

The Lattice of Machine Invariant Sets and Subword Complexity

Abstract

We investigate the lattice of machine invariant classes [3]. This is an infinite completely distributive lattice but it is not a Boolean lattice. We show the subword complexity and the growth function create machine invariant classes.

1 Motivation

In different areas of mathematics, people consider a lot of hierarchies which are typically used to classify some objects according to their complexity. Here we formulate and discuss some hierarchies of machine invariant classes.

We are inspired by Yablonski's result [11].

Theorem 1 *Every initial Mealy machine on an ultimately periodic word transforms to an ultimately periodic word. Let $V = \langle Q, A, B, \circ, * \rangle$, $q \in Q$, $|Q| = k$ and $x = uv^\omega$, $y = q * x = u'w^\omega$. Then $|w| = \theta\tau$, where $\theta \setminus |v|$ and $\tau \in \{1, 2, \dots, k\}$.*

The invention and financial exploitation of enciphering and deciphering machines is a lucrative branch of cryptography. Until the 19th century they were mechanical; from the beginning of the 20th century automation made its appearance, around the middle of the century came electronics and more recently microelectronic miniaturization. Today's microcomputers — roughly the size, weight, and price of a pocket calculator — have a performance as good as the best enciphering machines from the Second World War. That restores the earlier significance of good methods, which had been greatly reduced by the presence of 'giant' computers in cryptanalysis centres [1].

A *cryptosystem* [10] is a five-tuple $\langle \mathcal{P}, \mathcal{C}, \mathcal{K}, \mathcal{E}, \mathcal{D} \rangle$, where the following conditions are satisfied:

- \mathcal{P} is a finite set of possible plaintexts,
- \mathcal{C} is a finite set of possible ciphertexts,
- \mathcal{K} , the keyspace, is a finite set of possible keys;
- for each $K \in \mathcal{K}$, there is an encryption rule $e_K \in \mathcal{E}$ and

- a corresponding decryption rule $d_K \in \mathcal{D}$;
- each $e_K : \mathcal{P} \rightarrow \mathcal{C}$ and $d_K : \mathcal{C} \rightarrow \mathcal{P}$ are functions such that $\forall x \in \mathcal{P} d_K(e_K(x)) = x$.

This leads to the concept of a ciphering machine [14]. A tuple $\langle X, S, Y, K, z, f, g, h \rangle$ is called a *ciphering machine* if:

- X — a finite alphabet of possible plaintexts,
- S — a finite set of states of the ciphering machine,
- Y — a finite alphabet of possible ciphertexts,
- K — a finite set of possible keys;
- $z : K \rightarrow S, f : S \times K \times X \rightarrow K, g : S \times K \times X \rightarrow S, h : S \times K \times X \rightarrow Y$ are functions.

Besides, it may be considered as a special kind of a Mealy machine [14]. Thus the Mealy machine appears in cryptography. This model, namely, Mealy machine, is being investigated intensively since the nineteen fifties (cf. [4, 7, 9, 12, 13]).

Now more specifically. We shall describe one secret-key cryptosystem (Fig. 1).

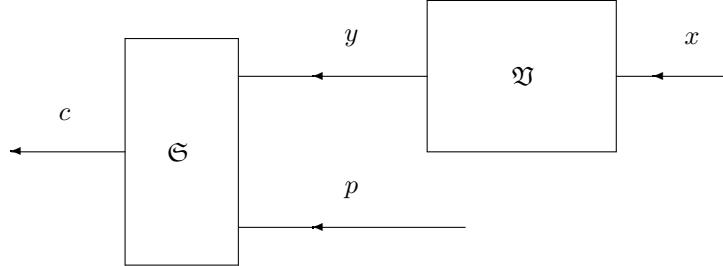


Figure 1.

Let $\mathfrak{S}, \mathfrak{V}$ be devices represent respectively the bitwise addition (modulo two) and a Mealy machine $V = \langle Q, A, \{0, 1\}, \circ, * \rangle$. All users have identical devices.

The plaintext and ciphertext spaces are both equal to $\{0, 1\}^*$. First the users choose a key, consisting of $x \in A^\omega$. Every session of communication begins with the choice of a session key, namely, sender chooses $n \in \mathbb{N}, q \in Q$ and then sends those securely to receiver. Now sender computes $y = q * x[n, n + l]$, where $l + 1$ is the length of plaintext p . The encryption works in a bit-by-bit fashion, that is, $c_i = p_i + y_i \pmod{2}$.

When this is done, the security of the scheme of course depends in a crucial way on the quality of the $x \in A^\omega$ and the machine V . It is worth to mention at this stage of investigation this scheme serves only as extra (but important)

motivation for represented report, that is, why we examine infinite words with Mealy machines.

On the other hand if we restrict ourselves with finite words then we can state only: for every pair of words $u, v \in A^n$ there exists Mealy machine that transforms u to v . So we have a trivial partition of A^* .

2 Preliminaries

In this section we present most of the notations and terminology used in this paper. Our terminology is more or less standard (cf. [8]) so that a specialist reader may wish to consult this section only if need arise.

Let A be a finite non-empty set and A^* the free monoid generated by A . The set A is also called an *alphabet*, its elements *letters* and those of A^* *finite words*. The identity element of A^* is called an *empty word* and denoted by λ . We set $A^+ = A^* \setminus \{\lambda\}$.

A word $w \in A^+$ can be written uniquely as a sequence of letters as $w = w_1 w_2 \dots w_l$, with $w_i \in A$, $1 \leq i \leq l$, $l > 0$. The integer l is called the *length* of w and denoted $|w|$. The length of λ is 0. We set $w^0 = \lambda \wedge \forall i \ w^{i+1} = w^i w$.

A word $w' \in A^*$ is called a *factor* (or *subword*) of $w \in A^*$ if there exist $u, v \in A^*$ such that $w = uw'v$. A word u (respectively v) is called a *prefix* (respectively a *suffix*) of w . A pair (u, v) is called an *occurrence* of w' in w . A factor w' is called *proper* if $w \neq w'$. We denote respectively by $F(w)$, $\text{Pref}(w)$ and $\text{Suff}(w)$ the sets of w factors, prefixes and suffixes.

An (indexed) infinite word x on the alphabet A is any total map $x : \mathbb{N} \rightarrow A$. We set for any $i \geq 0$, $x_i = x(i)$ and write

$$x = (x_i) = x_0 x_1 \dots x_n \dots$$

The set of all the infinite words over A is denoted by A^ω .

A word $w' \in A^*$ is a *factor* of $x \in A^\omega$ if there exist $u \in A^*$, $y \in A^\omega$ such that $x = uw'y$. A word u (respectively y) is called a *prefix* (respectively a *suffix*) of x . We denote respectively by $F(x)$, $\text{Pref}(x)$ and $\text{Suff}(x)$ the sets of x factors, prefixes and suffixes. For any $0 \leq m \leq n$, $x[m, n]$ denotes a factor $x_m x_{m+1} \dots x_n$. An indexed word $x[m, n]$ is called an *occurrence* of w' in x if $w' = x[m, n]$. The suffix $x_n x_{n+1} \dots x_{n+i} \dots$ is denoted by $x[n, \infty]$.

If $v \in A^+$ we denote by v^ω an infinite word

$$v^\omega = vv \dots v \dots$$

This word v^ω is called a *periodic word*. The *concatenation* of $u = u_1 u_2 \dots u_k \in A^*$ and $x \in A^\omega$ is the infinite word

$$ux = u_1 u_2 \dots u_k x_0 x_1 \dots x_n \dots$$

A word x is called *ultimately periodic* if there exist words $u \in A^*$, $v \in A^+$ such that $x = uv^\omega$. In this case, $|u|$ and $|v|$ are called, respectively, an *anti-period* and a *period*.

A 3-sorted algebra $V = \langle Q, A, B, q_0, \circ, * \rangle$ is called an *initial Mealy machine* if Q, A, B are finite, non-empty sets, $q_0 \in Q$; $\circ : Q \times A \rightarrow Q$ is a total function and $* : Q \times A \rightarrow B$ is a total surjective function. The mappings \circ and $*$ may be extended to $Q \times A^*$ by defining

$$\begin{aligned} q \circ \lambda &= q, & q \circ (ua) &= (q \circ u) \circ a \\ q * \lambda &= \lambda, & q * (ua) &= (q * u)((q \circ u) * a), \end{aligned}$$

for all $q \in Q, (u, a) \in A^* \times A$. Henceforth, we shall omit parantheses if there is no danger of confusion. So, for example, we will write $q \circ u * a$ instead of $(q \circ u) * a$.

Let $(x, y) \in A^\omega \times B^\omega$. We write $y = q_0 * x$ or $x \xrightarrow{V} y$ if $\forall n \ y[0, n] = q_0 * x[0, n]$ and say machine V *transforms* x to y . We write $x \xrightarrow{V} y$ if there exists such V that $x \xrightarrow{V} y$.

3 The Lattice of Machine Invariant Sets

We say a word $x \in A_1^\omega$ is *apt* for $V = \langle Q, A, B, q_0, \circ, * \rangle$ if $A_1 \subseteq A$. Let $\mathfrak{K} \neq \emptyset$ be any class of infinite words. The class \mathfrak{K} is called *machine invariant* if every initial machine transforms all apt words of \mathfrak{K} to words of \mathfrak{K} .

Remark. If we like to operate with sets instead of classes then we may restrict ourselves with one fixed countable alphabet $\mathfrak{A} = \{a_0, a_1, \dots, a_n, \dots\}$ and consider the set $\text{Fin}(\mathfrak{A})$ of all non-empty finite subsets of \mathfrak{A} . Now the set \mathfrak{K} may be chosen as the subset of $\mathfrak{F} = \{x \in A^\omega \mid A \in \text{Fin}(\mathfrak{A})\}$. Similarly, we may restrict ourselves with one fixed countable set $\mathfrak{Q} = \{q_1, q_2, \dots, q_n, \dots\}$ and consider only machines from the set

$$\mathfrak{M} = \{\langle Q, A, B, q_0, \circ, * \rangle \mid Q \in \text{Fin}(\mathfrak{Q}) \wedge A, B \in \text{Fin}(\mathfrak{A})\}.$$

Thereby, the set $\emptyset \neq \mathfrak{K} \subseteq \mathfrak{F}$ is called *machine invariant* if every initial machine $V \in \mathfrak{M}$ transforms all apt words of \mathfrak{K} to words of \mathfrak{K} .

We follow the well established approach (cf. [5]). For the reader's convenience, we briefly recall some basic definitions in the form appropriate for future use in the paper.

Let P be a set. An *order* on P is a binary relation \leq on P such that, for all $x, y, z \in P$:

- $x \leq x$ — reflexivity,
- $x \leq y$ and $y \leq x$ imply $x = y$ — antisymmetry,
- $x \leq y$ and $y \leq z$ imply $x \leq z$ — transitivity.

Let $S = \{s_i \mid i \in \mathcal{I}\} \subseteq P$ and $S^u = \{y \mid \forall s \in S \ s \leq y\}$. An element $x \in P$ is called a *join* of S (we write $x = \cup S$ or $x = \cup_{i \in \mathcal{I}} s_i$) if $x \in S^u$ and $\forall s \in S^u \ x \leq s$. We write $x \cup y$ instead of $\{x\} \cup \{y\}$. Dually, let $S^l = \{y \mid \forall s \in S \ y \leq s\}$ then an element $x \in P$ is called a *meet* of S (we write $x = \cap S$ or $x = \cap_{i \in \mathcal{I}} s_i$) if $x \in S^l$ and $\forall s \in S^l \ s \leq x$. We write $x \cap y$ instead of $\{x\} \cap \{y\}$.

Let P be a non-empty ordered set.

- An element $\perp \in P$ is called a *bottom*, if $\forall x \in P \perp \leq x$. Dually, $\top \in P$ is called a *top*, if $\forall x \in P x \leq \top$.
- If $x \cup y$ and $x \cap y$ exist for all $x, y \in P$ then P is called a *lattice*.
- If $\cup S$ and $\cap S$ exist for all $S \subseteq P$ then P is called a *complete lattice*.

A complete lattice L is said to be *completely distributive*, if for any doubly indexed subset $\{x_{ij} \mid i \in \mathcal{I}, j \in \mathcal{J}\}$ of L we have

$$\bigcap_{i \in \mathcal{I}} \left(\bigcup_{j \in \mathcal{J}} x_{ij} \right) = \bigcup_{\alpha: \mathcal{I} \rightarrow \mathcal{J}} \left(\bigcap_{i \in \mathcal{I}} x_{i\alpha(i)} \right).$$

Let L be a lattice with \perp and \top . For $x \in L$ we say $y \in L$ is a *complement* of x if $x \cap y = \perp$ and $x \cup y = \top$. A lattice L is called a *Boolean lattice* if

- for all $x, y, z \in L$ we have $x \cap (y \cup z) = (x \cap y) \cup (x \cap z)$,
- L has \perp and \top , and each $x \in L$ has a complement $x' \in L$.

Corollary 2 [3] *Let \mathfrak{L} be the set that contains all machine invariant sets. Then $\langle \mathfrak{L}, \cup, \cap \rangle$ is a completely distributive lattice, where \cup, \cap are respectively the set union and intersection. The bottom \perp is the set of all ultimately periodic words, the top $\top = \mathfrak{F}$.*

An infinite word $x \in A^\omega$ is called a *recurrent word* if any factor w of x has an infinite number of occurrences in x . Any word $x = uy$, where $u \in A^*$, $y \in A^\omega$ is called an *ultimately recurrent word* if y is a recurrent word.

Theorem 3 [3] *Every initial Mealy machine an ultimately recurrent word transforms to an ultimately recurrent word.*

Example 4 Let $x = (x_i) = 1010^210^31 \dots 0^n1 \dots$ then x is not an ultimately recurrent word. Assume $\{a, b\} \cap \{0, 1\} = \emptyset$. Let $y \in \{a, b\}^\omega$ be any ultimately recurrent word but not an ultimately periodic. Define z', z'' as follows:

$$z'_i = \begin{cases} 1, & \text{if } x_i = 1 \text{ and } y_i = a, \\ y_i, & \text{otherwise;} \end{cases} \quad z''_i = \begin{cases} 1, & \text{if } x_i = 1 \text{ and } y_i = b, \\ y_i, & \text{otherwise.} \end{cases}$$

The word z' or z'' neither is ultimately periodic nor ultimately recurrent. Consider the Mealy machines V_1 and V_2 shown in Figure 2. Note $z' \xrightarrow{V_1} y$ and $z'' \xrightarrow{V_2} y$.

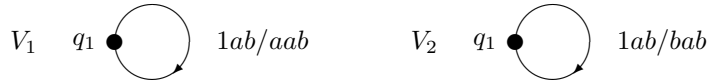


Figure 2.

So we have a method how to construct the infinite word that neither is ultimately periodic nor ultimately recurrent from an ultimately recurrent word if it is not ultimately periodic. We shall refer to this example in proof of such proposition.

Proposition 5 \mathfrak{L} is not a Boolean lattice.

Proof. Let $\mathfrak{K} = \{x \in \mathfrak{F} \mid x \text{ — ultimately recurrent}\}$ then $\mathfrak{K} \in \mathfrak{L}$ by Theorem 3. Suppose $\mathfrak{K}' \in \mathfrak{L}$ is a complement of \mathfrak{K} then $\mathfrak{K} \cap \mathfrak{K}' = \perp$ and $\mathfrak{K} \cup \mathfrak{K}' = \mathfrak{F}$ by Corollary 2. Let $z \in \{z', z''\}$ such that $z \notin \mathfrak{K}$ (see Example 4) then $z \in \mathfrak{K}'$. Since $\mathfrak{K}' \in \mathfrak{L}$ and $z \rightarrow y$ (see Example 4) then $y \in \mathfrak{K}'$. Hence, $y \in \mathfrak{K} \cap \mathfrak{K}' = \perp$. Contradiction.

4 The Length

Let P be an ordered set. Then P is called a *chain* or *totally ordered set*, if for all $x, y \in P$, either $x \leq y$ or $y \leq x$ (that is, if any two elements of P are comparable). If $C = \{x_0, x_1, \dots, x_n\}$ is a finite chain in P with $\text{card}(C) = n + 1$, then we say the *length* of C is n . If C is infinite chain in P , then we say the *length* of C is $\text{card}(C)$. The length of the longest chain in P is called the *length* of P and is denoted by $\ell(P)$.

A machine $V = \langle Q_1 \times Q_2, A_1, B_2, (q_1, q_2), \circ, * \rangle$ is called a *series* of $V_1 = \langle Q_1, A_1, B_1, q_1, \circ', *' \rangle$ with $V_2 = \langle Q_2, B_1, B_2, q_2, \circ'', *'' \rangle$ if

$$\begin{aligned} (q', q'') \circ a &= (q' \circ' a, q'' \circ'' q' *' a), \\ (q', q'') * a &= q'' *'' q' *' a \end{aligned}$$

for all $(q', q'', a) \in Q_1 \times Q_2 \times A_1$.

Lemma 6 If $x \rightarrow y$ and $y \rightarrow z$ then $x \rightarrow z$.

Proof. Let $x \xrightarrow{V_1} y$ and $y \xrightarrow{V_2} z$. We can choose machines $V_1 = \langle Q_1, A_1, B_1, q_1, \circ', *' \rangle$ and $V_2 = \langle Q_2, A_2, B_2, q_2, \circ'', *'' \rangle$ so that $B_1 = A_2$. Then V the series of V_1 with V_2 transforms x to z .

Corollary 7 A set $V(x) = \{y \mid \exists V \in \mathfrak{M} \ x \xrightarrow{V} y\}$, where $x \in A^\omega$ and $A \in \text{Fin}(\mathfrak{A})$, is machine invariant.

Proof. Let $y \in V(x)$ and $y \rightarrow z$ then $x \rightarrow z$ by Lemma 6. Therefore $z \in V(x)$.

Corollary 8 $\text{card}(V(x)) = \aleph_0$, where \aleph_0 is the first infinite cardinality.

Proof. Since $\text{card}(\mathfrak{M}) = \aleph_0$ then $\text{card}(V(x)) \leq \aleph_0$. Note $\perp \subseteq V(x)$ by Corollary 2. Hence $\aleph_0 = \text{card}(\perp) \leq \text{card}(V(x))$. Therefore $\text{card}(V(x)) = \aleph_0$.

An order on C is called a *well-ordering* on C if C is a chain and every subset $S \subseteq C$ has a *minimal element*, that is, $\exists \cap S \in S$.

Theorem 9 (Zermelo) For every non-empty set C there exists a well-ordering on C .

Proposition 10 *There is a chain \mathfrak{C} in \mathfrak{L} such that $\text{card}(\mathfrak{C}) = \mathfrak{c}$, where $\mathfrak{c} = \text{card}(\mathbb{R})$, \mathbb{R} — the set of real numbers.*

Proof. The proof is an application of Zermelo's theorem.

Let $A \in \text{Fin}(\mathfrak{A})$ such that $\text{card}(A) > 1$ and \preceq be any well-ordering on A^ω , while $x \prec y$ means $x \preceq y$ and $x \neq y$. Then define $\mathfrak{K}(y) = \bigcup_{x \preceq y} V(x)$ and a chain $\mathcal{I} = \{y \mid \forall x \prec y \mathfrak{K}(x) \neq \mathfrak{K}(y)\}$ in A^ω . Since A^ω is well-ordered there is the minimal element $x^{(1)}$ in \mathcal{I} .

Now suppose that $x^{(1)} \prec x^{(2)} \prec \dots \prec x^{(k)}$ are the first k elements of the chain \mathcal{I} . Since $\forall i \text{card}(V(x^{(i)})) = \aleph_0$ and $\mathfrak{K}(x^{(k)}) = \bigcup_{i=1}^k V(x^{(i)})$ then $\text{card}(\mathfrak{K}(x^{(k)})) = \aleph_0$. Since $\text{card}(A^\omega) > \aleph_0$ then $\exists x \in A^\omega x \notin \mathfrak{K}(x^{(k)})$. Hence, the chain \mathcal{I} has at least the $k+1$ -st element $x^{(k+1)}$. Therefore, we can say proceeded by induction that $\text{card}(\mathcal{I}) \geq \aleph_0$.

Since $\bigcup_{x \in \mathcal{I}} V(x) \supseteq A^\omega$ it must follow that $\mathfrak{c} = \text{card}(A^\omega) \leq \text{card}(\bigcup_{x \in \mathcal{I}} V(x)) = \text{card}(\mathcal{I}) \leq \mathfrak{c}$. Let $\mathfrak{C} = \{\mathfrak{K}(x) \mid x \in \mathcal{I}\}$ then \mathfrak{C} is a chain in \mathfrak{L} and $\text{card}(\mathfrak{C}) = \text{card}(\mathcal{I}) = \mathfrak{c}$.

Corollary 11 *The length $\ell(\mathfrak{L}) = \mathfrak{c}$.*

Corollary 12 $\text{card}(\mathfrak{L}) \geq \mathfrak{c}$.

5 Subword Complexity

Let A be an alphabet then for each $n \geq 0$ we denote by A^n the set of all words of length n . The function $f_x(n) = \text{card}(A^n \cap F(x))$, where $x \in A^\omega$, is called the *subword complexity* of the word x (cf. [2]). The *growth function* of the word x is defined as $g_x(n) = \sum_{i=0}^n f_x(i)$.

Let f, g be total functions. We write $g = O(f)$, if there exists such $c > 0$ that $\forall n \in \mathbb{N} |g(n)| \leq c|f(n)|$. Let $\emptyset \neq \mathfrak{K} \subseteq \mathfrak{F}$. We say the *subword complexity* of the set \mathfrak{K} is f if $\forall x \in \mathfrak{K} f_x = O(f)$. Similarly, we say the *growth function* of the set \mathfrak{K} is f if $\forall x \in \mathfrak{K} g_x = O(f)$.

Lemma 13 *Let $V = \langle Q, A, B, q_0, \circ, * \rangle$ be any Mealy machine. If $x \xrightarrow{V} y$ then $\forall n f_y(n) \leq |Q| f_x(n)$.*

Proof. Let $x \xrightarrow{V} y$ and $u \in F(x)$ then there exist $q \in Q$ and $v \in F(y)$ such that $q * u = v$. Since $q \in Q$, it follows that machine V can transform the word u to $|Q|$ distinct words v at the very most.

Let $v \in F(y)$ and $|v| = n$ then there exist $u \in F(x)$ and $q \in Q$ such that $q * u = v$. Hence, u is transformed to v . Note $|u| = |v|$. Therefore, $f_y(n) \leq |Q| f_x(n)$.

Proposition 14 *Let $f : \mathbb{N} \rightarrow \mathbb{R}$ be any total function.*

- (i) *If $\mathfrak{K}_1 = \{x \in \mathfrak{F} \mid f_x = O(f)\}$ then \mathfrak{K}_1 is the machine invariant set.*
- (ii) *If $\mathfrak{K}_2 = \{x \in \mathfrak{F} \mid g_x = O(f)\}$ then \mathfrak{K}_2 is the machine invariant set.*

Proof. (i) Let $x \in \mathfrak{K}_1$ then $\forall n \in \mathbb{N} f_x(n) \leq c|f(n)|$ for some $c > 0$. Let $x \xrightarrow{V} y$, where $V = \langle Q, A, B, q_0, \circ, * \rangle$, then by Lemma 13 $f_y(n) \leq |Q| f_x(n) \leq c|Q||f(n)|$. Hence $f_y = O(f)$, that is, $y \in \mathfrak{K}_1$.

(ii) Let $x \in \mathfrak{K}_2$ then $\forall n \in \mathbb{N} g_x(n) \leq c|f(n)|$ for some $c > 0$. Let $x \xrightarrow{V} y$, where $V = \langle Q, A, B, q_0, \circ, * \rangle$, then $g_y(n) = \sum_{i=0}^n f_y(i) \leq \sum_{i=0}^n |Q| f_x(i) = |Q| \sum_{i=0}^n f_x(i) = |Q| g_x(n) \leq c|Q||f(n)|$. Hence $g_y = O(f)$, that is, $y \in \mathfrak{K}_2$.

6 Conclusion

We say a word $x \in \mathfrak{F}$ is *more complicated* as $y \in \mathfrak{F}$ if

$$\forall \mathfrak{K} \in \mathfrak{L} (x \in \mathfrak{K} \Rightarrow y \in \mathfrak{K}) \ \& \ \exists \mathfrak{K} \in \mathfrak{L} (x \notin \mathfrak{K} \ \& \ y \in \mathfrak{K}) .$$

So the lattice \mathfrak{L} gives classification of infinite words that covers some aspects of complexity. It seems natural if we choose more complicated words as ciphers. Proposition 14 comes up to our expectations that the lattice \mathfrak{L} would serve as a measure of words cryptographic quality.

It is worth to mention the idea that a lattice would serve as a measure of quality comes from fuzzy mathematics [6].

At this moment of course we have recognized a few elements of \mathfrak{L} . Therefore the problem, what is the structure of lattice \mathfrak{L} , remains.

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