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The Average State Complexity of Rational Operations on Finite Languages*

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Considering the uniform distribution on sets of m non-empty words whose sum of lengths is n , we establish that the average state complexities of the rational operations are asymptotically linear.

1. Introduction

This paper first and foremost addresses the following issue: Given a finite set of words X on an alphabet A and a word $u \in A^*$, how to determine efficiently whether $u \in X^*$ or not?

With a nondeterministic automaton, one can determine whether a word u is in X^* or not in time proportional to the product of the lengths of u and X , where the length of X is the sum of the lengths of its elements.

With a deterministic automaton recognizing X^* , one can check whether a word u is in X^* or not in time proportional to the size of u , once the automaton is computed. But in [6], Ellul, Krawetz, Shallit and Wang found an example where the state complexity of X^* , *i.e.* the number of states of the minimal automaton of X^* , is exponential. More precisely, for every integer $h \geq 3$, they gave a language X_h of length $\Theta(h^2)$, containing $\Theta(h)$ words, whose state complexity is $\Theta(h2^h)$. Using another measure on finite sets of words, Campeanu, Culik, Salomaa and Yu proved in [3, 4] that if the set X is a finite language of state complexity $n \geq 4$, the state complexity of X^* is $2^{n-3} + 2^{n-4}$ in the worst case, for an alphabet with at least three letters. Note that the state complexity of X^* is $2^{n-1} + 2^{n-2}$ in the worst case when X is not necessarily finite [16, 17].

An efficient alternative using algorithms related to Aho-Corasick automaton was proposed in [5] by Clément, Duval, Guaiana, Perrin and Rindone. In their paper, an algorithm to compute all the decompositions of a word as a concatenation of elements in a finite set of non-empty words is also given.

This paper is a contribution to this general problem, called the non-commutative Frobenius problem by Shallit [12], from the name of the classical problem [10, 11] of which it is a generalization. Our study is made from an average point of view. We analyze the average state complexity of X^* , for the uniform distribution of sets

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of m non-empty words, whose sum of lengths is n , and as n tends towards infinity. We use the general framework of analytic combinatorics [7] applied to sets of words and classical automata constructions. Our main result is that, in average, the state complexity of the star of a set X of m non-empty words is linear with respect to the length of X . For an alphabet with at least three letters, we improve slightly the result, showing that the average state complexity of X^* is equivalent to n .

As a natural extension of this result, we also propose an average-case analysis of the two other rational operations for finite languages, namely the union and the concatenation. In both cases we establish the linearity of the state complexity in average.

The distribution chosen in this article is quite natural, since taking the sum of the lengths of the words as the size of a finite language corresponds to the space needed for its direct representation, *i.e.* by listing its elements. If one removes the condition that the number of words is fixed, and consider the uniform distribution on finite languages of length n , the probability that a random language contains small words is very high. More precisely, all the words of length one, are contained in a random set with a non-negligible probability. As our main focus is the star operation, it is not an interesting distribution: the probability that the star of a random set is A^* , of state complexity one, is too high.

Remark that an interesting and rather different distribution has been considered in [8]. For a given n , they analyze the uniform distribution over finite languages whose longest word is of length at most n . The distribution is quite different from ours. For instance, there are $2^{(|A|^{n+1}-1)/(|A|-1)}$ distinct sets of size n , where we have around $\binom{n-1}{m-1}|A|^n$ sets. For this distribution, it is likely to have a lot of words of large size, and the authors proved that almost all languages have a state complexity in $\Theta(|A|^n/n)$. For the distribution studied in this article, the average state complexity of a language of length n is equivalent to n , as we shall see in Proposition 9.

The paper is organized as follows. In Section 2 we recall some definitions, usual automata constructions and establish some technical combinatorial properties about words. In Section 3, we prove lower bounds for rational operation on finite languages, in the average case. The average state complexities are established in Section 4 for the union and the concatenation, and in Section 5 for the star operation. Finally, some algorithmic perspectives are discussed in Section 6.

A preliminary version of this work has been presented in [1].

2. Preliminary

2.1. Automata and Words

We recall some definitions about automata and combinatorics on words. We refer the readers to [9, 15, 2] for elements of theory of finite automata and to [13, 14, 15] for combinatorics on words.

A *finite automaton* \mathcal{A} over a finite alphabet A is a quintuple $\mathcal{A} = (A, Q, T, I, F)$ where Q is a finite set of *states*, $T \subset Q \times A \times Q$ is the set of *transitions*, $I \subset Q$ is

the set of *initial states* and $F \subset Q$ is the set of final states. The automaton \mathcal{A} is *deterministic* if it has only one initial state and for any $(p, a) \in Q \times A$ there exists at most one state $q \in Q$ such that $(p, a, q) \in T$. It is *complete* if for each $(p, a) \in Q \times A$, there exists at least one state $q \in Q$ such that $(p, a, q) \in T$. A deterministic finite automaton \mathcal{A} is *accessible* when for each state q of \mathcal{A} , there exists a path from the initial state to the state q . The *size* $\#\mathcal{A}$ of an automaton \mathcal{A} is its number of states. Any finite automaton $\mathcal{A} = (A, Q, T, I, F)$ can be transformed into a deterministic automaton $\mathcal{B} = (A, \mathcal{P}(Q), T', \{I\}, F')$ recognizing the same language and in which $F' = \{P \in \mathcal{P}(Q) \mid P \cap F \neq \emptyset\}$ and $T' = \{(P, a, R) \text{ with } P \in \mathcal{P}(Q), a \in A \text{ and } R = \{q \mid \exists p \in P, (p, a, q) \in T\}\}$. In practice only the accessible part of the automaton \mathcal{B} is built in this *subset construction*.

We say that the word v is a *proper prefix* (resp. *suffix*) of a word u if v is a prefix (resp. suffix) of u such that $v \neq \varepsilon$ and $v \neq u$. The word v is called a *border* of u if v is both a proper prefix and a proper suffix of u . We denote by $\text{Pr}(u)$ (resp. $\text{Sf}(u)$) the set of all prefixes (resp. suffixes) of u , by $\text{Pref}(u)$ (resp. $\text{Suff}(u)$) the set of proper prefixes (resp. suffixes) and by $\text{Bord}(u)$ the set of borders of u . A word is *primitive* when it is not the power of another word. Let u, v and w be three non-empty words such that w is a proper suffix of v that is a proper suffix of u and define the following sets: $Q_u = \{\{u\} \cup P \mid P \subset \text{Suff}(u)\}$, $Q_{u,v} = \{\{u\} \cup P \mid P \in Q_v\}$ and $Q_{u,v,w} = \{\{u\} \cup P \mid P \in Q_{v,w}\}$. The cardinalities of Q_u , $Q_{u,v}$ and $Q_{u,v,w}$ are respectively equal to $2^{|u|-1}$, $2^{|v|-1}$ and $2^{|w|-1}$.

The *minimal automaton* of a regular language is the unique (up to isomorphism) smallest accessible and deterministic automaton recognizing this language. The *state complexity* of a regular language is the size of its minimal automaton. Therefore the state complexity of a regular language L is equal to its number of distinct left quotients, *i.e.* the languages of the form $u^{-1}L = \{w \in A^* \mid uw \in L\}$. Let $L \subset A^*$ be a finite set of words. The automaton $\mathcal{T}_L = (A, \text{Pr}(L), T_L, \{\varepsilon\}, L)$, where $T_L = \{(u, a, ua) \mid u \in \text{Pr}(L), a \in A, ua \in \text{Pr}(L)\}$, recognizes the set L (See Figure 1 p.13 for an example). Therefore the state complexity of a finite language, whose sum of the lengths of its elements is n , is less or equal to $n + 1$.

2.2. Enumeration

Recall that $f(n) = \mathcal{O}(g(n))$ if there exists a positive real c such that for all n big enough $|f(n)| \leq c|g(n)|$, that $f(n) = \Omega(g(n))$ if there exists a positive real c such that for all n big enough $|f(n)| \geq c|g(n)|$ and that $f(n) = \Theta(g(n))$ if $f(n) = \mathcal{O}(g(n))$ and $f(n) = \Omega(g(n))$.

Let $X \subset A^*$ be a finite set of words. We denote by $|X|$ the cardinality of X and by $\|X\|$ the *length* of X defined as the sum of the lengths of its elements: $\|X\| = \sum_{u \in X} |u|$. Let $\text{Set}_{n,m}$ be the set of sets of m non-empty words whose sum of lengths is n : $\text{Set}_{n,m} = \{X = \{u_1, \dots, u_m\} \mid \|X\| = n, \forall i \in \{1, \dots, m\} u_i \in A^+\}$ and $\mathcal{S}_{n,m}$ be the set of sequences of m non-empty words whose sum of lengths is n : $\mathcal{S}_{n,m} = \{S = (u_1, \dots, u_m) \mid \|S\| = n, \forall i \in \{1, \dots, m\} u_i \in A^+\}$. We denote by

$\mathcal{S}_{n,m}^\neq \subset \mathcal{S}_{n,m}$ the set of sequences of pairwise distinct words.

Proposition 1. *For any fixed integer $m \geq 2$, the number $|\mathcal{S}_{n,m}|$ of sequences and the number $|\text{Set}_{n,m}|$ of sets of m non-empty words whose sum of lengths is n satisfy*

$$|\mathcal{S}_{n,m}| = \binom{n-1}{m-1} |A|^n \quad \text{and} \quad |\text{Set}_{n,m}| = \frac{1}{m!} |\mathcal{S}_{n,m}| \left(1 + \mathcal{O}\left(\frac{1}{n^2}\right) \right).$$

Proof. Any sequence S of $\mathcal{S}_{n,m}$ can be uniquely defined by a word v of length n , which is the concatenation of the elements of S , and a composition of n into m parts, that indicates how to cut the word of length n into m parts. Therefore $|\mathcal{S}_{n,m}| = \binom{n-1}{m-1} |A|^n$. Moreover, as m is fixed,

$$\binom{n-1}{m-1} |A|^n \sim \frac{n^{m-1}}{(m-1)!} |A|^n. \quad (1)$$

Let $\mathcal{F}_{n,m}$ be the set of the elements $S = (u_1, \dots, u_m)$ of $\mathcal{S}_{n,m}$ such that $u_1 = u_2$, then:

$$|\mathcal{F}_{n,m}| = |\mathcal{S}_{n,m}| \mathcal{O}\left(\frac{1}{n^2}\right). \quad (2)$$

Indeed, if $m = 2$ then $|\mathcal{F}_{n,2}| = \begin{cases} 0 & \text{if } n \text{ is odd} \\ |A|^{n/2} & \text{if } n \text{ is even} \end{cases}$ which proves the result. If $m \geq 3$, the generating function for the number of pairs of non-empty words (u, v) such that $u = v$ is $z \mapsto \frac{|A|z^2}{1-|A|z^2}$, then

$$F_m(z) = \sum_{n \geq 0} \mathcal{F}_{n,m} z^n = \frac{|A|z^2}{1-|A|z^2} S_{m-2}(z) = \frac{|A|z^2}{1-|A|z^2} \left(\frac{|A|z}{1-|A|z} \right)^{m-2},$$

where $S_{m-2}(z) = \sum_{n \geq 0} \mathcal{S}_{n,m-2} z^n$. Therefore $F_m(z)$ is a rational function with a simple pole at $\frac{1}{\sqrt{|A|}}$ and a pole of order $m-2$ at $\frac{1}{|A|}$. Hence there exist a polynomial P of degree $m-3$ and a constant c , such that

$$F_{n,m} = P(n)|A|^n + c|A|^{n/2} = P(n)|A|^n \left(1 + \mathcal{O}(|A|^{-n/2}) \right).$$

Equation (2) is then obtained using Equation (1) and the degree of P . Now let $i, j \in \{1, \dots, m\}$ and $\mathcal{F}_{n,m}^{(i,j)} \subset \mathcal{S}_{n,m}$ containing all sequences (u_1, \dots, u_m) such that $u_i = u_j$. Then $\mathcal{S}_{n,m} = \mathcal{S}_{n,m}^\neq \cup \bigcup_{1 \leq i < j \leq m} \mathcal{F}_{n,m}^{(i,j)}$ where $\mathcal{S}_{n,m}^\neq \subset \mathcal{S}_{n,m}$ is the subset of sequences whose elements are pairwise distinct. By symmetry arguments $|\mathcal{F}_{n,m}^{(i,j)}| = |\mathcal{F}_{n,m}|$ and consequently $|\mathcal{S}_{n,m}| - |\mathcal{S}_{n,m}^\neq| \leq \binom{m}{2} |\mathcal{F}_{n,m}|$. Hence from Equation (2), $|\mathcal{S}_{n,m}| - |\mathcal{S}_{n,m}^\neq| = |\mathcal{S}_{n,m}| \mathcal{O}\left(\frac{1}{n^2}\right)$.

Finally since an element of $\text{Set}_{n,m}$ is mapped on exactly $m!$ sequences of $\mathcal{S}_{n,m}^\neq$, we obtain $|\mathcal{S}_{n,m}^\neq| = m! |\text{Set}_{n,m}|$, concluding the proof. \square

In the following we shall count the number of states of automata according to their labels. This enumeration is based on combinatorial properties of words.

Lemma 2. *Let u be a non-empty word of length ℓ . The number of sequences $S \in \mathcal{S}_{n,m}$ such that u is a prefix (resp. suffix) of a word of S is smaller or equal to $m \binom{n-\ell}{m-1} |A|^{n-\ell}$.*

Proof. There are at most $m \binom{n-\ell-1}{m-2} |A|^{n-\ell}$ elements in $\mathcal{S}_{n,m}$ containing u , as taking an element of $\mathcal{S}_{n-\ell, m-1}$ and adding u at one of the m possible places covers all the possibilities (with over-counting). There are at most $m \binom{n-\ell-1}{m-1} |A|^{n-\ell}$ elements in $\mathcal{S}_{n,m}$ containing a word having u as a prefix (resp. suffix), as taking an element of $\mathcal{S}_{n-\ell, m}$ and concatenating u at the beginning (resp. end) of one of the words covers all the possibilities (with over-counting). We conclude the proof as $m \binom{n-\ell-1}{m-2} |A|^{n-\ell} + m \binom{n-\ell-1}{m-1} |A|^{n-\ell} = m \binom{n-\ell}{m-1} |A|^{n-\ell}$. \square

Lemma 3. *Let $u, v \in A^+$ such that v is not a prefix of u , $|u| = \ell$ and $|v| = i$. The number of sequences $S \in \mathcal{S}_{n,m}$ such that both u and v are prefixes of words of S is smaller or equal to $m(m-1) |A|^{n-\ell-i} \binom{n-\ell-i+1}{m-1}$.*

Proof. Similarly to the proof of Lemma 2, we distinguish four cases: u and v are strict prefixes of words in S , $u \in S$ and v is a strict prefix, $v \in S$ and u is a strict prefix, and both u and v are in S . One can upper bound the number of sequences for these different cases by $m(m-1) |S_{n-\ell-i, m}|$, $m(m-1) |S_{n-\ell-i, m-1}|$, $m(m-1) |S_{n-\ell-i, m-1}|$ and $m(m-1) |S_{n-\ell-i, m-2}|$ respectively. We conclude since

$$\binom{n-\ell-i-1}{m-1} + 2 \binom{n-\ell-i-1}{m-2} + \binom{n-\ell-i-1}{m-3} = \binom{n-\ell-i+1}{m-1} \quad \square$$

In the following we establish properties that link a word and its borders.

Lemma 4. *For $1 \leq i < \ell$, there are at most $|A|^{\ell-i}$ pairs of non-empty words (u, v) such that $|u| = \ell$, $|v| = i$ and v is a border of u .*

Proof. Since v is a border of u , $\ell - i$ is a period of u ([14] p.270). The $\ell - i$ first letters of u completely define u and v , hence there are at most $|A|^{\ell-i}$ possible pairs \square

Lemma 5. *For $1 \leq j < i < \ell$ such that $i \leq \frac{2}{3}\ell$ or $j \leq \frac{i}{2}$, there are at most $|A|^{\ell-\frac{i}{2}-j}$ triples of non-empty words (u, v, w) with $|u| = \ell$, $|v| = i$, $|w| = j$ such that v is a border of u and w is a border of v .*

Proof. If $i \leq \frac{\ell}{2}$, as w is a border of v there are at most $|A|^{i-j}$ possible pairs (v, w) . Since v is a border of u and $\ell \geq 2i$, u can be defined with only $\ell - 2i$ letters for fixed v , hence there are at most $|A|^{\ell-i-j} < |A|^{\ell-\frac{i}{2}-j}$ possible triples (u, v, w) .

When $i > \frac{\ell}{2}$ and $j \leq \frac{i}{2}$, since v is a border of u , there are at most $|A|^{\ell-i}$ possible pairs (u, v) . Since $-j \geq -\frac{i}{2}$ we get $\ell - i \leq \ell - \frac{i}{2} - j$ and $|A|^{\ell-i} \leq |A|^{\ell-\frac{i}{2}-j}$.

Finally when $\frac{\ell}{2} < i \leq \frac{2}{3}\ell$ and $j > \frac{i}{2}$, since w is a border of v , there are at most $|A|^{i-j}$ possible pairs (v, w) . As $\ell - i$ is a period of u , v completely define u . And as $i - j \leq \ell - \frac{i}{2} - j$, there are at most $|A|^{\ell-\frac{i}{2}-j}$ possible triples (u, v, w) . \square

Proposition 6. For $1 \leq j < i < \ell$ such that $i > \frac{2}{3}\ell$ and $j > \frac{i}{2}$ and for any triple of words (u, v, w) with $|u| = \ell$, $|v| = i$, $|w| = j$ such that v is a border of u and w is a border of v , there exist a primitive word x , with $1 \leq |x| \leq \ell - i$, a prefix x_0 of x and integers $p > q > s > 0$ such that $u = x^p x_0$, $v = x^q x_0$ and $w = x^s x_0$.

Proof. Since v is a border of u , $\ell - i$ is a period of u . Let x be the unique primitive word such that x^k is the prefix of u of length $\ell - i$, for some positive integer k . Then there exist a prefix x_0 of x and a positive integer p such that $u = x^p x_0$. Since v is a suffix of u of length i , $v = x^{p-k} x_0$. And since $\ell - i < i$, $p - k > 0$. As w is a prefix of v and $\ell - i < \frac{i}{2} < j$, $w = x^s x_1$ where $s > 0$ and x_1 is a prefix of x .

It remains to prove that $x_1 = x_0$. Since w is a suffix of v , there exist a suffix x_2 of x and $r \geq 0$ such that $w = x_2 x^r x_0$. If x_2 is empty, the result follows. Otherwise $x^r x_0$ is a border of w , w is a power of x_2 and x is a power of x_2 . But x cannot be an integral power of x_2 since it is primitive. Therefore $x = x_2^t x'_2$ where $t > 0$ and x'_2 is a prefix of x_2 . Since x_2 is a suffix of x there exists a proper suffix x''_2 of x_2 such that $x_2 = x''_2 x'_2$. Since x'_2 is a prefix of x_2 , $x_2 = x'_2 x''_2$. And since $x''_2 x'_2 = x'_2 x''_2$, x'_2 and x''_2 are integral powers of a same word [13], that is a contradiction with the fact that x is primitive. \square

3. Lower Bounds

We first introduce the subsets $\mathcal{S}_{n,m}^{(p)}$ of $\mathcal{S}_{n,m}$ that will be used to establish lower bound results in average. Let $\mathcal{S}_{n,m}^{(p)}$ denote the subset of $\mathcal{S}_{n,m}$ defined, for $n \geq (2p + 1)m$, by

$$(u_1, \dots, u_m) \in \mathcal{S}_{n,m}^{(p)} \Leftrightarrow \begin{cases} |u_i| > 2p, \text{ for every } i \in \{1, \dots, m\} \\ \text{the prefixes of length } p \text{ of the } u_i \text{ are pairwise disjoint} \\ \text{the suffixes of length } p \text{ of the } u_i \text{ are pairwise disjoint} \end{cases}$$

Note that the set of words defined by a sequence in $\mathcal{S}_{n,m}^{(p)}$ is a bifix, *i.e.* prefix and suffix, code.

Next we prove that almost all sequences of $\mathcal{S}_{n,m}$ are in $\mathcal{S}_{n,m}^{(\lfloor \log n \rfloor)}$, and that the state complexity of the set associated to a sequence in $\mathcal{S}_{n,m}^{(\lfloor \log n \rfloor)}$ is asymptotically equivalent to n .

Lemma 7. For any fixed $m \geq 1$, $|\mathcal{S}_{n,m}^{(p)}| \sim |\mathcal{S}_{n,m}|$ as $n \rightarrow \infty$ and $p \rightarrow \infty$, with $p = o(n)$.

Proof. Let $\mathcal{P}_m^{(p)}$ be the set of sequences of m distinct words of length exactly p . As p tends towards infinity, the cardinality of \mathcal{P} satisfies

$$|\mathcal{P}_m^{(p)}| = |A|^p (|A|^p - 1) \cdots (|A|^p - m + 1) \sim |A|^{mp}$$

Separating prefixes and suffixes of length p in elements of $\mathcal{S}_{n,m}^{(p)}$, we obtain that $|\mathcal{S}_{n,m}^{(p)}| = |\mathcal{P}_m^{(p)}| \times |\mathcal{S}_{n-2p,m}| \times |\mathcal{P}_m^{(p)}|$. Therefore when n and p tend towards infinity

with $p = o(n)$:

$$|\mathcal{S}_{n,m}^{(p)}| \sim |A|^{mp} \binom{n-2mp-1}{m-1} |A|^{n-2mp} |A|^{mp} \sim \binom{n-1}{m-1} |A|^n$$

Together with Proposition 1, this concludes the proof. \square

Lemma 8. *For any sequence S in $\mathcal{S}_{n,m}$, every singleton $\{v\}$, where v is a suffix of a word in S , is a left quotient of the finite language associated to S . Moreover, if $S \in \mathcal{S}_{n,m}^{(p)}$ then there are at least $n-2pm$ such suffixes. Therefore the state complexity of S is at least $n-2pm$.*

Proof. Let $v \neq v'$ be two prefixes of the words $u \in S$ and $u' \in S$ respectively, such that $p < |v| \leq |u| - p$ and $p < |v'| \leq |u'| - p$. Let w and w' be the suffixes associated to v and v' respectively, i.e. $u = vw$ and $u' = v'w'$. We claim that $w \neq w'$. Indeed, if $w = w'$ then $u = u'$, since the suffixes of length p of two distinct words in S are distinct and since $|w| > p$. Hence $v = v'$ since they are both prefixes of length $|u| - |w|$ of u . Therefore, $v^{-1}S = \{w\} \neq \{w'\} = v'^{-1}S$: all the left quotients of S defined by such prefixes are distinct. This concludes the proof since there are $n-2pm$ such prefixes of words in S . \square

The proof of the following result is a direct consequence of Lemma 7, Lemma 8 and Proposition 1:

Proposition 9. *For any fixed $m \geq 1$, the average state complexity of an element in $\text{Set}_{n,m}$ is asymptotically equivalent to n as n tends towards infinity.*

Proposition 10 (Union) *For the uniform distribution over the pairs (X_1, X_2) of $\text{Set}_{n_1, m_1} \times \text{Set}_{n_2, m_2}$ the average state complexity of $X_1 \cup X_2$ is lower bounded by a function equivalent to $n_1 + n_2$ when both n_1 and n_2 tend towards infinity.*

Proof. Using Proposition 1 we establish the result for pairs of sequences. Assume by symmetry that $n_1 \leq n_2$ and consider the subset $\mathcal{X} \subset \mathcal{S}_{n_1, m_1}^{(p)} \times \mathcal{S}_{n_2, m_2}^{(p)}$, with $p = \lfloor \log n_1 \rfloor$, defined by

$$\mathcal{X} = \{(X_1, X_2) \in \mathcal{S}_{n_1, m_1}^{(p)} \times \mathcal{S}_{n_2, m_2}^{(p)} \mid X_1 \cup X_2 \in \mathcal{S}_{n_1+n_2, m_1+m_2}^{(p)}\}$$

In other words all prefixes (resp. suffixes) of length p of words either in X_1 or in X_2 are distinct.

For any fixed $X_1 \in \mathcal{S}_{n_1, m_1}^{(p)}$, using same arguments as in Lemma 7 the number of sequences $X_2 \in \mathcal{S}_{n_2, m_2}^{(p)}$ such that $(X_1, X_2) \in \mathcal{X}$ is asymptotically equal to $|\mathcal{S}_{n_2, m_2}^{(p)}|$. Hence by Lemma 7, $|\mathcal{X}| \sim |\mathcal{S}_{n_1, m_1}^{(p)}| \cdot |\mathcal{S}_{n_2, m_2}^{(p)}| \sim |\mathcal{S}_{n_1, m_1}| \cdot |\mathcal{S}_{n_2, m_2}|$. Moreover for every $(X_1, X_2) \in \mathcal{X}$, $X_1 \cup X_2 \in \mathcal{S}_{n_1+n_2-2, m_1+m_2}^{(p)}$. Therefore, by Lemma 8 the state complexity of $X_1 \cup X_2$ is at least equal to $n_1 + n_2 - 2(m_1 + m_2)\lfloor \log n_1 \rfloor$. This concludes the proof since this inequality holds for almost all pairs of sequences. \square

Proposition 11 (Concatenation) *For the uniform distribution over the pairs (X_1, X_2) of $\text{Set}_{n_1, m_1} \times \text{Set}_{n_2, m_2}$ the average state complexity of $X_1 \cdot X_2$ is lower bounded by a function equivalent to $n_1 + n_2$, when both n_1 and n_2 tend towards infinity.*

Proof. Using Proposition 1 again, we establish the result for pairs of sequences. Let $X_1 \in \mathcal{S}_{n_1, m_1}^{(\lfloor \log n_1 \rfloor)}$ and $X_2 \in \mathcal{S}_{n_2, m_2}^{(\lfloor \log n_2 \rfloor)}$. Assume first that $m_2 = 1$, and that $X_2 = (x)$. The left quotients of $X_1 \cdot X_2$ are either of the form $\{vx\}$, where v is a suffix of a word in X_1 or $\{v\}$, where v is a suffix of x . From Lemma 8 there are at least $n_1 - 2m_1 \log n_1 + n_2 + 1$ such classes.

Assume now that $m_2 \geq 2$. Let u be an element of X_1 . Since X_1 is a prefix code, for any word $v \in A^*$, $uv \in X_1 \cdot X_2$ if and only if $v \in X_2$. Therefore, when w ranges over all the prefixes of words in X_2 , the left quotient $(uw)^{-1}(X_1 \cdot X_2) = w^{-1}X_2$ ranges over all the left quotients of X_2 , that are singletons. Therefore from Lemma 8 there are at least $n_2 - 2m_2 \lfloor \log n_2 \rfloor$ distinct left quotients of $X_1 \cdot X_2$ that are singletons.

Let w be a prefix of a word of X_1 of length at least $\lfloor \log n_1 \rfloor$. For any $u \in X_1$ and any $v \in X_2$, if w is a prefix of uv then either w is a prefix of u or u is a prefix of w . The latter case is not possible since X_1 is a prefix code. Hence $u = ws$ for some word $s \in A^*$, and $w^{-1}(X_1 \cdot X_2) = s \cdot X_2$. Let $u = ws$ and $u' = w's'$ be two words of X_1 such that $|s| \geq \lfloor \log n_1 \rfloor$ and $|s'| \geq \lfloor \log n_1 \rfloor$. If $s \cdot X_2 = s' \cdot X_2$, let y and y' be two elements of X_2 such that $sy = s'y'$, then $y = y'$ since X_2 is a suffix code and consequently $s = s'$. So the sets $s \cdot X_2$ defined for such suffixes s are distinct and there are at least $n_1 - 2m_1 \lfloor \log n_1 \rfloor$ such left quotients. Since they are not singleton, there are at least $n_1 - 2m_1 \lfloor \log n_1 \rfloor + n_2 - 2m_2 \lfloor \log n_2 \rfloor$ left quotients of $X_1 \cdot X_2$. This concludes the proof since this inequality holds for almost all pairs of sequences. \square

Proposition 12 (Star) *For the uniform distribution over the sets X of $\text{Set}_{n, m}$ the average state complexity of X^* is lower bounded by a function equivalent to n , when n tends towards infinity.*

Proof. Using again Proposition 1 we establish the result for sequences. Recall that if X is a prefix code, then the minimal automaton of X has only one final state. Therefore the state complexity of X^* when X is a prefix code of state complexity n is either n or $n - 1$ (see [2] Proposition 2.4, p. 95). We conclude the proof as from Lemma 8, every $S \in \mathcal{S}_{n, m}^{(\lfloor \log n \rfloor)}$ has a state complexity greater than $n - 2n \lfloor \log n \rfloor$ and since by Lemma 7, almost all elements of $\mathcal{S}_{n, m}$ belongs to $\mathcal{S}_{n, m}^{(\lfloor \log n \rfloor)}$. \square

4. Average State Complexity of the Union and the Concatenation

4.1. Average State Complexity of the Union

Due to the structure of finite languages, it is not difficult to compute the state complexity of their union:

Theorem 13 (Union) *For the uniform distribution over the pairs (X_1, X_2) of $\text{Set}_{n_1, m_1} \times \text{Set}_{n_2, m_2}$ the average state complexity of $X_1 \cup X_2$ is equal to $(n_1 + n_2) + \mathcal{O}(1)$ when both n_1 and n_2 tend towards infinity.*

Proof. This result comes from the fact that $|X_1 \cup X_2| \leq |X_1| + |X_2|$ and that $\|X_1 \cup X_2\| \leq \|X_1\| + \|X_2\|$ together with the lower bound of Proposition 10. \square

Note that the state complexity of the union is the same in the average case and in the worst case.

4.2. Average State Complexity of the Concatenation

In the following we prove that the average state complexity of the concatenation of two finite languages is linear in the sum of their lengths.

Theorem 14 (Concatenation) *For the uniform distribution over the pairs (X_1, X_2) of $\text{Set}_{n_1, m_1} \times \text{Set}_{n_2, m_2}$ the average state complexity of $X_1 \cdot X_2$ is equal to $(n_1 + n_2) + \mathcal{O}(1)$ when both n_1 and n_2 tend towards infinity.*

Note that Proposition 11 already gives the lower bound $(n_1 + n_2) + \mathcal{O}(1)$. The rest of this section is devoted to the proof of the upper bound: From a nondeterministic automata recognizing $X_1 \cdot X_2$, we bound from above the number of states of its associated deterministic automaton obtained by the subset construction, which is greater than or equal to the state complexity of $X_1 \cdot X_2$.

4.2.1. Construction

We associate to the finite languages X_1 and X_2 the automata \mathcal{T}_{X_1} and \mathcal{T}_{X_2} defined in Section 2.1. The nondeterministic automaton $\mathcal{A}_{X_1 \cdot X_2} = (A, (\text{Pr}(X_1) \times \{\emptyset\}) \cup (\{\emptyset\} \times \text{Pr}(X_2)), T'_{X_1} \cup T'_{X_2} \cup T, (\varepsilon, \emptyset), F)$, where $T'_{X_1} = \{((u, \emptyset), a, (ua, \emptyset)) \mid (u, a, ua) \in T_{X_1}\}$, $T'_{X_2} = \{((\emptyset, v), a, (\emptyset, va)) \mid (v, a, va) \in T_{X_2}\}$, $T = \{((u, \emptyset), a, (\emptyset, a)) \mid u \in X_1, a \in \text{Pr}(X_2)\}$ and $F = \{\emptyset\} \times X_2$ (note that $\varepsilon \notin X_2$) recognizes $X_1 \cdot X_2$. We denote by $\mathcal{A}_{S \cdot T}$ the automaton defined for the set of elements of any two sequences S and T by the above construction. For any two finite sets of words $X_1, X_2 \subset A^*$ (resp. any two sequences S, T), we denote by $\mathcal{D}_{X_1 \cdot X_2}$ (resp. $\mathcal{D}_{S \cdot T}$) the accessible deterministic automaton obtained from the automaton $\mathcal{A}_{X_1 \cdot X_2}$ (resp. $\mathcal{A}_{S \cdot T}$) making use of the subset construction.

Lemma 15. *For any two finite sets of non-empty words $X_1, X_2 \subset A^*$, the states of the deterministic automaton $\mathcal{D}_{X_1 \cdot X_2}$ recognizing $X_1 \cdot X_2$ are couples (u, Z) in $(\text{Pr}(X_1) \cup \emptyset) \times \mathcal{P}(\text{Pr}(X_2))$, they satisfy the following properties:*

- *If $u \in \text{Pr}(X_1)$, there exists a unique $Z \in \mathcal{P}(\text{Pr}(X_2))$ such that (u, Z) is a state of $\mathcal{D}_{X_1 \cdot X_2}$.*

- If $u = \emptyset$ and $Z = \{v_1, \dots, v_\ell\}$, then for each i, j in $\{1, \dots, \ell\}$, there exist $x_i, x_j \in X_1$ and $p_i, p_j \in X_2$ such that $x_i p_i = x_j p_j$. In particular, if v is the longest word in Z , for any $i \in \{1, \dots, \ell\}$, $v = w_i v_i$, with $w_i \in X_1^{-1} X_1$.

Proof. The first property comes from the structure of the automaton \mathcal{T}_{X_1} : for any $u \in Pr(X_1)$, there is only one path from the initial state to u in \mathcal{T}_{X_1} and therefore only one path from the initial state to a state of the form (u, Z) in $\mathcal{D}_{X_1 \cdot X_2}$.

Let (\emptyset, Z) be a state in $\mathcal{D}_{X_1 \cdot X_2}$. As (\emptyset, Z) is accessible from the initial state, for any word $u \in Z$ there exists a path labelled by u from the initial state to (\emptyset, Z) in $\mathcal{D}_{X_1 \cdot X_2}$. Therefore, by construction of $\mathcal{D}_{X_1 \cdot X_2}$, there exist $x \in X_1$ and $p \in Pr(X_2)$ such that $u = xp$. \square

Using again Proposition 1 we establish the result for pairs of sequences instead of pairs of sets. In the following let \mathcal{S} denote the product $\mathcal{S}_{n_1, m_1} \times \mathcal{S}_{n_2, m_2}$. Given $u \in A^* \cup \emptyset$, $Z \in \mathcal{P}(A^*)$ and $(S_1, S_2) \in \mathcal{S}$, we denote by $\mathfrak{Det}(S_1 \cdot S_2, (u, Z))$ the property: (u, Z) is the label of a state in $\mathcal{D}_{S_1 \cdot S_2}$.

To find an upper bound on the average number of states of the deterministic automaton $\mathcal{D}_{S_1 \cdot S_2}$ when the sequence S_1 ranges over the set \mathcal{S}_{n_1, m_1} and S_2 ranges over the set \mathcal{S}_{n_2, m_2} , we count the states of all automata according to their labels. More precisely we want to estimate the sum^a

$$\Delta = \sum_{(S_1, S_2) \in \mathcal{S}} \#\mathcal{D}_{S_1 \cdot S_2} = \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in (A^* \cup \emptyset)} \sum_{Z \in \mathcal{P}(A^*)} [\mathfrak{Det}(S_1 \cdot S_2, (u, Z))]$$

Taking into account the cardinality of the labels of the states:

$$\begin{aligned} \Delta &= \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^*} \sum_{Z \in \mathcal{P}(Pr(X_2))} [\mathfrak{Det}(S_1 \cdot S_2, (u, Z))] \\ &\quad + \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{v \in A^*} [\mathfrak{Det}(S_1 \cdot S_2, (\emptyset, \{v\})]) \\ &\quad + \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^+} \sum_{Z \subset A^*, |Z| \geq 2} [\mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z))] \end{aligned}$$

From Lemma 15 the number of states labelled by (u, Z) with $u \neq \emptyset$ is equal to the cardinality of $Pr(X_1)$, and therefore smaller or equal to $n_1 + 1$. Hence,

$$\sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^*} \sum_{Z \in \mathcal{P}(Pr(X_1))} [\mathfrak{Det}(S_1 \cdot S_2, (u, Z))] \leq \sum_{(S_1, S_2) \in \mathcal{S}} (n_1 + 1) \leq (n_1 + 1)|\mathcal{S}|$$

Moreover, if $(\emptyset, \{v\})$ is a label of a state, then v is in $Pr(X_2)$, therefore:

$$\sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^*} [\mathfrak{Det}(S_1 \cdot S_2, (\emptyset, v))] \leq (n_2 + 1)|\mathcal{S}|.$$

^aThe operator $[\]$ is defined by $[P] = 1$ if the property P is true and 0 otherwise.

It remains to study Γ , with

$$\Gamma = \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^+} \sum_{Z \subset A^+, |Z| \geq 2} \llbracket \mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z)) \rrbracket.$$

Let $Z \subset A^*$ be the subset of non-empty words, with $|Z| \geq 2$. From Lemma 15 if (\emptyset, Z) , with $|Z| \geq 2$, is the label of a state of an automaton $\mathcal{D}_{S_1 \cdot S_2}$, then Z belongs to a set $Q_{u,v}$, for some u, v in Z such that v is a proper suffix of u . Therefore

$$\Gamma = \sum_{(S_1, S_2) \in \mathcal{S}} \sum_{u \in A^+} \sum_{v \in \text{Suff}(u)} \sum_{Z \in Q_{u,v}} \llbracket \mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z)) \rrbracket.$$

Changing the order of the sums we get

$$\Gamma = \sum_{u \in A^+} \sum_{v \in \text{Suff}(u)} \sum_{Z \in Q_{u,v}} \sum_{(S_1, S_2) \in \mathcal{S}} \llbracket \mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z)) \rrbracket.$$

Partitioning the sum Γ into $\Gamma_1 \cup \Gamma_2$, depending on whether the word v is prefix of u or not, we obtain:

$$\begin{aligned} \Gamma_1 &= \sum_{u \in A^+} \sum_{v \in \text{Suff}(u) \setminus \text{Pref}(v)} \sum_{Z \in Q_{u,v}} \sum_{(S_1, S_2) \in \mathcal{S}} \llbracket \mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z)) \rrbracket \\ \Gamma_2 &= \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{Z \in Q_{u,v}} \sum_{(S_1, S_2) \in \mathcal{S}} \llbracket \mathfrak{Det}(S_1 \cdot S_2, (\emptyset, Z)) \rrbracket \end{aligned}$$

To prove Theorem 16, we shall establish that Γ_1 and Γ_2 are both $\mathcal{O}(|\mathcal{S}|)$.

• Γ_1 is in $\mathcal{O}(|\mathcal{S}|)$: For any $u \in A^+$, for any $v \in \text{Suff}(u) \setminus \text{Pref}(u)$ and for any $Z \in Q_{u,v}$, the number of pairs of sequences $(S_1, S_2) \in \mathcal{S}$ such that $\mathcal{D}_{S_1 \cdot S_2}$ contains a state labelled by (\emptyset, Z) is at most

$$m_1 |A|^{n_1 - |u| + |v|} \binom{n_1 - |u| + |v|}{m_1 - 1} \times m_2 (m_2 - 1) |A|^{n_2 - |u| - |v|} \binom{n_2 - |u| - |v| + 1}{m_2 - 1}$$

The left part is a consequence of Lemma 2, $v^{-1}u$ being a suffix of an element in X_1 ; the right part is a consequence of Lemma 3, v and u being prefixes of two distinct elements in X_2 . Hence, Γ_1 is bounded above by

$$\sum_{u \in A^+} \sum_{\substack{v \in \text{Suff}(u) \\ v \notin \text{Pref}(u)}} \sum_{Z \in Q_{u,v}} m_1 m_2 (m_2 - 1) |A|^{n_1 + n_2 - 2|u|} \binom{n_1 - |u| + |v|}{m_1 - 1} \binom{n_2 - |u| - |v| + 1}{m_2 - 1}$$

Moreover if u is longest word in Z , by Lemma 15, Z must be a subset of $(X_1^{-1} X_1)u$ for (\emptyset, Z) to be the label of a state. But $|X_1^{-1} X_1| \leq m_1^2$. Therefore setting $|u| = \ell$ and $|v| = i$ we obtain:

$$\Gamma_1 \leq \sum_{\ell=2}^{n_2 - m_2 + 1} |A|^\ell \sum_{i=1}^{\ell-1} 2^{m_1^2} m_1 m_2 (m_2 - 1) |A|^{n_1 + n_2 - 2\ell} \binom{n_1 - \ell + i}{m_1 - 1} \binom{n_2 - \ell - i + 1}{m_2 - 1}.$$

Since $1 \leq i \leq \ell - 1$ and $\ell \geq 2$, $\binom{n_1 - \ell + i}{m_1 - 1} \leq \binom{n_1 - 1}{m_1 - 1}$ and $\binom{n_2 - \ell - i + 1}{m_2 - 1} \leq \binom{n_2 - 2}{m_2 - 1}$. Thus

$$\Gamma_1 \leq D_{m_1, m_2} |A|^{n_1 + n_2} \binom{n_1 - 1}{m_1 - 1} \binom{n_2 - 2}{m_2 - 1} \sum_{\ell=2}^{n_2 - m_2 + 1} |A|^{-\ell} (\ell - 1),$$

where D_{m_1, m_2} only depends on m_1 and m_2 . As $\sum_{\ell=2}^{\infty} |A|^{-\ell}(\ell - 1)$ is a convergent series, it is bounded above by a constant M . Therefore from Proposition 1, $\Gamma_1 \leq MD_{m_1, m_2}|S|$ or in other words $\Gamma_1 = \mathcal{O}(|S|)$.

• Γ_2 is in $\mathcal{O}(|S|)$: For any $u \in A^+$, any $v \in \text{Bord}(u)$ and any $Z \in Q_{u, v}$, the number pairs of sequences $(S_1, S_2) \in \mathcal{S}$ such that \mathcal{D}_{S_1, S_2} contains a state labelled by (\emptyset, Z) is at most

$$m_1 |A|^{n_1 - |u| + |v|} \binom{n - |u| + |v|}{m_1 - 1} \times m_2 |A|^{n_2 - |u|} \binom{n_2 - |u|}{m_2 - 1}.$$

Both the left and the right parts are consequence of Corollary 2.1, $v^{-1}u$ being a suffix of an element in X_1 and u being a prefix of a word in X_2 . Hence,

$$\Gamma_2 \leq \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{Z \in Q_{u, v}} m_1 m_2 |A|^{n_1 + n_2 - 2|u| + |v|} \binom{n_1 - |u| + |v|}{m_1 - 1} \binom{n_2 - |u|}{m_2 - 1}.$$

As for Γ_1 the number of subsets Z of $Q_{u, v}$ that can appear in a label of a state in the automaton is at most $2^{m_1^2}$. Therefore setting $|u| = \ell$ and $|v| = i$, from Lemma 4, we obtain:

$$\Gamma_2 \leq \sum_{\ell=2}^{n_2 - m_2 + 1} \sum_{i=1}^{\ell-1} |A|^{\ell - i} 2^{m_1^2} m_1 m_2 |A|^{n_1 + n_2 - 2\ell + i} \binom{n_1 - \ell + i}{m_1 - 1} \binom{n_2 - \ell}{m_2 - 1}.$$

Hence there exists E_{m_1, m_2} such that

$$\Gamma_2 \leq E_{m_1, m_2} \binom{n_1 - 1}{m_1 - 1} \binom{n_2 - 2}{m_2 - 1} |A|^{n_1 + n_2} \sum_{\ell=2}^{n_2 - m_2 + 1} |A|^{-\ell} (\ell - 1).$$

Thus $\Gamma_2 \leq |S| E_{m_1, m_2} \sum_{\ell=2}^{\infty} (\ell - 1) |A|^{-\ell}$ or in other words $\Gamma_2 = \mathcal{O}(|S|)$. This concludes the proof since, putting all together, $\Delta = (n_1 + n_2 + \mathcal{O}(1))|S|$.

5. Average State Complexity of the Star

In the following we study the average state complexity of the star of finite languages.

Theorem 16 (Star) *For the uniform distribution over the sets X of $\text{Set}_{n, m}$ the average state complexity of X^* is in $\Theta(n)$ when n tends towards infinity. Moreover if the cardinality of the alphabet is greater than or equal to 3, this state complexity is asymptotically equivalent to n .*

In order to prove Theorem 16 we show that the average number of states of the deterministic automaton \mathcal{D}_X (defined in the next section) recognizing X^* is linear in the length of X and that, if the alphabet is of cardinality greater than two, this complexity is smaller or equal to $n + \mathcal{O}(1)$. The result holds for the average state complexity of X^* since, for each X in $\text{Set}_{n, m}$, the size of the minimal automaton \mathcal{M}_X of X^* is smaller or equal to the size of \mathcal{D}_X .

5.1. Construction

Let $X \subset A^*$ be a finite set of words. The automaton \mathcal{T}_X defined in Section 2.1. recognizes the set X and the automaton $\mathcal{A}_X = (A, \text{Pr}(X), T_X \cup T, \{\varepsilon\}, X \cup \{\varepsilon\})$, where $T = \{(u, a, a) \mid u \in X, a \in A \cap \text{Pr}(X)\}$ recognizes X^* (see Fig.1). We denote by \mathcal{A}_S the automaton defined for the set of elements of any sequence S by the above construction. In such an automaton only the states labelled by a letter have more than one incoming transition.

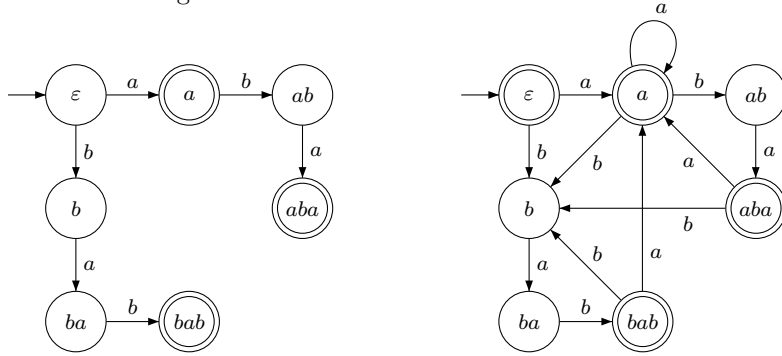


Fig. 1. The automata \mathcal{T}_X and \mathcal{A}_X , for $X = \{a, aba, bab\}$

For any finite set of words $X \subset A^*$ (resp. any sequence S), we denote by \mathcal{D}_X (resp. \mathcal{D}_S) the accessible deterministic automaton obtained from the automaton \mathcal{A}_X (resp. \mathcal{A}_S) making use of the subset construction and by \mathcal{M}_X the minimal automaton of X^* .

Lemma 17. *For any finite set of words $X \subset A^*$, the states of the deterministic automaton \mathcal{D}_X recognizing X^* are non-empty subsets $\{u_1, \dots, u_l\}$ of $\text{Pr}(X)$ such that for all $i, j \in \{1, \dots, l\}$,*

- either u_i is a suffix of u_j or u_j is a suffix of u_i .
- there exist $x_0, \dots, x_{h_i}, y_0, \dots, y_{h_j} \in X$ such that $x_0 \dots x_{h_i} u_i = y_0 \dots y_{h_j} u_j$

Proof. If $\{u_1, \dots, u_l\}$ is a state of \mathcal{D}_X then, for each i , u_i is a prefix of a word of X by construction. Since every state in \mathcal{D}_X is accessible then there exists a path from the initial state $\{\varepsilon\}$ to $\{u_1, \dots, u_l\}$ with label α . By definition of subset construction, for each u_i , there exists in \mathcal{A}_X a path p_i with label α from the initial state ε to the state u_i . Moreover the path p_i must have as suffix a path with label u_i , starting at a final state and ending at u_i . So, for each i , there exist $x_0, \dots, x_{h_i} \in X$ such that $\alpha = x_0 \dots x_{h_i} u_i$ concluding the proof of the second item. \square

Corollary 18. *Let X be a finite set and $u, v \in A^*$, $|u| > |v|$. If \mathcal{D}_X has a state containing u and v then u and v are prefixes of two words in X and there exists $w \in \text{Suff}(X)X^* \cup X^+$ such that $u = vw$.*

5.2. Upper Bound

First, note that to prove the result on sets it is sufficient to prove it on sequences:

$$\frac{1}{|\mathcal{S}et_{n,m}|} \sum_{X \in \mathcal{S}et_{n,m}} \#\mathcal{D}_X = \frac{1}{m! |\mathcal{S}et_{n,m}|} \sum_{S \in \mathcal{S}_{n,m}^\#} \#\mathcal{D}_S \leq \frac{1}{m! |\mathcal{S}et_{n,m}|} \sum_{S \in \mathcal{S}_{n,m}} \#\mathcal{D}_S$$

and we conclude using Proposition 1.

Let $Y \subset A^*$ and $S \in \mathcal{S}_{n,m}$. Recall that $\mathfrak{Det}(S, Y)$ denotes the property: Y is the label of a state of \mathcal{D}_S .

To find an upper bound for the average number of states of the deterministic automaton \mathcal{D}_S when the sequence S ranges the set $\mathcal{S}_{n,m}$, we count the states of all automata according to their labels. More precisely we want to estimate the sum

$$\sum_{S \in \mathcal{S}_{n,m}} \#\mathcal{D}_S = \sum_{S \in \mathcal{S}_{n,m}} \sum_{Y \subset A^*} [\mathfrak{Det}(S, Y)],$$

Taking into account the cardinality of the labels of the states:

$$\sum_{S \in \mathcal{S}_{n,m}} \#\mathcal{D}_S = \sum_{S \in \mathcal{S}_{n,m}} \sum_{|Y|=1} [\mathfrak{Det}(S, Y)] + \sum_{S \in \mathcal{S}_{n,m}} \sum_{|Y| \geq 2} [\mathfrak{Det}(S, Y)].$$

The first sum deals with states labelled by a single word. Since, for each $S \in \mathcal{S}_{n,m}$, the words that appear in the labels of states of \mathcal{D}_S are prefixes of words of S , we have

$$\sum_{S \in \mathcal{S}_{n,m}} \sum_{|Y|=1} [\mathfrak{Det}(S, Y)] = \sum_{S \in \mathcal{S}_{n,m}} \sum_{\substack{u \text{ prefix of} \\ \text{a word of } S}} [\mathfrak{Det}(S, \{u\})] \leq (n+1)|\mathcal{S}_{n,m}|.$$

It remains to study the sum

$$\Delta = \sum_{S \in \mathcal{S}_{n,m}} \sum_{|Y| \geq 2} [\mathfrak{Det}(S, Y)].$$

Let $Y \subset A^*$ be a non-empty set which is not a singleton. By Lemma 17, if Y is the label of a state of an automaton \mathcal{D}_S , then Y belongs to a set $Q_{u,v}$, for some non-empty word u and some proper suffix v of u . Therefore

$$\Delta = \sum_{S \in \mathcal{S}_{n,m}} \sum_{u \in A^+} \sum_{v \in \text{Suff}(u)} \sum_{Y \in Q_{u,v}} [\mathfrak{Det}(S, Y)].$$

Changing the order of the sums we obtain

$$\Delta = \sum_{u \in A^+} \sum_{v \in \text{Suff}(u)} \sum_{Y \in Q_{u,v}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)].$$

We then partition the sum Δ into $\Delta_1 + \Delta_2$ depending on whether the word v is prefix of u or not:

$$\Delta_1 = \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{Y \in Q_{u,v}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)] \quad (3)$$

$$\Delta_2 = \sum_{u \in A^+} \sum_{v \in \text{Suff}(u) \setminus \text{Pref}(u)} \sum_{Y \in Q_{u,v}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)] \quad (4)$$

To prove Theorem 16 we study the asymptotic behavior of Δ_1 and Δ_2 .

5.3. For Alphabets With at Least Three Letters

The following lemmas are stated in order to prove the second part of Theorem 16. They use the condition $w \in \text{Suff}(X)X^* \cup X^+$ of Corollary 18.

Lemma 19. *Let u, v be two words in A^+ such that v is a suffix of u , but not a prefix of u and w be the word such that $u = vw$. Setting $|u| = \ell$ and $|v| = i$, there are at most*

$$C_m |A|^{n-2\ell} \binom{n-2\ell+1}{m-1} + C_m A^{n-\ell-i} \binom{n-\ell-i}{m-2}$$

sequences S in $\mathcal{S}_{n,m}$ such that u and v are prefixes of two words in S and such that $w \in \text{Suff}(S)S^* \cup S^+$. Moreover C_m only depends on m .

Proof. We consider two cases, depending on whether $w \in \text{Suff}(S)$ or not. If $w \in \text{Suff}(S)$, for a sequence S that satisfies the conditions of the lemma, there exist three words x_u, x_v and x_w in S such that u is a prefix of x_u , v is a prefix of x_v and w is a suffix of x_w . Necessarily, $x_u \neq x_v$, since v is not a prefix of u . Consider several families of such sequences:

- $x_u = x_w$ and $|u| + |w| \geq |x_u|$. Such a sequence can be built from a sequence in $\mathcal{S}_{n-j, m-1}$ having v as a prefix of one of its words, with $j = |x_u|$, by adding x_u at some position. Hence, using Lemma 2, there are at most $m(m-1) \binom{n-i-j}{m-2} |A|^{n-j-i}$ such sequences. Summing for j ranging from $\ell+1$ to $2\ell-1$, we find an upper bound of $K_m \binom{n-i-\ell}{m-2} |A|^{n-\ell-i}$ for some K_m that only depends on m .
- $x_v = x_w$ and $|v| + |w| \geq |x_v|$. Similarly, there are at most $K'_m \binom{n-i-\ell}{m-2} |A|^{n-\ell-i}$ such sequences.
- In all other cases, the sequences can be built from a sequence of $\mathcal{S}_{n-(\ell-i), m}$ having u and v as prefixes of two of its words, by adding w at the end of some element. Hence from Lemma 3 there are at most $K''_m \binom{n-2\ell+1}{m-1} |A|^{n-2\ell}$ such sequences.

If $w \notin \text{Suff}(S)$, then $w \in (\text{Suff}(S) \cup \{\varepsilon\})X^+$. Therefore there exist a word $x_w \in S$ such that x_w is a suffix of w and two words x_u and x_v having respectively u and v as prefixes. As $|w| < |u|$, $|x_w| < |x_u|$ and the words x_u and x_w are distinct. As v is not a prefix of u , x_u and x_v are distinct too. Let j be the length of x_w .

If $x_v \neq x_w$, the number of sequences that satisfies the properties is at most $m(m-1) \binom{n-i-\ell-j+1}{m-2} |A|^{n-\ell-i-j}$, using Lemma 3 and the fact that x_w is a word in such a sequence. Summing for j from 1 to $\ell-i$, we find that there are at most $L_m |A|^{n-i-\ell} \binom{n-i-\ell}{m-2}$ such sequences, where L_m only depends on m .

If $x_v = x_w$, then from Lemma 2 there are at most $B'_m \binom{n-j-\ell}{m-2} |A|^{n-j-\ell}$ such sequences. Summing for j from i to $\ell-i-1$, we find that there are at most $L'_m |A|^{n-i-\ell} \binom{n-i-\ell}{m-2}$ such sequences, where L'_m only depends on m .

Adding all the contributions, we get the announced upper bound. \square

Lemma 20. *Let u, v be two words in A^+ such that v is a strict border of u . and w be the word such that $u = wv$. Setting $|u| = \ell$ and $|v| = i$, there are at most*

$$D_m |A|^{n-2\ell+i} \binom{n-2\ell+i}{m-1} + D_m |A|^{n-\ell} \binom{n-\ell-1}{m-2}$$

sequences S in $\mathcal{S}_{n,m}$ such that u et v are prefixes of two words in S and such that $w \in \text{Suff}(S)S^ \cup S^+$. D_m only depends on m .*

Proof. We consider two cases depending on whether $w \in \text{Suff}(S)$ or not. If $w \in \text{Suff}(S)$, there exist x_u and x_w in S such that u is a prefix of x_u and w is a proper suffix of x_w . The number of such sequences with $x_u = x_w$ and $|u| + |w| \leq |x_u|$ is smaller or equal to $m \binom{n-j-1}{m-2} |A|^{n-j}$. Summing for j from $\ell+1$ to $2\ell-1$, we find that there are at most $E_m \binom{n-\ell-1}{m-2} |A|^{n-\ell}$ such sequences, for some E_m depending only on m . On the other hand, if $x_u \neq x_w$ or $|u| + |w| > |x_u|$, the number of sequences is smaller or equal to $E'_m \binom{n-\ell-(\ell-i)+1}{m-1} |A|^{n-\ell-(\ell-i)}$.

If $w \notin \text{Suff}(S)$, $w \in (\text{Suff}(S) \cup \{\varepsilon\})X^+$ and there exists a word x_w in S that is a suffix of w . Setting $|x_w| = j$, from Lemma 2 there are at most $F_m \binom{n-\ell-j}{m-2} |A|^{n-\ell-j}$ such sequences. Summing for j from 1 to $\ell-i$, we find that there are at most $F'_m \binom{n-\ell-1}{m-2} |A|^{n-\ell}$ such sequences.

Adding all the contributions, we get the announced upper bound. \square

In the following we prove that Δ_1 and Δ_2 from Equation (3) (p.14) are both in $\mathcal{O}(|\mathcal{S}_{n,m}|)$.

From Corollary 18 and Lemma 20, one has $\Delta_1 \leq \Delta_{1,1} + \Delta_{1,2}$ with

$$\begin{aligned} \Delta_{1,1} &= \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{Y \in Q_{u,v}} D_m |A|^{n-2|u|+|v|} \binom{n-2|u|+|v|}{m-1} \\ \Delta_{1,2} &= \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{Y \in Q_{u,v}} D_m |A|^{n-|u|} \binom{n-|u|-1}{m-2} \end{aligned}$$

Setting $|u| = \ell$ and $|v| = i$ and using Lemma 4

$$\Delta_{1,1} \leq \sum_{\ell=2}^{n-m+1} \sum_{i=1}^{\ell-1} |A|^{\ell-i} 2^{i-1} D_m |A|^{n-2\ell+i} \binom{n-2\ell+i}{m-1}.$$

Since for $2 \leq \ell \leq n-m+1$ and $1 \leq i \leq \ell-1$, $\binom{n-2\ell+i}{m-1} \leq \binom{n-3}{m-1}$

$$\Delta_{1,1} \leq \frac{1}{2} D_m |A|^n \binom{n-3}{m-1} \left(\sum_{\ell=2}^{\infty} |A|^{-\ell} \right) \left(\sum_{i=1}^{\infty} |A|^{-i} 2^i \right)$$

and since $|A| \geq 3$, we obtain $\Delta_{1,1} = \mathcal{O}(|\mathcal{S}_{n,m}|)$.

The same arguments lead to

$$\Delta_{1,2} \leq \sum_{\ell=2}^{n-m+1} \sum_{i=1}^{\ell-1} |A|^{\ell-i} 2^{i-1} D_m |A|^{n-\ell} \binom{n-\ell-1}{m-2}.$$

Moreover using the fact that $\sum_{j=m-2}^N \binom{j}{m-2} = \binom{N+1}{m-1}$ we obtain

$$\Delta_{1,2} \leq \frac{1}{2} D_m |A|^n \binom{n-2}{m-1} \left(\sum_{i=1}^{\infty} |A|^{-i} 2^i \right)$$

or in other words $\Delta_{1,2} = \mathcal{O}(|\mathcal{S}_{n,m}|)$ since $|A| \geq 3$.

Using exactly the same kind of computations, one can prove from Lemma 19 that $\Delta_2 = \mathcal{O}(|\mathcal{S}_{n,m}|)$, concluding the proof.

5.4. For Binary Alphabets

We now prove that the average state complexity of the star of a finite language on a binary alphabet is linear. More precisely we show that Δ_1 and Δ_2 from Equation (3) (p.14) are both in $\mathcal{O}(n|\mathcal{S}_{n,m}|)$.

From Lemma 3

$$\Delta_2 \leq \sum_{u \in A^+} \sum_{v \in \text{Suff}(u) \setminus \text{Pref}(u)} \sum_{Y \in Q_{u,v}} m(m-1) 2^{n-|u|-|v|} \binom{n-|u|-|v|+1}{m-1}.$$

As $|Q_{u,v}| = 2^{|v|-1}$, with $\ell = |u|$ and $i = |v|$,

$$\Delta_2 \leq m(m-1) \sum_{\ell=2}^{n-m+1} 2^\ell \sum_{i=1}^{\ell-1} 2^{i-1} 2^{n-\ell-i} \binom{n-\ell-i+1}{m-1}.$$

Moreover, since $\sum_{\ell=2}^{n-m+1} \sum_{i=1}^{\ell-1} \binom{n-\ell-i+1}{m-1} = \binom{n-1}{m-1}$, $\Delta_2 \leq \frac{m(m-1)}{2} 2^n \binom{n-1}{m-1}$ and thus, by Proposition 1, $\Delta_2 = \mathcal{O}(n|\mathcal{S}_{n,m}|)$.

Now we partition the sum Δ_1 into two sums $\Delta_{1,1}$ and $\Delta_{1,2}$ depending on whether the set Y contains exactly two elements or not (and therefore belongs to some set $Q_{u,v,w}$). More precisely,

$$\Delta_{1,1} = \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, \{u, v\})]$$

and

$$\Delta_{1,2} = \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{w \in \text{Suff}(v)} \sum_{Y \in Q_{u,v,w}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)].$$

Using Lemma 2 and Lemma 4, and since $\sum_{\ell=2}^{n-m+1} \binom{n-\ell}{m-1} = \binom{n-1}{m-1}$, we obtain

$$\Delta_{1,1} \leq \sum_{\ell=2}^{n-m+1} \sum_{i=1}^{\ell-1} m \binom{n-\ell}{m-1} 2^{n-\ell} 2^{\ell-i} \leq m 2^n \binom{n-1}{m-1}.$$

Consequently, by Proposition 1, $\Delta_{1,1} = \mathcal{O}(n|\mathcal{S}_{n,m}|)$.

Next we decompose the sum $\Delta_{1,2}$ into the sums $B_{1,2} + N_{1,2}$ depending on whether w is a prefix (and therefore a border) of v or not.

When w is not a prefix of v , the number of sequences $S \in \mathcal{S}_{n,m}$ such that u and w are prefixes of two distinct words of S is smaller or equal to $m(m-1) 2^{n-\ell-j} \binom{n-\ell-j+1}{m-1}$ from Lemma 3.

Since, from Lemma 4, there are less than $2^{\ell-i}$ pairs (u, v) such that v is a border of u and since $|Q_{u,v,w}| = 2^{|w|-1}$, we get:

$$\begin{aligned} N_{1,2} &= \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{w \in \text{Suff}(v) \setminus \text{Pref}(v)} \sum_{Y \in Q_{u,v,w}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)] \\ &\leq m(m-1) \sum_{\ell=3}^{n-m+1} \sum_{i=2}^{\ell-1} \sum_{j=1}^{i-1} 2^{\ell-i} 2^{j-1} 2^{n-\ell-j} \binom{n-\ell-j+1}{m-1} \\ &\leq \frac{m(m-1)}{2} 2^n \sum_{\ell=3}^{n-m+1} \sum_{i=2}^{\ell-1} 2^{-i} \sum_{j=1}^{i-1} \binom{n-\ell-j+1}{m-1} \end{aligned}$$

As $\binom{n-\ell-j+1}{m-1} \leq \binom{n-\ell}{m-1}$, we obtain

$$N_{1,2} \leq \frac{m(m-1)}{2} 2^n \sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} \sum_{i=2}^{\ell-1} (i-1) 2^{-i}$$

Because of the convergence of the series, $\sum_{i=2}^{\ell-1} (i-1) 2^{-i}$ is bounded. Therefore, as $\sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} = \binom{n-2}{m-1}$ and $|\mathcal{S}_{n,m}| = \binom{n-1}{m-1} 2^n$, we have $N_{1,2} = \mathcal{O}(n |\mathcal{S}_{n,m}|)$.

When w is prefix of v , the associated sum $B_{1,2}$ is partitioned into the following sums:

$$B_{1,2} = \sum_{u \in A^+} \sum_{v \in \text{Bord}(u)} \sum_{w \in \text{Bord}(v)} \sum_{Y \in Q_{u,v,w}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)] = B'_{1,2} + B''_{1,2}$$

with

$$B'_{1,2} = \sum_{u \in A^+} \sum_{\substack{v \in \text{Bord}(u) \\ |v| > \frac{2}{3}|u|}} \sum_{\substack{w \in \text{Bord}(v) \\ |w| > \frac{|v|}{2}}} \sum_{Y \in Q_{u,v,w}} \sum_{S \in \mathcal{S}_{n,m}} [\mathfrak{Det}(S, Y)]$$

and $B''_{1,2} = B_{1,2} \setminus B'_{1,2}$. Using Lemma 4, the fact that $|Q_{u,v,w}| = 2^{|w|-1}$ and relaxing the constraints on the lengths of the words v and w , we get

$$B''_{1,2} \leq \sum_{\ell=3}^{n-m+1} \sum_{i=2}^{\ell-1} \sum_{j=1}^{i-1} m \binom{n-\ell}{m-1} 2^{n-\ell} 2^{\ell-\frac{i}{2}-j} 2^{j-1}.$$

Since $\sum_{i=2}^{\ell-1} (i-1) 2^{-\frac{i}{2}}$ is bounded by a constant M ,

$$B''_{1,2} \leq mM 2^{n-1} \sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1}.$$

Finally as $\sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} = \binom{n-2}{m-1}$ and $|\mathcal{S}_{n,m}| = \binom{n-1}{m-1} 2^n$, $B''_{1,2} = \mathcal{O}(n |\mathcal{S}_{n,m}|)$.

Now from Lemma 2 and since $|Q_{u,v,w}| = 2^{|w|-1}$, we get:

$$B'_{1,2} \leq \sum_{u \in A^+} \sum_{\substack{v \in \text{Bord}(u) \\ |v| > \frac{2}{3}|u|}} \sum_{\substack{w \in \text{Bord}(v) \\ |w| > \frac{|v|}{2}}} 2^{|w|-1} m \binom{n-|u|}{m-1} 2^{n-|u|}.$$

Moreover, from Proposition 6, the words u, v and w of length respectively ℓ, i and j are powers of a same primitive word x : $u = x^p x_0$, $v = x^q x_0$ and $w = x^s x_0$, with $p > q > s > 0$ and $x_0 \in \text{Pr}(x)$. Let r be the length of x , then there are less than 2^r such words x and since $1 \leq r \leq \ell - i$ and $i > \frac{2}{3}\ell$, $r < \frac{\ell}{3}$. Finally the lengths of v and w can be written $i = \ell - hr$ where $1 \leq h < \ell/3r$ and $j = \ell - h'r$ where $h < h' < \frac{1}{2}(\frac{\ell}{r} + h)$. Therefore

$$\begin{aligned} B'_{1,2} &\leq \sum_{\ell=3}^{n-m+1} \sum_{r=1}^{\frac{\ell}{3}-1} \sum_{h=1}^{\frac{\ell}{3r}} \sum_{h'=h+1}^{\frac{1}{2}(\frac{\ell}{r}+h)} m \binom{n-\ell}{m-1} 2^{n-\ell} 2^r 2^{\ell-h'r-1} \\ &\leq m 2^{n-1} \sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} \sum_{r=1}^{\frac{\ell}{3}-1} 2^r \sum_{h=1}^{\frac{\ell}{3r}} \sum_{h'=h+1}^{\frac{1}{2}(\frac{\ell}{r}+h)} (2^{-r})^{h'}. \end{aligned}$$

As $\sum_{h=1}^{\frac{\ell}{3r}} \sum_{h'=h+1}^{\frac{1}{2}(\frac{\ell}{r}+h)} (2^{-r})^{h'} \leq 4/2^{2r}$ when $r \geq 1$, we obtain

$$B'_{1,2} \leq m 2^{n+1} \sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} \sum_{r=1}^{\frac{\ell}{3}-1} 2^{-r} \leq m 2^{n+1} \sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1}$$

Finally, since $\sum_{\ell=3}^{n-m+1} \binom{n-\ell}{m-1} = \binom{n-2}{m-1}$ and $|\mathcal{S}_{n,m}| = \binom{n-1}{m-1} 2^n$, we obtain that $B'_{1,2} = \mathcal{O}(n |\mathcal{S}_{n,m}|)$, concluding the proof.

6. Remarks on the Average Time Complexity

Note that the constructions proposed in this article to build deterministic automata recognizing the star of a finite language or the concatenation of two finite languages mainly rely on a classical determinization of some specific nondeterministic automata. The union operation is different, but easy to perform efficiently by just considering the union of $\{u_1, \dots, u_{m_1}\}$ and $\{v_1, \dots, v_{m_2}\}$ as an element of $\text{Set}_{n_1+n_2, m_1+m_2}$, and constructing the tree.

The state complexity of a language recognized by a nondeterministic automaton with n states is, in the worst case, equal to 2^n . Therefore the lower bound of the worst-case time complexity of the determinization is $\Omega(2^n)$. In such cases, it is interesting to measure the time complexity according to the size of the output of the algorithm and to try to design algorithms whose efficiency is a function of the size of the result instead of the one of the input. In particular they should be fast when the output is small, even if it is not possible to prevent the output from being of exponential size in the worst case.

The complexity of the subset construction basically depends upon the encoding and the storage of the set of states. At each step, for a given set of states P and a letter $a \in A$, the algorithm computes the set $P \cdot a$ of states of the initial automaton that can be reached from a state of P by a transition labelled by a . Then it tests whether this set has already been computed before or not.

Here the automata to be determinized are specific. In both constructions related with star and concatenation, they have the useful property that for any accessible set of states X and every letter a the size of $X \cdot a$ is at most twice the size of X :

- For the star, the image of a state u by a letter a in the nondeterministic automaton is either \emptyset , a , ua or $\{a, ua\}$.
- For the concatenation, the image by a letter a of a state of the form (\emptyset, X) is $(\emptyset, X \cdot a)$ and $X \cdot a$ is of size at most $|X|$ since the second automaton is deterministic. On the other hand, the image of (u, X) by a letter a is of the form (z, X') , where X' is either $X \cdot a$ or $X \cdot a \cup \{a\}$.

Hence, in both cases, computing the image of a set of states X by a letter a can be performed in time $\mathcal{O}(P(|X|))$, where P is some polynomial.

In order to store the sets of states, $N + 1$ balanced trees $\mathcal{T}_0, \dots, \mathcal{T}_N$ are used, where each tree \mathcal{T}_i contains only subsets of size i . When a new set of states X is computed, it is inserted in the tree $\mathcal{T}_{|X|}$. The "size" of a state (z, X) in the concatenation case is the size of X . It is enough to set $N = n + 1$ in the star case and $N = n_2 + 1$ in the concatenation case, in order to cover all the possible sizes. Each balanced tree $T \in \mathcal{T}_i$ contains at most $\binom{N}{i} \leq N^i$ elements in the star case, and at most $2\binom{N}{i} \leq 2N^i$ in the concatenation case, as the first coordinate can be either a word or \emptyset , the word being unique for a given second coordinate. Hence the insertion and search in T can be performed in $\mathcal{O}(i \log N)$ comparisons. As the comparisons can be performed in polynomial time in i , the overall complexity of building the image of X by a letter a , looking if $X \cdot a$ is in $\mathcal{T}_{|X \cdot a|}$ and insert it if it is not, can be performed in time $\mathcal{O}(Q(i) \log N)$, for some polynomial Q .

Using this, one can show the following results:

- For $|A| \geq 3$, the average time complexity of the construction of \mathcal{D}_X recognizing the star of a finite language X in $\text{Set}_{n,m}$ is in $\mathcal{O}(n \log n)$.
- For $|A| \geq 2$, the average time complexity of the construction of $\mathcal{D}_{X_1 X_2}$ recognizing the concatenation of two finite languages $X_1 \in \text{Set}_{n_1, m_1}$ and $X_2 \in \text{Set}_{n_2, m_2}$ is in $\mathcal{O}((n_1 + n_2) \log n_2)$.

The proof consists in reproducing the proofs of Theorem 16 and Theorem 14, adding a multiplicative factor of $Q(i + 1) \log N$.

Conclusion The main conclusion of this article is that, if one needs to manipulate finite languages given by lists of words, using deterministic automata is very efficient when our distribution models correctly the input data: the possible blow-up in space almost never appears, and the deterministic automaton can be quickly computed using standard constructions.

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