

## NOTE ON DECIPHERABILITY OF THREE-WORD CODES

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The theory of uniquely decipherable (UD) codes has been widely developed in connection with automata theory, combinatorics on words, formal languages, and monoid theory. Recently, the concepts of multiset decipherable (MSD) and set decipherable (SD) codes were developed to handle some special problems in the transmission of information. Unique decipherability is a vital requirement in a wide range of coding applications where distinct sequences of code words carry different information. However, in several applications, it is necessary or desirable to communicate a description of a sequence of events where the information of interest is the set of possible events, including multiplicity, but where the order of occurrences is irrelevant. Suitable codes for these communication purposes need not possess the UD property, but the weaker MSD property. In other applications, the information of interest may be the presence or absence of possible events. The SD property is adequate for such codes. Lempel (1986) showed that the UD and MSD properties coincide for two-word codes and conjectured that every three-word MSD code is a UD code. Guzmán (1995) showed that the UD, MSD, and SD properties coincide for two-word codes and conjectured that these properties coincide for three-word codes. In an earlier paper (2001), Blanchet-Sadri answered both conjectures positively for all three-word codes  $\{c_1, c_2, c_3\}$  satisfying  $|c_1| = |c_2| \leq |c_3|$ . In this note, we answer both conjectures positively for other special three-word codes. Our procedures are based on techniques related to dominoes.

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**1. Introduction.** Let  $A$  be a nonempty finite set or an alphabet;  $A^*$  denotes the set of all sequences of finite length (greater than or equal to 0) of elements of  $A$  (such sequences are called words on  $A$ ). The unique sequence of length 0, denoted by  $\epsilon$ , is called the empty word. A code  $C$  on  $A$  is a nonempty finite subset of  $A^+ = A^* \setminus \{\epsilon\}$ . The words in  $C$  are called code words. A message on  $C$  is a word in  $A^*$  that is a concatenation of code words. The sequence of these code words is a *decoding* or *factorization* of the message. The code  $C$  is called

- *uniquely decipherable*, if every message on  $C$  has a unique factorization into code words;
- *multiset decipherable*, if any two factorizations of the same message on  $C$  yield the same multiset of code words;
- *set decipherable*, if any two factorizations of the same message on  $C$  yield the same set of code words.

Every UD code is MSD, and every MSD code is SD. It has been shown that these relationships are proper. The code  $C = \{0, 011110, 10101, 1111\}$  on  $\{0, 1\}$  is an example of a *proper* MSD code (i.e., an MSD code that is not UD). In fact, the message

$$(011110)(10101)(1111)(0) = (0)(1111)(10101)(011110) \quad (1.1)$$

on  $C$  has two distinct factorizations into code words [3, 5]. The code

$$C = \{0, 010, 11011, 101101\} \tag{1.2}$$

on  $\{0, 1\}$  is an example of a *proper* SD code (i.e., an SD code that is not MSD). The message

$$(0)(101101)(11011)(0)(11011)(010) = (010)(11011)(101101)(101101)(0) \tag{1.3}$$

on  $C$  has two distinct factorizations with distinct multisets of code words [3, 5]. Guzmán presents a complete list of proper MSD and proper SD four-word codes on  $\{0, 1\}$  with code words of length less than or equal to 7 [3]. It is decidable whether or not a code  $C$  is UD [1, 5, 6, 9] (resp., MSD [5]).

For two-word codes, the UD, MSD, and SD properties coincide [3, 7]. For three-word codes, it is an open question whether or not they coincide. Lempel [7] conjectured that every three-word MSD code is a UD code, and Guzmán [3] conjectured that the UD, MSD, and SD properties coincide for three-word codes. We answered both conjectures positively for all three-word codes  $\{c_1, c_2, c_3\}$  satisfying  $|c_1| = |c_2| \leq |c_3|$  [2]. In this note, we give (in Section 1.1) a brief overview of Head’s and Weber’s domino technique [5], and give (in Section 2) an application of this approach by proving that Lempel’s and Guzmán’s conjectures are true for some special three-word codes.

**1.1. A domino technique.** Let  $A$  be an alphabet and  $C$  a code on  $A$ . The set of all prefixes of words in  $C$  will be denoted by  $\text{Prefix}(C)$ . The *domino graph* associated with  $C$  is the directed graph  $G = (V, E)$  where

$$V = \left\{ \text{open, close, } \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} \epsilon \\ u \end{pmatrix} \mid u \in \text{Prefix}(C) \setminus \{\epsilon\} \right\}, \tag{1.4}$$

and  $E = E_1 \cup E_2 \cup E_3 \cup E_4$  where

$$\begin{aligned} E_1 &= \left\{ \left( \text{open, } \begin{pmatrix} u \\ \epsilon \end{pmatrix} \right), \left( \text{open, } \begin{pmatrix} \epsilon \\ u \end{pmatrix} \right) \mid u \in C \right\}, \\ E_2 &= \left\{ \left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \text{close} \right), \left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \text{close} \right) \mid u \in C \right\}, \\ E_3 &= \left\{ \left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} uv \\ \epsilon \end{pmatrix} \right), \left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \begin{pmatrix} \epsilon \\ uv \end{pmatrix} \right) \mid v \in C \right\}, \\ E_4 &= \left\{ \left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} \epsilon \\ v \end{pmatrix} \right), \left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \begin{pmatrix} v \\ \epsilon \end{pmatrix} \right) \mid uv \in C \right\}. \end{aligned} \tag{1.5}$$

The *domino function* associated with  $C$  is the mapping  $d$  from  $E$  to  $\left\{ \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} \epsilon \\ u \end{pmatrix} \mid u \in C \right\}$  defined on

- $E_1$  by  $\left( \text{open, } \begin{pmatrix} u \\ \epsilon \end{pmatrix} \right) \mapsto \begin{pmatrix} \epsilon \\ u \end{pmatrix}$  and  $\left( \text{open, } \begin{pmatrix} \epsilon \\ u \end{pmatrix} \right) \mapsto \begin{pmatrix} u \\ \epsilon \end{pmatrix}$ ,
- $E_2$  by  $\left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \text{close} \right) \mapsto \begin{pmatrix} u \\ \epsilon \end{pmatrix}$  and  $\left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \text{close} \right) \mapsto \begin{pmatrix} \epsilon \\ u \end{pmatrix}$ ,
- $E_3$  by  $\left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} uv \\ \epsilon \end{pmatrix} \right) \mapsto \begin{pmatrix} \epsilon \\ v \end{pmatrix}$  and  $\left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \begin{pmatrix} \epsilon \\ uv \end{pmatrix} \right) \mapsto \begin{pmatrix} v \\ \epsilon \end{pmatrix}$ ,
- $E_4$  by  $\left( \begin{pmatrix} u \\ \epsilon \end{pmatrix}, \begin{pmatrix} \epsilon \\ v \end{pmatrix} \right) \mapsto \begin{pmatrix} uv \\ \epsilon \end{pmatrix}$  and  $\left( \begin{pmatrix} \epsilon \\ u \end{pmatrix}, \begin{pmatrix} v \\ \epsilon \end{pmatrix} \right) \mapsto \begin{pmatrix} \epsilon \\ uv \end{pmatrix}$ .



**1.2. Preliminary lemmas.** We give some preliminary lemmas that are used in Section 2 to prove our main results.

**DEFINITION 1.1** (see Lothaire [8]). A nonempty word  $u$  on an alphabet  $A$  is called *primitive*, if  $u = v^n$  for some nonempty word  $v$  on  $A$  implies that  $n = 1$ .

**LEMMA 1.2** (see Lothaire [8]). *Let  $u$  be a nonempty word on an alphabet  $A$ . There exist a unique primitive word  $v$  and a unique positive integer  $n$  such that  $u = v^n$  ( $v$ , denoted by  $\sqrt[n]{u}$ , is called the root of  $u$  and  $n$ , denoted by  $\text{exp}(u)$ , is called the exponent of  $u$ ). Moreover, all positive powers of  $u$  have the same root.*

**LEMMA 1.3** (see Lothaire [8]). *Let  $C = \{u, v\}$  be a two-word on an alphabet  $A$ . The UD, MSD, and SD properties are equivalent to the following properties:*

- (1)  $uv \neq vu$ .
- (2)  $\sqrt[n]{u} \neq \sqrt[n]{v}$ .

**LEMMA 1.4** (see Blanchet-Sadri [2]). *Let  $u, x$  be nonempty words on an alphabet  $A$  and let  $k$  be a positive integer. If  $\{ux, (ux)^k u\}$  is SD, then  $ux \neq xu$ .*

**LEMMA 1.5.** *Let  $u, v, x, y$  be nonempty words on an alphabet  $A$  satisfying  $u \neq v$ .*

- (1) *The equalities  $v y x = y x u = x u y$  cannot hold simultaneously.*
- (2) *The equalities  $x v y = v y x = y x u$  cannot hold simultaneously.*

**PROOF.** We prove assertion (1) (assertion (2) is proved similarly). Since  $y x u = x u y$ , by Lemmas 1.2 and 1.3 there exist a unique primitive word  $w$  and unique positive integers  $k$  and  $k'$  such that  $y = w^k$  and  $x u = w^{k'}$ . Put  $x = w^\ell z$  and  $u = z' w^{\ell'}$  where  $w$  is not a prefix of  $z$  and  $w$  is not a suffix of  $z'$ . If  $z, z' = \epsilon$ , then  $u = v$ , a contradiction. Otherwise,  $z, z' \neq \epsilon$  and the equality  $v y x = x u y$  implies that  $w = z z' = z' z$ . Lemmas 1.2 and 1.3 imply the existence of a unique primitive word  $w'$  and unique positive integers  $m$  and  $m'$  satisfying  $z = (w')^m$  and  $z' = (w')^{m'}$ . We get  $w = (w')^{m+m'}$ , a contradiction with the fact that  $w$  is primitive. □

**LEMMA 1.6.** *Let  $u, v, x, y$  be nonempty words on an alphabet  $A$  satisfying  $u \neq v$ . If the equalities  $v y x = y x v = y u x$  hold simultaneously, then  $u = (z' z)^k$ ,  $v = (z z')^k$ ,  $x = (z' z)^\ell z'$ , and  $y = (z z')^m z$  for some  $k > 0$ ,  $\ell \geq 0$ ,  $m \geq 0$ , and words  $z, z'$  on  $A$ .*

**PROOF.** Since  $v y x = y x v$ , by Lemmas 1.2 and 1.3 there exist a unique primitive word  $w$  and unique positive integers  $k$  and  $k'$  such that  $v = w^k$  and  $y x = w^{k'}$ . Put  $y = w^\ell z$  and  $x = z' w^{\ell'}$  where  $w$  is not a prefix of  $z$  and  $w$  is not a suffix of  $z'$ . If  $z, z' = \epsilon$ , then  $u = v$ , a contradiction. Otherwise,  $z, z' \neq \epsilon$  and  $w = z z'$ , and the equality  $y x v = y u x$  implies that  $u = (z' z)^k$  and the result follows. □

**LEMMA 1.7** (see Blanchet-Sadri [2]). *Let  $u, v, x$  be nonempty words on an alphabet  $A$  satisfying  $u \neq v$ . The equalities  $u x = x v$  and  $v x = x u$  cannot hold simultaneously.*

**2. Some special three-word codes.** We show that the UD, MSD, and SD properties are equivalent to the special three-word codes described in Theorems 2.1, 2.2, and 2.3.

Let  $C = \{c_1, c_2, c_3\}$  be a three-word SD code on alphabet  $A$  satisfying  $|c_1| < |c_2| < |c_3|$ . Let  $c_2$  and  $c_3$  be written, respectively, as  $c_1^k u$  and  $c_1^{k'} v$  where  $c_1$  is not a prefix

of  $u$ ,  $c_1$  is not a prefix of  $v$ ,  $u$  is not a prefix of  $v$ ,  $k > 0$ , and  $u, v \neq \epsilon$ . For each of our theorems, we need only to show that  $C$  is UD. It is easy to see that  $\{c_1, c_2\}$ ,  $\{c_1, c_3\}$ , and  $\{c_2, c_3\}$  are two-word SD codes, and are therefore MSD and UD codes by Lemma 1.3. When constructing  $G(C)$ , we see that  $E'_1$  consists of the edges (open,  $\binom{\epsilon}{c_i}$ ) and  $E'_2$  consists of the edges ( $\binom{c_i}{\epsilon}$ , close). No  $E_3$ - nor  $E_4$ -edge leaves  $\binom{\epsilon}{c_2}$  and no  $E_3$ - nor  $E_4$ -edge leaves  $\binom{\epsilon}{c_3}$ .

Let  $u_i$  (resp.,  $v_i, w_i$ ) be the prefix of length  $i$  of  $c_1$  (resp.,  $c_2, c_3$ ). We write  $c_1 = u_i x_i$ . When trying to build a path from open to close, a list of vertices gets generated. The vertices are among  $\binom{u_i}{\epsilon}, \binom{v_i}{\epsilon}, \binom{w_i}{\epsilon}, \binom{\epsilon}{u_i}, \binom{\epsilon}{v_i}$ , and  $\binom{\epsilon}{w_i}$  where  $0 < i \leq |c_3|$ . The  $E_3$ - or  $E_4$ -edges leaving  $\binom{u_i}{\epsilon}, \binom{v_i}{\epsilon}, \binom{w_i}{\epsilon}, \binom{\epsilon}{u_i}, \binom{\epsilon}{v_i}$ , and  $\binom{\epsilon}{w_i}$  are easily described.

We need to check that none of the generated vertices is of the form  $\binom{c_1}{\epsilon}, \binom{c_2}{\epsilon}$ , or  $\binom{c_3}{\epsilon}$  (otherwise there would be a path from open to close). It is obvious that  $\binom{c_1}{\epsilon}$  is not the end vertex of any  $E_3$ -edge and  $\binom{c_3}{\epsilon}$  is not the end vertex of any  $E_4$ -edge. If  $\binom{c_1}{\epsilon}$  is the end vertex of an  $E_4$ -edge of the form  $\left(\binom{\epsilon}{u_i}, \binom{c_1}{\epsilon}\right)$  (resp.,  $\left(\binom{\epsilon}{v_i}, \binom{c_1}{\epsilon}\right), \left(\binom{\epsilon}{w_i}, \binom{c_1}{\epsilon}\right)$ ), then  $c_2 = u_i c_1$  or  $c_3 = u_i c_1$  (resp.,  $c_2 = v_i c_1$  or  $c_3 = v_i c_1, c_2 = w_i c_1$  or  $c_3 = w_i c_1$ ). Similarly, if  $\binom{c_2}{\epsilon}$  is the end vertex of an  $E_4$ -edge of the form  $\left(\binom{\epsilon}{u_i}, \binom{c_2}{\epsilon}\right)$ , respectively,  $\left(\binom{\epsilon}{v_i}, \binom{c_2}{\epsilon}\right), \left(\binom{\epsilon}{w_i}, \binom{c_2}{\epsilon}\right)$ , then  $c_3 = u_i c_2$  (resp.,  $c_3 = v_i c_2, c_3 = w_i c_2$ ). If  $\binom{c_2}{\epsilon}$  is the end vertex of an  $E_3$ -edge of the form  $\left(\binom{u_i}{\epsilon}, \binom{c_2}{\epsilon}\right)$ , respectively,  $\left(\binom{v_i}{\epsilon}, \binom{c_2}{\epsilon}\right), \left(\binom{w_i}{\epsilon}, \binom{c_2}{\epsilon}\right)$ , then  $c_2 = u_i c_1$  (resp.,  $c_2 = v_i c_1, c_2 = w_i c_1$ ). If  $\binom{c_3}{\epsilon}$  is the end vertex of an  $E_3$ -edge of the form  $\left(\binom{u_i}{\epsilon}, \binom{c_3}{\epsilon}\right)$  (resp.,  $\left(\binom{v_i}{\epsilon}, \binom{c_3}{\epsilon}\right), \left(\binom{w_i}{\epsilon}, \binom{c_3}{\epsilon}\right), \left(\binom{u_i}{\epsilon}, \binom{u_i c_2}{\epsilon}\right), \left(\binom{v_i}{\epsilon}, \binom{v_i c_2}{\epsilon}\right), \left(\binom{w_i}{\epsilon}, \binom{w_i c_2}{\epsilon}\right)$ ), then  $c_3 = u_i c_1$  (resp.,  $c_3 = v_i c_1, c_3 = w_i c_1, c_3 = u_i c_2, c_3 = v_i c_2, c_3 = w_i c_2$ ). We need to consider the cases  $c_2 = v_i c_1, c_3 = w_i c_1$ , and  $c_3 = w_i c_2$ .

For the rest of the discussion, we can assume that  $u$  or  $v$  is a prefix of  $c_1$  (otherwise, it is not difficult to see that there is no path in  $G(C)$  from *open* to *close*). Since  $u$  is not a prefix of  $v$  and  $|u| < |v|$ ,  $u$  and  $v$  cannot be both prefixes of  $c_1$ . In either case,  $|u| < |c_1|$ . To simplify the notation, put  $x_{|u|} = x$ , and whenever  $|v| < |c_1|$ , put  $x_{|v|} = y$ .

First, assume that  $v$  is a prefix of  $c_1$ . Here,  $y \neq \epsilon$  and  $vy \neq yv$  by Lemma 1.4. To simplify the notation, put  $u_{|u|} = w$ . in the case where  $c_3 = w_i c_1$ , since  $i = |c_1^{k-1} v|$ , we have  $w_i = c_1^{k-1} v$  and  $c_3 = c_1^{k-1} v c_1 = c_1^k v$  yielding  $vy = yv$ , a contradiction. In the case where  $c_3 = w_i c_2$ , we have  $i = |v| - |u|$ ,  $w_i = u_i, c_3 = u_i c_1^k u = c_1^k v$ , and  $c_1 = u_i x_i = v y$ . Put  $v = u_i t$  where  $t \neq \epsilon$ . The equality  $u_i c_1^k u = c_1^k u_i t$  implies that  $t = u$  and  $u_i x_i = x_i u_i$ . But then,  $c_1 = u_i x_i = u_i u y = u y u_i$ . We then conclude that  $u$  is a prefix of  $c_1$ , which is a contradiction. In the case where  $c_2 = v_i c_1$ , we have  $i = |c_1^{k-1} u|$ . If  $y \notin \text{Prefix}(C) \setminus \{\epsilon\}$ , we get Figure 2.1.

Otherwise, put  $vy = yv'$  where  $v' \neq v$  ( $v' \notin \text{Prefix}(C) \setminus \{\epsilon\}$ ). If  $u$  is not a prefix of  $v'$ , then add the edge  $\left(\binom{v}{\epsilon}, \binom{\epsilon}{y}\right)$  to Figure 2.1. Otherwise, put  $v' = us$  where  $s \neq \epsilon$ . We have  $v_i = c_1^{k-1} w, c_2 = c_1^{k-1} w c_1 = c_1^k u$ , and therefore  $c_1 = wx = xu = vy$ . We have  $v = wt$  where  $t \neq \epsilon$ , and therefore  $wty = tyu = yus$  with  $u \neq w$ . By Lemma 1.5(1), we get  $s \neq t$ . Since  $|s| = |t|$ , we conclude that  $s \notin \text{Prefix}(C) \setminus \{\epsilon\}$ . Add the edges  $\left(\binom{v}{\epsilon}, \binom{\epsilon}{y}\right)$  and  $\left(\binom{c_1^{k-1} v}{\epsilon}, \binom{\epsilon}{yu}\right)$  to Figure 2.1.

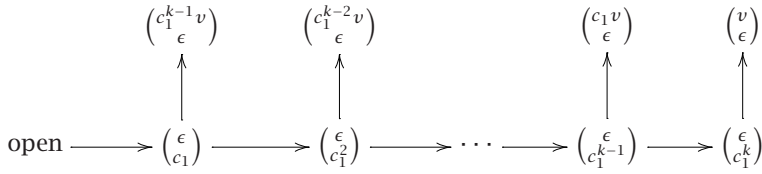


FIGURE 2.1

In the rest of the note, we assume that  $u$  is a prefix of  $c_1$ . Here,  $x \neq \epsilon$  and  $ux \neq xu$  by Lemma 1.4. In the case where  $c_2 = v_i c_1$ , we have  $v_i = c_1^{k-1} u$  and  $c_2 = c_1^{k-1} u c_1 = c_1^k u$ . We conclude that  $ux = xu$ , a contradiction. In the cases where  $c_3 = w_i c_1$  or  $c_3 = w_i c_2$ , if  $x \notin \text{Prefix}(C) \setminus \{\epsilon\}$ , we get Figure 2.2.

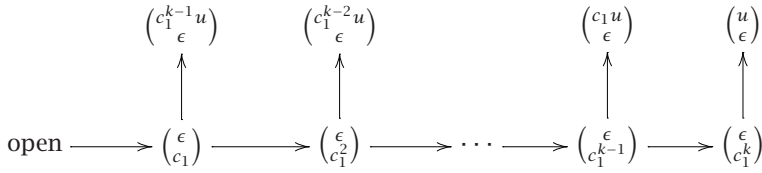


FIGURE 2.2

Otherwise, put  $ux = xu'$  where  $u' \neq u$  ( $u' \notin \text{Prefix}(C) \setminus \{\epsilon\}$ ). If  $u'$  is not a prefix of  $v$ , then add the edge  $\left(\begin{smallmatrix} u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ x \end{smallmatrix}\right)$  to Figure 2.2. Otherwise, put  $v = u' c_1^q z$  where  $c_1$  is not a prefix of  $z$  and  $q \geq 0$ . Note that if  $z = \epsilon$ , then  $c_3 = c_1^k u' c_1^q = c_1^{k-1} u c_1^{q+1}$  and so  $c_2 c_1^{q+1} = c_1 c_3$ , a contradiction with the fact that  $C$  is SD. Note also that if  $q \geq k$  and  $z = u'$ , then  $c_1 c_3 = c_2 c_1^{q-k} c_2 c_1$ , a contradiction with the fact that  $C$  is SD. It is not difficult to see that  $c_1^i z \notin \text{Prefix}(C) \setminus \{\epsilon\}$  ( $0 \leq i < k$ ) unless  $z$  is a prefix of  $c_1$ , and  $c_1^k z \in \text{Prefix}(C) \setminus \{\epsilon\}$  only if  $z$  is a prefix of  $u$  or  $v$ . Whenever  $z$  is a prefix of  $c_1$ , put  $x_{|z|} = x_1$  and whenever  $z$  is a prefix of  $u$ , put  $c_2 = c_1^k z c_1^{p'} y'$  where  $p' \geq 0$  and  $c_1$  is not a prefix of  $y'$ . In the case where  $z$  is a prefix of  $v$ , put  $c_3 = c_1^k z c_1^{q'} z'$  where  $q' \geq 0$  and  $c_1$  is not a prefix of  $z'$ .

The following points enable us to assume that  $|z| < |u|$  and  $z$  is a prefix of  $u$  whenever  $z$  is a prefix of  $c_1$  and  $c_3 = w_i c_1$ :

- if  $|z| = |u|$ , then  $z = u = u'$ , a contradiction;
- if  $|z| > |u|$ , then put  $z = ut = t'u'$  fore some  $t, t' \neq \epsilon$ . Here,  $c_1 = utx_1 = tx_1u' = t'u'x_1$  implies that  $t = t'$ . We also have  $x = tx_1 = x_1t$  and  $c_1 = ux_1t = x_1tu' = tu'x_1$ . These equalities cannot hold simultaneously by Lemma 1.5(1).

If  $c_3 = w_i c_2$  and  $|z| = |u|$ , we have  $z = u$  and  $z$  is not a prefix of  $v$ . In this case, if  $q < k - 1$ ,  $u = u'$ , a contradiction, and if  $q \geq k - 1$ ,  $C$  is not SD ( $c_1 c_3 = c_2 c_1^{q-k+1} c_2$ ). The above and the following points enable us to assume that  $|z| < |u|$ ,  $z$  is a prefix of  $u$ , and  $q > k - 1$  whenever  $z$  is a prefix of  $c_1$  and  $c_3 = w_i c_2$ :

- if  $|z| > |u|$ , then put  $z = ut = t'u$  for some  $t, t' \neq \epsilon$ . Here,  $c_1 = utx_1 = tx_1u' = x_1u't'$  and  $t = t'$ . These equalities cannot hold simultaneously by Lemma 1.5(1);

- if  $|z| < |u|$ , then put  $u = zt = t'z$  for some  $t, t' \neq \epsilon$ , and put  $u' = z''t'$ . In this case, if  $q < k$ , then  $c_1^k u' c_1^q z = c_1^q z c_1^k u$  and  $c_1 = ztx = txz'' = xz''t'$  with  $t = t'$ . These equalities cannot hold simultaneously by Lemma 1.5(1).

Trying to build a path from *open* to *close*, add  $\left(\binom{u}{\epsilon}, \binom{\epsilon}{x}\right)$  and Figure 2.3 to Figure 2.2.

$$\left(\binom{c_1^{k-1}u}{\epsilon}\right) \longrightarrow \left(\binom{c_1^k u'}{\epsilon}\right) \longrightarrow \left(\binom{c_1^k u' c_1}{\epsilon}\right) \longrightarrow \dots \longrightarrow \left(\binom{c_1^k u' c_1^{q-1}}{\epsilon}\right) \longrightarrow \left(\binom{c_1^k u' c_1^q}{\epsilon}\right)$$

FIGURE 2.3

The edge  $\left(\binom{c_1^{k-1}u}{\epsilon}, \binom{c_1^{k-1}uc_2}{\epsilon}\right)$  is added in case  $q > k - 1$ , or  $q = k - 1$ ,  $u$  is a proper prefix of  $z$ , and  $z$  is not a prefix of  $v$ . The edge  $\left(\binom{c_1^k u' c_1^i}{\epsilon}, \binom{c_1^k u' c_1^i c_2}{\epsilon}\right)$  is added in case  $0 \leq i < q - k$ . The edge  $\left(\binom{c_1^k u' c_1^{q-k}}{\epsilon}, \binom{c_1^k u' c_1^{q-k} c_2}{\epsilon}\right)$  is added in case  $q > k - 1$ ,  $u$  is a proper prefix of  $z$ , and  $z$  is not a prefix of  $v$ . The edge  $\left(\binom{c_1^{k-1}u}{\epsilon}, \binom{\epsilon}{c_1^{q+1}z}\right)$  is added in case  $q < k - 1$  and  $z$  is a prefix of  $u$ , or  $q = k - 1$  and  $z$  is a prefix of  $u$  or  $v$ . The edge  $\left(\binom{c_1^k u' c_1^{q-k}}{\epsilon}, \binom{\epsilon}{c_1^k z}\right)$  is added in case  $q > k - 1$  and  $z$  is a prefix of  $u$  or  $v$ . If  $i \geq 0$  and  $q - k < i \leq q$ , the edge  $\left(\binom{c_1^k u' c_1^i}{\epsilon}, \binom{\epsilon}{c_1^{q-i}z}\right)$  is added in case  $z$  is a prefix of  $u$ . Note that no  $E_3$ - nor  $E_4$ -edge leaves  $\binom{\epsilon}{x}$ , and no  $E_3$ - nor  $E_4$ -edge leaves the vertices in Figure 2.3 other than the edges discussed above.

In the rest of the discussion, whenever  $u$  is a proper prefix of  $z$ , we put  $z = ur$  where  $r \neq \epsilon$  and  $x$  is not a prefix of  $r$ , and whenever  $u'$  is a prefix of  $z$ , we put  $z = u'r'$ . It is not difficult to see that  $r \notin \text{Prefix}(C) \setminus \{\epsilon\}$  (otherwise,  $ur = z$  is a prefix of  $ux = c_1$  and therefore  $z$  is a prefix of  $u$ , a contradiction). Note the following points:

- No  $E_3$ -edge leaves  $\binom{c_1^{k-1}uc_2}{\epsilon}$  unless  $q = k$  and  $u'$  is a prefix of  $z$ . No  $E_4$ -edge leaves  $\binom{c_1^{k-1}uc_2}{\epsilon}$  other than  $\left(\binom{c_1^{k-1}uc_2}{\epsilon}, \binom{\epsilon}{xz}\right)$  in case  $q = k$  and  $xz \in \text{Prefix}(C) \setminus \{\epsilon\}$ .
- No  $E_3$ - nor  $E_4$ -edges leave  $\binom{c_1^k u' c_1^i c_2}{\epsilon}$  ( $0 \leq i < q - k - 1$ ).
- For  $q > k$  and  $i = q - k - 1$ , no  $E_3$ -edge leaves  $\binom{c_1^k u' c_1^i c_2}{\epsilon}$  unless  $u'$  is a prefix of  $z$ , and no  $E_4$ -edge leaves  $\binom{c_1^k u' c_1^i c_2}{\epsilon}$  other than  $\left(\binom{c_1^k u' c_1^i c_2}{\epsilon}, \binom{\epsilon}{xz}\right)$  in case  $xz \in \text{Prefix}(C) \setminus \{\epsilon\}$ .
- No  $E_3$ - nor  $E_4$ -edges leave  $\binom{c_1^k u' c_1^{q-k} c_2}{\epsilon}$ .

We now state and prove our main results.

**THEOREM 2.1.** *Let  $C, u, v$ , and  $z$  be defined as described above. If  $z$  is a prefix of both  $u$  and  $v$ , then  $C$  is UD.*

**PROOF.** Here  $|z| < |u|$ . Put  $u = zt$  and  $u' = zt'$  where  $t, t' \neq \epsilon$  and  $t \neq t'$ . First, assume that  $c_3 = w_i c_1$ . Here  $u' = t'z$  and  $c_1 = ztx = xzt' = xt'z = zxt' = txz$ . By Lemma 1.5(2), the equalities  $ztx = txz = xzt'$  cannot hold simultaneously. Now, assume that  $c_3 = w_i c_2$ . Here  $u = t'z$  and  $c_1 = ztx = xzt' = t'zx = zxt'$ . Since  $t'zx = zxt' = ztx$ , by Lemma 1.6,  $t = (s's)^\ell$ ,  $t' = (s's')^\ell$ ,  $x = (s's)^m s'$ ,  $z = (s's')^n s$  for some  $\ell > 0, m \geq 0, n \geq 0$ , and words  $s, s'$  on  $A$ . The equality  $ztx = xzt'$  implies that  $ss' = s's$ , and therefore  $t = t'$ , a contradiction.  $\square$

**THEOREM 2.2.** *Let  $C$ ,  $u$ ,  $v$ , and  $z$  be defined as described above. If  $z$  is a prefix of  $u$  but not a prefix of  $v$ , then  $C$  is UD.*

**PROOF.** Here,  $|z| < |u|$ . Put  $u = zt$  and  $u' = z''t'$ , where  $z \neq z''$  and  $t, t' \neq \epsilon$ . We have  $xz \notin \text{Prefix}(C) \setminus \{\epsilon\}$  since  $c_1 = xz''t$  and  $z \neq z''$ .

First, assume that  $c_3 = w_i c_1$ . Here  $u' = t'z$  and  $c_1 = ztx = zxt' = txz = xz''t' = xt'z$ . If  $t = t'$ , then  $zxt = xtz = xz''t$ . By Lemma 1.6,  $z'' = (s's)^\ell$ ,  $z = (ss')^\ell$ ,  $t = (s's)^m s'$ ,  $x = (s's)^n s$  for some  $\ell > 0$ ,  $m \geq 0$ ,  $n \geq 0$ , and words  $s, s'$  on  $A$ . The equality  $txz = xtz$  implies that  $ss' = s's$ , and therefore  $z = z''$ , a contradiction. Otherwise, since  $|t| < |u|$  and  $c_1 = txz$ , we get  $u = tz'''$  for some  $z'''$ . We have  $zx = xz''$  and  $z'''x = xz$ . Certainly  $z''' \neq z$ , and by Lemma 1.7,  $z''' \neq z''$ . By Lemma 1.6, since  $ztx = txz = tz'''x$ , put  $z''' = (s's)^\ell$ ,  $z = (ss')^\ell$ ,  $x = (s's)^m s'$ , and  $t = (ss')^n s$  for some  $\ell > 0$ ,  $m \geq 0$ ,  $n \geq 0$ , and words  $s, s'$  on  $A$ . Whenever  $m > 0$ , the equality  $ztx = xz''t'$  implies that  $ss' = s's$  and  $z = z'''$ , a contradiction. Otherwise,  $x$  is a prefix of  $z'''$  and we put  $z''' = xy$  and  $z = yx$ , where  $y = (ss')^{\ell-1} s$ . Here  $y$  cannot be a prefix of  $z''$  or the equality  $xz''t' = zxt'$  implies that  $z = z'''$ . Trying to build a path from *open* to *close*, the edge  $\left(\begin{smallmatrix} u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ x \end{smallmatrix}\right)$  together with Figure 2.3 are added to Figure 2.2. We now discuss the other edges added.

First, assume that  $q \leq k$ . Whenever  $q < k$ , add  $\left(\begin{smallmatrix} c_1^{k-1}u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{q+1}z \end{smallmatrix}\right)$  to the graph and whenever  $q = k$ , add  $\left(\begin{smallmatrix} c_1^{k-1}u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{k-1}uc_2 \\ \epsilon \end{smallmatrix}\right)$ . In either case, we then also add  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{q-i}z \end{smallmatrix}\right)$  ( $0 \leq i \leq q$ ),  $\left(\begin{smallmatrix} \epsilon \\ c_1^i z \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{i+1}z \end{smallmatrix}\right)$  ( $0 \leq i < k$ ),  $\left(\begin{smallmatrix} \epsilon \\ z \end{smallmatrix}, \begin{smallmatrix} tx \\ \epsilon \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ z \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} \epsilon \\ c_1^i z \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{i-t} \end{smallmatrix}\right)$  ( $0 \leq i \leq k$ ),  $\left(\begin{smallmatrix} c_1^i tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{i+1} tx \\ \epsilon \end{smallmatrix}\right)$  ( $0 \leq i < k$ ), and  $\left(\begin{smallmatrix} c_1^i tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{k-i}y \end{smallmatrix}\right)$  ( $0 \leq i \leq k$ ).

Second, assume that  $q > k$ . Add  $\left(\begin{smallmatrix} c_1^{k-1}u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{k-1}uc_2 \\ \epsilon \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^k u' c_1^i c_2 \\ \epsilon \end{smallmatrix}\right)$  ( $0 \leq i < q - k$ ), and  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{q-i}z \end{smallmatrix}\right)$  ( $q - k \leq i \leq q$ ). Also add  $\left(\begin{smallmatrix} \epsilon \\ c_1^i z \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{i+1}z \end{smallmatrix}\right)$  ( $0 \leq i < k$ ),  $\left(\begin{smallmatrix} \epsilon \\ z \end{smallmatrix}, \begin{smallmatrix} tx \\ \epsilon \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ z \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} \epsilon \\ c_1^i z \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{k-i}t \end{smallmatrix}\right)$  ( $0 \leq i \leq k$ ),  $\left(\begin{smallmatrix} c_1^i tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{i+1} tx \\ \epsilon \end{smallmatrix}\right)$  ( $0 \leq i < k$ ), and  $\left(\begin{smallmatrix} c_1^i tx \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{k-i}y \end{smallmatrix}\right)$  ( $0 \leq i \leq k$ ).

Now, assume that  $c_3 = w_i c_2$ . Here  $u = t'z$  and  $c_1 = ztx = t'zx = zxt' = xz''t' = t'x'z''$ . If  $t = t'$ , then  $ztx = txz'' = xz''t$  and these equalities cannot hold simultaneously by Lemma 1.5(1). Otherwise,  $t \neq t'$  and  $t \notin \text{Prefix}(C) \setminus \{\epsilon\}$ . Trying to build a path from *open* to *close*, the edge  $\left(\begin{smallmatrix} u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ x \end{smallmatrix}\right)$  together with Figure 2.3 are added to Figure 2.2. We now discuss the other edges added.

First, assume that  $q = k$ . Add  $\left(\begin{smallmatrix} c_1^{k-1}u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{k-1}uc_2 \\ \epsilon \end{smallmatrix}\right)$  and  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{q-i}z \end{smallmatrix}\right)$  ( $0 \leq i \leq q$ ).

Second, assume that  $q > k$ . Add  $\left(\begin{smallmatrix} c_1^{k-1}u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^{k-1}uc_2 \\ \epsilon \end{smallmatrix}\right)$ ,  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} c_1^k u' c_1^i c_2 \\ \epsilon \end{smallmatrix}\right)$  ( $0 \leq i < q - k$ ), and  $\left(\begin{smallmatrix} c_1^k u' c_1^i \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ c_1^{q-i}z \end{smallmatrix}\right)$  ( $q - k \leq i \leq q$ ).  $\square$

**THEOREM 2.3.** *Let  $C$ ,  $u$ ,  $v$ , and  $z$  be defined as described above. If  $z$  is a prefix of  $v$  but not a prefix of  $u$ , then  $C$  is UD.*

**PROOF.** Here  $c_3 = c_1^k u' c_1^q z = c_1^k z c_1^q z'$  and  $|c_1^q z'| = |c_1^q u|$ . The latter and the fact that  $|u| < |c_1|$  imply that  $q \geq q'$ . Note that  $u$  is not a prefix of  $z$ ,  $u'$  is a suffix of  $z'$  in case  $c_3 = w_i c_1$ , and  $u$  is a suffix of  $z'$  in case  $c_3 = w_i c_2$ . Trying to build a path from *open* to *close*, the edge  $\left(\begin{smallmatrix} u \\ \epsilon \end{smallmatrix}, \begin{smallmatrix} \epsilon \\ x \end{smallmatrix}\right)$  together with Figure 2.3 are added to Figure 2.2. We now discuss the other edges added (if any).



First, assume that  $q < k - 1$ . In this case, no more edges are added.

Second, assume that  $q = k - 1$ . We have  $|c_1^{q'} z'| = |c_1^{k-1} u|$  and add  $\left(\left(\begin{smallmatrix} \epsilon \\ c_1^{k-1} u \end{smallmatrix}\right), \left(\begin{smallmatrix} \epsilon \\ c_1^k z \end{smallmatrix}\right)\right)$  along with

$$\left(\begin{smallmatrix} \epsilon \\ c_1^k z \end{smallmatrix}\right) \longrightarrow \left(\begin{smallmatrix} \epsilon \\ c_1^k z c_1 \end{smallmatrix}\right) \longrightarrow \cdots \longrightarrow \left(\begin{smallmatrix} \epsilon \\ c_1^k z c_1^{q'-1} \end{smallmatrix}\right) \longrightarrow \left(\begin{smallmatrix} \epsilon \\ c_1^k z c_1^q \end{smallmatrix}\right)$$

FIGURE 2.4

In case  $c_3 = w_i c_2$ , we have  $c_1^{q'} z' = c_1^{k-1} u$  ( $q' = k - 1$  and  $z' = u$ ) and also add  $\left(\left(\begin{smallmatrix} \epsilon \\ c_1^{k-i} z c_1^{q'-i} \end{smallmatrix}\right), \left(\begin{smallmatrix} c_1^i u \\ \epsilon \end{smallmatrix}\right)\right)$  ( $0 \leq i < k$ ).

Third, assume that  $q = k$  and  $c_3 = w_i c_2$ . We have  $c_1^{q'} z' = c_1^k u$  ( $q' = k$  and  $z' = u$ ) and  $|z| \neq |u|$  here. If  $|z| < |u|$ , then  $u' = zt$  and  $u = tz$  for some  $t \neq \epsilon$ . The latter together with the equality  $c_1^k u' c_1^k z = c_1^k z c_1^k u$  yield that  $c_1 = t z x = x z t = z x t$  and therefore  $z$  is a prefix of  $u$ , a contradiction. If  $|z| > |u|$ , put  $z = u' c_1^p t' = t u$  where  $t' \neq \epsilon$  and  $c_1$  is not a prefix of  $t$  nor  $t'$ . To simplify the notation, whenever  $|t'| < |c_1|$ , put  $x_{|t'|} = x'$ . From the equality  $c_1^k u' c_1^k z = c_1^k z c_1^k u$ , it follows that  $c_1^k u' c_1^p t' = c_1^p t' c_1^k u$ .

- If  $p > k$ , we contradict the fact that  $c_1$  is not a prefix of  $z$ .
- If  $p < k$ , then  $|t'| < |c_1|$  or we contradict the fact that  $c_1$  is not a prefix of  $t'$  ( $t'$  is a prefix of  $c_1$  here). If  $|t'| < |u|$ , put  $u = t' r_1 = r_1' t'$  and  $u' = t'' r_1'$ . We then have  $c_1 = t' r_1 x = r_1' t' x = x t'' r_1' = r_1 x t''$  and  $r_1 = r_1'$ . Then  $t' \neq t''$  and we have  $t' r_1 x = r_1 x t'' = x t'' r_1$ , which cannot hold simultaneously by Lemma 1.5(1). If  $|t'| = |u|$ , then  $t' = u$  and, when  $k - p = 1$ ,  $C$  is not SD ( $c_1 c_3 = c_2^3$ ). When  $k - p > 1$ , we get  $u = u'$ , a contradiction. So we have  $|t'| > |u|$  and put  $t' = u r_1 = r_1' u$ . Then  $c_1 = u r_1 x' = r_1' u x' = r_1 x' u' = x' u' r_1'$  and  $r_1 = r_1'$ . Consequently,  $u r_1 x' = r_1 x' u' = x' u' r_1$ , which cannot hold simultaneously by Lemma 1.5(1).

- If  $p = k$  then from the equality  $c_1^k u' c_1^p t' = c_1^p t' c_1^k u$  it follows that  $u' c_1^k t' = t' c_1^k u$ . Here, clearly  $|t'| \neq |u|$ . If  $|t'| < |u|$ , put  $u' = t' r_1$  and  $u = r_1 t' = t'' r_1'$  where  $|t'| = |t''|$ . This then yields that  $c_1 = r_1 t' x = t'' r_1' x = x t' r_1 = t' x r_1$  and  $t' = t''$ . So we have  $r_1 \neq r_1'$  and  $r_1 t' x = t' x r_1 = t' r_1' x$ . Using Lemma 1.6 and the fact that  $t' x r_1 = x t' r_1$ , we conclude that  $u = u'$ , a contradiction. Thus  $|t'| > |u|$  and put  $t' = u' c_1^{p_1} t'_1 = t_1 u$  for some  $t_1$  and  $t'_1$  where  $t'_1 \neq \epsilon$  and  $c_1$  is not a prefix of  $t_1$  nor  $t'_1$ . From the equality  $u' c_1^k t' = t' c_1^k u$ , it follows that  $c_1^k u' c_1^{p_1} t'_1 = c_1^{p_1} t'_1 c_1^k u$  and we continue as above, comparing  $p_1$  to  $k$ . Since  $c_3$  is finite, we must reach  $t'_i = u' c_1^{p_{i+1}} t'_{i+1} = t_{i+1} u$  where  $t'_{i+1} \neq \epsilon$  and  $c_1$  is not a prefix of  $t_{i+1}$  nor  $t'_{i+1}$ , and consequently we get the equality  $c_1^k u' c_1^{p_{i+1}} t'_{i+1} = c_1^{p_{i+1}} t'_{i+1} c_1^k u$ . Then we have  $p_{i+1} > k$ ,  $p_{i+1} < k$ , or  $p_{i+1} = k$ , and  $|t'_{i+1}| \leq |u|$ . In all cases we reach the same types of contradictions as previously stated.

Fourth, assume that  $q > k$  and  $c_3 = w_i c_2$ . Since  $|c_1^q u| = |c_1^{q'} z'|$ , it follows that  $c_2$  is a suffix of  $c_1^{q'} z'$  and we put  $c_3 = c_1^k u' c_1^q z = c_1^k z c_1^{q'} z' = c_1^k z s c_1^k u$  where  $|s| = |c_1^{q-k}|$ . Clearly,  $|z| \neq |u|$  here. If  $|z| < |u|$ , put  $u' = zt$  and  $u = tz$  for some  $t \neq \epsilon$ . The latter together with the equality  $c_1^k u' c_1^q z = c_1^k z s c_1^k u$  yield that  $c_1 = t z x = x z t = z x t$ , which contradicts the fact that  $z$  is not a prefix of  $u$ . If  $|z| > |u|$ ,

put  $z = u'c_1^p t' = tu$  where  $t' \neq \epsilon$  and  $c_1$  is not a prefix of  $t$  nor  $t'$ . To simplify the notation, whenever  $|t'| < |c_1|$ , put  $x_{|t'|} = x'$ . From the equality  $c_1^k u' c_1^q z = c_1^k z s c_1^k u$ , it follows that  $c_1^q u' c_1^p t' = c_1^p t' s c_1^k u$ . Add  $\left(\left(c_1^{k-1} u\right), \left(c_1^{k-1} u c_2\right)\right), \left(\left(c_1^k u' c_1^{q-k}\right), \left(\frac{\epsilon}{c_1^k z}\right)\right)$ , Figure 2.4, and  $\left(\left(c_1^k u' c_1^i\right), \left(c_1^k u' c_1^i c_2\right)\right)$  ( $0 \leq i < q - k$ ) along with  $\left(\left(c_1^k u' c_1^{q-k-1} c_2\right), \left(c_1^k u' c_1^q u'\right)\right)$  and Figure 2.5:

$$\left(c_1^k u' c_1^q u'\right) \longrightarrow \left(c_1^k u' c_1^q u' c_1\right) \longrightarrow \dots \longrightarrow \left(c_1^k u' c_1^q u' c_1^{p-1}\right) \longrightarrow \left(c_1^k u' c_1^q u' c_1^p\right)$$

FIGURE 2.5

- If  $p > q$ , then we contradict the fact that  $c_1$  is not a prefix of  $z$ .
- If  $p < q$ , then  $|t'| < |c_1|$  or we contradict the fact that  $c_1$  is not a prefix of  $t'$  ( $t'$  is a prefix of  $c_1$  here). If  $|t'| > |u|$ , put  $t' = ur_1 = r'_1 u$ . Then  $c_1 = ur_1 x' = r'_1 u x' = r_1 x' u' = x' u' r'_1$  and  $r_1 = r'_1$ . So  $ur_1 x' = r_1 x' u' = x' u' r_1$ , which cannot hold simultaneously by Lemma 1.5(1). If  $|t'| = |u|$ , then  $t' = u$  and it follows from the equality  $c_1^q u' c_1^p u = c_1^p u s c_1^q u$  that  $c_1^{q-p} u' c_1^p = u s c_1^k$ . Here if  $k - p > 1$ , we get  $u = u'$ , a contradiction. If  $k - p \leq 1$  then  $C$  is not SD ( $c_1 c_3 = c_2 c_1^{q-k} c_2 c_1^{p-k+1} c_2$ ). If  $|t'| < |u|$ , put  $u = t' r_1 = r'_1 t'$  and  $u' = t'' r'_1$ . We then have  $c_1 = t' r_1 x = r'_1 t' x = x t'' r'_1 = t' x r'_1 = r'_1 x t''$ . In case  $k > p$ , from the equality  $c_1^q u' c_1^p t' = c_1^p t' s c_1^k u$ , it follows that  $c_1^{q-p} t'' = t' s c_1^{k-p}$ . Consequently, we also have  $c_1 = r_1 x t''$  and  $r_1 = r'_1$ . Then  $t' \neq t''$  and  $t' r_1 x = r_1 x t'' = x t'' r_1$ , which cannot hold simultaneously by Lemma 1.5(1). So we have  $p \geq k$ ,  $r_1 \neq r'_1$ , and  $xz = c_1^{p+1} t' \notin \text{Prefix}(C) \setminus \{\epsilon\}$ . Note that  $q' = 0$  here or we have  $r_1 = r'_1$ . Also,  $x t' \notin \text{Prefix}(C) \setminus \{\epsilon\}$  or we get  $t' = t''$ , which leads to a contradiction by Lemma 1.6. Add

$$\left(\left(\left(c_1^k u' c_1^q u' c_1^{p-i}\right), \left(\frac{\epsilon}{c_1^i t'}\right)\right)\right) \quad (0 \leq i \leq k) \text{ along with} \tag{2.1}$$

$$\left(\left(\left(c_1^k u' c_1^q u' c_1^i\right), \left(c_1^k u' c_1^q u' c_1^i c_2\right)\right)\right) \quad (0 \leq i < p - k)$$

and  $\left(\left(c_1^k u' c_1^{q-k-1} c_2\right), \left(c_1^k u' c_1^q u' c_1^{k-1} u\right)\right)$ .

- If  $p = q$ , from the equality  $c_1^q u' c_1^p t' = c_1^p t' s c_1^k u$ , it follows that  $u' c_1^q t' = t' s c_1^k u$ . Clearly,  $|t'| \neq |u|$ , and if  $|t'| < |u|$ , then put  $u' = t' r_1$  and  $u = r_1 t' = t'' r'_1$  where  $|t'| = |t''|$ . We then have  $r_1 t' x = t'' r'_1 x = x t' r_1 = t' x r_1$  and  $t' = t''$ . Consequently,  $r_1 \neq r'_1$  and we get  $r_1 t' x = t' x r_1 = t' r'_1 x$ . Using Lemma 1.6 and the fact that  $x t' r_1 = t' x r_1$ , we reach a contradiction with the fact that  $u \neq u'$ . So we have  $|t'| > |u|$  and put  $t' = u' c_1^{p_1} t'_1 = t_1 u$ , where  $t'_1 \neq \epsilon$  and  $c_1$  is not a prefix of  $t_1$  nor  $t'_1$ . From the equality  $u' c_1^q t' = t' s c_1^k u$ , it follows that  $c_1^q u' c_1^{p_1} t'_1 = c_1^{p_1} t'_1 s c_1^k u$  and we continue as above, comparing  $p_1$  with  $q$ . Since  $c_3$  is finite, we must reach the equality  $t'_i = u' c_1^{p_{i+1}} t'_{i+1} = t'_{i+1} u$  where  $t'_{i+1} \neq \epsilon$  and  $c_1$  is not a prefix of  $t_{i+1}$  nor  $t'_{i+1}$ , and consequently we get the equality  $c_1^q u' c_1^{p_{i+1}} t'_{i+1} = c_1^{p_{i+1}} t'_{i+1} s c_1^k u$ . Then one of the following must occur:

- (1)  $p_{i+1} > q$ , thus yielding the same type of contradiction as above;
- (2)  $p_{i+1} < q$  and  $|t'_{i+1}| \geq |u|$ , thus yielding the same types of contradiction as above;

- (3)  $p_{i+1} < q$ ,  $|t'_{i+1}| < |u|$ , and  $p_{i+1} < k$ , thus yielding the same type of contradiction as above;
- (4)  $p_{i+1} < q$ ,  $|t'_{i+1}| < |u|$ , and  $p_{i+1} \geq k$ , in which case we add

$$\begin{aligned} & \left( \left( \begin{array}{c} c_1^k u' (c_1^q u')^{i+2} c_1^{p_{i+1}-j} \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^j t'_{i+1} \end{array} \right) \right) \quad (0 \leq j \leq k), \\ & \left( \left( \begin{array}{c} c_1^k u' (c_1^q u')^{i+2} c_1^j \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' (c_1^q u')^{i+2} c_1^j c_2 \\ \epsilon \end{array} \right) \right) \quad (0 \leq j < p_{i+1} - k), \\ & \left( \left( \begin{array}{c} c_1^k u' (c_1^q u')^{i+1} c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' (c_1^q u')^{i+2} c_1^{k-1} u \\ \epsilon \end{array} \right) \right); \end{aligned} \tag{2.2}$$

- (5)  $p_{i+1} = q$  and  $|t'_{i+1}| \leq |u|$ , thus yielding the same types of contradiction as above. Last, assume that  $q \geq k$  and  $c_3 = w_i c_1$ . In this case, add  $\left( \left( \begin{array}{c} c_1^{k-1} u \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^{k-1} u c_2 \\ \epsilon \end{array} \right) \right)$ ,  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k} \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^k z \end{array} \right) \right)$ , and Figure 2.4. Also, add the edges  $\left( \left( \begin{array}{c} c_1^k u' c_1^i \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^i c_2 \\ \epsilon \end{array} \right) \right)$  ( $0 \leq i < q - k$ ).

If  $|z| < |u|$  put  $u' = zt' = t'z$  and  $u = z''t''$  where  $|t'| = |t''|$ ,  $z \neq z''$ , and  $t', t'' \neq \epsilon$ . Then we have  $c_1 = xzt' = xt'z = z''t''x = t''xz$ . Here, if  $t' = t''$  we have the equalities  $z''t'x = t'xz = xzt'$ , which cannot hold by Lemma 1.5(1). So  $t' \neq t''$  and we add  $\left( \left( \begin{array}{c} c_1^{k-1} u c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ xz \end{array} \right) \right)$  whenever  $q = k$  and  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ xz \end{array} \right) \right)$  whenever  $q > k$ . Note that here  $q' = 0$  nor we contradict the fact that  $t' \neq t''$ .

If  $|z| = |u|$  then  $z = u'$  and  $C$  is not SD ( $c_1 c_3 = c_2 c_1^{q-k} c_2 c_1$ ).

If  $|z| > |u|$  put  $z = u' c_1^p t' = t u'$  where  $c_1$  is not a prefix of  $t$  or  $t'$ , and  $t' \neq \epsilon$  (otherwise,  $c_1 c_3 = c_1 c_1^k u' c_1^q u' c_1^p = c_2 c_1^{q-k} c_2 c_1^{p+1}$ ). To simplify the notation, whenever  $|t'| < |c_1|$ , put  $x_{|t'|} = x'$ . Then we have  $c_3 = c_1^k u' c_1^q z = c_1^k z c_1^q z' = c_1^k z s c_1$ , where  $|s| = |c_1^{q-1} u|$  and it follows that  $c_1^q u' c_1^p t' = c_1^p t' s c_1$ . Here, we add  $\left( \left( \begin{array}{c} c_1^{k-1} u c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^q u' \\ \epsilon \end{array} \right) \right)$  if  $q = k$ , and  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^q u' \\ \epsilon \end{array} \right) \right)$  if  $q > k$ . In either case, also add Figure 2.5.

- If  $p > q$ , then we contradict the fact that  $c_1$  is not a prefix of  $z$ .
- If  $p < q$ , then  $|t'| < |c_1|$  or we contradict the fact that  $c_1$  is not a prefix of  $t'$  ( $t'$  is a prefix of  $c_1$  here). Clearly,  $|t'| \neq |u|$  or we contradict the fact that  $u \neq u'$ . If  $|t'| > |u|$ , put  $t' = u r_1 = r'_1 u'$  and  $c_1 = u r_1 x' = r'_1 u' x' = r_1 x' u' = x' r'_1 u' = u x' r'_1$ . Then  $u x' r'_1 = x' r'_1 u' = r'_1 u' x'$ , which cannot hold simultaneously by Lemma 1.5(1). If  $|t'| < |u|$ , put  $u = t' r_1 = r'_1 t''$  and  $u' = r'_1 t' = t'' r'_1$  where  $|t'| = |t''|$ . Then we have  $c_1 = t' r_1 x = x r'_1 t' = t' x r'_1 = r_1 x t' = x t'' r'_1 = r'_1 t'' x$  and  $r_1 = r'_1$ . Here, if  $t' = t''$ , then  $r_1 \neq r'_1$  and we have  $t' r_1 x = r_1 x t' = x t' r'_1$ , which cannot hold simultaneously by Lemma 1.5(2). So we assume that  $t' \neq t''$ ; and if  $r_1 = r'_1$ , then the equalities  $t' x r_1 = x r_1 t' = x t'' r_1$  together with Lemma 1.6 and the fact that  $x r_1 t' = r_1 x t'$  yield a contradiction with the fact that  $u \neq u'$ . Also, if  $t' = t''$  then  $x t' = t' x = x t''$  and  $t' = t''$ , a contradiction. So we have  $t' \neq t''$ ,  $t' \neq t'''$ ,  $r_1 \neq r'_1$ , and  $xz = c_1^{p+1} t'$ . Here, note that  $q' \leq q - p - 1$  or we contradict the fact that  $t' \neq t''$ . Thus  $|z'| = |c_1^{q-q'} u| > |u|$ ,  $r_1$  is a prefix of  $z'$ , and  $u'$  cannot be a prefix of  $z'$ .

In the case where  $q = k$ , we add

$$\left( \left( \begin{array}{c} c_1^{k-1} u c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ xz \end{array} \right) \right), \left( \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^i \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^{p-i} t' \end{array} \right) \right) \quad (0 \leq i \leq p). \quad (2.3)$$

In the case where  $q > k$  and  $p < k$ , add  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ xz \end{array} \right) \right)$  with (2.3). The edge

$$\left( \left( \begin{array}{c} \epsilon \\ c_1^k z c_1^i \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^k z c_1^i c_2 \end{array} \right) \right) \quad (2.4)$$

is added in case  $0 \leq i < q' - k$ , or  $i = q' - k$  and  $u$  is a prefix of  $z'$ .

In the case where  $q > k$  and  $p \geq k$ , in addition to (2.1) and  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^{k-1} u \\ \epsilon \end{array} \right) \right)$ , add  $\left( \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^{p-i} \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^i t' \end{array} \right) \right)$  ( $0 \leq i \leq k$ ). Also, (2.4) is added in case  $0 \leq i < q' - k$ , or  $i = q' - k$  and  $u$  is a prefix of  $z'$ .

In all cases, also add  $\left( \left( \begin{array}{c} \epsilon \\ c_1^i t' \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^{i+1} t' \end{array} \right) \right)$  ( $0 \leq i < k$ ) and  $\left( \left( \begin{array}{c} \epsilon \\ c_1^i t' \end{array} \right), \left( \begin{array}{c} c_1^{k-i} r_1 \\ \epsilon \end{array} \right) \right)$  ( $0 \leq i \leq k$ ) as well as  $\left( \left( \begin{array}{c} \epsilon \\ \epsilon \end{array} \right), \left( \begin{array}{c} r_1 x \\ \epsilon \end{array} \right) \right)$ ,  $\left( \left( \begin{array}{c} r_1 x \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ t' \end{array} \right) \right)$ , and  $\left( \left( \begin{array}{c} c_1^i r_1 x \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^{i+1} r_1 x \\ \epsilon \end{array} \right) \right)$  ( $0 \leq i < k - 1$ ). In the case where  $|t''| > |x|$ , put  $t''' = xs$  and  $t' = sx = xs'$ . It follows from the equality  $t' x r_1' = x t'' r_1'$  that  $t'' = s'x$  and consequently,  $s \neq s'$ . Add  $\left( \left( \begin{array}{c} c_1^{k-1} r_1 x \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k r_1 x \\ \epsilon \end{array} \right) \right)$  along with  $\left( \left( \begin{array}{c} c_1^i r_1 x \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^{k-i} s \end{array} \right) \right)$  ( $0 \leq i \leq k$ ).

• If  $p = q$ , then it follows from  $c_1^q u' c_1^p t' = c_1^p t' s c_1$  that  $u' c_1^q t' = t' s c_1$ . Here, if  $|t'| = |u|$ , then  $t' = u'$  and  $C$  is not SD ( $c_1 c_3 = c_2 c_1^{q-k} c_2 c_1^{q-k} c_2 c_1$ ). If  $|t'| < |u|$  then put  $u' = t' r_1 = r_1 t'$  and  $u = t'' r_1'$ , where  $|t'| = |t''|$ . So we have  $c_1 = x t' r_1 = x r_1 t' = t'' r_1' x = r_1' x t'$ . If  $t' = t''$ , then  $r_1 \neq r_1'$  and we get  $t' r_1' x = r_1' x t' = x t' r_1$ , which cannot hold simultaneously by Lemma 1.5(2). So we assume that  $t' \neq t''$ , and if  $r_1 = r_1'$  then  $t'' r_1 x = r_1 x t' = x t' r_1$ , which cannot hold by Lemma 1.5(1). Thus  $t' \neq t''$ ,  $r_1 \neq r_1'$ , and  $xz = x u' c_1^q t' = c_1^{q+1} t' \notin \text{prefix}(C) \setminus \{\epsilon\}$ . Note that here  $q' = 0$  or we contradict the fact that  $r_1 \neq r_1'$ . When  $q = k$ , we add  $\left( \left( \begin{array}{c} c_1^{k-1} u c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^k u' c_1^{k-1} u \\ \epsilon \end{array} \right) \right)$  as well as  $\left( \left( \begin{array}{c} c_1^k u' c_1^k u' c_1^{k-1} u \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ x t' \end{array} \right) \right)$  and  $\left( \left( \begin{array}{c} c_1^k u' c_1^k u' \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^k t' \end{array} \right) \right)$ . When  $q > k$ , add (2.1) and  $\left( \left( \begin{array}{c} c_1^k u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^{k-1} u \\ \epsilon \end{array} \right) \right)$  along with  $\left( \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^{q-k-1} c_2 \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ x t' \end{array} \right) \right)$  and  $\left( \left( \begin{array}{c} c_1^k u' c_1^q u' c_1^{q-k} \\ \epsilon \end{array} \right), \left( \begin{array}{c} \epsilon \\ c_1^k t' \end{array} \right) \right)$ . If  $|t'| > |u|$ , put  $t' = u' c_1^{p_1} t_1' = t_1 u'$ , where  $c_1$  is not a prefix of  $t_1$  nor  $t_1'$ , and  $t_1' \neq \epsilon$  (otherwise,  $c_1 c_3 = c_1 c_1^k u' (c_1^q u')^2 c_1^{p_1} = (c_2 c_1^{q-k})^2 c_2 c_1^{p_1+1}$ ). From the equality  $u' c_1^q t' = t' s c_1$ , it follows that  $c_1^q u' c_1^{p_1} t_1' = c_1^{p_1} t_1' s c_1$  and we continue as above, comparing  $p_1$  to  $q$ . Since  $c_3$  is finite, we must reach  $t_i' = u' c_1^{p_{i+1}} t_{i+1}' = t_{i+1} u'$  where  $c_1$  is not a prefix of  $t_{i+1}$  or  $t_{i+1}'$ , and  $t_{i+1}' \neq \epsilon$  (otherwise,  $c_1 c_3 = c_1 c_1^k u' (c_1^q u')^{i+2} c_1^{p_{i+1}} = (c_2 c_1^{q-k})^{i+2} c_2 c_1^{p_{i+1}+1}$ ), and consequently we get the equality  $c_1^q u' c_1^{p_{i+1}} t_{i+1}' = c_1^{p_{i+1}} t_{i+1}' s c_1$ . Then one of the following occurs:

- (1)  $p_{i+1} > q$ , in which case we reach the same type of contradiction as above;
- (2)  $p_{i+1} < q$  and  $|t_{i+1}'| \geq |u|$ , in which case we reach the same type of contradictions as above;
- (3)  $p_{i+1} < q$  and  $|t_{i+1}'| < |u|$ , in which case we put  $u = t_{i+2}' r_{i+2} = r_{i+2}'' t_{i+1}''$  and  $u' = r_{i+2}' t_{i+1}' = t_{i+1}' r_{i+2}'$  where  $|t_{i+1}'| = |t_{i+1}''|$ . As above, we have  $t_{i+1}' \neq t_{i+1}''$ ,  $t_{i+1}' \neq t_{i+1}'''$ ,  $r_{i+2} \neq r_{i+2}'$ , and  $xz = c_1^{p_{i+1}+1} t_{i+1}' \notin \text{prefix}(C) \setminus \{\epsilon\}$ . Also,  $q' \leq q - p_{i+1} - 1$ ,  $|z'| = |c_1^{q-q'} u| > |u|$ ,  $r_{i+2}$  is a prefix of  $z'$ , and  $u'$  cannot be a prefix of  $z'$ .

Add  $\left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^j \right), \left( c_1^{p_{i+1}-j} t'_{i+1} \right) \right)$  ( $0 \leq j \leq p_{i+1}$ ) whenever  $q = k$ , or  $q > k$ , and  $p_{i+1} < k$ . Whenever  $q > k$  and  $p_{i+1} \geq k$ , add

$$\left( \left( c_1^k u' (c_1^q u')^{i+1} c_1^{q-k-1} c_2 \right), \left( c_1^k u' (c_1^q u')^{i+2} c_1^{k-1} u \right) \right), \tag{2.5}$$

$$\left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^j \right), \left( c_1^k u' (c_1^q u')^{i+2} c_1^j c_2 \right) \right), \quad (0 \leq j < p_{i+1} - k),$$

and  $\left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^{p_{i+1}-j} \right), \left( c_1^j t'_{i+1} \right) \right)$  ( $0 \leq j \leq k$ ). In all cases, we also include  $\left( \left( c_1^j t'_{i+1} \right), \left( c_1^{j+1} t'_{i+1} \right) \right)$  ( $0 \leq j < k$ ),  $\left( \left( c_1^j t'_{i+1} \right), \left( c_1^{k-j} r_{i+2} \right) \right)$  ( $0 \leq j \leq k$ ),  $\left( \left( t'_{i+1} \right), \left( r_{i+2} x \right) \right)$ ,  $\left( \left( r_{i+2} x \right), \left( t'_{i+1} \right) \right)$ , and  $\left( \left( c_1^j r_{i+2} x \right), \left( c_1^{j+1} r_{i+2} x \right) \right)$  ( $0 \leq j < k - 1$ ). In the case where  $q > k$ , add  $\left( \left( c_1^j z c_1^j \right), \left( c_1^{j+1} z c_1^j c_2 \right) \right)$  whenever  $0 \leq j < q' - k$ , or  $j = q' - k$  and  $u$  is a prefix of  $z'$ . In the case where  $|t''_{i+1}| > |x|$ , put  $t''_{i+1} = x s_{i+1}$ ,  $t'_{i+1} = s_{i+1} x = x s'_{i+1}$ , and  $t'_{i+1} = s'_{i+1} x$  where  $s_{i+1} \neq s'_{i+1}$ . Add  $\left( \left( c_1^{k-1} r_{i+2} x \right), \left( c_1^k r_{i+2} x \right) \right)$  along with  $\left( \left( c_1^j r_{i+2} x \right), \left( c_1^{j-k} s_{i+1} \right) \right)$  ( $0 \leq j \leq k$ );

- (4)  $p_{i+1} = q$  and  $|t'_{i+1}| = |u|$ , in which case we reach the same type of contradiction as above;
- (5)  $p_{i+1} = q$  and  $|t'_{i+1}| < |u|$ , in which case, when  $q = k$ , we add

$$\left( \left( c_1^k u' \right)^{i+1} c_1^{k-1} u c_2 \right), \left( c_1^k u' \right)^{i+3} c_1^{k-1} u \right), \left( \left( c_1^k u' \right)^{i+3} \right), \left( c_1^k t'_{i+1} \right), \tag{2.6}$$

and  $\left( \left( c_1^k u' \right)^{i+3} c_1^{k-1} u \right), \left( x t'_{i+1} \right)$ . Whenever  $q > k$ , we add

$$\left( \left( c_1^k u' (c_1^q u')^{i+1} c_1^{q-k-1} c_2 \right), \left( c_1^k u' (c_1^q u')^{i+2} c_1^{k-1} u \right) \right),$$

$$\left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^j \right), \left( c_1^k u' (c_1^q u')^{i+2} c_1^j c_2 \right) \right), \quad (0 \leq j < q - k), \tag{2.7}$$

$$\left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^{q-k} \right), \left( c_1^k t'_{i+1} \right) \right), \left( \left( c_1^k u' (c_1^q u')^{i+2} c_1^{q-k-1} c_2 \right), \left( x t'_{i+1} \right) \right).$$

□

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## Special Issue on Intelligent Computational Methods for Financial Engineering

### Call for Papers

As a multidisciplinary field, financial engineering is becoming increasingly important in today's economic and financial world, especially in areas such as portfolio management, asset valuation and prediction, fraud detection, and credit risk management. For example, in a credit risk context, the recently approved Basel II guidelines advise financial institutions to build comprehensible credit risk models in order to optimize their capital allocation policy. Computational methods are being intensively studied and applied to improve the quality of the financial decisions that need to be made. Until now, computational methods and models are central to the analysis of economic and financial decisions.

However, more and more researchers have found that the financial environment is not ruled by mathematical distributions or statistical models. In such situations, some attempts have also been made to develop financial engineering models using intelligent computing approaches. For example, an artificial neural network (ANN) is a nonparametric estimation technique which does not make any distributional assumptions regarding the underlying asset. Instead, ANN approach develops a model using sets of unknown parameters and lets the optimization routine seek the best fitting parameters to obtain the desired results. The main aim of this special issue is not to merely illustrate the superior performance of a new intelligent computational method, but also to demonstrate how it can be used effectively in a financial engineering environment to improve and facilitate financial decision making. In this sense, the submissions should especially address how the results of estimated computational models (e.g., ANN, support vector machines, evolutionary algorithm, and fuzzy models) can be used to develop intelligent, easy-to-use, and/or comprehensible computational systems (e.g., decision support systems, agent-based system, and web-based systems)

This special issue will include (but not be limited to) the following topics:

- **Computational methods:** artificial intelligence, neural networks, evolutionary algorithms, fuzzy inference, hybrid learning, ensemble learning, cooperative learning, multiagent learning

- **Application fields:** asset valuation and prediction, asset allocation and portfolio selection, bankruptcy prediction, fraud detection, credit risk management
- **Implementation aspects:** decision support systems, expert systems, information systems, intelligent agents, web service, monitoring, deployment, implementation

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