

## Chapter 4

# Finite Automata

Another way of characterizing regular languages are finite automata (FA). We will show that the languages of finite automata are exactly the regular languages. Furthermore, we will also derive a decision procedure for equivalence of regular expressions.

### 4.1 Definition

A finite automaton consists of

1. finite set of states  $Q$ ,
2. a starting state  $s \in Q$ ,
3. a set of final states  $F \subseteq Q$
4. and a state-transition relation  $\delta$ . [5]

We define a **run** of a word  $w \in \Sigma^*$  on an automaton  $A = (Q, s, F, \delta)$  as any sequence of states  $\sigma$  such that  $\forall 0 \leq i < |\sigma| - 1. (\sigma_i, w_i, \sigma_{i+1}) \in \delta$ . A word  $w$  is **accepted** by  $A$  in state  $x$  if and only if there exists a run  $\sigma$  of  $w$  on  $A$  such that  $\sigma_0 = x \wedge \sigma_{|\sigma|-1} \in F$ . The resulting set of accepted words is denoted by  $\mathcal{L}_x(A)$ . The **language** of  $A$  is exactly  $\mathcal{L}_s(A)$  and is denoted  $\mathcal{L}(A)$ .

#### 4.1.1 Non-Deterministic Finite Automata

Finite automata can be **non-deterministic** (NFA) in the sense that there exist multiple distinct runs for a word. This is the case if and only if  $\delta$  is not functional.

Listing 4.1: Non-Deterministic Finite Automata

**Record** nfa : Type :=  
{

```

    nfa_state := finType;
    nfa_s: nfa_state;
    nfa_fin : pred nfa_state;
    nfa_step: nfa_state -> char -> pred nfa_state
  }.
Fixpoint nfa_accept (x: A) w :=
match w with
| [] => nfa_fin A x
| a::w => existsb y, (nfa_step A x a y) && nfa_accept y w
end.
Definition nfa_lang := [pred w | nfa_accept (nfa_s A) w].

```

The acceptance criterion given here avoids the matter of runs. In many cases, this will help us with proofs by induction on the accepted word. However, we will need runs in some of the proofs. Due to the fact that runs are not unique on NFAs, we will speak of **labeled paths** in this context. Labeled paths are paths through the graph implied by the automaton's step function. We give a predicate that decides if a path is a labeled path for  $w$  on  $A$ . We then show that the acceptance criterion given above corresponds to the mathematical definition.

```

Fixpoint nfa_lpath x (xs : seq A) (w: word) {struct xs} :=
match xs,w with
| y :: xs', a::w' => nfa_step A x a y && nfa_lpath y xs' w'
| [] , [] => true
| - , - => false
end.
Lemma nfa_lpath_accept x w:
  reflect (exists2 xs, nfa_lpath x xs w & last x xs \in nfa_fin A)
    (nfa_accept x w).

```

### 4.1.2 Deterministic Finite Automata

For functional  $\delta$ , we speak of **deterministic** finite automata (DFA). In this case, we write  $\delta$  as a function in our COQ development.

Listing 4.2: Deterministic Finite Automata

```

Record dfa : Type :=
{
  dfa_state := finType;
  dfa_s: dfa_state;
  dfa_fin : pred dfa_state;
  dfa_step: dfa_state -> char -> dfa_state
}.
Fixpoint dfa_accept x w :=
match w with
| [] => dfa_fin A x
| a::w => dfa_accept (dfa_step A x a) w
end.

```

**Definition**  $\text{dfa\_lang} := [\text{pred } w \mid \text{dfa\_accept } (\text{dfa\_s } A) w].$

Again, we avoid runs in our formalization of the acceptance criterion in favor of a acceptance criterion that is easier to work with in proofs. In this case, however, we can give a function that computes the unique run of a word on  $A$ . This allows us to give an alternative acceptance criterion that is closer to the mathematical definition. We also prove that both criteria are equivalent.

**Fixpoint**  $\text{dfa\_run}' (x: A) (w: \text{word}) : \text{seq } A :=$   
**match**  $w$  **with**  
 |  $[:]$   $=>$   $[:]$   
 |  $a :: w => (\text{dfa\_step } A \times a) :: \text{dfa\_run}' (\text{dfa\_step } A \times a) w$   
**end.**

**Lemma**  $\text{dfa\_run\_accept } x w: \text{last } x (\text{dfa\_run}' x w) \setminus \text{in } \text{dfa\_fin } A = \text{dfa\_accept } x w.$

## Equivalence of Automata

**Definition 4.1.1.** We say that two automata are *equivalent* if and only if their languages are equal.

## Equivalence between DFA and NFA

Deterministic and non-deterministic finite automata are equally expressive. One direction is trivial since every DFA can be seen as a NFA. We prove the other direction using the powerset construction. Given NFA  $A$ , we construct an equivalent DFA  $A_{det}$  in the following way:

$$\begin{aligned} Q_{det} &:= \{q \mid q \subseteq Q\} \\ s_{det} &:= \{s\} \\ F_{det} &:= \{q \mid q \in Q_{det} \wedge q \cap F \neq \emptyset\} \\ \delta_{det} &:= \{(p, a, \bigcup_{p \in P} \{q \mid (p, a, q) \in \delta\}) \mid p, q \in Q_{det}, a \in \Sigma\}. \\ A_{det} &:= (Q_{det}, s_{det}, F_{det}, \delta_{det}). \end{aligned}$$

The formalization of  $A_{det}$  is straight-forward. We leave the set of states implicit.

**Definition**  $\text{nfa\_to\_dfa} :=$   
 $\{ \mid \text{dfa\_s} := \text{set1 } (\text{nfa\_s } A);$   
 $\text{dfa\_fin} := [ \text{pred } X: \{\text{set } A\} \mid \text{existsb } x: A, (x \setminus \text{in } X) \ \&\& \ \text{nfa\_fin } A \ x];$   
 $\text{dfa\_step} := [ \text{fun } X \ a => \setminus \text{bigcup\_}(x \mid x \setminus \text{in } X) \ \text{finset } (\text{nfa\_step } A \ x \ a) ] \ \}$

**Lemma 4.1.1.** *For all powerset states  $X$  and for all states  $x$  with  $x \in X$  we have that*

$$\mathcal{L}_x(A) \subseteq \mathcal{L}_X(A_{det}).$$

*Proof.* Let  $w \in \mathcal{L}_x(A)$ . We proof by induction on  $w$  that  $w \in \mathcal{L}_X(A_{det})$ .

- For  $w = \varepsilon$  and  $\varepsilon \in \mathcal{L}_x(A)$  we get  $x \in F$  from  $\varepsilon \in \mathcal{L}_x(A)$ . From  $x \in X$  we get  $X \cap F \neq \emptyset$  and therefore  $\varepsilon \in \mathcal{L}_X(A_{det})$ .
- For  $w = aw'$  and  $aw' \in \mathcal{L}_x(A)$  we get  $y$  such that  $w' \in \mathcal{L}_y(A)$  and  $(x, a, y) \in \delta$ . The latter gives us  $y \in Y$  where  $Y$  is such that  $(X, a, Y) \in \delta_{det}$ . With  $y \in Y$  and  $w' \in \mathcal{L}_y(A)$  we get which gives us  $w' \in \mathcal{L}_Y(A_{det})$  by induction hypothesis. With  $(X, a, Y) \in \delta_{det}$  we get  $aw' \in \mathcal{L}_X(A_{det})$ .

□

**Lemma 4.1.2.** *For all powerset states  $X$  and all words  $w \in \mathcal{L}_X(A_{det})$  there exists a state  $x$  such that*

$$x \in X \wedge w \in \mathcal{L}_x(A).$$

*Proof.* We do an induction on  $w \in \Sigma^*$ .

- For  $w = \varepsilon$  and  $\varepsilon \in \mathcal{L}_X(A_{det})$  we get  $X \cap F \neq \emptyset$ . Therefore, there exists  $x$  such that  $x \in X$  and  $x \in F$ . Thus, we have  $\varepsilon \in \mathcal{L}_x(A)$ .
- For  $w = aw'$  and  $aw' \in \mathcal{L}_X(A_{det})$  we get  $Y$  such that  $w' \in \mathcal{L}_Y(A_{det})$  and  $(X, a, Y) \in \delta_{det}$ . From the induction hypothesis we get  $y$  such that  $y \in Y$  and  $w' \in \mathcal{L}_y(A)$ . From  $y \in Y$  and  $(X, a, Y) \in \delta_{det}$  we get  $x$  such that  $x \in X$  and  $(x, a, y) \in \delta$ . Thus,  $aw' \in \mathcal{L}_x(A)$ .

□

**Theorem 4.1.1.** *The powerset automaton  $A_{det}$  accepts the same language as  $A$ , i.e.*

$$\mathcal{L}(A) = \mathcal{L}(A_{det}).$$

*Proof.* “ $\subseteq$ ” This follows directly from lemma 4.1.1 with  $x = s$  and  $X = s_{det}$ .

“ $\supseteq$ ” From lemma 4.1.2 with  $X = s_{det} = \{s\}$  we get  $\mathcal{L}_{s_{det}}(A_{det}) \subseteq \mathcal{L}_s(A)$ , which proves the claim. □

The formalization of this proof is straight-forward and follows the plan laid out above. The corresponding Lemmas are:

**Lemma** `nfa_to_dfa_complete` ( $x$ : A)  $w$  ( $X$ : nfa\_to\_dfa):

`x \in X  $\rightarrow$  nfa_accept A x w  $\rightarrow$  dfa_accept nfa_to_dfa X w.`

**Lemma** `nfa_to_dfa_sound` ( $X$ : nfa\_to\_dfa)  $w$ :

`dfa_accept nfa_to_dfa X w  $\rightarrow$  existsb x, (x \in X) && nfa_accept A x w.`

**Lemma** `nfa_to_dfa_correct`  $w$  : `nfa_lang A w = dfa_lang nfa_to_dfa w.`

## 4.2 Connected Components

Finite automata can have isolated subsets of states that are not reachable from the starting state. These states can not contribute to the language of the automaton since there are no runs from the starting state to any of those unreachable states. It will later be useful to have automata that only contain reachable states. Therefore, we define a procedure to extract the connected component containing the starting state from a given automaton.

**Definition 4.2.1.** Let  $A = (Q, s, F, \delta)$  be a DFA. We define  $\text{reachable1}$  such that for all  $x$  and  $y$ ,  $(x, y) \in \text{reachable1} \iff \exists a, (x, a, y) \in \delta$ . We define  $\text{reachable} := \{y \mid (s, y) \in \text{reachable1}^*\}$ , where  $\text{reachable1}^*$  denotes the transitive closure of  $\text{reachable1}$ . With this, we can define the connected automaton  $A_c$ :

$$\begin{aligned} Q_c &:= Q \cap \text{reachable} \\ s_c &:= s \\ F_c &:= F \cap \text{reachable} \\ \delta_c &:= \{(x, a, y) \mid (x, a, y) \in \delta \wedge x, y \in Q_c\} \\ A_c &:= (Q_c, s_c, F_c, \delta_c). \end{aligned}$$

We make use of SSREFLECT's *connect* predicate to extract a sequence of all states reachable from  $s$ . From this, we construct a finite type and use that as the new set of states. These new states carry a proof of reachability. We also have to give a transition function that ensures transitions always end in reachable states.

**Definition**  $\text{reachable1} := [\text{fun } x \ y \Rightarrow \text{existsb } a, \text{dfa\_step } A1 \ x \ a == y].$

**Definition**  $\text{reachable} := \text{enum } (\text{connect } \text{reachable1 } (\text{dfa\_s } A1)).$

**Lemma**  $\text{reachable0} : \text{dfa\_s } A1 \ \backslash \text{in } \text{reachable}.$

**Lemma**  $\text{reachable\_step } x \ a : x \ \backslash \text{in } \text{reachable} \rightarrow \text{dfa\_step } A1 \ x \ a \ \backslash \text{in } \text{reachable}.$

**Definition**  $\text{dfa\_connected} :=$

```
{| dfa_s := SeqSub reachable0;
  dfa_fin := [fun x => match x with SeqSub x _ => dfa_fin A1 x end];
  dfa_step := [fun x a => match x with
    | SeqSub _ Hx => SeqSub (reachable_step _ a Hx)
  end] |}.
```

Make  
this  
under-  
stand-  
able

**Lemma 4.2.1.** For every state  $x \in \text{reachable}$  we have that

$$\mathcal{L}_x(A_c) = \mathcal{L}_x(A).$$

*Proof.* “ $\subseteq$ ” Trivial. “ $\supseteq$ ” We do an induction on  $w$ .

- For  $w = \varepsilon$  we have  $\varepsilon \in \mathcal{L}_x(A)$  and therefore  $x \in F$ . With  $x \in \text{reachable}$  we get  $x \in F_c$ . Thus,  $\varepsilon \in \mathcal{L}_x(A_c)$ .

- For  $w = aw'$  we have  $y \in Q$  such that  $(x, a, y) \in \delta$  and  $w' \in \mathcal{L}_y(A)$ . From  $x \in \text{reachable}$  we get  $y \in \text{reachable}$  by transitivity. Therefore,  $(x, a, y) \in \delta_c$ . The induction hypothesis gives us  $w' \in \mathcal{L}_y(A_c)$ . Thus,  $aw' \in \mathcal{L}_x(A_c)$ .

□

**Theorem 4.2.1.** *The language of the connected automaton  $A_c$  is identical to that of the original automaton  $A$ , i.e.*

$$\mathcal{L}(A) = \mathcal{L}(A_c).$$

*Proof.* By reflexivity, we have  $s \in \text{reachable}$ . We use lemma 4.2.1 with  $x = s$  to prove the claim. □

The formalization of lemma 4.2.1 and theorem 4.2.1 is straight-forward.

**Lemma** `dfa_connected_correct' x (Hx: x \in reachable) :`  
`dfa_accept dfa_connected {|ssvalP := Hx|} =1 dfa_accept A1 x.`

**Lemma** `dfa_connected_correct: dfa_lang dfa_connected =1 dfa_lang A1.`

To make use of the fact that  $A_c$  is fully connected, we will prove a characteristic property of  $A_c$ .

**Definition 4.2.2.** *A **representative** of a state  $x$  is a word  $w$  such that the unique run of  $w$  on  $A_c$  ends in  $x$ .*

**Lemma 4.2.2.** *We can give a representative for every state  $x \in Q_c$ .*

*Proof.*  $x$  carries a proof of reachability. From this, we get a path through the graph of `reachable1` that ends in  $x$ . We build the representative by extracting the edges of the path and building a word from those. □

Choice?

The formalization of theorem 4.2.2 includes a more general version of the theorem, which facilitates the proof by induction over the path.

**Lemma** `dfa_connected_repr' (x y: dfa_connected):`  
`connect reachable1_connected y x ->`  
`exists w, last y (dfa_run' dfa_connected y w) = x.`

**Lemma** `dfa_connected_repr x :`  
`exists w, last (dfa_s dfa_connected) (dfa_run dfa_connected w) = x.`

### 4.3 Emptiness

Given an automaton  $A$ , we can check if  $\mathcal{L}(A) = \emptyset$ . We simply obtain the connected automaton of  $A$  and check if there are any final states left.

**Theorem 4.3.1.** *The language of the connected automaton  $A_c$  is empty if and only if its set of final states  $F_c$  is empty, i.e.*

$$\mathcal{L}(A) = \emptyset \iff F_c = \emptyset.$$

*Proof.* By theorem 4.2.1 we have  $\mathcal{L}(A) = \mathcal{L}(A_c)$ . Therefore, it suffices to show

$$\mathcal{L}(A_c) = \emptyset \iff F_c = \emptyset.$$

“ $\Leftarrow$ ” We have  $\mathcal{L}(A_c) = \emptyset$  and have to show that for all  $x \in Q_c$ ,  $x \notin F_c$ . Let  $x \in Q_c$ . By lemma 4.2.2 we get  $w$  such that the unique run of  $w$  on  $A_c$  ends in  $x$ . We use  $\mathcal{L}(A_c) = \emptyset$  to get  $w \notin \mathcal{L}(A_c)$ , which implies that the run of  $w$  on  $A_c$  ends in a non-final state. By substituting the last state of the run by  $x$  we get  $x \notin F_c$ . “ $\Rightarrow$ ” We have  $F_c = \emptyset$  and have to show that for all words  $w$ ,  $w \notin \mathcal{L}(A_c)$ . We use  $F_c = \emptyset$  to show that the last state of the run of  $w$  on  $A_c$  is non-final. Thus,  $w \notin \mathcal{L}(A_c)$ .

Thus, emptiness is decidable.  $\square$

The formalization of lemma 4.3.1 is split in two parts to facilitate its application.

**Definition** `dfa_lang_empty := #|dfa_fin dfa_connected| == 0.`

**Lemma** `dfa_lang_empty_complete: dfa_lang dfa_connected =1 pred0 -> dfa_lang_empty.`

**Lemma** `dfa_lang_empty_sound: dfa_lang_empty -> dfa_lang dfa_connected =1 pred0.`

**Lemma** `dfa_lang_empty_correct:`

`reflect (dfa_lang A1 =1 pred0)`  
`dfa_lang_empty.`

### 4.4 Deciding Equivalence of Finite Automata

Given finite automata  $A_1$  and  $A_2$ , we construct DFA  $A$  such that the language of  $A$  is the symmetric difference of the languages of  $A_1$  and  $A_2$ , i.e.,

$$\mathcal{L}(A) := \mathcal{L}(A_1) \ominus \mathcal{L}(A_2) = \mathcal{L}(A_1) \cap \neg \mathcal{L}(A_2) \cup \mathcal{L}(A_2) \cap \neg \mathcal{L}(A_1).$$

**Theorem 4.4.1.** *The equivalence of  $A_1$  and  $A_2$  is decidable, i.e.*

$$\mathcal{L}(A_1) = \mathcal{L}(A_2) \text{ if and only if } \mathcal{L}(A) \text{ is empty.}$$

*Proof.* The correctness of this procedure follows from the properties of the symmetric difference operator, i.e.

$$\mathcal{L}(A_1) \ominus \mathcal{L}(A_2) = \emptyset \Leftrightarrow \mathcal{L}(A_1) = \mathcal{L}(A_2).$$

The decidability of this procedure follows directly from theorem 4.3.1.  $\square$

Listing 4.3: Formalization of theorem 4.4.1

**Definition** `dfa_sym_diff` :=  
`dfa_disj (dfa_conj A1 (dfa_compl A2)) (dfa_conj A2 (dfa_compl A1)).`  
**Lemma** `dfa_sym_diff_correct`:  
`dfa_lang_empty dfa_sym_diff <=> dfa_lang A1 =1 dfa_lang A2.`

## 4.5 Regular Expressions and Finite Automata

We prove that there is a finite automaton for every extended regular expression and vice versa. In fact, we can give a standard regular expression for every finite automaton. With this, we will prove that extended regular expressions are equivalent to standard regular expressions, thereby proving closure under intersection and negation.

### 4.5.1 Regular Expressions to Finite Automata

We prove that there exists an equivalent automaton for every extended regular expression. The structure of this proof is given by the inductive nature of regular expressions. For every constructor, we provide an equivalent automaton.

Depending on the constructor of the regular expression, we will construct an equivalent DFA or NFA. Void, Eps, Dot, Atom, Plus, And and Not are very easy to implement on DFAs, whereas Star and Conc lend themselves well to NFAs.

#### Void

**Definition 4.5.1.** *We define an empty DFA with a single, non-accepting state, i.e.*

$$A_{\emptyset} := (\{t\}, t, \emptyset, \{(t, a, t) \mid a \in \Sigma\}).$$

**Lemma 4.5.1.** *The language of the empty DFA is empty, i.e.*

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

*Proof.*  $A_{\emptyset}$  has no final states, i.e. no run can end in a final state.  $\square$

**Definition** `dfa_void` :=  
`{| dfa_s := tt;`  
`dfa_fin := pred0;`  
`dfa_step := [fun x a => tt] |}.`

**Lemma** `dfa_void_correct`  $x w$ :  $\sim\sim$  `dfa_accept dfa_void`  $x w$ .



**Eps**

**Definition 4.5.2.** We define an automaton that accepts only the empty word, i.e.

$$A_\varepsilon := (\{t, f\}, t, \{f\}, \{(x, a, f) \mid x \in \{t, f\}, a \in \Sigma\}).$$

**Lemma 4.5.2.**  $A_\varepsilon$  accepts no word in state  $f$ , i.e. for all  $w$ ,

$$w \notin \mathcal{L}_f(A_\varepsilon).$$

*Proof.* Let  $w \in \Sigma^*$ . We do an induction on  $w$ . For  $w = \varepsilon$  we get  $\varepsilon \notin \mathcal{L}_f(A_\varepsilon)$  by  $f \notin F_\varepsilon$ . For  $w = aw'$  we have  $w' \notin \mathcal{L}_f(A_\varepsilon)$ . Furthermore,  $(f, a, f) \in \delta_\varepsilon$ . Therefore,  $aw' \notin \mathcal{L}_f(A_\varepsilon)$ .  $\square$

**Lemma 4.5.3.** The language of  $A_\varepsilon$  is exactly the singleton set containing the empty word, i.e.

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

*Proof.* Let  $w \in \Sigma^*$ . We do an induction on  $w$ . For  $w = \varepsilon$  we have  $\varepsilon \in \mathcal{L}(A_\varepsilon)$  and  $\varepsilon \in \{\varepsilon\}$ . Therefore, both directions are trivial. For  $w = aw'$  we consider both directions independently.

“ $\Rightarrow$ ” We have  $(t, a, f) \in \delta_\varepsilon$  and  $w' \in \mathcal{L}_f(A_\varepsilon)$ . By lemma 4.5.2, this is a contradiction.

“ $\Leftarrow$ ” We get a straight-forward contradiction from  $aw' \in \{\varepsilon\}$ .  $\square$

**Definition** `dfa_eps :=`

```
{ | dfa_s := true;
    dfa_fin := pred1 true;
    dfa_step := [fun x a => false] | }.
```

**Lemma** `dfa_eps.correct w: dfa_lang dfa_eps w = (w == [:]).`

reflect?

**Dot**

**Definition 4.5.3.** We define an automaton that accepts the set of all singleton words, i.e.

$$A_{Dot} := (\{s, t, f\}, s, \{t\}, \{(s, a, t) \mid a \in \Sigma\} \cup \{(x, a, f) \mid x \in \{t, f\}, a \in \Sigma\}).$$

**Lemma 4.5.4.**  $A_{Dot}$  does not accept any word in state  $f$ , i.e.  $\mathcal{L}_f(A_{Dot}) = \emptyset$ .

*Proof.* We prove this by induction on  $w \in \Sigma^*$ . For  $w = \varepsilon$  we have  $\varepsilon \notin \mathcal{L}_f(A_{Dot})$  by  $f \notin F_{Dot}$ . For  $w = aw'$  we have  $(f, a, f) \in \delta_{Dot}$  and  $w' \notin \mathcal{L}_f(A_{Dot})$  by induction hypothesis. Thus,  $aw' \notin \mathcal{L}_f(A_{Dot})$ .  $\square$

**Lemma 4.5.5.**  $A_{Dot}$  accepts exactly the empty word in state  $t$ , i.e.  $\mathcal{L}_t(A_{Dot}) = \{\varepsilon\}$ .

*Proof.* Let  $w \in \Sigma^*$ . We do a case distinction on  $w$ . For  $w = \varepsilon$  we have  $\varepsilon \in \mathcal{L}_t(A_{Dot})$  by  $t \in F_{Dot}$ . We also have  $\varepsilon \in \{\varepsilon\}$ . For  $w = aw'$  we get  $(t, a, f) \in \delta_{Dot}$ . Since  $aw' \notin \{\varepsilon\}$  it suffices to show that  $w' \notin \mathcal{L}_f(A_{Dot})$ , which we have by lemma 4.5.4.  $\square$

**Definition** `dfa_dot` :=

```
{| dfa_s := None;
   dfa_fin := pred1 (Some true);
   dfa_step := [fun x b => if x == None then Some true else Some false ] |}.
```

**Lemma** `dfa_dot_correct`'' w:  $\sim\sim$  `dfa_accept dfa_dot` (Some false) w.

**Lemma** `dfa_dot_correct'` w: `dfa_accept dfa_dot` (Some true) w = (w == [:]).

**Lemma** `dfa_dot_correct` w: `dfa_lang dfa_dot` w = (size w == 1).

reflect?

**Not**

**Definition 4.5.4.** Given DFA  $A = (Q, s, F, \delta)$ , the complement automaton  $A_{\neg}$  is constructed by switching accepting and non-accepting states, i.e.

$$A_{\neg} := (Q, s, Q \setminus F, \delta).$$

**Lemma 4.5.6.** For every state  $x \in Q$ , we have that  $w \in \Sigma^*$  is accepted in  $x$  by  $A_{\neg}$  if and only if it is not accepted in  $x$  by  $A$ , i.e.  $\mathcal{L}_x(A_{\neg}) = \Sigma^* \setminus \mathcal{L}_x(A)$

*Proof.* We do an induction on  $w$ . For  $w = \varepsilon$  we have  $\varepsilon \in \mathcal{L}_x(A_{\neg}) \iff \varepsilon \in \mathcal{L}_x(A)$  from  $x \in F \iff x \notin Q \setminus F$ . For  $w = aw'$  we get  $(y, a, x) \in \delta$ . By induction hypothesis,  $w' \in \mathcal{L}_x(A_{\neg}) \iff w' \notin \mathcal{L}_x(A)$ . Thus,  $aw' \in \mathcal{L}_y(A_{\neg}) \iff aw' \notin \mathcal{L}_y(A)$ .  $\square$

**Lemma 4.5.7.**  $A_{\neg}$  accepts the complement language of  $A$ , i.e.  $\mathcal{L}(A_{\neg}) = \Sigma^* \setminus \mathcal{L}(A)$ .

*Proof.* This follows directly from lemma 4.5.6 with  $x = s$ .  $\square$

**Plus**

**Definition 4.5.5.** Given DFAs  $A_1 = (Q_1, s_1, F_1, \delta_1)$  and  $A_2 = (Q_2, s_2, F_2, \delta_2)$  we construct the disjunction automaton in the following way:

$$\begin{aligned} Q_{\vee} &:= Q_1 \times Q_2 \\ s_{\vee} &:= (s_1, s_2) \\ F_{\vee} &:= \{(x_1, x_2) \mid x_1 \in F_1 \vee x_2 \in F_2\} \\ \delta_{\vee} &:= \{((x_1, x_2), a, (y_1, y_2)) \mid a \in \Sigma, (x_1, a, y_1) \in \delta_1, (x_2, a, y_2) \in \delta_2\} \\ A_{\vee} &:= (Q_{\vee}, s_{\vee}, F_{\vee}, \delta_{\vee}). \end{aligned}$$

**Lemma 4.5.8.** *For every state  $(x_1, x_2) \in Q_V$ , we have that*

$$\mathcal{L}_{(x_1, x_2)}(A_V) = \mathcal{L}_{x_1}(A_1) \cup \mathcal{L}_{x_2}(A_2).$$

*Proof.* We do a proof by induction on  $w \in \Sigma^*$ . For  $w = \varepsilon$  we have, by definition of  $F_V$ ,  $\varepsilon \in \mathcal{L}_{(x_1, x_2)}(A_V) \iff \varepsilon \in \mathcal{L}_{x_1}(A_1) \vee \varepsilon \in \mathcal{L}_{x_2}(A_2)$ .

For  $w = aw'$  we get  $(x_1, a, y_1) \in \delta_1$  and  $(x_2, a, y_2) \in \delta_2$ . By induction hypothesis, we also have  $w' \in \mathcal{L}_{x_1}(A_1) \vee w' \in \mathcal{L}_{x_2}(A_2)$ . Thus, we get  $aw' \in \mathcal{L}_{y_1}(A_1) \vee aw' \in \mathcal{L}_{y_2}(A_2)$ .  $\square$

**Lemma 4.5.9.**  $\mathcal{L}(A_V) = \mathcal{L}(A_1) \cup \mathcal{L}(A_2)$ .

*Proof.* This follows directly from lemma 4.5.8 with  $x = (s_1, s_2)$ .  $\square$

**Definition** `dfa_disj` :=

```
{| dfa_s := (dfa_s A1, dfa_s A2);
  dfa_fin := (fun q => let (x1,x2) := q in dfa_fin A1 x1 || dfa_fin A2 x2);
  dfa_step := [fun x a => (dfa_step A1 x.
```

**Lemma** `dfa_disj_correct` w x:

```
  dfa_accept A1 x.1 w || dfa_accept A2 x.2 w
    = dfa_accept dfa_disj x w.
```

**Lemma** `dfa_disj_correct` w:

```
  dfa_lang A1 w || dfa_lang A2 w
    = dfa_lang dfa_disj w.
```

**And**

**Definition 4.5.6.** *Given DFAs  $A_1 = (Q_1, s_1, F_1, \delta_1)$  and  $A_2 = (Q_2, s_2, F_2, \delta_2)$  we construct the disjunction automaton in the following way:*

$$\begin{aligned} Q_V &:= Q_1 \times Q_2 \\ s_V &:= (s_1, s_2) \\ F_V &:= \{(x_1, x_2) \mid x_1 \in F_1 \vee x_2 \in F_2\} \\ \delta_V &:= \{((x_1, x_2), a, (y_1, y_2)) \mid a \in \Sigma, (x_1, a, y_1) \in \delta_1, (x_2, a, y_2) \in \delta_2\} \\ A_V &:= (Q_V, s_V, F_V, \delta_V). \end{aligned}$$

**Lemma 4.5.10.** *For every state  $(x_1, x_2) \in Q_V$ , we have that*

$$\mathcal{L}_{(x_1, x_2)}(A_V) = \mathcal{L}_{x_1}(A_1) \cup \mathcal{L}_{x_2}(A_2).$$

*Proof.* We do a proof by induction on  $w \in \Sigma^*$ . For  $w = \varepsilon$  we have, by definition of  $F_V$ ,  $\varepsilon \in \mathcal{L}_{(x_1, x_2)}(A_V) \iff \varepsilon \in \mathcal{L}_{x_1}(A_1) \vee \varepsilon \in \mathcal{L}_{x_2}(A_2)$ .

For  $w = aw'$  we get  $(x_1, a, y_1) \in \delta_1$  and  $(x_2, a, y_2) \in \delta_2$ . By induction hypothesis, we also have  $w' \in \mathcal{L}_{x_1}(A_1) \vee w' \in \mathcal{L}_{x_2}(A_2)$ . Thus, we get  $aw' \in \mathcal{L}_{y_1}(A_1) \vee aw' \in \mathcal{L}_{y_2}(A_2)$ .  $\square$

**Lemma 4.5.11.**  $\mathcal{L}(A_V) = \mathcal{L}(A_1) \cup \mathcal{L}(A_2)$ .

*Proof.* This follows directly from lemma 4.5.8 with  $x = (s_1, s_2)$ .  $\square$

Include  
all  
proofs

### 4.5.2 Deciding Equivalence of Regular Expressions

Based on our procedure to construct an equivalent automaton from a regular expression, we can decide equivalence of regular expressions. Given  $r_1$  and  $r_2$ , we construct equivalent DFA  $A_1$  and  $A_2$  as above.

### 4.5.3 Finite Automata to Regular Expressions

We prove that there is an equivalent standard regular expression for every finite automaton.

Since we are given an automaton it is not obvious how to partition our proof obligations into smaller parts. We use Kleene's original proof, the transitive closure method. This method recursively constructs a regular expression that is equivalent to the given automaton. Given a DFA  $A$ , we first assign some ordering to its states. We then define  $R_{i,j}^k$  such that  $\mathcal{L}(R_{i,j}^k)$  is the set of all words that have a run on  $A$  starting in state  $i$  that ends in state  $j$  without ever leaving a state smaller than  $k$ . The base case  $R_{i,j}^0$  is the set of all singleton words that are edges between state  $i$  and  $j$ , and  $\varepsilon$  if  $i = j$ . Given  $R_{i,j}^k$  we can easily define  $R_{i,j}^{k+1}$  based on the observation that only one new state has to be considered:

Insert complete formal definition

$$R_{i,j}^{k+1} = R_{i,k}^k \cdot (R_{k,k}^k)^* \cdot R_{k,j}^k + R_{i,j}^k.$$

We make use of SSREFLECT's ordinals to get an ordering on states. We chose to employ ordinals for  $i$  and  $j$ , but not for  $k$ . This simplifies the inductive definitions on  $k$ . It does, however, lead to explicit conversions when  $k$  is used in place of  $i$  or  $j$ . In fact,  $i$  and  $j$  are states in our COQ implementation. We only rely on ordinals for comparison to  $k$ .

Add implementation of  $R$

Furthermore, we define  $L_{i,j}^k \subseteq \mathcal{L}(A)$  in terms of runs on the automaton. The relation of  $L_{i,j}^k$  to  $\mathcal{L}(A)$  can be proven very easily. We will also prove it equivalent to  $R_{i,j}^k$ . This allows us to connect  $R_{i,j}^k$  to  $\mathcal{L}(A)$ .

**Definition** `allbutlast`  $p : \text{pred}(\text{seq } X) :=$   
`fun xs => all p (belast xs).`

**Definition** `L`  $:=$   
`[fun k: nat =>`  
`[fun x y: A =>`  
`[pred w |`  
`(last x (dfa_run' A x w) == y)`  
`&& allbutlast (<.k) (dfa_run' A x w)`  
`]`  
`]`  
`].`

**Theorem 4.5.1.** *We can express  $\mathcal{L}(A)$  in terms of  $L$ .  $L$  is equivalent to  $R$ .*

$$\mathcal{L}(A) = \bigcup_{f \in F} L_{s,f}^{|Q|} = \mathcal{L}\left(\sum_{f \in F} R_{s,f}^{|Q|}\right).$$

*Proof.* By definition, every  $w \in \mathcal{L}(A)$  has a run that ends in some  $f \in F$ . Then, by definition,  $w \in L_{s,f}^{|Q|}$ .

It remains to show that  $\mathcal{L}(R_{i,j}^k) = L_{i,j}^k$ . This claim can be proven by induction over  $k$ . We begin with the inclusion of  $\mathcal{L}(R_{i,j}^k)$  in  $L_{i,j}^k$ . For  $k = 0$ , we do a case distinction on  $i == j$  and unfold  $R$ . The resulting three cases ( $i == j \wedge w = \varepsilon$ ,  $i == j \wedge |w| = 1$ ,  $i <> j \wedge |w| = 1$ ) are easily closed.

The inductive step has two cases: A triple concatenation and a simple recursion. The second case is solved by the inductive hypothesis. In the first case, we split up the concatenation such that

$$w = w_1 \cdot w_2 \cdot w_3 \wedge w_1 \in \mathcal{L}(R_{i,k}^k) \wedge w_2 \in \mathcal{L}((R_{k,k}^k)^*) \wedge w_3 \in \mathcal{L}(R_{k,j}^k).$$

The induction hypothesis is applied to  $w_1$  and  $w_3$  to get  $w_1 \in L_{i,k}^k$  and  $w_3 \in L_{k,j}^k$ . We use a lemma by Coquand and Siles that splits  $w_2$  into a sequence of words from  $\mathcal{L}(R_{k,k}^k)$  to which we can apply the induction hypothesis. Two concatenation lemmas for  $L$  are used to merge the sequence of words proven to be in  $L_{k,k}^k$ ,  $w_1$  and  $w_3$ . This shows  $\mathcal{L}(R_{i,j}^k) \subseteq L_{i,j}^k$ .

Next, we show the inclusion of  $L_{i,j}^k$  in  $\mathcal{L}(R_{i,j}^k)$ , again by induction over  $k$ . The base case is solved by case distinction on  $i == j$ . The inductive step requires a **splitting lemma** for  $L$  which shows that every non-empty word in  $L_{i,j}^{k+1}$  is either in  $L_{i,j}^k$  or has a non-empty prefix in  $L_{i,k}^k$  and a corresponding suffix in  $L_{k,j}^{k+1}$ . In the first case, we can apply the induction hypothesis. In the second case, we use size induction on the word, apply the original induction hypothesis to the prefix and the size induction hypothesis to the suffix. We use two concatenation lemmas for  $R$  to merge the sub-expression. This finishes the proof.  $\square$

Formalizing theorem 4.5.1 requires infrastructure to deal with *allbutlast*. Once this is in place, we can formalize the concatenation lemmas for  $R$  and  $L$ . These are required later to connect sub-results.

**Lemma**  $R\_catL$   $k$   $i$   $j$   $w_1$   $w_2$ :

$$\begin{aligned} w_1 \setminus \text{in } R^k i \quad (k\_ord \ k) &\rightarrow \\ w_2 \setminus \text{in } R^{k+1} (k\_ord \ k) \ j &\rightarrow \\ w_1 ++ w_2 \setminus \text{in } R^{k+1} i \ j. \end{aligned}$$

**Lemma**  $L\_catL\ k\ i\ j\ w1\ w2$ :  
 $w1 \setminus in\ L^k\ i\ (enum\_val\ (k\_ord\ k)) \rightarrow$   
 $w2 \setminus in\ L^{k.+1}\ (enum\_val\ (k\_ord\ k))\ j \rightarrow$   
 $w1++w2 \setminus in\ L^{k.+1}\ i\ j.$

**Lemma**  $L\_catL\ k\ i\ j\ w1\ w2$ :  
 $w1 \setminus in\ L^k\ i\ (enum\_val\ (k\_ord\ k)) \rightarrow$   
 $w2 \setminus in\ L^{k.+1}\ (enum\_val\ (k\_ord\ k))\ j \rightarrow$   
 $w1++w2 \setminus in\ L^{k.+1}\ i\ j.$

We also need the splitting lemma mentioned earlier. This is quite intricate. We could split right after the first character and thereby simplify the lemma. However, the current form has the advantage of requiring simple concatenation lemmas.

**Lemma**  $L\_split\ k'\ i\ j\ a\ w$ :  
 $let\ k := k\_ord\ k'\ in$   
 $(a::w) \setminus in\ L^{k'+1}\ i\ j \rightarrow$   
 $(a::w) \setminus in\ L^{k'}\ i\ j\ /\$   
**exists**  $w1, exists\ w2,$   
 $a::w = w1 ++ w2 /\$   
 $w1 != [] /\$   
 $w1 \setminus in\ L^{k'}\ i\ (enum\_val\ k) /\$   
 $w2 \setminus in\ L^{k'+1}\ (enum\_val\ k)\ j.$

These lemmas suffice to show the claim of theorem 4.5.1.

**Lemma**  $R\_L\_star\ k\ vv$ :  
 $(forall\ (i\ j : 'L\_#\ |A|)\ (w : word\ char),$   
 $w \setminus in\ R^k\ i\ j \rightarrow w \setminus in\ L^k\ (enum\_val\ i)\ (enum\_val\ j)) \rightarrow$   
 $all\ [predD\ mem\_reg\ (R^k\ (k\_ord\ k)\ (k\_ord\ k))\ \&$   
 $eps\ (symbol:=char)]\ vv \rightarrow$   
 $flatten\ vv \setminus in\ L^{k.+1}\ (enum\_val\ (k\_ord\ k))\ (enum\_val\ (k\_ord\ k)).$

**Lemma**  $R\_L\ k\ i\ j\ w$ :  $w \setminus in\ R^k\ i\ j \rightarrow w \setminus in\ L^k\ (enum\_val\ i)\ (enum\_val\ j).$

**Lemma**  $L\_R\_1\ k\ i\ j\ w$ :  
 $(forall\ (i\ j : 'L\_#\ |A|)\ (w : automata.word\ char),$   
 $w \setminus in\ L^k\ (enum\_val\ i)\ (enum\_val\ j) \rightarrow w \setminus in\ R^k\ i\ j) \rightarrow$   
 $w \setminus in\ L^{k.+1}\ (enum\_val\ i)\ (enum\_val\ j) \rightarrow w \setminus in\ R^{k.+1}\ i\ j.$

**Lemma**  $L\_R\ k\ i\ j\ w$ :  $w \setminus in\ L^k\ (enum\_val\ i)\ (enum\_val\ j) \rightarrow w \setminus in\ R^k\ i\ j.$

Fix this  
mess