f_i/g_i \in \mathbb{Z}$  for all  $i \geq 0$ , then  $(f_i/g_i)_{i \geq 0}$  is also  $k$ -regular.
- *Open Question.* Show that  $\lfloor \frac{1}{2} + \log_2 n \rfloor$  is not a 2-regular sequence.

## The Pattern Transform

- Let  $e_P(n)$  denote the number of (possibly overlapping) occurrences of the pattern  $P$  in the base-2 expansion of  $n$ . Then  $e_P(n)$  is 2-regular. Furthermore, every sequence  $(f_n)_{n \geq 0}$  can be expanded as a sum of such pattern sequences, and the coefficients in this sum are 2-regular if and only if  $(f_n)_{n \geq 0}$  is 2-regular.
- Example:

$$\begin{aligned} e_1(3n) &= 2e_1 - 2e_{11}(n) + e_{111}(n) - 2e_{1011}(n) + \cdots \\ &= 2e_1(n) - 2 \sum_{i \geq 0} e_{(10)^i 11}(n) + \sum_{i \geq 0} e_{11(01)^i 1}(n). \end{aligned}$$

- It had previously been observed by Newman that the first few values of  $(e_1(3n))_{n \geq 0}$  are almost all even.

## Inferring $k$ -regular sequences

- given a sequence  $(s_n)_{n \geq 0}$ , how can we determine if it is  $k$ -regular?
- construct a matrix in which the rows are elements of the  $k$ -kernel, and attempt to do row reduction
- as elements further out in the  $k$ -kernel are examined, the number of columns of the matrix that are known in all entries decreases
- if rows that are previously linearly independent suddenly become dependent with the elimination of terms further out in the sequence, then no relation can be accurately deduced; stop and retry after computing more terms
- if the subsequence  $(s_{k^j n + c})_{n \geq 0}$  is not linearly dependent on the previous sequences, try adding the subsequences  $(s_{k^j (kn+a) + c})_{n \geq 0}$  for  $0 \leq a < k$
- when no more linearly independent sequences can be found, you have found relations for the sequence

## Inferring $k$ -regular Sequences

- (N. Strauss, 1988) Define

$$r(n) = \sum_{0 \leq i < n} \binom{2i}{i},$$

- let  $\nu_3(n)$  be the exponent of the highest power of 3 that divides  $n$ .
- The first few terms of  $\nu_3(r(n))$  are:

0, 1, 2, 0, 2, 3, 1, 2, 4, 0, 1, 2, 0, 3, 4, 2, 3, 5, 1, 2, ...

- A 3-regular sequence recognizer easily produces the following conjectured relations (where  $f(n) = \nu_3(r(n+1))$ ):

- $f(3n+2) = f(n) + 2$ ;
- $f(9n) = f(9n+3) = f(3n)$ ;
- $f(9n+1) = f(9n+4) = f(9n+7) = f(3n) + 1$ .
- With a little more work, one arrives at the conjecture

$$\nu_3(r(n)) = \nu_3\left(\binom{2n}{n}\right) + 2\nu_3(n).$$

- proved by Allouche and JOS.

- A beautiful proof of this identity using 3-adic analysis was also given by Don Zagier.
- Zagier showed that if we set

$$F(n) = \frac{\sum_{0 \leq k \leq n-1} \binom{2k}{k}}{n^2 \binom{2n}{n}},$$

then  $F(n)$  extends to a 3-adic analytic function from  $\mathbb{Z}_3$  to  $-1 + 3\mathbb{Z}_3$ , and has the expansion:

$$F(-n) = -\frac{(2n-1)!}{(n!)^2} \sum_{0 \leq k \leq n-1} \frac{(k!)^2}{(k-1)!}.$$

## The Automatic Real Numbers

- We say that a real number  $r$  is  $(k, b)$ -automatic if the base- $b$  representation of its fractional part is a  $k$ -automatic sequence.
- For example, the number

$$.11010001000000010000000000000001 \cdots_{(b)}$$

with 1's in the 1st, 2nd, 4th, 8th, etc., positions (sometimes called the Fredholm number, although Fredholm never studied it!) is  $(2, b)$ -automatic.

- The set of all  $(k, b)$ -automatic numbers is denoted by  $L(k, b)$ .



## The Automatic Reals form a Vector Space over $\mathbb{Q}$

- The proof is rather technical.
  - It suffices to show that if  $x, y$  are in  $L(k, b)$ , then so are  $x/n$  (for any integer  $n$ ) and  $x + y$ .
  - For the first, we can express division by  $n$  as a finite-state transducer that just mimics long-division as done by hand. For example, here is a transducer for division by 3 for numbers written in base-2:
- 
- Now a theorem of Cobham implies that  $x/n \in L(k, b)$ .
  - For  $x + y$ , a more complicated proof is necessary, since carries can come from arbitrarily far to the right.
  - More generally, we have a Normalization Lemma: if  $(a_i)_{i \geq 1}$  is a  $k$ -automatic sequence taking values in  $\mathbb{Z}$ , then  $\sum_{i \geq 1} a_i b^{-i} \in L(k, b)$ .

## What is the Dimension of $L(k, b)$ over $\mathbb{Q}$ ?

- Now that we know  $L(k, b)$  is a vector space over  $\mathbb{Q}$ , a natural question is, what is the dimension of that vector space?

- A simple argument shows that it is infinite:

- For example, define

$$f(X) = X + X^2 + X^4 + X^8 + X^{16} + \dots$$

Then clearly  $f(1/b^r) \in L(2, b)$  for all odd integers  $r \geq 1$ .

- But the numbers

$$\{f(1/b^r) : r \text{ odd, } \geq 1\}$$

are linearly independent over  $\mathbb{Q}$ .

- For if not, then we would have

$$\sum_{0 \leq i \leq s} d_i f(1/b^{2i+1}) = \sum_{0 \leq i \leq s} e_i f(1/b^{2i+1})$$

with  $0 \leq d_i, e_i \leq M$  and  $d_i e_i = 0$  for  $0 \leq i \leq s$ .

- Now for  $n$  sufficiently large, the base- $b$  digits to the left of position  $(2i + 1)2^n$  on the left-hand side are  $(d_i)_b$ , while those in the same position on the right-hand side are  $(e_i)_b$ . It follows that  $d_i = e_i = 0$ .

## Automatic Reals are Not Closed Under Product

**Theorem** (Lehr, Shallit, and Tromp, 1994). The automatic reals are not closed under product.

*Proof.* We showed that

$$f = \sum_{r \geq 0} 2^{-2^r}$$

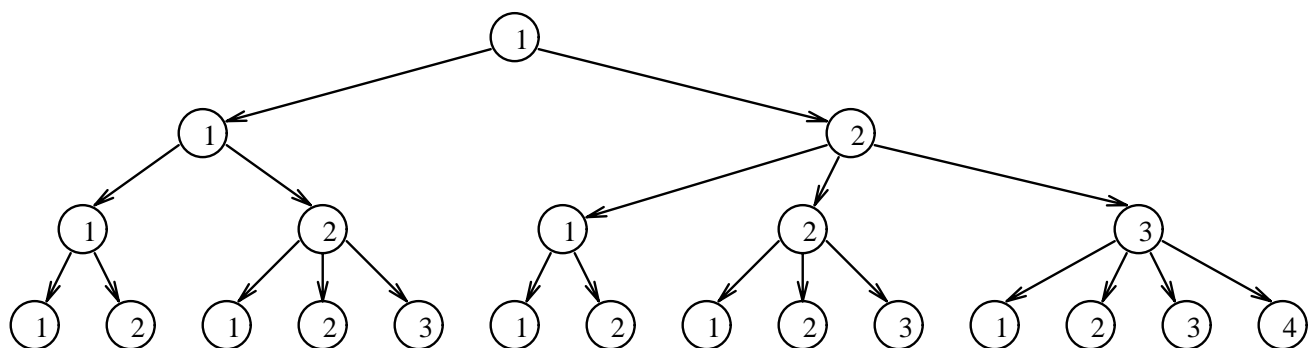
and

$$g = \sum_{m \geq 1, n \geq 0} 2^{-(2^m - 1)2^n}$$

are both in  $L(2, 2)$ , but their product is not.

## Is There an Automatic Ring Strictly Containing $\mathbb{Q}$ ?

- Let  $f(X) = X + X^2 + X^4 + X^8 + \dots$ .
- Then it can be shown that  $y = f(1/b)$  is transcendental over  $\mathbb{Q}$ .
- Hence  $\mathbb{Q}[y]$  is a ring with  $[\mathbb{Q}[y] : \mathbb{Q}] = \infty$ .
- If we could show all positive powers of  $y$  are in  $L(k, b)$ , we'd be done.
- By previous results, it suffices to show that, for any fixed  $r$ , the coefficients of  $f(X)^r$  are bounded.
- Let  $W_r = \max_{n \geq 0} [X^n](f(X)^r)$ . Consider the following *Catalan tree*:



- Then Tromp has shown that  $W_r$  is bounded by the sum, over all vertices  $v$  at level  $r - 1$ , of the product of all vertex labels in the path from the root to  $v$ . It follows that  $W_r \leq (2r)! / (2^r \cdot r!)$ .

## For Further Reading

1. A. Cobham, Uniform tag sequences, *Math. Systems Theory* **6** (1972), 164–192.
2. G. Christol, T. Kamae, M. Mendès France, and G. Rauzy, Suites algébriques, automates, et substitutions, *Bull. Soc. Math. France* **108** (1980), 401–419.
3. J.-P. Allouche and J. Shallit, The ring of  $k$ -regular sequences, *Theoret. Comput. Sci.*, **98** (1992), 163–187.
4. S. Lehr, J. Shallit, and J. Tromp, On the vector space of the automatic reals, in B. Leclerc and J. Y. Thibon, eds., *Formal Power Series and Algebraic Combinatorics*, pp. 351–362.
5. I. Glaister and J. Shallit, Automaticity III: polynomial Automaticity, context-free languages, and fixed points of morphisms, manuscript, 1995.