1. DFA union proof

PROOF

Let M_1 recognize A_1, where $M_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$, and
M_2 recognize A_2, where $M_2 = (Q_2, \Sigma, \delta_2, q_2, F_2)$.

Construct M to recognize $A_1 \cup A_2$, where $M = (Q, \Sigma, \delta, q_0, F)$.

1. $Q = \{(r_1, r_2) | \; r_1 \in Q_1 \text{ and } r_2 \in Q_2\}$.
This set is the ***Cartesian product*** of sets Q_1 and Q_2 and is written $Q_1 \times Q_2$. It is the set of all pairs of states, the first from Q_1 and the second from Q_2.

2. Σ, the alphabet, is the same as in M_1 and M_2. In this theorem and in all subsequent similar theorems, we assume for simplicity that both M_1 and M_2 have the same input alphabet Σ. The theorem remains true if they have different alphabets, Σ_1 and Σ_2. We would then modify the proof to let $\Sigma = \Sigma_1 \cup \Sigma_2$.

3. δ, the transition function, is defined as follows. For each $(r_1, r_2) \in Q$ and each $a \in \Sigma$, let

$$\delta\big((r_1, r_2), a\big) = \big(\delta_1(r_1, a), \delta_2(r_2, a)\big).$$

Hence δ gets a state of M (which actually is a pair of states from M_1 and M_2), together with an input symbol, and returns M's next state.

4. q_0 is the pair (q_1, q_2).

5. F is the set of pairs in which either member is an accept state of M_1 or M_2. We can write it as

$$F = \{(r_1, r_2) | \; r_1 \in F_1 \text{ or } r_2 \in F_2\}.$$

This expression is the same as $F = (F_1 \times Q_2) \cup (Q_1 \times F_2)$. (Note that it is *not* the same as $F = F_1 \times F_2$. What would that give us instead?[3])

2. DFA to NDFA proof

PROOF Let $N = (Q, \Sigma, \delta, q_0, F)$ be the NFA recognizing some language A. We construct a DFA $M = (Q', \Sigma, \delta', q_0', F')$ recognizing A. Before doing the full construction, let's first consider the easier case wherein N has no ε arrows. Later we take the ε arrows into account.

1. $Q' = \mathcal{P}(Q)$.
   Every state of M is a set of states of N. Recall that $\mathcal{P}(Q)$ is the set of subsets of Q.
2. For $R \in Q'$ and $a \in \Sigma$ let $\delta'(R, a) = \{q \in Q | \; q \in \delta(r, a) \text{ for some } r \in R\}$.
   If R is a state of M, it is also a set of states of N. When M reads a symbol a in state R, it shows where a takes each state in R. Because each state may go to a set of states, we take the union of all these sets. Another way to write this expression is

   $$\delta'(R, a) = \bigcup_{r \in R} \delta(r, a).$$ [4]

3. $q_0' = \{q_0\}$.
   M starts in the state corresponding to the collection containing just the start state of N.
4. $F' = \{R \in Q' | \; R \text{ contains an accept state of } N\}$.
   The machine M accepts if one of the possible states that N could be in at this point is an accept state.

Now we need to consider the ε arrows. To do so we set up an extra bit of notation. For any state R of M we define $E(R)$ to be the collection of states that can be reached from R by going only along ε arrows, including the members of R themselves. Formally, for $R \subseteq Q$ let

$$E(R) = \{q \mid q \text{ can be reached from } R \text{ by traveling along 0 or more } \varepsilon \text{ arrows}\}.$$

Then we modify the transition function of M to place additional fingers on all states that can be reached by going along ε arrows after every step. Replacing $\delta(r, a)$ by $E(\delta(r, a))$ achieves this effect. Thus

$$\delta'(R, a) = \{q \in Q \mid q \in E(\delta(r, a)) \text{ for some } r \in R\}.$$

Additionally we need to modify the start state of M to move the fingers initially to all possible states that can be reached from the start state of N along the ε arrows. Changing $q_0{}'$ to be $E(\{q_0\})$ achieves this effect. We have now completed the construction of the DFA M that simulates the NFA N.

The construction of M obviously works correctly. At every step in the computation of M on an input, it clearly enters a state that corresponds to the subset of states that N could be in at that point. Thus our proof is complete.

COROLLARY 1.40

A language is regular if and only if some nondeterministic finite automaton recognizes it.

One direction of the "if and only if" condition states that a language is regular if some NFA recognizes it. Theorem 1.39 shows that any NFA can be converted into an equivalent DFA. Consequently, if an NFA recognizes some language, so does some DFA, and hence the language is regular. The other direction of the "if and only if" condition states that a language is regular only if some NFA recognizes it. That is, if a language is regular, some NFA must be recognizing it. Obviously, this condition is true because a regular language has a DFA recognizing it and any DFA is also an NFA.

3. NDFA union closure proof

PROOF

Let $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ recognize A_1, and
$N_2 = (Q_2, \Sigma, \delta_2, q_2, F_2)$ recognize A_2.

Construct $N = (Q, \Sigma, \delta, q_0, F)$ to recognize $A_1 \cup A_2$.

1. $Q = \{q_0\} \cup Q_1 \cup Q_2$.
The states of N are all the states of N_1 and N_2, with the addition of a new start state q_0.
2. The state q_0 is the start state of N.
3. The accept states $F = F_1 \cup F_2$.
The accept states of N are all the accept states of N_1 and N_2. That way N accepts if either N_1 accepts or N_2 accepts.
4. Define δ so that for any $q \in Q$ and any $a \in \Sigma_\varepsilon$,

$$\delta(q,a) = \begin{cases} \delta_1(q,a) & q \in Q_1 \\ \delta_2(q,a) & q \in Q_2 \\ \{q_1, q_2\} & q = q_0 \text{ and } a = \varepsilon \\ \emptyset & q = q_0 \text{ and } a \neq \varepsilon. \end{cases}$$

4. NDFA concatenation closure proof

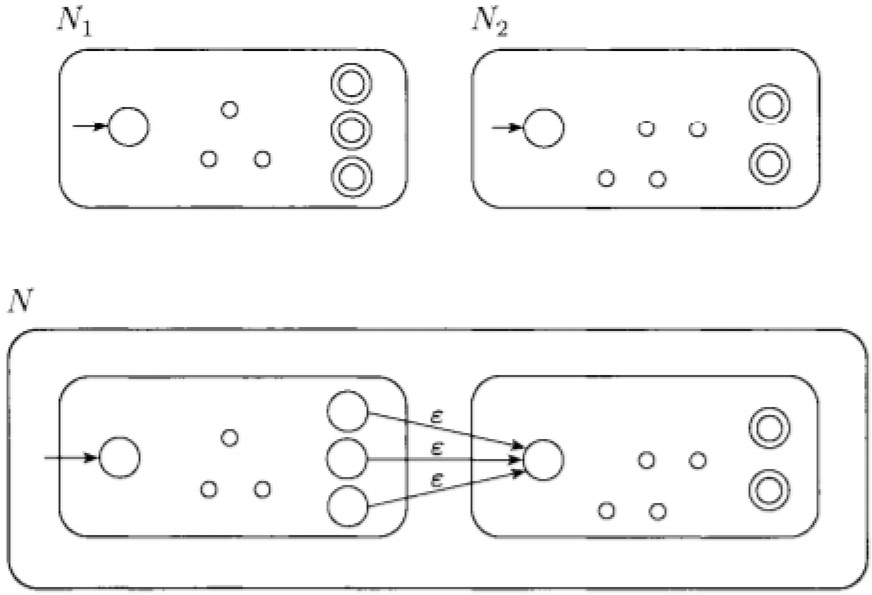


FIGURE 1.48
Construction of N to recognize $A_1 \circ A_2$

PROOF

Let $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ recognize A_1, and
$N_2 = (Q_2, \Sigma, \delta_2, q_2, F_2)$ recognize A_2.

Construct $N = (Q, \Sigma, \delta, q_1, F_2)$ to recognize $A_1 \circ A_2$.

1. $Q = Q_1 \cup Q_2$.
   The states of N are all the states of N_1 and N_2.
2. The state q_1 is the same as the start state of N_1.
3. The accept states F_2 are the same as the accept states of N_2.
4. Define δ so that for any $q \in Q$ and any $a \in \Sigma_\varepsilon$,

$$\delta(q, a) = \begin{cases} \delta_1(q, a) & q \in Q_1 \text{ and } q \notin F_1 \\ \delta_1(q, a) & q \in F_1 \text{ and } a \neq \varepsilon \\ \delta_1(q, a) \cup \{q_2\} & q \in F_1 \text{ and } a = \varepsilon \\ \delta_2(q, a) & q \in Q_2. \end{cases}$$

5. NDFA star closure proof

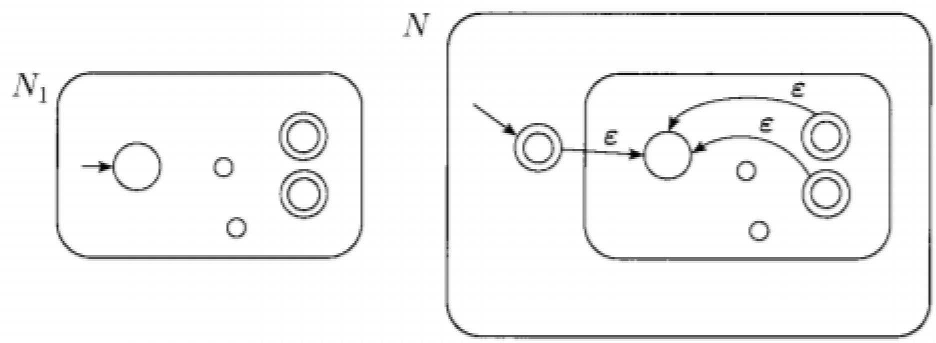


FIGURE 1.50
Construction of N to recognize A^*

PROOF Let $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ recognize A_1.
Construct $N = (Q, \Sigma, \delta, q_0, F)$ to recognize A_1^*.

1. $Q = \{q_0\} \cup Q_1$.
   The states of N are the states of N_1 plus a new start state.
2. The state q_0 is the new start state.
3. $F = \{q_0\} \cup F_1$.
   The accept states are the old accept states plus the new start state.

4. Define δ so that for any $q \in Q$ and any $a \in \Sigma_\varepsilon$,

$$\delta(q,a) = \begin{cases} \delta_1(q,a) & q \in Q_1 \text{ and } q \notin F_1 \\ \delta_1(q,a) & q \in F_1 \text{ and } a \neq \varepsilon \\ \delta_1(q,a) \cup \{q_1\} & q \in F_1 \text{ and } a = \varepsilon \\ \{q_1\} & q = q_0 \text{ and } a = \varepsilon \\ \emptyset & q = q_0 \text{ and } a \neq \varepsilon. \end{cases}$$

6. Pumping lemma for regular language

Pumping lemma If A is a regular language, then there is a number p (the pumping length) where, if s is any string in A of length at least p, then s may be divided into three pieces, $s = xyz$, satisfying the following conditions:

1. for each $i \geq 0$, $xy^iz \in A$,
2. $|y| > 0$, and
3. $|xy| \leq p$.

Recall the notation where $|s|$ represents the length of string s, y^i means that i copies of y are concatenated together, and y^0 equals ε.

When s is divided into xyz, either x or z may be ε, but condition 2 says that $y \neq \varepsilon$. Observe that without condition 2 the theorem would be trivially true. Condition 3 states that the pieces x and y together have length at most p. It is an extra technical condition that we occasionally find useful when proving certain languages to be nonregular. See Example 1.74 for an application of condition 3.

PROOF Let $M = (Q, \Sigma, \delta, q_1, F)$ be a DFA recognizing A and p be the number of states of M.

Let $s = s_1 s_2 \cdots s_n$ be a string in A of length n, where $n \geq p$. Let $r_1, \ldots, r_{n+1}$ be the sequence of states that M enters while processing s, so $r_{i+1} = \delta(r_i, s_i)$ for $1 \leq i \leq n$. This sequence has length $n + 1$, which is at least $p + 1$. Among the first $p + 1$ elements in the sequence, two must be the same state, by the pigeonhole principle. We call the first of these r_j and the second r_l. Because r_l occurs among the first $p+1$ places in a sequence starting at r_1, we have $l \leq p+1$. Now let $x = s_1 \cdots s_{j-1}$, $y = s_j \cdots s_{l-1}$, and $z = s_l \cdots s_n$.

As x takes M from r_1 to r_j, y takes M from r_j to r_j, and z takes M from r_j to r_{n+1}, which is an accept state, M must accept xy^iz for $i \geq 0$. We know that $j \neq l$, so $|y| > 0$; and $l \leq p+1$, so $|xy| \leq p$. Thus we have satisfied all conditions of the pumping lemma.

7. If a language is context-free, a PDA recognises it

PROOF We now give the formal details of the construction of the pushdown automaton $P = (Q, \Sigma, \Gamma, \delta, q_1, F)$. To make the construction clearer we use shorthand notation for the transition function. This notation provides a way to write an entire string on the stack in one step of the machine. We can simulate this action by introducing additional states to write the string one symbol at a time, as implemented in the following formal construction.

Let q and r be states of the PDA and let a be in Σ_ε and s be in Γ_ε. Say that we want the PDA to go from q to r when it reads a and pops s. Furthermore we want it to push the entire string $u = u_1 \cdots u_l$ on the stack at the same time. We can implement this action by introducing new states $q_1, \ \ldots, q_{l-1}$ and setting the transition function as follows

$$\begin{aligned}
&\delta(q,a,s) \text{ to contain } (q_1,u_l),\\
&\delta(q_1,\varepsilon,\varepsilon) = \{(q_2,u_{l-1})\},\\
&\delta(q_2,\varepsilon,\varepsilon) = \{(q_3,u_{l-2})\},\\
&\qquad\vdots\\
&\delta(q_{l-1},\varepsilon,\varepsilon) = \{(r,u_1)\}.
\end{aligned}$$

We use the notation $(r,u) \in \delta(q,a,s)$ to mean that when q is the state of the automaton, a is the next input symbol, and s is the symbol on the top of the stack, the PDA may read the a and pop the s, then push the string u onto the stack and go on to the state r. The following figure shows this implementation.

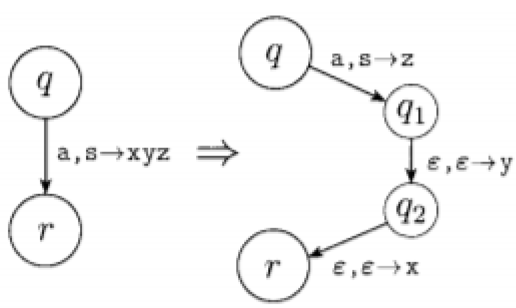


FIGURE 2.23
Implementing the shorthand $(r,xyz) \in \delta(q,a,s)$

The states of P are $Q = \{q_{\text{start}}, q_{\text{loop}}, q_{\text{accept}}\} \cup E$, where E is the set of states we need for implementing the shorthand just described. The start state is q_{start}. The only accept state is q_{accept}.

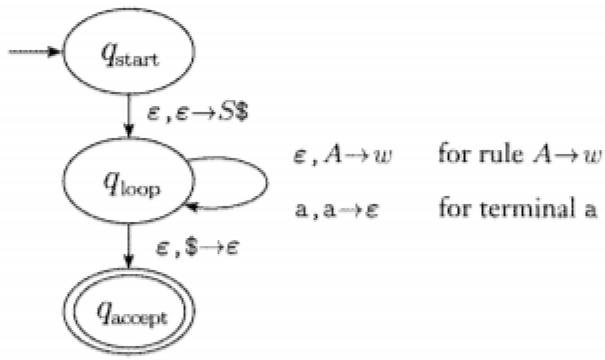
The transition function is defined as follows. We begin by initializing the stack to contain the symbols \$ and S, implementing step 1 in the informal description: $\delta(q_{\text{start}},\varepsilon,\varepsilon) = \{(q_{\text{loop}}, S\$)\}$. Then we put in transitions for the main loop of step 2.

First, we handle case (a) wherein the top of the stack contains a variable. Let $\delta(q_{\text{loop}},\varepsilon,A) = \{(q_{\text{loop}},w) |\text{ where } A \to w \text{ is a rule in } R\}$.

Second, we handle case (b) wherein the top of the stack contains a terminal. Let $\delta(q_{\text{loop}},a,a) = \{(q_{\text{loop}},\varepsilon)\}$.

Finally, we handle case (c) wherein the empty stack marker \$ is on the top of the stack. Let $\delta(q_{\text{loop}},\varepsilon,\$) = \{(q_{\text{accept}},\varepsilon)\}$.

The state diagram is shown in Figure 2.24



8. If a PDA recognises a language, it is context-free

PROOF Say that $P = (Q, \Sigma, \Gamma, \delta, q_0, \{q_{\text{accept}}\})$ and construct G. The variables of G are $\{A_{pq} | \, p, q \in Q\}$. The start variable is $A_{q_0, q_{\text{accept}}}$. Now we describe G's rules.

- For each $p, q, r, s \in Q$, $t \in \Gamma$, and $a, b \in \Sigma_\varepsilon$, if $\delta(p, a, \varepsilon)$ contains (r, t) and $\delta(s, b, t)$ contains (q, ε), put the rule $A_{pq} \to aA_{rs}b$ in G.
- For each $p, q, r \in Q$, put the rule $A_{pq} \to A_{pr}A_{rq}$ in G.
- Finally, for each $p \in Q$, put the rule $A_{pp} \to \varepsilon$ in G.