# On the fragmentary complexity of symbolic sequences<sup>\*</sup>

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#### Abstract

A measure of the ability of a symbolic sequence to be coded by initial fragments of another symbolic sequence — its self-similarity measure — is introduced and its basic properties are investigated. The self-similarity measure of symbolic sequences associated with tori shift mappings corresponding to a special partitioning of a torus are then considered.

## Introduction

The classical methods of symbolic dynamics reduce the investigation of a dynamical system to that of a shift operator on a space of infinite symbolic sequences with elements from a finite alphabet. An important characteristic of a dynamical system is the complexity of the symbolic sequences corresponding to its trajectories. A commonly used measure of this complexity

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is the ability of a sequence to be coded by finite words from a universal totality that does not depend on the system being investigated. The classical notions of entropy [9] and linear complexity of sequences [12] find a natural description within this framework.

In this paper a different, but related concept of complexity of infinite sequences based on [6, 7] will be studied. In particular, symbolic sequences  $\mathbf{T}$ which can be particular (perhaps, excluding an initial fragment) as the adjoint union of initial fragments of another sequence  $\mathbf{U}$  will be considered and called self-similar. Theorems 1 and 2 below show that they do have a fractal structure as commonly understood. The complexity of such sequence  $\mathbf{T}$  will be estimated by the minimal number C of samples of arbitrary long initial fragments of another sequence  $\mathbf{U}$  that can cover the sequence  $\mathbf{T}$  disjointly. A precise definition and its main properties will be given in Section 1.

Self-similar sequences arise naturally in applications such as the stability analysis of desynchronized systems [7, 10] (see also Theorem 3 below) as well as in description of fractal phenomena [3]. In particular, it has been shown that the self-similarity measure of sturmian sequences [8, 10] with irrational frequencies, such as the symbolic sequences representing shifts of the unit circle, is equal to 2. In Section 3 it will be shown that the properties of individual trajectories of multi-dimensional tori shifts of dimension higher than 2 changes drastically, with the self-similarity measure generally being infinite in such cases (Theorem 4). The situation for 2-dimensional tori shifts is still unclear.

In conclusion of the introduction the application of self-similarity measure of sequences to the stability analysis of frequency desynchronized systems [1, 2, 4, 6] mentioned above will now be briefly described. As seen from [4, 6] this stability problem reduces to that of the nonautonomous difference equation

$$x(n+1) = f[\lambda; n, x(n)], \qquad n = 0, 1, 2, \dots,$$
(1)

with the right-hand side  $f(\lambda; n, x)$  non-periodic in n and depending on a parameter  $\lambda$  such that the number of different mappings in  $\{f[\lambda; n, \cdot]\}$  is finite. Here the order of different mappings in the sequence  $\{f[\lambda; n, \cdot]\}$  corresponds to the order of symbols in a symbolic sequence generated by a certain shift mapping of a torus with a special partitioning. Using a concept similar to the fragmentary complexity of these symbolic sequences it was proved in [6, 7] that the asymptotic stability of equation (1) for one particular value of the parameter  $\lambda$  implies its stability for the other values of  $\lambda$ .

## 1 A measure of fragmentary complexity

#### 1.1 Weakly decomposable texts

Following [12] we shall use linguistic terminology and notation. In particular, elements in symbolic sequences will be not separated by commas. Let  $\mathcal{A}$  be a fixed alphabet, that is a set of elements called *letters* or *symbols*. A finite cortege  $\mathbf{w} = a_1 \dots a_n$  of letters from  $\mathcal{A}$  is called *a word*, for any words  $\mathbf{w}^1 = a_1^1 \dots a_{n_1}^1$  and  $\mathbf{w}^2 = a_1^2 \dots a_{n_2}^2$  their product is the word  $\mathbf{w}^1 \mathbf{w}^2 = a_1^1 \dots a_{n_1}^1 a_1^2 \dots a_{n_2}^2$ , and the *left factor (of the length*  $j \leq n$ ) of the word  $\mathbf{w} = a_1 \dots a_n$  is the initial fragment  $\mathbf{w}(j) = a_1 \dots a_j$  of  $\mathbf{w}$ . An infinite sequence  $\mathbf{T} = a_1 a_2 \dots$  from the alphabet  $\mathcal{A}$  is called an *infinite word* or *text*, the word  $\mathbf{T}(n) = a_1 a_2 \dots a_n$  its *left factor (of the length* n) and the text  $a_{n+1}a_{n+2} \dots$  its *right factor (of the colength* n), while any word  $a_i \dots a_j$  with  $i \leq j$  is called a *factor* of  $\mathbf{T}$ .

An ordered finite set

$$\mathbf{S} = \{\mathbf{w}_1, \dots, \mathbf{w}_\nu\} \tag{2}$$

of words of lengths  $l_1, \ldots, l_{\nu}$  is said to be *generating* if it satisfies the properties:

- P1.  $0 < l_1 < \ldots < l_{\nu}$ .
- P2. The word  $\mathbf{w}_{\iota}$  is a left factor of  $\mathbf{w}_{\nu}$  for each  $\iota = 1, \ldots, \nu 1$ , that is  $\mathbf{w}_{\iota}$  coincides with the initial segment of  $\mathbf{w}_{\nu}$  of length  $l_{\iota}$ .

A finite or infinite word **w** is **S**-decomposable if it can be represented as a product of words belonging to a set of words (2), while a text **T** is weakly **S**-decomposable if it has an **S**-decomposable right factor. In other words, **T** is weakly **S**-decomposable if there exists an increasing sequence  $\mathbf{d} = \{d_0, d_1, d_2, \ldots\}$  of natural numbers such that  $r_i = d_i - d_{i-1}$  is equal to one of the numbers  $l_i$ , for  $i = 1, \ldots, \nu$  and  $\mathbf{w}_i = a_{d_{i-1}} \ldots a_{d_i-1}$ ; such a sequence **d** is a weak **S**-decomposition of **T**.

Now consider two texts  $\mathbf{T}$  and  $\mathbf{U}$ . The text  $\mathbf{T}$  will be called a  $\mathbf{U}$ -generated if for any N there exists a finite generating set  $\mathbf{S}$  of left factors of the text

**U** such that all words  $\mathbf{w} \in \mathbf{S}$  are of length greater than N and the text **T** is weakly **S**-decomposable. An periodic text **T** is clearly **T**-generated, or *self-generative*. where **U** is a periodic part of **T**, but as will be seen in Subsection 1.3 below there also exist exist self-generative texts with much more complicated structure. The fact that a text **T** is **U**-generated for a certain text **U** can be useful. For example, if a text **U** is ergodic in the sense that for all  $a \in \mathcal{A}$  the limiting frequencies  $q_n(a)$  exist, where  $q_n(a)$  is the number of times the letter a occurs in  $\mathbf{U}(n)$ , then any **U**-generated text **T** is also ergodic with the same limiting frequencies. This was used in the analysis of desynchronized systems [2].

Denote by  $\mathcal{S}(\mathbf{T}, \mathbf{U})$  the family of all finite generating sets **S** of left factors of the text **U** for which the text **T** is weakly **S**-decomposable and by by  $\mathcal{S}_*(\mathbf{T}, \mathbf{U})$  the totality of elements of  $\mathcal{S}(\mathbf{T}, \mathbf{U})$  of the form (2) which satisfy the additional property:

P3. For each  $\iota = 1, \ldots, \nu - 1$  the word  $\mathbf{w}_{\iota}$  is not a power, that is cannot be partitioned into repeating fragments.

**Theorem 1** Let a text **T** be **U**-fractal. Let  $\mathbf{S}^{short} \in \mathcal{S}_*(\mathbf{T}, \mathbf{U})$ ,  $\mathbf{S}^{long} \in \mathcal{S}(\mathbf{T}, \mathbf{U})$  and suppose that the shortest word from  $\mathbf{S}^{long}$  is longer than the longest word from  $\mathbf{S}^{short}$ . Then every word from  $\mathbf{S}^{long}$  is  $\mathbf{S}^{short}$ -decomposable and each weak  $\mathbf{S}^{long}$ -decomposition  $\mathbf{d}^{long}$  is a subset of any weak  $\mathbf{S}^{short}$ -decomposition  $\mathbf{d}^{short} \leq d_0^{long}$ .

PROOF. Suppose the opposite. Then there exists a number  $d \in \mathbf{d}^{long}$  and an index I such that  $d_I^{short} < d < d_{I+1}^{short}$ . Write  $\mathbf{w}^1 = a_{d_I^{short}} \dots a_{d-1}$  and  $\mathbf{w}^2 = a_d \dots a_{d_{I+1}^{short}-1}$ . By property P1 and the assumptions of the theorem we have  $\mathbf{w}^1 \mathbf{w}^2 = \mathbf{w}^2 \mathbf{w}^1$ . Hence, by Proposition 1.3.2 from [12] the word  $\mathbf{w} = a_{d_I^{short}} \dots a_{d_{I+1}^{short}-1}$  is a power. By the construction, this word belongs to a generating set, but this contradicts property P3 of  $\mathcal{S}_*(\mathbf{T}, \mathbf{U})$ .

Informally speaking, Theorem 1 says that every U-decomposition can be considered as the result of a partitioning of some "bigger" U-decomposition.

Example 1 Let  $\mathcal{A} = \{a, b\},\$ 

and let  $\mathbf{S}^{short} = \{\mathbf{w}_1^{short}, \mathbf{w}_2^{short}\}, \ \mathbf{S}^{long} = \{\mathbf{w}_1^{long}, \mathbf{w}_2^{long}\}, \ where$ 

$$\mathbf{w}_1^{short} = ab$$
,  $\mathbf{w}_2^{short} = abb$ ,  $\mathbf{w}_1^{long} = abbab$ ,  $\mathbf{w}_2^{long} = abbabab$ .

Then the following decomposition of  $\mathbf{T}$  is valid:

$$\mathbf{T} = b \underbrace{abb}_{\mathbf{W}_{2}^{short}} \underbrace{\underbrace{\mathbf{w}_{1}^{long}}_{abb}}_{\mathbf{W}_{2}^{short}} \underbrace{\underbrace{\mathbf{w}_{2}^{long}}_{abb}}_{\mathbf{W}_{2}^{short}} \underbrace{\underbrace{\mathbf{w}_{2}^{long}}_{abb}}_{\mathbf{W}_{2}^{short}} \underbrace{\underbrace{\mathbf{w}_{1}^{long}}_{abb}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{1}^{short}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}}_{\mathbf{W}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf{w}_{2}^{short}} \underbrace{\mathbf$$

The text **U** will be called *self-generative* if for any N there exists a finite generating set **S** of left factors of **U** itself such that all words  $\mathbf{w} \in \mathbf{S}$  are of length greater than N and the text **U** is **S**-decomposable. As a the corollary of Theorem 1 we have:

**Corollary 1** A text U is self-generative if and only if there exists a U-generated text  $\mathbf{T}$ .

PROOF. If the text  $\mathbf{T}$  is periodic after a certain index N then text  $\mathbf{U}$  must be also periodic and there is nothing to prove. Consider the case when the text  $\mathbf{T}$  is not eventually periodic. Let  $\mathbf{S} \in \mathcal{S}_*(\mathbf{T}, \mathbf{U})$  be a generating set for the text  $\mathbf{T}$  consisting of  $\nu$  left factors  $\mathbf{U}(l_1), \ldots, \mathbf{U}(l_{\nu})$ . The corollary will be proven if we establish that the text  $\mathbf{U}$  is  $\mathbf{S}$ -decomposable. Consider the sequence of originating for  $\mathbf{T}$  sets

$$\mathbf{S}_n = \left(\mathbf{w}_1, \dots, \mathbf{w}_{\nu(n)}\right) \tag{3}$$

which satisfy the following conditions:

- Q1. Each element of any set  $\mathbf{S}_n$  is a left factor of  $\mathbf{U}$ .
- Q2. The length of the shortest word in  $\mathbf{S}_n$  is greater than n.

By Theorem 1 for  $n \ge l_{\nu}$  all words from the set (3) are **S**-decomposable. Denote the corresponding decomposition by

$$\mathbf{d}^{n,\iota} = d_1^{n,\iota}, \dots, \delta_{m(n,\iota)}^{n,\iota}, \quad \iota = 1, \dots, \nu(n)$$
(4)

and denote by  $\mathbf{d}^*$  the sequence that is a limit point of the sequence (4) in the topology of point-wise convergence. By the construction, the sequence  $\mathbf{d}^*$  is a **S**-decomposition of **U**, and the corollary is proven.

Self-generative texts have an important property of being recurrent. For each text  $\mathbf{T}$  denote by  $\mathcal{W}(\mathbf{T}, n)$  the totality of words  $a_i a_{i+1} \dots a_{i+n-1}$ ,  $i = 1, 2, \dots$  A text  $\mathbf{T}$  is said to be *recurrent* [10] if for each natural number mthere exists a natural number n such that any word from  $\mathcal{W}(\mathbf{T}, m)$  is a factor of words from  $\mathcal{W}(\mathbf{T}, n)$ .

#### Lemma 1 Each self-generative text U is recurrent.

**PROOF.** Choose a natural number N such that all words from  $\mathcal{W}(\mathbf{U}, m)$  are factors of  $\mathbf{U}(N)$ . Consider a generating set **S** of left factors of **U** such that **U** is **S**-decomposable and all words from **S** are longer than N. Let L denote the length of longer word in **S**. By construction every word from  $\mathcal{W}(\mathbf{U}, m)$  is a factor of each word from  $\mathcal{W}(\mathbf{U}, L)$ , and so the lemma is proven.

The general construction of self-generative texts to be presented in Subsection 1.3 thus provides a means of constructing recurrent texts.

## **1.2** Fragmentary complexity of texts

Let a text  $\mathbf{T}$  be  $\mathbf{U}$ -generated. Denote by  $\mathcal{S}(\mathbf{T}, \mathbf{U}; N)$  the subset of  $\mathcal{S}(\mathbf{T}, \mathbf{U})$ containing those generating sets  $\mathbf{S}$  all words from which are longer than N. For any natural N it is defined the minimal quantity  $C_f(\mathbf{T}, \mathbf{U}; N)$  of elements in sets from  $\mathcal{S}(\mathbf{T}, \mathbf{U}; N)$ . Clearly, the function  $C_f(\mathbf{T}, \mathbf{U}; N)$  is increasing in N. It is naturally to characterize the complexity of the text  $\mathbf{T}$  with respect to the text  $\mathbf{U}$  by the rate of increase of this function.

In particular, of a special interest is the situation when this function is bounded, in which case we will call the number

$$C_f(\mathbf{T}, \mathbf{U}) = \max_{N} C_f(\mathbf{T}, \mathbf{U}; N)$$
(5)

the U-complexity of the text **T**. It is convenient to set  $C_f(\mathbf{T}, \mathbf{U}) = \infty$  if the function  $C_f(\mathbf{T}, \mathbf{U}; N)$  is unbounded or if **T** is not U-generated. If the text **T** has a finite U-complexity with respect to at least one text **U** then define  $C_f(\mathbf{T}) = \min_{\mathbf{U}} C_f(\mathbf{T}, \mathbf{U})$ . The quantity  $C_f(\mathbf{T})$  will be called the *fragmentary* complexity of **T**.

## **1.3** General construction of self-generative texts

We now describe a general construction an self-generative texts with fragmentary complexity not exceeding C. Let  $\mathcal{A}_k$  be an alphabet with k > 1letters, say  $1, \ldots, k$ . If to every letter  $\kappa \in \mathcal{A}_k$  there corresponds a word  $\mathbf{w} = F(\kappa) \in \mathcal{W}(\mathcal{A})$ , then to each word  $\mathbf{v}$  of the alphabet  $\mathcal{A}_k$  we associate a word  $F(\mathbf{v})$  obtained by substituting the word  $F(\kappa)$  for each letter  $\kappa$  in the word  $\mathbf{v}$ .

Let us now choose

- a natural number  $\nu \leq C$ ,
- a sequence S of generating sets  $\mathbf{S}_n$ , n = 1, 2, ... in the alphabet  $\mathcal{A}_{\nu(n-1)}$  containing words  $\mathbf{v}^{n,\iota}$ ,  $\iota = 1, ..., \nu(n)$ , with lengths  $l(\mathbf{v}^{n,\iota}) > n$ ;
- a particular generating set  $\mathbf{S}_0^*$  of words of the alphabet  $\mathcal{A}$  which contains  $\nu$  elements.

Then we construct recursively the generating subsets

$$\mathbf{S}_{n}^{*} = \{\mathbf{w}^{n,1}, \dots, \mathbf{w}^{n,\nu(n)}\}$$
  $n = 1, 2, \dots$ 

in the alphabet  $\mathcal{A}$ . Suppose that  $\mathbf{S}_{n-1}^*$  is already defined. Then define  $F_n(\kappa) = \mathbf{w}^{n-1,\kappa}$  for  $\kappa = 1, \ldots, \nu(n-1)$  and set  $\mathbf{w}^{n,\iota} = F_n(\mathbf{v}^{n,\iota}), \quad \iota = 1, \ldots, \nu(n)$ .

**Example 2** Let, for instance,  $S = \{2, 2, 2, ...\}$ ,  $\mathcal{A} = \{a, b\}$ ,  $\mathbf{S}_0^* = (a, ab)$  and

$$\mathbf{S}_1 = \{1, 12\}, \quad \mathbf{S}_2 = \{21, 211\}, \quad \mathbf{S}_3 = \{121, 1211\}.$$

Then

$$F_1(1) = a, F_1(2) = ab$$
 and  $\mathbf{S}_1^* = \{\underbrace{a}_1, \underbrace{a}_1, \underbrace{a}_2, \underbrace{ab}_2\}.$ 

Analogously,

Further,

$$F_3(1) = aaba, F_3(2) = aabaa$$

and

$$\mathbf{S}_{3}^{*} = \{\underbrace{aab}_{2} \underbrace{a}_{1} \underbrace{aab}_{2} \underbrace{a}_{1} \underbrace{a}_{1} \underbrace{aab}_{2} \underbrace{a}_{1}, \underbrace{aab}_{2} \underbrace{a}_{1} \underbrace{a}_{1} \underbrace{aab}_{2} \underbrace{a}_{1} \underbrace{a}_{1} \underbrace{aab}_{2} \underbrace{a}_{1} \underbrace{a}_{1}$$

Clearly,  $\mathbf{w}^{n,1}$  is a left factor of  $\mathbf{w}^{n+1,1}$  and  $\lim_{n\to\infty} l(\mathbf{w}^{n,1}) = \infty$ . Therefore there exists a pointwise limit  $\mathbf{U} = \mathbf{U}(\nu, \mathbf{S}_0^*, \mathcal{S})$  of the sequence of words  $\mathbf{w}^{n,1}$ when  $n \to \infty$ .

**Lemma 2** Each text  $\mathbf{U}(\nu, \mathcal{S}, \mathbf{S}_0^*)$  is self-generative of  $\mathbf{U}$ -complexity not exceeding  $\nu$ . Moreover, each self-generative text  $\mathbf{U}$  of  $\mathbf{U}$ -complexity C can be regarded as  $\mathbf{U}(C, \mathcal{S}, \mathbf{S}_0^*)$  for appropriate  $\mathcal{S}$  and  $\mathbf{S}_0^*$ .

PROOF. By construction each text  $\mathbf{U}(\nu, \mathcal{S}, \mathbf{S}_0^*)$  is self-generative of **U**-complexity no more than  $\nu$ . Therefore, we need only prove that each self-generative text **U** of **U**-complexity *C* coincides with a text  $\mathbf{U}(C, \mathcal{S}, \mathbf{S}_0^*)$  for appropriate  $\mathcal{S}$ and  $\mathbf{S}_0^*$ .

Consider the case where the text **U** is not periodic. Choose a certain set  $\mathbf{S}_0^* = (\mathbf{U}(l_1^0), \ldots, \mathbf{U}(l_C^0)) \in \mathcal{S}_*(\mathbf{U}, \mathbf{U})$  based on **U**. By definition there exists a sequence of such sets

$$\mathbf{S}_{n}^{*} = \{\mathbf{U}(l_{1}^{n}), \dots, \mathbf{U}(l_{C}^{n})\} \in \mathcal{S}_{*}(\mathbf{U}, \mathbf{U})$$
(6)

for which  $l_C^{n-1} \le l_1^n, n = 1, 2, ...$ 

By Theorem 1 each word from  $\mathbf{S}_n^*$  is  $\mathbf{S}_{n-1}^*$ -decomposable. Denote the respective decomposition by

$$\mathbf{d}^{n,\iota} = \{ d_0^{n,\iota}, d_1^{n,\iota}, \dots, d_{m(n,\iota)}^{n,\iota} \}, \quad \iota = 1, \dots, C,$$

and introduce words  $\mathbf{v}^{n,\iota} = v_1^{n,\iota} \dots v_{m(n,\iota)}^{n,\iota}, i = 1, \dots, C$ , in the alphabet  $\mathcal{A}_C$  by equalities  $v_i^{n,\iota} = \kappa$  if and only if  $l_i^{n,\iota} - l_{i-1}^{n,\iota} = l_{\kappa}^{n-1}$ . Define  $\mathbf{S}_n = (\mathbf{v}^{n,1}, \dots, \mathbf{v}^{n,C})$  and  $\mathcal{S} = {\mathbf{S}_1, \mathbf{S}_2, \dots}$ . Then, by construction,  $\mathbf{U} = \mathbf{U}(C, \mathbf{S}_0^*, \mathcal{S})$ , which is the assertion of lemma.

## **1.4** Texts with finite fragmentary complexity

For any alphabet  $\mathcal{A}_*$  denote by  $\mathcal{W}(\mathcal{A}_*)$  the totality of finite words in this alphabet. If there is a word  $\mathbf{w} = F(a) \in \mathcal{W}(\mathcal{A}_*)$  for any letter  $a \in \mathcal{A}$  then corresponding to the text  $\mathbf{T}$  in the alphabet  $\mathcal{A}$  denote the text  $F(\mathbf{T})$  in the alphabet  $\mathcal{A}_*$  be formed by substituting the word  $F(a_i)$  for each letter  $a_i$  of the text  $\mathbf{T}$ . The text  $\mathbf{T}$  is said to be *eventually periodic*, if it has a right factor which is periodic.

#### Lemma 3 The following assertions are true

(a) the fragmentary complexity of a text is equal to the fragmentary complexity of any of its right factors;

(b) the fragmentary complexity of a text is equal to 1 if and only if this text is eventually periodic;

(c) for any function  $F : \mathcal{A} \mapsto \mathcal{W}(\mathcal{A}_*)$  and any text  $\mathbf{T}$  in the alphabet  $\mathcal{A}$  the complexity inequality  $\mathcal{C}_f(\mathbf{T}) \geq C_f(F(\mathbf{T}))$  holds.

Another classical set of "simple" texts is the class of texts with linear complexity for subwords [12]. The text  $\mathbf{T}$  is said to be of *linear complexity* for subwords if the number  $\#(\mathbf{T}, N)$  of its subwords of the length N satisfies the bound

$$\sup_{N} \frac{\#(\mathbf{T}, N)}{N} < \infty.$$
(7)

Generally speaking, the properties of a text "to have finite fragmentary complexity" and "to be of linear complexity for subwords" do not follow one from another. Note that for texts of fragmentary complexity 2 the estimate

$$\lim_{K \to \infty} \inf_{N \ge K} \frac{\#(\mathbf{T}, N)}{N} < \infty$$
(8)

is always true. This is slightly weaker than (7). Note also that texts with the fragmentary complexity 2 always contain squares, i.e. repeated words one immediately next to other. It is not clear to us if there exist cube free words of fragmentary complexity 2 (probably, the well known Thue–Morse words [12] are not fractal).

Let us describe one more property of texts with fragmentary complexity 2. For any integer  $\gamma \geq 0$  and any sequence **d** denote by  $\Pr_{\gamma}(\mathbf{d})$  the subsequence of **d** consisting of elements of  $d_i$  with indices  $d_i \ge \gamma$ . Recall also that  $\mathbf{U}(i)$  denotes the left factor of the length *i* of **U**. Analogously to the Theorem 1 can be shown that:

**Theorem 2** Let a text **T** have **U**-fragmentary complexity 2 and suppose that **T** is weakly  $(\mathbf{U}(i), \mathbf{U}(j))$ -decomposable where  $(\mathbf{U}(i), \mathbf{U}(j)) \in \mathcal{S}_*(\mathbf{T}, \mathbf{U})$ . Then for any two weak  $(\mathbf{U}(i), \mathbf{U}(j))$ -decompositions **d** and **d**<sup>\*</sup> the identity  $\Pr_L \mathbf{d} = \Pr_L \mathbf{d}^*$  holds for  $L = \max\{d_0, d_0^*\} + i + j$ .

# 2 Fragmentary complexity of tori shifts

## 2.1 The one-dimensional case

Consider the mapping S of the interval [0, 1) onto itself defined by

$$S(x) = x + \varphi(x) \pmod{1}$$

where  $\varphi$  is a bounded 1-periodic function satisfying  $|\varphi(x) - \varphi(y)| < |x - y|, x \neq y$  (see Fig. 1).



Figure 1: One-dimensional shift mapping

Each point  $x \in [0, 1)$  generates a sequence  $\{x_n\}$  defined by  $x_0 = x$  and the recurrence relation  $x_{n+1} = S(x_n)$ ,  $n = 0, 1, \ldots$  The limit

$$\tau(S) = \lim_{n \to \infty} n^{-1} \sum_{k=1}^{k} \psi_k(x)$$

where  $\psi_k(x) = \varphi(S^k(0)), \ k = 1, 2, \dots$ , exists and is independent of x. It is called [5] the *rotation number of the mapping S*. If, for instance

$$S(x) = S_{\tau}(x) = x + \tau \pmod{1} \tag{9}$$

where  $\tau \in [0, 1)$  is a fixed real number then  $\tau(S) = \tau$ .

Suppose that corresponding to each point  $x \in [0, 1)$  there is a symbolic sequence (text)

$$\mathbf{T}(x,S) = \sigma_0(x)\sigma_1(x)\dots\sigma_n(x)\dots$$
(10)

consisting of two letters, say a and b, where

$$\sigma_n(x) = \begin{cases} a, & \text{if } x_n = S^n(x) \in [0, S(0)), \\ b, & \text{if } x_n = S^n(x) \in [S(0), 1). \end{cases}$$
(11)

Texts (10) are called as *sturmian beams* with *a*-frequence  $\tau(S)$  in [10]. Note that a different "internal" characterizsation of sturmian beams is proposed in [10].

If the value  $\tau$  is rational then all texts (10) are, clearly, eventually periodic and by the assertion (b) of Lemma 3 the fragmentary complexity of each text  $\mathbf{T}(x, S)$  with  $x \in [0, 1)$  is equal to 1. The following result regarding the case of irrational  $\tau$  is a corollary of Theorem 1 from [7] (see also Theorem 5 from [6]).

**Theorem 3** Let  $\tau(S)$  be irrational and  $x \in [0,1)$  with  $x \neq S(0)$ . Then  $\mathbf{T}(x,S)$ -fragmentary complexity of each text  $\mathbf{T}(y,S)$  with  $y \in [0,1)$  is equal to 2.

## 2.2 The multi-dimensional case

The authors attempts to formulate an analogue of Theorem 3 for shift mappings of multi-dimensional tori have not been successful. Nevertheless, some interesting insights into why a direct generalization of this theorem is not possible have been obtained.

Let  $I^M$  be the unit multi-dimensional cube  $[0,1) \times [0,1) \times \ldots \times [0,1) = [0,1)^M$  of the space  $\mathbb{R}^M$ , let  $\tau = \{\tau_1, \tau_2, \ldots, \tau_M\}$  be a point in  $I^M$  and consider the shift mapping  $S_{\tau}$  from the cube  $I^M$  onto itself defined by

$$S_{\tau}(x) = \{x_1 + \tau_1 \pmod{1}, x_2 + \tau_2 \pmod{1}, \dots, x_M + \tau_M \pmod{1}\},\$$

where  $x = \{x_1, x_2, \ldots, x_M\} \in I^M$ . In addition, denote by  $\mathcal{U}$  the set of all subsets  $U_i \subset I^M$ ,  $i = 1, 2, \ldots, 2^M$ , of the form  $U_i = H_1 \times H_2 \times \ldots \times H_M$ 

where each  $H_j$  coincides either with  $[0, \tau_j)$  or with  $[\tau_j, 1)$ . Finally, let a letter  $a_i$  correspond to each subset  $U_i$  and denote the text  $\sigma_0(x)\sigma_1(x)\ldots\sigma_n(x)\ldots$  defined by the relations

$$\sigma_n(x) = a_{i_n}$$
 if  $S_{n\tau}(x) \in U_{i_n}$ 

by  $\mathbf{T}(x,\tau)$ .

Note, that if M = 1 then introduced texts coincide with the sturmian beams generated by the mapping (9) The principal result to be proved in the paper indicates that a direct analog of Theorem 3 for multi-dimensional tori shifts is not valid:

**Theorem 4** The text  $\mathbf{T}(y, \tau)$  is not  $\mathbf{T}(x, \tau)$ -fractal for almost all  $x, y \in I^M$ and  $\tau \in \mathcal{T}$ .

This result will be obtained as a corollary to another stronger (but also more cumbersome) result. We shall need some additional definitions in order to formulate this stronger result.

Given  $x, \tau \in [0, 1)$ , let  $\mathcal{D}_m$  denote the set of all words  $\mathbf{T}_n(x, \tau)$ ,  $n \geq m$ . How well can the text of some point  $y \in [0, 1)$  be "coded" by words from  $\mathcal{D}_m$ ? To solve this problem consider the text

$$\mathbf{T}(y,\tau) = \sigma_0(y)\sigma_1(y)\ldots\sigma_i(y)\ldots$$

and denote by  $C_m(y)$  the set of those indices *i* for which there are integers  $k_i, n_i$  with  $0 \le k_i \le i \le n_i$ , such that the word  $w_i = \sigma_{k_i}(y) \dots \sigma_{n_i}(y)$  belongs to  $\mathcal{D}_m$ . Set

$$\Delta_{n,m}(y) = \frac{1}{n} \# \{ \mathcal{C}_m(y) \bigcap [0, n-m) \},\$$

where #(X) is the number of elements of the set X. Then, clearly,

$$(k+n)\Delta_{k+n,m}(y) \ge k\Delta_{k,m}(y) + n\Delta_{n,m}(y)$$

and hence that

$$(k+n)(1-\Delta_{k+n,m}(y)) \le k(1-\Delta_{k,m}(y)) + n(1-\Delta_{n,m}(y)).$$

From the latter inequality the existence of  $\lim_{n\to\infty} (1-\Delta_{n,m}(y))$  follows. Then the limit  $\Delta_m(y) = \lim_{n\to\infty} \Delta_{n,m}(y)$  also exists. **Theorem 5** If  $M \geq 3$ , then  $\lim_{m\to\infty} \Delta_m(y) = 0$  for almost all  $x, y \in I^M$ , and  $\tau \in [0, 1)$ .

Theorem 4 follows immediately from Theorem 5.

We remark that in view of Theorem 3  $\Delta_m(y) = 1$  for any m in onedimensional case. In fact, the statement of Theorem 3 is even stronger than this equality.

## 2.3 Remark

We suspect that a similar result will also hold for the case M = 2. If the below proof is any guide, its proof will, however, be complicated by the problem of small denominators.

# 3 Proof of Theorem 5

## 3.1 Auxiliary results

To prove Theorem 5 we shall need some auxiliary results. For i = 1, 2, ..., M denote by  $L_i$  the hyperplanes

$$L_1 = \{x \mid x_1 = \tau_1\}, \quad L_2 = \{x \mid x_2 = \tau_2\}, \quad \dots \quad , L_M = \{x \mid x_M = \tau_M\}.$$

Let  $x \in I^M$  and let  $\Omega$  be some region in  $I^M$  containing the point x and belonging to a particular subset  $U_i \in \mathcal{U}$ . Denote  $\Omega_0 = \Omega$  and define recursively

$$\Omega_n(x) = S_\tau(\Omega_{n-1}) \bigcap U_{i_n},$$

where  $U_{i_n}$  is that set in  $\mathcal{U}$  which contains the point  $S^n_{\tau}(x)$  (see Fig. 2).

Since  $x \in \Omega$ , the set  $\Omega_n(x)$  is nonempty and belongs to a single set from  $\mathcal{U}$  for any n. Writing

$$\Theta_n(x) = S_{\tau}^{-n}(\Omega_n(x)).$$

it is clear that

$$\Theta_k(x) \subseteq \Theta_l(x) \quad \text{for} \quad k \ge l$$
(12)

and that

$$S^k_{\tau}(\Theta_n(x)) \subseteq \Omega_k(x), \tag{13}$$

Hence the interior of each set  $S_{\tau}^{k}(\Theta_{n}(x)), k = 0, 1, ..., n$ , will not intersect with any of the hyperplanes  $L_{i}, i = 1, 2, ..., M$ .



Figure 2: Sets  $\{\Omega_i\}$  for multi-dimensional shift mapping

Lemma 4 For  $z \in I^M$ 

$$\sigma_0(z)\sigma_1(z)\dots\sigma_k(z)\in\mathcal{D}_m(x)\tag{14}$$

if and only if  $k \geq m$  and

$$z \in \Theta_k(x). \tag{15}$$

**PROOF.** Suppose that (15) holds. Since  $S^i_{\tau}(z) \in S^i_{\tau}(\Theta_k(x)) \subseteq \Omega_i(x)$  (see (13)) and  $S^i_{\tau}(x) \in \Omega_i(x)$ , then

$$\sigma_i(z) = \sigma_i(x), \qquad i = 0, 1, \dots, k,$$

and inclusion (14) follows.

Now, suppose that inclusion (14) is valid. Then, by definition of sets  $\{\Omega_i(x)\}$ , the inclusion  $S_{\tau}^k(z) \in \Omega_k(x)$  holds. Hence  $z \in S_{\tau}^{-k}(\Omega_k(x)) = \Theta_k(x)$ , which is inclusion (15).

**Lemma 5** If  $j \in C_m(y)$  then

$$S_{\tau}^{k}(y) \in \left\{ \bigcup_{i=0}^{m-1} S_{\tau}^{i}(\Theta_{m}(x)) \right\} \bigcup \left\{ \bigcup_{i=m}^{\infty} \Omega_{i}(x) \right\}.$$
(16)

**PROOF.** If  $j \in \mathcal{C}_m(y)$  then by definition of the set  $\mathcal{C}_m$  there exist integers k and n with  $k \leq j \leq n$  and  $n \geq k + m$ , such that

$$\sigma_k(y)\ldots\sigma_j(y)\ldots\sigma_n(y)\in\mathcal{D}_m.$$

In addition for  $z = S_{\tau}^k(y)$  the equalities

$$\sigma_{k+i}(y) = \sigma_i(z), \qquad i = 0, 1, \dots, n-k.$$

are valid. Then, by virtue of Lemma 4,  $z \in \Theta_{n-k}(x)$ . Since  $n-k \ge m$ , from this inclusion and (12) follows the inclusion  $z \in \Theta_{n-k}(x)$ . Therefore

$$S_{\tau}^{j}(y) = S_{\tau}^{j-k}(S_{\tau}^{k}(y)) = S_{\tau}^{j-k}(z) \in S_{\tau}^{j-k}(\Theta_{m}(x)).$$

If  $0 \leq j - k \leq m$ , then

$$S^{j}_{\tau}(y) \in \bigcup_{i=0}^{m} S_{\tau}(\Theta_{m}(x))$$
(17)

and if j - k > m, then  $S^{j-k}_{\tau}(\Theta_m(x)) \subseteq \Omega_{j-k}(x)$  in view of (13) and hence

$$S^{j}_{\tau}(y) \in \bigcup_{j=m}^{\infty} \Omega_{j}(x), \tag{18}$$

(16) then follows from (17) and (18).  $\blacksquare$ 

Let us now make a crucial observation. As is well known [5] the mapping  $S_{\tau}(\cdot)$  is ergodic for any  $\tau = \{\tau_1, \tau_2, \ldots, \tau_M\}$  with irrational  $\tau_1, \tau_2, \ldots, \tau_M$ . Hence for almost any  $y \in I^M$ , the value  $\Delta_m(y)$ , which by Lemma 5 is the mean absorption time of iterations  $S^i_{\tau}(y)$ ,  $i = 0, 1, 2, \ldots$ , into the set

$$\left\{\bigcup_{i=0}^{m-1} S^i_{\tau}(\Theta_m(x))\right\} \bigcup \left\{\bigcup_{i=m}^{\infty} \Omega_i(x)\right\},\,$$

coincides with the Lebesgue measure of this set, that is,

$$\Delta_m(y) = \sum_{i=0}^{m-1} \operatorname{mes} \, \Theta_m(x) + \sum_{i=m}^{\infty} \operatorname{mes} \, \Omega_i(x).$$

Now the mapping  $S_{\tau}$  is measure preserving, so

$$\sum_{i=0}^{m-1} \operatorname{mes} \, \Theta_m(x) = m \operatorname{mes} \, \Theta_m(x) = m \operatorname{mes} \, \Omega_m(x)$$

and hence

$$\Delta_m(y) = m \operatorname{mes} \,\Omega_m(x) + \sum_{i=m}^{\infty} \operatorname{mes} \,\Omega_i(x).$$
(19)

Now we are able to pose the main problem in the proof of Theorem 5:

Show that if  $M \geq 3$  then

$$\Delta_m(y) = m \operatorname{mes} \Omega_m(x) + \sum_{i=m}^{\infty} \operatorname{mes} \Omega_i(x) \to 0 \quad \text{as} \quad m \to \infty.$$
 (20)

## 3.2 The one-dimensional case revisted

To solve the main problem stated above we shall consider only the case where  $0 < x_i < \tau_i, i = 1, 2, ..., M$ , for which we take

$$\Omega = [0, \tau_1) \times [0, \tau_2) \times \ldots \times [0, \tau_M).$$

This set  $\Omega$  is the maximal set containing x and contained in a single subset from  $\mathcal{U}$ . It is obvious that for any *i* the set  $\Omega_i(x)$  is parallelepiped, i.e.

$$\Omega_i(x) = [a_{i1}, b_{i1}) \times [a_{i2}, b_{i2}) \times \ldots \times [a_{iM}, b_{iM}).$$

Let us determine upper bounds for the lengths of sides of parallelepiped  $\Omega_i(x)$ . Clearly, it suffices to do this just for the first side  $\omega_{i1} = [a_{i1}, b_{i1})$ .

Consider one-dimensional shift mapping  $S_{\tau}(x)$ , let  $\omega_0 = \omega = [0, \tau)$ , and define

$$\omega_n = \begin{cases} S_\tau(\omega_{n-1}) \cap [0,\tau), & \text{if } S_{n\tau}(x) \in [0,\tau), \\ S_\tau(\omega_{n-1}) \cap [\tau,1), & \text{if } S_{n\tau}(x) \in [\tau,1). \end{cases}$$

Then for each *n* the set  $\omega_n$  is an interval. If we write  $\theta_n = S_{\tau}^{-n}(\omega_n)$ , then  $\omega_n = S_{\tau}^n(\theta_n)$ . Let  $n_0 = 0$  and successively choose the integer  $n_i$  as the smallest integer  $n > n_{i-1}$  satisfying the condition  $\theta_n \neq \theta_{n_i-1}$ . Then

$$\theta_0 \supset \theta_1 \supset \ldots \supset \theta_i \supset \theta_{i+1} \ldots$$

**Lemma 6** For any  $n_i \leq n < n_{i+1}$  the equalities  $\theta_n = \theta_{n_i}$  are valid, one of the endpoints of the interval  $\omega_{n_i}$  is either 0 or  $\tau$  and neither of these points belongs to the interior of the intervals  $S^n_{\tau}(\theta_i)$  for  $n = 0, 1, \ldots, n_{i+1} - 1$ .

Let  $\left\{\frac{p_n}{q_n}\right\}$  denotes the convergent sequence of the simple continued fraction (see, e.g., [11]) of the number  $\tau$  defined by the condition  $p_0 = 0, q_0 = 1$ .

**Lemma 7** For almost all  $\tau$  and for any  $\epsilon > 0$  there is an integer  $K = K(\tau, \epsilon)$  such that

$$q_{n+1} < q_n^{1+\epsilon} \quad \text{for} \quad n > K. \tag{21}$$

**PROOF.** According to Theorem 4 on page 164 of [5], for almost all  $\tau$  there exists  $c = c(\tau) > 1$  such that

$$q_n^{\frac{1}{n}} \to c \quad \text{for} \quad n \to \infty.$$

Hence

$$\frac{q_{n+1}^{\frac{1}{n+1}}}{(q_n^{1+\epsilon})^{\frac{1}{n}}} \to c^{-\epsilon} \quad \text{for} \quad n \to \infty,$$

 $\mathbf{SO}$ 

$$\frac{q_{n+1}}{q_n^{1+\epsilon}(q_n^{1+\epsilon})^{\frac{1}{n}}} - c^{-\epsilon(n+1)} \to 0 \quad \text{for} \quad n \to \infty$$

and

$$\frac{q_{n+1}}{q_n^{1+\epsilon}} \to 0 \quad \text{for} \quad n \to \infty$$

hold. The required inequality (21) is thus valid for all sufficiently large values of n.

**Lemma 8** Let  $\xi = [z, z + \eta) \subseteq [0, 1)$  and let N be such that  $S^n_{\tau}(\xi) \cap \{0\} \neq \emptyset$ for  $0 \le n < N$ . Then

$$\eta < \frac{2}{N^{\frac{1}{2+\epsilon}}} \tag{22}$$

for almost all  $\tau$  and for any  $\epsilon > 0$ .

PROOF. Define  $\xi_0 = \xi$  and  $\xi_i = S^i_{\tau}(\xi)$  for i = 1, 2, ... There is an alternative: either all of intervals  $\xi_i$  are pairwise non-intersecting or there is a such minimal k for which  $\xi_k \cap \xi_0 \neq \emptyset$ .

In the first case the total length of the intervals  $\xi_i$ ,  $i = 0, 1, \ldots, N-1$  does not exceed 1. Since the shift mapping  $S_{\tau}$  is measure-preserving, than the lengths of all intervals  $\xi_i$  are then identical and equal to  $\eta$ . Therefore

$$\eta \le \frac{1}{N}$$

and the required estimate (22) holds for any  $\epsilon > 0$ .

In the second case a more detailed analysis is required. Introduce the intervals  $\zeta_i = \xi_i - \{z\}, i = 1, 2, \dots$ . From the identity

$$S_{\tau}(x+z) \equiv S_{\tau}(x) + z \pmod{1} \tag{23}$$

it then follows that

$$\zeta_i = S^i_\tau(\zeta_0) \quad i = 1, 2, \dots ,$$



Figure 3: Relation between sets  $\omega_i$  and  $\zeta_i$ 

with

 $\zeta_k \bigcap \zeta_0 \neq \emptyset, \qquad \zeta_i \bigcap \zeta_0 = \emptyset, \quad \text{for} \quad i = 1, 2, \dots, k - 1.$  (24)

In view of (24)

$$|S_{\tau}^{k}(0)| < \eta \quad \text{or} \quad |S_{\tau}^{k}(0) - 1| < \eta.$$
 (25)

(Fig. 3 corresponds to the first case). According to property of the best approximation for convergent sequence of continued fractions (see, e.g. [11]) the integer k coincides with one of numbers  $\{q_n\}$ , say  $k = q_m$ . In both cases (25)  $|\tau q_m - p_m| < \eta$  and hence

$$\left|\tau - \frac{p_m}{q_m}\right| < \frac{\eta}{q_m}.\tag{26}$$

At the same time (see, e.g. [11])

$$\frac{1}{2q_m q_{m+1}} < \left| \tau - \frac{p_m}{q_m} \right|. \tag{27}$$

On the other hand for  $k < q_m$  there are no points of the form  $S_{\tau}^k(0)$  in the intervals  $[0, \eta)$  and  $[1 - \eta, 1)$ . Since  $S_{\tau}^{q_{m-1}}(0) = \tau q_{m-1} + p_{m-1} \pmod{1}$ , then  $|\tau q_{m-1} + p_{m-1}| > \eta$  and therefore

$$\frac{\eta}{q_{m-1}} < \left| \tau - \frac{p_{m-1}}{q_{m-1}} \right| < \frac{1}{q_{m-1}q_m}.$$
(28)

Combining (26), (27) and (28) we obtain

$$\frac{1}{2q_{m+1}} < \eta < \frac{1}{q_m}, \qquad k = q_m.$$
<sup>(29)</sup>

Now from the definition of the intervals  $\{\zeta_n\}$  and from identity (23) it follows that lower endpoints of the intervals  $\omega_0$  and  $\omega_k$  differ by  $|\tau q_m - p_m| > \frac{1}{2q_m q_{m+1}}$ . Hence, applying the mapping  $S_{\tau} 2q_m q_{m+1}$  times to the interval  $\omega_0$ , we can cover the whole interval [0, 1) and in particular the point 0. Therefore

$$N \le 2q_m q_{m+1} < 2q_{m+1}^2.$$

Now from Lemma 7 it follows  $q_{m+1} < q_m^{1+\epsilon}$  for m sufficiently large, so

 $N < 2q_m^{2+\epsilon}.$ 

Applying the right inequality (29) we obtain

$$N < \frac{2}{\eta^{2+\epsilon}}$$

and hence

$$\eta < \frac{2^{\frac{1}{2+\epsilon}}}{N^{\frac{1}{2+\epsilon}}} < \frac{2}{N^{\frac{1}{2+\epsilon}}}$$

which completes the proof of Lemma 8.  $\blacksquare$ 

## 3.3 Proof of Theorem 5

As was shown in Section 3.1, from Lemma 5 it follows that in order to prove Theorem 5 we need only establish the relation (20). But from Lemma 8 and the definition of sets  $\Omega_i(y)$  for almost all  $\tau$  the following estimate is valid:

$$\operatorname{mes}\,\Omega_i(y) \le \frac{2^M}{i^{\frac{M}{2+\epsilon}}}$$

Hence from (19)

$$\Delta_m(y) \le \frac{m2^M}{m^{\frac{M}{2+\epsilon}}} + \sum_{i=m}^{\infty} \frac{2^M}{i^{\frac{M}{2+\epsilon}}}$$

or, what is the same,

$$\Delta_m(y) \le 2^M m^{1-\frac{M}{2+\epsilon}} + 2^M \sum_{i=m}^{\infty} i^{-\frac{M}{2+\epsilon}}.$$

Note, that the value of  $\epsilon$  can be chosen arbitrarily small. Hence, the right hand part of the latter inequality clearly tends to 0 as  $m \to \infty$  when  $M \ge 3$ . This completes the proof of Theorem 5.

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