

# Self-Regulating Finite Automata

Based on

A. Meduna and T. Masopust: *Self-Regulating Finite Automata*,  
Acta Cybernetica, in press.

# Outline

- 1 Introduction
  - Finite Automata
  - Self-Regulation—The Main Idea

- 2 Self-Regulating Finite Automata
  - Definitions
    - All-Move Self-Regulating Finite Automata
    - First-Move Self-Regulating Finite Automata
  - Results

- 3 Self-Regulating Pushdown Automata
  - Definitions
    - All-Move Self-Regulating Pushdown Automata
    - First-Move Self-Regulating Pushdown Automata
  - Results

- 4 Open Problems

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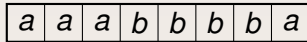
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# Finite Automata—Concept

tape



## Characteristics

- Finite state control
- Input cannot be modified
- Head only moves forward



# Finite Automata—Definition

## Definition

A **finite automaton** is a quintuple

$$M = (Q, \Sigma, P, q_0, F)$$

where

- $Q$  is a finite set of **states**,
- $\Sigma$  is an **input** alphabet,
- $P$  is a finite set of **rules** of the form  $qw \rightarrow p$ ,  $q, p \in Q$ ,  $w \in \Sigma^*$ ,
- $q_0 \in Q$  is an **initial** state,
- $F \subseteq Q$  is a set of **final** states.

# Finite Automata—Language

## Definition

A **configuration** is any member of  $Q\Sigma^*$ .

If

$$qwy \in Q\Sigma^* \text{ and } r.qw \rightarrow p \in P,$$

then

$$qwy \Rightarrow py[r].$$

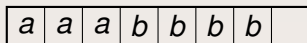
The **language** of  $M$  is the set

$$\mathcal{L}(M) = \{w \in \Sigma^* : q_0w \Rightarrow^* f, f \in F\},$$

where  $\Rightarrow^*$  is the reflexive and transitive closure of  $\Rightarrow$ .

# Finite Automata—Example

tape



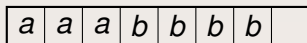
Current state:  $q_a$

## Description

- $Q = \{q_a, q_b\}$
- $\Sigma = \{a, b\}$
- $P$  contains
  - 1.  $q_a a \rightarrow q_a$
  - 2.  $q_a b \rightarrow q_b$
  - 3.  $q_b b \rightarrow q_b$
- $M$  starts in  $q_a$
- $F = Q$
- $\mathcal{L}(M) = \{a\}^* \{b\}^*$

# Finite Automata—Example

tape



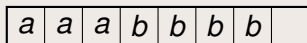
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tape



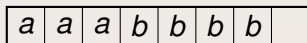
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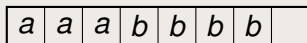
Current state:  $q_a$

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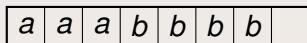
Current state:  $q_b$

## Description

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- $M$  starts in  $q_a$
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# Finite Automata—Example

tape



Current state:  $q_b$

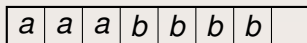
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# Finite Automata—Example

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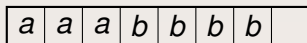
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# Finite Automata—Example

tape



Current state:  $q_b$

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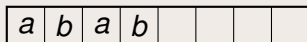
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# Self-Regulation—The Main Idea

tape



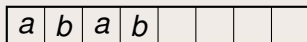
state:  $s$ , rules used: 1,2,3

## Description

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  - 3.  $s \rightarrow t$
  - 4.  $ta \rightarrow t$
  - 5.  $tb \rightarrow t$
  - 6.  $t \rightarrow f$
- $R = \{(1, 4), (2, 5), (3, 6)\}$
- $\mathcal{L}(M) = \{ww : w \in \{a, b\}^*\}$

# Self-Regulation—The Main Idea

tape



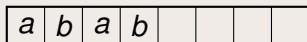
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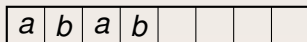
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# Self-Regulation—The Main Idea

tape



state:  $t$ , rules used: 1,2,3

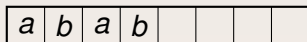
$M$  makes a turn

## Description

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# Self-Regulation—The Main Idea

tape



state:  $t$ , rules used: 4, 2, 3

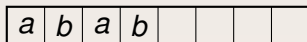
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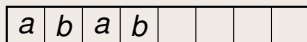
state:  $t$ , rules used: 4,5,3

## Description

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# Self-Regulation—The Main Idea

tape



state:  $f$ , rules used: 4,5,6

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# Self-Regulating Finite Automata

## Definition

Let

$$N = (Q, \Sigma, P, q_0, F)$$

be a finite automaton.

A **self-regulating finite automaton**, SFA, is a triple

$$M = (N, q_t, R),$$

where

- 1  $q_t \in Q$  is a **turn state**, and
- 2  $R \subseteq \Psi \times \Psi$  is a finite **relation** on the alphabet of rule labels.

# All-Move Self-Regulating Finite Automata

## Definition

For  $n \geq 0$ , an SFA  $M$  is an  **$n$ -turn all-move SFA**,  $n$ -all-SFA, if  $M$  accepts  $w$  as follows. There is  $q_0 w \Rightarrow^* f[\mu]$ ,  $f \in F$ , such that

$$\mu = \underbrace{0r_1 0r_2 \dots 0r_k}_{k \text{ rules}} \underbrace{1r_1 1r_2 \dots 1r_k}_{k \text{ rules}} \dots \underbrace{n r_1 n r_2 \dots n r_k}_{k \text{ rules}},$$

where  $k \in \mathbb{N}$ ,  $0r_k$  is the first rule of the form  $qx \rightarrow q_t$ , for some  $q \in Q$ ,  $x \in \Sigma^*$ , and

$$({}_j r_i, {}_{j+1} r_i) \in R$$

for all  $1 \leq i \leq k$ ,  $0 \leq j < n$ .

The family of languages accepted by  $n$ -all-SFAs is denoted  **$ALL_n$** .

# First-Move Self-Regulating Finite Automata

## Definition

For  $n \geq 0$ , an SFA  $M$  is an  **$n$ -turn first-move SFA**,  $n$ -first-SFA, if  $M$  accepts  $w$  as follows. There is  $q_0 w \Rightarrow^* f[\mu]$ ,  $f \in F$ , such that

$$\mu = \underbrace{0r_1 0r_2 \dots 0r_k}_{k \text{ rules}} \underbrace{1r_1 1r_2 \dots 1r_k}_{k \text{ rules}} \dots \underbrace{n r_1 n r_2 \dots n r_k}_{k \text{ rules}},$$

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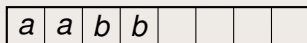
$$(j r_1, j+1 r_1) \in R$$

for  $0 \leq j < n$ .

The family of languages accepted by  $n$ -first-SFAs is denoted  **$FIRST_n$** .

# First-Move SFA—Example

tape



state:  $s$ , rules used: 1,2

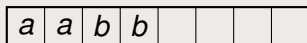
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  - 3.  $tb \rightarrow f$
  - 4.  $fb \rightarrow f$
- $R = \{(1, 3)\}$
- $\mathcal{L}(M) = \{a^n b^n : n \geq 1\}$



# First-Move SFA—Example

tape



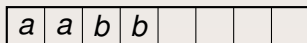
state:  $s$ , rules used: 1 2

## Description

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# First-Move SFA—Example

tape



state:  $t$ , rules used: 1,2

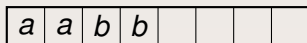
$M$  makes a turn

## Description

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# First-Move SFA—Example

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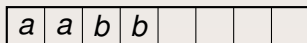
state:  $f$ , rules used: 3,2

## Description

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- $R = \{(1, 3)\}$
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# First-Move SFA—Example

tape



state:  $f$ , rules used: 3,4

## Description

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- $R = \{(1, 3)\}$
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# Parallel Right-Linear Grammars (PRLG)

These grammars are needed in the following proof.

## Definition (Rosebrugh and Wood, 1975)

For  $n > 0$ , an  $n$ -PRLG is an  $(n + 3)$ -tuple

$$G = (N_1, \dots, N_n, T, S, P),$$

where

- $N_i$  are pairwise disjoint nonterminal alphabets,  $1 \leq i \leq n$ ,
- $T$  is a terminal alphabet,
- $S \notin N_1 \cup \dots \cup N_n$ ,
- $P$  contains three kinds of rules:
  - 1  $S \rightarrow X_1 \dots X_n \quad X_i \in N_i, 1 \leq i \leq n,$
  - 2  $X \rightarrow wY \quad X, Y \in N_i \text{ for some } i, 1 \leq i \leq n, w \in T^*, \text{ and}$
  - 3  $X \rightarrow w \quad X \in N, w \in T^*.$

# PRLG—Derivation Step

For  $x, y \in (N \cup T \cup \{S\})^*$ ,

$$x \Rightarrow y$$

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$PRL_n = \{\mathcal{L}(G) : G \text{ is an } n\text{-PRLG}\}.$

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Consider a derivation in  $G$ :

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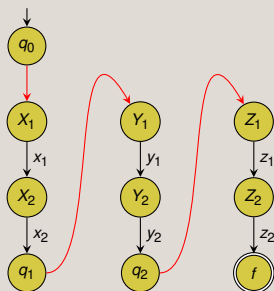
Consider a derivation in  $G$ :

$$\mathcal{L}(G) = \{a^n b^n : n \geq 1\}$$

## Lemma

Let  $G$  be an  $n$ -PRLG. There is an  $(n - 1)$ -first-SFA  $M$ :  $\mathcal{L}(G) = \mathcal{L}(M)$ .

## Proof idea for $n = 3$ .

$$\begin{array}{c}
 S \\
 \Downarrow \\
 X_1 Y_1 Z_1 \\
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## Lemma

Let  $M$  be an  $n$ -first-SFA. There is an  $(n + 1)$ -PRLG  $G$ :  $\mathcal{L}(G) = \mathcal{L}(M)$ .

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Let  $\mu = (q_0x_0 \rightarrow q_1), (q_1x_1 \rightarrow q_2), (q_2x_2 \rightarrow q_t),$   
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# PRLG vs. first-SFA

## Theorem

*For all  $n \geq 0$ ,  $FIRST_n = PRL_{n+1}$ .*

This theorem follows from the previous two lemmas:

## Lemma

*Let  $G$  be an  $n$ -PRLG. There is an  $(n - 1)$ -first-SFA  $M$  such that*

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# Language Families of First-Move SFAs

## Corollary (Rosebrugh and Wood, 1975)

- 1  $REG = FIRST_0 \subset FIRST_1 \subset FIRST_2 \subset \dots \subset CS.$
- 2  $FIRST_1 \subset CF.$
- 3  $FIRST_2 \not\subset CF.$
- 4  $CF \not\subset FIRST_n$  for any  $n \geq 0.$

# Right-Linear Simple Matrix Grammar (RLSMG)

These grammars are needed in the following proof.

## Definition (Wood, 1975)

For  $n > 0$ , an  $n$ -RLSMG is an  $(n + 3)$ -tuple

$$G = (N_1, \dots, N_n, T, S, P),$$

where

- $N_i$  are pairwise disjoint nonterminal alphabets,  $1 \leq i \leq n$ ,
- $T$  is a terminal alphabet,
- $S \notin N_1 \cup \dots \cup N_n$ ,
- $P$  contains three kinds of matrix rules:
 

<ol style="list-style-type: none"> <li>1 <math>[S \rightarrow X_1 \dots X_n]</math></li> <li>2 <math>[X_1 \rightarrow w_1 Y_1, \dots, X_n \rightarrow w_n Y_n]</math></li> <li>3 <math>[X_1 \rightarrow w_1, \dots, X_n \rightarrow w_n]</math></li> </ol>	$X_i \in N_i, 1 \leq i \leq n,$ $w_i \in T^*, X_i, Y_i \in N_i, 1 \leq i \leq n,$ $X_i \in N_i, w_i \in T^*, 1 \leq i \leq n.$
--	--

# RLSMG–Derivation Step

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$$x \Rightarrow y$$

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$$y = y_1 x_1 y_2 x_2 \dots y_n x_n$$

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Consider a derivation in  $G$ :

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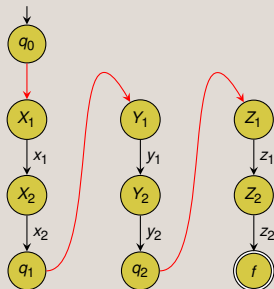
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Let  $M$  be an  $n$ -all-SFA. There is an  $(n + 1)$ -RLSMG  $G$ :  $\mathcal{L}(G) = \mathcal{L}(M)$ .

## Proof idea for $n = 2$ .

Let  $\mu = (q_0x_0 \rightarrow q_1), (q_1x_1 \rightarrow q_2), (q_2x_2 \rightarrow q_t),$   
 $(q_ty_0 \rightarrow r_1), (r_1y_1 \rightarrow r_2), (r_2y_2 \rightarrow q_i),$   
 $(q_iz_0 \rightarrow s_1), (s_1z_1 \rightarrow s_2), (s_2z_2 \rightarrow q_f)$

be an acceptance of  $x_0x_1x_2y_0y_1y_2z_0z_1z_2z_2$  in  $M$ . Then,

$$\begin{aligned} S &\Rightarrow [q_0x_0, q_1, 0, q_t][q_ty_0, r_1, 1, q_i][q_iz_0, s_1, 2, q_f] \\ &\Rightarrow x_0[q_1, 0, q_t]y_0[r_1, 1, q_i]z_0[s_1, 2, q_f] \\ &\Rightarrow x_0x_1[q_2, 0, q_t]y_0y_1[r_2, 1, q_i]z_0z_1[s_2, 2, q_{i_2}] \\ &\Rightarrow x_0x_1x_2[q_t, 0, q_t]y_0y_1y_2[q_i, 1, q_i]z_0z_1z_2[q_f, 2, q_f] \\ &\Rightarrow x_0x_1x_2y_0y_1y_2z_0z_1z_2 \end{aligned}$$



# RLSMG vs. all-SFA

## Theorem

*For all  $n \geq 0$ ,  $ALL_n = RLSM_{n+1}$ .*

This theorem follows from two previous lemmas:

## Lemma

*Let  $G$  be an  $n$ -RLSMG. There is an  $(n - 1)$ -all-SFA  $M$  such that*

$$\mathcal{L}(G) = \mathcal{L}(M).$$

## Lemma

*Let  $M$  be an  $n$ -all-SFA. There is an  $(n + 1)$ -RLSMG  $G$  such that*

$$\mathcal{L}(M) = \mathcal{L}(G).$$

# Language Families of All-Move SFAs

## Corollary (Wood, 1975)

- 1  $REG = ALL_0 \subset ALL_1 \subset ALL_2 \subset \dots \subset CS.$
- 2  $ALL_1 \not\subseteq CF.$
- 3  $CF \not\subseteq ALL_n, \text{ for } n \geq 0.$

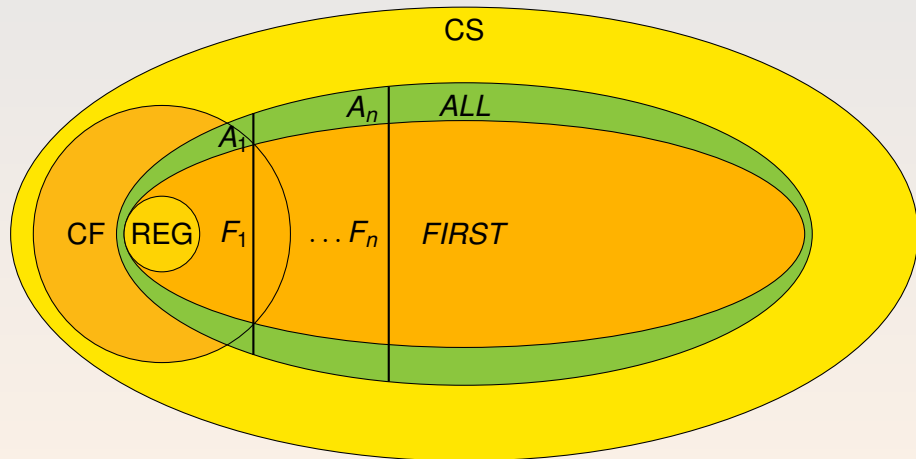


# Comparison

## Theorem

- 1  $FIRST_0 = ALL_0 = REG.$
- 2 For all  $n > 0$ ,  $FIRST_n \subset ALL_n.$
- 3  $FIRST_n \not\subset ALL_{n-1}, n \geq 1.$
- 4  $ALL_n - FIRST \neq \emptyset, n \geq 1$ , where  $FIRST = \bigcup_{m=1}^{\infty} FIRST_m.$

# Comparison



$F_n = FIRST_n$ , the family of languages accepted by  $n$ -first-SFAs

$A_n = ALL_n$ , the family of languages accepted by  $n$ -all-SFAs

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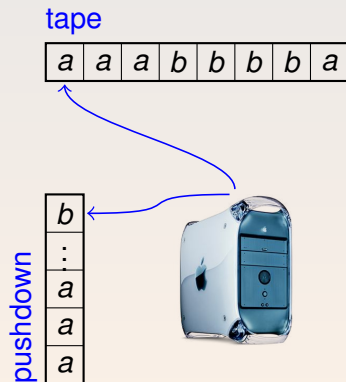
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# Pushdown Automata—Concept



## Characteristics

- Finite state control
- Input **cannot** be modified
- Head only moves **forward**
- Potentially **infinite** pushdown store
- Pushdown top **can** be modified
- Pushdown-head reads the **top** symbol

# Pushdown Automata—Definition

## Definition

A **pushdown automaton** is a quintuple

$$M = (Q, \Sigma, \Gamma, P, q_0, Z_0, F),$$

where

- $Q$  is a finite set of **states**,
- $\Sigma$  and  $\Gamma$  are **input** and **pushdown** alphabets, respectively,
- $P$  is a finite set of **rules** of the form  $Aqw \rightarrow zp$ ,  $A \in \Gamma$ ,  $q, p \in Q$ ,  $w \in \Sigma^*$ ,  $z \in \Gamma^*$ ,
- $q_0 \in Q$  is an **initial state**,
- $Z_0$  is an **initial pushdown symbol**,
- $F \subseteq Q$  is a set of **final** states.

# Pushdown Automata—Language

## Definition

A **configuration** is a member of  $\Gamma^* Q \Sigma^*$ .

If

$$xAqwy \in \Gamma^* Q \Sigma^* \text{ and } r.Aqw \rightarrow zp \in P,$$

then

$$xAqwy \Rightarrow xzpy[r].$$

The **language** of  $M$  is the set

$$\mathcal{L}(M) = \{w \in \Sigma^* : Z_0 q_0 w \Rightarrow^* f, f \in F\}.$$

# Self-Regulating Pushdown Automata

## Definition

Let

$$N = (Q, \Sigma, \Gamma, P, q_0, Z_0, F)$$

be a pushdown automaton.

A **self-regulating pushdown automaton**, SPDA, is a triple

$$M = (N, q_t, R),$$

where

- 1  $q_t \in Q$  is a **turn state**, and
- 2  $R \subseteq \Psi \times \Psi$  is a **finite relation** on the alphabet of rule labels.



# All-Move Self-Regulating Pushdown Automata

## Definition

For  $n \geq 0$ , an SPDA  $M$  is  **$n$ -turn all-move SPDA**,  $n$ -all-SPDA, if  $M$  accepts  $w$  as follows. There is  $Z_0 q_0 w \Rightarrow^* f[\mu]$ ,  $f \in F$ , such that

$$\mu = \underbrace{0r_1 0r_2 \dots 0r_k}_{k \text{ rules}} \underbrace{1r_1 1r_2 \dots 1r_k}_{k \text{ rules}} \dots \underbrace{n r_1 n r_2 \dots n r_k}_{k \text{ rules}},$$

where  $k \in \mathbb{N}$ ,  $0r_k$  is the first rule of the form  $Zqx \rightarrow zq_t$ , for some  $Z \in \Gamma$ ,  $q \in Q$ ,  $x \in \Sigma^*$ ,  $z \in \Gamma^*$ , and

$$({}_j r_i, {}_{j+1} r_i) \in R$$

for all  $1 \leq i \leq k$ ,  $0 \leq j < n$ .

The family of languages accepted by  $n$ -all-SPDAs is denoted  **$ALL\text{-}SPDA_n$** .

# First-Move Self-Regulating Pushdown Automata

## Definition

For  $n \geq 0$ , an SPDA  $M$  is  **$n$ -turn first-move SPDA**,  $n$ -first-SPDA, if  $M$  accepts  $w$  as follows. There is  $Z_0 q_0 w \Rightarrow^* f[\mu]$ ,  $f \in F$ , such that

$$\mu = \underbrace{0r_1 0r_2 \dots 0r_k}_{k \text{ rules}} \underbrace{1r_1 1r_2 \dots 1r_k}_{k \text{ rules}} \dots \underbrace{n r_1 n r_2 \dots n r_k}_{k \text{ rules}},$$

where  $k \in \mathbb{N}$ ,  $0r_k$  is the first rule of the form  $Zqx \rightarrow zq_t$ , for some  $Z \in \Gamma$ ,  $q \in Q$ ,  $x \in \Sigma^*$ ,  $z \in \Gamma^*$ , and

$$(j r_1, j+1 r_1) \in R$$

for  $0 \leq j < n$ .

The family of languages accepted by  $n$ -first-SPDAs is denoted  **$FIRST\text{-}SPDA_n$** .

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# All-Move Self-Regulating Pushdown Automata

Observation:  $ALL\text{-}SPDA_0 = FIRST\text{-}SPDA_0 = CF$ .

## Theorem

$ALL\text{-}SPDA_1 = RE$ .

## Proof Idea.

$L \in RE$ , then there are CFGs  $G$  and  $H$  in GNF such that

$$L = h(\mathcal{L}(G) \cap \mathcal{L}(H)).$$

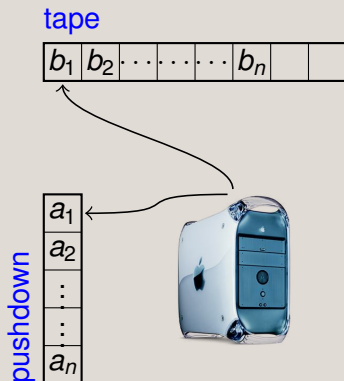
On the pushdown,  $M$  simulates

- ①  $G$  that generates a string  $x$  so if  $a$  is on the top,  $M$  reads  $h(a)$ ; then,
- ②  $H$  that generates  $x$ , which is verified by  $R$  (no input is read).



# All-Move Self-Regulating Pushdown Automata

## Proof Idea (cont.).



## Characteristics

- $x = b_1 b_2 \dots b_n$
- $b_i = h(a_i)$
- check if  $a_1 a_2 \dots a_n \in \mathcal{L}(G)$
- if so,  $h(a_1 a_2 \dots a_n) \in h(\mathcal{L}(G))$
- check if  $a_1 a_2 \dots a_n \in \mathcal{L}(H)$
- if so,  
 $a_1 a_2 \dots a_n \in \mathcal{L}(G) \cap \mathcal{L}(H)$



# All-Move Self-Regulating Pushdown Automata

## Proof Idea—Construction.

$$M = (\{q_0, q, q_t, p, f\}, \Delta, \Sigma \cup N_G \cup N_H \cup \{Z\}, P, q_0, Z, \{f\}, R)$$

$Z \notin \Sigma \cup N_G \cup N_H$ , with  $R$  and  $P$  made as

- 1 add  $(Zq_0 \rightarrow ZS_Gq, Zq_t \rightarrow ZS_Hp)$  to  $R$
- 2 add  $(Aq \rightarrow B_n \dots B_1aq, Cp \rightarrow D_m \dots D_1ap)$  to  $R$  if  
 $A \rightarrow aB_1 \dots B_n \in P_G$  and  
 $C \rightarrow aD_1 \dots D_m \in P_H$
- 3 add  $(aqh(a) \rightarrow q, ap \rightarrow p)$  to  $R$
- 4 add  $(Zq \rightarrow Zq_t, Zp \rightarrow f)$  to  $R$



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# Open Problems

1. What is  $FIRST-SPDA_n$ , for  $n \geq 1$ ?
2. Determinism.



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# Discussion