The Lattice of Machine Invariant Sets and Subword Complexity

Abstract

We investigate the lattice of machine invariant classes[^3]. This is an infinite completely distributive lattice but it is not a Boolean lattice. We show the subword complexity and the growth function create machine invariant classes.

1 Motivation

In different areas of mathematics, people consider a lot of hierarchies which are typically used to classify some objects according to their complexity. Here we formulate and discuss some hierarchies of machine invariant classes.

We are inspired by Yablonski’s result[^11].

Theorem 1 Every initial Mealy machine an ultimately periodic word transforms to an ultimately periodic word. Let $V = \langle Q, A, B, \circ, \ast \rangle$, $q \in Q$, $|Q| = k$ and $x = uv^\omega$, $y = q * x = u'w^\omega$. Then $|w| = \theta \tau$, where $\theta |v|$ and $\tau \in \{1, 2, \ldots, k\}$.

The invention and financial exploitation of enciphering and deciphering machines is a lucrative branch of cryptography. Until the 19th century they were mechanical; from the beginning of the 20th century automation made its appearance, around the middle of the century came electronics and more recently microelectronic miniaturization. Today’s microcomputers — roughly the size, weight, and price of a pocket calculator — have a performance as good as the best enciphering machines from the Second World War. That restores the earlier significance of good methods, which had been greatly reduced by the presence of ‘giant’ computers in cryptanalysis centres[^1].

A cryptosystem[^10] is a five–tuple $\langle P, C, K, E, D \rangle$, where the following conditions are satisfied:

- $P$ is a finite set of possible plaintexts,
- $C$ is a finite set of possible ciphertexts,
- $K$, the keyspace, is a finite set of possible keys;
- for each $K \in K$, there is an encryption rule $e_K \in E$ and
• a corresponding decryption rule $d_K \in D$;
• each $e_K : P \rightarrow C$ and $d_K : C \rightarrow P$ are functions such that
  $\forall x \in P \ d_K(e_K(x)) = x$.

This leads to the concept of a ciphering machine [14]. A tuple
$\langle X, S, Y, K, z, f, g, h \rangle$ is called a ciphering machine if:
• $X$ — a finite alphabet of possible plaintexts,
• $S$ — a finite set of states of the ciphering machine,
• $Y$ — a finite alphabet of possible ciphertexts,
• $K$ — a finite set of possible keys;
• $z : K \rightarrow S, f : S \times K \times X \rightarrow K, g : S \times K \times X \rightarrow S, h : S \times K \times X \rightarrow Y$
  are functions.

Besides, it may be considered as a special kind of a Mealy machine [14]. Thus the
Mealy machine appears in cryptography. This model, namely, Mealy machine,
is being investigated intensively since the nineteen fifties (cf. [4, 7, 9, 12, 13]).

Now more specifically. We shall describe one secret-key cryptosystem (Fig. 1).

Let $\mathcal{G}, \mathcal{V}$ be devices represent respectively the bitwise addition (modulo two)
and a Mealy machine $V = \langle Q, A, \{0, 1\}, \circ, \ast \rangle$. All users have identical devices.
The plaintext and cryptotext spaces are both equal to $\{0, 1\}^*$. First the users
choose a key, consisting of $x \in A^\omega$. Every session of communication begins with
the choice of a session key, namely, sender chooses $n \in \mathbb{N}, q \in Q$ and then sends
those securely to receiver. Now sender computes $y = q \ast x[n, n + 1]$, where $l + 1$
is the length of plaintext $p$. The encryption works in a bit-by-bit fashion, that is,
$c_i = p_i + y_i (\mod 2)$.

When this is done, the security of the scheme of course depends in a crucial
way on the quality of the $x \in A^\omega$ and the machine $V$. It is worth to mention
at this stage of investigation this scheme serves only as extra (but important)
motivation for represented report, that is, why we examine infinite words with Mealy machines.

On the other hand if we restrict ourselves with finite words then we can state only: for every pair of words \( u, v \in A^* \) there exists Mealy machine that transforms \( u \) to \( v \). So we have a trivial partition of \( A^* \).

## 2 Preliminaries

In this section we present most of the notations and terminology used in this paper. Our terminology is more or less standard (cf. [8]) so that a specialist reader may wish to consult this section only if need arise.

Let \( A \) be a finite non-empty set and \( A^* \) the free monoid generated by \( A \). The set \( A \) is also called an alphabet, its elements letters and those of \( A^* \) finite words. The identity element of \( A^* \) is called an empty word and denoted by \( \lambda \). We set \( A^+ = A^* \setminus \{\lambda\} \).

A word \( w \in A^+ \) can be written uniquely as a sequence of letters as \( w = w_1w_2 \ldots w_l \), with \( w_i \in A, 1 \leq i \leq l, l > 0 \). The integer \( l \) is called the length of \( w \) and denoted \(|w|\). The length of \( \lambda \) is \( 0 \). We set \( w^0 = \lambda \land \forall i w^{i+1} = w^i w \).

A word \( w \in A^* \) is called a factor (or subword) of \( w \in A^* \) if there exist \( u, v \in A^* \) such that \( w = uv \). A word \( u \) (respectively \( v \)) is called a prefix (respectively a suffix) of \( w \). A pair \((u, v)\) is called an occurrence of \( w' \) in \( w \). A factor \( w' \) is called proper if \( w \neq w' \). We denote respectively by \( F(w), \text{Pref}(w) \) and \( \text{Suff}(w) \) the sets of \( w \) factors, prefixes and suffixes.

An (indexed) infinite word \( x \) on the alphabet \( A \) is any total map \( x : \mathbb{N} \to A \). We set for any \( i \geq 0, x_i = x(i) \) and write

\[
x = (x_i) = x_0x_1 \ldots x_n \ldots
\]

The set of all the infinite words over \( A \) is denoted by \( A^\omega \).

A word \( w' \in A^* \) is a factor of \( x \in A^\omega \) if there exist \( u \in A^*, y \in A^\omega \) such that \( x = uw'y \). A word \( u \) (respectively \( y \)) is called a prefix (respectively a suffix) of \( x \). We denote respectively by \( F(x), \text{Pref}(x) \) and \( \text{Suff}(x) \) the sets of \( x \) factors, prefixes and suffixes. For any \( 0 \leq m \leq n, x[m, n] \) denotes a factor \( xmx_{m+1} \ldots xn \). An indexed word \( x[m, n] \) is called an occurrence of \( w' \) in \( x \) if \( w' = x[m, n] \). The suffix \( x_nx_{n+1} \ldots xn+1 \ldots \) is denoted by \( x[n, \infty] \).

If \( v \in A^+ \) we denote by \( v^\omega \) an infinite word

\[
v^\omega = vv \ldots v \ldots
\]

This word \( v^\omega \) is called a periodic word. The concatenation of \( u = u_1u_2 \ldots u_k \in A^* \) and \( x \in A^\omega \) is the infinite word

\[
u x = u_1u_2 \ldots u_kx_nx_1 \ldots x_n \ldots
\]

A word \( x \) is called ultimately periodic if there exist words \( u \in A^*, v \in A^+ \) such that \( x = uv^\omega \). In this case, \( |u| \) and \( |v| \) are called, respectively, an anti-period and a period.
A 3–sorted algebra \( V = \langle Q, A, B, q_0, \circ, * \rangle \) is called an initial Mealy machine if \( Q, A, B \) are finite, non-empty sets, \( q_0 \in Q; \circ : Q \times A \rightarrow Q \) is a total function and \( * : Q \times A \rightarrow B \) is a total surjective function. The mappings \( \circ \) and \( * \) may be extended to \( Q \times A^* \) by defining
\[
q \circ \lambda = q, \quad q \circ (ua) = (q \circ u) \circ a \\
q \ast \lambda = \lambda, \quad q \ast (ua) = (q \ast u)((q \circ u) \ast a),
\]
for all \( q \in Q, (u, a) \in A^* \times A \). Henceforth, we shall omit parantheses if there is no danger of confusion. So, for example, we will write \( q \circ u \ast a \) instead of \( (q \circ u) \ast a \).

Let \((x, y) \in A^\omega \times B^\omega \). We write \( y = q_0 \ast x \) or \( x \rightarrow_V y \) if \( \forall n. y[n, n] = q_0 \ast x[0, n] \) and say machine \( V \) transforms \( x \) to \( y \). We write \( x \rightarrow y \) if there exists such \( V \) that \( x \rightarrow_V y \).

### 3 The Lattice of Machine Invariant Sets

We say a word \( x \in A^\omega \) is apt for \( V = \langle Q, A, B, q_0, \circ, * \rangle \) if \( A_1 \subseteq A \). Let \( \mathcal{R} \neq \emptyset \) be any class of infinite words. The class \( \mathcal{R} \) is called machine invariant if every initial machine transforms all apt words of \( \mathcal{R} \) to words of \( \mathcal{R} \).

**Remark.** If we like to operate with sets instead of classes then we may restrict ourselves with one fixed countable alphabet \( \mathfrak{A} = \{a_0, a_1, \ldots, a_n, \ldots\} \) and consider the set \( \text{Fin}(\mathfrak{A}) \) of all non-empty finite subsets of \( \mathfrak{A} \). Now the set \( \mathcal{R} \) may be chosen as the subset of \( \mathfrak{F} = \{ x \in A^\omega \mid A \in \text{Fin}(\mathfrak{A}) \} \). Similarly, we may restrict ourselves with one fixed countable set \( \mathcal{Q} = \{q_1, q_2, \ldots, q_a, \ldots\} \) and consider only machines from the set
\[
\mathfrak{M} = \{ \langle Q, A, B, q_0, \circ, * \rangle \mid Q \in \text{Fin}(\mathfrak{Q}) \land A, B \in \text{Fin}(\mathfrak{A}) \}.
\]

Thereby, the set \( \emptyset \neq \mathcal{R} \subseteq \mathfrak{F} \) is called machine invariant if every initial machine \( V \in \mathfrak{M} \) transforms all apt words of \( \mathcal{R} \) to words of \( \mathcal{R} \).

We follow the well established approach (cf. [3]). For the reader’s convenience, we briefly recall some basic definitions in the form appropriate for future use in the paper.

Let \( P \) be a set. An order on \( P \) is a binary relation \( \leq \) on \( P \) such that, for all \( x, y, z \in P \):
- \( x \leq x \) — reflexivity,
- \( x \leq y \) and \( y \leq x \) imply \( x = y \) — antisymmetry,
- \( x \leq y \) and \( y \leq z \) imply \( x \leq z \) — transitivity.

Let \( S = \{s_i \mid i \in I\} \subseteq P \) and \( S^u = \{y \mid \forall s \in S \ s \leq y\} \). An element \( x \in P \) is called a join of \( S \) (we write \( x = \cup S \) or \( x = \bigcup_{i \in I} s_i \)) if \( x \in S^u \) and \( \forall s \in S^u \ x \leq s \). We write \( x \cup y \) instead of \( \{x\} \cup \{y\} \). Dually, let \( S^l = \{y \mid \forall s \in S \ y \leq s\} \) then an element \( x \in P \) is called a meet of \( S \) (we write \( x = \cap S \) or \( x = \bigcap_{i \in I} s_i \)) if \( x \in S^l \) and \( \forall s \in S^l \ s \leq x \). We write \( x \cap y \) instead of \( \{x\} \cap \{y\} \).

Let \( P \) be a non-empty ordered set.
An element \( \bot \in P \) is called a bottom, if \( \forall x \in P \, \bot \leq x \). Dually, \( \top \in P \) is called a top, if \( \forall x \in P \, x \leq \top \).

- If \( x \cup y \) and \( x \cap y \) exist for all \( x, y \in P \) then \( P \) is called a lattice.
- If \( \cup S \) and \( \cap S \) exist for all \( S \subseteq P \) then \( P \) is called a complete lattice.

A complete lattice \( L \) is said to be completely distributive, if for any doubly indexed subset \( \{ x_{ij} | i \in I, j \in J \} \) of \( L \) we have

\[ \bigcap_{i \in I} (\bigcup_{j \in J} x_{ij}) = \bigcup_{\alpha : I \to J} (\bigcap_{i \in I} x_{i \alpha(i)}) \, . \]

Let \( L \) be a lattice with \( \bot \) and \( \top \). For \( x \in L \) we say \( y \in L \) is a complement of \( x \) if \( x \cap y = \bot \) and \( x \cup y = \top \). A lattice \( L \) is called a Boolean lattice if

- for all \( x, y, z \in L \) we have \( x \cap (y \cup z) = (x \cap y) \cup (x \cap z) \),
- \( L \) has \( \bot \) and \( \top \), and each \( x \in L \) has a complement \( x' \in L \).

**Corollary 2** Let \( \mathbb{L} \) be the set that contains all machine invariant sets. Then \( \langle \mathbb{L}, \cup, \cap \rangle \) is a completely distributive lattice, where \( \cup, \cap \) are respectively the set union and intersection. The bottom \( \bot \) is the set of all ultimately periodic words, the top \( \top = \mathbb{F} \).

An infinite word \( x \in A^\omega \) is called a recurrent word if any factor \( w \) of \( x \) has an infinite number of occurrences in \( x \). Any word \( x = uy \), where \( u \in A^* \), \( y \in A^\omega \) is called an ultimately recurrent word if \( y \) is a recurrent word.

**Theorem 3** Every initial Mealy machine an ultimately recurrent word transforms to an ultimately recurrent word.

**Example 4** Let \( x = (x_i) = 1010210^31\ldots0^n1\ldots \) then \( x \) is not an ultimately recurrent word. Assume \( \{a, b\} \cap \{0, 1\} = \emptyset \). Let \( y \in \{a, b\}^\omega \) be any ultimately recurrent word but not an ultimately periodic. Define \( z', z'' \) as follows:

\[ z'_i = \begin{cases} 1, & \text{if } x_i = 1 \text{ and } y_i = a, \\ y_i, & \text{otherwise}; \end{cases} \quad z''_i = \begin{cases} 1, & \text{if } x_i = 1 \text{ and } y_i = b, \\ y_i, & \text{otherwise}. \end{cases} \]

The word \( z' \) or \( z'' \) neither is ultimately periodic nor ultimately recurrent. Consider the Mealy machines \( V_1 \) and \( V_2 \) shown in Figure 2. Note \( z' \xrightarrow{V_1} y \) and \( z'' \xrightarrow{V_2} y \).

![Figure 2](image-url)
Proposition 5 \( \mathcal{L} \) is not a Boolean lattice.

Proof. Let \( \mathcal{R} = \{ x \in \mathcal{M} \mid x - \text{ultimately recurrent} \} \) then \( \mathcal{R} \in \mathcal{L} \) by Theorem 3. Suppose \( \mathcal{R}' \in \mathcal{L} \) is a complement of \( \mathcal{R} \) then \( \mathcal{R} \cap \mathcal{R}' = \perp \) and \( \mathcal{R} \cup \mathcal{R}' = \mathcal{M} \) by Corollary 2. Let \( z \in \{ z', z'' \} \) such that \( z \notin \mathcal{R} \) (see Example 4) then \( z \in \mathcal{R}' \). Since \( \mathcal{R}' \in \mathcal{L} \) and \( z \rightarrow y \) (see Example 1) then \( y \in \mathcal{R}' \). Hence, \( y \in \mathcal{R} \cap \mathcal{R}' = \perp \). Contradiction.

4 The Length

Let \( P \) be an ordered set. Then \( P \) is called a chain or totally ordered set, if for all \( x, y \in P \), either \( x \leq y \) or \( y \leq x \) (that is, if any two elements of \( P \) are comparable). If \( C = \{ x_0, x_1, \ldots, x_n \} \) is a finite chain in \( P \) with \( \text{card}(C) = n + 1 \), then we say the length of \( C \) is \( n \). If \( C \) is infinite chain in \( P \), then we say the length of \( C \) is \( \text{card}(C) \). The length of the longest chain in \( P \) is called the length of \( P \) and is denoted by \( \ell(P) \).

A machine \( V = (Q_1 \times Q_2, A_1, B_2, (q_1, q_2), \cdot, *) \) is called a series of \( V_1 = (Q_1, A_1, B_1, q_1, \cdot, *) \) with \( V_2 = (Q_2, B_1, B_2, q_2, \cdot, *) \) if

\[
(q', q'') \cdot a = (q' \cdot a, q'' \cdot q' \cdot a), \\
(q', q') \ast a = q'' \cdot q' \cdot a
\]

for all \( (q', q'', a) \in Q_1 \times Q_2 \times A_1 \).

Lemma 6 If \( x \rightarrow y \) and \( y \rightarrow z \) then \( x \rightarrow z \).

Proof. Let \( x \xrightarrow{V_1} y \) and \( y \xrightarrow{V_2} z \). We can choose machines \( V_1 = (Q_1, A_1, B_1, q_1, \cdot, *) \) and \( V_2 = (Q_2, A_2, B_2, q_2, \cdot, *) \) so that \( B_1 = A_2 \). Then \( V \) the series of \( V_1 \) with \( V_2 \) transforms \( x \) to \( z \).

Corollary 7 A set \( V(x) = \{ y \mid \exists V \in \mathcal{M} \ x \xrightarrow{V} y \} \), where \( x \in A^\omega \) and \( A \in \text{Fin}(\mathcal{M}) \), is machine invariant.

Proof. Let \( y \in V(x) \) and \( y \rightarrow z \) then \( x \rightarrow z \) by Lemma 3. Therefore \( z \in V(x) \).

Corollary 8 \( \text{card}(V(x)) = \aleph_0 \), where \( \aleph_0 \) is the first infinite cardinality.

Proof. Since \( \text{card}(\mathcal{M}) = \aleph_0 \) then \( \text{card}(V(x)) \leq \aleph_0 \). Note \( \perp \subseteq V(x) \) by Corollary 2. Hence \( \aleph_0 = \text{card}(\perp) \leq \text{card}(V(x)) \). Therefore \( \text{card}(V(x)) = \aleph_0 \).

An order on \( C \) is called a well-ordering on \( C \) if \( C \) is a chain and every subset \( S \subseteq C \) has a minimal element, that is, \( \exists \cap S \in S \).

Theorem 9 (Zermelo) For every non-empty set \( C \) there exists a well-ordering on \( C \).
Lemma 13 Let $K$ be any well-ordering on $A^\omega$, while $x < y$ means $x \preceq y$ and $x \neq y$. Then define $\mathcal{R}(y) = \bigcup_{x < y} V(x)$ and a chain $\mathcal{I} = \{y \mid \forall x < y \mathcal{R}(x) \neq \mathcal{R}(y)\}$ in $A^\omega$. Since $A^\omega$ is well-ordered there is the minimal element $x^{(1)}$ in $\mathcal{I}$.

Now suppose that $x^{(1)} < x^{(2)} < \ldots < x^{(k)}$ are the first $k$ elements of the chain $\mathcal{I}$. Since $\forall i \text{ card}(V(x^{(i)})) = \aleph_0$ and $\mathcal{R}(x^{(k)}) = \bigcup_{i=1}^{k} V(x^{(i)})$ then $\text{card}(\mathcal{R}(x^{(k)})) = \aleph_0$. Since $\text{card}(A^\omega) > \aleph_0$ then $\exists x \in A^\omega x \notin \mathcal{R}(x^{(k)})$. Hence, the chain $\mathcal{I}$ has at least the $k + 1$-st element $x^{(k+1)}$. Therefore, we can say proceeded by induction that $\text{card}(\mathcal{I}) \geq \aleph_0$.

Since $\bigcup_{x \in \mathcal{I}} V(x) \supseteq A^\omega$ it must follow that $\mathfrak{c} = \text{card}(A^\omega) \leq \text{card}(\bigcup_{x \in \mathcal{I}} V(x)) = \text{card}(\mathcal{I}) \leq \mathfrak{c}$. Let $\mathcal{C} = \{\mathcal{R}(x) \mid x \in \mathcal{I}\}$ then $\mathcal{C}$ is a chain in $\mathcal{L}$ and $\text{card}(\mathcal{C}) = \text{card}(\mathcal{I}) = \mathfrak{c}$.

Corollary 11 The length $\ell(\mathcal{L}) = \mathfrak{c}$.

Corollary 12 $\text{card}(\mathcal{L}) \geq \mathfrak{c}$.

5 Subword Complexity

Let $A$ be an alphabet then for each $n \geq 0$ we denote by $A^n$ the set of all words of length $n$. The function $f_x(n) = \text{card}(A^n \cap F(x))$, where $x \in A^\omega$, is called the subword complexity of the word $x$ (cf. §2). The growth function of the word $x$ is defined as $g_x(n) = \sum_{i=0}^{n} f_x(i)$.

Let $f, g$ be total functions. We write $g = O(f)$, if there exists such $c > 0$ that $\forall n \in \mathbb{N} \mid g(n) \mid \leq c \mid f(n)\mid$. Let $\emptyset \neq \mathcal{R} \subseteq \mathfrak{g}$. We say the subword complexity of the set $\mathcal{R}$ is $f$ if $\forall x \in \mathcal{R} f_x = O(f)$. Similarly, we say the growth function of the set $\mathcal{R}$ is $f$ if $\forall x \in \mathcal{R} g_x = O(f)$.

Lemma 13 Let $V = \langle Q, A, B, q_0, \delta, \omega \rangle$ be any Mealy machine. If $x \xrightarrow{V} y$ then $\forall n f_y(n) \leq |Q| f_x(n)$.

Proof. Let $x \xrightarrow{V} y$ and $u \in F(x)$ then there exist $q \in Q$ and $v \in F(y)$ such that $q \cdot u = v$. Since $q \in Q$, it follows that machine $V$ can transform the word $u$ to $|Q|$ distinct words $v$ at the very most.

Let $v \in F(y)$ and $|v| = n$ then there exist $u \in F(x)$ and $q \in Q$ such that $q \cdot u = v$. Hence, $u$ is transformed to $v$. Note $|u| = |v|$. Therefore, $f_y(n) \leq |Q| f_x(n)$.

Proposition 14 Let $f : \mathbb{N} \to \mathbb{R}$ be any total function.

(i) If $\mathcal{R}_1 = \{x \in \mathfrak{g} \mid f_x = O(f)\}$ then $\mathcal{R}_1$ is the machine invariant set.

(ii) If $\mathcal{R}_2 = \{x \in \mathfrak{g} \mid g_x = O(f)\}$ then $\mathcal{R}_2$ is the machine invariant set.
Proof. (i) Let \( x \in \mathcal{R}_1 \) then \( \forall n \in \mathbb{N} \ f_x(n) \leq c |f(n)| \) for some \( c > 0 \). Let \( x \xrightarrow{V} y \), where \( V = \langle Q, A, B, q_0, o, * \rangle \), then by Lemma \( f_y(n) \leq |Q| f_x(n) \leq c |Q| |f(n)| \). Hence \( f_y = O(f) \), that is, \( y \in \mathcal{R}_1 \).

(ii) Let \( x \in \mathcal{R}_2 \) then \( \forall n \in \mathbb{N} \ g_x(n) \leq c |f(n)| \) for some \( c > 0 \). Let \( x \xrightarrow{V} y \), where \( V = \langle Q, A, B, q_0, o, * \rangle \), then \( g_y(n) = \sum_{i=0}^{n} f_y(i) \leq \sum_{i=0}^{n} |Q| f_x(i) = |Q| \sum_{i=0}^{n} f_x(i) = |Q| g_x(n) \leq c |Q| |f(n)| \). Hence \( g_y = O(f) \), that is, \( y \in \mathcal{R}_2 \).

6 Conclusion

We say a word \( x \in \mathfrak{F} \) is more complicated as \( y \in \mathfrak{F} \) if

\[
\forall \mathcal{R} \in \mathcal{L} \ (x \in \mathcal{R} \Rightarrow y \in \mathcal{R}) \ & \ \exists \mathcal{R} \in \mathcal{L} \ (x \notin \mathcal{R} \ & \ y \in \mathcal{R}).
\]

So the lattice \( \mathcal{L} \) gives classification of infinite words that covers some aspects of complexity. It seems natural if we choose more complicate words as ciphers. Proposition 14 comes up to our expectations that the lattice \( \mathcal{L} \) would serve as a measure of words cryptographic quality.

It is worth to mention the idea that a lattice would serve as a measure of quality comes from fuzzy mathematics [6].

At this moment of course we have recognized a few elements of \( \mathcal{L} \). Therefore the problem, what is the structure of lattice \( \mathcal{L} \), remains.

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