

Arithmetic subword complexity of automatic sequences

Clemens Müllner

TU Wien

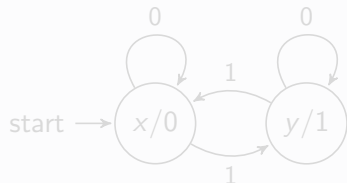
Tuesday, November 19, 2024

Automatic Sequences

Definition (Automaton - DFA)

$$A = (Q, \Sigma = \{0, \dots, k-1\}, \delta, q_0, \tau)$$

Example (Thue-Morse sequence)



$$n = 22 = (10110)_2, \quad t_{22} = 1$$

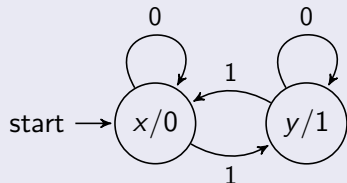
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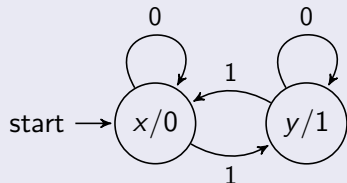
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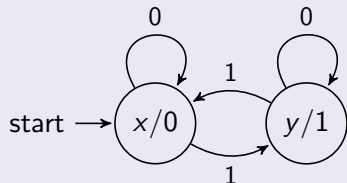
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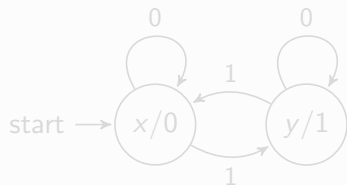
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Automaton (Computer Science)



Substitution (Dynamics)

Coding of the fixpoint of a substitution:

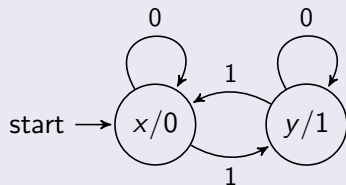
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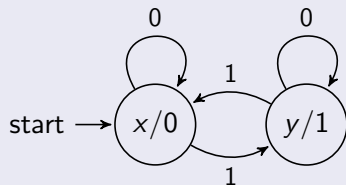
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Formal Power Series (Algebra)

Algebraicity over $\mathbf{F}_q(X)$.

$$t(X) := \sum_{n \geq 0} a(n)X^n$$

$$X + (1 + X)^2 t(X) + (1 + X)^3 t(X)^2 = 0$$

Finite Kernel

The k -kernel of a sequence $a(n)$ is defined as

$$\{(u(nk^\lambda + r))_{n \geq 0} : \lambda \geq 0, 0 \leq r < k^\lambda\}.$$

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Properties of Automatic Sequences

- Relatively easy to define (structured).
- Complex enough that interesting phenomena appear.
- Every subsequence $(u(xn + y))_{n \geq 0}$ along an arithmetic progression of an automatic sequence \mathbf{u} is again automatic.

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Subword Complexity

Let \mathcal{A} be a finite alphabet and $\mathbf{u} = (u(n))_{n \in \mathbb{N}} \in \mathcal{A}^{\mathbb{N}}$.

Definition (Subword Complexity)

The subword complexity of a sequence $\mathbf{u} \in \mathcal{A}^{\mathbb{N}}$ is defined by

$$\rho_{\mathbf{u}}(L) := \#\{\mathbf{w} \in \mathcal{A}^L : \exists k, (u(k), \dots, u(k+L-1)) = \mathbf{w}\}.$$

$$\rho_{\mathbf{u}}(L) \leq |\mathcal{A}|^L$$

Subword complexity of automatic sequences

Let \mathbf{u} be an automatic sequence. Then there exists $C > 0$ such that for all $L \in \mathbb{N}$

$$\rho_{\mathbf{u}}(L) \leq C \cdot L.$$

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Arithmetic subword complexity

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Let \mathbf{u} be a sequence over a finite alphabet \mathcal{A} .

$$p_{\mathbf{u}}^{AP}(L) := \#\{\mathbf{w} \in \mathcal{A}^L : \exists n \geq 0, m \geq 1 : \\ u(n + im) = \mathbf{w}(i) \text{ for } i = 0, \dots, L - 1\}.$$

Theorem (Avgustinovich, Fon-Der-Flaass and Frid; 2003)

- A certain class of invertible automatic sequences has maximal arithmetic subword complexity. (E.g. Thue-Morse sequence)
- Certain synchronizing automatic sequences have at most linear arithmetic subword complexity. (E.g. paperfolding sequence)

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Main Result

Definition (polynomial subword complexity)

Let \mathbf{u} be a sequence over a finite alphabet \mathcal{A} .

$$p_{\mathbf{u}}^{\leq d}(L) := \#\{\mathbf{w} \in \mathcal{A}^L : \exists P \in \mathbb{Z}[x], P(\mathbb{N}) \subseteq \mathbb{N}, \deg P \leq d : \\ u(P(i)) = \mathbf{w}(i) \text{ for } i = 0, \dots, L-1\}.$$

Theorem 1 (Konieczny, M.; 2024+)

Let $u(n)$ be an automatic sequence. Then there exists $r \in \mathbb{N}$ such that for any $d \geq 1$

$$p_{\mathbf{u}}^{\leq d}(L) = (r + o(1))^L.$$

Basically the same proof: there exist $c > 0, \eta > 0$ such that

$$r^L \leq p_{\mathbf{u}}^{\leq d}(L) \leq r^L \cdot \exp(cL^{1-\eta}).$$

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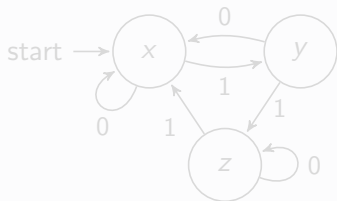
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Synchronizing Automata

Definition (Synchronizing Automaton / Word)

$$\exists \mathbf{w}_0 : \delta(q, \mathbf{w}_0) = x \quad \forall q.$$

Example



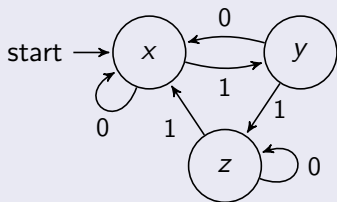
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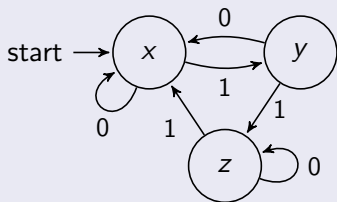
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Synchronizing Automata

Key Property

- Any word \mathbf{w} containing \mathbf{w}_0 is also synchronizing.
- Most words are synchronizing.
- \mathbf{u} can be approximated by periodic sequences:
Let λ be large. Most words of length λ are synchronizing.
 $u(n) = u(n \bmod k^\lambda)$ if $n \bmod k^\lambda$ is synchronizing.

"Usual" Strategy

- Understand the problem for periodic sequences.
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Minimal sets

General (primitive) automata are not synchronizing.

Definition: Minimal sets

$$c := \min_{\mathbf{w} \in \Sigma_k^*} \#\{\delta(q, \mathbf{w}) : q \in Q\} = \min_{\mathbf{w} \in \Sigma_k^*} \#\delta(Q, \mathbf{w})$$

$$\mathcal{M} := \{M \subset Q : \#M = c, \exists \mathbf{w} \text{ with } \delta(Q, \mathbf{w}) = M\}.$$

Lemma

We can define a “compatible” automaton where the states are \mathcal{M} . This automaton is synchronizing.

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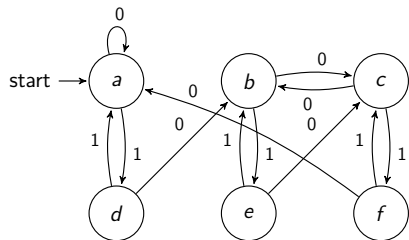
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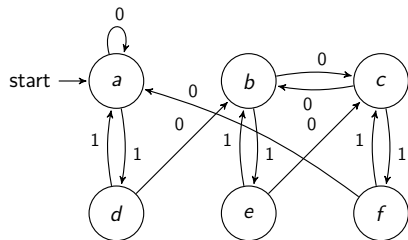
Tower of Hanoi



$$c = 3, M_0 = \{a, b, c\}, M_1 = \{d, e, f\}.$$

$u(n)$	a	d	b	a	c	e	a	d	b	f	c	b	a	d
$M(n)$	M_0	M_1	M_0	M_0	M_0	M_1	M_0	M_1	M_0	M_1	M_0	M_0	M_0	M_1

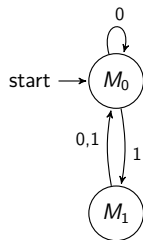
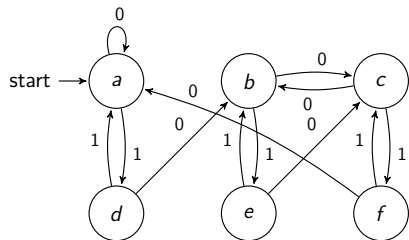
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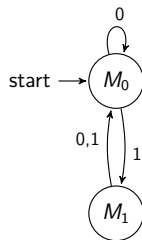
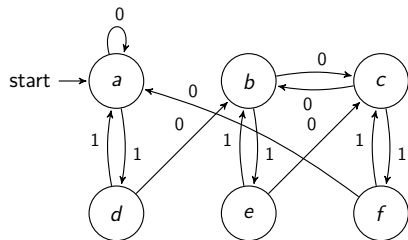
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Height

The height of a primitive k -automaton with $\delta(q_0, 0) = q_0$ and automatic sequence u is given by

$$h := \max\{m : \gcd(m, k) = 1, \\ m \mid n \text{ for all } n \geq 0 \text{ with } \delta(q_0, (n)_k) = q_0\}.$$

This allows for a cyclical decomposition using for $0 \leq j < h$

$$C_j = \{q \in Q : \exists n \in \mathbb{N}, n \equiv j \pmod{h}, \delta(q_0, (n)_k) = q\}.$$

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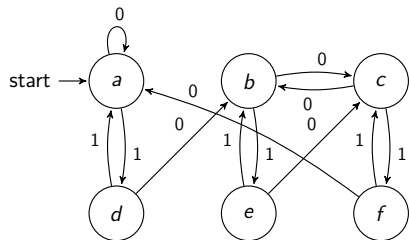
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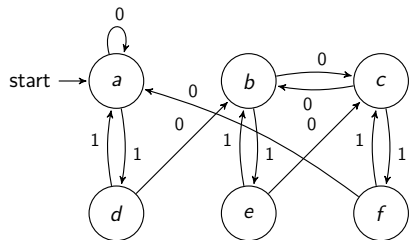
Tower of Hanoi (again)



$$h = 3; C_0 = \{a, f\}, C_1 = \{c, d\}, C_2 = \{b, e\}$$

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$C(n)$	C_0	C_1	C_2	C_0	C_1	C_2	C_0	C_1	C_2	C_0	C_1	C_2	C_0	C_1

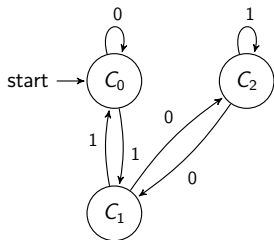
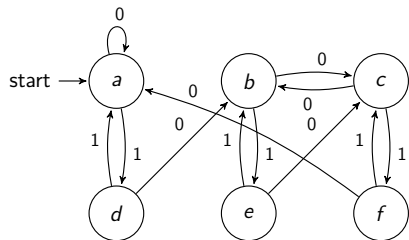
Tower of Hanoi (again)



$$h = 3; C_0 = \{a, f\}, C_1 = \{c, d\}, C_2 = \{b, e\}$$

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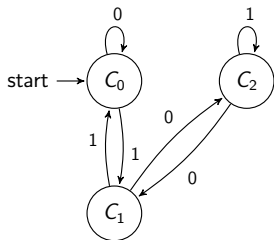
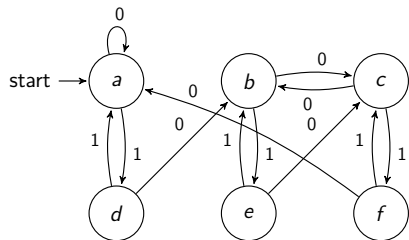
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Structured part

Let \mathcal{A} be a primitive automaton with output such that $\delta(q_0, 0) = q_0$.

- We define $S_{i,j} = M_i \cap C_j$.
- We can define a “compatible” automaton/transitions where the states are exactly the $S_{i,j}$.
- We define the output

$$\tau(S_{i,j}) = \frac{\sum_{q \in S_{i,j}} \tau(q)}{\#S_{i,j}}.$$

The corresponding automaton (with output) is called *structured part* of \mathcal{A} .

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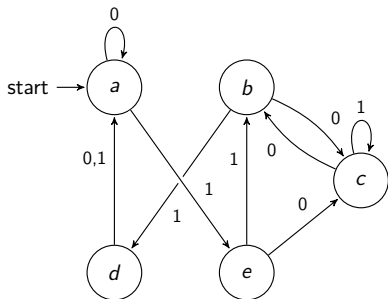
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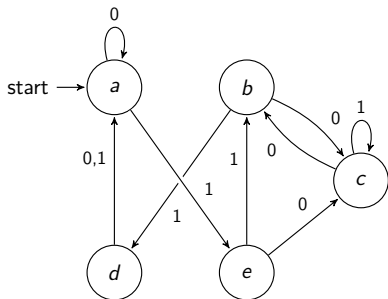


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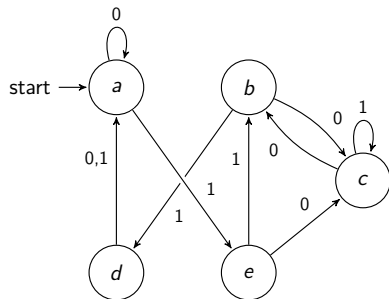


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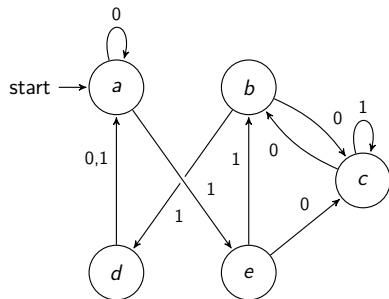


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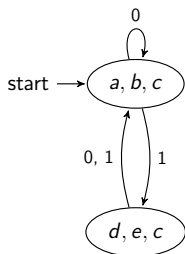
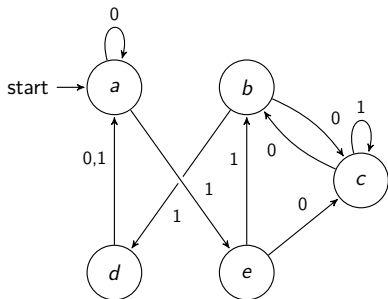


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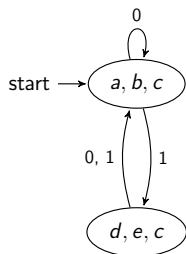
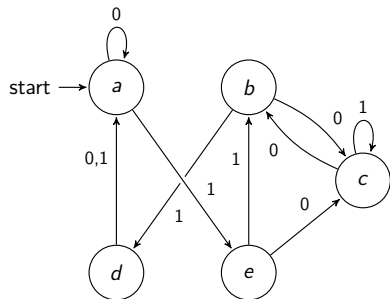


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General philosophy

- The sequence $S(n)$ gives a “coarse picture”, which is highly structured, i.e. $S(n)$ is “almost periodic”.
- Which element from $S(n)$ is chosen for $u(n)$ behaves “randomly”.

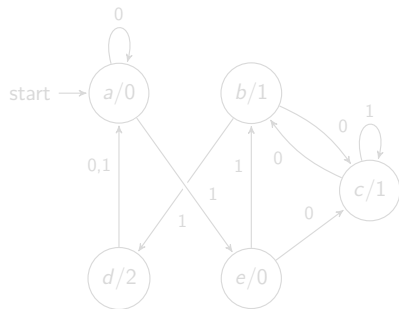
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Effective alphabet size

We define the *effective alphabet size*

$$r = \max_{S_{i,j}} \#\{\tau(q) : q \in S_{i,j}\}.$$

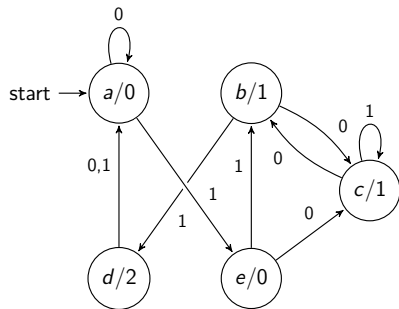


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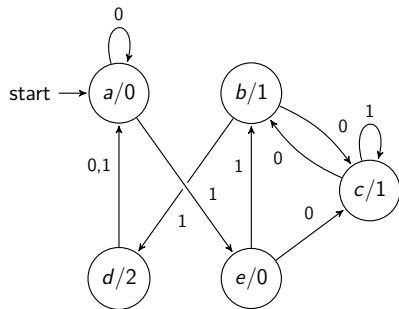


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Arithmetic regularity lemma for automatic sequences

Theorem (Byszewski, Konieczny, M.; 2023)

Let $a : \mathbb{N} \rightarrow \mathbb{C}$ be a primitive k -automatic sequence. Then it has a decomposition as $a = a_{str} + a_{uni}$, where

- a_{str} is a structured part of a .
- a_{uni} is uniform in the sense that for each $d \geq 2$ there exists $\kappa > 0$ such that

$$\|a_{uni}\|_{U^d[N]} \ll N^{-\kappa}.$$

Higher order Fourier analysis

Definition: Gowers norm

Let $d \geq 2$. Let $f : [N] = \{0, 1, \dots, N-1\} \rightarrow \mathbb{C}$. Then $\|f\|_{U^d[N]} \geq 0$ is defined by:

$$\|f\|_{U^d[N]}^{2^d} = \mathbb{E}_{\mathbf{n}} \prod_{\omega \in \{0,1\}^d} C^{|\omega|} f(n_0 + \omega_1 n_1 + \dots + \omega_d n_d),$$

where the average is taken over all parallelepipeds in $[N]$, i.e. over all $\mathbf{n} \in \mathbb{Z}^{d+1}$ such that $n_0 + \omega_1 n_1 + \dots + \omega_d n_d \in [N]$ for all $\omega \in \{0, 1\}^d$.

Higher order Fourier analysis

- $\|f\|_{U^d[N]}$ is a norm for $d \geq 2$.
- $\|f\|_{U^1[N]} \ll \|f\|_{U^2[N]} \ll \|f\|_{U^3[N]} \ll \dots$

Generalised von Neumann Theorem

Fix $d \geq 2$ and let $f_0, f_1, \dots, f_d : [N] \rightarrow \mathbb{C}$ be 1 bounded. Then

$$\left| \mathbb{E}_{n,m} f_0(n) f_1(n+m) f_2(n+2m) \cdots f_d(n+dm) \right| \ll \min_{0 \leq i \leq d} \|f_i\|_{U^d[N]}.$$

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Proof of the Main Theorem

Theorem (Konieczny, M.; 2024+)

Let $a(n)$ be an automatic sequence. Then there exists $r \in \mathbb{N}$ such that for any $d \geq 1$

$$r^L \leq p_a^{\leq d}(L) \leq r^L \cdot \exp(cL^{1-\eta}).$$

Lower bound

Let $u : \mathbb{N} \rightarrow \Omega$ be a primitive automatic sequence. For $x \in \Omega$, let

$$u^{(x)}(n) = \begin{cases} 1 & \text{if } u(n) = x \\ 0 & \text{otherwise.} \end{cases}$$

Lemma

For any $S_{i,j}$ there exists an arithmetic progression AP such that $S(n) = S_{i,j}$ for every $n \in AP$.

In particular, for each $q \in S_{i,j}$ we have $u_{str}^{(\tau(q))}$ is constant and positive along AP .

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Lower bound

Let N be a large integer. We will estimate the count of L -term arithmetic progressions in $AP \cap [N]$ where w appears:

$$C = \sum_{n,m=0}^{N-1} \prod_{i=0}^{L-1} \mathbb{1}_{AP \cap [N]}(n + im) u^{(w(i))}(n + im).$$

By generalised von Neumann theorem:

$$C = \sum_{n,m=0}^{N-1} \prod_{i=0}^{L-1} \mathbb{1}_{AP \cap [N]}(n + im) u_{str}^{(w(i))}(n + im) + O(N^{2-\kappa}).$$

We recall that $u_{str}^{(w(i))}$ is constant and positive.

Therefore, $C \gg N^2$.

Upper bound

Theorem 2 (Deshouillers, Drmota, M., Shubin, Spiegelhofer; 2024+)

Let $s(n)$ be a synchronizing automatic sequence. Then for any $d \geq 1$

$$p_s^{\leq d}(L) \leq \exp(o(L)).$$

Basically the same proof: there exist $c > 0, \eta > 0$ such that

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We recall that we have $\delta(q_0, (n)_k) \in S(n)$.

Thus, knowing $S(n)$ there are at most r different values $u(n)$ can take.

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- Let f be a m -periodic function. Then $p_f^{\leq d}(L) \leq m^{d+1}$.
- Approximate $s(n)$ by a k^λ -periodic function $f(n)$.
- $s(n)$ and $f(n)$ agree on most residue classes modulo k^λ .
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Reduction

We study $(s(P(0)), s(P(1)), \dots, s(P(L-1)))$.

- Avoid trivial problems:

$$P(\ell) = k^{\lambda_0} (z'_d \ell^d + \dots + z'_1 \ell + z'_0) + r.$$

Using the kernel: $\exists b_i \in \text{Ker}_k(a)$ with $b_i(n) = s(nk^{\lambda_0} + r)$.

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- **Problem:** We still only hit few residue classes modulo k^λ . (E.g. $P'(\ell) = 5 \cdot 3^\lambda \cdot \ell \pmod{6^\lambda}$.)
- "low" digits: $P'(\ell)$ might still not equidistribute mod k^λ .
- "high" digits work: $\exists \varepsilon(k) > 0$ such that for any $\mathbf{w} \in \mathcal{A}^{\varepsilon\lambda}$ we have $\#\{\ell < k^\lambda : (P'(\ell) \pmod{k^\lambda})_k \text{ starts with } \mathbf{w}\} \approx k^{\lambda(1-\varepsilon)}$.

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Equidistribution of high digits

- Detection of digits: The digits of ℓ in base k between positions μ and λ coincide with the digits of $m < k^{\lambda-\mu}$ iff

$$\left\{ \frac{\ell}{k^\lambda} \right\} \in \left[\frac{m}{k^{\lambda-\mu}}, \frac{m+1}{k^{\lambda-\mu}} \right).$$

- Expand the indicator function into a Fourier series.

$$\sum_{\ell < k^\lambda} \mathbf{1} \left[\left\{ \frac{P'(\ell)}{k^\lambda} \right\} \in \left[\frac{m}{k^{\lambda-\mu}}, \frac{m+1}{k^{\lambda-\mu}} \right] \right] \approx \sum_{|h| < H} c_h \sum_{\ell < k^\lambda} e \left(\frac{h \cdot P'(\ell)}{k^\lambda} \right).$$

- Use classical estimates for

$$\sum_{\ell < k^\lambda} e \left(\frac{h \cdot P'(\ell)}{k^\lambda} \right),$$

depending on $\min_{1 \leq j \leq d} \gcd(z'_j, k^\lambda)$.

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Putting everything together

- Approximate $b_i(n)$ with a k^λ -periodic function $f(n)$.
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