

## PAPER

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

Naoto TAKETA<sup>†</sup>, *Nonmember*, Tomoyuki UCHIDA<sup>†</sup>, Takayoshi SHOUDAI<sup>††</sup>, Satoshi MATSUMOTO<sup>†††</sup>,  
Yusuke SUZUKI<sup>†</sup>, and Tetsuhiro MIYAHARA<sup>†</sup>, *Members*

**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  $axbzcy$  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

Manuscript received January 1, 2015.

Manuscript revised January 1, 2015.

<sup>†</sup>Graduate School of Information Sciences, Hiroshima City University

<sup>††</sup>Department of Computer Science and Engineering, Fukuoka Institute of Technology

<sup>†††</sup>Faculty of Science, Tokai University

DOI: 10.1587/trans.E0.??.

**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 word 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

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

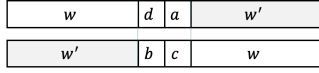
holds, then  $(b, c) \in \{(a, d), (d, a)\}$  holds.

**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.

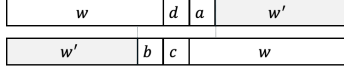
- $|w| \geq 0$  and  $|w'| = 0$ : Eq. (3) reduces to  $wda = bcw$ . By Proposition 2,  $(b, c) \in \{(a, d), (d, a)\}$  holds.

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:

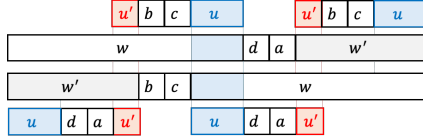
- $0 < |w'| \leq |w| \leq |w'| + 1$ : When either  $|w| = |w'|$  or  $|w| = |w'| + 1$ , Eq. (3) is illustrated in Figs. 1 and 2, respectively. If  $|w| = |w'|$ ,  $(b, c) = (d, a)$  holds. If  $|w| = |w'| + 1$ ,  $a = c$  and  $w = w'b = dw'$  hold. From Proposition 1, we deduce that  $b = d$ . Therefore,  $(b, c) \in \{(a, d), (d, a)\}$  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



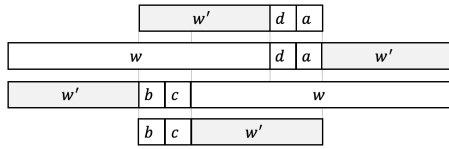
**Fig. 1** Case  $|w| = |w'|$  in Proposition 3



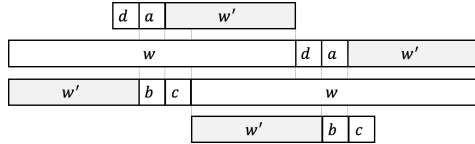
**Fig. 2** Case  $|w| = |w'| + 1$  in Proposition 3



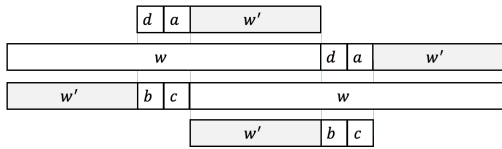
**Fig. 3** Case  $|w'| + 2 \leq |w| \leq 2|w'| - 1$  in Proposition 3



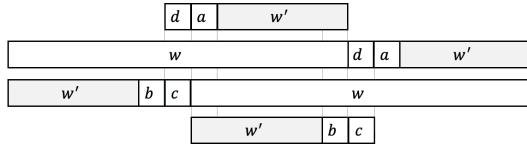
**Fig. 4** Case  $|w| = 2|w'|$  in Proposition 3



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



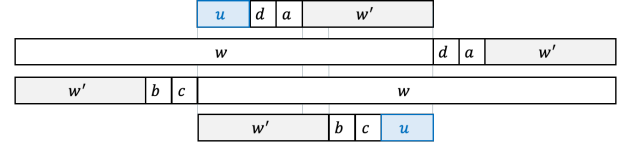
**Fig. 6** Case  $|w| = 2|w'| + 2$  in Proposition 3



**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 subsections (Subsecs. 3.2–3.5), we provide the conditions on  $D$  under which the implication holds: if  $p\{x := r\} \preceq q$  for all  $r \in D$ , then  $p\{x := xy\} \preceq q$ . It is obvious if the variable symbol  $x$  does not appear in  $p$ . Therefore, in the following lemmas and propositions, let  $p = p_1xp_2$ , where  $p_i \in \mathcal{RP}$  ( $i = 1, 2$ ) and  $x$  is a variable symbol.

First of all, we consider the correspondence from  $r \in D$  to some string in  $q$  when  $p\{x := r\} \preceq q$  holds. The symbols in  $D$  correspond to either a variable or a constant symbol in  $q$ . If  $D$  has a constant string  $ab$  of length 2 for  $b, c \in \Sigma$ , there are three possible strings in  $q$  that correspond to  $ab$  in  $p\{x := bc\}$  as follows: For  $y' \in X$ ,

- (a)  $ab$ , (b)  $ay_1$ , (c)  $y_1b$ .

If there exists (b)  $ay_1$  in  $q$  that corresponds to  $bc$ , i.e., there exist  $q_1$  and  $q_2 \in \mathcal{RP}$  such that

- (1)  $p_1abp_2 \preceq q_1ay_1q_2$ ,
- (2)  $p_1 \preceq q_1$ , and
- (3) either  $p_2 \preceq q_2$  or  $p_2 \preceq y'_1q_1$  for  $y'_1 \in X$ .

Let  $D' = (D \setminus \{ab\}) \cup \{ay\}$ . It is straightforward to see that  $p\{x := ay\} = p_1ayp_2 \preceq q_1ay_1q_2$  holds. Thus,  $p\{x := r\} \preceq q$  for all  $r \in D'$  holds. Let  $D'' = (D \setminus \{ab\}) \cup \{yb\}$ . By a similar discussion, if there exists (c)  $y_1b$  in  $q$  that corresponds to  $ab$ ,  $p\{x := r\} \preceq q$  for all  $r \in D''$  holds. Therefore, in this paper, we make the following definition on  $D$ :

**Definition 3:** Let  $p, q \in \mathcal{RP}$ . Let  $D \subset \mathcal{RP}$  such that for all  $r \in D$ ,  $|r| = 2$  and  $p\{x := r\} \preceq q$  holds. Then, if for any  $ab \in D$  ( $a, b \in \Sigma$ ),  $p\{x := ay\} \not\preceq q$  and  $p\{x := yb\} \not\preceq q$  hold for any  $y \in X$  that does not appear in  $q$ , the set  $D$  is said to be *maximally generalized on*  $(p, q)$ .

### 3.2 $D = \{ay, by\}$ and $D = \{ya, yb\}$

**Lemma 4** (Sato et al.[1]): Let  $\Sigma$  be an alphabet with  $\#\Sigma \geq 3$  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.** 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  $p\{x := xy\} \not\preceq q$ ,  $p_1 a y p_2 \preceq q$  and  $p_1 b y p_2 \preceq q$ , there exist regular patterns  $q_1, q_2$  on  $\Sigma$  such that  $q = q_1 a y_1 w b y_2 q_2$  or  $q = q_1 b y_1 w a y_2 q_2$  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  $q = q_1 a y_1 w b y_2 q_2$  holds, the following four conditions hold: For  $y'_1, y'_2 \in X$ ,

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

From (2), there exist regular patterns  $p'_1, p'_2$  such that  $p_1 = p'_1 p'_2$ ,  $p'_1 \preceq q_1 a$  and  $p'_2 \preceq y_1 w$  hold. Therefore, since  $p = p_1 x p_2 = p'_1 p'_2 x p_2$ , if  $p_2 \preceq w b y_2 q_2$  of (1') holds,  $p \preceq q_1 a p'_2 x w b y_2 q_2 \equiv q\{y_1 := p'_2 x\}$  holds. If  $p_2 \preceq y'_1 w b y_2 q_2$  of (1') holds,  $p \preceq q_1 a p'_2 x y'_1 w b y_2 q_2 = q\{y_1 := p'_2 x y'_1\}$  holds. Thus,  $p\{x := xy\} \preceq q\{y_1 := p'_2 x y'_1\}$  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.

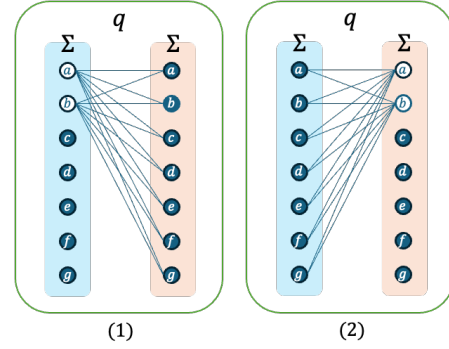
### 3.3 $D = \{ya, bc, dy\}$

**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  $q$ :

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

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

**Proof.** We assume that  $p\{x := xy\} \not\preceq q$  in order to derive a



**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.

contradiction. Since  $D$  is maximally generalized on  $(p, q)$ , 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  $\Sigma \cup X$ .

- (5-1)  $q = q_1 A w B w' C q_2$ ,  
where  $\{A, B, C\} = \{y_1 a, bc, dy_2\}$ ,
- (5-2)  $q = q_1 A w B q_2$ ,  
where  $\{A, B\} = \{dy_1 a, bc\}$ ,
- (5-3)  $q = q_1 A w B q_2$ ,  
where  $\{A, B\} = \{y_1 a y_2, bc\}$  ( $a = d$ ).

(5-1) Case of  $q = q_1 A w B w' C q_2$ , where  $\{A, B, C\} = \{y_1 a, bc, dy_2\}$ : At first, we prove the following three claims:

**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  $(A, B, C) = (dy_2, bc, y_1a)$ , i.e.,  $q = q_1dy_2wbcw'y_1aq_2$  holds. Then, the following conditions must be satisfied: For  $y'_1, y'_2 \in X$ ,

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

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

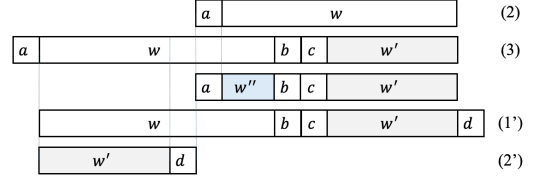
$$\begin{aligned} (1) \quad p_1 &\preceq q_1 \text{ or } p_1 \preceq q_1y'_1, & (1') \quad p_2 &\preceq wbcw'dy_2q_2, \\ (2) \quad p_1 &\preceq q_1y_1aw, & (2') \quad p_2 &\preceq w'dy_2q_2, \\ (3) \quad p_1 &\preceq q_1y_1awbcw', & (3') \quad p_2 &\preceq q_2 \text{ or } p_2 \preceq y'_2q_2. \end{aligned}$$

**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  $|w'd| + |aw''| = |w'| + |w''| + 2 =$



**Fig. 10** Case (5-1) in Lemma 5: Relation of strings  $w$ ,  $w'$ , and  $w''$

$|w|$ , it follows that  $w = w'daw''$  (Fig. 10). Therefore,  $w'daw'' = w''bcw'$  holds. From Proposition 3,  $(b, c) \in \{(a, d), (d, a)\}$  holds. This contradicts the conditions  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ .

From the above, we conclude that all cases of (5-1) contradict the assertion that  $p\{x := xy\} \not\preceq q$  and the conditions  $b \notin \{a, d\}$  and  $c \notin \{a, d\}$ .

(5-2)  $q = q_1AwBq_2$ , where  $\{A, B\} = \{dy_1a, bc\}$ : We suppose that  $(A, B) = (dy_1a, bc)$ , i.e.,  $q = q_1dy_1awbcq_2$  holds. Then, the following conditions must be satisfied for  $y'_1 \in X$ :

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

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

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

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

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

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.

(5-3)  $q = q_1AwBq_2$ , where  $\{A, B\} = \{y_1ay_2, bc\}$  ( $a = d$ ): 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  $y'_1, y'_2 \in X$ ,

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

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  $q$ .

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

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

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  $b \neq d$ .

**Proof.** We assume that  $p\{x := xy\} \not\preceq q$  in order to derive a contradiction. The proof is almost the same as the proof of Lemma 5. Since  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , 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 conditions  $b = a$  and  $b \neq d$ , it follows that  $a \neq d$ .

- (6-1)  $q = q_1AwBw'Cq_2$ ,  
where  $\{A, B, C\} = \{y_1a, ac, dy_2\}$ ,
- (6-2)  $q = q_1AwBq_2$ ,  
where  $\{A, B\} = \{y_1ac, dy_2\}$ ,
- (6-3)  $q = q_1Aq_2$ , where  $A = dy_1ac$ .

In cases (6-1) and (6-2), 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.

(6-1) Case of  $q = q_1AwBw'Cq_2$ , where  $\{A, B, C\} = \{y_1a, ac, dy_2\}$ : 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  $b = a$ ,  $b \neq d$ , and  $c \notin \{a, d\}$  are satisfied, case (6-1) is impossible.

(6-2) Case of  $q = q_1AwBq_2$ , where  $\{A, B\} = \{y_1ac, dy_2\}$ : For  $q = q_1y_1acwdy_2q_2$ , 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')  $p_2 \preceq q_2$ .

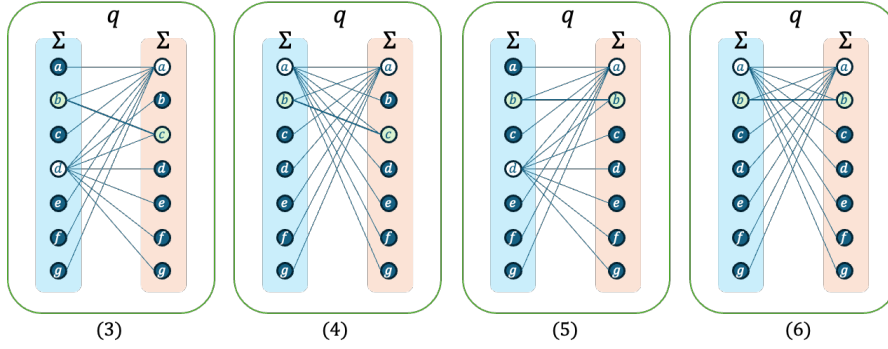
- If  $|w| = 0$ , from (1') and (2'), the prefix of  $p_2$  is  $cd$  and  $d$ . Thus, we have  $c = d$ .
- If  $|w| = 1$ , from (1') and (2'), the prefix of  $p_2$  is  $cwd$  and  $wd$ . Thus, we have  $w = c = d$ .
- If  $|w| \geq 2$ , then from (1') and (2'),  $cwd$  and  $wd$  are prefixes of  $p_2$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

All of these cases do not meet  $b = a$ ,  $b \neq d$ , and  $c \notin \{a, d\}$ . Therefore, if  $b = a$ ,  $b \neq d$ , and  $c \notin \{a, d\}$  are satisfied, case (6-2) is also impossible.

(6-3)  $q = q_1Aq_2$ , where  $A = dy_1ac$ : For  $q = q_1dy_1acq_2$ , the following conditions must be satisfied for  $y'_1, y'_2 \in X$ :

- (1)  $p_1 \preceq q_1d$  or  $p_1 \preceq q_1dy'_1$ , (1')  $p_2 \preceq cq_2$ ,
- (2)  $p_1 \preceq q_1dy_1$ , (2')  $p_2 \preceq q_2$ ,
- (3)  $p_1 \preceq q_1$ , (3')  $p_2 \preceq acq_2$  or  $p_2 \preceq y'_1acq_2$ .





**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  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$  holds.

$p\{x := ay\} =$ 

|       |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |       |   |
|-------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|-------|---|
| e     | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | y | a | b | c | a | d | a | d | a | b | c | b | c | a | d | a | d     | e |
| $y_1$ |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | d | $y_2$ |   |

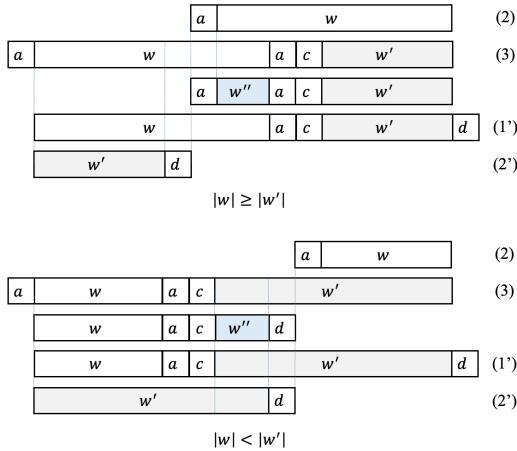
$p\{x := bc\} =$ 

|       |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |
|-------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|-------|---|---|---|---|---|---|---|---|---|
| e     | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | d | a     | b | c | b | c | a | d | a | d | e |
| $y_1$ |   |   |   |   |   |   |   | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | d | $y_2$ |   |   |   |   |   |   |   |   |   |

$p\{x := dy\} =$ 

|       |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |       |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|-------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|-------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| e     | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | d | y     | b | c | a | d | a | d | a | b | c | b | c | a | d | a | d | e |
| $y_1$ | a | b | c | b | c | a | d | a | b | c | b | c | a | d | a | d | $y_2$ |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |

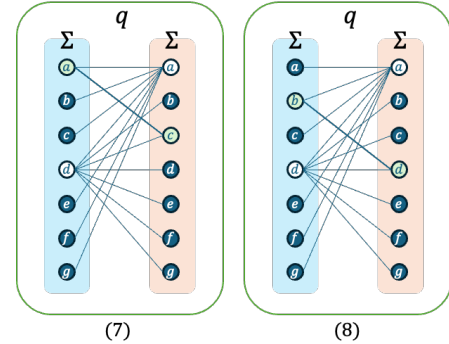
**Fig. 12** Substitutions for  $p$  and each correspondence to  $q$ .



**Fig. 13** Case (6-1) in Lemma 6: Relation of strings  $w$ ,  $w'$ , and  $w''$

For  $p_1 \preceq q_1 d$  in (1) and  $p_2 \preceq a c q_2$  in (3'),  $p = p_1 x p_2 \preceq q_1 d x a c q_2 \preceq q\{y_1 := x\}$  holds. From this, we have  $p\{x := xy\} \preceq q\{y_1 := x\}$ . This contradicts the assumption that  $p\{x := xy\} \not\preceq q$ . Similarly, we can show that the other cases of (1) and (3') also contradict the assumption.

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



**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 Lemmas 6 and 7, respectively. In these cases, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$  holds.

The conditions in Lemmas 6 and 7 are illustrated in (7) and (8) in Fig. 14, respectively.

**Lemma 7:** 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  $q$ .

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

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally



generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

**Proof.** The proof follows by reversing  $p$  and  $q$  and subsequently applying Lemma 6.  $\square$

When the conditions of Lemmas 5, 6, and 7 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  $c = d$ ). 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:

$$\begin{aligned} p &= eabcbcadabcbcadaxbcadadabcbcadade, \\ q &= y_1abcbcadabcbcadady_2 \quad (b = a \text{ and } c = d). \end{aligned}$$

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

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

$\square$

3.4  $D = \{a_1b_1, a_2b_2, a_3y\}$  and  $D = \{a_1b_1, a_2b_2, yb_3\}$

**Lemma 8:** 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  $q$ :

$$\begin{aligned} D &= \{a_1b_1, a_2b_2, a_3y\}, \\ &\text{where } a_i \neq a_j \text{ and } b_i \neq b_j \text{ } (i \neq j, 1 \leq i, j \leq 3). \end{aligned}$$

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

**Proof.** We assume that  $p\{x := xy\} \not\preceq q$  holds. Since  $D$  is maximally generalized on  $(p, q)$ , from the same argument as in the proof of Lemma 6, it is sufficient to consider the following five cases (8-1)–(8-5) of  $q$ : For  $y_1 \in X$ ,

$$\begin{aligned} (8-1) \quad q &= q_1a_1b_1wa_2b_2w'a_3y_1q_2, \\ (8-2) \quad q &= q_1a_1b_1b_2y_1q_2 \quad (a_2 = b_1 \text{ and } a_3 = b_2), \\ (8-3) \quad q &= q_1a_1b_1b_2wa_3y_1q_2 \quad (b_1 = a_2), \\ (8-4) \quad q &= q_1a_3y_1wa_1b_1b_2q_2 \quad (b_1 = a_2), \\ (8-5) \quad q &= q_1a_1b_1y_1wa_2b_2q_2 \quad (b_1 = a_3), \end{aligned}$$

where no variable symbol appears in both  $w$  and  $w'$ .

(8-1) Case of  $q = q_1a_1b_1wa_2b_2w'a_3y_1q_2$ : The following conditions must be satisfied: For  $y'_1 \in X$ ,

$$\begin{aligned} (1) \quad p_1 &\preceq q_1, & (1') \quad p_2 &\preceq wa_2b_2w'a_3y_1q_2, \\ (2) \quad p_1 &\preceq q_1a_1b_1w, & (2') \quad p_2 &\preceq w'a_3y_1q_2, \\ (3) \quad p_1 &\preceq q_1a_1b_1wa_2b_2w', & (3') \quad p_2 &\preceq q_2 \text{ or } p_2 \preceq y'_1q_2. \end{aligned}$$

If  $|w| + 1 = |w'|$ , then  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are suffixes of  $p_1$  from (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 prefixes of  $p_2$  from (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 suffixes of  $p_1$  from (2) and (3). Hence,  $a_1b_1$  is suffixes of  $w'$ . Moreover,  $wa_2b_2w'a_3$  and  $w'a_3$  are prefixes of  $p_2$  from (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 prefixes of  $p_2$  from (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 suffixes of  $p_1$  from (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  $a_1 \neq a_3$ .

If  $|w| > |w'| + 1$ , since  $wa_2b_2w'a_3$  and  $w'a_3$  are prefixes of  $p_2$  from (1') and (2'), there exists a constant string  $w_1$  such that  $w = w'_1w_1$  and the first symbol of  $w_1$  is  $a_3$ . Moreover, since there exists a constant string  $w_2$  such that  $w = w_2w'$  and  $|w_1a_2b_2| = |a_1b_1w_2|$  hold,  $a_1b_1$  is a prefix of  $w_1$ . Thus,  $a_3 = a_1$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

(8-2) Case of  $q = q_1a_1b_1b_2y_1q_2$  ( $a_2 = b_1$  and  $a_3 = b_2$ ): The following conditions must be satisfied: For  $y'_1 \in X$ ,

$$\begin{aligned} (1) \quad p_1 &\preceq q_1, & (1') \quad p_2 &\preceq b_2y_1q_2, \\ (2) \quad p_1 &\preceq q_1a_1, & (2') \quad p_2 &\preceq y_1q_2, \\ (3) \quad p_1 &\preceq q_1a_1b_1, & (3') \quad p_2 &\preceq q_2 \text{ or } p_2 \preceq y'_1q_2. \end{aligned}$$

From (2) and (3),  $a_1b_1$  and  $a_1$  are suffixes of  $p_1$ . Hence,  $b_1 = a_1$  holds. Thus, from the assumption of  $b_1 = a_2$ ,  $a_1 = a_2$  holds. This contradicts the assumption of  $a_1 \neq a_2$ .

(8-3) Case of  $q = q_1a_1b_1b_2wa_3y_1q_2$  ( $b_1 = a_2$ ): The following conditions must be satisfied: For  $y'_1 \in X$ ,

$$(1) \quad p_1 \preceq q_1, \quad (1') \quad p_2 \preceq b_2wa_3y_1q_2,$$

- (2)  $p_1 \preceq q_1 a_1$ , (2')  $p_2 \preceq w a_3 y_1 q_2$ ,  
 (3)  $p_1 \preceq q_1 a_1 b_1 b_2 w$ , (3')  $p_2 \preceq q_2$  or  $p_2 \preceq y'_1 q_2$ .

If  $|w| = 0$ , i.e.,  $w$  is the empty string, then  $a_1$  and  $a_1 b_1 b_2$  are suffixes of  $p_1$  from (2) and (3). Hence,  $a_1 = b_2$  holds. Moreover, since  $b_2 a_3$  and  $a_3$  is prefixes of  $p_2$ ,  $b_2 = a_3$  holds. Thus,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

If  $|w| \geq 1$ , since  $a_1$  and  $a_1 b_1 b_2 w$  are suffixes of  $p_1$  from (2) and (3), the last symbol of  $w$  is  $a_1$ . Moreover, since  $b_2 w a_3$  and  $w a_3$  are prefixes of  $p_2$  from (1') and (2'), the last symbol of  $w$  is  $a_3$ . Thus,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

(8-4) Case of  $q = q_1 a_3 y_1 w a_1 b_1 b_2 q_2$  ( $b_1 = a_2$ ): The following conditions must be satisfied: For  $y'_1 \in X$ ,

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq w a_1 b_1 b_2 q_2$  or  
 $p_2 \preceq y'_1 w a_1 b_1 b_2 q_2$ ,  
 (2)  $p_1 \preceq q_1 a_3 y_1 w$ , (2')  $p_2 \preceq b_2 q_2$ ,  
 (3)  $p_1 \preceq q_1 a_3 y_1 w a_1$ , (3')  $p_2 \preceq q_2$ .

From (3), there exist regular patterns  $p'_1$  and  $p''_1$  such that  $p_1 = p'_1 p''_1$ ,  $p'_1 \preceq q_1 a_3$ , and  $p''_1 \preceq y_1 w a_1$  hold. Hence, if  $p_2 \preceq w a_1 b_1 b_2 q_2$  of (1') holds, since  $p = p_1 x p_2 = p'_1 p''_1 x p_2 \preceq q_1 a_3 p''_1 x w a_1 b_1 b_2 q_2 = q\{y_1 := p''_1 x\}$ , then  $p \preceq q$  holds. Thus, this contradicts the assumption. Similarly,  $p_2 \preceq y'_1 w a_1 b_1 b_2 q_2$  of (1') leads to a contradiction.

(8-5) Case of  $q = q_1 a_1 b_1 y_1 w a_2 b_2 q_2$  ( $b_1 = a_3$ ): The following conditions must be satisfied: For  $y'_1 \in X$ ,

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq y_1 w a_2 b_2 q_2$ ,  
 (2)  $p_1 \preceq q_1 a_1$ , (2')  $p_2 \preceq w a_2 b_2 q_2$  or  
 $p_2 \preceq y'_1 w a_2 b_2 q_2$ ,  
 (3)  $p_1 \preceq q_1 a_1 b_1 y_1 w$ , (3')  $p_2 \preceq q_2$ .

Let  $q'_1 = q_1 a_1 b_1$ ,  $q'_2 = y_1 w$ ,  $q'_3 = a_2 b_2 q_2$ . From (3),  $p_1 \preceq q'_1 q'_2$  holds, and from (1'),  $p_2 \preceq q'_2 q'_3$  holds. Since  $q'_2$  contains a variable symbol  $y_1$ ,  $p \preceq q$  holds from Theorem 2. This contradicts the assumption.  $\square$

**Lemma 9:** 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  $q$ :

$$D = \{a_1 b_1, a_2 b_2, y b_3\},$$

where  $a_i \neq a_j$  and  $b_i \neq b_j$  ( $i \neq j, 1 \leq i, j \leq 3$ ).

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

**Proof.** The proof follows by reversing  $p$  and  $q$  and subsequently applying Lemma 8.  $\square$

### 3.5 $D = \{a_1 b_1, a_2 b_2, a_3 b_3\}$

In Lemma 14 (ii) of [1], they stated that, when  $\#\Sigma \geq 3$ ,

for regular patterns  $p, q$ , if  $p\{x := r\} \preceq q$  for any  $r \in D$ , then  $p\{x := xy\} \preceq q$  holds, where  $D = \{a_1 b_1, a_2 b_2, a_3 b_3\}$  ( $a_i \neq a_j$  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  $p = c a_1 x' a_3 c$  and  $q = x a_1 a_3 y$ . It is clear that  $\{x := xy\} \not\preceq q$  holds. However, we can see that  $p\{x' := a_1 b_1\} \preceq q$ ,  $p\{x' := a_2 b_2\} \preceq q$  and  $p\{x' := a_3 b_3\} \preceq q$  hold, since  $p\{x' := a_1 b_1\} = c a_1 a_1 b_1 a_3 c = q\{x := c a_1, y := a_3 c\}$ ,  $p\{x' := a_2 b_2\} = c a_1 a_2 b_2 a_3 c = q\{x := c a_1 a_2, y := c\}$  and  $p\{x' := a_3 b_3\} = c a_1 a_3 b_3 a_3 c = q\{x := c, y := b_3 a_3 c\}$  hold.
- (2) Let  $p = c b_2 a_1 b_1 b_2 x' a_1 b_1 b_2 a_3 c$  and  $q = x b_2 a_1 b_1 b_2 a_3 y$ . It is clear that  $p\{x := xy\} \not\preceq q$  holds. However, we have  $p\{x' := a_1 b_1\} \preceq q$ ,  $p\{x' := a_2 b_2\} \preceq q$ , and  $p\{x' := a_3 b_3\} \preceq q$ , since  $p\{x' := a_1 b_1\} = c b_2 a_1 b_1 b_2 a_1 b_1 a_1 b_1 b_2 a_3 c = q\{x := c b_2 a_1 b_1, y := b_2 a_3 c\}$ ,  $p\{x' := a_2 b_2\} = c b_2 a_1 b_1 b_2 a_2 b_2 a_1 b_1 b_2 a_3 c = q\{x := c b_2 a_1 b_1 b_2 a_2, y := c\}$ , and  $p\{x' := a_3 b_3\} = c b_2 a_1 b_1 b_2 a_3 b_3 a_1 b_1 b_2 a_3 c = q\{x := c, y := b_3 a_1 b_1 b_2 a_3 c\}$  hold.

The conditions in Lemmas 8, 9, and 10 are illustrated in the cases (9), (10), and (11) in Fig. 15.

**Lemma 10:** 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  $q$ :

$$D = \{a_1 b_1, a_2 b_2, a_3 b_3\},$$

where  $a_i \neq a_j$  and  $b_i \neq b_j$  ( $i \neq j, 1 \leq i, j \leq 3$ ).

Then, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$ .

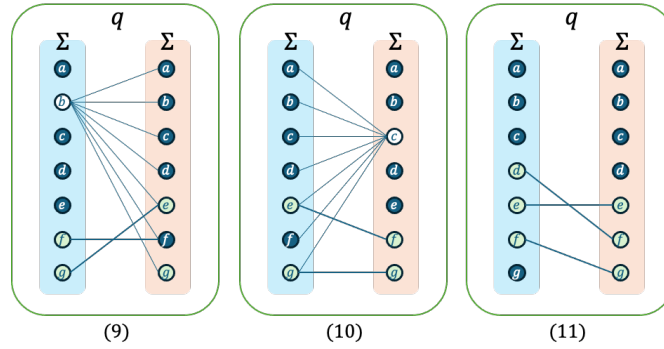
**Proof.** We assume that  $p\{x := xy\} \not\preceq q$  holds. Since  $D$  is maximally generalized on  $(p, q)$ , it is sufficient to consider the following four cases (10-1)-(10-4) of  $q$  for some regular patterns  $q_1, q_2$  and some constant strings  $w, w'$  ( $|w| \geq 0$  and  $|w'| \geq 0$ ):

- (10-1)  $q = q_1 a_1 b_1 w a_2 b_2 w' a_3 b_3 q_2$ ,  
 (10-2)  $q = q_1 a_1 b_1 a_3 b_3 q_2$  ( $b_1 = a_2$  and  $a_3 = b_2$ ),  
 (10-3)  $q = q_1 a_1 b_1 b_2 w a_3 b_3 q_2$  ( $b_1 = a_2$ ),  
 (10-4)  $q = q_1 a_1 b_1 w a_2 b_2 b_3 q_2$  ( $b_2 = a_3$ ).

(10-1) Case of  $q = q_1 a_1 b_1 w a_2 b_2 w' a_3 b_3 q_2$ : The following conditions must be satisfied:

- (1)  $p_1 \preceq q_1$ , (1')  $p_2 \preceq w a_2 b_2 w' a_3 b_3 q_2$ ,  
 (2)  $p_1 \preceq q_1 a_1 b_1 w$ , (2')  $p_2 \preceq w' a_3 b_3 q_2$ ,  
 (3)  $p_1 \preceq q_1 a_1 b_1 w a_2 b_2 w'$ , (3')  $p_2 \preceq q_2$ .

If  $|w| = |w'|$  holds,  $a_1 b_1 w a_2 b_2 w'$  and  $a_1 b_1 w$  are suffixes of  $p_1$  from (2) and (3). Then,  $a_1 b_1 w = a_2 b_2 w'$ . Hence,  $a_1 b_1 = a_2 b_2$ . This contradicts the assumption of  $a_1 \neq a_2$  and  $b_1 \neq b_2$ .



**Fig. 15** 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 (9), (10), and (11) express cases  $D = \{a_1b_1, a_2b_2, a_3y\}$ ,  $D = \{a_1b_1, a_2b_2, yb_3\}$ , and  $D = \{a_1b_1, a_2b_2, a_3b_3\}$  in Lemmas 8, 9, and 10, respectively, where  $a_i \neq a_j$  and  $b_i \neq b_j$  for each  $i, j$  ( $i \neq j, 1 \leq i, j \leq 3$ ). In these cases, if  $p\{x := r\} \preceq q$  for all  $r \in D$  and  $D$  is maximally generalized on  $(p, q)$ , then  $p\{x := xy\} \preceq q$  holds.

If  $|w| + 1 = |w'|$  holds,  $wa_2b_2w'a_3b_3$  and  $w'a_3b_3$  are prefixes 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 (2) and (3),  $a_1b_1wa_2b_2w'$  and  $a_1b_1w$  are suffixes 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 suffixes 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 a suffix of  $w_1$ . From conditions (1') and (2'),  $wa_2b_2w'a_3b_3$  and  $w'a_3b_3$  are prefixes 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 suffixes 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  $|w| \leq |w'|$ .

(10-2) Case of  $q = q_1a_1b_1a_3b_3q_2$  ( $b_1 = a_2$  and  $a_3 = b_2$ ): The following conditions must be satisfied:

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

(10-3) Case of  $q = q_1a_1b_1b_2wa_3b_3q_2$  ( $b_1 = a_2$ ): The following conditions must be satisfied:

- |                                   |                                    |
|-----------------------------------|------------------------------------|
| (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 suffixes of  $p_1$  from (2) and (3) and  $b_2a_3b_3$  and

$a_3b_3$  are prefixes of  $p_2$  from (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 suffixes of  $p_1$  from (2) and (3). Hence, the last symbol of  $w$  is  $a_1$ . Moreover,  $b_2wa_3b_3$  and  $wa_3b_3$  are prefixes of  $p_2$  from (1') and (2'). Hence, the last symbol of  $w$  is  $a_3$ . Therefore,  $a_1 = a_3$  holds. This contradicts the assumption of  $a_1 \neq a_3$ .

(10-4) Case of  $q = q_1a_1b_1wa_2b_2b_3q_2$  ( $b_2 = a_3$ ): The following conditions (1),(2),(3),(1'),(2'),(3') must be satisfied:

- |                                   |                                    |
|-----------------------------------|------------------------------------|
| (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') $p_2 \preceq q_2$ .           |

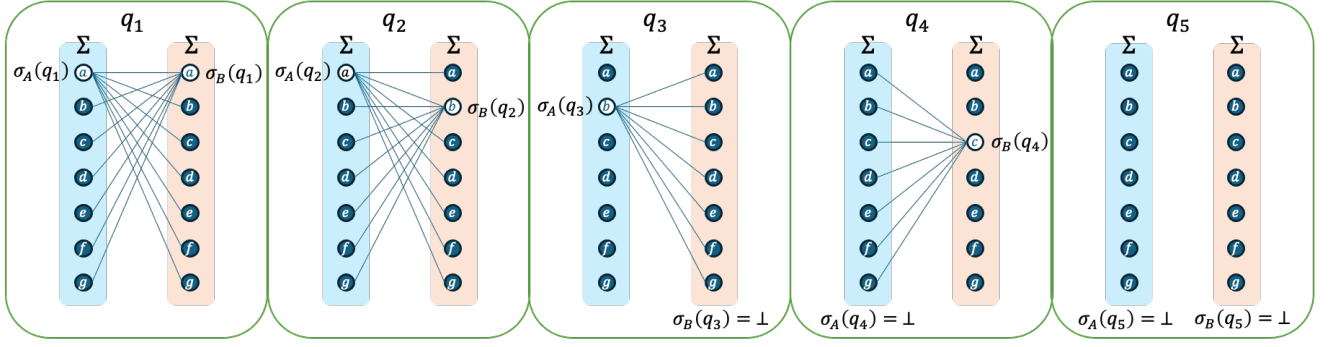
If  $|w| = 0$ , i.e.,  $w$  is the empty string, then  $a_1b_1$  and  $a_1b_1a_2$  are suffixes of  $p_1$  from (2) and (3) and  $a_2b_2b_3$  and  $b_3$  are prefixes of  $p_2$  from (1') and (2'). Since  $b_1 = a_2$  and  $a_2 = b_3$ , then  $b_1 = b_3$  holds. This contradicts the assumption of  $b_1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

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

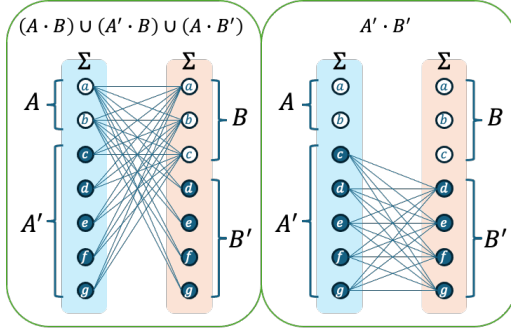
### 3.6 Characteristic sets for finite union of regular patterns

**Lemma 11:** Let  $k$  be an integer with  $k \geq 1$ . Let  $\Sigma$  be an alphabet with  $\#\Sigma = k + 2$ . Let  $p \in \mathcal{RP}$  in which a variable symbol  $x$  appears, and let  $Q \in \mathcal{RP}^k$ . If 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, then 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  $q$ .

**Proof.** Without loss of generality, we suppose that  $\#Q = k$  holds. Otherwise, for some regular pattern  $q$  already in  $Q$ , we can add a new regular pattern  $q'$  equivalent to  $q$ , i.e.,



**Fig. 16** 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  $Q^{(\perp, \perp)} = \{q_5\}$ ,  $Q^{(\perp, \cdot)} = \{q_4\}$ ,  $Q^{(\cdot, \perp)} = \{q_3\}$ ,  $Q^{(\cdot, \cdot)} = \{q_1, q_2\}$ .



**Fig. 17** In the left figure, we aggregate all of the edges appearing in Fig. 16. 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  $p\{x := w\} \preceq q_i$ .

$q' \equiv q$ , to  $Q$  repeatedly until  $\#Q = k$  is satisfied. For any  $q \in Q$ , we define the sets  $A(q), B(q) \subseteq \Sigma$  as follows:

$$A(q) = \{a \in \Sigma \mid p\{x := ay\} \preceq q, y \in X\},$$

$$B(q) = \{b \in \Sigma \mid p\{x := yb\} \preceq q, y \in X\}.$$

If there exists  $q \in Q$  such that  $|A(q)| \geq 2$  or  $|B(q)| \geq 2$ , from Lemma 4,  $p\{x := xy\} \preceq q$  holds. Below, we suppose that  $|A(q)| \leq 1$  and  $|B(q)| \leq 1$ . Let  $\perp$  be a constant symbol that is not a member in  $\Sigma$ . We define the functions  $\sigma_A : Q \rightarrow \Sigma \cup \{\perp\}$  and  $\sigma_B : Q \rightarrow \Sigma \cup \{\perp\}$  as follows:

$$\sigma_A(q) = \begin{cases} a & \text{if } A(q) = \{a\}, \\ \perp & \text{if } A(q) = \emptyset. \end{cases}$$

$$\sigma_B(q) = \begin{cases} b & \text{if } B(q) = \{b\}, \\ \perp & \text{if } B(q) = \emptyset. \end{cases}$$

The inverse functions of  $\sigma_A$  and  $\sigma_B$  are denoted by  $\sigma_A^{-1}$  and  $\sigma_B^{-1}$ , respectively. That is, for  $a, b \in \Sigma \cup \{\perp\}$ , let  $\sigma_A^{-1}(a) = \{q \in Q \mid \sigma_A(q) = a\}$  and  $\sigma_B^{-1}(b) = \{q \in Q \mid \sigma_B(q) = b\}$ . We give an example in Fig. 16.

$A$  and  $B$  denotes the following subsets of  $\Sigma$ :

$$A = \bigcup_{q \in Q \setminus \sigma_A^{-1}(\perp)} A(q), \quad B = \bigcup_{q \in Q \setminus \sigma_B^{-1}(\perp)} B(q).$$

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)  $\#A + \ell_A + \#\sigma_A^{-1}(\perp) = \#B + \ell_B + \#\sigma_B^{-1}(\perp) = k$ .

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

$$Q^{(\perp, \perp)} = \sigma_A^{-1}(\perp) \cap \sigma_B^{-1}(\perp),$$

$$Q^{(\perp, \cdot)} = \sigma_A^{-1}(\perp) \cap (Q \setminus \sigma_B^{-1}(\perp)),$$

$$Q^{(\cdot, \perp)} = (Q \setminus \sigma_A^{-1}(\perp)) \cap \sigma_B^{-1}(\perp),$$

$$Q^{(\cdot, \cdot)} = (Q \setminus \sigma_A^{-1}(\perp)) \cap (Q \setminus \sigma_B^{-1}(\perp)).$$

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. 17). 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  $q_w \in Q^{(\perp, \cdot)} \cup Q^{(\cdot, \perp)} \cup Q^{(\cdot, \cdot)}$  such that  $p\{x := w\} \preceq q_w$  holds. We have the following two claims:

*Claim 2.* If there exist  $q \in Q^{(\perp, \perp)}$  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.

*Proof of Claim 2.* Let  $W = \{a_1b_1, \dots, a_5b_5\} \subset A' \cdot B'$ . Because, for any  $i$  ( $1 \leq i \leq 5$ ),  $|W \cap \{a_i c \mid c \in \Sigma\}| \leq 2$  and  $|W \cap \{cb_i \mid c \in \Sigma\}| \leq 2$ , it can be proven that there are

3 strings  $a_{i_1}b_{i_1}, a_{i_2}b_{i_2}, a_{i_3}b_{i_3} \in W$  such that  $a_{i_j} \neq a_{i_{j'}}$  and  $b_{i_j} \neq b_{i_{j'}}$  for any  $i_j, i_{j'}$  ( $i_j \neq i_{j'}, 1 \leq j, j' \leq 3$ ). Therefore, from Lemma 10, this claim holds. (*End of Proof of Claim*)

*Claim 3.* If there exist  $q \in Q^{(\perp, \cdot)} \cup Q^{(\cdot, \perp)}$  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.

*Proof of Claim 3.* Let  $W = \{a_1b_1, a_2b_2, a_3b_3\} \subset A' \cdot B'$ . Because, for any  $i$  ( $1 \leq i \leq 3$ ),  $|W \cap \{a_ic \mid c \in \Sigma\}| \leq 2$  and  $|W \cap \{cb_i \mid c \in \Sigma\}| \leq 2$ , it can be proven that there are 2 strings  $a_{i_1}b_{i_1}, a_{i_2}b_{i_2} \in W$  such that  $a_{i_1} \neq a_{i_2}$  and  $b_{i_1} \neq b_{i_2}$ . Therefore, from Lemmas 8 and 9, this claim holds. (*End of Proof of Claim*)

If there exist a regular pattern  $q \in Q^{(\perp, \perp)} \cup Q^{(\perp, \cdot)} \cup Q^{(\cdot, \perp)}$  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  $q \in Q^{(\perp, \perp)}$  and 5 strings  $w \in A' \cdot B'$  such that the condition of Claim 2 is satisfied and there is no regular pattern  $q \in Q^{(\perp, \cdot)} \cup Q^{(\cdot, \perp)}$  and 3 strings  $w \in A' \cdot B'$  such that the condition of Claim 3 is satisfied.

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

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

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 Lemmas 6 and 7,  $p\{x := xy\} \preceq q$  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 Lemmas 5, 6, and 7, 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 4), 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,  $\ell_B + 2 = k - \#\sigma_B^{-1}(\perp) - \#B = \#B' - \#\sigma_B^{-1}(\perp)$  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 12** (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 11 and Lemma 12, 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  $p = p_1 x p_2$ . 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  $S_2(p_{ab}) \subseteq L(Q)$  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 11, there exists  $i \in \{1, \dots, k\}$  such that  $p\{x := xy\} \preceq q_i$ . Therefore, by Lemma 12, 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 13** (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 13, 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)  $P \sqsubseteq Q$ , (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  $P \sqsubseteq Q$  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  $p \not\sqsubseteq Q$  ( $i = 1, 2$ ). 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  $p \not\sqsubseteq Q$  ( $i = 1, 2$ ). 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 11,  $p\{x := xy\} \preceq q_i$  for some  $i \in \{1, 2\}$ . From Lemma 12, we have  $p \preceq q_i$  for some  $i \in \{1, 2\}$ . This contradicts that  $p \not\sqsubseteq Q$  ( $i = 1, 2$ ). 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  $p = x' a b x''$ ,  $q_1 = x' a b x''$  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,  $p \not\sqsubseteq q_1$  and  $p \not\sqsubseteq q_2$ .

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  $p = p_1xp_2$  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 11, 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  $\mathcal{RP}_{NAV}^k$ .

**Lemma 14:** 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  $i = 1, 2, \dots, k$ ,  $p\{x := a_iy\} \preceq q_i$  and  $p\{x := ya_{i+1}\} \preceq q_i$  ( $i = 1, 2, \dots, k$ ) 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.  $\square$

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

**Fig. 18** 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                  | $k = 2$                | $k \geq 3$              |
|------------------------|------------------------|-------------------------|
| $\mathcal{RP}^k$       | $\# \Sigma \geq 4$     | $\# \Sigma \geq 2k - 1$ |
| $\mathcal{RP}_{NAV}^k$ | $\# \Sigma \geq k + 2$ |                         |

Next, we give an example for Lemma 14 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. 18. 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 14, we have the following theorem.

**Theorem 8:** Let  $k \geq 2$  and  $\# \Sigma \geq k + 2$ . Then, the set  $\mathcal{RP}_{NAV}^k$  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.

## Acknowledgements

This work was partially supported by Grant-in-Aid for Scientific Research (C) (Grant Numbers 19K12102, 19K12103, 20K04973, 21K12021, 22K12172) from Japan Society for the Promotion of Science (JSPS).

## References

- [1] M.Sato, Y.Mukouchi, D.Zheng, Characteristic Sets for Unions of Regular Pattern Languages and Compactness, in Proc. ALT '98, Springer LNAI 1501, pp.220-233, 1998.
- [2] Y. Mukouchi, Characterization of Pattern Languages, in Proc. ALT '91, Ohmsha, pp.93-104, 1991.
- [3] K.Wright, Identification of Unions of Languages Drawn from an Identifiable Class, in Proc. COLT '89, Morgan Kaufmann, pp.328-333, 1989.
- [4] H. Arimura, T. Shinohara, S. Otsuki, Finding Minimal Generalizations for Unions of Pattern Languages and Its Application to Inductive Inference from Positive Data, in Proc. STACS '94, Springer LNCS 775, pp.649-660, 1994.



- [5] Y. Suzuki, T. Shoudai, T. Uchida and T. Miyahara, Ordered Term Tree Languages Which are Polynomial Time Inductively Inferable from Positive Data, Theoretical Computer Science, 350(1):63-90, 2006.
- [6] T. Uchida, T. Shoudai, S. Miyano, Parallel Algorithms for Refutation Tree Problem on Formal Graph Systems, IEICE Trans. Inf. & Syst., E78-D(2):99-112, 1995.