

# Two-Way Visibly Pushdown Automata and Transducers \*

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## Abstract

Automata-logic connections are pillars of the theory of regular languages. Such connections are harder to obtain for transducers, but important results have been obtained recently for word-to-word transformations, showing that the three following models are equivalent: deterministic two-way transducers, monadic second-order (MSO) transducers, and deterministic one-way automata equipped with a finite number of registers. Nested words are words with a nesting structure, allowing to model unranked trees as their depth-first-search linearisations. In this paper, we consider transformations from nested words to words, allowing in particular to produce unranked trees if output words have a nesting structure. The model of visibly pushdown transducers allows to describe such transformations, and we propose a simple deterministic extension of this model with two-way moves that has the following properties: *i*) it is a *simple computational model*, that naturally has a good evaluation complexity; *ii*) it is *expressive*: it subsumes nested word-to-word MSO transducers, and the exact expressiveness of MSO transducers is recovered using a simple syntactic restriction; *iii*) it has *good algorithmic/closure properties*: the model is closed under composition with a unambiguous one-way letter-to-letter transducer which gives closure under regular look-around, and has a decidable equivalence problem.

**Categories and Subject Descriptors** F.4.3 [Mathematical Logic and Formal Languages]: Formal Languages

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## 1. Introduction

**Pillars of word language theory** The theory of languages is one of the deepest and richest theory in computer science, with successful applications such as, computer-aided verification and synthesis.

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A major reason for this success is the strong connections between models of languages, with quite different flavours, that are based on two important pillars: *computation and logic*. Perhaps one of the most famous example is the effective correspondence for regular languages of finite words between a low-level computational model, finite state automata, and a high-level declarative formalism, monadic second-order logic (MSO). Similar connections have been obtained for other structures (e.g. infinite words, finite and infinite trees, nested words) (Thomas 1997; Comon-Lundh et al. 2007). In some cases, it has been even possible to build a third pillar based on algebra. The class of regular languages for instance is known to be the class of languages with finite syntactic congruence.

**The logic/two-way/one-way trinity of word transductions** To model functions from (input) words to (output) words, i.e. *word transductions*, and more generally word binary relations, automata have been extended to *transducers*, i.e. automata with outputs. Whenever a transducer reads an input symbol, it can produce on the output a finite word, the final output word being the right concatenation of all the finite words produced along the way. To capture functions mirroring or copying twice the input word, transducers need to read the input word in both directions: this yields the class of *two-way finite state transducers* (2FST). Two-way transducers have appealing properties: they are closed under composition (Chytil and Jákł 1977) and if they are deterministic, their equivalence problem is decidable (in PSpace) (Gurari 1982; Culik and Karhumaki 1987) and the transduction can be evaluated in constant space (for a fixed transducer), the output being produced on-the-fly.

Impressively, in the late 90s, deterministic two-way transducers have been shown in (Engelfriet and Hoogetboom 2001) to correspond to monadic second-order transducers (MSOT), a powerful logical formalism introduced in (Courcelle 1994) in a more general context, with independent motivations. It was the first logic-transducer connection obtained for a class of transductions with high and desirable expressiveness. This correspondence has been extended to finite tree transductions (Engelfriet and Maneth 1999, 2003; Bloem and Engelfriet 2000).

Recently, an MSOT-expressive one-way model, *streaming string transducers* (SST), has been introduced in (Alur and Černý 2010, 2011): it uses registers that can store output words and can be combined and updated along the run in a linear (copyless) manner. The main advantage of this model is its one-wayness, but the price to pay is the space complexity of evaluation: it depends also on the size of the register contents.

The models MSOT, deterministic 2FST and deterministic SST have the same expressive power, and we refer to this correspondence as *the logic/two-way/one-way trinity*. This trinity has been extended to transductions of infinite words (Alur et al. 2012) and ranked trees (Courcelle and Engelfriet 2012; Alur and D’Antoni 2012). For trees, bi-directionality is replaced by a tree walking abil-

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ity: the transducer can move along the edges of the tree in any direction. However, to capture MSOT, the transducer needs to have *regular look-around*, i.e. needs to be able to test regular properties of the context of the tree node in which it is currently positioned (Courcelle and Engelfriet 2012). Look-arounds can be removed at the price of adding a pushdown store (Courcelle and Engelfriet 2012). For one-way machines, uni-directionality is modeled by fixing the traversal of the tree to be a depth-first left-to-right traversal and, as for words, to capture MSOT, the transducer needs to have registers (Alur and D’Antoni 2012). Tree-walking transducers with look-around, and tree transducers with registers are strictly more expressive than MSOT, but restrictions have been defined that capture exactly MSOT. Finally, let us mention the macro tree transducers, the first computational model shown to capture, with suitable restrictions, MSOT ranked tree transductions (Engelfriet and Maneth 1999, 2003; Bloem and Engelfriet 2000). This model has parallel computations, like a top-down tree automaton, and registers.

**Nested words** In this paper, we consider transductions of nested words to words. *Nested words* are words with a nesting structure, built over symbols of two kinds: call and return symbols<sup>1</sup>. In particular, nested words can model ordered unranked trees, viewed as their depth-first, left-to-right, linearisation, and in turn are a natural model of tree-structured documents, such as XML documents. *Visibly pushdown automata* (VPA) have been introduced in (Alur and Madhusudan 2009) as a model of regularity for languages of nested words. They are pushdown automata with a constrained stack policy: whenever a call symbol is read, exactly one symbol is pushed onto the stack, and when reading a return symbol, exactly one symbol is popped from the stack. Therefore, at any point, the height of the stack corresponds to the nesting level (call depth) of the word. Roughly, VPA are tree automata over linearised trees, and as such they inherit all the good closure and algorithmic properties of tree automata. However, viewing trees as nested words has raised motivating questions in the context of tree streams, such as streaming XML validation (Picalausa et al. 2011; Segoufin and Sirangelo 2007), streaming XML queries (Kumar et al. 2007; Gauwin et al. 2011), as well as streaming XML transformations (Filiot et al. 2011) (see also (Alur 2016) for other applications of VPA).

By using a matching predicate  $M(x, y)$  that holds true if  $x$  is a call symbol,  $y$  is a return symbol and is the matching return of  $x$ , MSO logic can be extended from words to nested words, and it is known to correspond to regular nested word languages (Alur and Madhusudan 2009).

**Nested word to word transductions** Besides the motivations given before for considering nested words instead of unranked trees, we argue that seeing unranked trees as nested word yields a natural and simple two-way model for transductions of nested words, presented later. On the output, we do not require the words to have a particular structure. It is not a weakness: nested words are words, and the model we introduce in this paper can as well produce output words that are nested.

VPA have been extended with output, yielding the class of *visibly pushdown transducers* (VPT, (Filiot et al. 2010)). When reading an input symbol, VPT can generate a word on the output. VPT have good algorithmic and closure properties, and are well-suited to a streaming context (Filiot et al. 2011). However, VPT suffer from a low expressive power, as they are only one-way, without registers.

Based on MSO for nested words, one can define MSO transducers *à la Courcelle* to define nested word to word transductions.

<sup>1</sup> Sometimes, internal symbols are also considered but in this paper, to ease the presentation, we omit them. This is wlog as an internal symbol  $a$  can be harmlessly replaced by a call symbol  $c_a$  followed by a return symbol  $r_a$ .

From now on, we refer to such MSO transducers as MSOT. A one-way model has already been defined in (Alur and D’Antoni 2012) that captures exactly MSOT. They extend VPA with registers that can store partial output words. Whenever a call symbol is read, the contents of the registers are pushed onto the stack and all the registers reset. On reading return symbols, they can combine the content of the current registers with the content of the registers stored on the stack, in a copyless fashion. The space complexity of evaluation for such transducers is linear in the length of the input nested word, and they have decidable equivalence problem.

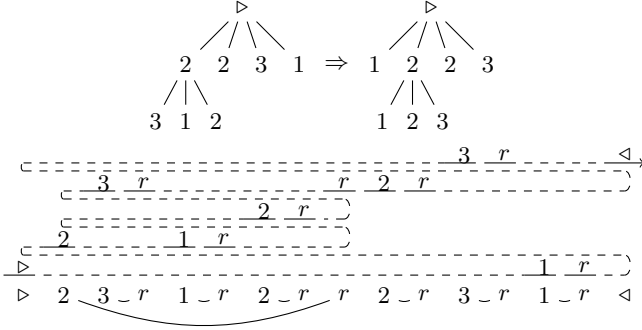
**Objective and two-way visibly pushdown transducers** Our main goal in this paper is to establish a logic/two-way/one-way trinity for nested word to word transductions. Since the logic/one-way connection has already been shown in (Alur and D’Antoni 2012), we want in particular to define a *two-way computational model* with the following requirements: it must be *conceptually simple*, at least as expressive as MSOT and have *decidable equivalence problem*.

To this aim, we introduce *deterministic two-way visibly pushdown transducers* (D2VPT) and show it meets the later requirements. D2VPT read their input in both directions, and their stack behaviour not only depends on the type of symbols they read, but also on the reading mode they are in, either backward or forward. In a forward mode, they behave just like VPT. On the backward mode, they behave like VPT where the call and return types are swapped: when reading a return symbol backward, they push a symbol onto the stack, and when reading a call symbol backward, they pop a symbol from the stack. They can change their mode at any moment, and produce words on the output.

Let us give now an illustrating example of a transduction  $f_s$  of nested words, which will be formalised in Example 1. Assume a set of call symbols  $\{1, \dots, n\}$  ordered by the total order on natural numbers, and one return symbol  $\{r\}$ . The transduction  $f_s$  sorts an input nested word in ascending order, recursively nesting level by nesting level, according to the order on calls. We assume inputs start and end with special symbols  $\triangleright$  and  $\triangleleft$  (call and return resp.). E.g.,  $f_s$  maps  $\triangleright 22r1rr1r3r\triangleleft$  to  $\triangleright 1r21r2rr3r\triangleleft$  and  $\triangleright 23r1r2rr2r3r1r\triangleleft$  to  $\triangleright 1r21r2r3rr2r3r\triangleleft$  (see Figure 1). To make  $f_s$  a function in case the same call symbol occurs twice at the same level,  $f_s$  preserves their order of appearance. The tree representation of this mapping is given in Figure 1 (omitting return symbols). The transduction  $f_s$  is easily implemented with a D2VPT  $T_s$ . To process a sequence of siblings at level  $k$ ,  $T_s$  works as follows: for  $i$  from 0 to  $n$ ,  $T_s$  performs a forward pass on the siblings (note that a sibling is actually a tree whose linearisation is of the form  $jwr$  where  $w$  is again a sequence of linearised trees). During this forward pass,  $T_s$  transforms a sibling  $jwr$  into  $\epsilon$  if  $j \neq i$ , and into  $iw'r$  otherwise, where  $w'$  is the result of sorting recursively  $w$ . To implement the loop, when  $T_s$  has finished the  $i$ -th forward pass, i.e. when it reads a return symbol at level  $j - 1$ , it comes back to its matching call and starts from there the  $(i + 1)$ -th forward pass, if  $i < n$ .

**Contributions** By linearising input trees, the simple and well-known concept of bi-directionality can be generalised naturally from words to trees. While D2VPT, as we show in this paper, allow one to lift known results from word transductions to nested word to word transductions, we think that D2VPT are an appealing model for the following reasons:

**memory efficiency** Regarding the complexity of evaluation, for a fixed D2VPT, computing the output word of an input nested word  $w$  can be done in space  $O(d(w))$ , where  $d(w)$  is the depth of  $w$ . Indeed, only the stack and current state need to be kept in memory when processing an input nested word. It is an appealing property when transforming large but not deep tree-structured documents, such as XML documents in general.



**Figure 1.** On top, the transformation of the input. Between siblings with the same labeling, the original order is preserved. Below, the run of the transducer. Dashed lines are non producing sequences.

**expressiveness** At the same time, we show that this efficiency does not entail expressive power: D2VPT can express all MSOT transductions. They are strictly more expressive than MSOT as they can for instance express transduction of *exponential size increase*, while MSOT are only of linear size increase. By putting a simple decidable restriction on D2VPT, called *single-useness*, D2VPT capture exactly MSOT transductions.

**algorithmic properties** Despite their high expressive power, D2VPT still have *decidable equivalence problem*. We also prove that preprocessing the input of a D2VPT by a letter-to-letter unambiguous VPT does not increase its expressive power, as their composition is again a D2VPT.

The proof of expressiveness relies on an existing correspondence between tree-walking and MSO transducers of ranked trees to words (Courcelle and Engelfriet 2012), and on the classical *first child-next sibling* (fcns for short) encoding of unranked trees into binary trees. As in (Courcelle and Engelfriet 2012), we use an intermediate automata model equipped with MSO look-around, and then show that these look-around tests can be removed. For the latter property, our proof differs from that of (Courcelle and Engelfriet 2012) in which a pushdown stack is used to update information on MSO-types. On binary trees, their model pushes the stack while moving to the first-child, but also while moving to the second child. This latter push corresponds, through the fcns encoding, to pushing a symbol while moving to the next sibling, an operation that is not allowed with a visibly pushdown stack. Hence, in order to prove that look-around tests can be removed in our model, we need a more involved construction, that extends a non-trivial result proven in (Hopcroft and Ullman 1967) for two-way automata on words. Decidability of D2VPT equivalence is done by reduction to deterministic top-down tree to word transducer equivalence, a problem which was opened for long and recently solved in (Seidl et al. 2015).

**Application 1: Unranked tree to word walking transducers** D2VPT can easily be translated into a pushdown walking model of unranked tree to word transductions. It works exactly as in the ranked tree case of (Courcelle and Engelfriet 2012): one stack symbol is pushed while going downward and popped while going upward. While moving along sibling relations, the stack is untouched. As a consequence of our results, this model, with single-use restriction, captures exactly MSOT. This model is discussed in the last section.

**Application 2: Query 2VPA** Deterministic two-way VPA have been introduced in (Madhusudan and Viswanathan 2009) as an equi-expressive model for MSO-definable unary queries on nested

words. Using (Neven and Schwentick 2002; Niehren et al. 2005), such queries can be shown to be equivalent to unambiguous VPA with special states which select the nested word positions that are answers to the query. As shown in (Madhusudan and Viswanathan 2009), unambiguity can be traded for determinism, at the price of adding two-wayness. This result comes as a consequence of ours: a one-way unambiguous selecting VPA can be seen as a deterministic VPT with look-around, that annotates the input positions selected by the VPA (look-around resolves nondeterminism), which can be transformed into a D2VPT using our results. The main ingredient of the proof of (Madhusudan and Viswanathan 2009) is also a Hopcroft-Ullman construction, but in a setting simpler than ours<sup>2</sup>.

**Organisation of the paper** In Section 2, we introduce two-way VPA and two-way VPA with look-around, define the notion of transition algebra for 2VPA and use this to show that they are equivalent to one-way VPA. As a consequence, they have decidable (exptime-c) emptiness problem. In Section 3, we introduce D2VPT and D2VPT with look-around, show that they are equivalent, and study their algorithmic properties. Section 4 is devoted to the expressiveness of D2VPT, with a comparison to MSOT and to other known models of nested word to word transductions. Due to lack of space, some results are proved in Appendix. Finally, all our expressiveness equivalences are effective.

## 2. Two-way visibly pushdown automata

### 2.1 Definitions

We introduce in this section two-way visibly pushdown automata, following the definition of (Madhusudan and Viswanathan 2009).

We consider a structured alphabet  $\Sigma$  defined as the disjoint union of call symbols  $\Sigma_c$  and return symbols  $\Sigma_r$ . The set of words over  $\Sigma$  is  $\Sigma^*$ . As usual,  $\epsilon$  denotes the empty word. Amongst words, the set of nested words  $\mathcal{N}(\Sigma)$  is defined as the least set such that  $\epsilon \in \mathcal{N}(\Sigma)$  and if  $w_1, w_2 \in \mathcal{N}(\Sigma)$  then both  $w_1 w_2$  and  $c w_1 r$  (for all  $c \in \Sigma_c$  and  $r \in \Sigma_r$ ) belong to  $\mathcal{N}(\Sigma)$ . In the following, we assume that input words of our models are always nested words. This is not restrictive as all our models can recognize and filter nested words.

For a word  $w \in \Sigma^*$ , its length is denoted by  $|w|$  and we denote by  $w(i)$  its  $i$ th symbol. Its set of positions is  $pos(w) = \{1, \dots, |w|\}$ , and for  $i, j \in pos(w)$  such that  $i < j$ , we say that  $(i, j)$  is a *matching pair* of  $w$  if  $w(i) \in \Sigma_c$ ,  $w(j) \in \Sigma_r$  and  $w$  can be decomposed into  $w = w_1 w(i) w_2 w(j) w_3$ , where  $w_1, w_3 \in \Sigma^*$ ,  $w_2 \in \mathcal{N}(\Sigma)$  and  $|w_1| = i - 1$ ,  $|w_2| = j - i - 1$ . Note that if  $w \in \mathcal{N}(\Sigma)$ , then necessarily,  $w_1 w_3 \in \mathcal{N}(\Sigma)$ .

When dealing with two-way machines, we assume the structured alphabet  $\Sigma$  to be extended into  $\bar{\Sigma}$  by adding two special symbols  $\triangleright, \triangleleft$  in  $\bar{\Sigma}_c$  and  $\bar{\Sigma}_r$  respectively, and we consider words with left and right markers from  $\triangleright \Sigma^* \triangleleft$ .

**DEFINITION 1.** A two way visibly pushdown automaton (2VPA for short)  $A$  over  $\bar{\Sigma}$  is given by  $(Q, q_I, F, \Gamma, \delta)$  where  $Q$  is a finite set of states,  $q_I \in Q$  is the initial state,  $F \subseteq Q$  is a set of final states and  $\Gamma$  is a finite stack alphabet. Given the set  $\mathbb{D} = \{\leftarrow, \rightarrow\}$  of directions, the transition relation  $\delta$  is defined by  $\delta^{push} \cup \delta^{pop}$  where

- $\delta^{push} \subseteq ((Q \times \{\rightarrow\} \times \Sigma_c) \cup (Q \times \{\leftarrow\} \times \Sigma_r)) \times ((Q \times \mathbb{D}) \times \Gamma)$
- $\delta^{pop} \subseteq ((Q \times \{\leftarrow\} \times \Sigma_c \times \Gamma) \cup (Q \times \{\rightarrow\} \times \Sigma_r \times \Gamma)) \times (Q \times \mathbb{D})$

Additionally, we require that for any states  $q, q'$  and any stack symbol  $\gamma$ , if  $(q, \leftarrow, \triangleright, \gamma, q', d) \in \delta^{pop}$  then  $d = \rightarrow$  and if  $(q, \rightarrow, \triangleleft, \gamma, q', d) \in \delta^{pop}$  then  $d = \leftarrow$ .

<sup>2</sup>They provide a construction for the composition of a co-deterministic VPA with an unambiguous VPA, while we study that of a D2VPA with an unambiguous VPA.

Informally, a 2VPA has a reading head pointing between symbols (and possibly on the left of  $\triangleright$  and on the right of  $\triangleleft$ ). A configuration of the machine is given by a state, a direction  $d$  and a stack content. The next symbol to be read is on the right of the head if  $d = \Rightarrow$  and on the left if  $d = \Leftarrow$ . Note that when reading the left marker from right to left  $\Leftarrow$  (resp. the right marker from left to right  $\Rightarrow$ ), the next direction can only be  $\rightarrow$  (resp.  $\Leftarrow$ ). The structure of the alphabet induces the behaviour of the machine regarding the stack when reading the input word: when reading on the right, a call symbol leads to push onto the stack while a return symbol pops a symbol from the stack. When reading on the left, a dual behaviour holds (hence, at a given position in the input word, the height of the stack is always constant at each visit to that position in the run). Finally, the state and the direction are updated.

Let  $w \in \mathcal{N}(\Sigma)$ . We set  $w(0) = \triangleright$  and  $w(|w| + 1) = \triangleleft$ . For a move  $d$  and  $0 \leq i \leq |w|$ , we denote by

- $\text{move}(d, i)$  the integer  $i - 1$  if  $d = \Leftarrow$  and  $i + 1$  if  $d = \Rightarrow$ .
- $\text{read}(w, d, i)$  the symbol  $w(i)$  if  $d = \Leftarrow$  and  $w(i + 1)$  if  $d = \Rightarrow$ .

Formally, a stack  $\sigma$  is a finite word over  $\Gamma$ . The empty stack/word over  $\Gamma$  is denoted  $\perp$ . For a word  $\triangleright w \triangleleft$  where  $w \in \mathcal{N}(\Sigma)$  and a 2VPA  $A = (Q, q_I, F, \Gamma, \delta)$ , a *configuration* of  $A$  is a triple  $(q, i, d, \sigma)$  where  $q \in Q$ ,  $0 \leq i \leq |w| + 1$ ,  $d \in \mathbb{D}$  and  $\sigma$  is a stack. A *run* of  $A$  on a word  $w$  is a finite non-empty sequence of configurations  $(q_0, i_0, d_0, \sigma_0)(q_1, i_1, d_1, \sigma_1) \dots (q_\ell, i_\ell, d_\ell, \sigma_\ell)$  where for all  $0 \leq j \leq \ell$ , the configuration  $(q_{j+1}, i_{j+1}, d_{j+1}, \sigma_{j+1})$  satisfies  $i_{j+1} = \text{move}(i_j, d_j)$  and

- if  $\text{read}(w, d_j, i_j) \in \Sigma_c$  and  $d_j = \Rightarrow$  or  $\text{read}(w, d_j, i_j) \in \Sigma_r$  and  $d_j = \Leftarrow$  then  $(q_j, d_j, \text{read}(w, d_j, i_j), q_{j+1}, d_{j+1}, \gamma) \in \delta^{\text{push}}$  and  $\sigma_{j+1} = \sigma_j \gamma$ .
- if  $\text{read}(w, d_j, i_j) \in \Sigma_c$  and  $d_j = \Leftarrow$  or  $\text{read}(w, d_j, i_j) \in \Sigma_r$  and  $d_j = \Rightarrow$  then  $(q_j, d_j, \text{read}(w, d_j, i_j), \gamma, q_{j+1}, d_{j+1}) \in \delta^{\text{pop}}$  and  $\sigma_{j+1} \gamma = \sigma_j$ .

By the special treatment of  $\triangleright$  and  $\triangleleft$  ensured by the definition of 2VPA, the indices  $i_j$  all belong to  $\{0, \dots, |w| + 1\}$ . Note also that any configuration is actually a run on the empty word  $\epsilon$ . A run on a nested word  $w$  is accepting whenever  $q_0 = q_I$ ,  $i_0 = 0$ ,  $d_0 = \Rightarrow$ ,  $\sigma_0 = \perp$  and  $q_\ell \in F$ ,  $i_\ell = |w| + 1$ ,  $d_\ell = \Leftarrow$ ,  $\sigma_\ell = \perp$ .

Note that  $A$  being a visibly pushdown automaton, for any two configurations in a run of  $A$  at the same position  $i$  in the word  $(q, i, d, \sigma)$  and  $(q', i, d', \sigma')$ , the stack  $\sigma, \sigma'$  have the same height/length.

The language  $\mathcal{L}(A)$  defined by  $A$  is the set of nested words  $w$  from  $\Sigma^*$  such that there exists an accepting run of  $A$  on  $\triangleright w \triangleleft$ .

**DEFINITION 2.** A two-way visibly pushdown automaton is

- deterministic (D2VPA for short) if we may write  $\delta^{\text{push}}, \delta^{\text{pop}}$  as functions from  $((Q \times \{\rightarrow\} \times \Sigma_c) \cup (Q \times \{\leftarrow\} \times \Sigma_r))$  to  $(Q \times \mathbb{D}) \times \Gamma$  and from  $((Q \times \{\leftarrow\} \times \Sigma_c \times \Gamma) \cup (Q \times \{\rightarrow\} \times \Sigma_r \times \Gamma))$  to  $Q \times \mathbb{D}$  respectively.
- codeterministic if we may write  $\delta^{\text{push}}, \delta^{\text{pop}}$  as injective applications, with the same type as in the previous item.
- unambiguous iff for any word  $w$ , there exists at most one accepting run on  $w$ .

Obviously, if  $A$  is (co)deterministic, for any word  $w$  from  $\mathcal{N}(\Sigma)$ , there exists a unique run on  $w$  in  $A$  from any fixed configuration. Hence, any (co)deterministic 2VPA is unambiguous. Note also that the determinism of  $A$  implies that any configuration can occur only once in some accepting run (otherwise, the machine would loop without reaching a final configuration).

A two-way visibly pushdown automaton is a (*one-way*) *visibly pushdown automaton* (VPA for short) whenever  $d' = d \Rightarrow$  for all  $(q, d, \alpha, q', d', \gamma')$  in  $\delta^{\text{push}}$  and for all  $(q, d, \alpha, \gamma, q', d')$  in  $\delta^{\text{pop}}$ .

For VPA, we may omit directions in the transition relation, configurations and runs.

Finally, we will denote DVPA the class of deterministic VPA. In this case, the transition relation is defined as a function omitting directions.

## 2.2 Transition algebra for 2VPA

Nested words from  $\mathcal{N}(\Sigma)$  (or  $\mathcal{N}(\overline{\Sigma})$ ) induce a natural algebra  $\mathbb{W} = (\mathcal{N}(\Sigma), \cdot, \{f_{c,r} \mid c \in \Sigma_c, r \in \Sigma_r\}, \epsilon)$  where  $\cdot$  is a binary operation, the  $f_{c,r}$  form a family of unary operations and  $\epsilon$  is a constant. The semantics of  $\epsilon$  is the empty word, of  $\cdot$  is concatenation and for any  $w$  in  $\mathcal{N}(\Sigma)$ ,  $f_{c,r}(w) = cwr$ . Obviously, the operators finitely generates  $\mathcal{N}(\Sigma)$  which can be seen as the free generated algebra over this signature quotiented by the associativity of  $\cdot$  and the neutrality of  $\epsilon$  wrt the concatenation  $\cdot$ .

**The traversal congruence  $\sim$**  Inspired by works on two-way automata on words (Pécuchet 1985; Shepherdson 1959), we study traversals of a 2VPA  $A$ . A traversal of some nested word  $w$  abstracts a run of  $A$  keeping track only of the fact that it starts reading the word from the left or from the right (depending on the initial direction) in some state  $p$  and leaves it in some state  $q$ . Now, formally, for any states  $p, q$ , and any two directions  $d_1, d_2 \in \mathbb{D}$ ,  $((p, d_1), (q, d_2))$  belongs to the traversal of  $w$  if there exists a run of  $A$  on  $w$  starting in the configuration  $(p, \text{pos}(d_1), d_1, \perp)$  and ending in  $(q, \text{pos}(d_2), d_2, \perp)$ , where

$$\begin{cases} \text{pos}(d_1) = 0 \text{ if } d_1 = \Rightarrow & \text{and } \text{pos}(d_1) = |w| \text{ otherwise} \\ \text{pos}(d_2) = |w| \text{ if } d_2 = \Rightarrow & \text{and } \text{pos}(d_2) = 0 \text{ otherwise} \end{cases}$$

Note that the reading starts either at the beginning or at the end of  $w$  depending on the initial current direction and that the final direction indeed leads to leave the word. One may associate with a nested word the set of its traversals and define a relation  $\sim$  on nested words such that  $u \sim v$  if  $u$  and  $v$  have the same traversals.

Obviously,  $\sim$  is an equivalence relation over  $\mathcal{N}(\Sigma)$  and we denote by  $[w]_\sim$  the set of traversals of a nested word  $w$ . We prove that  $\sim$  is actually a congruence, that is if  $w_1 \sim w_2$  and  $w'_1 \sim w'_2$  then  $f_{c,r}(w_1) = cw_1r \sim cw_2r = f_{c,r}(w_2)$  and  $w_1.w'_1 \sim w_2.w'_2$  for any nested words  $w_1, w'_1, w_2, w'_2$  in  $\mathcal{N}(\Sigma)$ .

**PROPOSITION 1.** The relation  $\sim$  is a congruence of finite index.

**The transition algebra  $\mathbb{T}_A$**  Based on Proposition 1, the congruence relation  $\sim$  induces a finite algebra  $\mathbb{T}_A = (\text{Trav}_A, \cdot^{\mathbb{T}_A}, \{f_{c,r}^{\mathbb{T}_A} \mid c \in \Sigma_c, r \in \Sigma_r\}, \epsilon^{\mathbb{T}_A})$  where the support is  $\text{Trav}_A$  the set of all traversals induced by  $A$ ,  $\cdot^{\mathbb{T}_A}$  is a binary operation which is associative, each  $f_{c,r}^{\mathbb{T}_A}$  is a unary operation and  $\epsilon^{\mathbb{T}_A}$  is a constant from  $\text{Trav}_A$  and a neutral element for  $\cdot^{\mathbb{T}_A}$ . More specifically,  $\epsilon^{\mathbb{T}_A} = [\epsilon]_\sim$ ,  $[u]_\sim \cdot^{\mathbb{T}_A} [v]_\sim = [uv]_\sim$  and  $f_{c,r}^{\mathbb{T}_A}([u]_\sim) = [cwr]_\sim$ . These operations are well-defined since  $\sim$  is a congruence.

Hence, there exists a unique and canonical morphism  $\mu_{\mathbb{T}_A}$  from  $\mathbb{W}$ , the algebra of nested words, onto  $\mathbb{T}_A$ , that satisfies  $\mu_{\mathbb{T}_A}(w) = [w]_\sim$ . We also denote  $[w]_\sim$  as  $w^{\mathbb{T}_A}$  since it can be considered as the interpretation of  $w$  (which is an element  $\mathbb{W}$ ) in  $\mathbb{T}_A$ .

The correction of this morphism  $\mu_{\mathbb{T}_A}$  directly implies:

**PROPOSITION 2.** Let  $A = (Q, q_I, F, \Gamma, \delta)$  be a 2VPA.  $\mathcal{L}(A) = \mu_{\mathbb{T}_A}^{-1}(\{m \in \text{Trav}_A \mid m \cap (\{q_I, \rightarrow\} \times F \times \{\rightarrow\}) \neq \emptyset\})$ .

Note that this statement corresponds to the classical notion of recognizability by some finite algebra.

## 2.3 From two-way visibly pushdown automata to visibly pushdown automata

In this subsection we give a reduction from 2VPA to VPA. While this result can be inferred from (Madhusudan and Viswanathan 2009), our Shepherdson-inspired approach gives an upper bound

on the complexity of the procedure. We first recall the notion of recognizability by finite algebra and show that this notion is equivalent to recognizability by DVPA. Then we prove the main result of this section appealing to the transition algebra  $\mathbb{T}_A$ .

Let  $\mathbb{A} = (D_{\mathbb{A}}, \cdot^{\mathbb{A}}, (f_{c,r}^{\mathbb{A}})_{(c,r) \in \Sigma_c \times \Sigma_r}, \epsilon^{\mathbb{A}})$  be a finite algebra such that  $\cdot^{\mathbb{A}}$  is associative having  $\epsilon^{\mathbb{A}}$  as neutral element. There exists a unique morphism  $\mu_{\mathbb{A}}$  from the algebra of nested words  $\mathbb{W}$  onto  $\mathbb{A}$ .

**DEFINITION 3.** A language  $\mathcal{L} \subseteq \mathcal{N}(\Sigma)$  is recognized by  $\mathbb{A}$  if there exists a set  $\mathcal{L}_{\mathbb{A}} \subseteq D_{\mathbb{A}}$  such that  $\mathcal{L} = \mu_{\mathbb{A}}^{-1}(\mathcal{L}_{\mathbb{A}})$ .

As an example, as shown in Proposition 2, a language  $\mathcal{L}$  defined by a 2VPA is recognized by the transition algebra  $\mathbb{T}_A$ . We show that recognizability by finite algebra implies DVPA recognizability.

**LEMMA 1.** If  $\mathcal{L}$  is recognized by a finite algebra  $\mathbb{A}$  then it is recognizable by a DVPA  $B_{\mathbb{A}}$ . Moreover, the size of  $B_{\mathbb{A}}$  is polynomial in the size of  $D_{\mathbb{A}}$ , the support of  $\mathbb{A}$ .

*Proof.* For  $\mathbb{A}$  and the set  $\mathcal{L}_{\mathbb{A}} \subseteq D_{\mathbb{A}}$ , we define the DVPA  $B_{\mathbb{A}} = (D_{\mathbb{A}}, \epsilon^{\mathbb{A}}, \mathcal{L}_{\mathbb{A}}, \Sigma_c \times D_{\mathbb{A}}, \delta_{B_{\mathbb{A}}})$  where  $\delta_{B_{\mathbb{A}}} = \delta_{B_{\mathbb{A}}}^{\text{push}} \cup \delta_{B_{\mathbb{A}}}^{\text{pop}}$  and  $\delta_{B_{\mathbb{A}}}^{\text{push}}(m^{\mathbb{A}}, c) = (\epsilon^{\mathbb{A}}, (c, m^{\mathbb{A}}))$ ,  $\delta_{B_{\mathbb{A}}}^{\text{pop}}(m'^{\mathbb{A}}, r, (c, m^{\mathbb{A}})) = m^{\mathbb{A}} \circ f_{c,r}^{\mathbb{A}}(m'^{\mathbb{A}})$ . Obviously,  $B_{\mathbb{A}}$  is deterministic. Its correctness can be proved by induction on nested words showing for all  $w \in \mathcal{N}(\Sigma)$ , there exists a run in  $B_{\mathbb{A}}$  on  $w$  from  $(m^{\mathbb{A}}, 0, \perp)$  to  $(m'^{\mathbb{A}}, |w|, \perp)$  iff  $m'^{\mathbb{A}} = m^{\mathbb{A}} \cdot^{\mathbb{A}} \mu_{\mathbb{A}}(w)$ . And so, for an accepting run on  $w$  from  $(\epsilon^{\mathbb{A}}, 0, \perp)$  to  $(m'^{\mathbb{A}}, |w|, \perp)$  with  $m'^{\mathbb{A}} \in \mathcal{L}_{\mathbb{A}}$ ,  $m'^{\mathbb{A}} = \mu_{\mathbb{A}}(w)$ . Hence,  $\mathcal{L}(B_{\mathbb{A}}) = \mu_{\mathbb{A}}^{-1}(\mathcal{L}_{\mathbb{A}})$ . Finally, note that the number of states of  $B_{\mathbb{A}}$  is precisely the cardinality of the support of  $\mathbb{A}$ .  $\square$

We can now come to the main result of this section.

**THEOREM 1.** For any 2VPA  $A$ , one can compute (in exponential time) a DVPA  $B$  such that  $\mathcal{L}(A) = \mathcal{L}(B)$  and the size of  $B$  is exponential in the size of  $A$ .

*Proof.* One can build from the 2VPA  $A$  the elements of  $\{[w]_{\sim} \mid w \in \mathcal{N}(\Sigma)\}$  and thus, the transition algebra  $\mathbb{T}_A$ , in exponential time. Then, by Lemma 1, a VPA  $B_{\mathbb{T}_A}$  is built from  $\mathbb{T}_A$ . The correctness follows from Proposition 2 for  $\mathcal{L}_{\mathbb{T}_A} = \{m^{\mathbb{T}_A} \in \text{Trav}_A \mid m^{\mathbb{T}_A} \cap (\{(q_1, \rightarrow)\} \times F \times \{\rightarrow\}) \neq \emptyset\}$ .  $\square$

**COROLLARY 1.** For any 2VPA  $A$ , deciding the emptiness of  $A$  (ie  $\mathcal{L}(A) = \emptyset$ ) is EXP TIME-C. The same result holds for D2VPA.

*Proof.* We prove the upper-bound for 2VPA and the lower bound for D2VPA. For the upper-bound, it suffices to build from  $A$  in exponential time a equivalent DVPA  $B$  possibly exponentially larger than  $A$  (Theorem 1). Then, emptiness of  $B$  can be tested in polynomial time (Alur and Madhusudan 2009).

The proof of the lower bound proceeds by a reduction of the emptiness problem of intersection of  $k$  deterministic top-down tree automata, that is known to be EXP TIME-C.

## 2.4 2VPA with look-around

As we will later on need the notion of look-around for transducers, we introduce it first for automata to ease the presentation. Hence, we extend the model of 2VPA with look-around. This feature will add a guard to each transition of the machine. This guard will require to be satisfied for the transition to be applied.

**DEFINITION 4.** A 2VPA with look-around (2VPA<sup>LA</sup> for short) is given by a triple  $(A, \lambda, B)$  such that  $A$  is a 2VPA and  $B$  a unambiguous VPA and  $\lambda$  is a mapping from the transitions of  $A$  to the states of  $B$ .

The notion of runs is adapted to take into account look-around as follows: in any run on some nested word  $w$ , for any two suc-

cessive configurations  $(q_j, i_j, d_j, \sigma_j)(q_{j+1}, i_{j+1}, d_{j+1}, \sigma_{j+1})$  obtained by a transition  $t$ , we require that there exists a unique accepting run on  $w$  in  $B$  and that this run contains a configuration of the form  $(\lambda(t), \text{read}(w, d_j, i_j), \sigma)$ .

The definition of accepting runs remains the same and the language defined by such machines is defined accordingly.

The notion of one-wayness extends trivially to 2VPA with look-around. For determinism, we ask the look-around to be disjoint on transitions with the same left hand-side: for any two different transitions of  $A$ ,  $t_1 = (q, d, a, q'_1, d'_1, \gamma_1)$ ,  $t_2 = (q, d, a, q'_2, d'_2, \gamma_2)$  in  $\delta_c$  (resp.  $t_1 = (q, d, a, \gamma, q'_1, d'_1)$ ,  $t_2 = (q, d, a, \gamma, q'_2, d'_2)$  in  $\delta_r$ ), it holds that  $\lambda(t_1) \neq \lambda(t_2)$ .

Non-surprisingly, 2VPA are closed under look-around:

**THEOREM 2.** Given a 2VPA<sup>LA</sup>  $(A, \lambda, B)$ , there exists a VPA  $A'$  such that  $\mathcal{L}((A, \lambda, B)) = \mathcal{L}(A')$ .

## 3. Two-way visibly pushdown transducers

### 3.1 Definitions

Let  $\Sigma, \Delta$  be two finite alphabets such that  $\Sigma$  is structured. Two-way visibly pushdown transducers (2VPT) from  $\Sigma$  to  $\Delta$  extend 2VPA over  $\Sigma$  with a one-way-left-to-right output tape. They are defined as a pair  $T = (A, O)$  where  $A$  is a 2VPA over  $\Sigma$  and  $O$  is a morphism from the set of rules of  $A$  to words in  $\Delta^*$ .

A run of a 2VPT  $T = (A, O)$  on an input word  $w \in \mathcal{N}(\Sigma)$  is a run  $\rho$  of  $A$  on  $w$ . We say the run is accepting if it is in  $A$ . A run  $\rho$  may be simultaneously a run on a word  $w$  and on a word  $w' \neq w$ , however, when the underlying input word  $w$  is given, there is a unique sequence of transitions  $t_1 t_2 \dots t_n$  associated with  $\rho$  and  $w$ . In this case, the output produced by the run  $\rho$  on  $w$  is defined as the word  $v = O(t_1)O(t_2) \dots O(t_n) \in \Delta^*$ . This word is denoted by  $\text{out}^w(\rho)$ . If  $\rho$  contains a single configuration, then we let  $\text{out}^w(\rho) = \epsilon$ . The transduction defined by  $T$  is the relation

$$\llbracket T \rrbracket = \{(w, \text{out}^w(\rho)) \in \mathcal{N}(\Sigma) \times \Delta^* \mid \rho \text{ is an accepting run of } T \text{ on } w\}.$$

We say that  $T$  is *functional* if  $\llbracket T \rrbracket$  is a function, and that  $T$  is *deterministic* (resp. *unambiguous*) if  $A$  is deterministic (resp. unambiguous). The class of deterministic two-way visibly pushdown transducers is denoted D2VPT. Observe that if  $T$  is deterministic or unambiguous, then it is trivially functional. Last, when  $T$  is functional, we may interpret the relation  $\llbracket T \rrbracket$  as a partial function on  $\mathcal{N}(\Sigma)$ : given a word  $w \in \mathcal{N}(\Sigma)$ , denote by  $\llbracket T \rrbracket(w)$  the unique word  $v \in \Sigma^*$  such that  $(w, v) \in \llbracket T \rrbracket$ , whenever it exists. To ease readability, we may simply write  $T$  to denote  $\llbracket T \rrbracket$  when it is clear from the context, for example when considering composition of functions.

We consider classes of one-way visibly pushdown transducers, obtained by considering the corresponding classes of one-way visibly pushdown automata. The notions of functional, deterministic and unambiguous transducers are naturally defined for these transducers, and we denote by (D)VPT the class of (deterministic) one-way visibly pushdown transducers. Last, we say that a VPT  $T = (A, O)$  from  $\Sigma$  to  $\Delta$  is *letter-to-letter* if  $\Delta$  is a structured alphabet and if  $O$  maps every call transition of  $A$  to an element of  $\Delta_c$  and every return transition of  $A$  to an element of  $\Delta_r$ .

2VPT (resp. D2VPT) can be extended with look-around, as we did for 2VPA. Formally, a two-way visibly pushdown transducer with look-around (2VPT<sup>LA</sup> for short) is a pair  $T = (A', O)$  where  $A' = (A, \lambda, B)$  is a 2VPA<sup>LA</sup> and  $O$  is a morphism from the set of rules of  $A$  to words in  $\Delta^*$ . We say that such a machine is deterministic if the 2VPA<sup>LA</sup>  $A$  is deterministic, the resulting class being denoted by D2VPT<sup>LA</sup>.

**EXAMPLE 1.** We now formally express the transduction given in the introduction (see Figure 1). Let  $Q = \{q_1, \dots, q_n\} \cup \{q_{i,j} \mid$

$1 \leq i, j \leq n$  or  $i = \triangleright\} \cup \{q_f\}$  be the set of states with initial state  $q_1$  and final state  $q_f$ , a set of stack symbols  $\Gamma = \{\perp\} \cup \{i \mid i = 1, \dots, n\}$ , and for all  $i, j, k \in \{\triangleright, 1, \dots, n\}$ , we have the rules:

$$\begin{array}{llll} q_i, \rightarrow & \xrightarrow{i|i, +i} & q_1, \rightarrow & q_n, \rightarrow \xrightarrow{r|r, -j} & q_j, \rightarrow \\ q_i, \rightarrow & \xrightarrow{(j, r)} & q_i, \rightarrow \text{ if } j \neq i & q_{i, j}, \leftarrow \xrightarrow{(j, r)} & q_{i, j}, \rightarrow \\ q_i, \rightarrow & \xrightarrow{r|\epsilon, -j} & q_{i, j}, \leftarrow \text{ if } i < n & q_{i, j}, \rightarrow \xrightarrow{k|\epsilon, +j} & q_{i+1}, \rightarrow \end{array}$$

The markers are treated as letters, except that they push  $\perp$  instead of  $\triangleright$  and upon popping  $\perp$  in state  $q_n$ , the transducer goes to  $q_f$  and accepts. The transitions labeled by  $(j, r)$  are macros corresponding to moves along matching relation, which can easily be implemented.

**Evaluation** Observe here that if a transformation is given as a D2VPT  $T$ , then one can evaluate it using a memory linear in the depth of the input word  $w$  (we assume  $w$  can be accessed as we want on some media). Indeed, one simply needs to store the current configuration of  $T$ , given as a state and a stack content.

### 3.2 Closure under composition

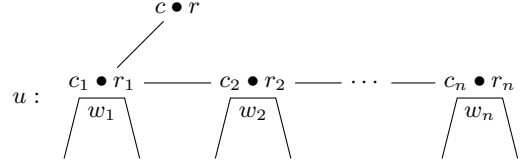
We prove in this subsection that 2VPT are closed by composition with a letter-to-letter unambiguous VPT, extending a similar result for transducers on words (Hopcroft and Ullman 1967). This will reveal useful to show that D2VPT are closed under look-around. First, we extend to nested words a result that was known for finite transducers:

**LEMMA 2.** *Any unambiguous VPT  $T$  can be written as the composition of two VPT  $T_1 \circ T_2$ , where  $T_1$  is deterministic and  $T_2$  is letter-to-letter and co-deterministic. Furthermore, if  $T$  is letter-to-letter, so is  $T_1$ .*

**THEOREM 3.** *Given a letter-to-letter DVPT  $A$  and a 2VPT  $B$ , we can construct a 2VPT  $C$  that realizes the composition  $C = B \circ A$ . If furthermore  $B$  is deterministic, then so is  $C$ .*

*Proof.* We first notice that since we are considering visibly push-down machines and the first machine is letter-to-letter, the stacks of both machines are always synchronized, meaning that they have the same height on each position. Then, let us remark that when the 2VPT moves to the right, we can do the simulation in a straight forward fashion by simulating it on the production of the one-way. It becomes more involved when it moves to the left. We then need to rewind the run of the one-way, and nondeterminism can arise. To bypass this, let us recall that a similar construction from (Hopcroft and Ullman 1967) exists for classical transducers, and that the rewinding is done through a back and forth reading of the input, backtracking the run up to a position where the nondeterminism is cleared, and then moving back to the current position. The method is to compute the set of possible candidates for the previous state, and keep moving to the left until we reach a position  $i$  where there is only one path left leading to the starting position  $j$ . Afterward, we simply follow this path along another one from position  $i + 1$ . As we know that they will merge at position  $j$ , we can stop at position  $j - 1$  with the correct state. If we reach the beginning of the word with multiple candidates, we do the same procedure, the correct path being the one starting from the initial state.

This cannot be done as such on pushdown transducers since rewinding the run might lead to popping the stack, and losing information. However, if at each push position, we push not only the stack symbols but also the current state, we are able, when rewinding the run, to clear the nondeterminism as soon as we pop this information by using it as a *local initial state*, limiting the back and forth reading to the current subhedge. The overall construction can be seen as a classical Hopcroft-Ullman construction on hedges, abstracted as words over the left-to-right traversals of their subhedges,



**Figure 2.** The nested word  $cc_1w_1r_1c_2w_2r_2 \dots c_nw_nr_n$  is abstracted as a word  $u$  over letters  $(c_i, S_i, r_i)$  where  $S_i$  is the summary of  $w_i$ . The position labelled by  $c$  serves as initial position of the word and the corresponding state was pushed to the stack upon reading it.

which are called summaries in (Alur and Madhusudan 2009) (see Figure 2). These summaries can be computed on-demand by a one-way automaton.

Finally, note that to apply this construction, we need to push this local initial state each time we enter a subhedge, whether we enter from the right or from the left. This can be maintained since when entering from the left, it simply corresponds to the current state and when entering from the right, this state is computed by the Hopcroft-Ullman construction. Note also that the Hopcroft-Ullman routine is deterministic, and consequently the construction preserves determinism.  $\square$

**THEOREM 4.** *Let  $A$  be a D2VPT and  $relab$  be an unambiguous letter-to-letter VPT. Then the composition  $A \circ relab$  can be defined by a D2VPT.*

*Proof.* The proof is straightforward using previous results. First, Lemma 2 states that  $relab$  can be decomposed in  $T_1 \circ T_2$ , where  $T_1$  is a deterministic VPT and  $T_2$  is a co-deterministic one, and both are letter-to-letter, i.e  $A \circ relab = A \circ T_1 \circ T_2$ . Now Theorem 3 states that we can construct a D2VPT  $A'$  that realizes the composition  $A \circ T_1$ . Finally, as a co-deterministic VPT can be seen as a deterministic one going right-to-left, a symmetric construction of Theorem 3 on  $A' \circ T_2$  gives a D2VPT that realizes  $A \circ relab$ .  $\square$

A look-around can be viewed as an MSO formula with one free variable, and it is satisfied iff the formula is satisfied at this position. In (Madhusudan and Viswanathan 2009), the authors consider MSO queries on nested words. An MSO query is an MSO formula with one free variable that annotates the positions of the input word that satisfies it. They proved, using a Hopcroft-Ullman argument, that MSO queries were also implemented by D2VPA. Theorem 4 proves that looks-around can be done on the fly while following the run of another D2VPA. Since a look-around can be encoded as an unambiguous letter-to-letter VPT, we get the following corollary, that subsumes the result by (Madhusudan and Viswanathan 2009).

**COROLLARY 2.**  $D2VPT = D2VPT^{LA}$ .

### 3.3 Decision problems

We consider the following type-checking problem: given a VPA  $A_1$  on  $\Sigma$ , a finite-state automaton  $A_2$  on  $\Delta$ , and a D2VPT  $T$  from  $\mathcal{N}(\Sigma)$  to  $\Delta^*$ , decide whether for every word  $w \in \mathcal{L}(A_1)$ ,  $\llbracket T \rrbracket(w)$  belongs to  $\mathcal{L}(A_2)$ . This property is denoted by  $T(A_1) \subseteq A_2^3$ . The equivalence problem asks whether given two D2VPT as input, they define the same transduction. We prove the following result:

**THEOREM 5.** 1. *The inverse image of a regular language of words by a D2VPT is recognizable by a VPA.*  
2. *The type-checking problem for D2VPT is EXPTIME-complete.*

<sup>3</sup>If  $A_2$  is a VPA, the problem is known to be undecidable even for  $T$  a DVPT (Raskin and Servais 2008).

### 3. The equivalence problem for D2VPT is decidable.

*Proof.* We prove the three results independently.

(1) Given a D2VPT  $T = (A, O)$  and an automaton on words  $B$ , we can define a 2VPA  $A'$  as a product construction of  $A$  and  $B$  which simulates  $B$  on the production by  $O$ . States of  $A'$  are simply pairs of states of  $A$  and  $B$ , and  $A'$  recognizes  $\{w \in \mathcal{N}(\Sigma) \mid \llbracket T \rrbracket(w) \in \mathcal{L}(B)\} = \llbracket T \rrbracket^{-1}(\mathcal{L}(B))$ . Observe that the construction is linear in the sizes of  $A$  and  $B$ , and that as  $B$  may be non-deterministic,  $A'$  may also be non-deterministic.

(2) EXPTIME membership: as in the proof of the previous item, we can build a 2VPA  $A$  whose size is linear in the sizes of  $T$  and  $A_2$ , and such that  $\mathcal{L}(A) = \llbracket T \rrbracket^{-1}(\mathcal{L}(A_2))$ . Thus,  $T(A_1) \subseteq A_2$  holds iff  $\mathcal{L}(A_1) \subseteq \mathcal{L}(A)$  holds. This can be checked in EXPTIME thanks to Theorem 1.

EXPTIME hardness: we reduce the problem of emptiness of a D2VPA  $A$ . From  $A$ , we build a D2VPT  $T = (A, O)$  such that  $O$  maps every transition of  $A$  to the empty word  $\epsilon$ . Then, we let  $A_1$  be a VPA such that  $\mathcal{L}(A_1) = \mathcal{N}(\Sigma)$  and  $A_2$  such that  $\mathcal{L}(A_2) = \emptyset$ . Then  $T(A_1) \subseteq A_2$  holds iff  $\mathcal{L}(A) = \emptyset$ .

(3) As proved in Section 4, D2VPT are included in the class of deterministic hedge-to-string transducers with look-ahead, *i.e.* deterministic top-down tree-to-string transducers with look-ahead, run on the first-child-next-sibling encoding of the input hedge. The equivalence problem for these machines has recently been proven decidable in (Seidl et al. 2015).  $\square$

## 4. Expressiveness of Two-Way Visibly Pushdown Transducers

In this section, we study the expressiveness of D2VPT by comparing them with Courcelle's MSO-transductions casted to nested words, the one-way model of (Alur and D'Antoni 2012), and a top-down model for hedges, inspired by top-down tree-to-string transducers.

### 4.1 MSO-definable Transductions

We first define MSO for nested words and words, as done in (Alur and Madhusudan 2009), and then MSO-transductions from nested words to words, based on Courcelle's MSO-definable graph transductions (Courcelle 1994).

**MSO on nested words and words** Let  $\Sigma$  be a structured alphabet. A nested word  $w \in \mathcal{N}(\Sigma)$  is viewed as a structure with  $\text{pos}(w)$  as domain, over the successor predicate  $S(x, y)$  interpreted as pairs  $(i, i + 1)$  for  $i \in \text{pos}(w) \setminus \{|w|\}$ , the label predicates  $\sigma(x)$  for  $\sigma \in \Sigma$ , interpreted by the positions labeled by  $\sigma$ , and the matching predicate  $M(x, y)$  interpreted as the set of matching pairs in  $w$ .

Monadic second-order logic (MSO) extends first-order logic with quantification over sets. First-order variables  $x, y, \dots$  are interpreted by positions of words, while second-order variables  $X, Y, \dots$  are interpreted by sets of positions. *MSO formulas for nested words over  $\Sigma$*  are defined by the following grammar:

$$\varphi ::= \sigma(x) \mid x \in X \mid S(x, y) \mid M(x, y) \mid \neg\varphi \mid \varphi \vee \varphi \mid \exists x.\varphi \mid \exists X.\varphi$$

where  $\sigma \in \Sigma$ . The semantics of an MSO formula is defined in a classical way, and for  $\varphi$  an MSO formula,  $w \in \mathcal{N}(\Sigma)$ ,  $\nu$  a valuation of the free variables of  $\varphi$  into positions and sets of positions of  $w$ , we write  $w, \nu \models \varphi$  to mean that  $w$  is a model of  $\varphi$  under the valuation  $\nu$ . When  $\varphi$  is a sentence, we just write  $w \models \varphi$ . We denote by  $\text{MSO}_{\text{nw}}[\Sigma]$  the set of MSO formulas for nested words over  $\Sigma$  (and just  $\text{MSO}_{\text{nw}}$  when  $\Sigma$  is clear from the context). Since we are interested in transductions from nested words to words, we also define MSO for words. Similarly as nested words, words are seen as structures but in that case we do not have the matching pair predicate  $M(x, y)$ . MSO formulas on words are defined accordingly to this smaller signature.

**EXAMPLE 2.** We interpret  $\text{MSO}_{\text{nw}}[\Sigma]$  on nested words rather than on words in  $\Sigma^*$ . It is not a restriction since checking whether a given relation  $M(x, y)$  is a valid matching relation is definable by an MSO formula  $\phi_{\text{wn}}$ . This formula expresses that  $M$  is a bijection between call and return symbols, and that it is well-nested (there is no crossing), as follows:

$$\neg \exists x_c, x_r, y_c, y_r. M(x_c, x_r) \wedge M(y_c, y_r) \wedge x_c \prec y_c \prec x_r \prec y_r \\ \wedge \text{bij}(M) \wedge \forall x, y. M(x, y) \rightarrow x \prec y$$

where  $\prec$  is the transitive closure of  $S$  (well-known to be MSO-definable) and  $\text{bij}(M)$  expresses that  $M$  maps bijectively call and return symbols (it is trivially MSO-definable).

**MSO transducers from nested words to words** MSO-transducers define (partial) functions from nested words to word structures. The output word structure is defined by taking a fixed number  $k$  of copies of the input structure domain. Nodes of these copies can be filtered out by  $\text{MSO}_{\text{nw}}$  formulas with one free first-order variable. In particular, the nodes of the  $c$ -th copy are the input positions that satisfy some given  $\text{MSO}_{\text{nw}}$  formula  $\phi_{\text{pos}}^c(x)$ . The label predicates  $\sigma(x)$  and the successor predicate  $S(x, y)$  of the output structure are defined by  $\text{MSO}_{\text{nw}}$  formulas with respectively one and two free first-order variables, interpreted over the input structure. Formally, an *MSO-transducer from nested words to words* is a tuple  $T =$

$$(k, \phi_{\text{dom}}, (\phi_{\text{pos}}^c(x))_{1 \leq c \leq k}, (\phi_{\sigma}^c(x))_{\substack{1 \leq c \leq k \\ \sigma \in \Sigma}}, (\phi_S^{c,d}(x, y))_{1 \leq c, d \leq k})$$

where  $k \in \mathbb{N}$  and the formulas  $\phi_{\text{dom}}, \phi_{\text{pos}}^c, \phi_a^c$  and  $\phi_S^{c,d}$  are  $\text{MSO}_{\text{nw}}$  formulas. We denote by  $\text{MSO}[\text{nw}2\text{w}]$  the class of MSO-transducers from nested words to words.

An MSO-transducer  $T$  defines a function from nested word structures over  $\Sigma$  to word structures over  $\Sigma$ , denoted by  $\llbracket T \rrbracket$ . The domain of  $\llbracket T \rrbracket$  consists of all nested word structures  $u$  such that  $u \models \phi_{\text{dom}}$ . Given a nested word structure  $u \in \text{dom}(\llbracket T \rrbracket)$ , the *output structure*  $v$  such that  $(u, v) \in \llbracket T \rrbracket$  is defined by the domain  $D^v \subseteq \text{pos}(u) \times \{1, \dots, k\}$  such that  $D^v = \{(i, c) \mid i \in \text{pos}(u), c \in \{1, \dots, k\}, u \models \phi_{\text{pos}}^c(i)\}$ , a node  $(i, c) \in D^v$  of the output structure is labeled  $a \in \Sigma$  if  $u \models \phi_a^c(i)$ , and a node  $(j, d) \in D^v$  is the successor of a node  $(i, c) \in D^v$  if  $u \models \phi_S^{c,d}(i, j)$ . Note that the output structure is not necessarily a word, because for instance, nothing guarantees that an output node is labeled by a unique symbol, or that the successor relation forms a linear order on the positions. However, it is not difficult to see that it is decidable whether an  $\text{MSO}[\text{nw}2\text{w}]$  transducer produces only words (see for instance (Filiot 2015)).

We say that a function  $f$  from nested words to words is MSO-definable if there exists an  $T \in \text{MSO}[\text{nw}2\text{w}]$  such that  $\llbracket T \rrbracket = f$ . By definition of  $\text{MSO}[\text{nw}2\text{w}]$  transducers, for any MSO-definable function  $f$  there exists  $k \in \mathbb{N}$  such that for all  $u \in \text{Dom}(f)$ ,  $|f(v)| \leq k \cdot |u|$  (by taking  $k$  as the number of copies of the  $\text{MSO}[\text{nw}2\text{w}]$  transducer defining  $f$ ). We say in that case that  $f$  is of *linear-size increase*.

**EXAMPLE 3.** This example transforms a nested word into the sequence of calls of maximal depth (the leaves). E.g.,  $c_1c_2r_2c_3c_4r_4r_3r_1$  is mapped to  $c_2c_4$ . This transformation is MSO-definable. The domain is defined by the formula  $\phi_{\text{wn}}$  (see Example 2). One needs only one copy of the input word, whose positions are filtered out by the formula  $\phi_{\text{pos}}^1(x) = \exists y. M(x, y) \wedge S(x, y)$  which holds true iff  $x$  is a call position and its successor position  $y$  is its matching return position. The labels are preserved:  $\phi_a^1(x) = a(x)$  for all  $a \in \Sigma$ . Finally, the successor relation is defined by  $\phi_S^{1,1}(x, y) = \phi_{\text{pos}}^1(x) \wedge \phi_{\text{pos}}^1(y) \wedge x \prec y \wedge \neg \exists z. \phi_{\text{pos}}^1(z) \wedge x \prec z \prec y$ .

### 4.2 Logical equivalences

An  $\text{MSO}[\text{nw}2\text{w}]$   $T$  is said to be *order-preserving* if for any word  $u$  of the domain of  $T$ , any positions  $i, j$  of  $u$  and any copies  $c, d$  of  $T$ ,

if  $u \models \phi_S^c(i, j)$  then  $i \leq j$ . This means that the output arrows can not point to the right. It is emphasized by the next theorem, which echoes a similar result on words proved in (Bojanczyk 2014; Filiot 2015).

**THEOREM 6.** *An order-preserving transduction is definable in  $\text{MSO}[\text{nw}2w]$  if, and only if, it is definable by a functional<sup>4</sup> VPT.*

In the following, we show that  $\text{D2VPT}$  are strictly more expressive than  $\text{MSO}[\text{nw}2w]$ , and define a restriction that capture exactly  $\text{MSO}[\text{nw}2w]$ . The fact that  $\text{D2VPT}$  are more expressive than  $\text{MSO}[\text{nw}2w]$  can be easily shown, based on a similar result for ranked trees established in (Courcelle and Engelfriet 2012). Since  $\text{D2VPT}$  can, using their stack, express transductions of exponential-size increase, while  $\text{MSO}$ -transductions are of linear-size increase, they are strictly more expressive than  $\text{MSO}[\text{nw}2w]$ .

To capture exactly  $\text{MSO}[\text{nw}2w]$ , one defines the *single-use restriction* for  $\text{D2VPT}$  (and  $\text{D2VPT}^{\text{LA}}$ ). Intuitively, this restriction requires that when a  $\text{D2VPT}$  passes twice at the same position with the same state, then necessarily the transitions fired from these states produces  $\epsilon$ .

**DEFINITION 5** (Single-use restriction). A  $\text{D2VPT}$  (resp.  $\text{D2VPT}^{\text{LA}}$ )  $T = (A, O)$  with  $A = (Q, q_I, F, \Gamma, \delta)$  a  $2\text{VPA}$  (resp.  $2\text{VPA}^{\text{LA}}$ ) is single-use with respect to a set  $P \subseteq Q$  if any transition  $t$  from a state  $q \notin P$  satisfies  $O(t) = \epsilon$ , and if for all runs  $r = (q_0, i_0, d_0, \sigma_0) \dots (q_\ell, i_\ell, d_\ell, \sigma_\ell)$  of  $T$  on a word  $w$  and all states  $p \in P$ ,  $r$  does not visit twice the same position in state  $p$ , i.e. if  $(q_\alpha, i_\alpha) = (q_\beta, i_\beta)$  for  $\alpha \neq \beta$ , then  $q_\alpha = q_\beta \notin P$ .

A  $\text{D2VPT}$  (resp.  $\text{D2VPT}^{\text{LA}}$ ) is single-use if it is single-use w.r.t. some set  $P \subseteq Q$ , and strongly single-use if it is single-use w.r.t.  $Q$ .

We denote by  $\text{D2VPT}_{\text{su}}$  (resp.  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ ) the class of single-use  $\text{D2VPT}$  (resp.  $\text{D2VPT}^{\text{LA}}$ ). By reduction to the  $\text{D2VPA}$  emptiness, we get:

**PROPOSITION 3.** *Deciding the single use property on a  $2\text{VPT}$  is  $\text{EXPTIME-C}$ .*

A single-use restriction was already defined in (Courcelle and Engelfriet 2012) for deterministic tree-walking transducers with look-around to capture  $\text{MSO}$ -transductions from trees to trees (and words). It requires that in any accepting run, every node is visited at most once by a state. It is therefore more restrictive than our single-restriction and, as a matter of fact, corresponds to what we call the strongly single-use restriction. However, the following result shows that the strongly single-use restriction is not powerful enough, in our context, to capture all  $\text{MSO}$ -definable transductions, even with regular look-arounds.

**LEMMA 3.** *There is an  $\text{MSO}$ -definable nested word to word transduction  $f$  which is not definable by strongly single-use  $\text{D2VPT}^{\text{LA}}$ .*

We now proceed to the first logical equivalence, between our model and  $\text{MSO}$ -transductions, which is mainly a consequence of results from (Courcelle and Engelfriet 2012).

**THEOREM 7.** *Let  $f$  be a transduction from nested words to words. Then  $f$  is  $\text{MSO}$ -definable iff it is definable by a (look-around)  $\text{D2VPT}_{\text{su}}$ , i.e.,*

$$\text{MSO}[\text{nw}2w] = \text{D2VPT}_{\text{su}}^{\text{LA}} = \text{D2VPT}_{\text{su}}.$$

*Sketch of proof.* We show that both other models are equivalent to  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ . We have already seen that look-around can be

removed from  $\text{D2VPT}^{\text{LA}}$  (Theorem 2), while preserving their expressive power. Our Hopcroft-Ullman's construction can add exponentially more visits to the same positions, but these visits are only  $\epsilon$ -producing. In other words, our Hopcroft-Ullman's construction does not preserve the strongly single-use restriction, but it preserves the single-use restriction. As a consequence of this observation and Corollary 2, we obtain that  $\text{D2VPT}_{\text{su}} = \text{D2VPT}_{\text{su}}^{\text{LA}}$ .

To show  $\text{MSO}[\text{nw}2w] \subseteq \text{D2VPT}_{\text{su}}^{\text{LA}}$ , we rely on the equivalence of (Courcelle and Engelfriet 2012) between deterministic binary tree to word walking transducers with look-around ( $\text{DTWT}^{\text{LA}}$ ) and  $\text{MSO}$ -transductions from binary trees to words ( $\text{MSO}[\text{b}2w]$ ). Informally,  $\text{DTWT}^{\text{LA}}$  can follow the directions of binary trees (1st child, 2nd child and parent) and take their transitions based on regular look-around information. Due to determinism, they are always strongly single-use, in the sense that any position is not visited twice by the same state. Such a machine, running on first-child next-sibling encoding of nested words, is easily encoded into an equivalent  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ . In this encoding, a nested word over  $\Sigma$  is encoded as a binary tree over  $(\Sigma_c \times \Sigma_r) \cup \{\perp\}$ , inductively defined as  $\text{fcns}(cw_1rw_2) = (c, r)(\text{fcns}(w_1), \text{fcns}(w_2))$  and  $\text{fcns}(\epsilon) = \perp$ . In this encoding, moving to a 1st child corresponds to moving from  $c$  to  $w_1$ , which can be done by a  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ , and moving to a 2nd child corresponds to moving from  $c$  to  $w_2$ . This can be done also by a  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ , but it needs to traverse all the word  $cw_1r$ , while producing  $\epsilon$  only. Similarly, one can encode moves to parent nodes. The two latter moves implies that the  $\text{D2VPT}_{\text{su}}^{\text{LA}}$  is not strongly single-use anymore, but it remains single-use: the extra moves are all  $\epsilon$ -producing. The result follows as  $\text{MSO}[\text{nw}2w] = \text{MSO}[\text{b}2w] \circ \text{fcns}$ .

To show  $\text{D2VPT}_{\text{su}}^{\text{LA}} \subseteq \text{MSO}[\text{nw}2w]$ , we rely on another correspondence shown in (Courcelle and Engelfriet 2012), between  $\text{MSO}[\text{b}2w]$  and deterministic (visibly) pushdown binary tree to word walking transducers with look-around of linear-size increase ( $\text{DPTWT}_{\text{lsi}}^{\text{LA}}$ ). These transducers extend  $\text{DTWT}^{\text{LA}}$  with a pushdown store with a visibly condition: when moving to a child, they push one symbol, and moving up, they pop one symbol. The lsi restriction is semantical: they restrict the class to transducers that define lsi transductions. Any  $\text{D2VPT}_{\text{su}}^{\text{LA}}$  defines an lsi transduction, and can be easily encoded into a  $\text{DPTWT}_{\text{lsi}}^{\text{LA}}$  running on  $\text{fcns}$  encodings, which mimics the moves of the  $\text{D2VPT}_{\text{su}}^{\text{LA}}$ . Again, the result follows by the equality  $\text{MSO}[\text{nw}2w] = \text{MSO}[\text{b}2w] \circ \text{fcns}$ .  $\square$

### 4.3 Comparison with other transducer models

In this section, we relate  $\text{D2VPT}$  to two other transducer models, namely streaming tree-to-string transducers and deterministic hedge-to-string transducers with look-ahead. Streaming tree-to-string transducers with a simple copyless restriction of updates will serve as the third edge of our trinity. Deterministic hedge-to-string transducers with look-ahead is a natural model for which equivalence is known to be decidable.

Streaming tree-to-string transducers are deterministic one-way machines (Alur and D'Antoni 2012) equipped with registers storing words. We fix a finite alphabet  $\Delta$  and, given two finite sets  $\mathcal{X}$  and  $\mathcal{Y}$ , denote by  $\mathcal{U}(\mathcal{X}, \mathcal{Y})$  the set of mappings from  $\mathcal{X}$  to  $(\Delta \cup \mathcal{Y})^*$ .

**DEFINITION 6.** A streaming tree-to-string transducer  $S$  (STST for short) is a deterministic machine defined over a structured alphabet  $\Sigma$  and given by the tuple  $(Q, q_I, \Gamma, \mathcal{X}, \delta, \mu_F)$  where  $Q$  is a finite set of states,  $q_I \in Q$  is the initial state,  $\Gamma$  is a finite set of stack symbols and  $\mathcal{X}$  is a finite set of registers. Finally,  $\mu_F$  is a partial mapping from  $Q$  to  $(\Delta \cup \mathcal{X})^*$  and  $\delta = \delta^{\text{push}} \uplus \delta^{\text{pop}}$  where  $\delta^{\text{push}} : Q \times \Sigma_c \rightarrow Q \times \Gamma \times \mathcal{U}(\mathcal{X}, \mathcal{X})$  and  $\delta^{\text{pop}} : Q \times \Sigma_r \times \Gamma \rightarrow Q \times \mathcal{U}(\mathcal{X}, \mathcal{X} \cup \mathcal{X}')$ ,  $\mathcal{X}'$  being a disjoint copy of  $\mathcal{X}$ .

<sup>4</sup> Within the class of VPT, the class of functional VPT is decidable in PTime (Filiot et al. 2010)



Let  $\mathcal{V}_X^\Delta$  be the set of mappings from  $\mathcal{X}$  to  $\Delta^*$ . These mappings are extended to  $(\mathcal{X} \cup \Delta)^*$  by considering them as identity over  $\Delta$ . An accepting run of a STST  $S$  on a nested word  $w$  is a (non-empty) sequence  $(q_0, \theta_0, \sigma_0, w_0) \dots (q_\ell, \theta_\ell, \sigma_\ell, w_\ell)$  of quadruples from  $Q \times \mathcal{V}_X^\Delta \times (\Gamma \times \mathcal{V}_X^\Delta)^* \times \Sigma^*$  such that  $q_0 = q_I$ ,  $w_0 = w$ ,  $w_\ell = \epsilon$ ,  $\theta_0$  is the mapping  $\theta_\epsilon$  which associates  $\epsilon$  to any  $X$  in  $\mathcal{X}$ ,  $\sigma_0, \sigma_\ell$  are equal to  $\perp$  the empty stack and for all  $0 \leq i < \ell$ , one has either

- $w_i = cw_{i+1}$  and there exists  $(q_i, c, q_{i+1}, \gamma, \nu) \in \delta^{push}$ ,  $\theta_{i+1} = \theta_\epsilon$  and  $\sigma_{i+1} = \sigma_i(\gamma, \theta_i \circ \nu)$ ,
- $w_i = rw_{i+1}$  and there exists  $(q_i, r, \gamma, q_{i+1}, \nu) \in \delta^{pop}$ ,  $\sigma_i = \sigma_{i+1}(\gamma, \theta)$  and  $\theta_{i+1} = \theta' \circ \theta_i \circ \nu$ , where  $\theta' \in \mathcal{V}_{X'}^\Delta$  is defined by  $\theta'(X') = \theta(X)$  for all  $X \in \mathcal{X}$ .

The semantics  $\llbracket S \rrbracket$  of the STST  $S$  is a partial mapping from  $\mathcal{N}(\Sigma)$  to  $\Delta^*$  such that  $\llbracket S \rrbracket(w) = v$  if there exists an accepting run on  $w$  in  $S$  ending in some configuration  $(q_\ell, \theta_\ell, \perp, \epsilon)$  and  $v = \theta_\ell(\mu_F(q_\ell))$ .

Using a restriction on the updates  $\mathcal{U}$  used in STST (so-called copyless updates), (Alur and D'Antoni 2012) proved that copyless STST and MSO[nw2w] are expressively equivalent. As a consequence, we obtain the logic/two-way/one-way trinity announced in the introduction:

**THEOREM 8.**  $\text{MSO}[\text{nw2w}] = \text{D2VPT}_{\text{su}} = \text{copyless STST}$

A well-known class of transducers running on ranked trees is the class of deterministic top-down tree transducers with look-ahead. This class can be defined to output strings. We consider now the extension of this class to unranked trees, or more precisely sequences of unranked trees, that is, hedges.

**DEFINITION 7.** An hedge automaton (HA for short) over the structured alphabet  $\Sigma^5$  is a tuple  $(Q, F, \delta)$  where  $Q$  is a finite set of states,  $F \subseteq Q$  is a set of final states and  $\delta$  is a transition relation such that  $\delta \subseteq Q \times \Sigma_c \times \Sigma_r \times Q \times Q$ .

An hedge automaton is said to be bottom-up deterministic if whenever  $(q, c, r, q_1, q_2)$  and  $(q', c, r, q_1, q_2)$  belongs to  $\delta$ , it holds that  $q = q'$ . The semantics of an HA  $B$  is given by means of sets  $\mathcal{L}_q^B \subseteq \mathcal{N}(\Sigma)$  defined for each  $q \in Q$  inductively as follows: (i)  $\epsilon \in \mathcal{L}_q^B$  for all  $q$  and (ii)  $cwrw' \in \mathcal{L}_q^B$  if  $(q, c, r, q_1, q_2) \in \delta$  and  $w \in \mathcal{L}_{q_1}^B$ ,  $w' \in \mathcal{L}_{q_2}^B$ . The language defined by an HA  $B$  is then  $\bigcup_{q \in F} \mathcal{L}_q^B$ . Note that when  $B$  is bottom-up deterministic whenever  $q_1 \neq q_2$ , it holds that  $\mathcal{L}_{q_1}^B \cap \mathcal{L}_{q_2}^B = \emptyset$ .

**DEFINITION 8.** A deterministic hedge-to-string transducer with look-ahead (dH2S<sup>LA</sup>)  $H$  over the structured alphabet  $\Sigma$  and the output alphabet  $\Delta$  is given by a tuple  $(Q, I, F, \delta, B)$  where  $Q$  is a finite set of states,  $q_I \in Q$  is an initial state,  $F \subseteq Q$  is a set of final states,  $B$  is a deterministic bottom-up hedge automaton with states  $Q'$ , and  $\delta$  is a transition relation given by a partial mapping

$$\delta : Q \times \Sigma_c \times \Sigma_r \times Q' \times Q' \rightarrow \Delta_Q^*$$

$\Delta_Q$  is the finite set of symbols  $(\Delta \cup \{q(x_i) \mid 1 \leq i \leq 2, q \in Q\})^*$ .

The semantics of a dH2S<sup>LA</sup> is first given by a partial mapping  $\llbracket H \rrbracket$  from  $\mathcal{N}(\Sigma) \times Q$  onto  $\Delta^*$  defined inductively as: (i)  $\llbracket H \rrbracket(\epsilon, q) = \epsilon$  if  $q \in F$ , and (ii) for  $w = cw_1rw_2$  with  $w_1, w_2 \in \mathcal{N}(\Sigma)$ ,  $\llbracket H \rrbracket(w, q) = \omega[q_i(x_{i_j})] \leftarrow \llbracket H \rrbracket(w_{i_j}, q_i)$  where  $\omega[q_i(x_{i_j})] \leftarrow \llbracket H \rrbracket(w_{i_j}, q_i)$  denotes the word  $\omega$  in which each occurrence of  $q_i(x_{i_j})$  has been replaced by  $\llbracket H \rrbracket(w_{i_j}, q_i)$  if

<sup>5</sup> Usually, such automata are given over a classical unstructured but unary alphabet. However, for having a uniform presentation, we choose wlog this definition which corresponds somehow to consider a pair from  $\Sigma_c \times \Sigma_r$  as single symbol.

$\delta(q, c, r, q', q'') = \omega$ ,  $w_1 \in \mathcal{L}_B^{q'}$  and  $w_2 \in \mathcal{L}_B^{q''}$  and undefined otherwise.

Then, the transduction  $\llbracket H \rrbracket$  defined by  $H$  is given by  $\{(w, s) \mid w \in \mathcal{N}(\Sigma), s = \llbracket H \rrbracket(w, q_I)\}$ .

**THEOREM 9.**  $\text{D2VPT} \subsetneq \text{STST}$  and  $\text{D2VPT} \subsetneq \text{dH2S}^{\text{LA}}$

*Sketch of proof.* The two results rely on a same intermediate model that extends the transition algebra described in Section 2. This algebra allows to describe the possible traversals of a D2VPA. One can extend it to D2VPT by storing in matrices the words produced by traversals. This yields an infinite algebra, realized by a finite set of operations. We use this to describe effective translations into STST and dH2S<sup>LA</sup>.

As an illustration, in order to build of an equivalent STST, the set of variables considered is the set  $\Xi = \{x^{(p,d),(p',d')} \mid (p,d), (p',d') \in Q \times \mathbb{D}\}$ , i.e. one variable for each traversal. This generalizes the construction described in (Alur and Černý 2010; Alur et al. 2012) in order to translate a deterministic two-way transducer (on words) into a streaming string transducer.

The fact that the inclusions are strict relies on a simple argument based on size increase: on nested words of bounded depth, D2VPT are linear-size increase, while STST and dH2S<sup>LA</sup> are not.  $\square$

## 5. Discussion

**Unranked tree to word transductions** Since unranked trees  $t$  can be linearised into nested words  $\text{lin}(t)$ , our result also gives a model for unranked tree to word transductions. If one denotes by  $\text{MSO}[\text{u2w}]$  the transductions from unranked trees to words definable by an MSO transducer (over the signature of unranked trees that has the child and next-sibling predicates), it is easy to show that  $\text{MSO}[\text{u2w}] = \text{D2VPT}_{\text{su}} \circ \text{lin}$ .

One could argue that D2VPT for realising transductions of unranked trees is not an adequate model, because it performs unnecessary  $\epsilon$ -producing moves to navigate, for instance, from a node  $n$  to its next-sibling. Indeed, the D2VPT needs to walk through the whole subtree rooted at  $n$ .

First, while it is true from an operational point of view, we think that the simplicity of D2VPT makes them a good candidate as a specification model of unranked tree transductions, and to this aim, it is easy to define, as we did for next-sibling moves (rules  $q \xrightarrow{(c,r)} p$ ), macros that realise moves given by the predicates of unranked trees (and their inverse). Second, for instance in the context of stream processing of XML documents, it cannot be always assumed that the input document is given by its DOM (with the unranked tree predicates) as sometimes, it is just stored as plain text, i.e. as its linearisation.

Finally and most importantly, our result allows one to get an extension of a known model of ranked tree to word transductions, to unranked tree to word transductions, namely, *deterministic push-down unranked tree to word walking transducers* (DPUWT). To avoid technical details, we define formally this model only in Appendix, and rather give intuitions here. DPUWT can walk through the unranked tree following the next-sibling and first-child predicates (and their inverse), while producing words on the output. They are also equipped with a pushdown store with a visibly condition: whenever they go down the tree by one level, they have to push one symbol onto the stack, and going up, they pop one symbol. They let the stack unchanged when moving horizontally between siblings. With the single-use restriction, defined similarly as for D2VPT, we get that  $\text{MSO}[\text{u2w}] = \text{DPUWT}_{\text{su}}$ . Therefore, if the input is given by an unranked tree, one can rather use a DPUWT or a D2VPT on the linearisation.

**Nested word to nested word transductions** As we claimed earlier,  $D2VPT_{su}$  can be used to define unranked tree transformations represented as nested word to nested word transducers, that is, as nested word to word transducers with a structured output alphabet.

On the logical side,  $MSO[nw2w]$  transductions can be extended with binary formulas  $\varphi_M^{c,d}(x, y)$  aiming at representing the matching relation existing on output nested words. As checking whether a relation denotes a matching relation is  $MSO$  definable (see Example 2), one can decide whether any input nested word is indeed transformed by the  $MSO[nw2w]$  transducer into a nested word by testing the validity of the sentence obtained from the logical definition of the matching  $M$  (Example 2) by replacing the predicate  $M$  with  $\bigvee_{c,d} \varphi_M^{c,d}$ . So, starting from an  $MSO[nw2w]$  transducer with a matching relation defined on its output, one may forget this matching and view this transducer as an ordinary  $MSO[nw2w]$  transducer; this machine turns out to be equivalent in the sense that remaining call and returns symbols induce uniquely the erased matching. Finally, by the results presented in this paper, one can from this  $MSO[nw2w]$  transducer build an equivalent  $D2VPT_{su}$  whose range will indeed contain only nested words and thus, defines an unranked tree transformation.

Let us point out that our results do not entail the trinity for tree-to-tree transformations: the class of  $D2VPT$  which produce only nested words/trees as output may be a good candidate to complete the missing part (the equivalence between  $MSO$  transformations and streaming tree transducers has already been established in (Alur and D’Antoni 2012)). Nonetheless, deciding this class seems to be challenging and moreover, there is actually no guarantee that it corresponds to the other two cited members of this trinity.

**Input streaming** In an input streaming scenario, one assumes that the input nested word is given as a stream of call and return symbols. In such a scenario, one wants to transform the input stream as soon as possible, on-the-fly, and it is not reasonable to load the whole stream in memory. An interesting question is whether a given  $D2VPT$  really needs its two-way ability? In other words, can we decide whether a given  $D2VPT$  is equivalent to a (one-way)  $VPT$ ? For words and two-way finite transducers, this question has been shown to be decidable in (Filiot et al. 2013). As future work, we want to extend this result to  $D2VPT$ .

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