

## PAPER

# Compactness of Finite Union of Regular Patterns and Regular Patterns without Adjacent Variables

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**SUMMARY** A regular pattern is a string consisting of constant symbols and distinct variable symbols. The language  $L(p)$  of a regular pattern  $p$  is the set of all constant strings obtained by replacing all variable symbols in the regular pattern  $p$  with constant strings.  $\mathcal{RP}^k$  denotes the class of all sets consisting at most  $k$  ( $k \geq 2$ ) regular patterns. For sets of regular patterns  $P$  and  $Q$  which are in the class  $\mathcal{RP}^k$ , we write  $P \sqsubseteq Q$  if for any regular pattern  $p \in P$  there exists a regular pattern  $q \in Q$  that is a generalization of  $p$ . In 1998 Sato et al.[1] showed that the finite set  $S_2(P)$  of symbol strings is a characteristic set of  $L(P) = \bigcup_{p \in P} L(p)$ , where  $S_2(P)$  is obtained from  $P \in \mathcal{RP}^k$  by substituting variables with symbol strings of at most length 2. Sato et al.[1] also showed that  $\mathcal{RP}^k$  has compactness with respect to containment, if the number of constant symbols is greater than or equal to  $2k - 1$ . In this paper, we check the results of Sato et al.[1] and correct the error of the proof of their theorem. Further, we consider the set  $\mathcal{RP}_{NAV}^k$  of all non-adjacent regular patterns, which are regular patterns without adjacent variables, and show that the set  $S_2(P)$  obtained from a set  $P$  in the class  $\mathcal{RP}_{NAV}^k$  of at most  $k$  ( $k \geq 1$ ) non-adjacent regular patterns is a characteristic set of  $L(P)$ . Further we show that  $\mathcal{RP}_{NAV}^k$  has compactness with respect to containment if the number of constant symbols is greater than or equal to  $k + 2$ . Thus we show that we can design an efficient learning algorithm of a finite union of pattern languages of non-adjacent regular patterns with the number of constant symbols which is smaller than the case of regular patterns.

**key words:** Regular Pattern Language, Compactness

## 1. Introduction

A pattern is a string consisting of constant symbols and variable symbols. For example, we consider constant symbols  $a, b, c$  and variable symbols  $x, y$ , then  $axbxcy$  is a pattern.  $\mathcal{P}$  denotes the set of all patterns. For a pattern  $p \in \mathcal{P}$ , the pattern language generated by  $p$ , denoted by  $L(p)$ , or simply called a pattern language, is the set of all strings obtained by replacing all variable symbols with constant symbol strings, where the same variable symbol is replaced by the same constant string. For example the pattern language  $L(axbxcy)$  generated by the above pattern  $axbxcy$  denotes  $\{aubucw \mid u \text{ and } w \text{ are constant strings that are not } \varepsilon\}$ . A pattern where each variable symbol appears at most once is called a *regular pattern*. For example, a pattern  $axbxcy$  is not a regular pattern, but a pattern  $axbzcxy$  with variable symbols  $x, y, z$  is a regular pattern.  $\mathcal{RP}$  denotes the set of

all regular patterns. If a pattern  $p \in \mathcal{P}$  is obtained from a pattern  $q \in \mathcal{P}$  by replacing variable symbols in  $q$  with patterns, we say that  $q$  is a *generalization* of  $p$  and denote this by  $p \preceq q$ . For example, a pattern  $q = axz$  is a generalization of a pattern  $p = axbxcy$ , because  $p$  is obtained from  $q$  by replacing the variable  $z$  in  $q$  with a pattern  $bxcy$ . So we write  $p \preceq q$ . For patterns  $p, q \in \mathcal{P}$ , it is obvious that  $p \preceq q$  implies  $L(p) \subseteq L(q)$ . But, the converse, that is, the statement that  $L(p) \subseteq L(q)$  implies  $p \preceq q$  does not always hold. With respect to this statement, Mukouchi[2] showed that if the number of constant symbols is greater than or equal to 3, for any regular pattern  $p, q \in \mathcal{RP}$ ,  $L(p) \subseteq L(q)$  implies  $p \preceq q$ .

We denote by  $\mathcal{RP}^+$  the class of all non-empty finite sets of regular patterns and by  $\mathcal{RP}^k$  the class of at most  $k$  ( $k \geq 2$ ) regular patterns. For a set of regular patterns  $P \in \mathcal{RP}^k$  we define  $L(P) = \bigcup_{p \in P} L(p)$  and consider the class  $\mathcal{RPL}^k$  of regular pattern languages of  $\mathcal{RP}^k$ , where  $\mathcal{RPL}^k = \{L(P) \mid P \in \mathcal{RP}^k\}$ . Let  $P, Q \in \mathcal{RP}^k$  and  $Q = \{q_1, \dots, q_k\}$ . We denote by  $P \sqsubseteq Q$  that for any regular pattern  $p \in P$  there exists a regular pattern  $q_i$  such that  $p \preceq q_i$  holds. From definition, it is obvious that  $P \sqsubseteq Q$  implies  $L(P) \subseteq L(Q)$ . Then Sato et al.[1] shows that if  $k \geq 3$  and the number of constant symbols is  $2k - 1$  then the finite set  $S_2(P)$  of constant symbols obtained from  $P \in \mathcal{RP}^k$  by substituting variable symbols with constant strings of at most 2 length is a characteristic set of  $L(P)$ , that is, for any regular pattern language  $L' \in \mathcal{RPL}^k$ ,  $S_2(P) \subseteq L'$  implies  $L(P) \subseteq L'$ . Thus they show that the following three statements: (i)  $S_2(P) \subseteq L(Q)$ , (ii)  $P \sqsubseteq Q$  and (iii)  $L(P) \subseteq L(Q)$  are equivalent. But the Lemma14 [1], which is used in this results, contains an error. In this paper we correct this lemma and give a correct proof showing the equivalence of the three statements shown in [1]. Sato et al.[1] shows that  $\mathcal{RP}^k$  has compactness with respect to containment if the number of constant symbols is greater than or equal to  $2k - 1$ . On the contrary to this result, we show that the set  $S_2(P)$  obtained from a set  $P$  in the class  $\mathcal{RP}_{NAV}^k$  of at most  $k$  ( $k \geq 1$ ) regular patterns having non-adjacent variables is a characteristic set of  $L(P)$ . Further, we show that if the number of constant symbols is greater than or equal to  $k + 2$  then  $\mathcal{RP}_{NAV}^k$  has compactness with respect to containment. In Table 1 we summarize the all results in this paper.

The results of this paper suggest efficient learning algorithms for the sets of regular patterns representing finite

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**Table 1** The conditions of the number of constant symbols with respect to the compactness of inclusion

$k$	2	$\geq 3$
$\mathcal{RP}^k$	$\geq 4$	$\geq 2k - 1$
$\mathcal{RP}_{NAV}^k$	$\geq k + 2$	

unions of languages and the sets of regular patterns having non-adjacent variables.

This paper is organized as follows. In Sect.2 as preparations, we give definitions of pattern languages, regular pattern languages and compactness, and then introduce the results of Sato et al.[1]. In Sect.3, we show that  $S_2(P)$  is a characteristic set of  $L(P)$  in  $\mathcal{RPL}^k$  and  $\mathcal{RP}^k$  has compactness with respect to containment. In Sect.4, we propose regular patterns having non-adjacent variables, show that  $S_2(P)$  obtained from a set  $P$  in  $\mathcal{RP}_{NAV}^k$  is a characteristic set of  $L(P)$ , and  $\mathcal{RP}_{NAV}^k$  has compactness with respect to containment.

## 2. Preliminaries

### 2.1 Basic definitions and notations

Let  $\Sigma$  be a non-empty finite set of constant symbols. Let  $X$  be an infinite set of variable symbols such that  $\Sigma \cap X = \emptyset$  holds. Then, a *string* on  $\Sigma \cup X$  is a sequence of symbols in  $\Sigma \cup X$ . Particularly, the string having no symbol is called the *empty string* and is denoted by  $\varepsilon$ . We denote by  $(\Sigma \cup X)^*$  the set of all strings on  $\Sigma \cup X$  and by  $(\Sigma \cup X)^+$  the set of all strings on  $\Sigma \cup X$  except  $\varepsilon$ , i.e.,  $(\Sigma \cup X)^+ = (\Sigma \cup X)^* \setminus \{\varepsilon\}$ .

A *pattern* on  $\Sigma \cup X$  is a string in  $(\Sigma \cup X)^*$ . Note that the empty string  $\varepsilon$  is a pattern on  $\Sigma \cup X$ . A pattern  $p$  is said to be *regular* if each variable symbol appears at most once in  $p$ . The length of  $p$ , denote by  $|p|$ , is the number of symbols in  $p$ . Note that  $|\varepsilon| = 0$  holds. The set of all patterns and regular patterns are denoted by  $\mathcal{P}$  and  $\mathcal{RP}$ , respectively. For a set  $S$ , we denote by  $\#S$  the number of elements in  $S$ . Let  $p, q$  be strings. If  $p$  and  $q$  are equal as strings, we denote it by  $p = q$ . We denote by  $p \cdot q$  the string obtained from  $p$  and  $q$  by concatenating  $q$  after  $p$ . Note that for a string  $p$  and the empty string  $\varepsilon$ ,  $p \cdot \varepsilon = \varepsilon \cdot p = p$ .

A substitution  $\theta$  is a mapping from  $(\Sigma \cup X)^*$  to  $(\Sigma \cup X)^*$  such that (1)  $\theta$  is a homomorphism with respect to string concatenation, i.e.,  $\theta(p \cdot q) = \theta(p) \cdot \theta(q)$  holds for patterns  $p$  and  $q$ , (2)  $\theta(\varepsilon) = \varepsilon$  holds, (3) for each constant symbol  $a \in \Sigma$ ,  $\theta(a) = a$  holds, and (4) for each variable symbol  $x \in X$ ,  $|\theta(x)| \geq 1$  holds. Let  $x_1, \dots, x_n$  are variable symbols and  $p_1, \dots, p_n$  non-empty patterns. The notation  $\{x_1 := p_1, \dots, x_n := p_n\}$  denotes a substitution that replaces each variable symbol  $x_i$  with a non-empty pattern  $p_i$  for  $i \in \{1, \dots, n\}$ . For a pattern  $p$  and a substitution  $\theta = \{x_1 := p_1, \dots, x_n := p_n\}$ , we denote by  $p\theta$  a new pattern obtained from  $p$  by replacing variable symbols  $x_1, \dots, x_n$  in  $p$  with patterns  $p_1, \dots, p_n$  according to  $\theta$ , respectively.

For a pattern  $p$  and  $q$ , the pattern  $q$  is a *generalization* of  $p$ , or  $p$  is an *instance* of  $q$ , denoted by  $p \preceq q$ , if there exists a substitution  $\theta$  such that  $p = q\theta$  holds. If  $p \preceq q$  and

$p \succeq q$  hold, we denote it by  $p \equiv q$ . The notation  $p \equiv q$  means that  $p$  and  $q$  are equal as strings except for variable symbols. For a pattern  $p$ , the *pattern language* of  $p$ , denoted by  $L(p)$ , is the set  $\{w \in \Sigma^* \mid w \preceq p\}$ . For patterns  $p$  and  $q$ , it is clear that  $L(p) = L(q)$  if  $p \equiv q$ , and  $L(p) \subseteq L(q)$  if  $p \preceq q$ . Note that  $L(\varepsilon) = \{\varepsilon\}$ . In particular, if  $p$  is a regular pattern, we say that  $L(p)$  is a *regular pattern language*. The set of all pattern languages and regular patterns languages are denoted by  $\mathcal{PL}$  and  $\mathcal{RPL}$ , respectively.

**Lemma 1** (Mukouchi[2]): Let  $p$  and  $q$  be regular patterns. Then  $p \preceq q$  if and only if  $L(p) \subseteq L(q)$ .

Next, we consider unions of pattern languages. The class of all non-empty finite subsets of  $\mathcal{P}$  is denoted by  $\mathcal{P}^+$ , i.e.,  $\mathcal{P}^+ = \{P \subseteq \mathcal{P} \mid 0 < \#P < \infty\}$ . For a positive integer  $k$  ( $k > 0$ ), the class of non-empty sets consisting of at most  $k$  patterns, i.e.,  $\mathcal{P}^k = \{P \subseteq \mathcal{P} \mid 0 < \#P \leq k\}$ . We denote by  $\mathcal{PL}^k$  the class of unions of at most  $k$  pattern languages, i.e.,  $\mathcal{PL}^k = \{L(P) \mid P \in \mathcal{P}^k\}$ , where  $L(P) = \bigcup_{p \in P} L(p)$ . In a similar way, we also define  $\mathcal{RP}^+$ ,  $\mathcal{RP}^k$  and  $\mathcal{RPL}^k$ . For  $P, Q$  in  $\mathcal{P}^+$ , the notation  $P \sqsubseteq Q$  means that for any  $p \in P$  there is a pattern  $q \in Q$  such that  $p \preceq q$  holds. It is clear that  $P \sqsubseteq Q$  implies  $L(P) \subseteq L(Q)$ . However, the converse is not valid in general.

### 2.2 Characteristic sets

**Definition 1:** Let  $C$  be a class of languages,  $L$  a language in  $C$  and  $S$  a non-empty finite subset of  $L$ . We say that  $S$  is a *characteristic set* of  $L$  within  $C$  if for any  $L' \in C$ ,  $S \subseteq L'$  implies  $L \subseteq L'$ .

Let  $n$  be a positive integer and  $p$  a regular pattern. We denote by  $S_n(p)$  the set of all strings in  $\Sigma^*$  obtained by replacing all variable symbols in  $p$  with strings in  $\Sigma^+$  of length at most  $n$ . Moreover, for a positive integer  $n$  and a set  $P \in \mathcal{RP}^+$ , let  $S_n(P) = \bigcup_{p \in P} S_n(p)$ . It is clear that  $S_n(P) \subseteq S_{n+1}(P) \subseteq L(P)$  for any positive integer  $n$ .

**Theorem 1** (Sato et al.[1]): Let  $k$  be a positive integer and  $P \in \mathcal{RP}^k$ . Then, there exists a positive integer  $n$  such that  $S_n(P)$  is a characteristic set of  $L(P)$  within  $\mathcal{RPL}^k$ .

Sato et al.[1] showed that 2 is sufficient for the number  $n$  in the theorem above, under the assumption that the number of constants is not less than  $2k - 1$ . Hence, in this paper, we consider a characteristic set  $S_2(P)$  of  $L(P)$  within  $\mathcal{RPL}^k$ .

**Theorem 2** (Sato et al.[1]): Let  $p, q, p_1, p_2, q_1, q_2, q_3$  be regular patterns and  $x$  a variable symbol with  $p = p_1xp_2$  and  $q = q_1q_2q_3$ . Then  $p \preceq q$  if the following three conditions are holds:

- (i)  $p_1 \preceq q_1q_2$ , (ii)  $p_2 \preceq q_2q_3$ ,
- (iii)  $q_2$  contains at least one variable symbol.

**Lemma 2** (Sato et al.[1]): Suppose  $\#\Sigma \geq 3$ . Let  $p, p_1, p_2, q$  be regular patterns and  $x$  a variable symbol with  $p = p_1xp_2$ . Let  $a, b$  and  $c$  be mutually distinct constant symbols. If  $p_1ap_2 \preceq q$ ,  $p_1bp_2 \preceq q$  and  $p_1cp_2 \preceq q$ , then  $p \preceq q$  holds.

**Lemma 3** (Sato et al.[1]): Suppose  $\# \Sigma \geq 3$ . Let  $p_1, p_2, q_1, q_2$  be regular patterns and  $x$  a variable symbol. Let  $a, b$  be constant symbols with  $a \neq b$  and  $w$  a string in  $\Sigma^*$ . Let  $p = p_1 A w x w B p_2$  and  $q = q_1 A w B q_2$  be regular patterns that satisfy the following three conditions:

- (i)  $p_1 \preceq q_1$ ,
- (ii)  $p_2 \preceq q_2$ ,
- (iii)  $(A, B) \in \{(a, b), (b, a)\}$ .

If  $p\{x := a\} \preceq q$  and  $p\{x := b\} \preceq q$ , then we have  $p \not\preceq q$ .

From Lemma 2, the following lemma holds.

**Theorem 3** (Sato et al.[1]): Let  $\# \Sigma \geq 2k + 1$ ,  $P \in \mathcal{RP}^+$  and  $Q \in \mathcal{RP}^k$ . Then, the following (i), (ii) and (iii) are equivalent:

- (i)  $S_1(P) \subseteq L(Q)$ , (ii)  $P \sqsubseteq Q$ , (iii)  $L(P) \subseteq L(Q)$ .

Example 1 in [1] is given as a counter-example of Theorem 3.

From Theorem 3, we have the following corollary.

**Corollary 1** (Sato et al.[1]): Let  $\# \Sigma \geq 3$  and  $p, q$  regular patterns. Then, the following (i), (ii) and (iii) are equivalent:

- (i)  $S_1(p) \subseteq L(q)$ , (ii)  $p \preceq q$ , (iii)  $L(p) \subseteq L(q)$ .

### 2.3 Basic string equations

**Proposition 1:** Let  $w$  be a string of constant symbols in  $\Sigma$  and  $a, b$  constant symbols in  $\Sigma$ . If

$$wa = bw \quad (1)$$

holds, then  $a = b$  holds.

**Proof.** Since it is trivial we omit the proof.  $\square$

**Proposition 2:** Let  $w$  be a string of constant symbols in  $\Sigma$  and  $a, b, c, d$  constant symbols in  $\Sigma$ . If

$$wda = bcw \quad (2)$$

holds, then  $(b, c) \in \{(a, d), (d, a)\}$  holds.

**Proof.** We will prove this proposition by induction on  $|w|$ .

- $|w| = 0, 1, 2, 3$ : it is straightforward to observe that  $(b, c) \in \{(a, d), (d, a)\}$  holds.
- $|w| \geq 4$ : We assume that for any string  $u$  with  $0 \leq |u| < n$ , if  $uda = bcu$  holds,  $(b, c) \in \{(a, d), (d, a)\}$  holds. Since the string  $w$  has a prefix  $bc$  and a suffix  $da$ , there exists a string  $u$  with  $|u| = |w| - 4 < |w|$  such that  $w = bcuda$  holds. Since  $wda = bcw$ , we have  $bcudada = bcbcuda$ , and then  $uda = bcu$ . Thus, from the assumption, we get  $(b, c) \in \{(a, d), (d, a)\}$ .

From the above, we conclude that if  $wda = bcw$  holds, then  $(b, c) \in \{(a, d), (d, a)\}$  holds.  $\square$

The conclusion from Proposition 2 shows that  $(a, d) \in$

$\{(b, c), (c, b)\}$ . Therefore, if the equation  $daw = wbd$  holds, we arrive at the same conclusion.

**Proposition 3:** Let  $w, w'$  be strings of constant symbols in  $\Sigma$  and  $a, b, c, d$  constant symbols in  $\Sigma$ . If

$$wdaw' = w'bcw \quad (3)$$

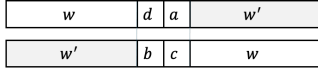
holds, then  $(b, c) \in \{(a, d), (d, a)\}$  holds.

**Proof.** We will prove this proposition by an induction on  $|w| + |w'|$ . Without loss of generality, we assume that  $|w| \geq |w'|$  because, if  $|w| > |w'|$ , we arrive at the same conclusion that  $(a, d) \in \{(b, c), (c, b)\}$  holds.

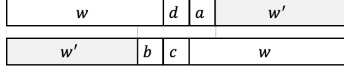
- $|w| \geq 0$  and  $|w'| = 0$ : Eq. (3) reduces to  $wda = bcw$ . By Proposition 2,  $(b, c) \in \{(a, d), (d, a)\}$  holds.

We assume that for constant strings  $u$  and  $u'$  with  $|u| + |u'| < |w| + |w'|$ , if  $udau' = u'bcu$  holds, then  $(b, c) \in \{(a, d), (d, a)\}$  holds. We divide the relations between  $|w|$  and  $|w'|$  into the following four cases:

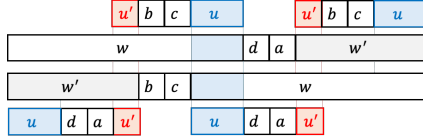
- $0 < |w'| \leq |w| \leq |w'| + 1$ : When either  $|w| = |w'|$  or  $|w| = |w'| + 1$ , Eq. (3) is illustrated in Figs. 1 and 2, respectively. If  $|w| = |w'|$ ,  $(b, c) = (d, a)$  holds. If  $|w| = |w'| + 1$ ,  $a = c$  and  $w = w'b = dw'$  hold. From Proposition 1, we deduce that  $b = d$ . Therefore,  $(b, c) \in \{(a, d), (d, a)\}$  holds.
- $|w'| + 2 \leq |w| \leq 2|w'| - 1$ : In Eq. 3, since  $|wdaw'| = |w'bcw| = |w| + |w'| + 2$ , a suffix of  $w$  overlaps with a prefix of  $w$ , as illustrated in Fig. 3. That is, there exists a constant string  $u$  of length  $2|w| - (|w| + |w'| + 2) = |w| - |w'| - 2$  such that  $u$  is both a prefix and a suffix of  $w$ . Since  $uda$  has a length of  $|w| - |w'|$ , it is also a prefix of  $w$ . Similarly,  $bcu$  is a suffix of  $w$ . Because  $|w| - (|uda| + |bcu|) = 2|w| - |w'| \geq 1$ , there exist a constant string  $u'$  of length  $2|w'| - |w|$  such that  $w = udavbcu$  holds. Since  $w'$  is a suffix of  $w$  and  $|u'bcu| = (2|w'| - |w|) + 2 + (|w| - |w'| - 2) = |w'|$ , we have  $w' = u'bcu$ . Similarly,  $w' = udau'$ . Thus, we derive the equation  $u'bcu = udau'$ . Since  $|u| = |w| - |w'| - 2 \leq |w| - 3 < |w|$  and  $|u'| = 2|w'| - |w| < |w|$ , i.e.,  $|u| + |u'| < |w| + |w'|$ , the induction hypothesis on  $|u| + |u'|$  implies that  $(b, c) \in \{(a, d), (d, a)\}$  holds.
- $2|w'| \leq |w| \leq 2|w'| + 3$ : When  $|w| = 2|w'|$ , it is straightforward to observe that  $w = w'w'$ . Therefore,  $w'da = bcw'$  holds, as illustrated in Fig. 4. From Proposition 2,  $(b, c) \in \{(a, d), (d, a)\}$  holds. When  $|w| = 2|w'| + i$  ( $i = 1, 2, 3$ ), Eq. (3) is depicted in Figs. 5, 6, and 7, respectively. When  $|w| = 2|w'| + 2$ , it is clear that  $(b, c) = (d, a)$ . When  $|w| = 2|w'| + 1$  and  $|w| = 2|w'| + 3$ , Proposition 1 implies that  $(b, c) = (a, d)$  holds.
- $2|w'| + 4 \leq |w|$ : Since the strings  $w'bc$  and  $adw'$  are a prefix and a suffix of  $w$ , respectively, and  $|w'bc| + |adw'| = 2|w'| + 4$ , there exists a string  $u$  with  $|u| \geq 0$  such that  $w = w'bcudaw'$  holds. From Eq. (3),  $w'bcudaw'daw' = w'bcw'bcudaw'$ , i.e.,  $udaw' = w'bcu$  holds, as illustrated in Fig. 8. Let



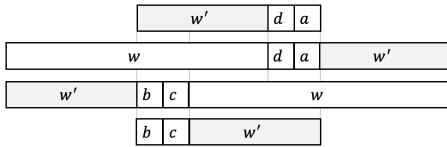
**Fig. 1** Case  $|w| = |w'|$  in Proposition 3



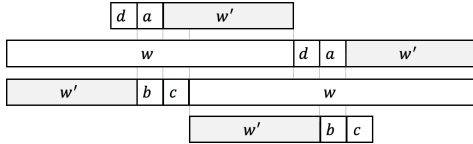
**Fig. 2** Case  $|w| = |w'| + 1$  in Proposition 3



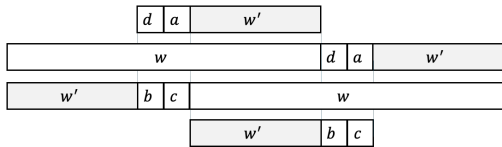
**Fig. 3** Case  $|w'| + 2 \leq |w| \leq 2|w'| - 1$  in Proposition 3



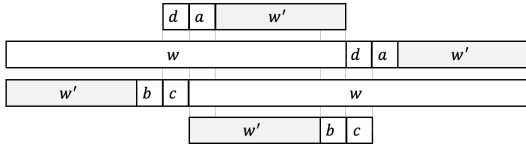
**Fig. 4** Case  $|w| = 2|w'|$  in Proposition 3



**Fig. 5** Case  $|w| = 2|w'| + 1$  in Proposition 3



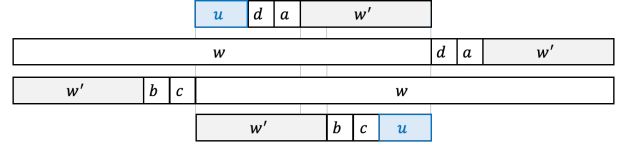
**Fig. 6** Case  $|w| = 2|w'| + 2$  in Proposition 3



**Fig. 7** Case  $|w| = 2|w'| + 3$  in Proposition 3

$u' = w'$ . Since  $|u| + |u'| = |w| - (2|w'| + 4) + |w'| < |w| + |w'|$ , the induction hypothesis on  $|u| + |u'|$  implies that  $(b, c) \in \{(a, d), (d, a)\}$  holds.

From the above, we conclude that if  $wdaw' = w'bcw$ , then  $(b, c) \in \{(a, d), (d, a)\}$  holds.  $\square$



**Fig. 8** Case  $2|w'| + 4 \leq |w|$  in Proposition 3

### 3. Compactness for Sets of Regular Patterns

#### 3.1 Compactness

In this section, we define the compactness of sets of regular patterns, formally. Then, if  $\sharp\Sigma \geq 2k - 1$  holds, we show that  $\mathcal{RP}^k$  has compactness with respect to the containment.

**Definition 2:** Let  $C$  be a subset of  $\mathcal{RP}^+$ . For any regular pattern  $p \in \mathcal{RP}$  and any set  $Q \in C$ , the set  $C$  said to have *compactness with respect to containment* if there exists a regular pattern  $q \in Q$  such that  $L(p) \subseteq L(q)$  holds if  $L(p) \subseteq L(Q)$  holds.

Let  $D \subset \mathcal{RP}$  with  $|D| = 2$  or  $3$ , and let  $p, q$  be regular patterns in  $\mathcal{RP}$ . In the following two subsections (Subsecs. 3.2 and 3.3), we provide the conditions on  $D$  under which the implication holds: if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$ .

#### 3.2 $|D| = 2$

**Lemma 4** (Sato et al.[1]): Let  $\Sigma$  be an alphabet with  $\sharp\Sigma \geq 3$  and let  $p, q$  be regular patterns on  $\Sigma$ . Let  $D$  be the following set of regular patterns on  $\Sigma \cup X$ , where  $y$  is a variable symbol that does not appear in  $p$  and  $q$ :

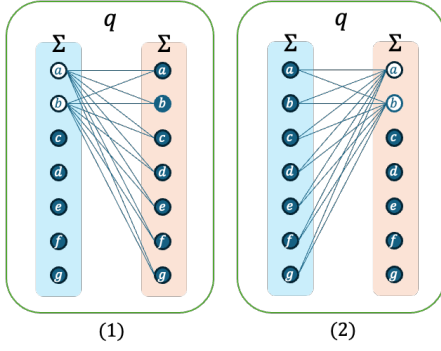
- (i)  $D = \{ay, by\}$  ( $a \neq b$ ),
- (ii)  $D = \{ya, yb\}$  ( $a \neq b$ ).

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$ .

**Proof.** It is obvious if no variable symbol appears in  $p$ . Therefore, let  $p = p_1xp_2$ , where  $p_i$  ( $i = 1, 2$ ) is an empty symbol or a regular pattern on  $\Sigma \cup X$ , and  $x$  is a variable symbol. We assume that  $p\{x := xy\} \not\preceq q$  in order to derive a contradiction. In the case of (ii), by reversing the strings  $p$  and  $q$ , we can prove that the assumption  $p\{x := xy\} \preceq q$  leads to a contradiction, as in the case of (i). Therefore, in the following, we consider only the case of (i):  $D = \{ay, by\}$  ( $a \neq b$ ).

Since  $p\{x := xy\} \not\preceq q$ ,  $p_1ayp_2 \preceq q$  and  $p_1byp_2 \preceq q$ , there exist regular patterns  $q_1, q_2$  on  $\Sigma$  such that  $q = q_1ay_1wb_2q_2$  or  $q = q_1by_1way_2q_2$  for some variable symbols  $y_1, y_2$  ( $y_1 \neq y_2$ ) and a constant string  $w$  ( $|w| \geq 0$ ) from Theorem 2. When  $q = q_1ay_1wb_2q_2$  holds, the following four conditions hold: For  $y'_1, y'_2 \in X$ ,

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq wby_2q_2$  or  $p_2 \preceq y'_1wb_2q_2$ ,



**Fig. 9** Let  $\Sigma = \{a, b, c, d, e, f, g\}$  and  $p, q \in \mathcal{RP}$ . We assume that the symbols in  $\Sigma$  are mutually distinct. These figures (1) and (2) express two cases  $D = \{ay, by\}$  and  $D = \{ya, yb\}$ , respectively. In these cases, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$  holds.

$$(2) p_1 \preceq q_1 a y_1 w, \quad (2') p_2 \preceq q_2 \text{ or } p_2 \preceq y'_2 q_2.$$

From (2), there exist regular patterns  $p'_1, p''_1$  such that  $p_1 = p'_1 p''_1$ ,  $p'_1 \preceq q_1 a$  and  $p''_1 \preceq y_1 w$  hold. Therefore, since  $p = p_1 x p_2 = p'_1 p''_1 x p_2$ , if  $p_2 \preceq w b y_2 q_2$  of (1') holds,  $p \preceq q_1 a p''_1 x w b y_2 q_2 \equiv q\{y_1 := p''_1 x\}$  holds. If  $p_2 \preceq y'_1 w b y_2 q_2$  of (1') holds,  $p \preceq q_1 a p''_1 x y'_1 w b y_2 q_2 = q\{y_1 := p''_1 x y'_1\}$  holds. Thus,  $p\{x := xy\} \preceq q\{y_1 := p''_1 x y'_1\}$  holds. Hence,  $p \preceq q$  holds. This contradicts the assumption. Therefore, we conclude that if  $p\{x := r\} \preceq q$  for all  $r \in \{ay, by\}$  ( $a \neq b$ ), then  $p\{x := xy\} \preceq q$  holds.  $\square$

Let  $p, q$  be regular patterns in  $\mathcal{RP}$ . In this paper, the statement like Lemma 4 is illustrated by a bipartite graph  $(\Sigma, \Sigma, E)$  where  $E = \{(a, b) \in \Sigma \times \Sigma \mid p\{x := ab\} \preceq q\}$ . For example, the conditions (i) and (ii) in Lemma 4 are illustrated in (1) and (2) in Fig. 9, respectively.

### 3.3 $|D| = 3$

**Lemma 5:** Let  $\Sigma$  be an alphabet with  $\#\Sigma \geq 3$  and  $p, q$  regular patterns on  $\Sigma \cup X$ . Let  $D$  be the following set of regular patterns on  $\Sigma \cup X$ , where  $y$  is a variable symbol in  $X$  that does not appear in  $p$  and  $q$ :

$$D = \{ya, bc, dy\} \ (b \notin \{a, d\} \text{ and } c \notin \{a, d\}).$$

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$ :

**Proof.** If no variable symbol appears in  $p$ , the statement holds trivially. Thus, for a variable symbol  $x \in X$ , let  $p = p_1 x p_2$ , where each  $p_i$  ( $i = 1, 2$ ) is either an empty symbol or a regular pattern on  $\Sigma \cup X$ . We assume that  $p\{x := xy\} \not\preceq q$  in order to derive a contradiction.

Since  $p\{x := r\} \preceq q$  for all  $r \in D$ , there are three strings of length 2 in  $q$  corresponding to  $ya, bc, dy$ . Note that the three strings may appear with partial overlaps. The symbols in  $D$  correspond to either a variable or a constant symbol in  $q$ . Let  $y_1, y_2, y_3$  be variable symbols appearing in  $q$ . The strings  $ya$  and  $dy$  must correspond to the strings  $y_1 a$  and  $dy_2$  in  $q$ , respectively. There are three possible strings

in  $q$  that correspond to  $bc$  in  $p\{x := bc\}$ , as follows:

$$(a) \ bc, \quad (b) \ y_3 c, \quad (c) \ b y_3.$$

Suppose that there exists (b)  $y_3 c$  in  $q$  that corresponds to  $bc$  in  $p\{x := bc\}$ , i.e., there exist  $q_1$  and  $q_2$ , each of which is the empty string or a regular pattern on  $\Sigma \cup X$ , such that:

- (1)  $p_1 b c p_2 \preceq q_1 y_3 c q_2$ ,
- (2) either  $p_1 \preceq q_1$  or  $p_1 \preceq q_1 y'_3$  for some variable symbol  $y'_3 \in X$ , and
- (3)  $p_2 \preceq q_2$ .

In this case, it is straightforward to see that  $p\{x := yc\} = p_1 y c p_2 \preceq q_1 y_3 c q_2$  also holds. Thus, both  $p\{x := ya\} \preceq q$  and  $p\{x := yc\} \preceq q$  hold. Since  $c \neq a$ , by (ii) in Lemma 4,  $p\{x := xy\} \preceq q$  also holds. This contradicts the assumption. Similarly, the case (c) leads to a contradiction by (i) in Lemma 4. Therefore, in the following, we consider only case (a).

Since  $p\{x := xy\} \not\preceq q$  and the condition  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$  hold, the regular pattern  $q$  can be expressed in one of the following forms: Let  $y_1, y_2$  be distinct variable symbols in  $X$  and  $q_1, q_2, w, w'$  be either the empty string or a regular pattern on  $\Sigma \cup X$ .

- (a1)  $q = q_1 A w B w' C q_2$ , where  $\{A, B, C\} = \{y_1 a, bc, dy_2\}$ ,
- (a2)  $q = q_1 A w B q_2$ , where  $\{A, B\} = \{dy_1 a, bc\}$ ,
- (a3)  $q = q_1 A w B q_2$ , where  $\{A, B\} = \{y_1 a y_2, bc\}$  ( $a = d$ ).

First, we consider case (a1).

**Claim 1.**  $B \notin \{y_1 a, dy_2\}$ .

**Proof of Claim 1.** Suppose that  $(A, B, C) = (dy_2, y_1 a, bc)$ . The following conditions must be satisfied: For  $y'_1, y'_2 \in X$ ,

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq w y_1 a w' b c q_2$  or  $p_2 \preceq y'_2 w y_1 a w' b c q_2$ ,
- (2)  $p_1 \preceq q_1 d y_2 w$  or (2')  $p_2 \preceq w' b c q_2$ ,  
 $p_1 \preceq q_1 d y_2 w y'_1$ ,
- (3)  $p_1 \preceq q_1 d y_2 w y_1 a w'$ , (3')  $p_2 \preceq q_2$ .

When  $p_2 \preceq w y_1 a w' b c q_2$  in (1') holds, let  $q'_1 = q_1 d y_2$ ,  $q'_2 = w y_1 a w'$ ,  $q'_3 = b c q_2$ . Since  $p_1 \preceq q_1 d y_2 w y_1 a w'$  holds from (3), both  $p_1 \preceq q'_1 q'_2$  and  $p_2 \preceq q'_2 q'_3$  hold, and  $q'_2$  contains a variable symbol. When  $p_2 \preceq y'_2 w y_1 a w' b c q_2$  in (1') holds, let  $q'_1 = q_1 d$ ,  $q'_2 = y'_2 w y_1 a w'$ ,  $q'_3 = b c q_2$ . Since  $p_1 \preceq q_1 d y_2 w y_1 a w'$  holds from (3), both  $p_1 \preceq q'_1 q'_2$  and  $p_2 \preceq q'_2 q'_3$  hold, and  $q'_2$  contains a variable symbol. In both cases, by Theorem 2,  $p \preceq q$  holds. This contradicts the assumption that  $p\{x := xy\} \not\preceq q$ .

Similarly, we can show that any case where  $(A, B, C) = (y_1 a, dy_2, bc)$ ,  $(bc, y_1 a, dy_2)$ , or  $(bc, dy_2, y_1 a)$  also contradicts the assumption. Therefore, we have  $B \notin \{y_1 a, dy_2\}$ . (*End of Proof of Claim*)

**Claim 2.**  $(A, B, C) = (y_1 a, bc, dy_2)$ .

**Proof of Claim 2.** From Claim 1, we have  $B = bc$ . Suppose that  $(A, B, C) = (dy_2, bc, y_1 a)$ , i.e.,  $q = q_1 d y_2 w b c w' y_1 a q_2$  holds. Then, the following conditions must be satisfied: For

$y'_1, y'_2 \in X$ ,

$$\begin{aligned}
 (1) \ p_1 &\preceq q_1, & (1') \ p_2 &\preceq wbcw'y_1aq_2 \text{ or} \\
 & & & p_2 \preceq y'_2wbcw'y_1aq_2, \\
 (2) \ p_1 &\preceq q_1dy_2w, & (2') \ p_2 &\preceq w'y_1aq_2, \\
 (3) \ p_1 &\preceq q_1dy_2wbcw' \text{ or} & (3') \ p_2 &\preceq q_2. \\
 & p_1 \preceq q_1dy_2wbcw'y'_1,
 \end{aligned}$$

From  $p_1 \preceq q_1dy_2w$  in (2),  $p_1$  is expressed as  $p'_1p''_1$  for some  $p'_1$  and  $p''_1$ , where  $p'_1 \preceq q_1d$  and  $p''_1 \preceq y_2w$ . When  $p_2 \preceq wbcw'y_1aq_2$  in (1'), we have  $p = p_1xp_2 = p'_1p''_1xp_2 \preceq q_1dp''_1xwbcw'y_1aq_2 = q\{y_2 := p''_1x\}$ . Thus,  $p\{x := xy\} \preceq q\{y_2 := p''_1xy\}$  holds. This contradicts the assumption that  $p\{x := xy\} \not\preceq q$ . When  $p_2 \preceq y'_2wbcw'y_1aq_2$  in (1'), we similarly have  $p = p_1xp_2 = p'_1p''_1xp_2 \preceq q_1dp''_1xy'_2wbcw'y_1aq_2 = q\{y_2 := p''_1xy'_2\}$ . Thus,  $p\{x := xy\} \preceq q\{y_2 := p''_1xy'_2\}$  holds. This also contradicts the assumption. Therefore, we conclude that  $(A, B, C) = (y_1a, bc, dy_2)$ . (End of Proof of Claim)

From Claim 2, The regular pattern  $q$  is expressed as  $q_1y_1awbcw'dy_2q_2$ , where  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ . If  $p\{x := xy\} \not\preceq q$  holds, the following conditions must be satisfied: For  $y'_1, y'_2 \in X$ ,

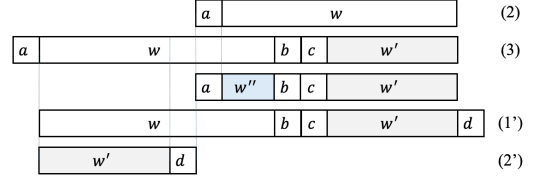
$$\begin{aligned}
 (1) \ p_1 &\preceq q_1 \text{ or } p_1 \preceq q_1y'_1, & (1') \ p_2 &\preceq wbcw'dy_2q_2, \\
 (2) \ p_1 &\preceq q_1y_1aw, & (2') \ p_2 &\preceq w'dy_2q_2, \\
 (3) \ p_1 &\preceq q_1y_1awbcw', & (3') \ p_2 &\preceq q_2 \text{ or } p_2 \preceq y'_2q_2.
 \end{aligned}$$

**Claim 3.**  $w$  and  $w'$  contain no variable symbols.

*Proof of Claim 3.* Let  $q'_1 = q_1y_1a$ ,  $q'_2 = wbcw'$ , and  $q'_3 = dy_2q_2$ . From (1') and (3),  $p_1 \preceq q'_1q'_2$  and  $p_2 \preceq q'_2q'_3$ . If  $q'_2$  contains a variable symbol, then by Theorem 2,  $p \preceq q$  holds. This contradicts the assumption. Therefore,  $w$  and  $w'$  contain no variable symbols. (End of Proof of Claim)

From Claim 3,  $w$  and  $w'$  are strings consisting of symbols in  $\Sigma$ . From (1') and (2'),  $wbcw'd$  and  $w'd$  are prefixes of  $p_2$ , and from (2) and (3),  $awbcw'$  and  $aw$  are suffixes of  $p_1$ . From these facts:

- $|w| = |w'|$ : Directly,  $b = d$  and  $a = c$  hold.
- $|w| = |w'| + 1$ : Also,  $a = b$  holds.
- $|w| = |w'| + 2$ : Since  $awbcw'$  and  $aw$  are suffixes of  $p_1$ , and  $|w| \geq 2$ ,  $a$  is a suffix of  $w$ . From (1') and (2'), we have  $w = w'da$ . Furthermore, since  $awbcw'$  and  $aw$  are suffixes of  $p_1$ , it follows that  $w = bcw'$ . Thus,  $w'da = bcw'$  holds. From Proposition 2,  $(b, c) \in \{(a, d), (d, a)\}$  holds. Therefore, these cases contradict the conditions  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ .
- $|w| \geq |w'| + 3$ : From (2) and (3), there exists a string  $w''$  of length  $|w| - |w'| - 2$  such that  $w = w''bcw'$  holds. Moreover, from (2) and (3), since  $|aw| < |wbcw'|$  and  $aw = aw''bcw'$ , it follows that  $aw''$  is a suffix of  $w$ . On the other hand, from (1') and (2'),  $w'd$  is a prefix of  $w$ . Since  $|w'd| + |aw''| = |w'| + |w''| + 2 = |w|$ , it follows that  $w = w'daw''$  (Fig. 10). Therefore,  $w'daw'' = w''bcw'$  holds. From Proposition 3,



**Fig. 10** Case (a1) in Lemma 5: Relation of strings  $w$ ,  $w'$ , and  $w''$

$(b, c) \in \{(a, d), (d, a)\}$  holds. This contradicts the conditions  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ .

From the above, we conclude that all cases of (a1) contradict the assertion that  $p\{x := xy\} \not\preceq q$  and the conditions  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ .

Second, for the case (a2), we suppose that  $(A, B) = (dy_1a, bc)$ , i.e.,  $q = q_1dy_1awbcq_2$  holds. Then, the following conditions must be satisfied for  $y'_1 \in X$ :

$$\begin{aligned}
 (1) \ p_1 &\preceq q_1, & (1') \ p_2 &\preceq awbcq_2 \text{ or} \\
 & & & p_2 \preceq y'_1awbcq_2, \\
 (2) \ p_1 &\preceq q_1d \text{ or} & (2') \ p_2 &\preceq wbcq_2, \\
 & p_1 \preceq q_1dy'_1, \\
 (3) \ p_1 &\preceq q_1dy_1aw, & (3') \ p_2 &\preceq q_2.
 \end{aligned}$$

From  $p_1 \preceq q_1dy_1aw$  in (3),  $p_1$  can be expressed as  $p'_1p''_1$  for some  $p'_1$  and  $p''_1$ , where  $p'_1 \preceq q_1d$  and  $p''_1 \preceq y_1aw$ . When  $p_2 \preceq awbcq_2$  in (1'), we have

$$p = p_1xp_2 = p'_1p''_1xp_2 \preceq q_1dp''_1xawbcq_2 = q\{y_1 := p''_1x\}.$$

Thus,  $p\{x := xy\} \preceq q\{y_1 := p''_1xy\}$  holds. This contradicts the assumption. When  $p_2 \preceq y'_1awbcq_2$  in (1'), we similarly have

$$p = p_1xp_2 = p'_1p''_1xp_2 \preceq q_1dp''_1xy'_1wbcq_2 = q\{y_1 := p''_1xy'_1\}.$$

Thus,  $p\{x := xy\} \preceq q\{y_1 := p''_1xy'_1\}$  holds. This contradicts the assumption that  $p\{x := xy\} \not\preceq q$ . Similarly, we can show that the case  $(A, B) = (bc, dy_1a)$  also contradicts the assumption.

Finally, we will prove that for the case (a3),  $p\{x := xy\} \preceq q$  holds. Suppose that  $(A, B) = (y_1ay_2, bc)$ , i.e.,  $q = q_1y_1ay_2wbcq_2$  holds. Then, the following conditions must be satisfied for  $y'_1 \in X$ :

$$\begin{aligned}
 (1) \ p_1 &\preceq q_1 \text{ or} & (1') \ p_2 &\preceq y_2wbcq_2, \\
 & p_1 \preceq q_1y'_1, \\
 (2) \ p_1 &\preceq q_1dy_1, & (2') \ p_2 &\preceq wbcq_2 \text{ or} \\
 & & & p_2 \preceq y'_2wbcq_2, \\
 (3) \ p_1 &\preceq q_1y_1ay_2w, & (3') \ p_2 &\preceq q_2.
 \end{aligned}$$

Let  $q'_1 = q_1y_1a$ ,  $q'_2 = y_2w$ ,  $q'_3 = bcq_2$ . From (3) and (1'), we have  $p_1 \preceq q'_1q'_2$  and  $p_2 \preceq q'_2q'_3$ , respectively. Since  $q'_2$  contains a variable symbol, Theorem 2 implies that  $p \preceq q$  holds. This contradicts the assumption. Similarly, we can show that the case  $(A, B) = (bc, y_1ay_2)$  also contradicts the

assumption.

From the above, we conclude that if  $p\{x := r\} \preceq q$  for all  $r = \{ya, bc, dy\}$  ( $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ ), then  $p\{x := xy\} \preceq q$  holds.  $\square$

The condition in Lemma 5 is illustrated in four cases (3)–(6) in Fig. 11.

**Lemma 6:** Let  $\Sigma$  be an alphabet with  $\#\Sigma \geq 3$  and let  $p, q$  be regular patterns on  $\Sigma \cup X$ . Let  $D$  be one of the following sets of regular patterns on  $\Sigma \cup X$ , where  $y$  is a variable symbol in  $X$  that does not appear in  $p$  and  $q$ .

- (i)  $D = \{ya, bc, dy\}$  ( $b \neq d$  and  $c \notin \{a, d\}$ ),
- (ii)  $D = \{ya, bc, dy\}$  ( $b \notin \{a, d\}$  and  $c \neq a$ ).

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , it follows that  $p\{x := xy\} \preceq q$ .

In (i), we note that if  $b = d$ , then, because  $p\{x := dy\} \preceq q$ ,  $p\{x := bc\} \preceq q$  is always satisfied. In this sense,  $D$  essentially consists of only two elements. To avoid this, we assume  $b \neq d$ . In (ii), for the same reason, we assume  $c \neq a$ .

**Proof.** It is obvious if no variable symbol appears in  $p$ . Therefore, let  $p = p_1xp_2$ , where  $p_i$  (for  $i = 1, 2$ ) is either the empty string or a regular pattern, and  $x$  is a variable symbol. We assume that  $p\{x := xy\} \not\preceq q$  in order to derive a contradiction. In the case of (ii), by reversing the strings  $p$  and  $q$ , we can prove that the assumption  $p\{x := xy\} \preceq q$  leads to a contradiction, as in the case of (i). Therefore, in the following, we consider only the case of (i):  $D = \{ya, bc, dy\}$  ( $b \neq d$  and  $c \notin \{a, d\}$ ).

The proof of this lemma is almost the same as the proof of Lemma 5. Since  $p\{x := r\} \preceq q$  for all  $r \in D$ , there are three strings of length 2 corresponding to  $ya, bc, dy$  in  $q$ . The symbols appearing in  $D$  correspond to either a variable or a constant symbol in  $q$ . Let  $y_1$  and  $y_2$  be variable symbols appearing in  $q$ . The strings  $ya$  and  $dy$  must correspond to the strings  $y_1a$  and  $dy_2$  in  $q$ , respectively. For the same reasons stated at the beginning of Lemma 5, the string  $bc$  corresponds to the string  $bc$  in  $q$  as well. Let  $A, B, C$  be regular patterns on  $\Sigma \cup X$ , where  $\{A, B, C\} = \{y_1a, ac, dy_2\}$ . Since  $p\{x := xy\} \not\preceq q$ ,  $q$  can be expressed in one of the following four forms:

Let  $y_1, y_2$  be distinct variable symbols in  $X$ , and  $q_1, q_2, w, w'$  either the empty string or a regular pattern on  $\Sigma \cup X$ . From the condition  $b \neq d$ , if  $b = a$ , it follows that  $a \neq d$ .

- (i1)  $q = q_1AwBw'Cq_2$ , where  $\{A, B, C\} = \{y_1a, bc, dy_2\}$ .
- (i2)  $q = q_1AwBq_2$ , where  $\{A, B\} = \{y_1ac, dy_2\}$  ( $b = a$ ).
- (i3)  $q = q_1AwBq_2$ , where  $\{A, B\} = \{y_1ay_2, bc\}$  ( $a = d$ ).
- (i4)  $q = q_1Aq_2$ , where  $A = dy_1ac$  ( $b = a$ ).

In these cases, just as in cases (a2) and (a3) in Lemma 5, cases (i3) and (i4) also lead to contradictions based on Theorem 2. In cases (i1) and (i2), similar to Lemma 5, it is shown that  $q = q_1y_1awacw'dy_2q_2$  and  $q = q_1y_1acwdy_2q_2$ , respectively, where  $w$  and  $w'$  contain no variable symbols.

Firstly, we will consider the case (i1) when  $b = a$ . Since

$p\{x := r\} \preceq q$  for all  $r \in \{ya, ac, dy\}$  and  $p\{x := xy\} \not\preceq q$ , the following conditions must be satisfied:

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq wacw'dy_2q_2$ ,
- (2)  $p_1 \preceq q_1y_1aw$ , (2')  $p_2 \preceq w'dy_2q_2$ ,
- (3)  $p_1 \preceq q_1y_1awacw'$ , (3')  $p_2 \preceq q_2$ .

From (1') and (2'),  $wacw'd$  and  $w'd$  are prefixes of  $p_2$ , and from (2) and (3),  $awacw'$  and  $aw$  are suffixes of  $p_1$ . From these facts:

- $|w| = |w'|$ :  $c = a$  holds.
- $|w| = |w'| + 1$ :  $w = w'd = cw'$  holds. Thus, from Proposition 1,  $c = d$  holds.
- $|w| = |w'| + 2$ :  $w = w'da = acw'$  holds. From Proposition 2,  $c \in \{a, d\}$  holds.
- $|w| \geq |w'| + 3$ : From (2) and (3), there exists a string  $w''$  of length  $|w| - |w'| - 2$  such that  $w = w''acw'$  holds. Moreover, from (2) and (3), since  $|aw| < |wacw'|$  and  $aw = aw''acw'$ , it follows that  $aw''$  is a suffix of  $w$ . On the other hand, from (1') and (2'),  $w'd$  is a prefix of  $w$ . Since  $|w'd| + |aw''| = |w'| + |w''| + 2 = |w|$ , we have  $w = w'daw''$ . Therefore,  $w'daw'' = w''acw'$  holds (Fig. 13). From Proposition 3, we have  $c \in \{a, d\}$ .
- $|w'| = |w| + 1$ : From (1') and (2'),  $c = d$  holds.
- $|w'| = |w| + 2$ : From (1') and (2'),  $d$  is a prefix of  $w'$ . Thus, from (2) and (3),  $w' = wac = daw$  holds. From Proposition 2,  $c \in \{a, d\}$  holds.
- $|w'| \geq |w| + 3$ : From (1') and (2'), there exists a string  $w''$  of length  $|w| - |w'| - 2$  such that  $w' = wacw''$  holds. Moreover, from (1') and (2'), since  $|w'd| < |wacw'|$  and  $w'd = wacw''d$ ,  $w'd$  is a prefix of  $w'$ . On the other hand, from (1') and (2'),  $aw'w$  is a suffix of  $w'$ . Since  $|w''d| + |aw| = |w'| + |w| + 2 = |w'|$ , we have  $w' = w''daw$ . Therefore,  $w''daw = wacw''$  holds. From Proposition 3, we have  $c \in \{a, d\}$ .

All the cases contradict the condition  $c \notin \{a, d\}$ . Therefore, if  $b \neq d$  and  $c \notin \{a, d\}$  are satisfied, the case (i1) is impossible.

Second, we will consider the case (i2). For this  $q = q_1y_1acwdy_2q_2$ , the following conditions must be satisfied:

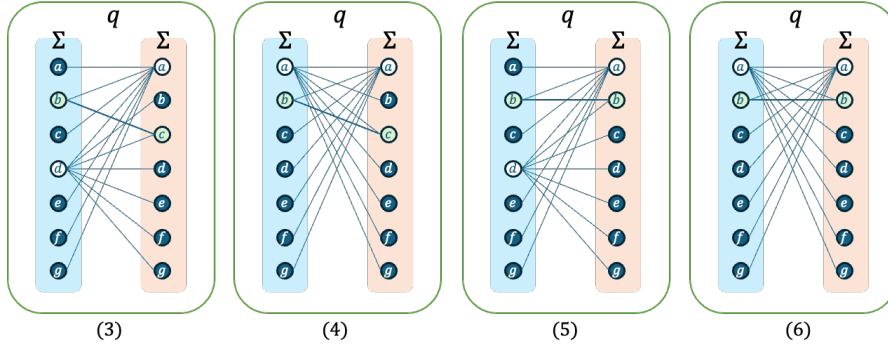
- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq cwdy_2q_2$ ,
- (2)  $p_1 \preceq q_1y_1$ , (2')  $p_2 \preceq wdy_2q_2$ ,
- (3)  $p_1 \preceq q_1y_1acwdy_3$ , (3')  $p_2 \preceq q_2$ .

- If  $|w| = 0$ , from (1') and (2'), the prefix of  $p_2$  is  $cd$  and  $d$ . Thus, we have  $c = d$ .
- If  $|w| = 1$ , from (1') and (2'), the prefix of  $p_2$  is  $cwd$  and  $wd$ . Thus, we have  $w = c = d$ .
- If  $|w| \geq 2$ , then from (1') and (2'),  $cwd$  and  $wd$  are prefixes of  $p_2$ . Thus, we have  $cw = wd$ . From Proposition 2,  $c = d$  holds.

All of these cases do not meet  $b \neq d$  and  $c \notin \{a, d\}$ . Therefore, if  $b \neq d$  and  $c \notin \{a, d\}$  are satisfied, the case (i2) is also impossible.

From the above, we conclude that if  $p\{x := r\} \preceq q$  for

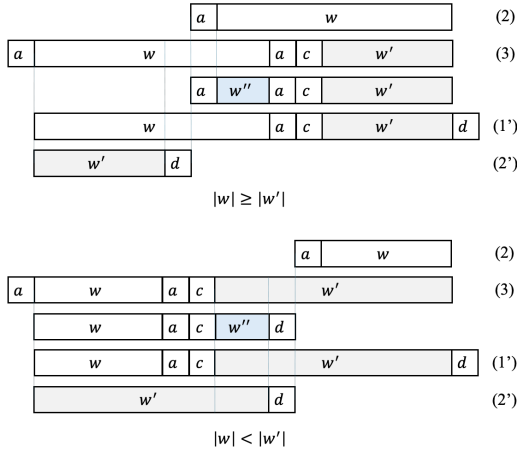




**Fig. 11** Let  $\Sigma = \{a, b, c, d, e, f, g\}$  and  $p, q \in \mathcal{RP}$ . We assume that the symbols in  $\Sigma$  are mutually distinct. The figure (3) expresses case  $D = \{ya, bc, dy\}$  in Lemma 5. The figures (4), (5), and (6) express three cases  $D = \{ya, bc, ay\}$ ,  $D = \{ya, bb, dy\}$ , and  $D = \{ya, bb, ay\}$ , respectively. In these cases, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$  holds.



**Fig. 12** Substitutions for  $p$  and each correspondence to  $q$ .



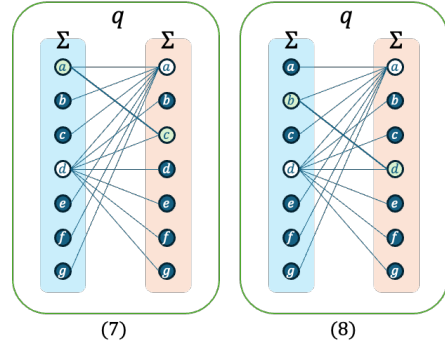
**Fig. 13** Case (i1) in Lemma 6: Relation of strings  $w$ ,  $w'$ , and  $w''$

all  $r \in \{ya, bc, dy\}$  ( $b \neq d$  and  $c \notin \{a, d\}$ ), then  $p\{x := xy\} \preceq q$  holds.  $\square$

The conditions (i) and (ii) in Lemma 6 are illustrated in the cases (7) and (8) in Fig. 14, which are additional cases to the cases (3)–(6) in Fig. 11.

When the conditions of both Lemmas 5 and 6 are not satisfied, counterexamples can be constructed as follows:

**Proposition 4:** Let  $\Sigma$  be an alphabet with  $\#\Sigma \geq 3$ . For a variable symbol  $y$ , let  $D = \{ya, bc, dy\}$  ( $b = a$  and  $c = d$ ).



**Fig. 14** Let  $\Sigma = \{a, b, c, d, e, f, g\}$  and  $p, q \in \mathcal{RP}$ . We assume that the symbols in  $\Sigma$  are mutually distinct. The figures (7) and (8) express two cases  $D = \{ya, ac, dy\}$  and  $D = \{ya, bd, dy\}$  in Lemma 6, respectively. The conditions in Lemma 6 also include four cases (3)–(6) in Fig. 11. In these cases, if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$  holds.

There exist regular patterns  $p$  and  $q$  on  $\Sigma \cup X$  such that  $p\{x := r\} \preceq q$  for any  $r \in D$ , but  $p\{x := xy\} \not\preceq q$ .

**Proof.** We provide an example to demonstrate this proposition. Let  $a, b, c, d, e$  be constant symbols in  $\Sigma$ , and let  $x, y, y_1, y_2$  be variable symbols in  $X$ . Define the regular patterns  $p$  and  $q$  as follows:

$$p = eabcbcadabcbcadaxbcadadabcbcadade,$$

$$q = y_1abcbcadabcbcadady_2 \quad (b = a \text{ and } c = d).$$



Obviously  $p\{x := xy\} \not\leq q$  holds. For these  $p$  and  $q$ , the condition for Proposition 4 holds as follows (see also Fig. 12):

$$\begin{aligned}
& p\{x := ya\} \\
&= (eabcbcadabcbcaday)abcbcadabcbcadade \\
&= q\{y_1 := eabcbcadabcbcaday, y_2 := e\} \\
&\leq q, \\
& p\{x := bc\} \\
&= (eabcbcad)abcbcadabcbcadad(abcbcadade) \\
&= q\{y_1 := eabcbcad, y_2 := abcbcadade\} \\
&\leq q, \\
& p\{x := dy\} \\
&= eabcbcadabcbcadad(ybcadadabcbcadade) \\
&= q\{y_1 := e, y_2 := ybcadadabcbcadade\} \\
&\leq q.
\end{aligned}$$

□

In Lemma 14 (ii) of [1], they stated that, when  $\#\Sigma \geq 3$ , for regular patterns  $p, q$ , if  $p\{x := r\} \leq q$  for any  $r \in D$ , then  $p\{x := xy\} \leq q$  holds, where  $D = \{a_1b_1, a_2b_2, a_3b_3\}$  ( $a_i \neq a_j$  and  $b_i \neq b_j$  for each  $i, j$  ( $i \neq j, 1 \leq i, j \leq 3$ )). Unfortunately, there exist the following counterexamples of Lemma 14 (ii) of [1].

**Example 1:** Assume that  $a_1 = b_2$  and  $a_3 = b_1$  hold.

- (1) Let  $p = ca_1x'a_3c$  and  $q = xa_1a_3y$ . It is clear that  $\{x := xy\} \not\leq q$  holds. However, we can see that  $p\{x' := a_1b_1\} \leq q$ ,  $p\{x' := a_2b_2\} \leq q$  and  $p\{x' := a_3b_3\} \leq q$  hold, since  $p\{x' := a_1b_1\} = ca_1a_1b_1a_3c = q\{x := ca_1, y := a_3c\}$ ,  $p\{x' := a_2b_2\} = ca_1a_2b_2a_3c = q\{x := ca_1a_2, y := c\}$  and  $p\{x' := a_3b_3\} = ca_1a_3b_3a_3c = q\{x := c, y := b_3a_3c\}$  hold.
- (2) Let  $p = cb_2a_1b_1b_2x'a_1b_1b_2a_3c$  and  $q = xb_2a_1b_1b_2a_3y$ . It is clear that  $p\{x := xy\} \not\leq q$  holds. However, we have  $p\{x' := a_1b_1\} \leq q$ ,  $p\{x' := a_2b_2\} \leq q$ , and  $p\{x' := a_3b_3\} \leq q$ , since  $p\{x' := a_1b_1\} = cb_2a_1b_1b_2a_1b_1a_1b_1b_2a_3c = q\{x := cb_2a_1b_1, y := b_2a_3c\}$ ,  $p\{x' := a_2b_2\} = cb_2a_1b_1b_2a_2b_2a_1b_1b_2a_3c = q\{x := cb_2a_1b_1b_2a_2, y := c\}$ , and  $p\{x' := a_3b_3\} = cb_2a_1b_1b_2a_3b_3a_1b_1b_2a_3c = q\{x := c, y := b_3a_1b_1b_2a_3c\}$  hold.

**Lemma 7:** Let  $D = \{a_1b_1, a_2b_2, a_3b_3\}$ , where  $a_i \neq a_j$  and  $b_i \neq b_j$  for each  $i, j$  ( $i \neq j, 1 \leq i, j \leq 3$ ),  $b_1 \neq a_2$  and  $b_2 \neq a_3$ . Let  $p, q$  be regular patterns such that a variable symbol  $y$  does not appear in  $p$ . Then, if  $p\{x := r\} \leq q$  for all  $r \in D$ , then  $p\{x := xy\} \leq q$ .

**Proof.** It is obvious if the variable symbol  $x$  does not appear in  $p$ . Therefore, let  $p = p_1xp_2$ , where  $p_1, p_2$  are regular patterns. We assume that  $p\{x := xy\} \not\leq q$  in order to derive the contradictions. Since  $p\{x := r\} \leq q$  holds for any  $r \in D$ , the regular pattern  $q$  contains  $a_1b_1, a_2b_2$  and  $a_3b_3$ . We remark that  $a_i$  and  $b_j$  may be the same for  $i, j$  ( $1 \leq i, j \leq 3$ ). Since  $p\{x := r\} \leq q$  for all  $r \in D$  holds, there exist the

following 10 cases (i)–(xv) for three regular patterns on  $\Sigma$  contained in  $q$  that correspond to three constant strings in  $D$ : Here,  $y_1, y_2, y_3$  are variable symbols.

- |                                |                                 |
|--------------------------------|---------------------------------|
| (i) $a_1b_1, a_2b_2, a_3b_3$   | (vi) $a_1b_1, y_1b_2, y_2b_3$   |
| (ii) $a_1b_1, a_2b_2, a_3y_1$  | (vii) $y_1b_1, y_2b_2, y_3b_3$  |
| (iii) $a_1b_1, a_2b_2, y_1b_3$ | (viii) $y_1b_1, y_2b_2, a_3y_3$ |
| (iv) $a_1b_1, y_1b_2, a_3y_2$  | (ix) $y_1b_1, a_2y_2, a_3y_3$   |
| (v) $a_1b_1, a_2y_1, a_3y_2$   | (x) $a_1y_1, a_2y_2, a_3y_3$    |

For the case (iv), we can prove that  $p\{x := xy\} \leq q$  holds from Lemma ???. For the cases (v)–(x), we can prove that  $p\{x := xy\} \leq q$  holds from Lemma ??. Hence, for the cases (i)–(iii), we will prove that  $p\{x := xy\} \leq q$  holds.

(I) Case of (i), that are the cases that  $q$  contains  $a_1b_1, a_2b_2$  and  $a_3b_3$ :

We consider the following four cases (I-1)–(I-4) of  $q$  for some regular patterns  $q_1, q_2$  and some constant strings  $w, w'$  ( $|w| \geq 0$  and  $|w'| \geq 0$ ):

- (I-1)  $q = q_1a_1b_1wa_2b_2w'a_3b_3q_2$ ,
- (I-2)  $q = q_1a_1b_1a_3b_3q_2$  ( $b_1 = a_2$  and  $a_3 = b_2$ ),
- (I-3)  $q = q_1a_1b_1b_2wa_3b_3q_2$  ( $b_1 = a_2$ ),
- (I-4)  $q = q_1a_1b_1wa_2b_2b_3q_2$  ( $b_2 = a_3$ ).

(I-1) Case of  $q = q_1a_1b_1wa_2b_2w'a_3b_3q_2$ : Assume that the following six conditions (1), (2), (3), (1'), (2'), (3') are hold.

- |                                   |                                    |
|-----------------------------------|------------------------------------|
| (1) $p_1 \leq q_1$                | (1') $p_2 \leq wa_2b_2w'a_3b_3q_2$ |
| (2) $p_1 \leq q_1a_1b_1w$         | (2') $p_2 \leq w'a_3b_3q_2$        |
| (3) $p_1 \leq q_1a_1b_1wa_2b_2w'$ | (3') $p_2 \leq q_2$                |

If  $|w| = |w'|$  holds,  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$  from the above conditions (2) and (3). Then,  $a_1b_1w = a_2b_2w'$ . Hence,  $a_1b_1 = a_2b_2$ . This contradicts the assumption of  $a_1 \neq a_2$  and  $b_1 \neq b_2$ .

If  $|w| + 1 = |w'|$  holds,  $wa_2b_2w'a_3b_3$  and  $w'a_3b_3$  are the prefix of  $p_2$ . If there exists a constant symbol  $w_1$  such that  $w'a_3b_3 = ww_1a_3b_3$ , then  $b_2$  and  $a_3$  are the same symbol from  $wa_2b_2 = ww_1a_3$ . From the above conditions (2) and (3),  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$ . Then, there exists a constant symbol  $w_2$  such that  $w' = w_2w$ , then  $b_2$  and  $a_1$  are the same symbol from  $b_2w_2w = a_1b_1w$ . Hence, from  $b_2 = a_3$ ,  $a_3$  and  $a_1$  are same symbol. This contradicts the assumption of  $a_3 \neq a_1$ .

If  $|w| + 1 < |w'|$ , from the above (2) and (3),  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$ . If there exists a constant string  $w_1$  ( $|w_1| \geq 2$ ) such that  $w' = w_1w$ , then  $a_1b_1$  is the suffix of  $w_1$ . From the above conditions (1') and (2'),  $wa_2b_2w'a_3b_3$  and  $w'a_3b_3$  are the prefix of  $p_2$ . If there exist constant strings  $w_1$  and  $w_2$  such that  $w' = w_1w = ww_2$  holds, then  $a_2b_2$  and  $a_3b_3$  are the suffix of  $w_1$  from  $|w_1| = |w_2|$  and  $|ww_2a_3b_3| = |wa_2b_2w_1|$ . Hence,  $a_1b_1 = a_3b_3$ . This contradicts the assumption of  $a_1 \neq a_3$  and  $b_1 \neq b_3$ .

If  $|w| > |w'|$ , we can prove the contradiction in a similar way as  $|w| \leq |w'|$ .

(I-2) Case of  $q = q_1a_1b_1a_3b_3q_2$  ( $b_1 = a_2$  and  $a_3 = b_2$ ): Assume that the following six conditions (1), (2), (3), (1'), (2'), (3') are hold.

- |                             |                              |
|-----------------------------|------------------------------|
| (1) $p_1 \preceq q_1$       | (1') $p_2 \preceq a_3b_3q_2$ |
| (2) $p_1 \preceq q_1a_1$    | (2') $p_2 \preceq b_3q_2$    |
| (3) $p_1 \preceq q_1a_1b_1$ | (3') $p_2 \preceq q_2$       |

From the above conditions (2) and (3), since  $a_1b_1$  and  $a_1$  are the suffix of  $p_1$ ,  $b_1 = a_1$  holds. From the assumption of  $b_1 = a_2$ ,  $a_1 = a_2$ . This contradicts the assumption of  $a_1 \neq a_2$ .

(I-3) Case of  $q = q_1a_1b_1b_2wa_3b_3q_2$  ( $b_1 = a_2$ ): Assume that the following six conditions (1),(2),(3),(1'),(2'),(3') are hold.

- |                                 |                                  |
|---------------------------------|----------------------------------|
| (1) $p_1 \preceq q_1$           | (1') $p_2 \preceq b_2wa_3b_3q_2$ |
| (2) $p_1 \preceq q_1a_1$        | (2') $p_2 \preceq wa_3b_3q_2$    |
| (3) $p_1 \preceq q_1a_1b_1b_2w$ | (3') $p_2 \preceq q_2$           |

If  $|w| = 0$ , i.e.,  $w$  is the empty string, then  $a_1$  and  $a_1b_1b_2$  are the suffix of  $p_1$  from the above conditions (2) and (3) and  $b_2a_3b_3$  and  $a_3b_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Since  $b_2 = a_1$  and  $b_2a_3 = a_3b_3$ ,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

If  $|w| \geq 1$ ,  $a_1$  and  $a_1b_1b_2w$  are the suffix of  $p_1$  from the above conditions (2) and (3). Hence, the last symbol of  $w$  is  $a_1$ . Moreover,  $b_2wa_3b_3$  and  $wa_3b_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Hence, the last symbol of  $w$  is  $a_3$ . Therefore,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

(I-4) Case of  $q = q_1a_1b_1wa_2b_2b_3q_2$  ( $b_2 = a_3$ ): Assume that the following six conditions (1),(2),(3),(1'),(2'),(3') are hold.

- |                                 |                                  |
|---------------------------------|----------------------------------|
| (1) $p_1 \preceq q_1$           | (1') $p_2 \preceq wa_2b_2b_3q_2$ |
| (2) $p_1 \preceq q_1a_1b_1w$    | (2') $p_2 \preceq b_3q_2$        |
| (3) $p_1 \preceq q_1a_1b_1wa_2$ | (3') $p_2 \preceq q_2$           |

If  $|w| = 0$ , i.e.,  $w$  is the empty string, then  $a_1b_1$  and  $a_1b_1a_2$  are the suffix of  $p_1$  from the above conditions (2) and (3) and  $a_2b_2b_3$  and  $b_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Since  $b_1 = a_2$  and  $a_2 = b_3$ , then  $b_1 = b_3$  holds. This contradicts the assumption of  $b_1 \neq b_3$ .

If  $|w| \geq 1$ , since  $a_1b_1w$  and  $a_1b_1wa_2$  are the suffix of  $p_1$  from the above conditions (2) and (3), the first symbol of  $w$  is  $b_1$ . Moreover, since  $wa_2b_2b_3$  and  $b_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'), the first symbol of  $w$  is  $b_3$ . Therefore,  $b_1 = b_3$  holds. This contradicts the assumption of  $b_1 \neq b_3$ .

(II) Case of (ii) that  $q$  contains  $a_1b_1, a_2b_2$  and  $a_3y$ : Let  $A, B, C$  be distinct regular patterns in  $\{a_1b_1, a_2b_2, a_3y\}$  such that  $q = q_1AwBw'Cq_2$ . Assume that the following six conditions (1),(2),(3),(1'),(2'),(3') are hold.

- |                            |                             |
|----------------------------|-----------------------------|
| (1) $p_1 \preceq q_1$      | (1') $p_2 \preceq wBw'Cq_2$ |
| (2) $p_1 \preceq q_1Aw$    | (2') $p_2 \preceq w'Cq_2$   |
| (3) $p_1 \preceq q_1AwBw'$ | (3') $p_2 \preceq q_2$      |

If  $|w| = |w'|$ , then  $Aw$  and  $AwBw'$  are the suffix of  $p_1$  from the above conditions (2) and (3). Hence,  $Aw = Bw'$  holds. This contradicts the assumption of  $A \neq B$ .

If  $|w| \neq |w'|$ , then we consider the two cases  $A = a_3y$  and  $B = a_3y$ : In the case of  $A = a_3y$ , without losing generality, we assume that  $B = a_1b_1$  and  $C = a_2b_2$ . Then, there exist regular patterns  $p'_1, p''_1$  such that  $p_1 = p'_1p''_1$ ,  $p'_1 \preceq q_1a_3$  and  $p''_1 \preceq yw$  from the above condition (2). Moreover, from the above condition (1'),  $p = p_1xp_2 = p'_1p''_1xp_2 \preceq q_1a_3p''_1xwa_1b_1w'a_2b_2q_2 = q_1a_3ywa_1b_1w'a_2b_2q_2\{y := p''_1x\} = q\{y := p''_1x\}$  holds. Hence,  $p \preceq q$  holds. This contradicts the assumption. In the case of  $B = a_3y$ , without losing generality, we assume that  $A = a_1b_1$  and  $C = a_2b_2$ . Let  $q'_1 = q_1a_1b_1$ ,  $q'_2 = wa_3yw'$ , and  $q'_3 = a_2b_2q_2$  such that  $q'_2$  contains at most one variable symbol. Then, the above conditions (3) and (1') are represented by  $p_1 \preceq q'_1q'_2$  and  $p_2 \preceq q'_2q'_3$ , respectively. From Theorem 2,  $p \preceq q$  holds. This contradicts the assumption.

Next, in the case of  $C = a_3y$ , we consider the following five cases (II-1)–(II-5):

- (II-1)  $q = q_1a_1b_1wa_2b_2w'a_3yq_2$ ,
- (II-2)  $q = q_1a_1b_1b_2yq_2$  ( $a_2 = b_1$  and  $a_3 = b_2$ ),
- (II-3)  $q = q_1a_1b_1b_2wa_3yq_2$  ( $b_1 = a_2$ ),
- (II-4)  $q = q_1a_3ywa_1b_1b_2q_2$  ( $b_1 = a_2$ ),
- (II-5)  $q = q_1a_1b_1ywa_2b_2q_2$  ( $b_1 = a_3$ ).

(II-1) Case of  $q = q_1a_1b_1wa_2b_2w'a_3yq_2$ : Assume that the following six conditions (1),(2),(3),(1'),(2'),(3') are hold.

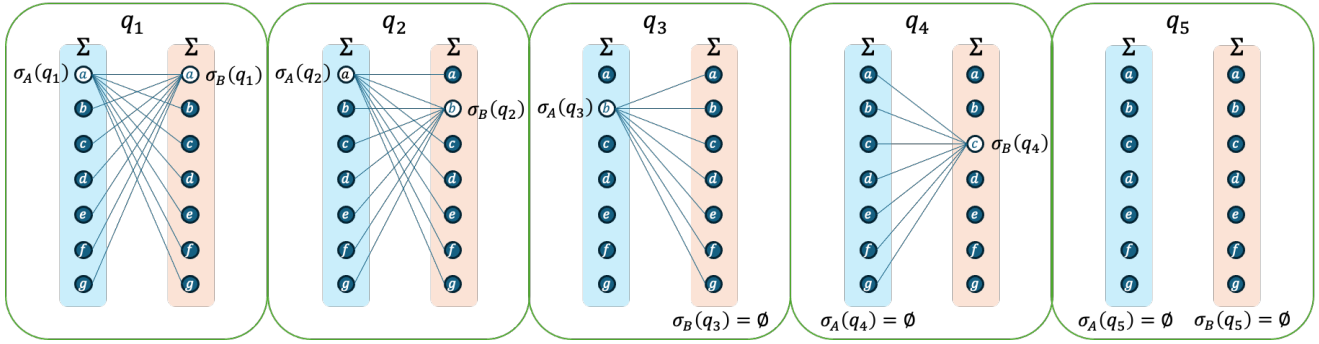
- |                                      |                                     |
|--------------------------------------|-------------------------------------|
| (1) $p_1 \preceq q_1$                | (1') $p_2 \preceq wa_2b_2w'a_3yq_2$ |
| (2) $p_1 \preceq q_1a_1b_1w$         | (2') $p_2 \preceq w'a_3yq_2$        |
| (3) $p_1 \preceq q_1a_1b_1wa_2b_2w'$ | (3') $p_2 \preceq q_2$              |

If  $|w| + 1 = |w'|$ , then  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$  from the above conditions (2) and (3). Since there exists a constant symbol  $w_1$  such that  $w' = w_1w$  and  $b_2w_1w = a_1b_1w$  hold, then  $b_2 = a_1$ . Moreover,  $wa_2b_2w'a_3$  and  $w'a_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Since there exists a constant symbol  $w_2$  such that  $w' = ww_2$  and  $wa_2b_2 = ww_2a_3$  hold, then  $b_2 = a_3$ . Thus,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

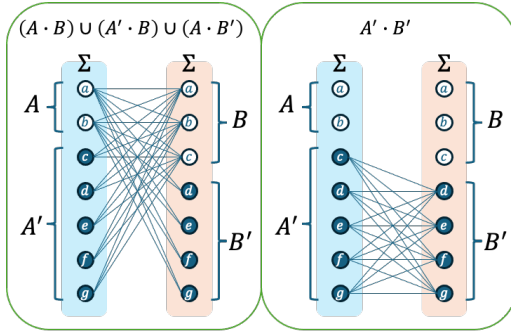
If  $|w| + 1 < |w'|$ , then  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$  from the above conditions (2) and (3). Hence,  $a_1b_1$  is the suffix of  $w$ . Moreover,  $wa_2b_2w'a_3$  and  $w'a_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Hence, there exist constant symbols  $w_1$  and  $w_2$  such that  $w' = w_1w$ ,  $w' = ww_2$  and  $|a_2b_2w_1| = |w_2a_3| + 1$  hold. Thus, since the second-to-last symbol of  $w_1$  is  $a_3$ ,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

If  $|w| = |w'| + 1$ , then  $wa_2b_2w'a_3$  and  $w'a_3$  are the prefix of  $p_2$  from the above conditions (1') and (2'). Since there exists a constant symbol  $w_1$  such that  $w = w'_1w_1$  and  $w'_1w_1 = w'a_3$  hold, then  $w_1 = a_3$  holds. Moreover, since  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are the suffix of  $p_1$  from the above conditions (2) and (3), there exists a constant symbol  $w_2$  such that  $w = w_2w'$  and  $|w_1a_2b_2w'| = |a_1b_1w_2w'|$  hold. Hence,  $w_1 = a_1$  holds. Thus,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .





**Fig. 15** Let  $\Sigma = \{a, b, c, d, e, f, g\}$ ,  $Q = \{q_1, q_2, q_3, q_4, q_5\}$ . We set  $A(q_1) = \{a\}$  and  $B(q_1) = \{a\}$ , and then  $\sigma_A(q_1) = a$  and  $\sigma_B(q_1) = a$ , and so on. For each regular pattern  $q_i$  ( $i = 1, \dots, 5$ ), we represent a string  $w \in \Sigma \cdot \Sigma$  satisfying that  $p\{x := w\} \preceq q_i$  by the edge between the left (first) and right (second) symbols of  $w$ . For example, the leftmost figure shows that  $p\{x := ay\} \preceq q_1$  and  $p\{x := ya\} \preceq q_1$  for a variable symbol  $y$ . We note that these figures may contain more edges than those illustrated. From these figures, we get  $\ell_A = 1$ ,  $\ell_B = 0$ , and  $Q^{(\emptyset, \emptyset)} = \{q_5\}$ ,  $Q^{(\emptyset, \cdot)} = \{q_4\}$ ,  $Q^{(\cdot, \emptyset)} = \{q_3\}$ ,  $Q^{(\cdot, \cdot)} = \{q_1, q_2\}$ .



**Fig. 16** In the left figure, we aggregate all of the edges appearing in Fig. 15. For all  $w = a'b' \in A' \cdot B'$ , there must be a regular pattern  $q_i$  ( $1 \leq i \leq 5$ ) that satisfies that  $p\{x := w\} \preceq q_i$ .

Then, let  $A' = \Sigma \setminus A$  and  $B' = \Sigma \setminus B$ . For any  $a, b \in \Sigma$ , we use the following notations:

$$\ell_A = \sum_{a \in A} (\#\sigma_A^{-1}(a) - 1), \quad \ell_B = \sum_{b \in B} (\#\sigma_B^{-1}(b) - 1).$$

These  $\ell_A$  and  $\ell_B$  represent the numbers of excess duplicate symbols in  $A$  and  $B$ . We easily see the following claim:

*Claim 1.*

- (i)  $\#A + \#A' = \#B + \#B' = k + 2$ ,
- (ii)  $\#A + \ell_A + \#\sigma_A^{-1}(\emptyset) = \#B + \ell_B + \#\sigma_B^{-1}(\emptyset) = k$ .

Since  $\#\Sigma = k + 2$  and  $\#Q = k$ ,  $\#A' \geq 2$  and  $\#B' \geq 2$  hold. We partition  $Q$  into the following subsets:

$$\begin{aligned} Q^{(\emptyset, \emptyset)} &= \sigma_A^{-1}(\emptyset) \cap \sigma_B^{-1}(\emptyset), \\ Q^{(\emptyset, \cdot)} &= \sigma_A^{-1}(\emptyset) \cap (Q \setminus \sigma_B^{-1}(\emptyset)), \\ Q^{(\cdot, \emptyset)} &= (Q \setminus \sigma_A^{-1}(\emptyset)) \cap \sigma_B^{-1}(\emptyset), \\ Q^{(\cdot, \cdot)} &= (Q \setminus \sigma_A^{-1}(\emptyset)) \cap (Q \setminus \sigma_B^{-1}(\emptyset)). \end{aligned}$$

From the condition of this lemma, for any string  $w \in \Sigma^*$  with  $|w| = 2$ , there exists a regular pattern  $q_w \in Q$  such that

$p\{x := w\} \preceq q_w$  holds. In particular, for  $w = a'b' \in A' \cdot B'$ , we must have  $q_w \in Q$  that satisfies that  $p\{x := w\} \preceq q_w$  (Fig. 16). It is easy to see that if  $w \in (A \cdot B) \cup (A' \cdot B) \cup (A \cdot B')$ , there exists a regular pattern  $q_w \in Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)} \cup Q^{(\cdot, \cdot)}$  such that  $p\{x := w\} \preceq q_w$  holds. The following two claims are proven from Lemmas 4 and 7:

*Claim 2.* If there exist  $q \in Q^{(\emptyset, \emptyset)}$  and distinct 5 strings  $w_i \in A' \cdot B'$  ( $1 \leq i \leq 5$ ) such that  $p\{x := w_i\} \preceq q$  holds ( $1 \leq i \leq 5$ ), then  $p\{x := xy\} \preceq q$  holds.

*Claim 3.* If there exist  $q \in Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)}$  and distinct 3 strings  $w_i \in A' \cdot B'$  ( $1 \leq i \leq 3$ ) such that  $p\{x := w_i\} \preceq q$  holds ( $1 \leq i \leq 3$ ), then  $p\{x := xy\} \preceq q$  holds.

If there exist a regular pattern  $q \in Q^{(\emptyset, \emptyset)} \cup Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)}$  and enough strings  $w \in A' \cdot B'$  such that either of the conditions of *Claims 2* and *3* is satisfied, this lemma holds. Then, we assume that it is not the case.

*Assumption 1.* There is no regular pattern  $q \in Q^{(\emptyset, \emptyset)}$  and 5 strings  $w \in A' \cdot B'$  such that the condition of *Claim 2* is satisfied and there is no regular pattern  $q \in Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)}$  and 3 strings  $w \in A' \cdot B'$  such that the condition of *Claim 3* is satisfied.

Let  $\mathcal{L}_1 = \#\{w \in A' \cdot B' \mid \exists q \in Q^{(\emptyset, \emptyset)} \cup Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)} \text{ s.t. } p\{x := w\} \preceq q\}$ . Under *Assumption 1*, each  $q \in Q^{(\emptyset, \emptyset)}$  has at most 4 strings  $w \in A' \cdot B'$  such that the condition of *Claim 2* is satisfied, and each  $q \in Q^{(\emptyset, \cdot)} \cup Q^{(\cdot, \emptyset)}$  has at most 2 strings  $w \in A' \cdot B'$  such that the condition of *Claim 3* is satisfied. Then, by *Claim 1*,

$$\begin{aligned} \mathcal{L}_1 &\leq 4\#Q^{(\emptyset, \emptyset)} + 2\#Q^{(\emptyset, \cdot)} + 2\#Q^{(\cdot, \emptyset)} \\ &= 2(\#Q^{(\emptyset, \emptyset)} + \#Q^{(\emptyset, \cdot)}) + 2(\#Q^{(\emptyset, \emptyset)} + \#Q^{(\cdot, \emptyset)}) \\ &= 2\#\sigma_A^{-1}(\emptyset) + 2\#\sigma_B^{-1}(\emptyset) \\ &= 2(k - \#A - \ell_A) + 2(k - \#B - \ell_B) \\ &= 2(\#A' - \ell_A - 2) + 2(\#B' - \ell_B - 2) \\ &= 2(\#A' + \#B') - 2(\ell_A + \ell_B) - 8. \end{aligned}$$

Next, we partition  $Q^{(\cdot, \cdot)}$  into the following two subsets:

$$\begin{aligned} Q_1^{(\cdot, \cdot)} &= \{q \in Q^{(\cdot, \cdot)} \mid \sigma_A(q) \in B \text{ or } \sigma_B(q) \in A\}, \\ Q_2^{(\cdot, \cdot)} &= \{q \in Q^{(\cdot, \cdot)} \mid \sigma_A(q) \in B' \text{ and } \sigma_B(q) \in A'\}. \end{aligned}$$

We show the next two claims on  $Q_1^{(\cdot, \cdot)}$  and  $Q_2^{(\cdot, \cdot)}$ :

*Claim 4.* If there exist  $q \in Q_1^{(\cdot, \cdot)}$  and a string  $a'b' \in A' \cdot B'$  such that  $p\{x := a'b'\} \preceq q$  holds, then  $p\{x := xy\} \preceq q$  holds.

*Proof of Claim 4.* Suppose that both  $\sigma_A(q) \in B$  and  $\sigma_B(q) \in A$  hold. Then, since  $a' \notin \{\sigma_A(q), \sigma_B(q)\} \subseteq A \cap B$  and  $b' \notin \{\sigma_A(q), \sigma_B(q)\} \subseteq A \cap B$ , from Lemma 5,  $p\{x := xy\} \preceq q$  holds. Suppose that  $\sigma_A(q) \in B$  and  $\sigma_B(q) \in A'$ . If  $a' = \sigma_B(q)$ , since  $a' \in B$ ,  $a' \neq b'$  holds. Since  $\sigma_A(q) \in B$ ,  $b' \neq \sigma_A(q)$  holds. That is,  $a' = \sigma_B(q)$ ,  $a' \neq \sigma_A(q)$ , and  $b' \notin \{\sigma_A(q), \sigma_B(q)\}$  hold. Therefore, from Lemma 6,  $p\{x := xy\} \preceq q$  holds. If  $a' \neq \sigma_B(q)$ , since  $b' \neq \sigma_A(q)$ , from Lemma 5,  $p\{x := xy\} \preceq q$  holds. Similarly, the case that  $\sigma_A(q) \in B'$  and  $\sigma_B(q) \in A$  is proven. (End of Proof of Claim)

*Claim 5.* If there exist  $q \in Q_2^{(\cdot, \cdot)}$  and a string  $a'b' \in A' \cdot B'$  such that  $(a' \neq \sigma_B(q) \text{ or } b' \neq \sigma_A(q))$  and  $p\{x := a'b'\} \preceq q$  hold, then  $p\{x := xy\} \preceq q$  holds.

*Proof of Claim 5.* When  $a' = b'$ , since  $\sigma_A(q) \neq \sigma_B(q)$ , from Lemma 5, this claim holds. Similarly, when  $a' \neq b'$ , from Lemma 5 or Lemma 6, this holds. (End of Proof of Claim)

If there exist a regular pattern  $q \in Q_2^{(\cdot, \cdot)}$  and a string  $w \in A' \cdot B'$  such that the condition of Claim 5 is satisfied, this lemma holds. Then, we also assume that it is not the case.

*Assumption 2.* There is no  $q \in Q_2^{(\cdot, \cdot)}$  and a string  $a'b' \in A' \cdot B'$  such that the condition of Claim 5 is satisfied.

Let  $\mathcal{L}_2 = \#\{a'b' \in A' \cdot B' \mid \exists q \in Q_2^{(\cdot, \cdot)} \text{ s.t. } p\{x := a'b'\} \preceq q\}$ . For any  $a'b' \in A' \cdot B'$  and  $q \in Q_2^{(\cdot, \cdot)}$ , if  $a' = \sigma_B(q)$  and  $b' = \sigma_A(q)$  hold (it is the condition of Proposition ??), by considering the duplicate numbers  $\ell_A$  and  $\ell_B$ , we have the following inequality:

$$\mathcal{L}_2 \leq \min\{\#A' + \ell_B, \#B' + \ell_A\}.$$

We show the last claim:

*Claim 6.*  $\#A' \times \#B' - \mathcal{L}_1 - \mathcal{L}_2 \geq 2$ .

*Proof of Claim 6.* First we prove the inequality when  $\#A \leq k-1$  and  $\#B \leq k-1$ , i.e.,  $\#A' \geq 3$  and  $\#B' \geq 3$  hold. Since  $\mathcal{L}_2 \leq \frac{1}{2}(\#A' + \#B' + \ell_A + \ell_B)$ ,

$$\begin{aligned} & \#A' \times \#B' - \mathcal{L}_1 - \mathcal{L}_2 \\ & \geq \#A' \times \#B' - (2(\#A' + \#B') - 2(\ell_A + \ell_B) - 8) \\ & \quad - \frac{1}{2}(\#A' + \#B' + \ell_A + \ell_B) \\ & = \#A' \times \#B' - \frac{5}{2}(\#A' + \#B') + \frac{3}{2}(\ell_A + \ell_B) + 8 \\ & = (\#A' - \frac{5}{2})(\#B' - \frac{5}{2}) + \frac{3}{2}(\ell_A + \ell_B) + \frac{7}{4} \geq 2. \end{aligned}$$

When  $\#A = k$  and  $\#B \leq k$ , i.e.,  $\#A' = 2$  and  $\#B' \geq 2$

hold, since  $\ell_A = 0$ ,  $\mathcal{L}_1 \leq 2\#B' - 2\ell_B - 4$  holds. Moreover,  $\mathcal{L}_2 \leq \min\{\#B', \ell_B + 2\}$  holds. From Claim 1,  $\ell_B + 2 = k - \#\sigma_B^{-1}(\emptyset) - \#B = \#B' - \#\sigma_B^{-1}(\emptyset)$  holds. Therefore,  $\mathcal{L}_2 \leq \ell_B + 2$  holds. Thus,

$$\begin{aligned} & \#A' \times \#B' - \mathcal{L}_1 - \mathcal{L}_2 \\ & \geq 2\#B' - (2\#B' - 2\ell_B - 4) - (\ell_B + 2) \\ & = \ell_B + 2 \geq 2. \end{aligned}$$

Similarly, the case when  $\#A \leq k$  and  $\#B = k$  is proven. (End of Proof of Claim)

Under Assumptions 1 and 2, from Claim 6, there exist at least two  $w \in A' \cdot B'$  and a regular pattern  $q \in Q_1^{(\cdot, \cdot)}$  such that the condition of Claim 4 is satisfied. Therefore, for such a regular pattern  $q$ ,  $p\{x := xy\} \preceq q$  holds.  $\square$

**Lemma 9** (Sato et al.[1]): Let  $\Sigma$  be a finite alphabet with  $\#\Sigma \geq 3$  and  $p, q$  regular patterns. If there exists a constant symbol  $a \in \Sigma$  such that  $p\{x := a\} \preceq q$  and  $p\{x := xy\} \preceq q$ , then  $p \preceq q$  holds, where  $y$  is a variable symbol that does not appear in  $q$ .

From the Lemma 8 and Lemma 9, we have the following theorem.

**Theorem 4:** Let  $k \geq 3$ ,  $\#\Sigma \geq 2k - 1$ ,  $P \in \mathcal{RP}^+$  and  $Q \in \mathcal{RP}^k$ . Then, the following (i),(ii) and (iii) are equivalent:

$$(i) S_2(P) \subseteq L(Q), (ii) P \sqsubseteq Q, (iii) L(P) \subseteq L(Q).$$

**Proof.** it is clear that (ii) implies (iii) and (iii) implies (i). From Theorem3, if  $\#\Sigma \geq 2k + 1$ , then (i) implies (ii). Let  $\#Q = k$ ,  $p \in P$ ,  $\#\Sigma = 2k - 1$  or  $2k$ . Then, we show that (i) implies (ii). It suffices to show that  $S_2(p) \subseteq L(Q)$  implies  $P \sqsubseteq Q$  for any regular pattern  $p \in \mathcal{RP}$ . The proof is done by mathematical induction on  $n$ , where  $n$  is the number of variable symbols appears in  $p$ .

In case  $n = 0$ ,  $S_2(p) = \{p\}$ . By (i), we have  $\{p\} = L(Q)$ . Thus,  $p \preceq q$  for some  $q \in Q$ .

For  $n \geq 0$ , we assume that it is valid for any regular pattern  $p$  with  $n$  variable symbols. Let  $p$  be a regular pattern such that  $n + 1$  variable symbols appear in  $p$  and  $S_2(p) \subseteq L(Q)$ .

We assume that  $p \not\sqsubseteq Q$ , that is,  $p \not\preceq q_i$  for any  $i \in \{1, \dots, k\}$ . Let  $Q = \{q_1, \dots, q_k\}$  and  $p_1, p_2$  regular patterns,  $x$  a variable symbol with  $p = p_1xp_2$ . For  $a, b \in \Sigma$ , let  $p_a = p\{x := a\}$  and  $p_{ab} = p\{x := ab\}$ . Both  $p_a$  and  $p_{ab}$  have  $n$  variable symbols, respectively. Thus,  $S_2(p_a) \subseteq L(Q)$  and  $S_2(p_{ab}) \subseteq L(P)$  hold. By the induction hypothesis, there exist  $i, i' \in \{1, \dots, k\}$  such that  $p_a \preceq q_i$  and  $p_{ab} \preceq q_{i'}$ . Let  $D_i = \{a \in \Sigma \mid p\{x := a\} \preceq q_i\}$  ( $i = 1, \dots, k$ ). We assume that  $\#D_i \geq 3$  for some  $i \in \{1, \dots, k\}$ . By Lemma ??, we have  $p \preceq q_i$ . This contradicts the assumption. Thus, we have  $\#D_i \leq 2$  for any  $i \in \{1, \dots, k\}$ . If  $\#\Sigma = 2k - 1$ , then  $\#D_i = 2$  or  $\#D_i = 1$  for any  $i \in \{1, \dots, k\}$ . Moreover, If  $\#\Sigma = 2k$ , then  $\#D_i = 2$  for any  $i \in \{1, \dots, k\}$ . Since  $k \geq 3$ ,  $2k + 1 \geq k + 2$  holds. By Lemma 8, there exists  $i \in \{1, \dots, k\}$  such that  $p\{x := xy\} \preceq q_i$ . Therefore, by

Lemma 9, we have  $p \preceq q_i$ . This contradicts the assumption. Thus, (i) implies (ii).  $\square$

From Theorem 4, the following corollary holds.

**Corollary 2:** Let  $k \geq 3$ ,  $\# \Sigma \geq 2k - 1$  and  $P \in \mathcal{RP}^+$ . Then,  $S_2(P)$  is a characteristic set for  $L(P)$  within  $\mathcal{RPL}^k$ .

**Lemma 10** (Sato et al.[1]): Let  $k \geq 3$  and  $\# \Sigma \leq 2k - 2$ . Then,  $\mathcal{RP}^k$  does not have compactness with respect to containment.

**Proof.** Let  $\Sigma = \{a_1, \dots, a_{k-1}, b_1, \dots, b_{k-1}\}$  and  $p, q_i$  regular patterns,  $w_i \in \Sigma^*$  ( $i = 1, \dots, k-1$ ) defined in a similar way to Example ???. Let  $q_k = x_1 a_1 w_1 x y w_1 b_1 x_2$ . Since  $p\{x := a_i\} = x_1 a_1 w_1 a_i w_1 b_1 x_2 \preceq q_i$  and  $p\{x := b_i\} = x_1 a_1 w_1 b_i w_1 b_1 x_2 \preceq q_i$  for any  $i \in \{1, \dots, k-1\}$ , we have  $S_1(p) \subseteq \bigcup_{i=1}^{k-1} L(q_i)$ . For any  $w \in \{s \in \Sigma^+ \mid |s| \geq 2\}$ ,  $p\{x := w\} = x_1 a_1 w_1 w w_1 b_1 x_2 \preceq q_k$ . Thus, we have  $L(p) \subseteq L(Q)$ . By Theorem 1, since  $p \not\preceq q_i$ ,  $L(p) \not\subseteq L(q_i)$  for any  $i \in \{1, \dots, k\}$ . Therefore,  $\mathcal{RP}^k$  does not have compactness with respect to containment.  $\square$

From Theorem 4 and Lemma 10, we have the following theorem.

**Theorem 5:** Let  $k \geq 3$  and  $\# \Sigma \geq 2k - 1$ . Then,  $\mathcal{RP}^k$  has compactness with respect to containment.

In case  $k = 2$ , we have the following theorem.

**Theorem 6:** Let  $\# \Sigma \geq 4$ ,  $P \in \mathcal{RP}^+$  and  $Q \in \mathcal{RP}^2$ . The following (i), (ii) and (iii) are equivalent:

- (i)  $S_2(P) \subseteq L(Q)$ , (ii)  $P \subseteq Q$ , (iii)  $L(P) \subseteq L(Q)$ .

**Proof.** It is clear that (ii) implies (iii), and (iii) implies (i). Thus, we show that (i) implies (ii). It suffices to show that  $S_2(p) \subseteq L(Q)$  implies  $P \subseteq Q$  for any regular pattern  $p \in \mathcal{RP}$ . Let  $Q = \{q_1, q_2\}$ . The proof is done by mathematical induction on  $n$ , where  $n$  is the number of variable symbols appearing in  $p$ . In case  $n = 0$ ,  $p \in \Sigma^+$ . Since  $S_2(p) = \{p\} \subseteq L(Q)$ , we have  $p \preceq q$  for some  $q \in Q$ . For  $n \geq 0$ , we assume that it is valid for any regular pattern  $p$  with  $n$  variable symbols. Let  $p$  be a regular pattern such that  $n+1$  variable symbols appear in  $p$ , and  $S_2(p) \subseteq L(Q)$ . We assume that  $p \not\preceq q_i$  ( $i = 1, 2$ ). Let  $p_1, p_2$  be regular patterns and  $x$  a variable symbol with  $p = p_1 x p_2$ . For  $a, b \in \Sigma$ , let  $p_a = p\{x := a\}$  and  $p_{ab} = p\{x := ab\}$ . Note that  $p_a$  and  $p_{ab}$  have  $n$  variable symbols. Thus, by the assumption,  $S_2(p_a) \subseteq L(Q)$  and  $S_2(p_{ab}) \subseteq L(Q)$  implies  $p_a \preceq q_i$  and  $p_{ab} \preceq q_{i'}$  for some  $i, i' \in \{1, 2\}$ . Let  $D_i = \{a \in \Sigma \mid p\{x := a\} \preceq q_i\}$  ( $i = 1, 2$ ). By Lemma ??, if  $\#D_i \geq 3$  for some  $i \in \{1, 2\}$ , then  $p \preceq q_i$ . This contradicts that  $p \not\preceq q_i$  ( $i = 1, 2$ ). Thus, we have  $\#D_i \leq 2$  for any  $i \in \{1, 2\}$ . Since  $\# \Sigma \geq 4$ , We consider that  $\#D_1 = 2$  and  $\#D_2 = 2$ . From Lemma 8,  $p\{x := xy\} \preceq q_i$  for some  $i \in \{1, 2\}$ . From Lemma 9, we have  $p \preceq q_i$  for some  $i \in \{1, 2\}$ . This contradicts that  $p \not\preceq q_i$  ( $i = 1, 2$ ). Therefore, (i) implies (ii).  $\square$

The next example is a counter-example of Theorem 6.

**Example 2:** Let  $\Sigma = \{a, b, c\}$ ,  $p, q_1, q_2$  regular patterns and  $x, x', x''$  variable symbols such that  $p = x' a x b x''$ ,  $q_1 = x' a b x''$  and  $q_2 = x' c x''$ . Let  $w \in \Sigma^+$ . If  $w$  contains  $c$ , then  $p\{x := w\} \preceq q_2$ . On the other hand, if  $w$  does not contain  $c$ , then  $p\{x := w\} \preceq q_1$ . Thus,  $L(p) \subseteq L(q_1) \cup L(q_2)$ . However,  $p \not\preceq q_1$  and  $p \not\preceq q_2$ .

From Theorem 6, we have that following two corollaries.

**Corollary 3:** Let  $\# \Sigma \geq 4$  and  $P \in \mathcal{RP}^+$ . Then,  $S_2(P)$  is a characteristic set for  $L(P)$  within  $\mathcal{RPL}^2$ .

**Corollary 4:** Let  $\# \Sigma \geq 4$ . Then,  $\mathcal{RP}^2$  has compactness with respect to containment.

#### 4. Regular Pattern without Adjacent Variable Symbols

A regular pattern  $p$  is said to be a *non-adjacent variable regular pattern* (NAV regular pattern) if  $p$  does not contain consecutive variable symbols. For example, the regular pattern  $p = axybc$  is not a NAV regular pattern because  $xy$  is appeared in  $p$ . Let  $\mathcal{RP}_{NAV}$  be the set of all NAV regular patterns. Let  $\mathcal{RP}_{NAV}^+$  be the set of all finite subsets  $S$  of  $\mathcal{RP}_{NAV}$  such that  $S$  is not the empty set, i.e.,  $\mathcal{RP}_{NAV}^+ = \{S \subseteq \mathcal{RP}_{NAV} \mid \#S \leq 1\}$ , and  $\mathcal{RP}_{NAV}^k$  the set of all subsets  $P$  of  $\mathcal{RP}_{NAV}^+$  such that  $P$  consists of at most  $k$  ( $k \geq 1$ ) NAV regular patterns, i.e.,  $\mathcal{RP}_{NAV}^k = \{P \in \mathcal{RP}_{NAV}^+ \mid \#P \leq k\}$ . We can define the compactness with respect to containment for  $\mathcal{RP}_{NAV}^k$  in a similar way as Def.2. For any NAV regular pattern  $p \in \mathcal{RP}_{NAV}$  and any set  $Q \in \mathcal{RP}_{NAV}^k$  with  $k$  ( $k \geq 1$ ), the set  $\mathcal{RP}_{NAV}^k$  said to have *compactness with respect to containment* if there exists a NAV regular pattern  $q \in Q$  such that  $L(p) \subseteq L(q)$  holds if  $L(p) \subseteq L(Q)$  holds. Then, we have the following Theorem 7.

**Theorem 7:** For an integer  $k$  ( $k \geq 2$ ), let  $\# \Sigma \geq k + 2$ ,  $P \in \mathcal{RP}_{NAV}^+$ ,  $Q \in \mathcal{RP}_{NAV}^k$ . Then, the following (i), (ii) and (iii) are equivalent:

- (i)  $S_2(P) \subseteq L(Q)$ , (ii)  $P \subseteq Q$ , (iii)  $L(P) \subseteq L(Q)$ .

**Proof.** From the definitions of  $\mathcal{RP}_{NAV}^+$  and  $\mathcal{RP}_{NAV}^k$ , it is clear that (ii) implies (iii) and (iii) implies (i). Hence, we will show that (i) implies (ii) by mathematical induction on the number  $n$  of variable symbols that appear in a NAV regular pattern  $p \in P$  as follows: If  $n = 0$ , then we have  $S_2(\{p\}) = \{p\}$ . Hence,  $p \in L(Q)$ . Therefore, there exists  $q \in Q$  such that  $p \preceq q$  holds.

If  $n \geq 0$ , we assume that the proposition holds for any regular NAV regular pattern containing  $n \geq 0$  variable symbols. Let  $p$  be a NAV regular pattern containing  $n+1$  variable symbols such that  $S_2(\{p\}) \subseteq L(Q)$  holds and  $p$  contains a variable symbol  $x$ . There exist two NAV regular patterns  $p_1, p_2$  such that  $p = p_1 x p_2$  holds. By the induction hypothesis, for any constant string  $w \in \Sigma^*$  with  $|w| = 2$ ,  $\{p\{x := w\}\} \preceq Q$  holds because  $p\{x := w\}$  contains  $n$  variable symbols. Hence, there exists a NAV regular pattern  $q_w \in Q$  such that  $p\{x := w\} \preceq q_w$  holds. From Lemma 8,

$p = x'cadadaadacbadadaadaxadadaadacbadadaadabx''$ ,  
 $q_1 = x'cadadaadacbadadaadacx''$ ,  
 $q_2 = x'badadaadacx''$ ,  
 $q_3 = x'aadadx''$ .

**Fig. 17** NAV regular patterns  $p$ ,  $q_1$ ,  $q_2$ , and  $q_3$

**Table 2** The conditions on the number  $\#\Sigma$  of constant symbols in  $\Sigma$  required for compactness with respect to containment.

Class	$k = 2$	$k \geq 3$
$\mathcal{RP}^k$	$\#\Sigma \geq 4$	$\#\Sigma \geq 2k - 1$
$\mathcal{RP}_{NAV}^k$	$\#\Sigma \geq k + 2$	

there exists a regular pattern  $q \in Q$  such that  $p\{x := xy\} \preceq q$  holds, where  $y$  is a variable symbol that does not appear in  $q$ . This contradicts the condition  $Q \in \mathcal{RP}_{NAV}^k$ . Thus, we have that (i) implies (ii).  $\square$

**Corollary 5:** Let  $k \geq 2$ ,  $\#\Sigma \geq k + 2$  and  $P \in \mathcal{RP}_{NAV}^+$ . Then,  $S_2(P)$  is a characteristic set of  $\mathcal{RPL}_{NAV}^k$ .

**Lemma 11:** Let  $k \geq 2$  and  $\#\Sigma \leq k + 1$ . Then,  $\mathcal{RP}_{NAV}^k$  does not have compactness with respect to containment.

**Proof.** Let  $\Sigma$  be the set of  $k + 1$  constant symbols  $a_1, \dots, a_{k+1}$ , i.e.,  $\Sigma = \{a_1, \dots, a_{k+1}\}$ . We assume that for  $i = 1, 2, \dots, k$ ,  $p\{x := a_i y\} \preceq q_i$  and  $p\{x := y a_{i+1}\} \preceq q_i$  ( $i = 1, 2, \dots, k$ ) hold. If  $p\{x := a_{k+1} a_1\} \preceq q_1$  holds,  $S_2(p) \setminus S_1(p) \subseteq \bigcup_{i=1}^k L(q_i)$  holds. This show that  $L(p) \subseteq L(Q)$  holds. However, for  $i = 1, 2, \dots, k$ , since  $p \not\preceq q_i$  holds, we have that  $L(p) \not\subseteq L(q_i)$  holds. Hence,  $\mathcal{RP}_{NAV}^k$  does not have compactness with respect to containment.  $\square$

Next, we give an example for Lemma 11 in Example 3.

**Example 3:** Let  $\Sigma$  be the set of four constant symbols  $a, b, c, d$ , i.e.,  $\Sigma = \{a, b, c, d\}$  and  $x, x', x''$  three distinct variable symbols. Let  $p, q_1, q_2, q_3$  be the NAV regular patterns given in Fig. 17. Then, we have  $L(p) \subseteq L(q_1) \cup L(q_2) \cup L(q_3)$ . This show that for  $P = \{p\}$ ,  $Q = \{q_1, q_2, q_3\}$ , (iii) of Theorem 7 holds. However, since  $p \not\preceq q_1$ ,  $p \not\preceq q_2$  and  $p \not\preceq q_3$  hold, we have  $P \not\subseteq Q$ , that is, (ii) of Theorem 7 does not hold.

From Theorem 7 and Lemma 11, we have the following theorem.

**Theorem 8:** Let  $k \geq 2$  and  $\#\Sigma \geq k + 2$ . Then, the set  $\mathcal{RPL}_{NAV}^k$  has compactness with respect to containment.

## 5. Conclusion

In this paper, for an integer  $k$  ( $k \geq 2$ ), we have shown the conditions on the number of constant symbols in  $\Sigma$ , summarized in Table 2, required for the classes  $\mathcal{RP}^k$  of all the set of  $k$  regular pattern languages and  $\mathcal{RP}_{NAV}^k$  of all the set of  $k$  NAV regular patterns to have compactness with respect to containment.

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