

Deterministic Pushdown Automata and Unary Languages^{*†}

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Abstract

The simulation of deterministic pushdown automata defined over a one-letter alphabet by finite state automata is investigated from a descriptive complexity point of view. We show that each unary deterministic pushdown automaton of size s can be simulated by a deterministic finite automaton with a number of states that is exponential in s . We prove that this simulation is tight. Furthermore, its cost cannot be reduced even if it is performed by a two-way nondeterministic automaton. We also prove that there are unary languages for which deterministic pushdown automata cannot be exponentially more succinct than finite automata. In order to state this result, we investigate the conversion of deterministic pushdown automata into context-free grammars. We prove that in the unary case the number of variables in the resulting grammar is strictly smaller than the number of variables needed in the case of nonunary alphabets.

Keywords: Formal languages; deterministic pushdown automata; unary languages; descriptive complexity.

1 Introduction

Deterministic context-free languages and their corresponding devices, deterministic pushdown automata (dpda's), have been extensively studied in the literature (e.g., [5, 10, 15, 16, 17]). They are interesting not only from a theoretical point of view, but even, and perhaps mainly, for their relevance in connection with the implementation of efficient parsers. It is well-known that the class of deterministic context-free languages is a proper subclass of that of context-free languages, characterized by (nondeterministic) pushdown automata (pda's). In the case of languages defined over a one-letter alphabet, called *unary* or *tally* languages, these classes collapse: in fact, as proved in [6], each unary context-free language is regular. This implies that unary pda's and unary dpda's can be simulated by finite automata.

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In this paper we study the simulation of unary dpda's by finite automata from a *descriptive complexity* point of view. As a main result, we get the cost, in terms of the sizes of the descriptions, of the optimal simulation between these kinds of devices.

The problem of the simulation of dpda's by finite automata was previously studied in the literature in the case of general alphabets: in [16] it was proved that each dpda of size s accepting a regular language can be simulated by a finite automaton with a number of states bounded by a function which is triply exponential in s . That bound was reduced to a double exponential in [17]. It cannot be further reduced because there is a matching lower bound [13].

We show that in the unary case the situation is different. In fact, we are able to prove that each unary dpda of size s can be simulated by a one-way deterministic automaton (1dfa) with a number of states exponential in s . We prove that this simulation is tight, by showing a family of languages exhibiting an exponential gap between the size of dpda's accepting them, and the number of states of equivalent 1dfa's.

As proved in [12], each n -state unary two-way nondeterministic finite automaton (2nfa) can be simulated by a 1dfa with $2^{O(\sqrt{n} \log n)}$ states. This suggests the possibility of a smaller gap between the descriptive complexities of unary dpda's and 2nfa's. However, we show that even in this case the gap can be exponential.

We further deepen the investigation in this subject, in order to discover whether or not *for each* unary regular language there exists an exponential gap between the sizes of deterministic pushdown automata and of finite automata. We give a negative answer to this question, by showing a family of languages for which unary dpda's cannot be exponentially more succinct than finite automata.

In order to prove this last result, we study the problem of converting unary dpda's into equivalent context-free grammars. In general, given a pda with n states and m input symbols, the standard conversion technique produces an equivalent grammar with $n^2m + 1$ variables. As proved in [7], this number cannot be reduced, even if given pda is deterministic. Here, we show that in the case of a unary alphabet, a reduction to $2mn$ is possible.

We briefly mention that the cost of the simulation of unary (nondeterministic) pda's by finite automata was studied in [14], where the authors proved that each unary pda with n states and m stack symbols, such that each push adds exactly one symbol, can be simulated by a 1dfa with $2^{O(n^4m^2)}$ states. Our main result reduces this bound to 2^{nm} , when the given pda is deterministic.

2 Preliminaries

Given a set S , we let $\#S$ denote its cardinality, and 2^S denote the family of all its subsets.

A language L is said to be *unary* if it is defined over a one-letter alphabet. In this case, we let $L \subseteq a^*$. In a similar way, an automaton is unary if its input alphabet contains only one letter. It is easy to prove the following:

Theorem 1 *Let L be a unary language. Then L is regular if and only if there exist two integers $\mu \geq 0$, $\lambda \geq 1$ such that for each integer $n \geq \mu$, $a^n \in L$ if and only if $a^{n+\lambda} \in L$.*

If the constant μ in Theorem 1 is 0, then L is said to be *cyclic* or even λ -*cyclic*. Furthermore, in this case, L is said to be *properly λ -cyclic*, when it is not λ' -cyclic for any $\lambda' < \lambda$. It is immediate to see that the minimum 1dfa accepting a properly λ -cyclic language consists of a cycle of λ states.

A pushdown automaton [9] $M = (Q, \Sigma, \Gamma, \delta, q_0, Z_0, F)$ is said to be *deterministic* [5] if and only if for each $q \in Q$, $Z \in \Gamma$ the following hold:

1. if $\delta(q, \epsilon, Z) \neq \emptyset$ then $\delta(q, a, Z) = \emptyset$, for each $a \in \Sigma$, and
2. for each $\sigma \in \Sigma \cup \{\epsilon\}$, $\delta(q, \sigma, Z)$ contains at most one element.

A *configuration* of M is a triple (q, w, γ) where q is the current state, w the unread part of the input, and γ the current content of the pushdown store. The leftmost symbol of γ is the topmost stack symbol. As usual, we let \vdash denote the relation between configurations such that for two configurations α and β , $\alpha \vdash \beta$ if and only if β is reached from α in one move. We also write $\alpha \vdash^t \beta$ if and only if β can be reached from α in $t \geq 0$ moves, and $\alpha \vdash^* \beta$ if and only if $\alpha \vdash^t \beta$ for some $t \geq 0$.

While in the nondeterministic case acceptance by final states is equivalent to acceptance by empty stack, for dpda's the second condition is strictly weaker (dpda's accepting with empty stack characterize the class of deterministic context-free languages having the prefix property). Hence, the acceptance condition we will consider in the paper is that by *final states*. In particular, given a pda M , we will denote by $L(M)$ the language accepted by it under such a condition, i.e., $L(M) = \{w \in \Sigma^* \mid \exists q \in F, \gamma \in \Gamma^* : (q_0, w, Z_0) \vdash^* (q, \epsilon, \gamma)\}$.

In order to simplify the exposition and the proofs of our results, in this paper it is useful to consider pda's in a certain normal form [14].

1. At the start of the computation the pushdown store contains only the start symbol Z_0 ; this symbol is never pushed on or popped off the stack;
2. the input is accepted if and only if the automaton reaches a final state, and all the input has been scanned;
3. if the automaton moves the input head, then no operations are performed on the stack;
4. every push adds exactly one symbol on the stack.

The transition function δ of a pda M then can be written as

$$\delta : Q \times (\Sigma \cup \{\epsilon\}) \times \Gamma \rightarrow 2^{Q \times (\{\text{read}, \text{pop}\} \cup \{\text{push}(A) \mid A \in \Gamma\})}.$$

In particular, for $q, p \in Q$, $A, B \in \Gamma$, $\sigma \in \Sigma \cup \{\epsilon\}$, $(p, \text{read}) \in \delta(q, \sigma, A)$ means that the pda M , in the state q , with A at the top of the stack, by consuming the input $\sigma \in \Sigma$ or not

consuming any input symbol if $\sigma = \epsilon$, can reach the state p without changing the stack contents. $(p, \text{pop}) \in \delta(q, \epsilon, A)$ ($(p, \text{push}(B)) \in \delta(q, \epsilon, A)$, resp.), means that M , in the state q , with A at the top of the stack, without reading any input symbol, can reach the state p by popping off the stack the symbol A on the top (by pushing the symbol B on the top of the stack, respectively).

It can be easily observed that each pda can be converted into an equivalent pda satisfying these conditions. Furthermore, if the given pda is deterministic, then the resulting pda is deterministic too. Hence, in the following we will consider dpda's in the above form.

Now, we have to introduce the measure for the size of pda's we will consider in the paper. The literature concerning this point is very restricted and probably a deeper investigation should be useful. The most extended discussion is presented in [8], where the author points out that the size of a pda M , denoted as $\text{size}(M)$, should be defined by considering the total number of symbols needed to write down its description and, more precisely, the total number of symbols needed to specify its transition function. Converting a pda into normal form, the number of rules in the transition function of the resulting pda is linear in the length of the rules of the original pda, which, on the other hand, is bounded by some constant. Hence, the total number of symbols specifying the new pda is linear in the total number of symbols specifying the original pda. Because the size of a pda in normal form is linear in the number of rules of its transition function, and in the deterministic case this number is linear in the product of the number of its states and of the number of its stack symbols, in the paper we will use such a product as a "reasonable" measure for the size of a dpda in normal form.

The size of a finite automaton is defined to be the number of its states.

A *mode* of a pda M is a pair belonging to $Q \times \Gamma$. In the paper, the mode defined by a state q and a symbol Z will be denoted as $[qZ]$. The *mode of the configuration* $(q, x, Z\alpha)$ is $[qZ]$. Note that in a unary dpda, the mode of a configuration defines the only possible move.

A dpda M is *loop-free* if and only if for each $w \in \Sigma^*$ there are $q \in Q$, $\gamma \in \Gamma^*$, $Z \in \Gamma$ such that $(q_0, w, Z_0) \vdash^* (q, \epsilon, Z\gamma)$ and $\delta(q, \epsilon, Z) = \emptyset$, i.e., for each input string the computation cannot enter in an infinite loop of ϵ -moves. It is known that each dpda can be converted into an equivalent loop-free dpda [5]. In the unary case such a conversion can be done without increasing the size of the given dpda. In fact, we can write a procedure that given a mode $[qA]$ simulates the ϵ -moves of M in order to make a list of the modes reachable from the configuration (q, ϵ, A) . If a mode is visited twice, then the computation enters a loop. In this case, the transition function of M can be modified by setting $\delta(p, \epsilon, B) = \emptyset$ for each mode visited in the simulation. Note that the procedure ends before $\text{size}(M)$ steps. Hence, in the following, without loss of generality, we will suppose that each unary dpda we consider is loop-free.

3 Simulation of unary dpda's by finite automata

In this section we prove our main result: in fact we show that each unary dpda M can be simulated by a ldfa whose number of states is exponential in the size of M . We will also show that this simulation is tight.

Let us consider a given unary dpda M . We start by introducing some useful notions and lemmas:

Definition: Given two modes $[qA]$ and $[pB]$, we define $[qA] \leq [pB]$ if and only if there are integers $k, h \geq 0$ and strings $\alpha, \beta \in \Gamma^*$, such that:

- $(q_0, a^k, Z_0) \vdash^* (q, \epsilon, A\alpha)$, $(q, a^h, A) \vdash^* (p, \epsilon, B\beta)$, and
- if $(q_0, a^{k'}, Z_0) \vdash^* (p, \epsilon, B\beta')$ for some $k' < k$, $\beta' \in \Gamma^*$, then there is an integer k'' with $k' + k'' < k$ and a state $p' \in Q$, such that $(p, a^{k''}, B) \vdash^* (p', \epsilon, \epsilon)$.

Intuitively, $[qA] \leq [pB]$ means that M from the initial configuration can reach a configuration with mode $[qA]$ by a computation $(q_0, a^k, Z_0) \vdash^* (q, \epsilon, A\alpha)$ and, after that, it can reach a configuration with mode $[pB]$ by a computation which does not use the portion of the stack below A , i.e., the portion containing α . Furthermore, if during the computation $(q_0, a^k, Z_0) \vdash^* (q, \epsilon, A\alpha)$ a configuration with mode $[pB]$ and stack height h is reached, then in some subsequent step of the same computation the stack height must decrease below height h . In other words, for all integers k' and k'' with $k' + k'' = k$, it is not possible that $(q_0, a^{k'}, Z_0) \vdash^* (p, \epsilon, B\beta')$ and $(p, a^{k''}, B) \vdash^* (q, \epsilon, A\alpha')$, for some $\alpha', \beta' \in \Gamma^*$.

Lemma 1 *The relation \leq defines a partial order on the set of the modes.*

Proof: Clearly, the relation \leq is reflexive. To prove that it is antisymmetric, we consider two modes $[qA]$ and $[pB]$ and we show that $[qA] \leq [pB]$ and $[pB] \leq [qA]$ imply $[qA] = [pB]$.

By definition of \leq , for suitable integers k, h, s, t , and strings $\alpha, \beta, \eta, \gamma \in \Gamma^*$, we have:

- (a) $(q_0, a^k, Z_0) \vdash^* (q, \epsilon, A\alpha)$,
- (b) $(q, a^h, A) \vdash^* (p, \epsilon, B\beta)$,
- (c) $(q_0, a^s, Z_0) \vdash^* (p, \epsilon, B\gamma)$,
- (d) $(p, a^t, B) \vdash^* (q, \epsilon, A\eta)$.

Considering (b) and (d), we can observe that when M reaches a configuration with the mode $[qA]$ ($[pB]$, respectively), the symbol A (B , resp.) will never be popped off the stack, i.e.:

- (e) for each $n \geq 0$, there are $q', p' \in Q$, $\alpha', \beta' \in \Gamma^*$ such that: $(q, a^n, A) \vdash^* (q', \epsilon, \alpha'A)$ and $(p, a^n, B) \vdash^* (p', \epsilon, \beta'B)$.

We now suppose that $s \neq k$. If $s < k$ then from (c) and (a) we get:

$$(f) \quad (q_0, a^k, Z_0) \vdash^* (p, a^{k-s}, B\gamma) \vdash^* (q, \epsilon, A\alpha).$$

By the definition of \leq , this implies the existence of an integer l with $s + l < k$ and a state p'' such that $(p, a^l, B) \vdash^* (p'', \epsilon, \epsilon)$, which is a contradiction to (e). In a symmetrical way, by supposing $k < s$, we get a contradiction.

This permits us to conclude that $s = k$ and hence that $[qA] = [pB]$.

We now prove that \leq is transitive. To this aim we suppose that $[qA] \leq [pB]$ and $[pB] \leq [rC]$ and we show that $[qA] \leq [rC]$. If $[pB] = [rC]$ then the result is trivial. Hence, from now on, we suppose $[pB] \neq [rC]$.

We consider integers $k, h, s, t \geq 0$ and strings $\alpha, \beta, \eta, \gamma \in \Gamma^*$ such that:

- (a) $(q_0, a^k, Z_0) \vdash^* (q, \epsilon, A\alpha)$,
- (b) $(q, a^h, A) \vdash^* (p, \epsilon, B\beta)$,
- (c) $(q_0, a^s, Z_0) \vdash^* (p, \epsilon, B\eta)$,
- (d) $(p, a^t, B) \vdash^* (r, \epsilon, C\gamma)$.

From (b) and (d) we get:

$$(e) \quad (q, a^{h+t}, A) \vdash^* (r, \epsilon, C\gamma\beta).$$

Suppose, by contradiction, that $[qA] \leq [rC]$ does not hold. Considering the definition of \leq , (a) and (e), it turns out that it must exist two integers k_1 and k_2 with $k_1 + k_2 = k$ such that:

- (f) $(q_0, a^{k_1}, Z_0) \vdash^* (r, \epsilon, C\gamma_1)$ and
- (g) $(r, a^{k_2}, C) \vdash^* (q, \epsilon, A\gamma_2)$

with $\alpha = \gamma_2\gamma_1$. From (g) and (b) we get:

$$(h) \quad (r, a^{k_2+h}, C) \vdash^* (p, \epsilon, B\beta\gamma_2)$$

Because $[rC] \neq [pB]$ and $[pB] \leq [rC]$, it turns out that $[rC] \leq [pB]$ cannot hold. Considering (f) and (h) this implies the existence of two integers k' and k'' with $k' + k'' = k_1$ such that

- (i) $(q_0, a^{k'}, Z_0) \vdash^* (p, \epsilon, B\gamma')$
- (j) $(p, a^{k''}, B) \vdash^* (r, \epsilon, C\gamma'')$

with $\gamma''\gamma' = \gamma_1$. Hence:

$$(k) \quad (p, a^{k''+k_2}, B) \vdash^* (q, \epsilon, A\gamma_2\gamma'')$$

But this, together with (i), gives a contradiction to the hypothesis that $[qA] \leq [pB]$. Hence, we are finally able to conclude that $[qA] \leq [rC]$.

□

A configuration completely describes the status of a pda in a given instant and gives enough information to simulate the remaining steps of a computation. However, in order to study the properties of the computations of dpda's, it is useful to have a richer description, which also takes into account the states reached in some previous computation steps. To this aim we now introduce the notion of history. Before doing that, we observe that the next move from a configuration of a unary dpda depends only on the current mode. If such a move requires the reading of an input symbol and all the input has been consumed, then the computation stops. Hence, given a unary dpda M , for each integer t there exists at most one configuration that can be reached after t computation steps. Such a configuration will be reached if the input is long enough.

Definition: For each integer $t \geq 0$, the *history* h_t of M at the time t is a sequence of modes $[q_m Z_m][q_{m-1} Z_{m-1}] \cdots [q_1 Z_1]$ such that:

- $Z_m Z_{m-1} \cdots Z_1$ is the content of the stack after the execution of t transitions from the initial configuration,
- for each integer i , $1 \leq i \leq m$, $[q_i Z_i]$ was the mode of the last configuration having stack height i , in the computation $(q_0, x, Z_0) \vdash^t (q_m, \epsilon, Z_m Z_{m-1} \cdots Z_1)$, for a suitable $x \in a^*$.

The *mode at the time* t , denoted as m_t , is the leftmost symbol of h_t , i.e., the pair representing the state and the stack top of M after t transitions.¹ In what follows we let H denote the set of all histories of M , i.e., $H = \{h_t \mid t \geq 0\}$.

Lemma 2 *Let $h_t = [q_m Z_m][q_{m-1} Z_{m-1}] \cdots [q_1 Z_1]$ be the history at the time t , for a given $t \geq 0$. Then:*

1. *For $i = 1, \dots, m-1$, there is an integer t_i s.t. $h_{t_i} = [q_i Z_i][q_{i-1} Z_{i-1}] \cdots [q_1 Z_1]$, $(q_i, x, Z_i) \vdash^t (q_{i+1}, \epsilon, Z_{i+1} Z_i)$, for some $x \in a^*$, and h_{t_i} is a suffix of each h_j , for each integer j such that $t_i < j \leq m$. Furthermore $0 \leq t_1 < t_2 < \cdots < t_{m-1} < t$.*
2. *If all the modes in h_t are different then $[q_1 Z_1] \leq \cdots \leq [q_m Z_m]$.*
3. *If $h_\mu = h_{\mu+\lambda}$ for some $\mu \geq 0$, $\lambda \geq 1$, then $h_{\mu+i} = h_{\mu+\lambda+i}$, for each $i \geq 0$.*

Proof: For each i , $1 \leq i \leq m$, let $t_i \geq 0$ be the largest integer such that $|h_{t_i}| = i$. (Note that $t_m = t$.)

¹ Because the start symbol Z_0 is never popped off the stack, actually we can observe that in each history the symbol Z_1 of the rightmost mode coincides with Z_0 .

Hence, the stack height at each step j , $t_i < j \leq m$, must be greater than i . This implies that the first i symbols on the stack cannot be modified after step t_i , i.e., $h_{t_i} = [q_i Z_i] \cdots [q_1 Z_1]$, and, in the case $i < m$, $(q_i, x, Z_i) \vdash^* (q_{i+1}, \epsilon, Z_{i+1} Z_i)$, for some input x . Hence, (1) easily follows.

To prove (2), we also observe that $(q_0, a^k, Z_0) \vdash^* (q_i, \epsilon, Z_i Z_{i-1} \cdots Z_1)$, for some $k \geq 0$. Suppose that $[q_i Z_i] \leq [q_{i+1} Z_{i+1}]$ is not true. Hence, $(q_0, a^{k'}, Z_0) \vdash^* (q_{i+1}, \epsilon, Z_{i+1} \gamma')$ and $(q_{i+1}, a^{k''}, Z_{i+1}) \vdash^* (q_i, \epsilon, Z_i \gamma'' Z_{i+1})$ for some k', k'' , with $k' + k'' = k$ and $\gamma', \gamma'' \in \Gamma^*$. Thus, $Z_i \gamma'' Z_{i+1} \gamma' = Z_i \cdots Z_1$ and $[q_{i+1} Z_{i+1}] = [q_j Z_j]$ for some $j < i$, which is a contradiction to the initial hypothesis that h_t does not contain any repetition.

Hence, we get that $[q_i Z_i] \leq [q_{i+1} Z_{i+1}]$ and (2) follows by Lemma 1.

To prove (3), we observe that $h_\mu = h_{\mu+\lambda}$ implies that the configurations reached at the steps μ and $\mu + \lambda$ coincide. Since M is unary and deterministic, it immediately follows that for each $i > 0$ at steps $\mu + i$ and $\mu + \lambda + i$ the same move is performed. Hence, $h_{\mu+i} = h_{\mu+\lambda+i}$. \square

Lemma 3 *The set H contains infinitely many histories if and only if there exist two integers $\mu \geq 0$, $\lambda \geq 1$, and λ nonempty sequences of modes $\tilde{h}_1, \dots, \tilde{h}_\lambda$, such that*

$$h_{\mu+1} = \tilde{h}_1 h_\mu, \quad h_{\mu+2} = \tilde{h}_2 h_\mu, \quad \dots, \quad h_{\mu+k\lambda+i} = \tilde{h}_i (\tilde{h}_\lambda)^k h_\mu,$$

for all integers $k \geq 0$, $0 \leq i < \lambda$.

Furthermore, if such μ and λ exist then their sum does not exceed $2^{\#Q \cdot \# \Gamma}$, while if H is finite then its cardinality is less than $2^{\#Q \cdot \# \Gamma}$.

Proof: Suppose that H contains infinitely many elements, and consider the smallest index t such that the history $h_t = [q_m Z_m] \cdots [q_1 Z_1]$ contains a repetition. In the light of Lemma 2(1), the mode $[q_m Z_m]$ must be repeated in h_t , namely there is an index i , $0 \leq i < m$, such that $[q_m Z_m] = [q_i Z_i]$, an integer μ , $1 \leq \mu < t$, such that $h_\mu = [q_i Z_i] \cdots [q_1 Z_1]$, and some sequences $\tilde{h}_1, \dots, \tilde{h}_\lambda$, where $\lambda = t - \mu$, such that $h_{\mu+1} = \tilde{h}_1 h_\mu, \dots, h_{\mu+\lambda} = \tilde{h}_\lambda h_\mu$. Note that the sequences \tilde{h}_i cannot be empty (otherwise, by Lemma 2(3), H cannot contain infinitely many elements). Because the transitions after time μ depend only on the mode $[q_i Z_i]$ and on the modes in the sequences $\tilde{h}_1, \dots, \tilde{h}_\lambda$, and the mode at the time $\mu + \lambda = t$ is $[q_i Z_i]$, then it is not difficult to conclude that $h_{\mu+\lambda+1} = \tilde{h}_1 \tilde{h}_\lambda h_\mu$, $h_{\mu+\lambda+2} = \tilde{h}_2 \tilde{h}_\lambda h_\mu$, \dots , $h_{\mu+k\lambda+i} = \tilde{h}_i (\tilde{h}_\lambda)^k h_\mu$, for $k \geq 0$, $0 \leq i < \lambda$.

The converse is trivial.

Finally, we observe that, by Lemma 2(2), the sets of modes belonging to two different histories h_t and $h_{t'}$ not containing any repetition must be different. This implies that the number of histories without repetitions does not exceed the number of all possible nonempty sets of modes, i.e., it is at most $2^{\#Q \cdot \# \Gamma} - 1$. Hence, if the history $h_{2^{\#Q \cdot \# \Gamma}}$ does not contain any repetition, then it coincides with some history h_t , for a $t < 2^{\#Q \cdot \# \Gamma}$. By Lemma 2(3) this implies that H is finite. \square

Lemma 4 *The sequence $(m_t)_{t \geq 0}$ is ultimately periodic. More precisely, there are integers $\mu \geq 0, \lambda \geq 1$ such that $\mu + \lambda \leq 2^{\#Q\#\Gamma}$ and $m_t = m_{t+\lambda}$, for each $t \geq \mu$.*

Proof: By Lemma 2(3), if H is finite then $(h_t)_{t \geq 0}$ is ultimately periodic, and hence even $(m_t)_{t \geq 0}$ is ultimately periodic. Note that, as a consequence of Lemma 3, in this case the set H cannot contain more than $2^{\#Q\#\Gamma} - 1$ elements. This gives the upper bounds on $\mu + \lambda$.

If H is infinite then the sequence of histories $(h_t)_{t \geq 0}$ is not periodic. However, the sequence of modes $(m_t)_{t \geq 0}$ is defined by the leftmost symbols of $(h_t)_{t \geq 0}$. Hence, by Lemma 3, it is periodic, with $\mu + \lambda \leq 2^{\#Q\#\Gamma}$. \square

Now, we are ready to prove our main result:

Theorem 2 *Let $L \subseteq a^*$ be accepted by a dpda M in normal form with n states and m stack symbols. Then L is accepted by a 1dfa with at most 2^{mn} states.*

Proof: The acceptance or rejection of a word depends only on the states that are reached by consuming it (and possibly performing some ϵ -moves). By Lemma 4 the sequence of the modes that can be reached in computation steps is ultimately periodic. This implies that also the sequence of the reached states, which gives the acceptance or the rejection, is ultimately periodic. Hence, it is possible to build a 1dfa accepting the language. The upper bound on the number of the states derives from Lemma 4. \square

As a consequence of Theorem 2, each unary dpda M of size s can be simulated by a 1dfa with a number of states exponential in s . We now prove that such a simulation is optimal. In particular, we show that for each integer s there exists a language which is accepted by a dpda of size $O(s)$ such that any equivalent 1dfa needs 2^s states.

More precisely, for each integer s , we consider the set of the multiples of 2^s , written in unary notation, namely the language $L_s = \{a^{2^s}\}^*$.

Given $s > 0$, we can build a dpda accepting L_s that, from the initial configuration, reaches a configuration with the state q_0 and the pushdown containing only Z_0 , every time it consumes an input factor of length 2^s , i.e., $(q_0, a^{2^s}, Z_0) \vdash^* (q_0, \epsilon, Z_0)$. The state q_0 is the only final state and it cannot be reached in the other steps of the computation. The computation from (q_0, a^{2^s}, Z_0) to (q_0, ϵ, Z_0) uses a procedure that, given an integer i , consumes 2^i input symbols. For $i > 0$ the procedure makes two recursive calls, each one of them consuming 2^{i-1} symbols. In the implementation, two stack symbols A_{i-1} and B_{i-1} are used, respectively, to keep track of the first and of the second recursive call of the procedure. For example, for $s = 3$, a configuration with the pushdown store containing $B_0 A_1 B_2 Z_0$ will be reached after consuming $2^2 + 2^0$ input symbols and performing some ϵ -moves. The formal definition is below:

- $Q = \{q_0, q_1, q_2, q_3\}$
- $\Gamma = \{Z_0, A_0, A_1, \dots, A_{s-1}, B_0, B_1, \dots, B_{s-1}\}$

- $\delta(q_0, \epsilon, Z_0) = \{(q_1, \text{push}(A_{s-1}))\}$
 $\delta(q_1, a, A_0) = \{(q_3, \text{read})\}$
 $\delta(q_1, a, B_0) = \{(q_3, \text{read})\}$
 $\delta(q_1, \epsilon, A_i) = \delta(q_1, \epsilon, B_i) = \{(q_1, \text{push}(A_{i-1}))\}$, for $i = 1, \dots, s-1$
 $\delta(q_2, \epsilon, A_i) = \delta(q_2, \epsilon, B_i) = \{(q_1, \text{push}(B_{i-1}))\}$, for $i = 1, \dots, s-1$
 $\delta(q_3, \epsilon, A_i) = \{(q_2, \text{pop})\}$, for $i = 0, \dots, s-1$
 $\delta(q_3, \epsilon, B_i) = \{(q_3, \text{pop})\}$, for $i = 0, \dots, s-1$
 $\delta(q_2, \epsilon, Z_0) = \{(q_1, \text{push}(B_{s-1}))\}$
 $\delta(q_3, \epsilon, Z_0) = \{(q_0, Z_0)\}$
- $F = \{q_0\}$.

Theorem 3 *For each integer $s > 0$, the language L_s is accepted by a dpda of size $8s + 4$ but the minimum 1dfa accepting it contains exactly 2^s states.*

Proof: First, we prove by induction on $i = 0, \dots, s-1$, that $(q_1, a^{2^i}, A_i) \vdash^* (q_2, \epsilon, \epsilon)$ and $(q_1, a^{2^i}, B_i) \vdash^* (q_3, \epsilon, \epsilon)$. The basis, $i = 0$, is trivial. For $i > 0$ the computations, obtained using the induction hypothesis, are the following, where the symbol C can be replaced by A_i and by B_i :

$$(q_1, a^{2^i}, C) \vdash (q_1, a^{2^i}, A_{i-1}C) \vdash^* (q_2, a^{2^{i-1}}, C) \vdash (q_1, a^{2^{i-1}}, B_{i-1}C) \vdash^* (q_3, \epsilon, C).$$

and the last step is $(q_3, \epsilon, A_i) \vdash (q_2, \epsilon, \epsilon)$ or $(q_3, \epsilon, B_i) \vdash (q_3, \epsilon, \epsilon)$.

As a consequence, the dpda of size $8s + 4$ defined above recognizes L_s . Because L_s is properly 2^s -cyclic, the minimum 1dfa accepting it has 2^s states. \square

Using Theorem 9 of [11], it is possible to prove that also any 2nfa accepting the language L_s must have at least 2^s states. Hence we get the following:

Corollary: Unary deterministic pushdown automata can be exponentially more succinct than two-way nondeterministic finite automata.

4 Unary dpda's and context-free grammars

In this section we study the conversion of unary dpda's into context-free grammars. Given a pda with n states and m stack symbols, the standard conversion produces a context-free grammar with $n^2m + 1$ variables. In [7] it has been proved that such a number cannot be reduced, even if the given pda is deterministic. As we prove in this section, in the unary case the situation is different. In fact, we show how to get a grammar with $2nm$ variables. This transformation will be useful in the last part of the paper to prove the existence of languages for which dpda's cannot be exponentially more succinct than 1dfa's.

Let $M = (Q, \{a\}, \Gamma, \delta, q_0, Z_0, F)$ be a unary dpda in normal form.

First of all, we observe that for each mode $[qA]$ there exists at most one state p such that $(q, x, A) \vdash^* (p, \epsilon, \epsilon)$ for some $x \in a^*$. We denote such a state by $\text{exit}[qA]$ and we call

the sequence of moves from (q, x, A) to (p, ϵ, ϵ) , the *segment of computation* from $[qA]$. Note that given two modes $[qA]$ and $[q'A]$, if $(q, x, A) \vdash^* (q', \epsilon, A)$, for some $x \in a^*$, then $\text{exit}[qA] = \text{exit}[q'A]$.

We now define a grammar $G = (V, \{a\}, P, S)$ and we will show that it is equivalent to M . The set of variables is $V = Q \times \Gamma \times \{0, 1\}$. The elements of V will be denoted as $[qA]_b$, where $[qA]$ is a mode and $b \in \{0, 1\}$. The start symbol of the grammar is $S = [q_0 Z_0]_1$.

The productions of G are defined in order to derive from each variable $[qA]_0$ the string x consumed in the segment of computation from $[qA]$, and from each variable $[qA]_1$ all the strings x such that M , from a configuration with mode $[qA]$ can reach a final configuration, consuming x , before completing the segment from $[qA]$. They are listed below, by considering the possible moves of M :

- *Push moves:* For $\delta(q, \epsilon, A) = \{(p, \text{push}(B))\}$, there is the production

$$(a) \quad [qA]_1 \rightarrow [pB]_1$$

Furthermore, if $\text{exit}[pB]$ is defined, with $\text{exit}[pB] = q'$, then there are the productions

$$(b) \quad [qA]_0 \rightarrow [pB]_0 [q'A]_0$$

$$(c) \quad [qA]_1 \rightarrow [pB]_0 [q'A]_1$$

- *Pop moves:* For $\delta(q, \epsilon, A) = \{(p, \text{pop})\}$, there is the production

$$(d) \quad [qA]_0 \rightarrow \epsilon$$

- *Read moves:* For $\delta(q, \sigma, A) = \{(p, \text{read})\}$, with $\sigma \in \{\epsilon, a\}$, and for each $b \in \{0, 1\}$, there is the production

$$(e) \quad [qA]_b \rightarrow \sigma [pA]_b$$

- *Acceptance:* For each final state $q \in F$, there is the production

$$(f) \quad [qA]_1 \rightarrow \epsilon$$

The productions from a variable $[qA]_0$ are similar to those used in the standard conversion from pda's (accepting by empty stack) to context-free grammars.² The productions from modes $[qA]_1$ are used to guess that at some point the computation will stop in a final state. For example, for the push move $(p, \text{push}(B)) \in \delta(q, \epsilon, A)$, we can guess that the acceptance will be reached in the segment of computation which starts from the mode $[pB]$ (hence, ending the computation before reaching the same stack level as in the starting mode $[qA]$, see production (a)), or after that segment is completed (production (c)).

In order to show that the grammar G is equivalent to M , it is useful to prove the following lemma:

Lemma 5 *For each mode $[qA]$, $x \in a^*$, the following hold:*

²In that case, variables of the form $[qAp]$ are used, where p represents one possible "exit" from the segment from $[qA]$. In the case under consideration, there is at most one possible exit, namely $\text{exit}[qA]$.

1. $[qA]_0 \xRightarrow{*} x$ if and only if $(q, x, A) \models^* (\text{exit}[qA], \epsilon, \epsilon)$.
2. $[qA]_1 \xRightarrow{*} x$ if and only if $(q, x, A) \models^* (q', \epsilon, \gamma)$, for some $q' \in F$, $\gamma \in \Gamma^+$.

Proof: To prove (1), we show by induction that for each integer $k \geq 1$, $[qA]_0 \xRightarrow{k} x$ if and only if $(q, x, A) \models^k (\text{exit}[qA], \epsilon, \epsilon)$.

First of all, we observe that the case $k = 1$, which corresponds to productions (d) and to pop moves, is trivial. For the inductive step, we consider three subcases, depending on the move allowed from the mode $[qA]$.

- $\delta(q, \epsilon, A) = \{(p, \text{push}(B))\}$:
Let $q' = \text{exit}[pB]$ and suppose that $[qA]_0 \xRightarrow{k} x$. Then, $[qA]_0 \Rightarrow [pB]_0[q'A]_0$, $[pB]_0 \xRightarrow{k'} x'$, $[q'A]_0 \xRightarrow{k''} x''$, for some $k', k'' > 0$, x', x'' such that $k' + k'' = k - 1$ and $x'x'' = x$. By the induction hypothesis $(p, x', B) \models^{k'} (q', \epsilon, \epsilon)$ and $(q', x'', A) \models^{k''} (\text{exit}[q'A], \epsilon, \epsilon)$. As observed above, $\text{exit}[q'A]$ coincides with $\text{exit}[qA]$. Hence: $(q, x, A) \vdash (p, x'x'', BA) \models^{k'} (q', x'', A) \models^{k''} (\text{exit}[qA], \epsilon, \epsilon)$, that implies $(q, x, A) \models^k (\text{exit}[qA], \epsilon, \epsilon)$. In a similar way, the converse can be proved.
- $\delta(q, \epsilon, A) = \{(p, \text{pop})\}$: impossible for $k > 1$.
- $\delta(q, \sigma, A) = \{(p, \text{read})\}$, with $\sigma \in \{a, \epsilon\}$:
By production (e), $[qA]_0 \Rightarrow \sigma[pA]_0$. Furthermore, $(q, \sigma, A) \vdash (p, \epsilon, A)$. By the induction hypothesis, for each terminal string y , $[pA]_0 \xRightarrow{k-1} y$ if and only if $(p, y, A) \models^{k-1} (\text{exit}[pA], \epsilon, A)$. The proof can be easily completed, by choosing y such that $x = \sigma y$, and by observing that $\text{exit}[pA]$ must coincide with $\text{exit}[qA]$.

(2) Let us start by proving the “only if” part, by induction on the length k of the derivation $[qA]_1 \xRightarrow{k} x$.

For the basis, $k = 1$, the derivation must consists only of a production of the form (f). This implies that $q \in F$. Hence the corresponding computation is trivial and consists only of the configuration (q, ϵ, A) . For $k > 1$ we consider different subcases, depending on the first used production:

- Production (a), namely $[qA]_1 \rightarrow [pB]_1$, with $\delta(q, \epsilon, A) = \{(p, \text{push}(B))\}$:
 $[pB]_1 \xRightarrow{k-1} x$ and, by inductive hypothesis $(p, x, B) \models^* (q', \epsilon, \gamma)$, for some $q' \in F$, $\gamma \in \Gamma^+$. Hence: $(q, x, A) \vdash (p, x, BA) \models^* (q', \epsilon, \gamma A)$.
- Production (c), namely $[qA]_1 \rightarrow [pB]_0[q'A]_1$, with $q' = \text{exit}[pB]$ and $\delta(q, \epsilon, A) = \{(p, \text{push}(B))\}$:
 $[pB]_0 \xRightarrow{k'} x'$, $[q'A]_1 \xRightarrow{k''} x''$, with $x'x'' = x$, $k' + k'' = k - 1$. From (1) we get that $(p, x', B) \models^* (q', \epsilon, \epsilon)$ and, from the inductive hypothesis, $(q', x'', A) \models^* (q'', \epsilon, \gamma)$, with $q'' \in F$, $\gamma \in \Gamma^+$. Hence: $(q, x, A) \vdash (p, x'x'', BA) \models^* (q', x'', A) \models^* (q'', \epsilon, \gamma)$.

- Production (e), namely $[qA]_1 \rightarrow \sigma[pA]_1$, with $\sigma \in \{a, \epsilon\}$, $x = \sigma y$, and $\delta(q, \sigma, A) = \{(p, \text{read})\}$:
 $[pA]_1 \xrightarrow{k-1} y$ and, by inductive hypothesis, $(p, y, A) \vdash^* (q', \epsilon, \gamma)$, for some $q' \in F$, $\gamma \in \Gamma^+$. Hence: $(q, x, A) \vdash (p, y, A) \vdash^* (q', \epsilon, \gamma)$.

We now prove the “if” part, by induction of the number k of moves in a computation $(q, x, A) \vdash^k (q', \epsilon, \gamma)$, with $q' \in F$, $\gamma \in \Gamma^+$.

If $k = 0$ then $q = q'$ and $x = \epsilon$. The trivial computation is simulated by the derivation consisting only of the production (f).

For $k > 0$, we consider different subcases, depending on the first move of the automaton:

- $\delta(q, \epsilon, A) = \{(p, \text{push}(B))\}$:
 $(q, x, A) \vdash (p, x, BA) \vdash^{k-1} (q', \epsilon, \gamma)$. Because γ is not empty, during the given computation the symbol A cannot be removed from the stack. Hence $\gamma = \gamma' A$, for some $\gamma' \in \Gamma^*$, and $(p, x, B) \vdash^{k-1} (q', \epsilon, \gamma')$.
 If $\gamma' = \epsilon$ then $q' = \text{exit}[pB]$ and, by (1), $[pB]_0 \xrightarrow{*} x$. Hence $[qA]_1 \Rightarrow [pB]_0[q'A]_1 \xrightarrow{*} x[q'A]_1 \Rightarrow x$ (since $q' \in F$, in the last step the production (f) is used).
 On the other hand, if $\gamma' \neq \epsilon$, then by the inductive hypothesis, it turns out that $[pB]_1 \xrightarrow{*} x$. Hence, using production (a), $[qA]_1 \Rightarrow [pB]_1 \xrightarrow{*} x$.
- $\delta(q, \epsilon, A) = \{(p, \text{pop})\}$:
 This case is not possible because it should imply $k = 1$, $x = \epsilon$, $p \in F$, and γ empty.
- $\delta(q, \sigma, A) = \{(p, \text{read})\}$, with $\sigma \in \{a, \epsilon\}$, $x = \sigma y$, $y \in a^*$:
 $(q, \sigma y, A) \vdash (p, y, A) \vdash^{k-1} (q', \epsilon, \gamma)$. By inductive hypothesis $[pA] \xrightarrow{*} y$. Hence:
 $[qA]_1 \Rightarrow \sigma[pA]_1 \xrightarrow{*} \sigma y = x$.

□

As a consequence of Lemma 5, it turns out that, for each $x \in a^*$, $[q_0 Z_0]_1 \xrightarrow{*} x$ if and only if x is accepted by M . Hence, we get the following result:

Theorem 4 *For any unary deterministic pushdown automaton M in normal form, with n states and m pushdown symbols, there exists an equivalent context-free grammar with at most $2mn$ variables, such that the right hand side of each production contains at most two symbols.*

Finally, we can observe that from the grammar G above defined, it is easy to get a grammar in Chomsky normal formal, accepting $L(M) - \{\epsilon\}$. This can require one more variable.

5 Immediate acceptance/rejection

Because dpda's can perform ϵ -moves, in order to decide whether or not an input string w is accepted, it is not enough to consider only the configuration reached immediately after

reading the last symbol of w : even the configurations reachable in the further steps, via ϵ -moves, must be taken into account. In this section we show how to modify a unary pda, accepting by final states, in order to be able to decide the acceptance or the rejection of an input string w , just considering the configuration reached immediately after reading the last symbol of w . This result will be useful for a construction presented in Section 6.³

More precisely, let us consider a unary (deterministic or nondeterministic) pda $M = (Q, \{a\}, \Gamma, \delta, q_0, Z_0, F)$ in normal form, accepting by *final states*. We define another pda M' , where each transition $(p, \text{read}) \in \delta(q, a, A)$ of M is replaced with an ϵ -transition, postponing the reading of the symbol a until a final state is reached or the following input symbol should be read.

More formally, $M' = (Q', \{a\}, \Gamma, \delta', q'_0, Z'_0, F')$, with $Q' = Q \cup \tilde{Q} \cup \{q'_0\}$, where \tilde{Q} is an isomorphic copy of Q and the transition function δ' is defined as follows, for $q \in Q$, $\tilde{q} \in \tilde{Q}$, $\sigma \in \{\epsilon, a\}$, $A \in \Gamma$:

- $\delta'(q, \epsilon, A) = \delta(q, \epsilon, A) \cup \{(\tilde{p}, \text{read}) \mid (p, \text{read}) \in \delta(q, a, A)\}$
- $\delta'(q, a, A) = \emptyset$
- $\delta'(\tilde{q}, \sigma, A) = \begin{cases} \{(\tilde{p}, \alpha) \mid (p, \alpha) \in \delta(q, \sigma, A)\} & \text{if } q \notin F \\ \{(q, \text{read})\} & \text{if } q \in F \text{ and } \sigma = a \\ \emptyset & \text{otherwise} \end{cases}$
- $\delta'(q'_0, \epsilon, Z_0) = \{(q_0, \text{read})\}$

Intuitively, the states in \tilde{Q} are used to remember the debt of one read operation. The debt is paid when a final state is reached. However, if in the original pda M the read of a further symbol must be performed, before reaching a final state, then in M' a read is executed, without canceling the debt.

The new initial state q'_0 is useful when q_0 is not accepting, but the empty word must be accepted, i.e., in the original automaton there is a sequence of transitions leading from q_0 to a final state, without consuming any input symbol. Hence:

$$F' = \begin{cases} F \cup \{q'_0\} & \text{if } \epsilon \text{ is accepted by } M \\ F & \text{otherwise.} \end{cases}$$

Because final states (with the possible exception of q'_0) can be reached only with moves that consume an input symbol, we can conclude that M' satisfies the required property of accepting input strings immediately after reading the last symbol. In order to prove that M' is equivalent to M , the following lemma is useful (the transition relations between configurations are marked with the names of the considered pda's):

Lemma 6 *For each $k \geq 0$, $q \in Q$, $\alpha \in \Gamma^*$: (a) $(q_0, a^k, Z_0) \vdash_M^* (q, \epsilon, \alpha)$ if and only if (b) $(q'_0, a^k, Z_0) \vdash_{M'}^* (q, \epsilon, \alpha)$ or (c) $(q'_0, a^{k-1}, Z_0) \vdash_{M'}^* (\tilde{q}, \epsilon, \alpha)$. Furthermore, if $(q_0, a^k, Z_0) \vdash_M^* (p, \epsilon, \beta) \vdash_M^* (q, \epsilon, \alpha)$, for some $p \in F$, $\beta \in \Gamma^*$, then (b) holds.*

³We remind that as observed in Section 2, in the unary case we can consider, without increasing the size, loop-free dpda's.

Proof: The lemma can be proved by induction on the length of the derivations, and by observing that for $q \in F$, (c) implies (b). Because the proof is very technical and it involves only standard arguments, it is omitted. □

As consequence of the previous construction and of Lemma 6, we get that M and M' are equivalent, and hence:

Theorem 5 *For each unary pda M in normal form with n states, accepting by final states, there exists an equivalent pda M' in normal form with $2n+1$ states and the same pushdown alphabet as M such that each input string w is accepted if and only if the state reached immediately after reading the last symbol of w is final. Furthermore, if M is deterministic then M' is deterministic, too.*

6 Languages with complex dpda's

In Section 3, we proved that dpda's can be exponentially more succinct than finite automata. In this section we show the existence of languages for which this dramatic reduction of the descriptive complexity cannot be achieved. More precisely, we prove that for each integer m there exists a unary 2^m -cyclic language B_m such that the size of each dpda accepting it is exponential in m .

Let us start by introducing the definition of the language B_m . To this aim, we first recall that a *de Bruijn word* [3] of order m on $\{0, 1\}$ is a word w_m of length $2^m + m - 1$ such that each string of length m is a factor of w_m occurring in w_m exactly one time. Furthermore, the suffix and the prefix of length $m - 1$ of w_m coincide.

We consider the following language:⁴

$$B_m = \{a^k \mid \text{the } (k \bmod' 2^m)\text{th letter of } w_m \text{ is } 1\},$$

$$\text{where } x \bmod' y = \begin{cases} x \bmod y & \text{if } x \bmod y > 0 \\ y & \text{otherwise.} \end{cases}$$

For example, $w_3 = 0001011100$ and $B_3 = \{a^0, a^4, a^6, a^7\}\{a^8\}^*$.

By definition and by the above mentioned properties of de Bruijn words, B_m is a properly 2^m -cyclic unary language. Hence, the minimal ldfa accepting it has exactly 2^m states (actually, by Theorem 9 in [11], this number of states is required even by each 2nfa accepting B_m). We show that even the size of each dpda accepting B_m must be exponential in m . More precisely:

Theorem 6 *There is a constant d , such that for each $m > 0$ the size of any dpda accepting B_m is at least $d \frac{2^m}{m^2}$.*

Proof: Let us consider a dpda M of size s accepting B_m . We will show that from M it is possible to build a grammar with $O(sm)$ variables generating the language which consists

⁴The same language was considered in [2] for a different problem.

only of the word w_m . Hence, the result will follow from a lower bound presented in [4], related to the generation of w_m .

First of all, by Theorem 5, from M it is possible to get an equivalent dpda M' of size $O(s)$, such that M' is able to accept or reject each string a^k immediately after reading the k th letter of the input.

We also consider a ldfa A accepting the language L which consists of all strings x on the alphabet $\{0, 1\}$, such that $x = yw$, where w is the suffix of length m of w_m , and w is not a proper factor of x , i.e., $x = x'w$, and $x = x''ww'$ implies $w' = \epsilon$. Note that A can be implemented with $m + 1$ states. The automaton A will be used in the following to modify the control of M' , in order to force it to accept only the string a^{2^m+m-1} .

To this aim, we describe a new dpda M'' . Each state of M'' simulates one state of M' and one state of A . The initial state of M'' is the pair of the initial states of M' and A . M'' simulates M' moves step by step. When a transition which reads an input symbol is simulated, then M'' simulates also one move of A on input $\sigma \in \{0, 1\}$, where $\sigma = 1$ if the transition of M' leads to an accepting state, 0 otherwise. In this way, the automaton A will finally receive as input the word w_m . When the simulation reaches the accepting state of A , namely the end of w_m has been reached, M'' stops and accepts. Thus, the only string accepted by M'' is a^{2^m+m-1} .

Using the construction presented in Section 4, we can build a context-free grammar G equivalent to M'' . We modify the productions of G that correspond to operations which consume input symbols: each production $[qA]_b \rightarrow a[pA]_b$ is replaced by $[qA]_b \rightarrow 1[pA]_b$ if p corresponds to a final state of M' , and by $[qA]_b \rightarrow 0[pA]_b$ otherwise. It is easy to observe that the grammar G' so obtained generates the language $\{w_m\}$. Furthermore, the size of G' is bounded by ksm , for some constant k . By a result presented in [4] (based on a lower bound from [1]), the number of variables of G' must be at least $c\frac{2^m}{m}$ for some constant c . Hence, from $ksm \geq c\frac{2^m}{m}$, we finally get that the size of the original dpda M must be at least $d\frac{2^m}{m^2}$ for some constant d . \square

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