

Non-deterministic Finite Automata (NFAs)

Lecture 4

Thursday, September 3, 2020

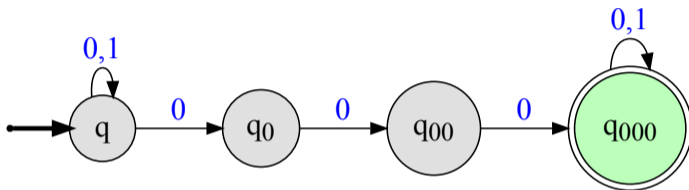
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4.1

NFA Introduction

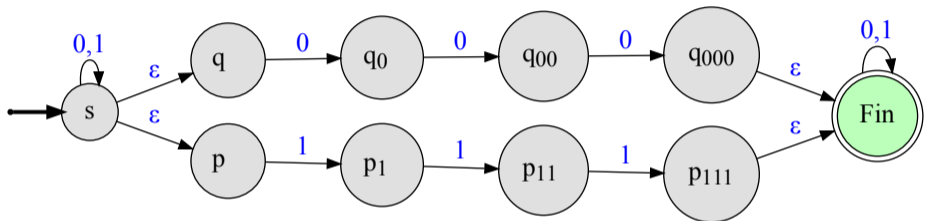
Non-deterministic Finite State Automata by example

When you come to a fork in the road, take it.



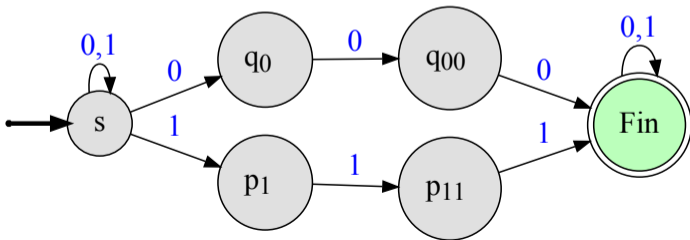
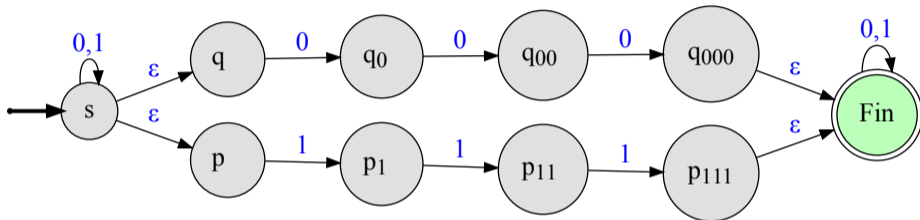
Non-deterministic Finite State Automata by example II

..but only if it is made out of silver.



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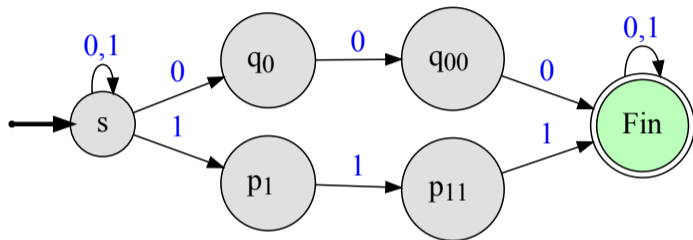


More efficient

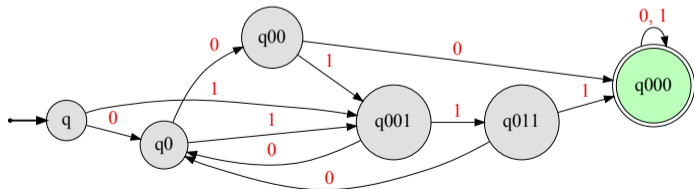
NFA:

Non-deterministic Finite State Automata by example II

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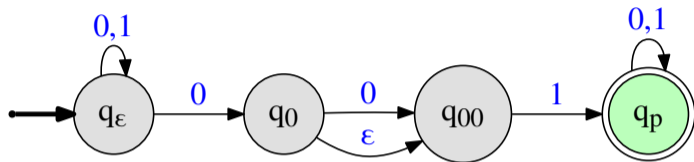


More efficient
NFA:



Not the point...
...because **DFA**
can still do it ef-

Non-deterministic Finite State Automata (NFAs)



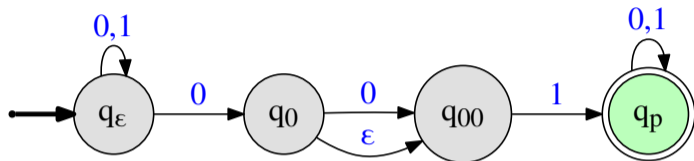
Differences from DFA

- From state q on same letter $a \in \Sigma$ multiple possible states
- No transitions from q on some letters
- ϵ -transitions!

Questions:

- Is this a “real” machine?
- What does it do?

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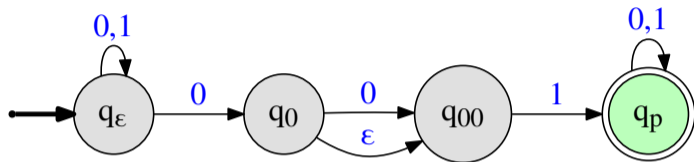
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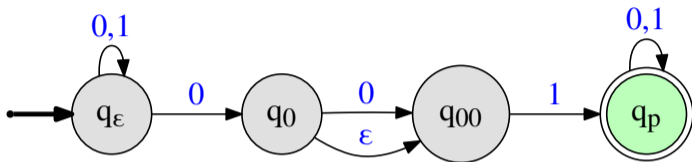
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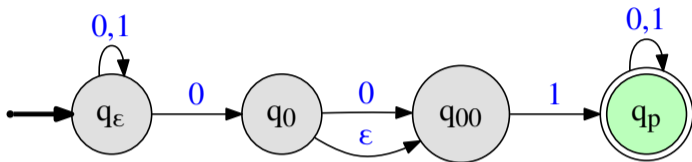
NFA behavior



Machine on input string w from state q can lead to set of states (could be empty)

- From q_ϵ on 1
- From q_ϵ on 0
- From q_0 on ϵ
- From q_ϵ on 01
- From q_{00} on 00

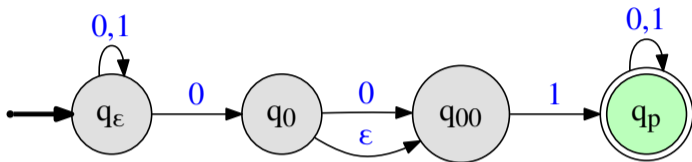
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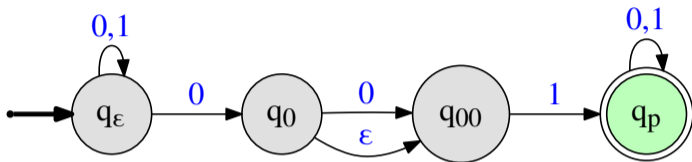
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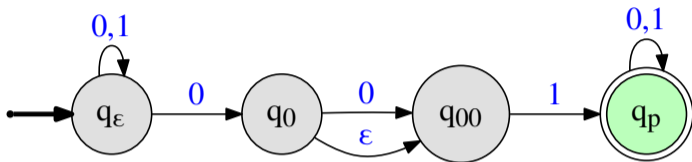
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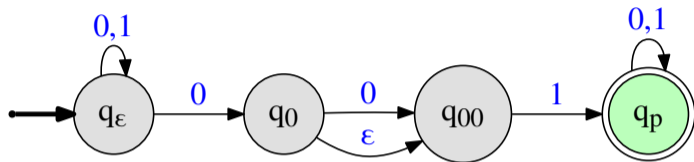
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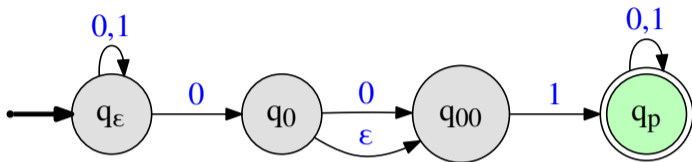
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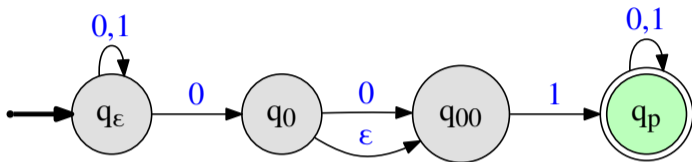
NFA acceptance: informal



Informal definition: An NFA N accepts a string w iff some accepting state is reached by N from the start state on input w .

The language accepted (or recognized) by a NFA N is denoted by $L(N)$ and defined as:
 $L(N) = \{w \mid N \text{ accepts } w\}$.

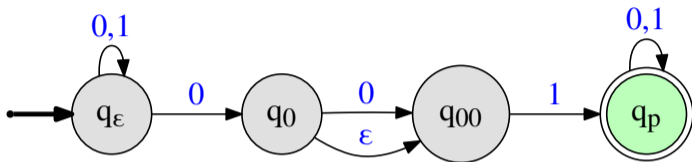
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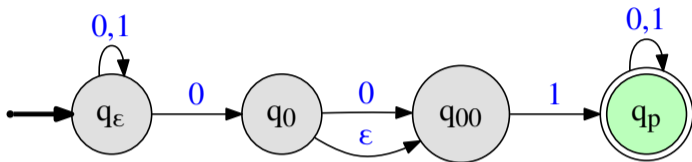
NFA acceptance: example



- Is 01 accepted?
- Is 001 accepted?
- Is 100 accepted?
- Are all strings in 1^*01 accepted?
- What is the language accepted by N ?

Comment: Unlike DFAs, it is easier in NFAs to show that a string is accepted than to show that a string is **not** accepted.

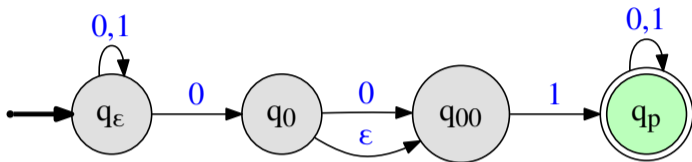
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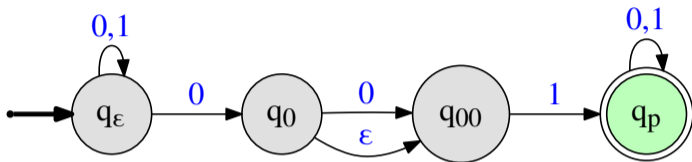
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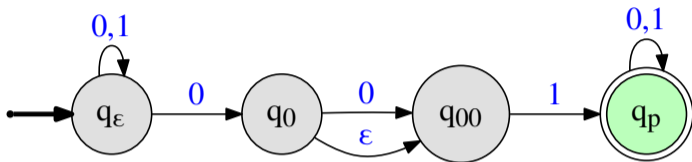
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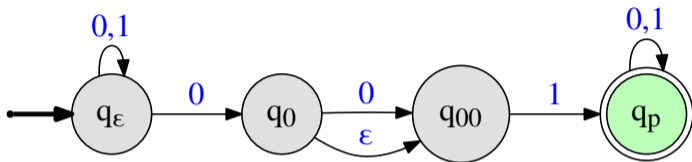
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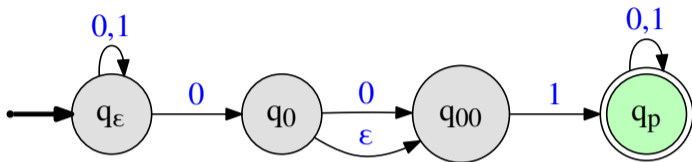
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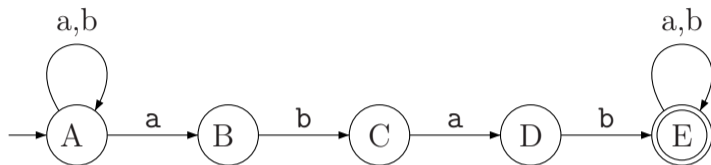
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Simulating NFA

Example the first

(N1)



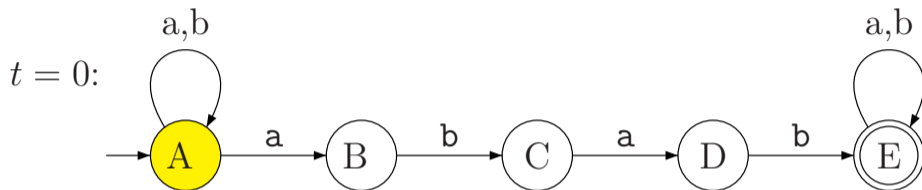
Run it on input

ababa.

Idea: Keep track of the states where the **NFA** might be at any given time.

Simulating NFA

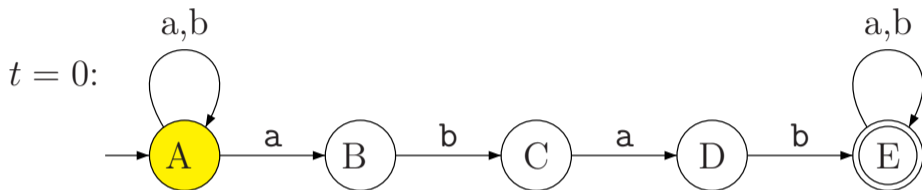
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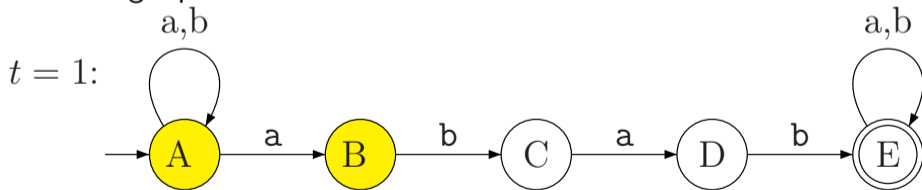
Remaining input: *ababa*.

Simulating NFA

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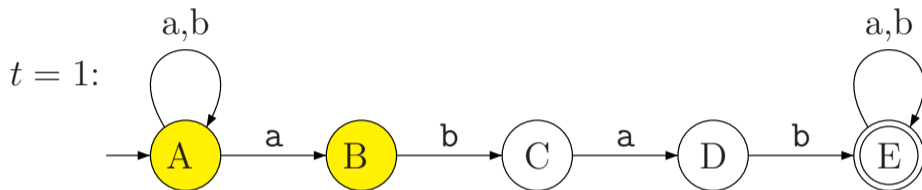
Remaining input: *ababa*.



Remaining input: *baba*.

Simulating NFA

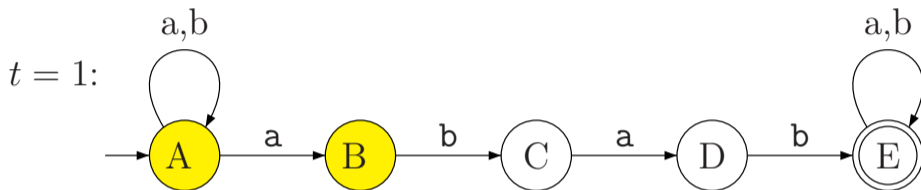
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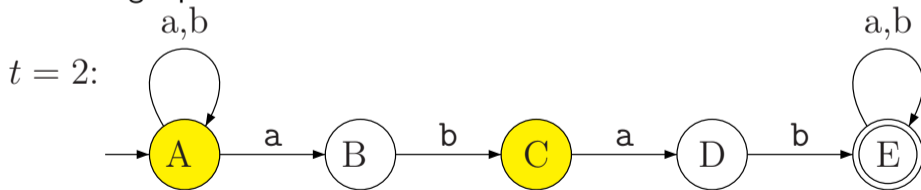
Remaining input: *baba*.

Simulating NFA

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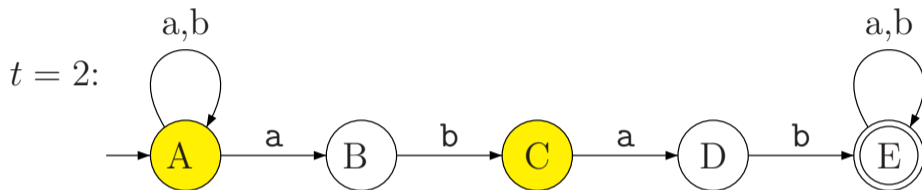
Remaining input: *baba*.



Remaining input: *aba*.

Simulating NFA

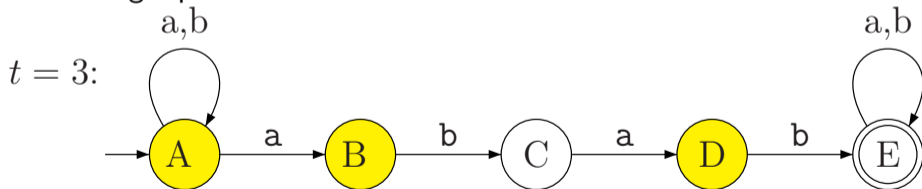
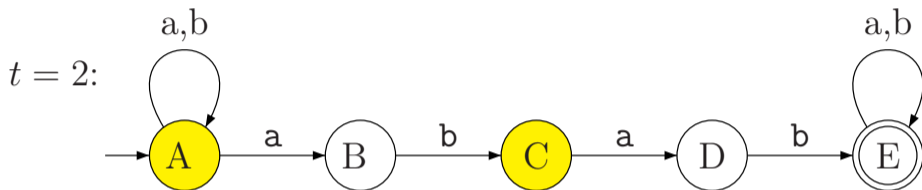
Example the first



Remaining input: *aba*.

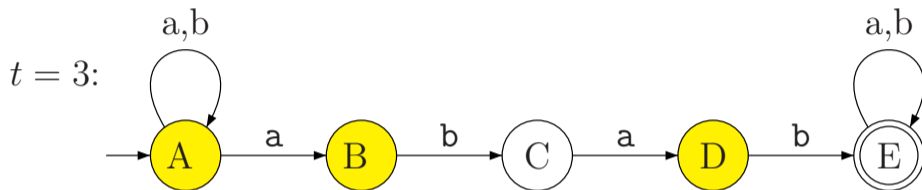
Simulating NFA

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Simulating NFA

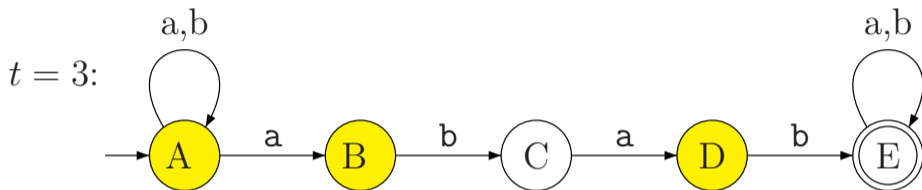
Example the first



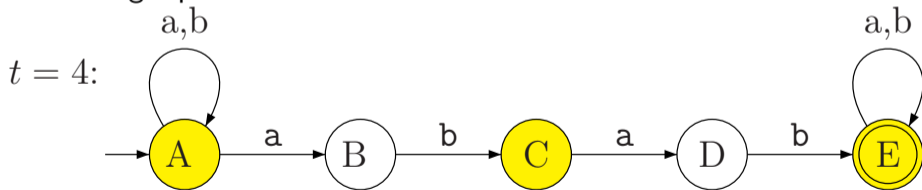
Remaining input: *ba*.

Simulating NFA

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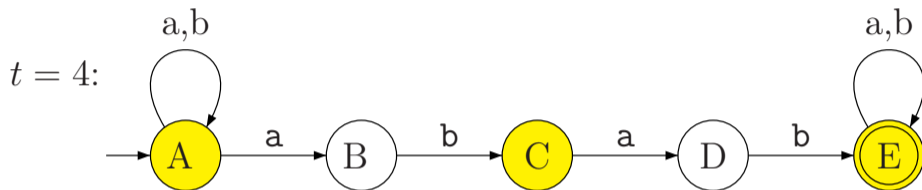
Remaining input: *ba*.



Remaining input: *a*.

Simulating NFA

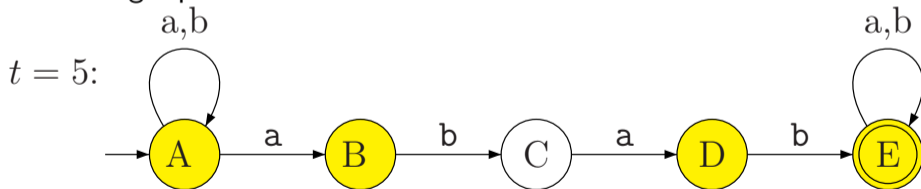
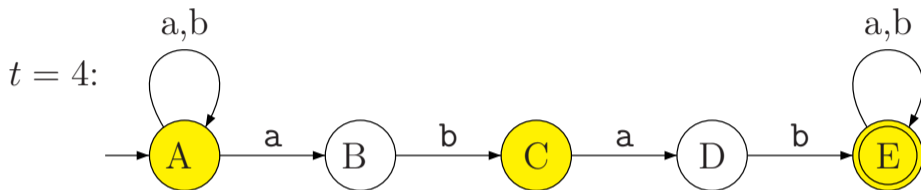
Example the first



Remaining input: ***a***.

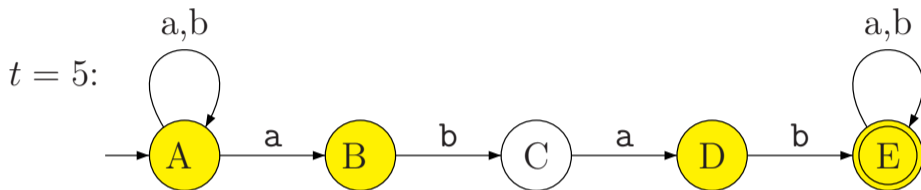
Simulating NFA

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Simulating NFA

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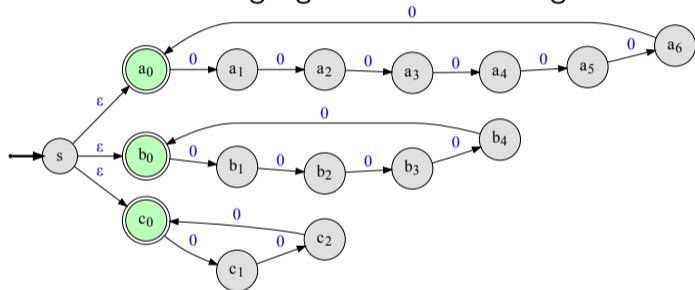
Remaining input: ϵ .

Accepts: *ababa*.

An exercise

For you to think about...

A. What is the language that the following **NFA** accepts?



B. What is the minimal number of states in a **DFA** that recognizes the same language?

THE END

...

(for now)

4.1.1

Formal definition of NFA

Reminder: Power set

Q : a set. Power set of Q is: $\mathcal{P}(Q) = 2^Q = \{X \mid X \subseteq Q\}$ is set of all subsets of Q .

Example

$$Q = \{1, 2, 3, 4\}$$

$$\mathcal{P}(Q) = \left\{ \begin{array}{l} \{1, 2, 3, 4\}, \\ \{2, 3, 4\}, \{1, 3, 4\}, \{1, 2, 4\}, \{1, 2, 3\}, \\ \{1, 2\}, \{1, 3\}, \{1, 4\}, \{2, 3\}, \{2, 4\}, \{3, 4\}, \\ \{1\}, \{2\}, \{3\}, \{4\}, \\ \{\} \end{array} \right\}$$

Formal Tuple Notation

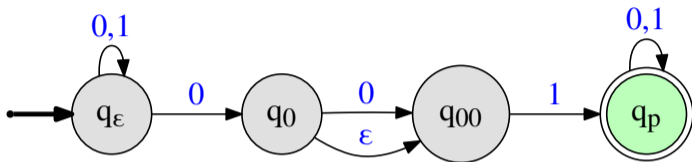
Definition

A **non-deterministic finite automata (NFA)** $N = (Q, \Sigma, \delta, s, A)$ is a five tuple where

- Q is a finite set whose elements are called **states**,
- Σ is a finite set called the **input alphabet**,
- $\delta : Q \times \Sigma \cup \{\epsilon\} \rightarrow \mathcal{P}(Q)$ is the **transition function** (here $\mathcal{P}(Q)$ is the power set of Q),
- $s \in Q$ is the **start state**,
- $A \subseteq Q$ is the set of **accepting/final** states.

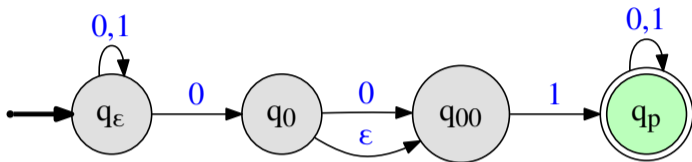
$\delta(q, a)$ for $a \in \Sigma \cup \{\epsilon\}$ is a subset of Q — a set of states.

Example



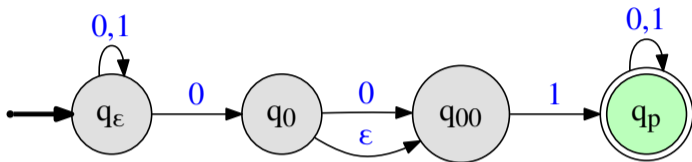
- $Q = \{q_\epsilon, q_0, q_{00}, q_p\}$
- $\Sigma = \{0, 1\}$
- δ
- $s = q_\epsilon$
- $A = \{q_p\}$

Example



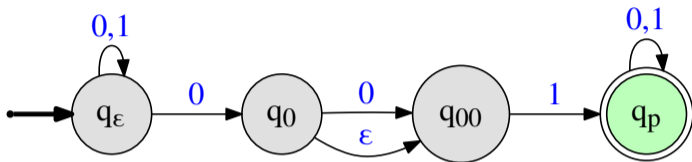
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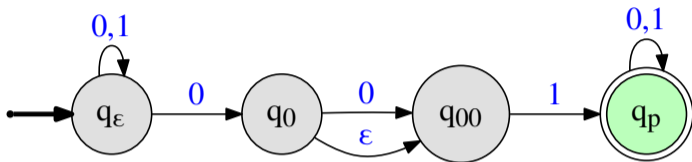
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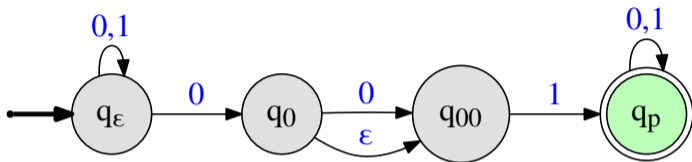
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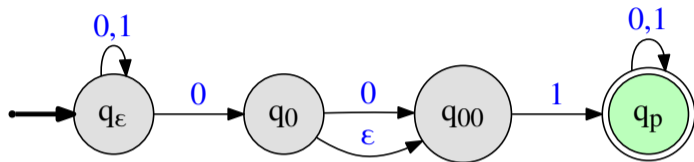
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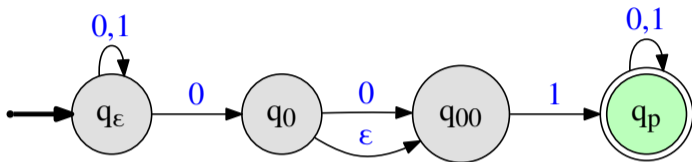
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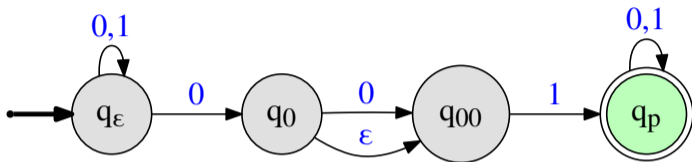
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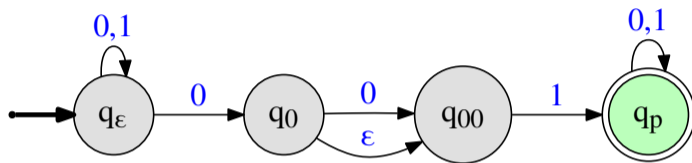
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Example

Transition function in detail...



$$\delta(q_\epsilon, \epsilon) = \{q_\epsilon\}$$

$$\delta(q_\epsilon, 0) = \{q_\epsilon, q_0\}$$

$$\delta(q_\epsilon, 1) = \{q_\epsilon\}$$

$$\delta(q_0, \epsilon) = \{q_0\}$$

$$\delta(q_0, 0) = \{q_0\}$$

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$$\delta(q_0, \epsilon) = \{q_0, q_{00}\}$$

$$\delta(q_0, 0) = \{q_{00}\}$$

$$\delta(q_0, 1) = \{\}$$

$$\delta(q_p, \epsilon) = \{q_p\}$$

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THE END

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(for now)

4.1.2

Extending the transition function to strings

Extending the transition function to strings

- 1 NFA $N = (Q, \Sigma, \delta, s, A)$
- 2 $\delta(q, a)$: set of states that N can go to from q on reading $a \in \Sigma \cup \{\epsilon\}$.
- 3 Want transition function $\delta^* : Q \times \Sigma^* \rightarrow \mathcal{P}(Q)$
- 4 $\delta^*(q, w)$: set of states reachable on input w starting in state q .

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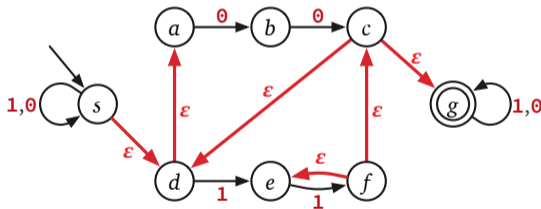
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- 4 $\delta^*(q, w)$: set of states reachable on input w starting in state q .

Extending the transition function to strings

Definition

For NFA $N = (Q, \Sigma, \delta, s, A)$ and $q \in Q$ the $\epsilon\text{reach}(q)$ is the set of all states that q can reach using only ϵ -transitions.



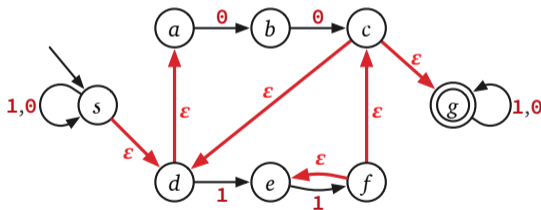
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For $X \subseteq Q$: $\epsilon\text{reach}(X) = \bigcup_{x \in X} \epsilon\text{reach}(x)$.

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Extending the transition function to strings

$\epsilon\text{reach}(q)$: set of all states that q can reach using only ϵ -transitions.

Definition

Inductive definition of $\delta^* : Q \times \Sigma^* \rightarrow \mathcal{P}(Q)$:

• if $w = \epsilon$, $\delta^*(q, w) = \epsilon\text{reach}(q)$

• if $w = a$ where $a \in \Sigma$:
$$\delta^*(q, a) = \epsilon\text{reach}\left(\bigcup_{p \in \epsilon\text{reach}(q)} \delta(p, a)\right)$$

• if $w = ax$:
$$\delta^*(q, w) = \epsilon\text{reach}\left(\bigcup_{p \in \epsilon\text{reach}(q)} \left(\bigcup_{r \in \delta^*(p, a)} \delta^*(r, x)\right)\right)$$

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Transition for strings: $w = ax$

Translation...

$$\delta^*(q, w) = \epsilon\text{reach} \left(\bigcup_{p \in \epsilon\text{reach}(q)} \left(\bigcup_{r \in \delta^*(p, a)} \delta^*(r, x) \right) \right)$$

① $R = \epsilon\text{reach}(q) \implies \delta^*(q, w) = \epsilon\text{reach} \left(\bigcup_{p \in R} \bigcup_{r \in \delta^*(p, a)} \delta^*(r, x) \right)$

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Formal definition of language accepted by N

Definition

A string w is accepted by **NFA** N if $\delta_N^*(s, w) \cap A \neq \emptyset$.

Definition

The language $L(N)$ accepted by a **NFA** $N = (Q, \Sigma, \delta, s, A)$ is

$$\{w \in \Sigma^* \mid \delta^*(s, w) \cap A \neq \emptyset\}.$$

Important: Formal definition of the language of **NFA** above uses δ^* and not δ . As such, one does not need to include ϵ -transitions closure when specifying δ , since δ^* takes care of that.

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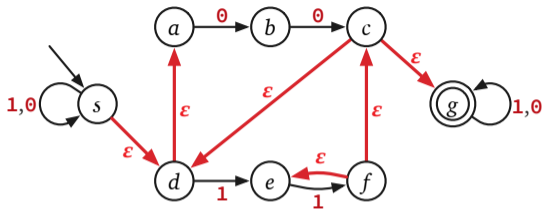
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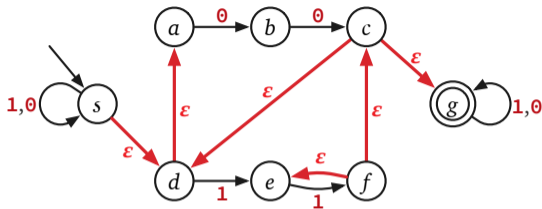
Example



What is:

- $\delta^*(s, \epsilon)$
- $\delta^*(s, 0)$
- $\delta^*(c, 0)$
- $\delta^*(b, 00)$

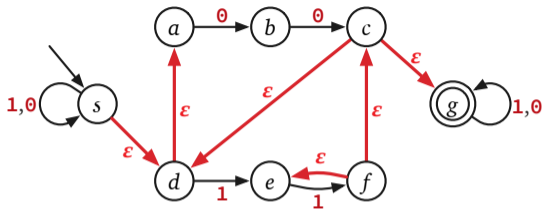
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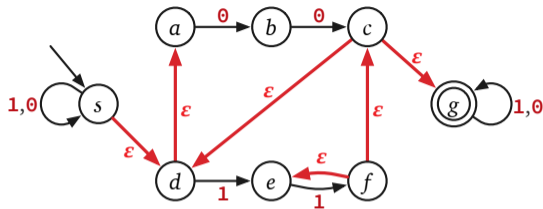
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Example



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- $\delta^*(s, \epsilon)$
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Another definition of computation

Definition

$q \xrightarrow{w}_N p$: State p of NFA N is reachable from q on $w \iff$ there exists a sequence of states r_0, r_1, \dots, r_k and a sequence x_1, x_2, \dots, x_k where $x_i \in \Sigma \cup \{\epsilon\}$, for each i , such that:

- $r_0 = q$,
- for each i , $r_{i+1} \in \delta^*(r_i, x_{i+1})$,
- $r_k = p$, and
- $w = x_1 x_2 x_3 \cdots x_k$.

Definition

$$\delta_N^*(q, w) = \left\{ p \in Q \mid q \xrightarrow{w}_N p \right\}.$$

Why non-determinism?

- Non-determinism adds power to the model; richer programming language and hence (much) easier to “design” programs
- Fundamental in **theory** to prove many theorems
- Very important in **practice** directly and indirectly
- Many deep connections to various fields in Computer Science and Mathematics

Many interpretations of non-determinism. Hard to understand at the outset. Get used to it and then you will appreciate it slowly.

THE END

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(for now)

4.2

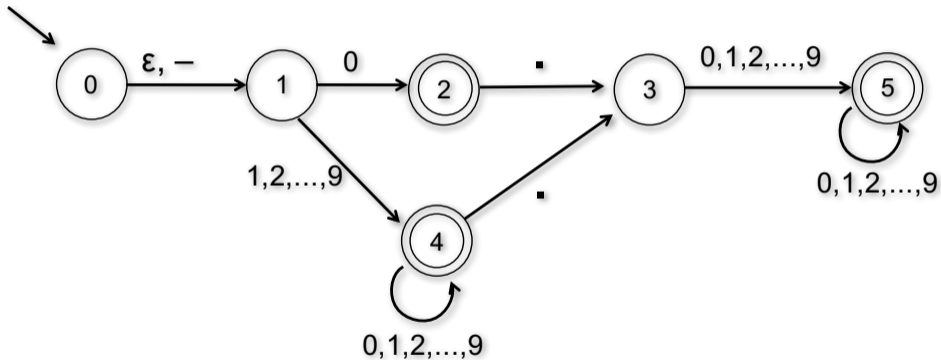
Constructing NFAs

DFAs and NFAs

- Every **DFA** is a **NFA** so **NFAs** are at least as powerful as **DFAs**.
- **NFAs** prove ability to “guess and verify” which simplifies design and reduces number of states
- Easy proofs of some closure properties

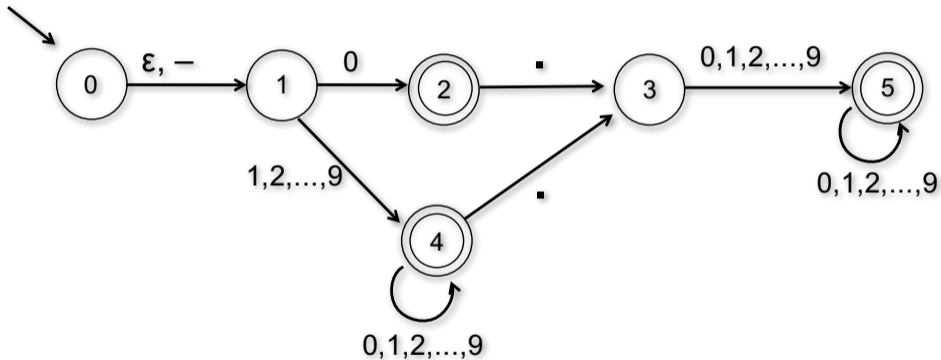
Example

Strings that represent decimal numbers.



Example

Strings that represent decimal numbers.



Example

- {strings that contain CS374 as a substring}
- {strings that contain CS374 or CS473 as a substring}
- {strings that contain CS374 and CS473 as substrings}

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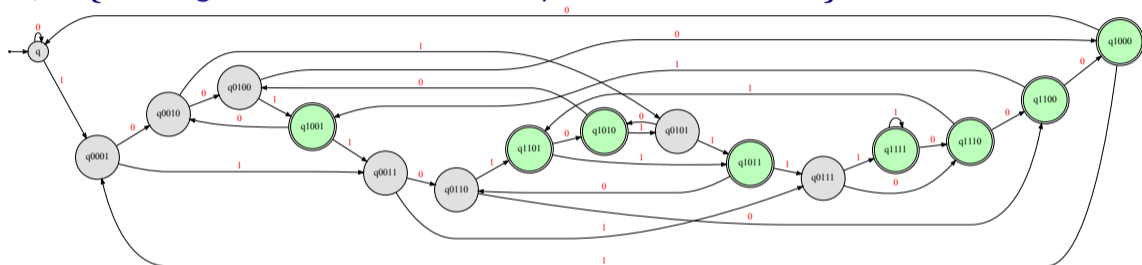
- {strings that contain CS374 as a substring}
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Example

$L_k = \{\text{bitstrings that have a 1 } k \text{ positions from the end}\}$

DFA for same task is much bigger...

$L_4 = \{\text{bitstrings that have a 1 in fourth position from the end}\}$



A simple transformation

Theorem

For every NFA N there is another NFA N' such that $L(N) = L(N')$ and such that N' has the following two properties:

- N' has single final state f that has no outgoing transitions
- The start state s of N is different from f

THE END

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(for now)

4.3

Closure Properties of NFAs

Closure properties of NFAs

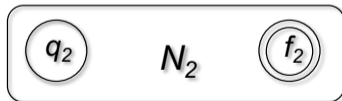
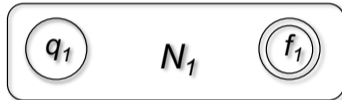
Are the class of languages accepted by **NFAs** closed under the following operations?

- union
- intersection
- concatenation
- Kleene star
- complement

Closure under union

Theorem

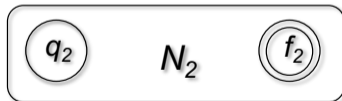
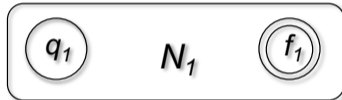
For any two NFAs N_1 and N_2 there is a NFA N such that $L(N) = L(N_1) \cup L(N_2)$.



Closure under union

Theorem

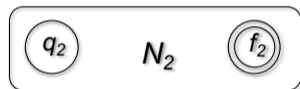
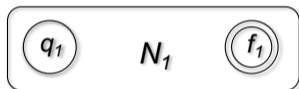
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Closure under concatenation

Theorem

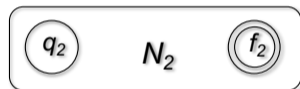
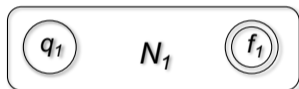
For any two NFAs N_1 and N_2 there is a NFA N such that $L(N) = L(N_1) \cdot L(N_2)$.



Closure under concatenation

Theorem

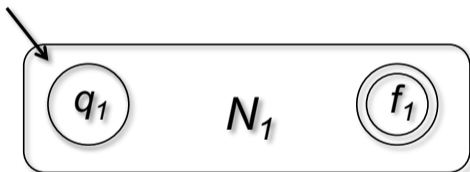
For any two NFAs N_1 and N_2 there is a NFA N such that $L(N) = L(N_1) \cdot L(N_2)$.



Closure under Kleene star

Theorem

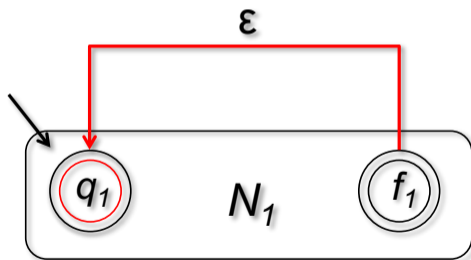
For any NFA N_1 there is a NFA N such that $L(N) = (L(N_1))^*$.



Closure under Kleene star

Theorem

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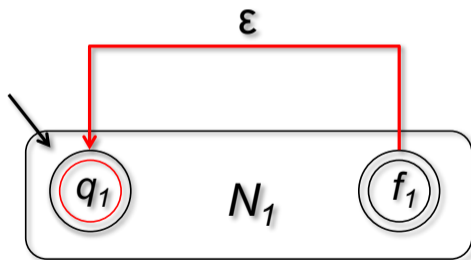


Does not work! Why?

Closure under Kleene star

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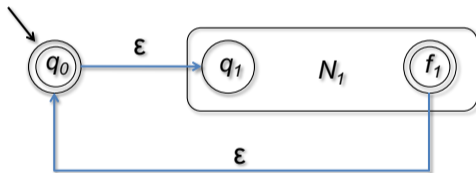


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THE END

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(for now)

4.4

NFAs capture Regular Languages

Regular Languages Recap

Regular Languages

\emptyset regular

$\{\epsilon\}$ regular

$\{a\}$ regular for $a \in \Sigma$

$R_1 \cup R_2$ regular if both are

$R_1 R_2$ regular if both are

R^* is regular if R is

Regular Expressions

\emptyset denotes \emptyset

ϵ denotes $\{\epsilon\}$

a denote $\{a\}$

$r_1 + r_2$ denotes $R_1 \cup R_2$

$r_1 r_2$ denotes $R_1 R_2$

r^* denote R^*

Regular expressions denote regular languages — they explicitly show the operations that were used to form the language

NFAs and Regular Language

Theorem

For every regular language L there is an NFA N such that $L = L(N)$.

Proof strategy:

- For every regular expression r show that there is a NFA N such that $L(r) = L(N)$
- Induction on length of r

NFAs and Regular Language

- For every regular expression r show that there is a NFA N such that $L(r) = L(N)$
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Base cases: \emptyset , $\{\epsilon\}$, $\{a\}$ for $a \in \Sigma$.

NFAs and Regular Language

- For every regular expression r show that there is a NFA N such that $L(r) = L(N)$
- Induction on length of r

Inductive cases:

- r_1, r_2 regular expressions and $r = r_1 + r_2$.

By induction there are NFAs N_1, N_2 s.t

$L(N_1) = L(r_1)$ and $L(N_2) = L(r_2)$. We have already seen that there is NFA N s.t $L(N) = L(N_1) \cup L(N_2)$, hence $L(N) = L(r)$

- $r = r_1 \cdot r_2$. Use closure of NFA languages under concatenation
- $r = (r_1)^*$. Use closure of NFA languages under Kleene star

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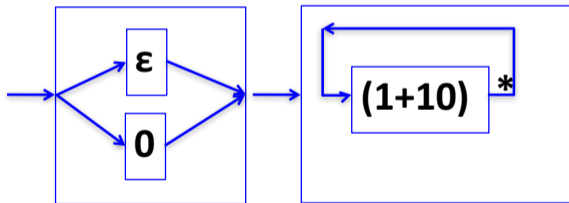
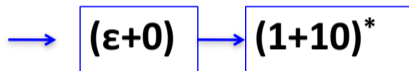
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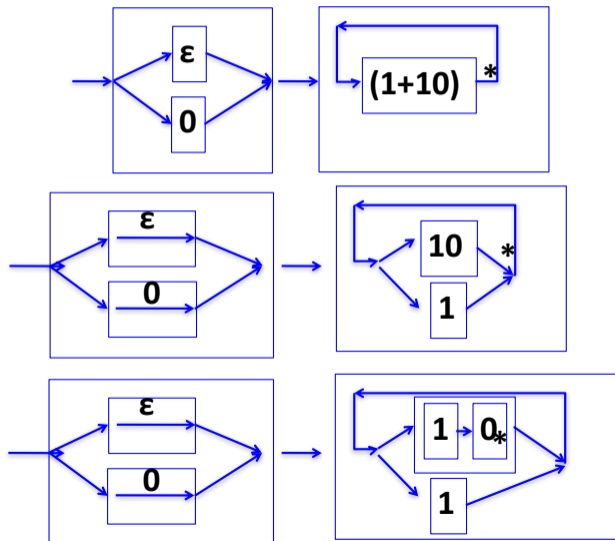
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Example

$(\epsilon+0)(1+10)^*$

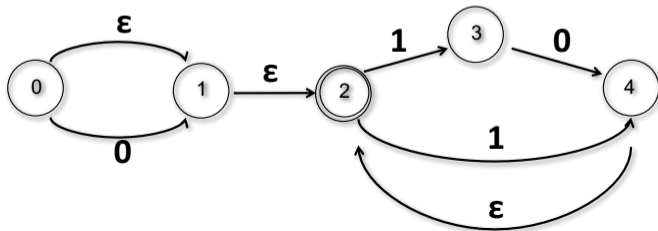
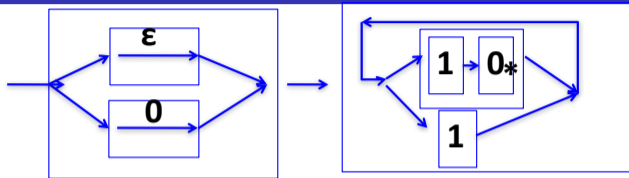


Example



Example

Final NFA simplified slightly to reduce states



THE END

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(for now)