

# Formal Languages, Automata and Codes

Oleg Gutik



## Lecture 13

## 4.3 Identifying Nonregular Languages

Regular languages can be infinite, as most of our examples have demonstrated. The fact that regular languages are associated with automata that have finite memory, however, imposes some limits on the structure of a regular language. Some narrow restrictions must be obeyed if regularity is to hold. Intuition tells us that a language is regular only if, in processing any string, the information that has to be remembered at any stage is strictly limited. This is true, but has to be shown precisely to be used in any meaningful way. There are several ways in which this can be done.

### Using the Pigeonhole Principle

The term “pigeonhole principle” is used by mathematicians to refer to the following simple observation. If we put  $n$  objects into  $m$  boxes (pigeonholes), and if  $n > m$  then at least one box must have more than one item in it. This is such an obvious fact that it is surprising how many deep results can be obtained from it.

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### Example 4.6

Is the language  $L = \{a^n b^n : n \geq 0\}$  regular? The answer is no, as we show using a proof by contradiction.

Suppose  $L$  is regular. Then some DFA  $M = (Q, \{a, b\}, \delta, q_0, F)$  exists for it. Now look at  $\delta^*(q_0, a^i)$  for  $i = 1, 2, 3, \dots$ . Since there are an unlimited number of  $i$ 's, but only a finite number of states in  $M$ , the Pigeonhole Principle tells us that there must be some state, say  $q$ , such that

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with  $n \neq m$ . But since  $M$  accepts  $a^n b^n$  we must have

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From this we can conclude that

$$\begin{aligned}\delta^*(q_0, a^m b^n) &= \delta^*(\delta^*(q_0, a^m), b^n) = \\ &= \delta^*(q, b^n) = \\ &= q_f.\end{aligned}$$

This contradicts the original assumption that  $M$  accepts  $a^m b^n$  only if  $n = m$ , and leads us to conclude that  $L$  cannot be regular.

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Suppose  $L$  is regular. Then some DFA  $M = (Q, \{a, b\}, \delta, q_0, F)$  exists for it. Now look at  $\delta^*(q_0, a^i)$  for  $i = 1, 2, 3, \dots$ . Since there are an unlimited number of  $i$ 's, but only a finite number of states in  $M$ , the Pigeonhole Principle tells us that there must be some state, say  $q$ , such that

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In this argument, the Pigeonhole Principle is just a way of stating unambiguously what we mean when we say that a finite automaton has a limited memory. To accept all  $a^n b^n$ , an automaton would have to differentiate between all prefixes  $a^n$  and  $a^m$ . But since there are only a finite number of internal states with which to do this, there are some  $n$  and  $m$  for which the distinction cannot be made.

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Here is what we know about transition graphs for regular languages:

- If the transition graph has no cycles, the language is finite and therefore regular.
- If the transition graph has a cycle with a nonempty label, the language is infinite. Conversely, every infinite regular language has a DFA with such a cycle.
- If there is a cycle, this cycle can either be stopped or repeated an arbitrary number of times. So if the cycle has label  $w$  and if the string  $w$  is in the language, so must be the strings  $w^2$ ,  $w^3$ ,  $w^4$ ,  $w^5$ , and so on.
- We do not know where in the DFA this cycle is, but if the DFA has  $m$  states, the cycle must be entered by the time  $m$  symbols have been read.

If, for some language  $L$ , there is even one string  $w$  that does not have this property,  $L$  cannot be regular. This observation can be formally stated as a theorem called the Pumping Lemma.

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The following result, known as the Pumping Lemma for regular languages, uses the Pigeonhole Principle in another form. The proof is based on the observation that in a transition graph with  $n$  vertices, any walk of length  $n$  or longer must repeat some vertex, that is, contain a cycle.



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Let  $L$  be an infinite regular language. Then there exists some positive integer  $m$  such that any  $w \in L$  with  $|w| \geq m$  can be decomposed as

with  $w = xyz$

and  $|xy| \leq m,$

such that  $|y| \geq 1,$

$$w_i = xy^i z, \quad (1)$$

is also in  $L$  for all  $i = 0, 1, 2, \dots$

To paraphrase this, every sufficiently long string in  $L$  can be broken into three parts in such a way that an arbitrary number of repetitions of the middle part yields another string in  $L$ . We say that the middle string is “pumped,” hence the term Pumping Lemma for this result.

**Proof.** If  $L$  is regular there exists a DFA that recognizes it. Let such a DFA have states labeled  $q_0, q_1, q_2, \dots, q_n$ . Now take a string  $w$  in  $L$  such that  $|w| \geq m = n + 1$ . Since  $L$  is assumed to be infinite, this can always be done. Consider the set of states the automaton goes through as it processes  $w$ , say

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Since this sequence has exactly  $|w| + 1$  entries, at least one state must be repeated, and such a repetition must start no later than the  $n$ th move. Thus, the sequence must look like

$$q_0, q_i, q_j, \dots, q_r, \dots, q_r, \dots, q_f,$$

indicating there must be substrings  $x, y, z$  of  $w$  such that

$$\delta^*(q_0, x) = q_r,$$

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We have given the Pumping Lemma only for infinite languages. Finite languages, although always regular, cannot be pumped because pumping automatically creates an infinite set. The theorem does hold for finite languages, but it is vacuous. The  $m$  in the Pumping Lemma is to be taken larger than the longest string, so that no string can be pumped.

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### Example 4.7

Use the Pumping Lemma to show that  $L = \{a^n b^n : n \geq 0\}$  is not regular. Assume that  $L$  is regular, so that the Pumping Lemma must hold. We do not know the value of  $m$ , but whatever it is, we can always choose  $n = m$ .

Therefore, the substring  $y$  must consist entirely of  $a$ 's. Suppose  $|y| = k$ . Then the string obtained by using  $i = 0$  in Equation (1)

$$\begin{aligned} w_i &= xy^i z, \\ w_0 &= a^{m-k} b^m \end{aligned} \tag{1}$$

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Use the Pumping Lemma to show that  $L = \{a^n b^n : n \geq 0\}$  is not regular. Assume that  $L$  is regular, so that the Pumping Lemma must hold. We do not know the value of  $m$ , but whatever it is, we can always choose  $n = m$ .

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The correct argument can be visualized as a game we play against an opponent. Our goal is to win the game by establishing a contradiction of the Pumping Lemma, while the opponent tries to foil us. There are four moves in the game.

- 1 The opponent picks  $m$ .
- 2 Given  $m$ , we pick a string  $w$  in  $L$  of length equal or greater than  $m$ . We are allowed to choose any  $w$  subject to  $w \in L$  and  $|w| \geq m$ .
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Since the Pumping Lemma holds for every  $w \in L$  and every  $i$ , we can't win the game.

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For more details, see the book or the slides for this lecture.

## 4.3 Identifying Nonregular Languages

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▶ We can win the game by choosing  $w = a^m b^m$ .

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In applying the Pumping Lemma, we must keep in mind what the theorem says. We are guaranteed the existence of an  $m$  as well as the decomposition  $xyz$ , but we do not know what they are. We cannot claim that we have reached a contradiction just because the Pumping Lemma is violated for some specific values of  $m$  or  $xyz$ . On the other hand, the Pumping Lemma holds for every  $w \in L$  and every  $i$ . Therefore, if the Pumping Lemma is violated even for one  $w$  or  $i$ , then the language cannot be regular.

The correct argument can be visualized as a game we play against an opponent. Our goal is to win the game by establishing a contradiction of the Pumping Lemma, while the opponent tries to foil us. There are four moves in the game.

- 1 The opponent picks  $m$ .
- 2 Given  $m$ , we pick a string  $w$  in  $L$  of length equal or greater than  $m$ . We are free to choose any  $w$ , subject to  $w \in L$  and  $|w| \geq m$ .
- 3 The opponent chooses the decomposition  $xyz$ , subject to  $|xy| \leq m$ ,  $|y| \geq 1$ . We have to assume that the opponent makes the choice that will make it hardest for us to win the game.
- 4 We try to pick  $i$  in such a way that the pumped string  $w_i$ , defined in Equation (1)

$$w_i = xy^i z, \tag{1}$$

is not in  $L$ . If we can do so, we win the game.

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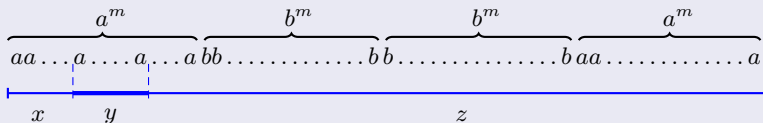
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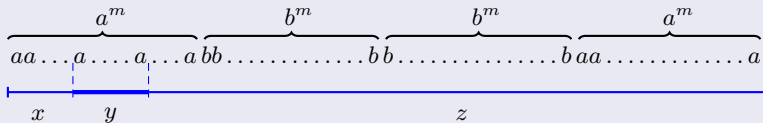
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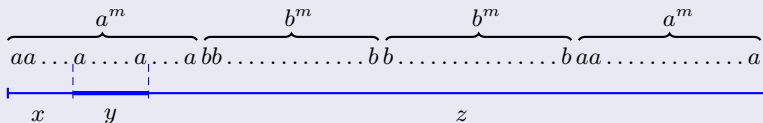
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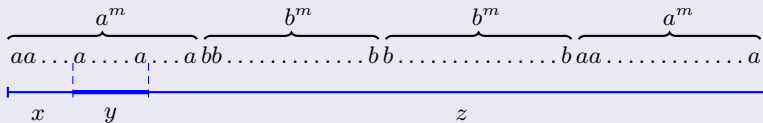
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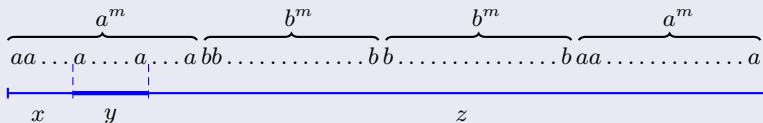
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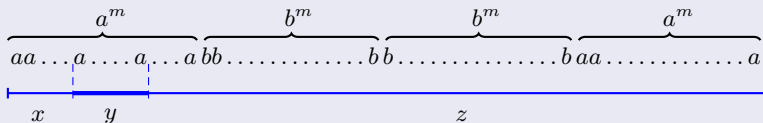
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Given the opponent's choice of  $m$ , we pick

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with  $1 \leq k \leq m$ . In that case,

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But  $m^2 - k > (m-1)^2$ , so that  $w_0$  cannot be in  $L$ . Therefore, the language is not regular.

In some cases, closure properties can be used to relate a given problem to one we have already classified. This may be simpler than a direct application of the Pumping Lemma.

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## 4.3 Identifying Nonregular Languages

### Example 4.12

Let  $\Sigma = \{a, b, c\}$ . The language

$$L = \{a^n b^k c^{n+k} : n \geq 0, k \geq 0\}$$

is not regular.

It is not difficult to apply the Pumping Lemma directly, but it is even easier to use closure under homomorphism. Take

$$h(a) = a, \quad h(b) = a, \quad h(c) = c,$$

then

$$\begin{aligned} h(L) &= \{a^{n+k} c^{n+k} : n+k \geq 0\} = \\ &= \{a^i c^i : i \geq 0\}. \end{aligned}$$

But we know this language is not regular; therefore,  $L$  cannot be regular either.

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is not regular.

It is not difficult to apply the Pumping Lemma directly, but it is even easier to use closure under homomorphism. Take

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Choosing a string with  $n = l + 1$  or  $n = l + 2$  will not do, because our opponent can always choose a decomposition that will make it impossible to pump the string out of the language (that is, pump it so that it has an equal number of  $a$ 's and  $b$ 's). We must be more inventive. Let us take  $n = m!$  and  $l = (m + 1)!$ . If the opponent now chooses a string  $y$  (by necessity consisting of all  $a$ 's) of length  $k < m$ , we pump  $i$  times to generate a string with  $m! + (i - 1)k$   $a$ 's. We can get a contradiction of the Pumping Lemma if we can pick  $i$  such that

$$m! + (i - 1)k = (m + 1)!$$

This is always possible because

$$i = 1 + \frac{m m!}{k}$$

and  $k \leq m$ . The right side is therefore an integer, and we have succeeded in violating the conditions of the Pumping Lemma.

However, there is a much more elegant way of solving this problem. Suppose  $L$  were regular. Then by [Theorem 4.1](#),  $L$  and the language

$$L_1 = \bar{L} \cap L(a^* b^*)$$

would also be regular. But  $L_1 = \{a^n b^n : n \geq 0\}$ , which we have already classified as nonregular. Consequently,  $L$  cannot be regular.

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Finally, perhaps the most common mistake is to make some assumptions about the decomposition  $xyz$ . The only thing we can say about the decomposition is what the Pumping Lemma tells us, namely, that  $y$  is not empty and that  $|xy| \leq m$ ; that is, that  $y$  must be within  $m$  symbols of the left end of the string. Anything else makes the argument invalid. A typical mistake in trying to prove that the language in Equation (2)

$$L = \{a^n : n \text{ is a prime number}\} \quad (2)$$

is not regular is to say that  $y = a^k$ , with  $k$  odd. Then of course  $w = xz$  is an even-length string and thus not in  $L$ . But the assumption on  $k$  is not permitted and the proof is wrong.

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Thank You for attention!