A full characterization of Bertrand numeration systems

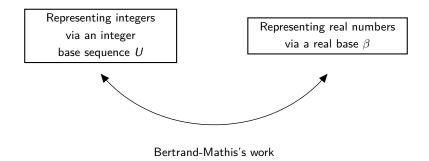
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Séminaire du GT de combinatoire et interactions du LaBRI 2022, March 21

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Representing integers in base 3

Any $n \in \mathbb{N}$ can be decomposed in a unique way as

$$n = \sum_{i=1}^{\ell} a_i 3^{\ell-i}$$

where $a_i \in \{0, 1, 2\}$ and $a_1 \neq 0$. We write $\operatorname{rep}_3(n) = a_1 \cdots a_\ell$.

The numeration language \mathcal{N}_3 is the set $0^* \operatorname{rep}_3(\mathbb{N})$, which is simply $\{0, 1, 2\}^*$.



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Representing real numbers in base 3

Any $x \in [0, 1)$ can be decomposed in a unique way as

$$x = \sum_{i=1}^{\infty} \frac{a_i}{3^i}$$

where $a_i \in \{0, 1, 2\}$ and $a_i a_{i+1} a_{i+2} \cdots \neq 2^{\omega}$ for all *i*. We write $d_3(x) = a_1 a_2 a_3 \cdots$.

Define $D_3 = \{ d_3(x) : x \in [0, 1) \}.$

The topological closure of D_3 is called the 3-shift:

 $S_3 = \{w \in \{0, 1, 2\}^{\omega} : Fac(w) \subseteq Fac(D_3)\} = \{0, 1, 2\}^{\omega}.$

Straightforward but crucial observation: $Fac(S_3) = N_3$.

Representing integers thanks to the Fibonacci sequence

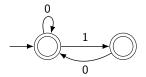
We let $F_0 = 1$, $F_1 = 2$ and $F_{i+2} = F_{i+1} + F_i$ for $i \ge 0$.

Any $n \in \mathbb{N}$ can be decomposed in a unique way as

$$n=\sum_{i=1}^\ell a_i F_{\ell-i}$$

where $a_i \in \{0, 1\}$ and $a_1 \neq 0$ with the condition that $a_i a_{i+1} \neq 11$. We write $\operatorname{rep}_F(n) = a_1 \cdots a_\ell$.

The numeration language \mathcal{N}_F is the set $0^* \operatorname{rep}_F(\mathbb{N})$.



This numeration system is called the Zeckendorf numeration system.

Representing real numbers in base φ

Let $\varphi = \frac{1+\sqrt{5}}{2}$ (the golden mean).

Any $x \in [0, 1)$ can be decomposed in a unique way as

$$\mathbf{x} = \sum_{i=1}^{\infty} \frac{\mathbf{a}_i}{\varphi^i}$$

where $a_i \in \{0, 1\}$, $a_i a_{i+1} \neq 11$ and $a_i a_{i+1} a_{i+2} \cdots \neq (10)^{\omega}$ for all *i*. We write $d_{\varphi}(x) = a_1 a_2 a_3 \cdots$.

Define $D_{\varphi} = \{ d_{\varphi}(x) : x \in [0,1) \}.$

The topological closure of D_{φ} is called the φ -shift:

 $S_{arphi} = \{w \in \{0,1\}^{\omega} : \operatorname{Fac}(w) \subseteq \operatorname{Fac}(D_{arphi})\} = \{0,1\}^{\omega} \setminus \{0,1\}^* \operatorname{11}\{0,1\}^{\omega}.$

Straightforward but crucial observation: $Fac(S_{\varphi}) = \mathcal{N}_{F}$.

Representing integers via positional numeration systems U

Let $U = (U(i))_{i \ge 0}$ be an increasing integer sequence such that U(0) = 1 and

$$C_U := \sup\{i \ge 0 : \left\lceil \frac{U(i+1)}{U(i)} \right\rceil\} < \infty.$$

We may represent any $n \in \mathbb{N}$ by using the following greedy algorithm.

First, compute the least ℓ such that $n < U(\ell)$. Then for all $i = 1, ..., \ell$, let a_i be the greatest integer a such that

$$\sum_{j=1}^{i-1} \mathsf{a}_j U(\ell-j) + \mathsf{a} U(\ell-i) \leq \mathsf{n}.$$

We get that

$$\sum_{i=1}^{\ell} a_i U(\ell-i) = n.$$

The finite word $\operatorname{rep}_{U}(n) = a_1 \cdots a_\ell$ is called the *U*-expansion of *n*.

These words are written over the finite alphabet $A_U = \{0, \dots, C_U - 1\}$.

Representing real numbers via real bases $\beta > 1$

Let $\beta > 1$ be real number (called the base).

We may represent any $x \in [0, 1]$ by using the following greedy algorithm.

For all $i \ge 1$, let a_i be the greatest integer a such that

$$\sum_{j=1}^{i-1} \frac{a_j}{\beta^j} + \frac{a}{\beta^i} \le x.$$

We get that

$$\sum_{i=1}^{\infty} \frac{a_i}{\beta^i} = x$$

The infinite word $d_{\beta}(x) = a_1 a_2 \cdots$ is called the β -expansion of x.

Only finitely many digits are used, namely $0, 1, \ldots, \lfloor \beta \rfloor$.

Bertrand numeration systems

Let U be a positional numeration system.

The set $\mathcal{N}_U = 0^* \operatorname{rep}_U(\mathbb{N})$ is called the numeration language.

Two desired properties of \mathcal{N}_U are:

- \mathcal{N}_U is prefix-closed if all prefixes of words in \mathcal{N}_U also belong to \mathcal{N}_U .
- \mathcal{N}_U is prolongable if for all w in \mathcal{N}_U , the word w0 also belongs to \mathcal{N}_U .

We say that U is a Bertrand numeration system if \mathcal{N}_U is both prefix-closed and prolongable.

Equivalently: $\forall w \in A_U^*, w \in \mathcal{N}_U \iff w \mathbf{0} \in \mathcal{N}_U.$

State of the art

This form of the definition of Bertrand numeration systems, as well as their names after Bertrand-Mathis, was first given in

Bruyère & Hansel 1997. Bertrand numeration systems and recognizability.

Then it was used in

- Point 2000. On decidable extensions of Presburger arithmetic: from A. Bertrand numeration systems to Pisot numbers
- Frougny 2002. Numeration systems. (Chapter 7 of Lothaire's book "Algebraic combinatorics on words".)
- Lecomte & Rigo 2004. Real numbers having ultimately periodic representations in abstract numeration systems.
- Berthé & Rigo 2007. Odometers on regular languages.
- ► Charlier, Rampersad, Rigo & Waxweiler 2011. The minimal automaton recognizing m^N in a linear numeration system.
- Massuir, Peltomäki & Rigo 2019. Automatic sequences based on Parry or Bertrand numeration systems.
- Stipulanti 2019. Convergence of Pascal-like triangles in Parry-Bertrand numeration systems.

Other works considering Bertrand numeration systems are

- **b** Loraud 1995. β -shift, systèmes de numération et automates.
- Frougny & Solomyak 1996. On representation of integers in linear numeration systems.
- Frougny 2003. On-line digit set conversion in real base.
- Frougny, Gazeau & Krejcar 2003. Additive and multiplicative properties of point sets based on beta-integers.
- Barat, Frougny & Pethö 2005. A note on linear recurrent Mahler numbers.
- Berthé & Siegel 2007. Purely periodic β-expansions in the Pisot non-unit case.
- Frougny & Sakarovitch 2010. Number representation and finite automata. (Chapter 2 of the book "Combinatorics, automata and number theory").
- Berthé, Frougny, Rigo & Sakarovitch 2020. The carry propagation of the successor function.

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Before giving Bertrand-Mathis's statement, we need one more notion on the real base side.

For $\beta > 1$, we let $D_{\beta} = \{ d_{\beta}(x) : x \in [0, 1) \}.$

The β -shift is the topological closure of D_{β} :

$$S_{\beta} = \{w \in \{0, \ldots, \lceil \beta \rceil - 1\}^{\omega} : \operatorname{Fac}(w) \subseteq \operatorname{Fac}(D_{\beta})\}.$$

Parry's characterization of elements in the β -shift

In Parry's theorem, the β -expansion and the quasi-greedy β -expansion of 1 play crucial roles.

The quasi-greedy β -expansion of 1 is

$$d^*_{eta}(1) = \lim_{x o 1^-} d_{eta}(x).$$

If $d_eta(1)$ does not end with a tail of zeros, we simply have $d^*_eta(1)=d_eta(1).$

Otherwise, if $d_{\beta}(1) = t_1 \cdots t_n 0^{\omega}$ with $t_n \neq 0$, then $d^*_{\beta}(1) = (t_1 \cdots t_{n-1}(t_n - 1))^{\omega}$.

Theorem (Parry 1960)

$$S_{eta} = \{w \in \{0,\ldots,\lceileta
ceil - 1\}^{\omega}: orall i \geq 1, \ w_i w_{i+1} \cdots \leq_{\mathrm{lex}} d^*_{eta}(1)\}.$$

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Parry's descriptions of the 3-shift and the φ -shift

For $\beta = 3$, we get $d_3(1) = 30^{\omega}$ and $d_3^*(1) = 2^{\omega}$. So Parry's theorem gives

$$S_3 = \{w \in \{0, 1, 2\}^{\omega} : \forall i \ge 1, \ w_i w_{i+1} \cdots \le \log 2^{\omega}\}$$

For $\beta = \varphi$, we get $d_{\varphi}(1) = 110^{\omega}$ and $d_{\varphi}^*(1) = (10)^{\omega}$. So Parry's theorem gives $S_{\varphi} = \{w \in \{0, 1\}^{\omega} : \forall i \ge 1, \ w_i w_{i+1} \dots \le_{\text{lex}} (10)^{\omega}\}.$

Bertrand-Mathis's statement

In 1989, Bertrand-Mathis stated that

U is Bertrand if and only if $\exists \beta > 1$ such that $\mathcal{N}_U = \operatorname{Fac}(S_\beta)$.

In this case, the following hold:

- a. There is a unique such β .
- b. The alphabet A_U equals $\{0, \ldots, \lceil \beta \rceil 1\}$.
- c. We have

$$\forall i \geq 0, \quad U(i) = d_1 U(i-1) + d_2 U(i-2) + \cdots + d_i U(0) + 1$$

and

$$\lim_{i\to\infty}\frac{U(i)}{\beta^i}=\frac{\beta}{(\beta-1)\sum_{i=1}^{\infty}id_i\beta^{-i}}$$

where $(d_i)_{i \ge 1} = d^*_{\beta}(1)$.

d. The system U has the dominant root β , i.e., $\lim_{i\to\infty} \frac{U(i+1)}{U(i)} = \beta$.

Bertrand-Mathis's statement

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In this case, the following hold:

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- c. We have

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and

$$\lim_{i\to\infty}\frac{U(i)}{\beta^i}=\frac{\beta}{(\beta-1)\sum_{i=1}^{\infty}id_i\beta^{-i}}$$

where $(d_i)_{i \ge 1} = d_{\beta}^*(1)$.

d. The system U has the dominant root β , i.e., $\lim_{i\to\infty} \frac{U(i+1)}{U(i)} = \beta$.

Full characterization of Bertrand numeration systems

For a real number $\beta > 1$, define

$$\mathcal{S}_eta' = \{w \in \{0,\ldots,\lflooreta
brace\}^\omega: orall i \geq 1, \,\, w_i w_{i+1} \cdots \leq_{ ext{lex}} d_eta(1)\}.$$

Theorem (Charlier, Cisternino & Stipulanti 2022)

A positional numeration system U is Bertrand if and only if one of the following occurs.

- 1. For all $i \ge 0$, U(i) = i + 1.
- 2. There exists a real number $\beta > 1$ such that $\mathcal{N}_U = \operatorname{Fac}(S_\beta)$.
- 3. There exists a real number $\beta > 1$ such that $\mathcal{N}_U = \operatorname{Fac}(S'_{\beta})$.

Moreover, in Case 2 (resp. Case 3), the following hold:

- a. There is a unique such β .
- b. The alphabet A_U equals $\{0, \ldots, \lceil \beta \rceil 1\}$ (resp. $\{0, \ldots, \lfloor \beta \rfloor\}$).

c. We have

$$\forall i \geq 0, \quad U(i) = a_1 U(i-1) + a_2 U(i-2) + \dots + a_i U(0) + 1$$

and

$$\lim_{i\to\infty}\frac{U(i)}{\beta^i}=\frac{\beta}{(\beta-1)\sum_{i=1}^{\infty}ia_i\beta^{-i}}$$

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where $(a_i)_{i\geq 1}$ is $d^*_{\beta}(1)$ (resp. $d_{\beta}(1)$).

d. The system U has the dominant root β , i.e., $\lim_{i\to\infty} \frac{U(i+1)}{U(i)} = \beta$.

Non-canonical Bertrand systems and non-canonical β -shifts

Let β be a simple Parry number, i.e., such that $d_{\beta}(1)$ ends with a tail of zeroes. In this case, $d_{\beta}^*(1) \neq d_{\beta}(1)$, and hence there are two Bertrand numeration systems associated with β .

- The canonical Bertrand system is built from the digits of $d^*_{\beta}(1)$.
- The non-canonical Bertrand system is built from the digits of $d_{\beta}(1)$.

Similarly,

- The set S_β = {w ∈ {0,..., [β] − 1}^ω : ∀i ≥ 1, w_iw_{i+1}··· ≤_{lex} d^{*}_β(1)} is called the canonical β-shift
- The set S'_β = {w ∈ {0,..., [β]}^ω : ∀i ≥ 1, w_iw_{i+1}··· ≤_{lex} d_β(1)} is called the non-canonical β-shift.

Canonical Bertrand numeration system associated with 3

Since $d^*_{\beta}(1) = 2^{\omega}$, the canonical Bertrand system associated with 3 is given by

$$\forall i \geq 0, \ U(i) = 2U(i-1) + 2U(i-2) + \cdots + 2U(0) + 1$$

Thus, U(0) = 1 and for all $i \ge 0$, one has

$$U(i+1) - U(i) = (2U(i) + 2U(i-1) + \dots + 2U(0) + 1)$$
$$- (2U(i-1) + 2U(i-2) + \dots + 2U(0) + 1)$$
$$= 2U(i).$$

Hence U(i+1) = 3U(i) for all $i \ge 0$.

We see that this is precisely the integer base 3 numeration system $U = (3^i)_{i \ge 0}$.

Non-canonical Bertrand system associated with 3

Since $d_3(1) = 30^{\omega}$, the non-canonical Bertrand system associated with 3 is given by

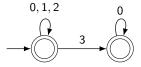
$$\forall i \geq 0, \ U(i) = 3U(i-1) + 1.$$

We have $U = (1, 4, 13, 40, 121, \ldots)$.

The corresponding numeration language \mathcal{N}_U is equal to $\operatorname{Fac}(S'_3)$ where the non-canonical 3-shift is

$$S'_{3} = \{ w \in \{0, 1, 2, 3\}^{\omega} : \forall i \ge 1, \ w_{i}w_{i+1} \cdots \le_{\text{lex}} 30^{\omega} \}.$$

It is accepted by the DFA



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From this DFA, we can see that U is Bertrand, i.e., that \mathcal{N}_U is prefix-closed and prolongable.

Canonical Bertrand system associated with φ

Since $d^*_{\varphi}(1) = (10)^{\omega}$, the canonical Bertrand system associated with φ is given by

$$\forall i \ge 0, \ U(i) = \begin{cases} U(i-1) + U(i-3) + \dots + U(1) + 1, & \text{if } i \text{ is even} \\ U(i-1) + U(i-3) + \dots + U(0) + 1, & \text{if } i \text{ is odd.} \end{cases}$$

Thus, U(0) = 1, U(1) = U(0) + 1 = 2 and for all $i \ge 0$, one has

$$U(i+2) - U(i) = U(i+1).$$

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Hence U(i + 2) = U(i + 1) + U(i) for all $i \ge 0$.

We see that this is precisely the Zeckendorf system F = (1, 2, 3, 5, 8, 13, ...).

Non-canonical Bertrand system associated with φ

Since $d_{\varphi}(1) = 110^{\omega}$, the non-canonical Bertrand system associated with φ is given by

$$\forall i \geq 0, \ U(i) = U(i-1) + U(i-2) + 1,$$

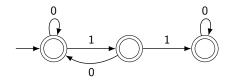
i.e.,

$$U(0) = 1$$
, $U(1) = U(0) + 1 = 2$, and $\forall i \ge 0$, $U(i+2) = U(i+1) + U(i) + 1$.
We have $U = (1, 2, 4, 7, 12, 20, 33, 54, \ldots)$.

The corresponding numeration language \mathcal{N}_U is equal to $Fac(S'_{\varphi})$ where the non-canonical φ -shift is

$$S'_{\varphi} = \{ w \in \{0,1\}^{\omega} : \forall i \geq 1, \ w_i w_{i+1} \cdots \leq_{\text{lex}} 110^{\omega} \}.$$

It is accepted by the DFA



From this DFA, we can check that U is indeed a Bertrand numeration system.

Intermediate β -representations of 1

At first, our guess was that there could be other kinds of Bertrand numeration systems, namely any U defined by

$$\forall i \geq 0, \quad U(i) = a_1 U(i-1) + a_2 U(i-2) + \dots + a_i U(0) + 1$$

with the sequence of coefficients given by

$$(a_i)_{i\geq 1} = (t_1\cdots t_{n-1}(t_n-1))^k t_1\cdots t_n 0^{\omega}$$

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for any $k \in \mathbb{N} \cup \{\infty\}$.

In fact, what we get is that only the cases k = 0 or $k = \infty$ are possible.

Intermediates are not Bertrand

Let $(a_i)_{i\geq 1} = 230^{\omega}$. We have $\frac{2}{3} + \frac{3}{3^2} = 1$. Define U by

$$U(0) = 1,$$

$$U(1) = 2U(0) + 1 = 3,$$

$$U(i) = 2U(i - 1) + 3U(i - 2) + 1, \quad i \ge 2.$$

We get $U = (1, 3, 10, 30, 91, \ldots)$.

This system is not Bertrand since for example, $30 \in \mathcal{N}_U$ but $3,300 \notin \mathcal{N}_U$, showing that \mathcal{N}_U is neither prefix-closed nor prolongable.

In fact, we have

$$U(i+1) = egin{cases} 3U(i), & ext{if i is odd;} \ 3U(i)+1, & ext{if i is even.} \end{cases}$$

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Intermediates are not Bertrand

Let
$$(a_i)_{i\geq 1} = 10110^{\omega}$$
. We have $\frac{1}{\varphi} + \frac{1}{\varphi^3} + \frac{1}{\varphi^4} = 1$.
Define U by

$$U(0) = 1,$$

$$U(1) = U(0) + 1 = 2,$$

$$U(2) = U(1) + 1 = 3,$$

$$U(3) = U(2) + U(0) + 1 = 5,$$

$$U(i) = U(i - 1) + U(i - 3) + U(i - 4) + 1, \quad i \ge 4.$$

We get $U = (1, 2, 3, 5, 9, 15, 24, 39, \ldots).$

This system is not Bertrand since for example, $1100, 11000 \in \mathcal{N}_U$ but $11, 110, 110000 \notin \mathcal{N}_U$, showing that \mathcal{N}_U is neither prefix-closed nor prolongable. In fact, we have

$$U(i+2) = \begin{cases} U(i+1) + U(i), & \text{if } i \equiv 2,3 \pmod{4}; \\ U(i+1) + U(i) + 1, & \text{if } i \equiv 0,1 \pmod{4}. \end{cases}$$

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Proposition (Hollander 1998)

Let U be a positional numeration system such that $\lim_{i\to\infty} \frac{U(i+1)}{U(i)} = \beta > 1$.

• If β is not a simple Parry number, then

$$\lim_{i\to\infty}\operatorname{rep}_U(U(i)-1)=d_\beta(1).$$

If d_β(1) = t₁ ··· t_n with t_n ≠ 0, then for all ℓ ≥ 0, there exists I ≥ 0 such that for all i ≥ I, there exists k ≥ 0 such that

$$\operatorname{Pref}_{\ell}(\operatorname{rep}_{U}(U(i)-1)) = \operatorname{Pref}_{\ell}((t_{1}\cdots t_{n-1}(t_{n}-1))^{k}t_{1}\cdots t_{n}0^{\omega}).$$

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Proposition (Charlier, Cisternino & Stipulanti 2022) Let U be a positional numeration system such that $\lim_{i\to\infty} \frac{U(i+1)}{U(i)} = \beta > 1$. If $\lim_{i\to\infty} \operatorname{rep}_U(U(i) - 1)$ exists, then it is either $d^*_{\beta}(1)$ or $d_{\beta}(1)$.

Theorem (Charlier, Cisternino & Stipulanti 2022)

A positional numeration system U is Bertrand if and only if one of the following conditions is satisfied.

- 1. We have $\operatorname{rep}_U(U(i) 1) = \operatorname{Pref}_i(10^{\omega})$ for all $i \ge 0$.
- 2. There exists $\beta > 1$ such that $\operatorname{rep}_U(U(i) 1) = \operatorname{Pref}_i(d^*_{\beta}(1))$ for all $i \ge 0$.
- 3. There exists $\beta > 1$ such that $\operatorname{rep}_U(U(i) 1) = \operatorname{Pref}_i(d_\beta(1))$ for all $i \ge 0$.

Understanding the non-canonical β -shift

A subshift (i.e., a subset of A^{ω} that is topologically closed and shift-invariant) is said to be sofic if its factors form a language that is accepted by a finite automaton.

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A Parry number is a real number $\beta > 1$ such that $d_{\beta}(1)$ is ultimately periodic (or equivalently, $d_{\beta}^{*}(1)$ is ultimately periodic).

Theorem (Bertrand-Mathis 1986)

For $\beta > 1$, the subshift S_{β} is sofic if and only if β is a Parry number.

We get the analogous result:

Proposition

For $\beta > 1$, the subshift S'_{β} is sofic if and only if β is a Parry number.

The entropy of a subshift S of A^{ω} is

$$\lim_{i\to\infty}\frac{1}{i}\log(\mathrm{Card}(\mathrm{Fac}(\mathcal{S})\cap \mathcal{A}^i)).$$

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Theorem

For all $\beta > 1$, the β -shift S_{β} has entropy $\log(\beta)$.

We have the analogous result:

Proposition

For all $\beta > 1$, the subshift S'_{β} has entropy $\log(\beta)$.

A subshift S is said to be of finite type if there exists a finite set $X \subset A^*$ such that $S = \{w \in A^{\mathbb{N}} : Fac(w) \cap X = \emptyset\}.$

Theorem

For all $\beta > 1$, the β -shift S_{β} is of finite type if and only is β is a simple Parry number.

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However:

Proposition

For any simple Parry number $\beta > 1$, the subshift S'_{β} is not of finite type.

A subshift S is said to be coded if there exists a prefix code $Y \subset A^*$ such that $Fac(S) = Fac(Y^*)$.

Theorem

For all $\beta > 1$, the canonical β -shift S_{β} is coded.

In order to show that S'_β is not coded, we prove the stronger statement that S'_β is not irreducible.

A subshift S is said to be irreducible if for all $u, v \in Fac(S)$, there exists $w \in Fac(S)$ such that $uwv \in Fac(S)$.

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Proposition

For any simple Parry number β , the non-canonical β -shift S'_{β} is not irreducible.

A relation between the number of words of length *i* in the canonical and the non-canonical β -shifts.

Suppose that $\beta > 1$ is a real number such that $d_{\beta}(1) = t_1 \cdots t_n 0^{\omega}$ with $n \ge 1$ and $t_n \ne 0$, and let U and U' respectively be the canonical and non-canonical Bertrand numeration systems associated with β .

Thanks to our characterization of Bertrand systems, we know that for all $i \ge 0$,

- the number of words of length *i* in $Fac(S_{\beta})$ is U(i)
- the number of words of length *i* in $Fac(S'_{\beta})$ is U'(i).

Proposition

For all $i \ge 0$, one has U'(i + n) = U(i + n) + U'(i).

$$U'(i+n) = U(i+n) + U'(i)$$
 for all $i \ge 0$

For $\beta = 3$, we have $d_3(1) = 30^{\omega}$, hence n = 1.

We have seen that

$$U(i) = 3^i \quad \forall i \ge 0$$

and that

$$U'(0) = 1, \quad U'(i+1) = 3U'(i) + 1 \quad \forall i \ge 0.$$

U'(i+n) = U(i+n) + U'(i) for all $i \ge 0$

For $\beta = \varphi$, we have $d_{\varphi}(1) = 110^{\omega}$, hence n = 2.

We have seen that

$$U(0) = 1, U(1) = 2, U(i+2) = U(i+1) + U(i) \quad \forall i \ge 0$$

and that

$$U'(0) = 1, \ U'(1) = 2, \quad U'(i+2) = U(i+1) + U(i) + 1 \quad \forall i \ge 0.$$

i	0	1	2	3	4	5	6	7	8	
U(i)	1	2	3	5	8	13	21	34	55	
U'(i)	1	2	4	7	12	20	33	54	88	

Thank you! Merci !

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