

Automata and numeration systems

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Symbolic dynamical systems

A finite alphabet. A **symbolic dynamical system** (or subshift) is a closed shift invariant subset of $A^{\mathbb{N}}$.

A subshift S of $A^{\mathbb{N}}$ is of **finite type** if it is defined by the interdiction of a finite set of factors.

A subshift S of $A^{\mathbb{N}}$ is **sofic** if $L(S) \subseteq A^*$, the language of S , is rational, or, equivalently if S is recognised by a finite Büchi automaton.

A subshift S of $A^{\mathbb{N}}$ is **coded** if there exists a prefix code $Y \subset A^*$ such that $L(S) = F(Y^*)$.

Symbolic dynamical systems and the lexicographic order

A is a totally ordered alphabet. $u = u_1 u_2 \cdots$, $v = v_1 v_2 \cdots$ in $A^{\mathbb{N}}$,
 $u <_{lex} v$ if $u_1 \cdots u_{k-1} = v_1 \cdots v_{k-1}$ and $u_k < v_k$.

v in $A^{\mathbb{N}}$, $v_{[n]} = v_1 v_2 \cdots v_n$. $v_{[0]} = \varepsilon$.

Shift: $\sigma : A^{\mathbb{N}} \rightarrow A^{\mathbb{N}}$.

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Shift: $\sigma : A^{\mathbb{N}} \rightarrow A^{\mathbb{N}}$.

$S_v = \{u \in A^{\mathbb{N}} \mid \forall k \geq 0, \sigma^k(u) \leq_{lex} v\}$,

$D_v = \{u \in A^{\mathbb{N}} \mid \forall k \geq 0, \sigma^k(u) <_{lex} v\}$,

$Y_v = \{v_{[n]}a \in A^* \mid \forall n \geq 0, \forall a \in A, a <_{lex} v_{n+1}\}$.

A word $v = v_1 v_2 \cdots$ in $A^{\mathbb{N}}$ is said to be a **lexicographically shift maximal** word (lsmax-word for short) if for every $k \geq 0$,
 $\sigma^k(v) \leq_{lex} v$.

Proposition

If v in $A^{\mathbb{N}}$ is an lsmax-word, then S_v is a subshift coded by Y_v .

Let \mathcal{S}_v be the (infinite) automaton:

- ▶ states are the $v_{[n]}$ for all n in \mathbb{N}
- ▶ transitions are $v_{[n]} \xrightarrow{v_{n+1}} v_{[n+1]}$ and $v_{[n]} \xrightarrow{a} v_{[0]}$ for every $a < v_{n+1}$.

All states are final and $v_{[0]}$ is initial.

\mathcal{S}_v recognises $\text{Pref}(Y_v^*)$, which is equal to $F(Y_v^*)$. As a Büchi automaton, \mathcal{S}_v recognises S_v .

Let \mathcal{D}_v be the automaton obtained from \mathcal{S}_v by taking $v_{[0]}$ as unique final state. As a Büchi automaton, \mathcal{D}_v recognises D_v .

Proposition

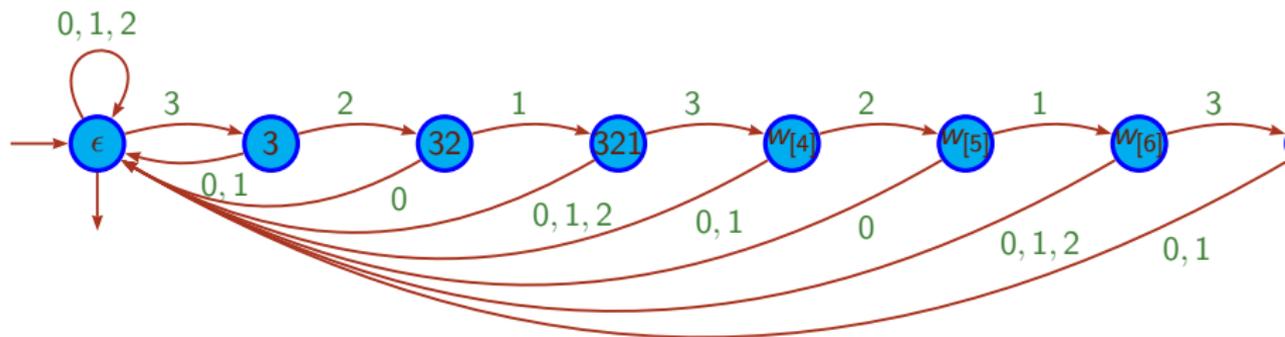
Let v be an lsmax-word in $A^{\mathbb{N}}$.

1. The following conditions are equivalent
 - ▶ the subshift S_v is sofic
 - ▶ the set D_v is recognised by a finite Büchi automaton
 - ▶ v is eventually periodic.
2. The subshift S_v is of finite type if, and only if, v is purely periodic.

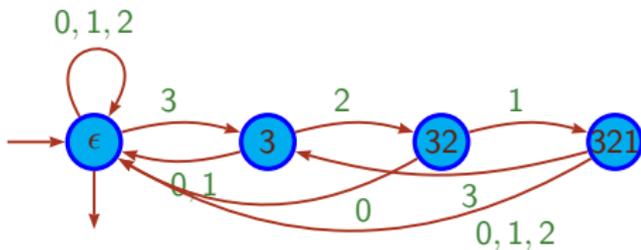
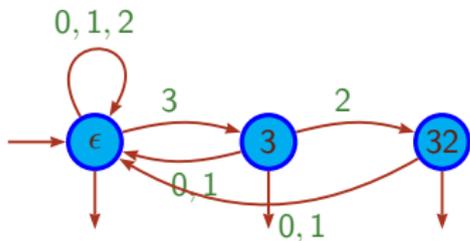
Similar results hold true for a **lexicographically shift minimal** word and the subshift defined accordingly.

Example: $w = (321)^\omega$.

Infinite automaton for D_w



Finite automata for S_w and D_w



Symbolic dynamical systems and the alternate order

$u = u_1 u_2 \cdots, v = v_1 v_2 \cdots$ in $A^{\mathbb{N}}$, $u \prec_{alt} v$ if
 $u_1 \cdots u_{k-1} = v_1 \cdots v_{k-1}$ and $(-1)^k (u_k - v_k) < 0$.

Symbolic dynamical systems and the alternate order

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A word $v = v_1 v_2 \cdots$ in $A^{\mathbb{N}}$ is said to be an **alternately shift maximal** word (asmax-word for short)

if $v_1 = \min A$ and for every $k \geq 0$, $\sigma^k(v) \preceq_{alt} v$.

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$$S_v^{(a)} = \{u \in A^{\mathbb{N}} \mid \forall k \geq 0, \sigma^k(u) \preceq_{alt} v\},$$

$$D_v^{(a)} = \{u \in A^{\mathbb{N}} \mid \forall k \geq 0, \sigma^k(u) \prec_{alt} v\}.$$

Proposition

Let v be an asmax-word in $A^{\mathbb{N}}$.

1. The following conditions are equivalent
 - ▶ the subshift $S_v^{(a)}$ is sofic
 - ▶ the set $D_v^{(a)}$ is recognised by a finite Büchi automaton
 - ▶ v is eventually periodic.
2. The subshift $S_v^{(a)}$ is of finite type if, and only if, v is purely periodic.

Similarly for an **alternately shift minimal** word.

Representation in real base α , $|\alpha| > 1$

Definition (Hejda, Masáková and Pelantová 2012)

Let $\alpha \in \mathbb{R}$, $|\alpha| > 1$, finite alphabet $A \subset \mathbb{R}$ and J bounded interval containing 0. Let $D : J \rightarrow A$ such that $T(x) = \alpha x - D(x)$ maps J to J . The α -representation is a mapping $d_{\alpha, J, D} : J \rightarrow A^{\mathbb{N}}$ s.t.

$$d_{\alpha, J, D}(x) = x_1 x_2 \cdots \quad \text{with } x_j = D(T^{j-1}(x)).$$

$$x = \sum_{j \geq 1} x_j \alpha^{-j}$$

Proposition

x and y in J , $d_{\alpha, J, D}(x) = x_1 x_2 \cdots$ and $d_{\alpha, J, D}(y) = y_1 y_2 \cdots$.

- ▶ If $\alpha > 1$ and D is non-decreasing then

$$x < y \iff x_1 x_2 \cdots <_{\text{lex}} y_1 y_2 \cdots .$$

- ▶ If $\alpha < -1$ and D is non-increasing then

$$x < y \iff x_1 x_2 \cdots \prec_{\text{alt}} y_1 y_2 \cdots .$$

β -expansions, $\beta > 1$

Rényi 1957

$$J = [0, 1), A = \{0, 1, \dots, \lceil \beta \rceil - 1\}$$

$$D : [0, 1) \rightarrow A \text{ with } D(x) = \lfloor \beta x \rfloor$$

$$T : [0, 1) \rightarrow [0, 1) \text{ with } T(x) = \beta x - D(x)$$

Greedy algorithm

$$r_0 := x; j := 1;$$

for $j \geq 1$ do

$$x_j := \lfloor \beta r_{j-1} \rfloor; r_j := \beta r_{j-1} - x_j$$

$$j := j + 1$$

The **greedy** expansion $g_\beta(x) = x_1 x_2 \dots$ is the **maximal** representation of x (for the lexicographic order).

$$x < y \iff g_\beta(x) <_{\text{lex}} g_\beta(y).$$

If s is the greedy β -expansion of some $x \in [0, 1)$ it is said to be **β -admissible**. The set of β -admissible sequences is D_β , and the **β -shift** S_β is the closure of D_β .

The greedy algorithm applied to 1 gives an expansion which plays an important role. Set $d_\beta(1) = (e_n)_{n \geq 1}$ and define

$$d_\beta^*(1) := \begin{cases} d_\beta(1) & \text{if } d_\beta(1) \text{ is infinite} \\ (e_1 \cdots e_{m-1}(e_m - 1))^\omega & \text{if } d_\beta(1) = e_1 \cdots e_{m-1}e_m \text{ is finite.} \end{cases}$$

$d_\beta^*(1)$ is called the **quasi-greedy** β -expansion of 1.

Theorem (Parry 1960)

Let $s = (s_n)_{n \geq 1}$ be a sequence in $A^\mathbb{N}$. Then

- ▶ $s \in D_\beta$ if, and only if,

$$\forall k \geq 0, \quad 0^\omega \leq_{\text{lex}} \sigma^k(s) <_{\text{lex}} d_\beta^*(1)$$

- ▶ $s \in S_\beta$ if, and only if,

$$\forall k \geq 0, \quad 0^\omega \leq_{\text{lex}} \sigma^k(s) \leq_{\text{lex}} d_\beta^*(1)$$

- ▶ s is the greedy β -expansion of 1 for some (unique) $\beta > 1$ if, and only if,

$$\forall k \geq 1, \quad 0^\omega < \sigma^k(s) <_{\text{lex}} s.$$

Remark: The quasi-greedy β -expansion of 1 is a **lsmax-word**.

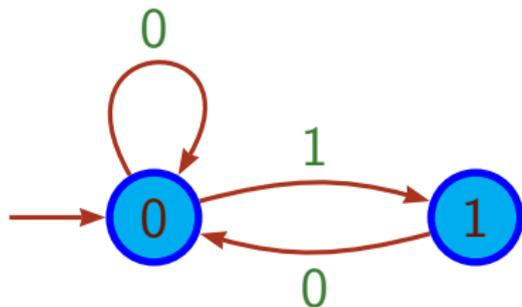
Theorem (Ito and Takahashi 1974, Bertrand-Mathis 1986, Blanchard 1989)

The β -shift S_β is a coded symbolic dynamical system which is

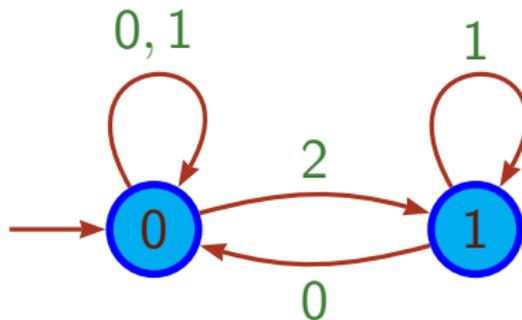
- 1. sofic if, and only if, $d_\beta^*(1)$ is eventually periodic,*
- 2. of finite type if, and only if, $d_\beta^*(1)$ is purely periodic, i.e., $d_\beta(1)$ is finite.*

Numbers β such that $d_\beta(1)$ is eventually periodic (resp. finite) are called **Parry numbers** (resp. **simple Parry numbers**).

Example The golden mean shift: $d_\beta(1) = 11$ and $d_\beta^*(1) = (10)^\omega$.
 11 is forbidden. System of finite type. **Local** automaton.



Example The β -shift for $\beta = \frac{3+\sqrt{5}}{2}$: $d_\beta(1) = d_\beta^*(1) = 21^\omega$. Sofic system not of finite type. **Non-local** automaton.



There is an important case where the β -expansion of 1 is eventually periodic.

A **Pisot number** is an algebraic integer > 1 such that all its Galois conjugates have modulus < 1 . The natural integers and the golden mean are Pisot numbers.

Theorem (Schmidt 1980)

If β is a Pisot number, then every number of $\mathbb{Q}(\beta) \cap [0, 1]$ has an eventually periodic β -expansion.

For some Pisot numbers, for instance the **golden mean**, every element of $\mathbb{Z}(\beta) \cap \mathbb{R}_+$ has a **finite** β -expansion.

Lazy β -expansions

Lazy algorithm

$r_0 := x; j := 1;$

for $j \geq 1$ do

$x_j := \max(0, \lceil \beta r_{j-1} - \frac{|\beta|}{\beta-1} \rceil); r_j := \beta r_{j-1} - x_j$

$j := j + 1$

The **lazy** expansion $\ell_\beta(x) = x_1 x_2 \dots$, where $x_j \in A = \{0, 1, \dots, \lceil \beta \rceil - 1\}$, is the **minimal** representation of x (for the lexicographic order).

$$x < y \iff \ell_\beta(x) <_{\text{lex}} \ell_\beta(y).$$

Let $s = (s_n)_{n \geq 1}$ be in $A^{\mathbb{N}}$. Denote by $\bar{s}_n := \lfloor \beta \rfloor - s_n$ the **complement** of s_n , and by extension $\bar{s} := (\bar{s}_n)_{n \geq 1}$.

$$s = g_{\beta}(x) \iff \bar{s} = \ell_{\beta}\left(\frac{\lfloor \beta \rfloor}{\beta - 1} - x\right).$$

Theorem (Erdős, Joó and Komornik 1990, Dajani and Kraaikamp 2002)

Let $s = (s_n)_{n \geq 1}$ be a sequence in $A^{\mathbb{N}}$. Then

- ▶ s is the lazy β -expansion of some $x \in [0, 1)$ if and only if

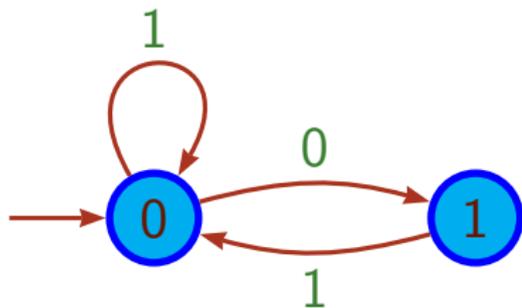
$$\forall k \geq 0, \quad 0^{\omega} \leq_{\text{lex}} \sigma^k(\bar{s}) <_{\text{lex}} d_{\beta}^*(1)$$

- ▶ s is the lazy β -expansion of 1 for some $\beta > 1$ if and only if

$$\forall k \geq 1, \quad 0^{\omega} < \sigma^k(\bar{s}) <_{\text{lex}} s.$$

The (greedy) β -shift and the lazy β -shift have the same structure.

Example The **lazy** golden mean shift: 00 is forbidden. System of finite type. **Local** automaton.



Univoque numbers

$\beta > 1$ is said to be **univoque** if there exists a unique sequence of integers $(s_n)_{n \geq 1}$, with $0 \leq s_n < \beta$, such that $1 = \sum_{n \geq 1} s_n \beta^{-n}$.

Definition (Allouche 1983)

- ▶ A sequence $s = (s_n)_{n \geq 1}$ in $\{0, 1\}^{\mathbb{N}}$ is **self-bracketed** if for every $k \geq 1$

$$\bar{s} \leq_{\text{lex}} \sigma^k(s) \leq_{\text{lex}} s$$

- ▶ If all the inequalities above are strict, the sequence s is said to be **strictly self-bracketed**. If one of the inequalities is an equality, then s is said to be **periodic self-bracketed**.

Theorem (Erdős, Joó, Komornik 1990)

A sequence in $\{0, 1\}^{\mathbb{N}}$ is the unique β -expansion of 1 for a univoque number β in $(1, 2)$ if and only if it is strictly self-bracketed.

Theorem (Komornik and Loreti 1998)

*There exists a smallest univoque real number $\kappa \in (1, 2)$.
 $\kappa \approx 1.787231$, and $d_\kappa(1) = (t_n)_{n \geq 1}$, where $(t_n)_{n \geq 1} = 11010011\dots$
is obtained by shifting the Thue-Morse sequence.*

Theorem (Allouche and Cosnard 2000)

The Komornik-Loreti constant κ is transcendental.

Theorem (Allouche, F. and Hare 2007)

There exists a smallest univoque Pisot number, of degree 14.

$(-\beta)$ -expansions, $\beta > 1$

Ito and Sadahiro 2009

$$J = \left[-\frac{\beta}{\beta+1}, \frac{1}{\beta+1}\right), A = \{0, 1, \dots, \lfloor \beta \rfloor\}$$

$$D : J \rightarrow A \text{ with } D(x) = \lfloor -\beta x + \frac{\beta}{\beta+1} \rfloor$$

$$T : J \rightarrow J \text{ with } T(x) = -\beta x - D(x)$$

For every $x \in J$ denote $d_{-\beta}(x)$ the $(-\beta)$ -expansion of x . Then $d_{-\beta}(x) = (x_i)_{i \geq 1}$ if and only if $x_i = \lfloor -\beta T_{-\beta}^{i-1}(x) + \frac{\beta}{\beta+1} \rfloor$, and $x = \sum_{i \geq 1} x_i (-\beta)^{-i}$.

$$x < y \iff d_{-\beta}(x) \prec_{alt} d_{-\beta}(y).$$

A word $(x_i)_{i \geq 1}$ is **$(-\beta)$ -admissible** if there exists a real number $x \in J$ such that $d_{-\beta}(x) = (x_i)_{i \geq 1}$.

The **$(-\beta)$ -shift** $S_{-\beta}$ is the closure of the set of $(-\beta)$ -admissible words.

Define the sequence **$d_{-\beta}^*(\frac{1}{\beta+1})$** as follows:

- ▶ if $d_{-\beta}(-\frac{\beta}{\beta+1}) = d_1 d_2 \dots$ is not a periodic sequence with odd period,

$$d_{-\beta}^*\left(\frac{1}{\beta+1}\right) = d_{-\beta}\left(\frac{1}{\beta+1}\right) = 0d_1 d_2 \dots$$

- ▶ otherwise if $d_{-\beta}(-\frac{\beta}{\beta+1}) = (d_1 \dots d_{2p+1})^\omega$,

$$d_{-\beta}^*\left(\frac{1}{\beta+1}\right) = (0d_1 \dots d_{2p}(d_{2p+1} - 1))^\omega.$$

Theorem (Ito and Sadahiro 2009)

Let $s = (s_n)_{n \geq 1}$ be a sequence in $A^{\mathbb{N}}$. Then

- ▶ s is $(-\beta)$ -admissible if and only if

$$\forall k \geq 0, \quad d_{-\beta}\left(-\frac{\beta}{\beta+1}\right) \preceq_{alt} \sigma^k(s) \prec_{alt} d_{-\beta}^*\left(\frac{1}{\beta+1}\right).$$

- ▶ s is an element of the $(-\beta)$ -shift if and only if

$$\forall k \geq 0, \quad d_{-\beta}\left(-\frac{\beta}{\beta+1}\right) \preceq_{alt} \sigma^k(s) \preceq_{alt} d_{-\beta}^*\left(\frac{1}{\beta+1}\right).$$

Remark: $d_{-\beta}(-\frac{\beta}{\beta+1})$ is an **asmin-word** and $d_{-\beta}^*(\frac{1}{\beta+1})$ is an **asmax-word**.

Theorem (Ito and Sadahiro 2009, F. and Lai 2009)

The $(-\beta)$ -shift $S_{-\beta}$ is a symbolic dynamical system which is

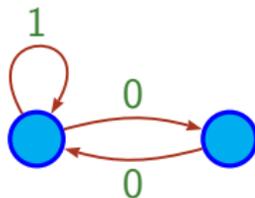
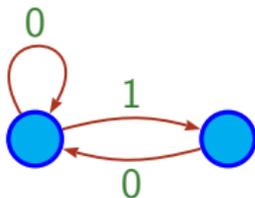
- 1. sofic if, and only if, $d_{-\beta}(-\frac{\beta}{\beta+1})$ is eventually periodic,*
- 2. of finite type if, and only if, $d_{-\beta}(-\frac{\beta}{\beta+1})$ is purely periodic.*

Theorem (F. and Lai 2009)

If β is a Pisot number, then every number of $\mathbb{Q}(\beta) \cap [0, 1]$ has an eventually periodic $(-\beta)$ -expansion.

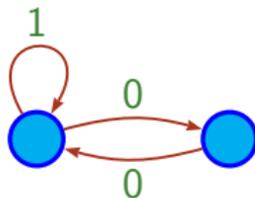
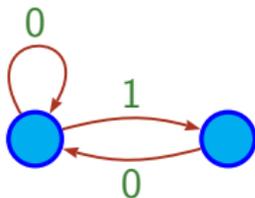
Example Let $\varphi = \frac{1+\sqrt{5}}{2}$. Then $d_{-\varphi}(-\frac{\varphi}{\varphi+1}) = 10^\omega$ the $(-\varphi)$ -shift is a sofic system which is not of finite type.

Finite automata for the φ -shift (left) and for the $(-\varphi)$ -shift (right)



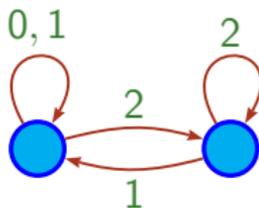
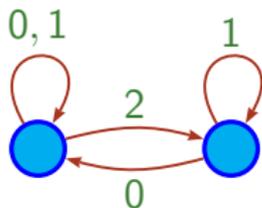
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Finite automata for the φ -shift (left) and for the $(-\varphi)$ -shift (right)



Example $\beta = \frac{3+\sqrt{5}}{2}$. $d_{-\beta}(-\frac{\beta}{\beta+1}) = (21)^\omega$ and the $(-\beta)$ -shift is of finite type: the set of minimal forbidden factors is $\{20\}$.

Finite automata for the β -shift (left) and for the $(-\beta)$ -shift (right)



Entropy

The **topological entropy** of a subshift S is

$$h(S) = \lim_{n \rightarrow \infty} \frac{1}{n} \log(B_n(S))$$

where $B_n(S)$ is the number of factors of S of length n .

When S is sofic, the entropy of S is equal to the logarithm of the spectral radius of the adjacency matrix of the finite automaton recognising $L(S)$.

Theorem (Takahashi 1980, F. and Lai 2009)

The entropy of the β -shift and of the $(-\beta)$ -shift are equal to $\log \beta$.

Theorem (Steiner 2013)

A sequence $s = (s_n)_{n \geq 1}$ in $A^{\mathbb{N}}$ is the $(-\beta)$ -expansion of $-\frac{\beta}{\beta+1}$ (for some unique β) if, and only if,

1. $\forall k \geq 2, s \preceq_{alt} \sigma^k(s)$,
2. $s \prec_{alt} u = 10011100100100111 \dots$, where $u = \psi^\omega(1)$ with $\psi(1) = 100$ and $\psi(0) = 1$,
3. $s \notin \{s_1 \cdots s_k, s_1 \cdots s_{k-1}(s_k - 1)0\}^\omega \setminus (s_1 \cdots s_k)^\omega$ for all $k \geq 1$ with $(s_1 \cdots s_k)^\omega \prec_{alt} u$,
4. $s \notin \{s_1 \cdots s_k 0, s_1 \cdots s_{k-1}(s_k + 1)\}^\omega$ for all $k \geq 1$ with $(s_1 \cdots s_{k-1}(s_k + 1))^\omega \prec_{alt} u$.

Maximal and minimal $(-\beta)$ -expansions

Hejda, Masáková and Pelantová 2012

Proposition

s is the maximal $(-\beta)$ -expansion (for the alternate order) of x if, and only if, \bar{s} is the minimal $(-\beta)$ -expansion of $-\frac{|\beta|}{\beta+1} - x$.

Remark

The Ito-Sadahiro transformation does not give the maximal $(-\beta)$ -expansion (for the alternate order).

Example φ the golden mean. Let $x = -\frac{1}{2}$.

The minimal $(-\varphi)$ -expansion of x is $1(001110)^\omega$.

The Ito-Sadahiro $(-\varphi)$ -expansion of x is $(100)^\omega$.

The maximal $(-\varphi)$ -expansion of x is $(111000)^\omega$.

$$1(001110)^\omega \prec_{alt} (100)^\omega \prec_{alt} (111000)^\omega.$$

There is no transformation of the form $T(x) = -\beta x - D(x)$ which generates for every x the maximal or the minimal $(-\beta)$ -expansion of x .

Theorem

Let $\beta > 1$, $\beta \notin \mathbb{N}$, $A = \{0, \dots, \lfloor \beta \rfloor\}$, $B = \{-b\beta + a \mid a, b \in A\}$.

Let $\pi : B^* \rightarrow A^*$ such that $\pi(-b\beta + a) = ba$.

Let $I = \left[\frac{-\beta \lfloor \beta \rfloor}{\beta^2 - 1}, \frac{\lfloor \beta \rfloor}{\beta^2 - 1} \right]$.

- ▶ There exists a transformation $T_G : I \rightarrow I$ which generates $G(x)$ the maximal β^2 -expansion of x on B ;
 - ▶ $\pi(G(x))$ is the maximal $(-\beta)$ -expansion of x on A (for the alternate order).
- ▶ There exists a transformation $T_L : I \rightarrow I$ which generates $L(x)$ the minimal β^2 -expansion of x on B ;
 - ▶ $\pi(L(x))$ is the minimal $(-\beta)$ -expansion of x on A (for the alternate order).

Digit-set conversion and normalisation

Real base α , $|\alpha| > 1$, A finite alphabet allowing representation of elements of an interval J .

C an arbitrary finite alphabet of digits.

A **digit-set conversion** in base α on C is a partial function

$\chi_{\alpha,C} : C^{\mathbb{N}} \rightarrow A^{\mathbb{N}}$ such that

$$\chi_{\alpha,C}((c_i)_{i \geq 1}) = (a_i)_{i \geq 1} \iff \sum_{i \geq 1} c_i \alpha^{-i} = \sum_{i \geq 1} a_i \alpha^{-i}.$$

The **normalisation** $\nu_{\alpha,C}$ on C is a digit-set conversion where the result $(a_i)_{i \geq 1}$ is **α -admissible**.

Addition on A is a digit-set conversion $(A + A)^{\mathbb{N}} \rightarrow A^{\mathbb{N}}$.

$\beta > 1$, $A = \{0, \dots, \lfloor \beta \rfloor\}$.

Theorem (F. 1992, Berend and F. 1994, F. and Sakarovitch 1999)

The following are equivalent:

1. *normalisation $\nu_{\beta,C}$ is computable by a finite letter-to-letter transducer on any alphabet C ;*
2. *$\nu_{\beta,B}$ is computable by a finite letter-to-letter transducer on $B = \{0, \dots, \lfloor \beta \rfloor, \lfloor \beta \rfloor + 1\}$;*
3. *β is a Pisot number.*

Example Take β the root > 1 of $X^4 - 2X^3 - 2X^2 - 2$. Then $d_\beta(1) = 2202$ and β is a simple Parry number, but it is not a Pisot number, since there is another root $\alpha \approx -1.134186$. One can show that normalisation on $A = \{0, 1, 2\}$ is **not** computable by a finite transducer.

Proposition

If $\beta > 1$ is a Pisot number, then normalisation in base $(-\beta)$ on any alphabet C is realisable by a finite transducer.

Proposition

If β is a Pisot number, then conversion from base $(-\beta)$ to base β is realizable by a finite transducer. The result is β -admissible.

These transducers are neither left nor right sequential when β is not an integer.

On-line computations

An on-line algorithm is such that, after a certain delay of latency during which the data are read without writing, a digit of the output is produced for each digit of the input.

Processing **most significant digit first**. Suitable for real numbers.

Sequentiality and synchronicity.

On-line functions are uniformly continuous for the prefix distance.

On-line computations

An on-line algorithm is such that, after a certain delay of latency during which the data are read without writing, a digit of the output is produced for each digit of the input.

Processing **most significant digit first**. Suitable for real numbers.

Sequentiality and synchronicity.

On-line functions are uniformly continuous for the prefix distance.

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1. Conversion from base β to base $(-\beta)$ is computable by an on-line algorithm (the result is not admissible).
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Conclusions

Base β and base $(-\beta)$ are

- ▶ quite similar for the nature of the shift, the eventual periodicity of the rationals, and addition,
- ▶ quite different for the maximal and minimal representations.